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β -Encoder: Symbolic Dynamics and Electronic Implementation for AD/DA Converters

Kohda, Tohru Kyushu University : Professor Emeritus

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β -Encoders: Symbolic Dynamics and Electronic implementation for AD/DA converters Tohru Kohda¹

Extended Abstract: Almost all signal processing systems need analog signals to be discretized. Discretization in time and in amplitude are called sampling and quantization, respectively. These two operations constitute analog-to-digital (A/D) conversion. The A/D conversion includes pulse-code modulation (PCM) [1, 2, 3] and $\Sigma - \Delta$ modulation [4, 5, 6, 7, 8]. PCM has a precision of $O(2^{-L})$ for L iterations but has a serious problem when it is implemented in an electronic circuit, e.g., if PCM has a threshold shift, then the quantization errors do not decay. In contrast, $\Sigma - \Delta$ modulation achieves a precision that decays like an inverse polynomial in L but has the practical advantage for analog circuit implementation.

In 2002, Daubechies *et al.*[15] introduced a new A/D converter using an amplifier with a factor β and a flaky quantizer with a threshold ν , known as a β -encoder, and showed that it has exponential accuracy even if it is iterated at each step in the successive approximation of each sample by using an imprecision quantizer with a quantization error and offset parameter, Furthermore, in a subsequent paper, Daubechies *et al.*[16] introduced a "flaky" version of an imperfect quantizer derfined as

$$Q_{[\nu_0,\nu_1]}^{\text{flaky}}(z) \stackrel{\text{def}}{=} \begin{cases} 0, & \text{if} & z < \nu_0, \\ 1, & \text{if} & z \ge \nu_1, \\ 0 \text{ or } 1, & \text{if} & z \in [\nu_0,\nu_1], \nu_0 < \nu_1 \end{cases}$$
(1)

which is a model of a quantizer $Q_{\nu}(z)$ with a varying threshold $\nu \in [\nu_0, \nu_1], \nu_0 < \nu_1$, defined as

$$Q_{\nu}(x) \stackrel{\text{def}}{=} \begin{cases} 0, & \text{if } x < \nu, \\ 1, & \text{if } x \ge \nu \end{cases}$$
(2)

They made the remarkable observation that "greedy" ($\nu = \nu_{\rm G} = 1$) and "lazy" ($\nu = \nu_{\rm L} = (\beta - 1)^{-1}$) expansions, as well as "cautious" ($\nu_{\rm G} < \nu < \nu_{\rm L}$) expansions² in the β -encoder with such a flaky quantizer exhibit exponential accuracy in the bit rate L, and they gave the decoded values as

$$\hat{x}_{\rm L}^{\rm DDGV} = \sum_{i=1}^{L} b_i \gamma^i, \ b_i \in \{0, 1\}, \ \gamma = \beta^{-1}.$$
(3)

 $^{^1\}mathrm{Professor}$ Emeritus, Kyushu University, E-mail:torukoda
81@wind.ocn.ne.jp

²Intermediate expansions [30, 32] between the greedy and lazy expansions [28, 29] are called "cautious" by Daubechies [16].

Furthermore, Daubechies and Yilmätz[17] proposed a β -encoder that is not only robust to quantizer imperfections but also robust with to the amplification factor β , and gave the β -recovery method that relies upon embedding the value of β in the encoded bit stream for each sample value separately without measureing its value. This β -encoder is a significant achievement in Nyquist-rate A/D and D/A conversions in the sense that it may become a good alternative for PCM [9, 10, 11].

In our recent paper[18], we gave comprehensive reviews for A/D conversions including PCM, $\Sigma - \Delta$ modulation, and β -encoder (see Fig.1 for its single-loop feedback form) as well as symbolic dynamics. ³ Furthermore, we gave the fact that β -encoders using a flaky quantizer with the threshold ν are characterized by the symbolic dynamics of the multi-valued Rényi-Parry map, defined as[22, 23]

$$T_{\beta}(x) = \beta x \mod 1 \tag{4}$$

or Parry's (β, α) -map, defined as [24]

$$T_{\beta,\alpha}(x) = \beta x + \alpha \mod 1 \tag{5}$$

in the middle interval (see Fig.2). Dynamical systems theory [37, 38] tells us that a sample x is always confined to a subinterval of a contracted interval, as shown in Fig.3 and so its decoded sample can be defined as [18, 19, 20],

$$\widehat{x}_{L}^{\text{KHA}} = \sum_{i=1}^{L} b_{i} \gamma^{i} + \frac{\gamma^{L}}{2(\beta - 1)}, \ b_{i} \in \{0, 1\},$$
(6)

because the decoded sample is equal to the midpoint of the subinterval. The decoded sample \hat{x}_L^{KHA} also yields the characteristic equation for recovering β , which improves the quantization error by more than 3dB over the bound given by Daubechies *et al.*[16] and Daubechies and Yilmätz[17].⁴

³Several tutorial papers and textbooks are available (see e.g.[9, 10, 11] for digital communication, [12, 13, 14] for the basics of dynamical systems theory, and [22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34] for β -transformation. See a review paper[18] and the detailed references cited therein for fundamental of quantization for digital communications and various AD/DA conversions and β -encoder fundamentals.

⁴Ward[21] has recently proposed new AD/DA algorithms for generating a binary sequence $\{b_i^{\text{Ward}}\}_{i=1}^{\infty}, b_i^{\text{Ward}} \in \{-1, 1\}$ for a real-valued $y \in (-1, 1)$ using a flaky version of an imperfect quantizer and gave its decoded value as $\widehat{y}_L^{\text{Ward}} = \sum_{i=1}^L b_i^{\text{Ward}} \gamma^i$. Ward's flaky quantizer is also realized exactly by the multi-valued Rényi-Parry map because it is topological conjugate to Parry's map: $T_{\beta,\alpha}(x)$ via the conjugacy $y = h(x) = 2x - (\beta - 1)^{-1}$.

In order to show the self-correction property of the amplification factor β in β -encoder, Daubechies and Yilmätz[17] presented an equation governed by the sample data bit sequences as follows. Using the β -expansion sequences $\{b_i\}_{i=1}^{L}$ for $x \in [0, 1)$ and $\{c_i\}_{i=1}^{L}$ for y = 1 - x, $1 \leq i \leq L$ yields a root of the algebraic equation of β , defined by

$$P_L^{\rm DY}(\gamma) = 1 - \sum_{i=1}^{L} (b_i + c_i) \gamma^i.$$
(7)

On the contray, our β -recovering equation with index p_L [18, 19, 20] is

$$P_L^{\text{KHA}}(\gamma, p_L) = 1 - \sum_{i=1}^{L} (b_i + c_i)\gamma^i - p_L \frac{\gamma^{L+1}}{1 - \gamma}, \, p_L \in \{0, 1, 2\}, \quad (8)$$

which is based on an L-bit truncated expansion with index p_L , defined as

$$\widehat{x}_{L}^{\text{KHA}}(\gamma, p_{L}) = \sum_{i=1}^{L} b_{i} \gamma^{i} + p_{L} \cdot \frac{\gamma^{L}}{2(\beta - 1)}$$
(9)

The associated quantization error is bounded by

$$|x - \widehat{x}_L^{\text{KHA}}(\gamma, p_L)| \le \left(\frac{1 + |p_L - 1|}{2}\right) \cdot (\beta - 1)^{-1} \gamma^L \tag{10}$$

so that the cases where $p_L = 0, 1, 2$ correspond to the leftmost, intermediate, and rightmost points of the *L*th subinterval, respectively; the case where $p_L = 0$ is equal to Dabechies et al.'s decoded value.

As thoroughly discussed in our recent paper[35], the probabilistic behavior of this flaky quantizer is explained by the deterministic dynamics of a *multi-valued Rényi-Parry map* on the middle interval[18, 19, 20] (see Fig.2). This map is an eventually locally onto map of $[\nu - 1, \nu)$, which is topologically conjugate to Parry's (β, α) -map $T_{\beta,\alpha}(x)$ with $\alpha = (\beta - 1)(\nu - 1)$. β -encoders have a closed subinterval $[\nu - 1, \nu)$, which includes an *attractor*[36, 37, 38]. This β -expansion *attractor*[35] seems to be irregularly oscillatory but performs the β -expansion of each sample stably and precisely (see Fig.3). This viewpoint allows us to obtain a decoded sample(eq.6 or eq.9), which is equal

The homeomorphism $\hat{y}_L^{\text{Ward}} = h(\hat{x}_L^{\text{KHA}})$, however, does not necessarily imply equivalence in terms of the quatization errors; in fact, Ward's algorithm doubles the maximum quantization error and quadruples its mean square error.

to the midpoint of the subinteval, and its associated characteristic equation for recovering β (eq.8), and shows that ν should be set to around the midpoint of its associated greedy and lazy values. This leads us to design β -encoders realizing ordinary (see Fig.4) and negative scaled β -maps[20] (see Fig.5) and observe β -expansion attractors embedded in these β -encoders[35].

Finally, we note that parts of this article draw on our previous work in [18, 19, 20, 35], which were supported by the Aihara Innovation Mathematical Modelling Project (Aihara Project), the Japan Society for the Promotion of Science (JSPS) through the "Fundamental Program for World-Leading Innovation R&D on Science and Technology(FIRST Program)", initiated by the Counicil for Science and technology Policy (CSTP). The FIRST Program also supported the β -encoder group to implement these β -encoders in an LSI (Large-Scale Integrated) circuit and evaluate quantization errors and their performance in practically realized LSI circuits based on a simple β -recovery method suited to operation of AD/DA conversions in LSI cicuits, .[42, 43, 44, 45].

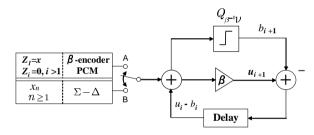


Fig.1. A discrete-time, single-loop feedback system using an amplifier with an ampflication factor β and a 1-bit quantizer $Q_{\beta^{-1}\nu}$ with a threshold ν that realizes PCM when $\beta = 2$ and $\nu = 1$; a β -encoder when $1 < \beta < 2$ and $\nu \in [1, (\beta - 1)^{-1}]$, proposed by Daubechies et al.[15]; and $\Sigma - \Delta$ modulation when $\beta = 1$ and $\nu = 0$. The input is $z_1 = x \in [0, 1), z_i = 0, i > 1$ for the PCM and β -encoder, and the input is $x_n, n \ge 1$ for the $\Sigma - \Delta$ modulation. The initial conditions are given by $u_0 = b_0 = 0$. The output sequence $\{b_i\}_{i=1}^L, b_i \in \{0, 1\}$ gives the *L*-bit β -expansion for *x*, and the averaging sequence $\{b_i\}_{i=1}^L, b_i \in \{0, 1\}$ gives the *u*-bit β -encoder provides the greedy, lazy, and cautious schemes for $\nu = \nu_{\rm G} = 1, \nu = \nu_{\rm L} = (\beta - 1)^{-1}$, and $\nu_{\rm G} < \nu < \nu_{\rm L}$, respectively.

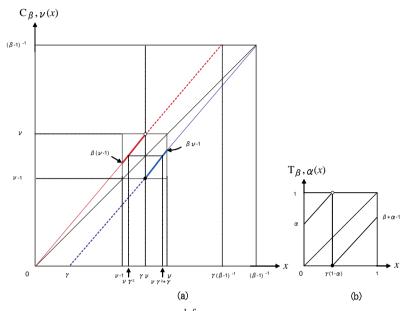


Fig.2. The expansion map $C_{\beta,\nu}(x) \stackrel{\text{def}}{=} \beta x - Q_{\beta^{-1}\nu}(x)$ realizing the Daubechies et al.'s flaky quantizer[16] $Q_{(\gamma\nu_G,\gamma\nu_L)}^{\text{flaky}}(z)$, $1 = \nu_G < \nu < \nu_L = (\beta - 1)^{-1}$ (b) renormalizing the interval $[\nu - 1, \nu]$ into the unit interval [0, 1], which shows that such an eventually locally onto map is equivalent to the Parry (β, α) transformation: $T_{\beta,\alpha}(x) = \beta x + \alpha \mod 1$. The transformation $T_{\beta,\alpha}(x)$ has a finite (signed) invariant measure $\nu(E) = \int_E h(x) dx$, where h(x) is given by $h(x) = \sum_{x < T^n_{\beta,\alpha}(1)} \beta^{-n} - \sum_{x < T^n_{\beta,\alpha}(0)} \beta^{-n} \cdot [24, 39]$

 $^{{}^{5}}C_{\beta,\nu}(x)$ has its eventually locally onto map with the strongly invariant subinterval $C_{\beta,\nu}^{-1}([0,\gamma\nu]) \cap C_{\beta,\nu}^{-1}([\gamma\nu,(\beta-1)^{-1}]) = [\nu-1,\nu]$. (Let $\tau: E \to E$ be a continuous map. Let $F \subset E$. If $\tau(F) \subset F$, then F is called *invariant*. If $\tau(F) = F$, then F is called *strongly invariant*. [14]).

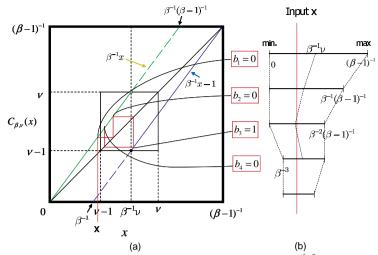


Fig.3. (a) The multi-valued Rényi-Parry map $C_{\beta,\nu}(x) \stackrel{\text{def}}{=} \beta x - Q_{\beta^{-1}\nu}(x)$ on the middle interval $[\beta^{-1}, \beta^{-1}(\beta - 1)^{-1}]$ with its discontinuity $x = \beta^{-1}\nu$, which is eventually locally onto $[\nu - 1, \nu)$, where $1 \leq \nu \leq (\beta - 1)^{-1}$. An eventually locally onto map of $[\nu - 1, \nu)$ with $\nu = 1 + \alpha/(\beta - 1)$ is topologically conjugate to Parry's (β, α) -transformation $T_{\beta,\alpha}(x)$ via the conjugacy $\varphi^{-1}(x) = x + \alpha/(\beta - 1)$, i.e., $\varphi(C_{\beta,\nu}(\varphi^{-1}(x))) = T_{\beta,\alpha}(x)$ when $\alpha = (\beta - 1)(\nu - 1)$. The map $C_{\beta,\nu}(x)$ realizes Daubechies et al.'s flaky quantizer[16] $Q_{[\beta^{-1},\beta^{-1}(\beta-1)^{-1}]}^{\text{flaky}}(z)$. (b) The contraction process by the first 4 binary β expansions of the input x using $C_{\beta,\nu}(x)$ while the binary digits are obtained. The associated subintervals with a contraction ratio β^{-1} are given as $[0, (\beta - 1)^{-1}), [0, \beta^{-1}(\beta - 1)^{-1}), [0, \beta^{-2}(\beta - 1)^{-1}), [\beta^{-3}, \beta^{-2}(\beta - 1)^{-1})$. The input x is always confined to the *i*th subinterval.

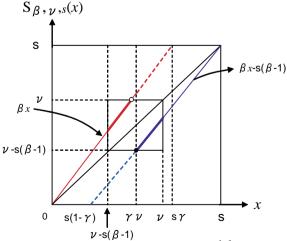


Fig.4. The scale-adjusted ordinary β -map $S_{\beta,\nu,s}(x) \stackrel{\text{def}}{=} \beta x - s(\beta - 1)Q_{\gamma\nu}(x) = \begin{cases} \beta x & \text{when } x \in [0, \gamma\nu), \\ \beta x - s(\beta - 1), & \text{when } x \in \gamma\nu, s), \end{cases}$ with its eventually locally onto map

 $[\nu - s(\beta - 1), \nu) \rightarrow [\nu - s(\beta - 1), \nu), \nu \in [s(\beta - 1), s).$ Such an eventually locally onto map with $\nu = s(\alpha + \beta - 1)$ is topologically conjugate to $T_{\beta,\alpha}(x)$ via the conjugacy $\varphi_{\rm S}^{-1}(x) = s(\beta - 1)x + s\alpha$, i.e., $\varphi_{\rm S}(S_{\beta,\nu,s}(x)) = T_{\beta,\alpha}(\varphi_{\rm S}(x)).$

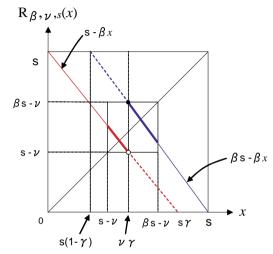


Fig.5. The scale-adjusted negative β -map

 $R_{\beta,\nu,s}(x) \stackrel{\text{def}}{=} -\beta x + s[1 + (\beta - 1)Q_{\gamma\nu}(x)] = \begin{cases} s - \beta x & \text{when } x \in [0, \gamma\nu), \\ \beta s - \beta x, & \text{when } x \in \gamma\nu, s), \end{cases}$ with its eventually locally onto map $[s - \nu, \beta s - \nu) \rightarrow [s - \nu, \beta s - \nu)$ when $(\beta^2 - \beta + 1)/(\beta + 1)s \leq \nu < (2\beta - 1)/(\beta + 1)s.^6$ Such an eventually locally onto map with $\nu = s[(\beta - 1)\alpha + \beta]/(\beta + 1)$ is topologically conjugate to Parry's transformation with negative $slope[20, 40] T_{-\beta,\alpha}(x) \stackrel{\text{def}}{=} -\beta x + \alpha \mod 1, \beta \geq 1, 0 \leq \alpha < 1$ via the conjugacy $\varphi_{\rm R}^{-1}(x) = s(\beta - 1)x + s - \nu,$ i.e., $\varphi_{\rm R}(R_{\beta,\nu,s}(x)) = T_{-\beta,\alpha}(\varphi_{\rm R}(x))$. The transformation $T_{-\beta,\alpha}(x)$ has a finite (signed) invariant measure $\nu(E) = \int_{\rm E} h(x)dx$, where h(x) is given by $h(x) = \sum_{x < T_{-\beta,\alpha}^{n}(1)} (-\beta)^{-n} - \sum_{x < T_{-\beta,\alpha}^{n}(0)} (-\beta)^{-n} \cdot [41, 18]$

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⁶There are three other eventually locally onto maps depending on ν .[18, 35]

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Workshop on β -transformation and related topics At IMI, Kyushu University 3/10,2k15

β-encoders: Symbolic dynamics and Electronic Implementation for AD/DA converters

Tohru Kohda (Emeritus of Kyushu Univ.),

Collaborated with

Y.Horio (Tokyo Denki Univ.) Y.Takahashi (Emeritus, the Univ. of Tokyo), K.Aihara (the Univ. of Tokyo)

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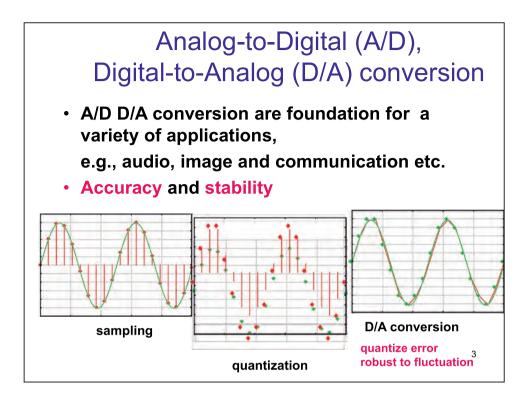
i) **β-encoder** using Daubechies et.al.'s quantizer

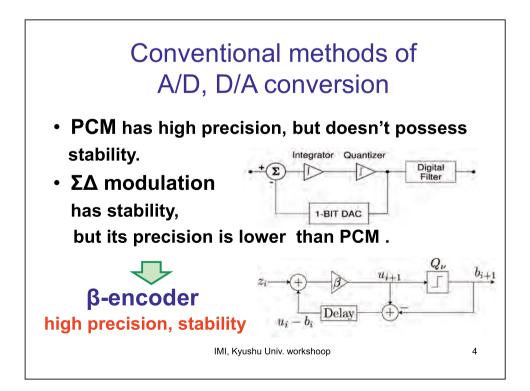
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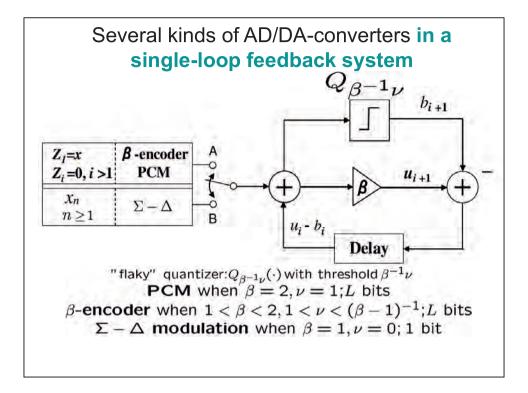
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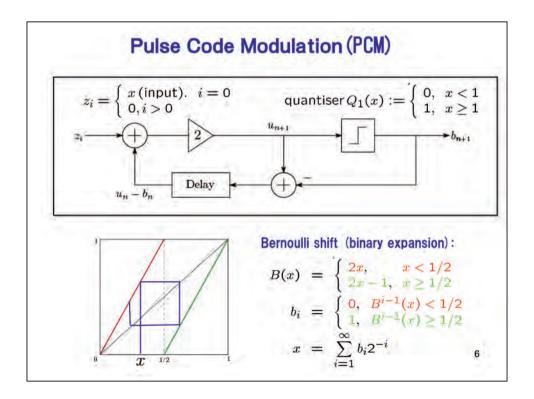
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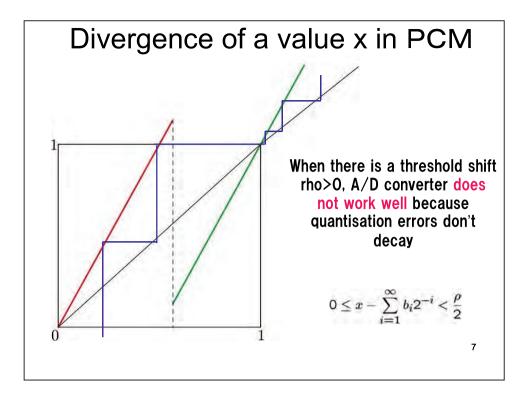
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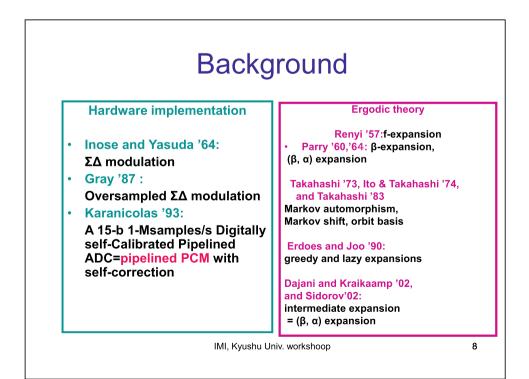


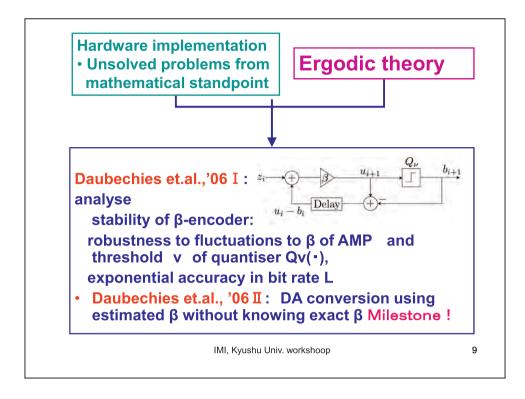


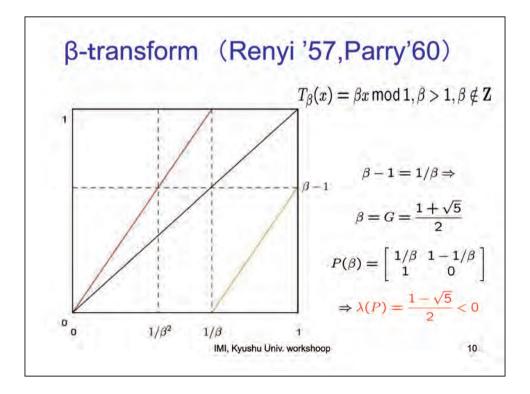


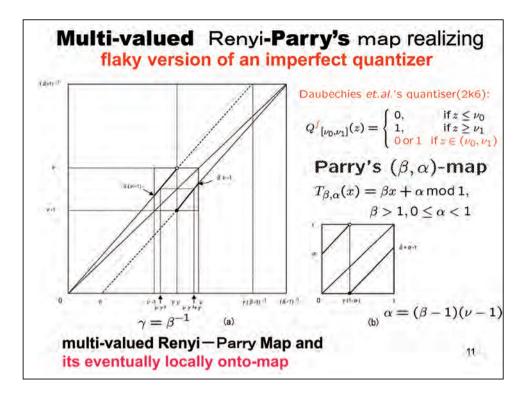


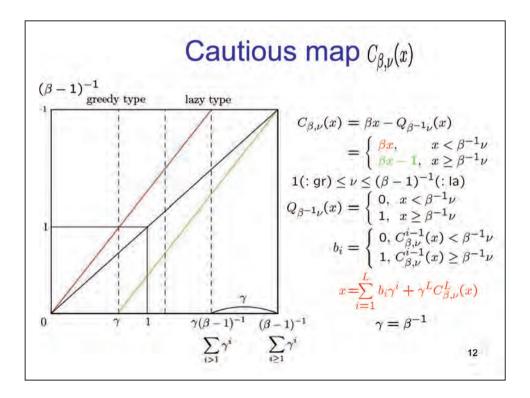


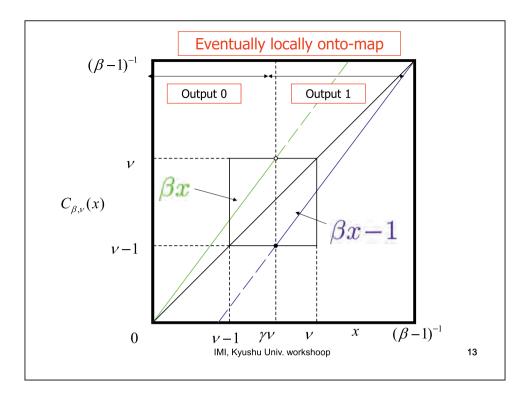


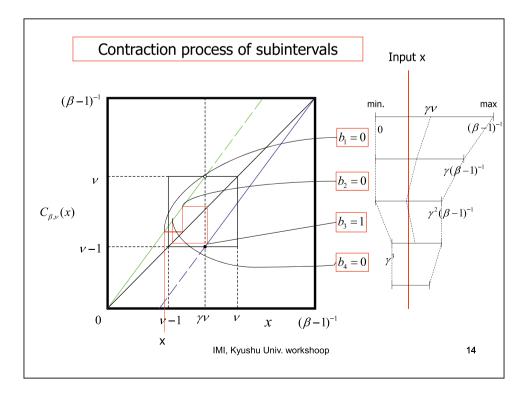


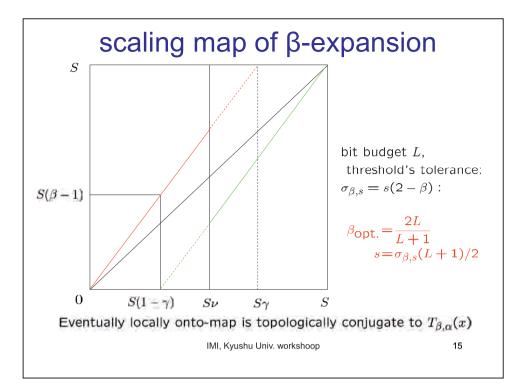


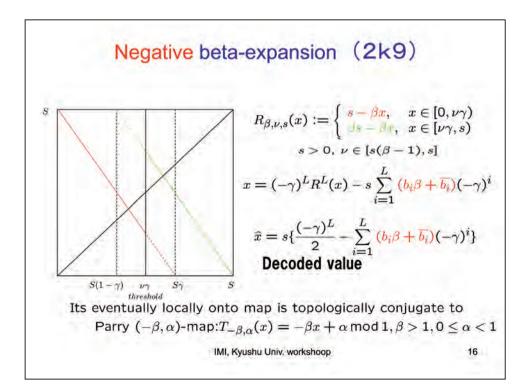


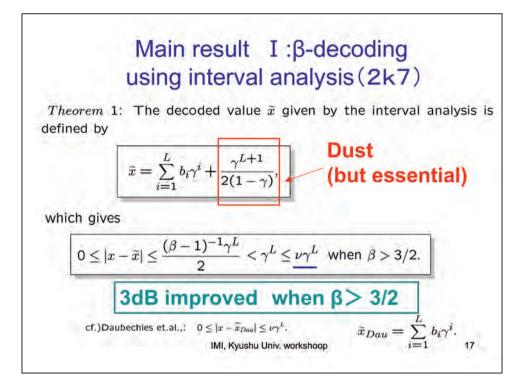


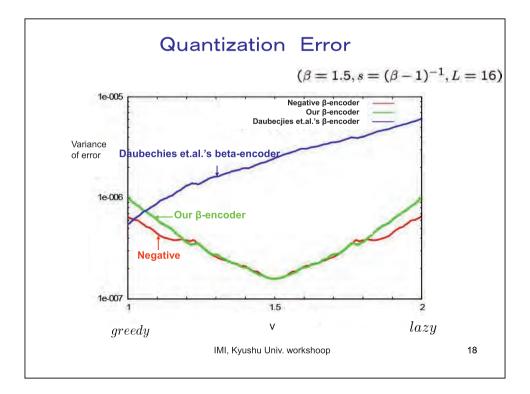


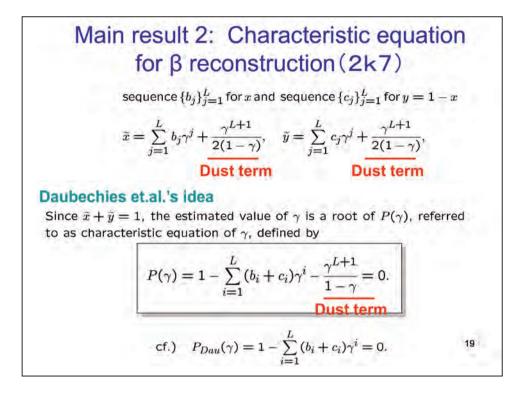


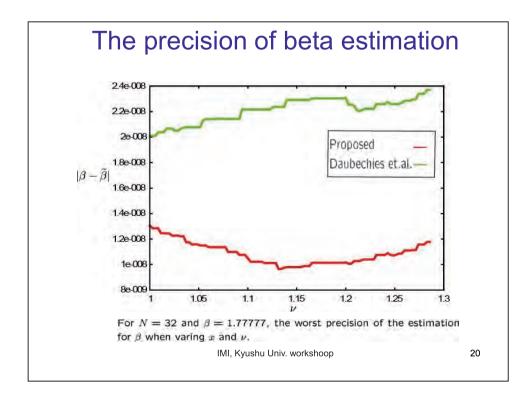


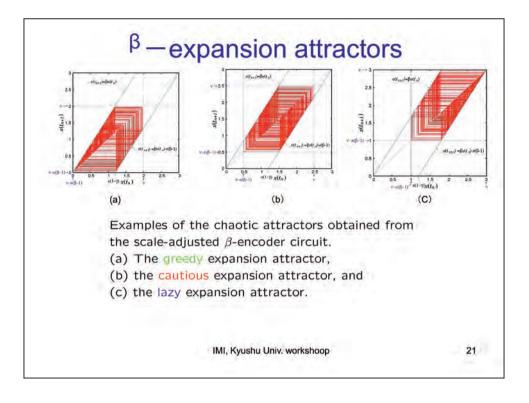


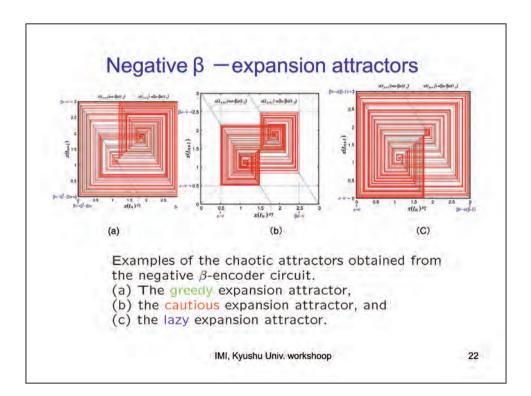












Implementation of *β*-encoder in an LSI (Large-Scale Integrated) circuit We note that parts of this article draw on our previous work: ٠ 1) T. Kohda , Y. Horio, Y. Takahashi, and K. Aihara, "Beta Encoders: Symbolic Dynamics and Electronic Implementation", Int. Journal of Bifurcation and Chaos, 22, no9, 2012, T. Kohda ,Y.Horio, and K. Aihara, "β- Expansion Attractors observed in A/D Converters", AIP Chaos, 22, no.4, 2012, supported by the Aihara Project, JSPS through FIRST Program. **The FIRST Program** also supported the β - encoder group to implement β -encoders in an LSI circuit and evaluate quantization errors and their performance in practically realized LSI circuits using a simple **β**-recovery method suited to operation of AD/DA converters in LSI circuits. T.Makino, Y.Iwata, K.Shinohara, Y.Jitsumatsu, M.Hotta, H.San, and K.Aihara, "Rigorous Estimates of Quantization error and Adaptive Decoding Scheme for an A/D Converter Based on a Beta-Map," NOLTA (Nonlinear Theory and Its Applications), IEICE, 6-1,99-111,2015.

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