

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Multirate systems include more than one sample rate

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Why bother?:

- May need to **change the sample rate**
e.g. Audio sample rates include 32, 44.1, 48, 96 kHz

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11: Multirate Systems

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- Can **relax** analog or digital **filter requirements**
e.g. Audio DAC increases sample rate so that the reconstruction filter can have a more gradual cutoff

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e.g. Audio sample rates include 32, 44.1, 48, 96 kHz
- Can **relax** analog or digital **filter requirements**
e.g. Audio DAC increases sample rate so that the reconstruction filter can have a more gradual cutoff
- **Reduce computational complexity**
FIR filter length $\propto \frac{f_s}{\Delta f}$ where Δf is width of transition band
Lower $f_s \Rightarrow$ shorter filter + fewer samples \Rightarrow computation $\propto f_s^2$

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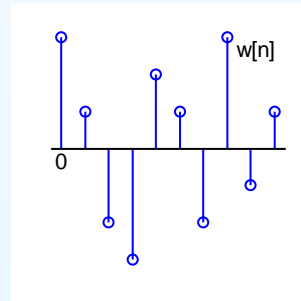
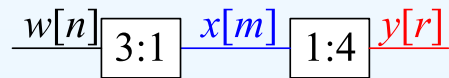
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Example:

Downsample by 3 then upsample by 4



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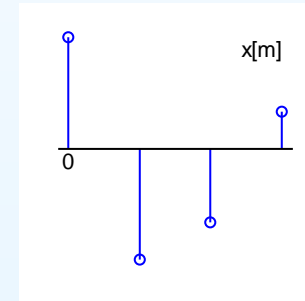
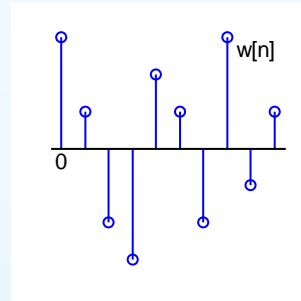
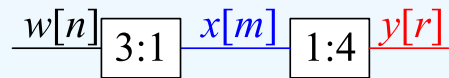
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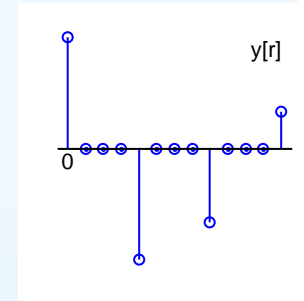
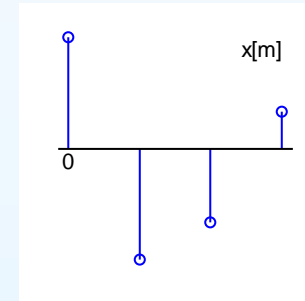
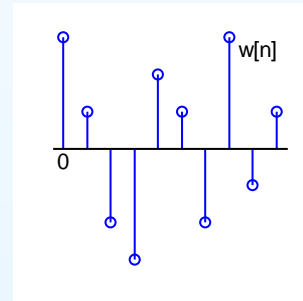
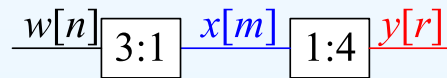
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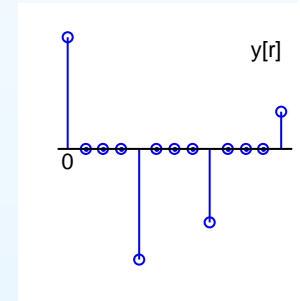
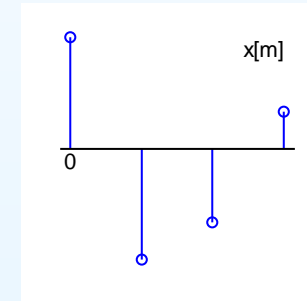
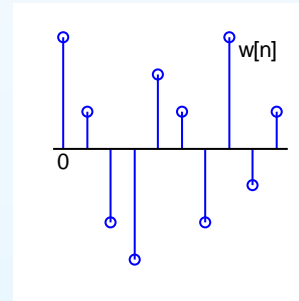
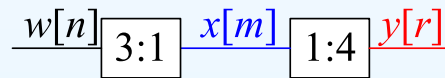
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- We use different index variables (n, m, r) for different sample rates

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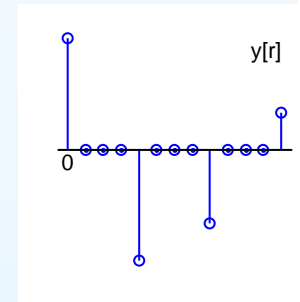
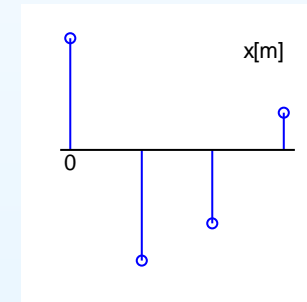
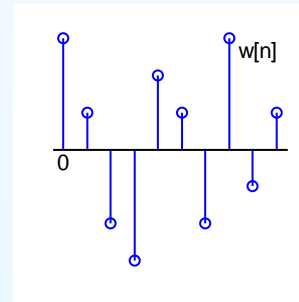
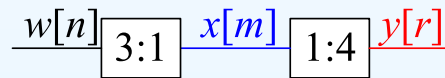
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- We use different index variables (n, m, r) for different sample rates
- Use different colours for signals at different rates (sometimes)

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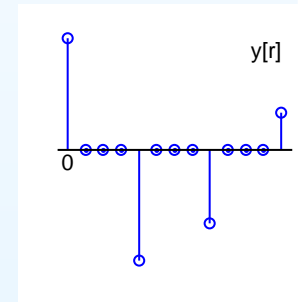
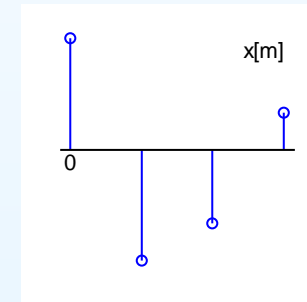
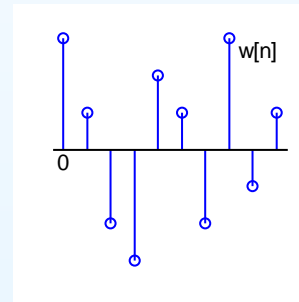
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$$w[n] \xrightarrow{3:1} x[m] \xrightarrow{1:4} y[r]$$



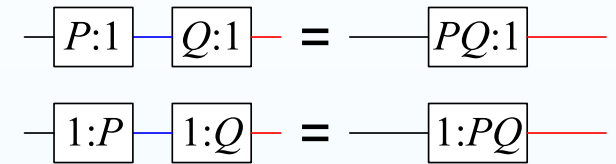
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- **Synchronization:** all signals have a sample at $n = 0$.

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Downsampling **destroys information permanently** \Rightarrow uninvertible

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Resampling can be interchanged iff **P and Q are coprime** (surprising!)

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[Note: $a \mid b$ means “ a divides into b exactly”]

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But $\{Q \mid Pn \Rightarrow Q \mid n\}$ iff P and Q are coprime.

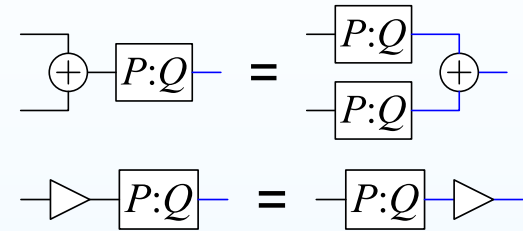
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Resamplers commute with addition and multiplication



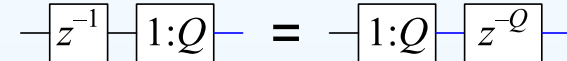
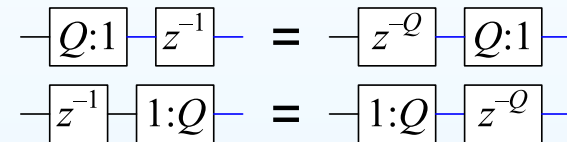
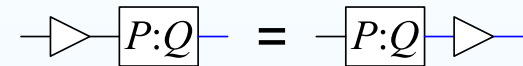
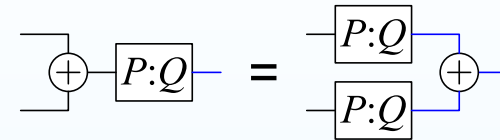
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Delays must be multiplied by the resampling ratio

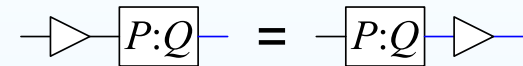
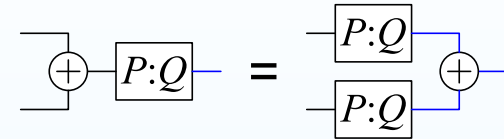


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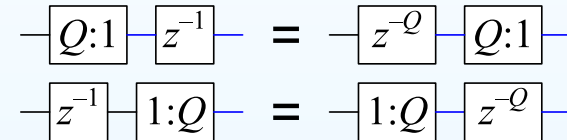
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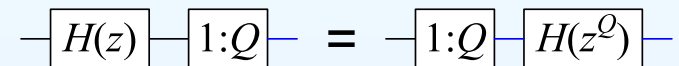
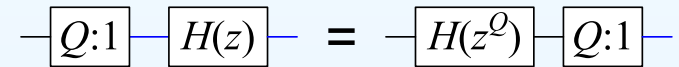
Resamplers commute with addition and multiplication



Delays must be multiplied by the resampling ratio



Noble identities:
Exchange resamplers and filters

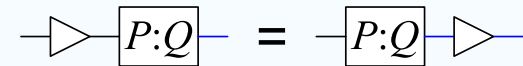
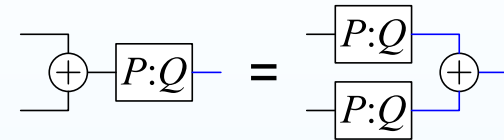


Noble Identities

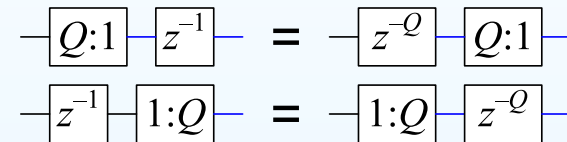
11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

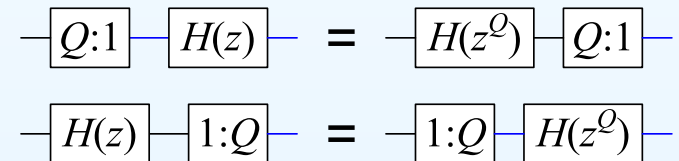
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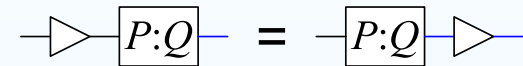
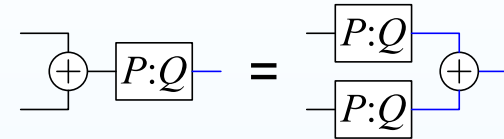
Example: $H(z) = h[0] + h[1]z^{-1} + h[2]z^{-2} + \dots$
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Noble Identities

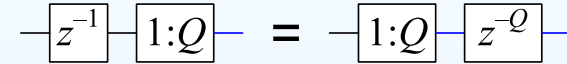
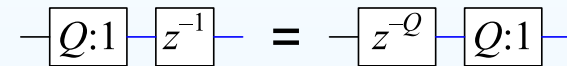
11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

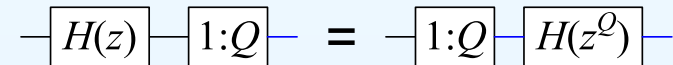
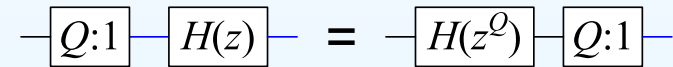
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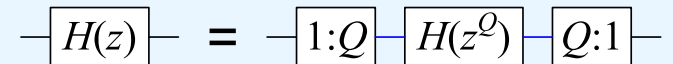
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Corollary



Example: $H(z) = h[0] + h[1]z^{-1} + h[2]z^{-2} + \dots$
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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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$$w[r] = v[Qr]$$

Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Upsampled Noble Identity:

$$\boxed{x[r]} \xrightarrow{H(z)} \boxed{u[r]} \xrightarrow{1:Q} \boxed{y[n]} = \boxed{x[r]} \xrightarrow{1:Q} \boxed{v[n]} \xrightarrow{H(z^Q)} \boxed{w[n]}$$

Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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If $Q \nmid n$, then $v[n - Qm] = 0 \forall m$ so $w[n] = 0 = y[n]$

Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
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- Power Spectral Density +
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- Summary
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Assume that $h[r]$ is of length $M + 1$ so that $h_Q[n]$ is of length $QM + 1$. We know that $h_Q[n] = 0$ except when $Q \mid n$ and that $h[r] = h_Q[Qr]$.

$$\begin{aligned} w[r] &= v[Qr] = \sum_{s=0}^{QM} h_Q[s]x[Qr - s] \\ &= \sum_{m=0}^M h_Q[Qm]x[Qr - Qm] = \sum_{m=0}^M h[m]x[Q(r - m)] \\ &= \sum_{m=0}^M h[m]u[r - m] = y[r] \end{aligned}$$



Upsampled Noble Identity:

$$\boxed{x[r]} \boxed{H(z)} \boxed{u[r]} \boxed{1:Q} \boxed{y[n]} = \boxed{x[r]} \boxed{1:Q} \boxed{v[n]} \boxed{H(z^Q)} \boxed{w[n]}$$

We know that $v[n] = 0$ except when $Q \mid n$ and that $v[Qr] = x[r]$.

$$\begin{aligned} w[n] &= \sum_{s=0}^{QM} h_Q[s]v[n - s] = \sum_{m=0}^M h_Q[Qm]v[n - Qm] \\ &= \sum_{m=0}^M h[m]v[n - Qm] \end{aligned}$$

If $Q \nmid n$, then $v[n - Qm] = 0 \forall m$ so $w[n] = 0 = y[n]$

If $Q \mid n = Qr$, then $w[Qr] = \sum_{m=0}^M h[m]v[Qr - Qm]$

Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Upsampled Noble Identity:

$$\boxed{x[r]} \boxed{H(z)} \boxed{u[r]} \boxed{1:Q} \boxed{y[n]} = \boxed{x[r]} \boxed{1:Q} \boxed{v[n]} \boxed{H(z^Q)} \boxed{w[n]}$$

We know that $v[n] = 0$ except when $Q \mid n$ and that $v[Qr] = x[r]$.

$$\begin{aligned} w[n] &= \sum_{s=0}^{QM} h_Q[s] v[n - s] = \sum_{m=0}^M h_Q[Qm] v[n - Qm] \\ &= \sum_{m=0}^M h[m] v[n - Qm] \end{aligned}$$

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Noble Identities Proof

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- **Noble Identities Proof**
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Upsampled Noble Identity:

$$\boxed{x[r]} \boxed{H(z)} \boxed{u[r]} \boxed{1:Q} \boxed{y[n]} = \boxed{x[r]} \boxed{1:Q} \boxed{v[n]} \boxed{H(z^Q)} \boxed{w[n]}$$

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If $Q \nmid n$, then $v[n - Qm] = 0 \forall m$ so $w[n] = 0 = y[n]$

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Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- **Upsampled z-transform**
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

$$V(z) = \sum_n v[n]z^{-n}$$

$$u[m] \boxed{1:K} v[n]$$

Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- **Upsampled z-transform**
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

$$V(z) = \sum_n v[n]z^{-n} = \sum_{n \text{ s.t. } K|n} u\left[\frac{n}{K}\right]z^{-n}$$

$$\underline{u[m]} \boxed{1:K} \underline{v[n]}$$

Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- **Upsampled z-transform**
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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$$\underline{u[m]} \boxed{1:K} \underline{v[n]}$$

Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- **Upsampled z-transform**
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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$$\underline{u[m]} \boxed{1:K} \underline{v[n]}$$

$$\underline{U(z)} \boxed{1:K} \underline{U(z^K)}$$

Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- **Upsampled z-transform**
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Spectrum: $V(e^{j\omega}) = U(e^{jK\omega})$

$$\underline{u[m]} \boxed{1:K} \underline{v[n]}$$

$$\underline{U(z)} \boxed{1:K} \underline{U(z^K)}$$

Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Spectrum: $V(e^{j\omega}) = U(e^{jK\omega})$

Spectrum is horizontally shrunk and replicated K times.

Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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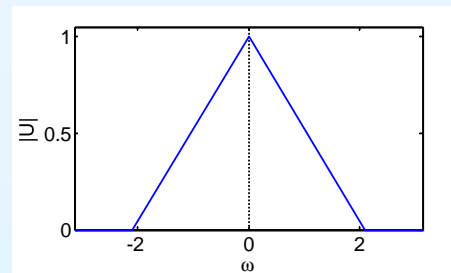
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Example:



Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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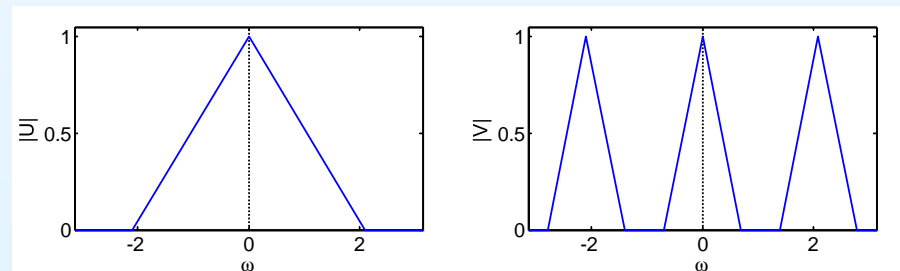
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Example:

$K = 3$: three images of the original spectrum in all.



Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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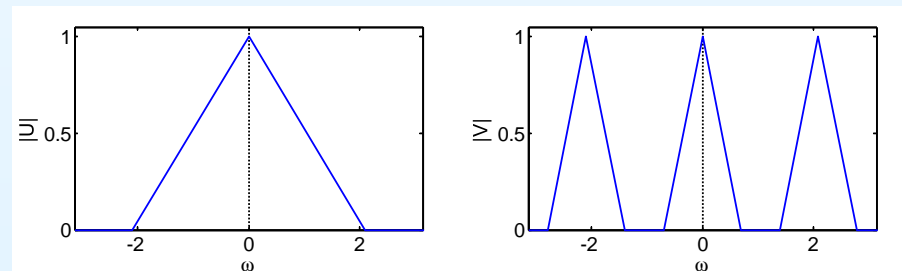
Spectrum: $V(e^{j\omega}) = U(e^{jK\omega})$

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Total **energy** unchanged; **power** (= energy/sample) multiplied by $\frac{1}{K}$

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Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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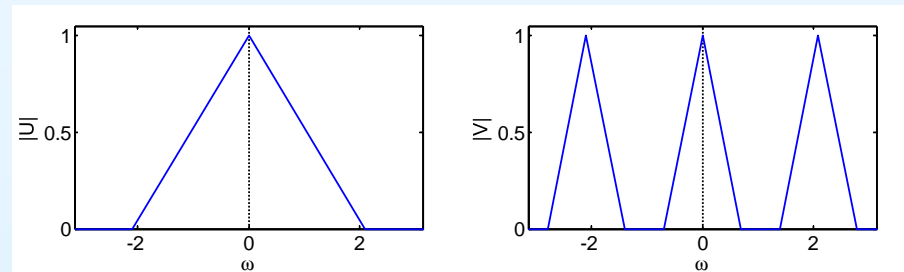
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Example:

$K = 3$: three images of the original spectrum in all.

Energy unchanged: $\frac{1}{2\pi} \int |U(e^{j\omega})|^2 d\omega = \frac{1}{2\pi} \int |V(e^{j\omega})|^2 d\omega$



Upsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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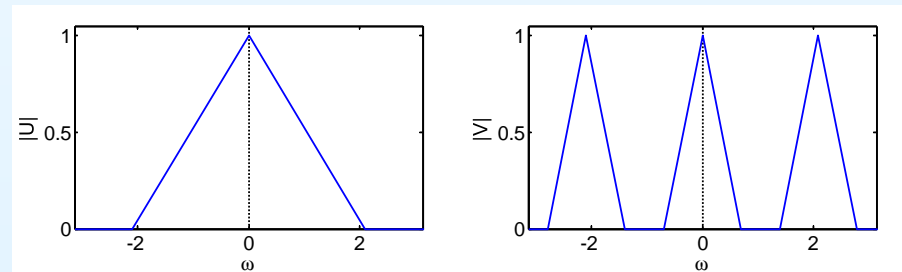
Total **energy** unchanged; **power** (= energy/sample) multiplied by $\frac{1}{K}$

Upsampling normally **followed** by a LP filter to remove images.

Example:

$K = 3$: three images of the original spectrum in all.

Energy unchanged: $\frac{1}{2\pi} \int |U(e^{j\omega})|^2 d\omega = \frac{1}{2\pi} \int |V(e^{j\omega})|^2 d\omega$



Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

Define $c_K[n] = \delta_{K|n}[n]$

$$\underline{x[n]} \boxed{K:1} \underline{y[m]} \boxed{1:K} \underline{x_K[n]}$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

$$\text{Define } c_K[n] = \delta_{K|n}[n] = \frac{1}{K} \sum_{k=0}^{K-1} e^{\frac{j2\pi kn}{K}}$$

$$x[n] \xrightarrow{K:1} y[m] \xrightarrow{1:K} x_K[n]$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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$$X_K(z) = \sum_n x_K[n]z^{-n}$$

$$\underline{x[n]} \boxed{K:1} \underline{y[m]} \boxed{1:K} \underline{x_K[n]}$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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$$\begin{aligned} X_K(z) &= \sum_n x_K[n] z^{-n} = \frac{1}{K} \sum_n \sum_{k=0}^{K-1} e^{\frac{j2\pi kn}{K}} x[n] z^{-n} \\ &= \frac{1}{K} \sum_{k=0}^{K-1} \sum_n x[n] \left(e^{\frac{-j2\pi k}{K}} z \right)^{-n} = \frac{1}{K} \sum_{k=0}^{K-1} X\left(e^{\frac{-j2\pi k}{K}} z \right) \end{aligned}$$

From previous slide:

$$X_K(z) = Y(z^K)$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

$$\text{Define } c_K[n] = \delta_{K|n}[n] = \frac{1}{K} \sum_{k=0}^{K-1} e^{\frac{j2\pi kn}{K}}$$

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From previous slide:

$$\begin{aligned} X_K(z) &= Y(z^K) \\ \Rightarrow Y(z) &= X_K\left(z^{\frac{1}{K}}\right) \end{aligned}$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
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$$\boxed{X(z)} \xrightarrow{K:1} \frac{1}{K} \sum_{k=0}^{K-1} X\left(e^{\frac{-j2\pi k}{K}} z^{\frac{1}{K}} \right)$$

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Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
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Frequency Spectrum:

$$Y(e^{j\omega}) = \frac{1}{K} \sum_{k=0}^{K-1} X\left(e^{\frac{j(\omega - 2\pi k)}{K}} \right)$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
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Frequency Spectrum:

$$\begin{aligned} Y(e^{j\omega}) &= \frac{1}{K} \sum_{k=0}^{K-1} X\left(e^{\frac{j(\omega - 2\pi k)}{K}} \right) \\ &= \frac{1}{K} \left(X\left(e^{\frac{j\omega}{K}} \right) + X\left(e^{\frac{j\omega}{K} - \frac{2\pi}{K}} \right) + X\left(e^{\frac{j\omega}{K} - \frac{4\pi}{K}} \right) + \dots \right) \end{aligned}$$

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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From previous slide:

$$\boxed{X(z)} \xrightarrow{K:1} \frac{1}{K} \sum_{k=0}^{K-1} X(e^{\frac{-j2\pi k}{K}} z^{\frac{1}{K}})$$

$$X_K(z) = Y(z^K)$$

$$\Rightarrow Y(z) = X_K(z^{\frac{1}{K}}) = \frac{1}{K} \sum_{k=0}^{K-1} X(e^{\frac{-j2\pi k}{K}} z^{\frac{1}{K}})$$

Frequency Spectrum:

$$\begin{aligned} Y(e^{j\omega}) &= \frac{1}{K} \sum_{k=0}^{K-1} X(e^{\frac{j(\omega - 2\pi k)}{K}}) \\ &= \frac{1}{K} \left(X(e^{\frac{j\omega}{K}}) + X(e^{\frac{j\omega}{K} - \frac{2\pi}{K}}) + X(e^{\frac{j\omega}{K} - \frac{4\pi}{K}}) + \dots \right) \end{aligned}$$

Average of K aliased versions, each expanded in ω by a factor of K .

Downsampled z-transform

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- **Downsampled z-transform**
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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Average of K aliased versions, each expanded in ω by a factor of K .

Downsampling is normally **preceded** by a LP filter to prevent aliasing.

Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

$$Y(e^{j\omega}) = \frac{1}{K} \sum_{k=0}^{K-1} X(e^{j(\omega - 2\pi k)/K})$$

$$x[n] \boxed{K:1} y[m]$$

Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

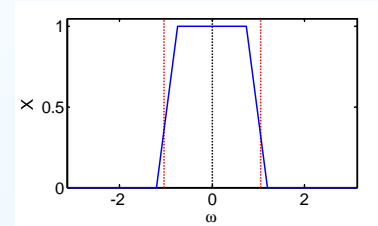
$$Y(e^{j\omega}) = \frac{1}{K} \sum_{k=0}^{K-1} X(e^{j(\omega - 2\pi k)/K})$$

Example 1:

$$K = 3$$

Not quite limited to $\pm \frac{\pi}{K}$

$$x[n] \xrightarrow{K:1} y[m]$$



Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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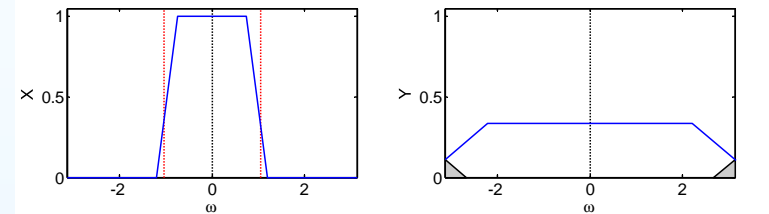
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Not quite limited to $\pm \frac{\pi}{K}$

Shaded region shows aliasing

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Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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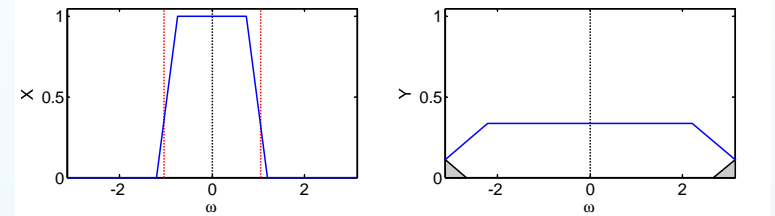
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Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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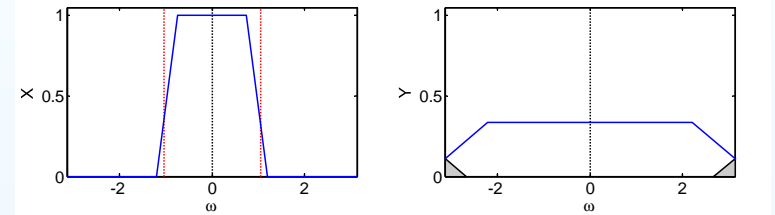
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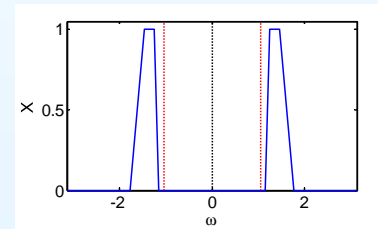
Energy decreases: $\frac{1}{2\pi} \int |Y(e^{j\omega})|^2 d\omega \approx \frac{1}{K} \times \frac{1}{2\pi} \int |X(e^{j\omega})|^2 d\omega$



Example 2:

$$K = 3$$

Energy all in $\frac{\pi}{K} \leq |\omega| < 2\frac{\pi}{K}$



Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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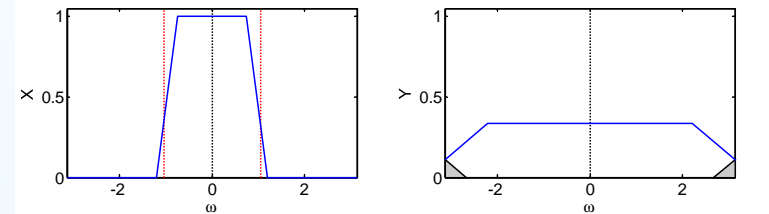
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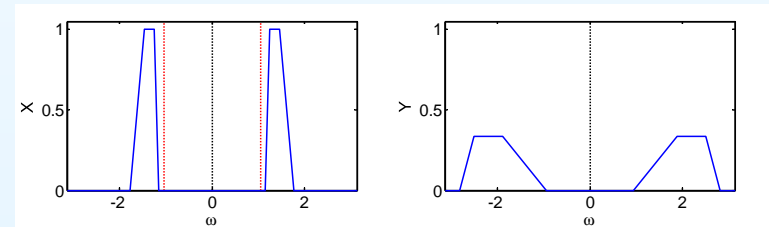


Example 2:

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No aliasing: 😊



Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
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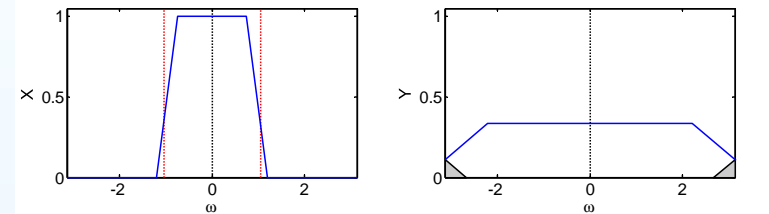
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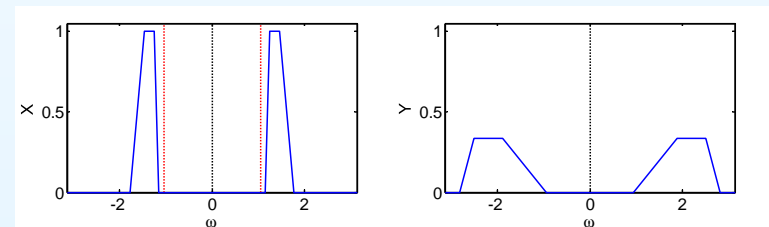
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Energy all in $\frac{\pi}{K} \leq |\omega| < 2\frac{\pi}{K}$

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No aliasing: If all energy is in $r\frac{\pi}{K} \leq |\omega| < (r+1)\frac{\pi}{K}$ for some integer r

Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- **Downsampled Spectrum**
- Power Spectral Density +
- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

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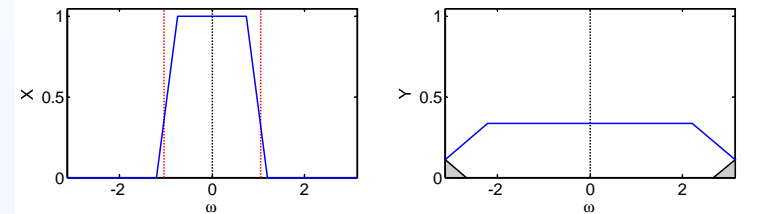
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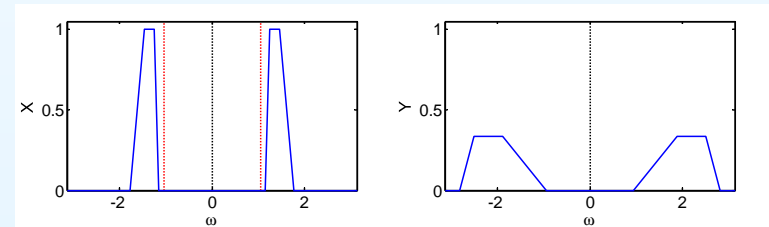
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No aliasing: If all energy is in $r\frac{\pi}{K} \leq |\omega| < (r+1)\frac{\pi}{K}$ for some integer r

Normal case ($r = 0$): If all energy in $0 \leq |\omega| \leq \frac{\pi}{K}$

Downsampled Spectrum

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
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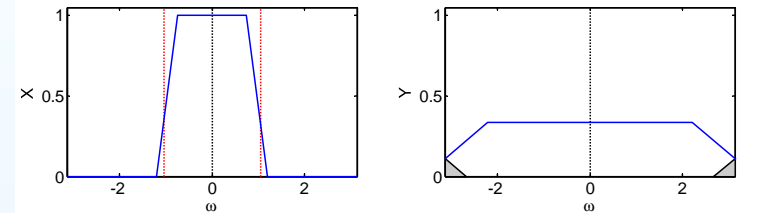
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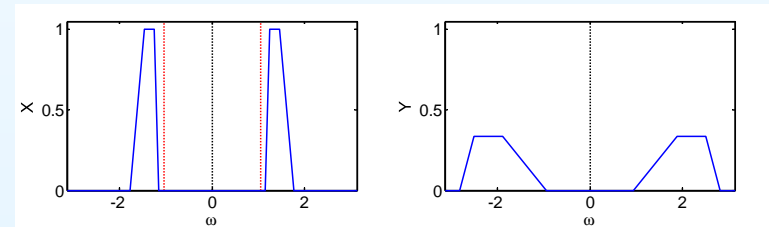
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Normal case ($r = 0$): If all energy in $0 \leq |\omega| \leq \frac{\pi}{K}$

Downsampling: Total **energy** multiplied by $\approx \frac{1}{K}$ ($= \frac{1}{K}$ if no aliasing)

Average **power** \approx unchanged ($=$ energy/sample)

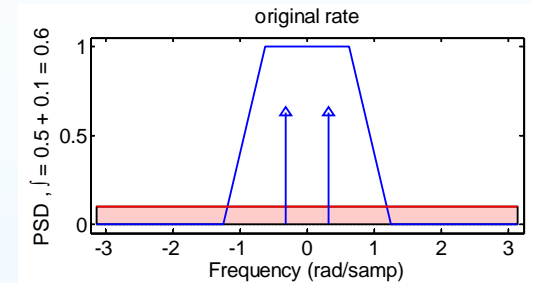
Power Spectral Density



11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
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- **Power Spectral Density** +
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Example: Signal in $\omega \in \pm 0.4\pi$ + Tone @ $\omega = \pm 0.1\pi$ + White noise



Power Spectral Density

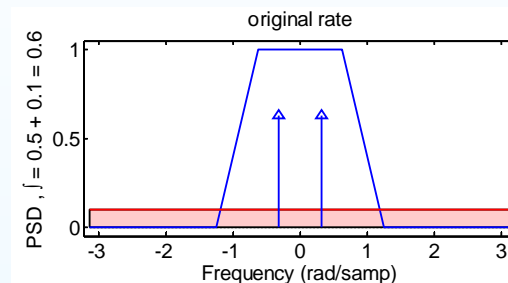


11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- **Power Spectral Density** +
- Perfect Reconstruction
- Commutators
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Example: Signal in $\omega \in \pm 0.4\pi$ + Tone @ $\omega = \pm 0.1\pi$ + White noise

Power = Energy/sample = Average PSD



Power Spectral Density



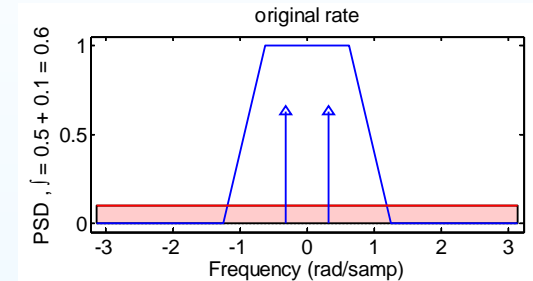
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Example: Signal in $\omega \in \pm 0.4\pi$ + Tone @ $\omega = \pm 0.1\pi$ + White noise

Power = Energy/sample = Average PSD

$$= \frac{1}{2\pi} \int_{-\pi}^{\pi} \text{PSD}(\omega) d\omega$$



Power Spectral Density



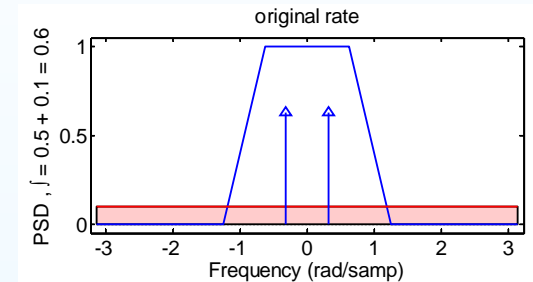
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- Perfect Reconstruction
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Example: Signal in $\omega \in \pm 0.4\pi$ + Tone @ $\omega = \pm 0.1\pi$ + White noise

Power = Energy/sample = Average PSD

$$= \frac{1}{2\pi} \int_{-\pi}^{\pi} \text{PSD}(\omega) d\omega = 0.6$$



Power Spectral Density



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- Perfect Reconstruction
- Commutators
- Summary
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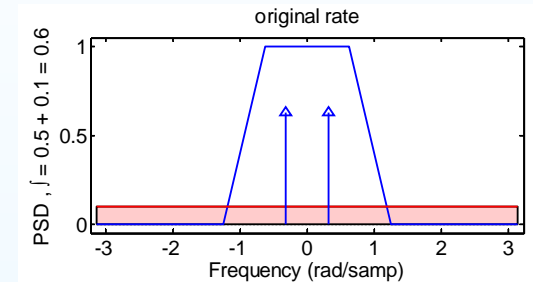
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Power = Energy/sample = Average PSD

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Component powers:

Signal = 0.3, Tone = 0.2, Noise = 0.1



Power Spectral Density



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- Building blocks
- Resampling Cascades
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- Perfect Reconstruction
- Commutators
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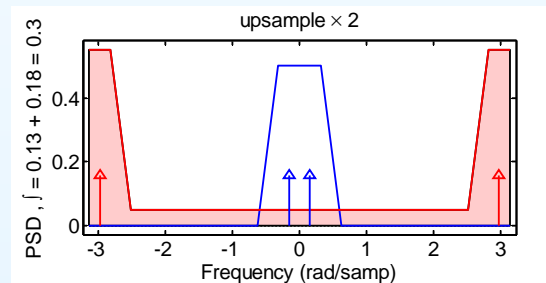
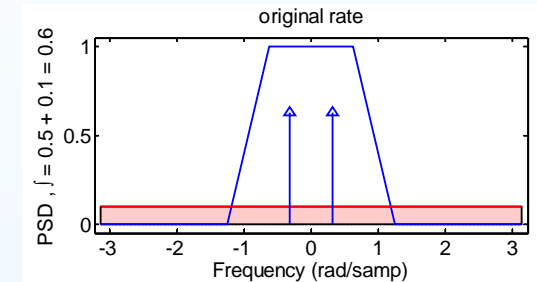
Component powers:

Signal = 0.3, Tone = 0.2, Noise = 0.1

Upsampling:

Same energy
per second

\Rightarrow Power is $\div K$



Power Spectral Density



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- Perfect Reconstruction
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Example: Signal in $\omega \in \pm 0.4\pi$ + Tone @ $\omega = \pm 0.1\pi$ + White noise

Power = Energy/sample = Average PSD

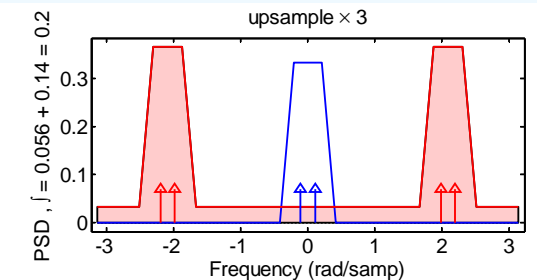
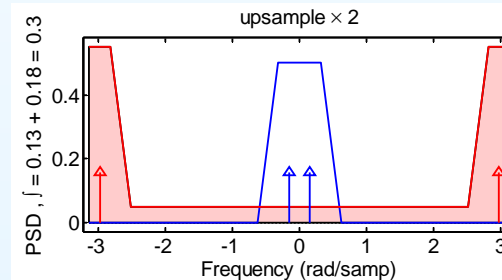
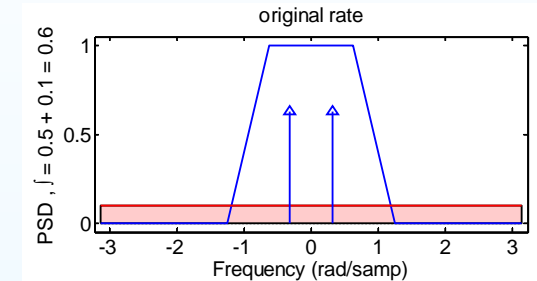
$$= \frac{1}{2\pi} \int_{-\pi}^{\pi} \text{PSD}(\omega) d\omega = 0.6$$

Component powers:

Signal = 0.3, Tone = 0.2, Noise = 0.1

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Power Spectral Density



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- Perfect Reconstruction
- Commutators
- Summary
- MATLAB routines

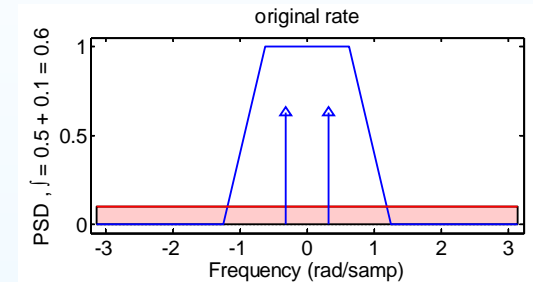
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$$= \frac{1}{2\pi} \int_{-\pi}^{\pi} \text{PSD}(\omega) d\omega = 0.6$$

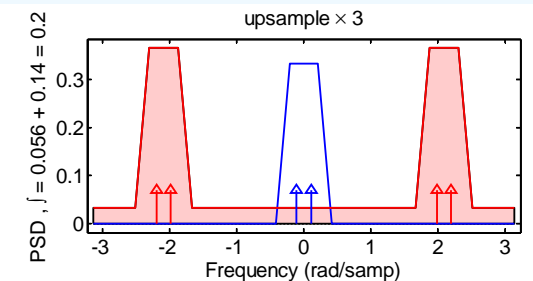
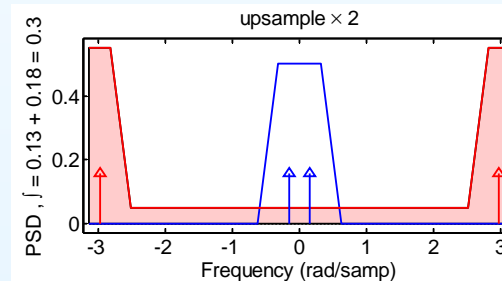
Component powers:

Signal = 0.3, Tone = 0.2, Noise = 0.1



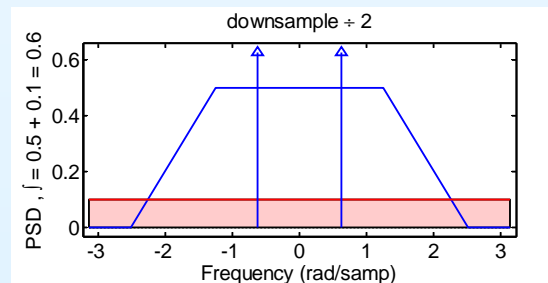
Upsampling:

Same energy
per second
⇒ Power is $\div K$



Downsampling:

Average power
is unchanged.



Power Spectral Density



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- Commutators
- Summary
- MATLAB routines

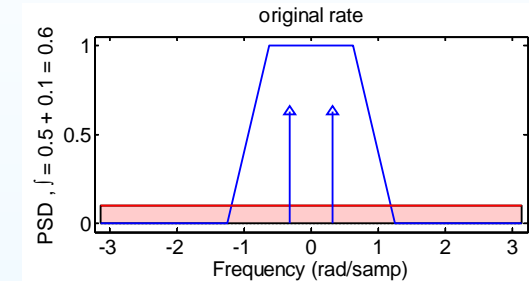
Example: Signal in $\omega \in \pm 0.4\pi$ + Tone @ $\omega = \pm 0.1\pi$ + White noise

Power = Energy/sample = Average PSD

$$= \frac{1}{2\pi} \int_{-\pi}^{\pi} \text{PSD}(\omega) d\omega = 0.6$$

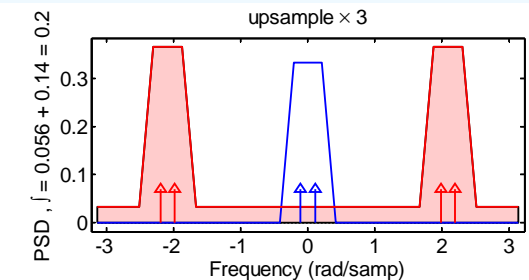
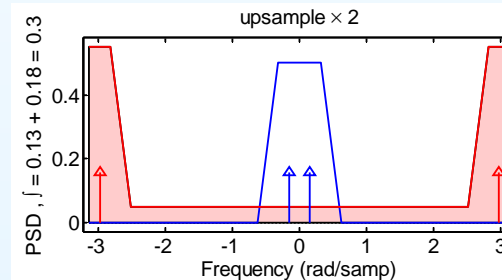
Component powers:

Signal = 0.3, Tone = 0.2, Noise = 0.1



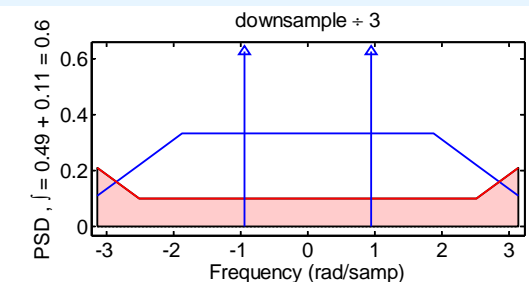
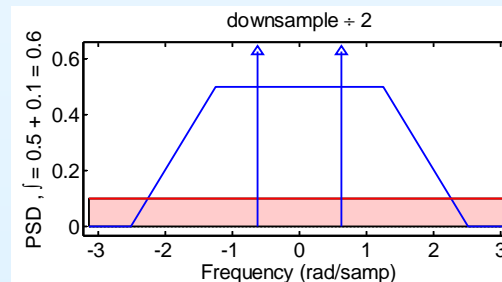
Upsampling:

Same energy
per second
 \Rightarrow Power is $\div K$



Downsampling:

Average power
is unchanged.
 \exists aliasing in
the $\div 3$ case.

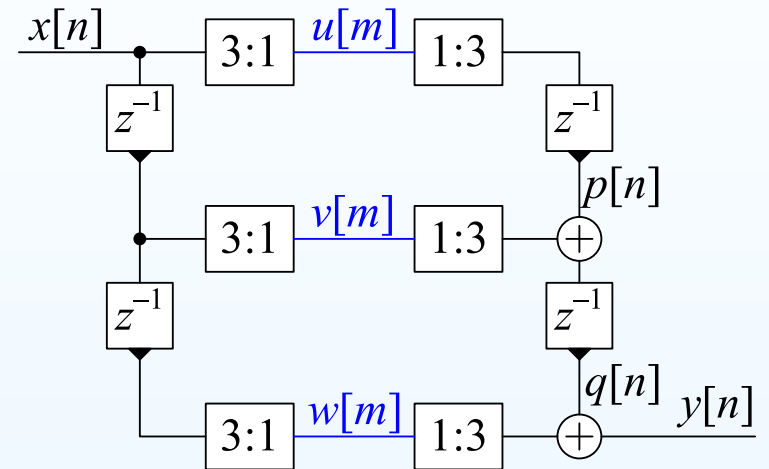


Perfect Reconstruction

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
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- Upsampled z-transform
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- Downsampled Spectrum
- Power Spectral Density +
- **Perfect Reconstruction**
- Commutators
- Summary
- MATLAB routines

$x[n]$ cdefghijklmn

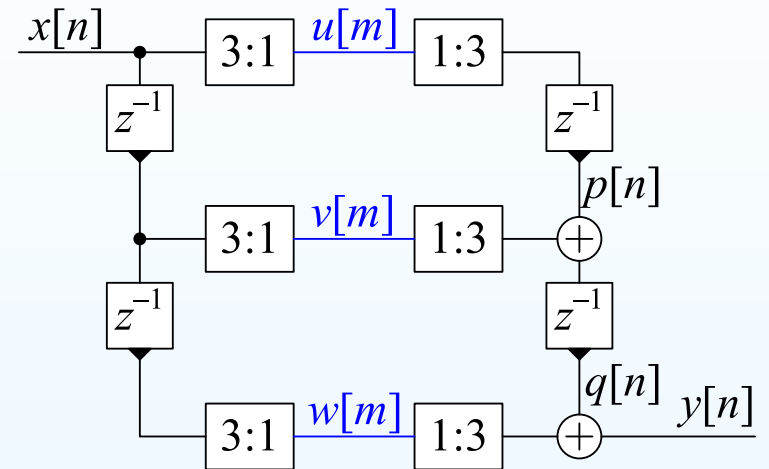


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$x[n]$ c d e f g h i j k l m n
 $u[m]$ c f i l

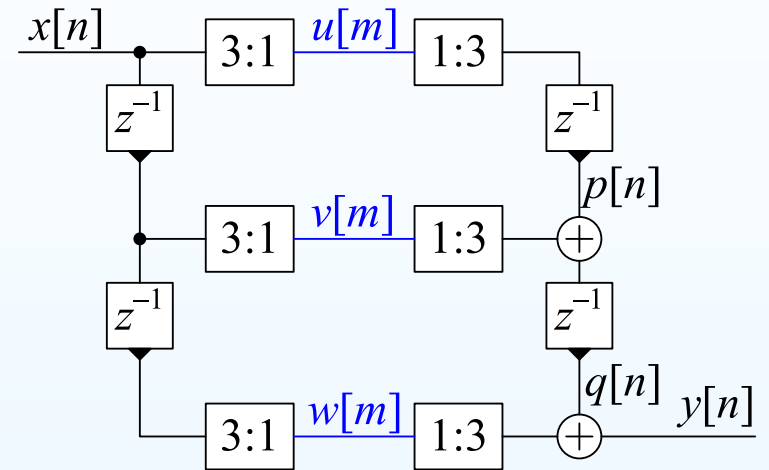


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- **Perfect Reconstruction**
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- Summary
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$x[n]$	cdefghijklmn
$u[m]$	c f i l
$p[n]$	-c--f--i--l

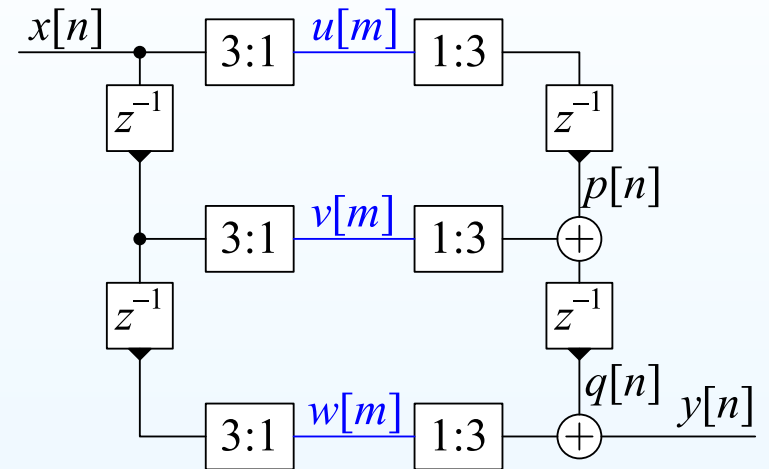


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$x[n]$	c d e f g h i j k l m n
$u[m]$	c f i l
$p[n]$	-c--f--i--l
$v[m]$	b e h k

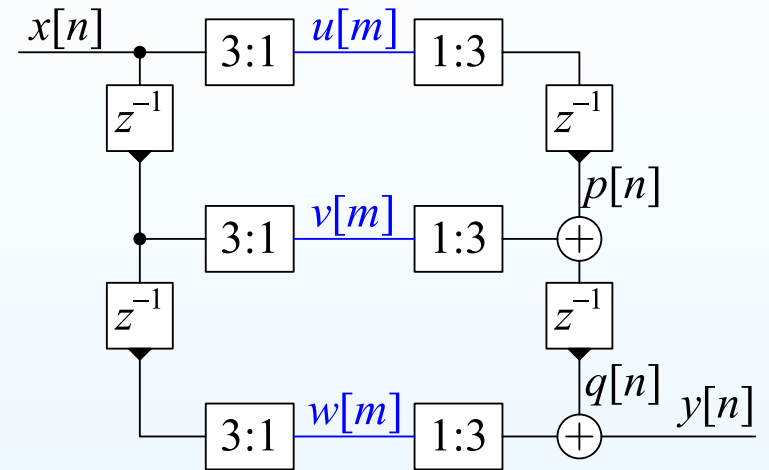


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- Summary
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$x[n]$	c d e f g h i j k l m n
$u[m]$	c f i l
$p[n]$	-c--f--i--l
$v[m]$	b e h k
$q[n]$	-bc-ef-hi-kl

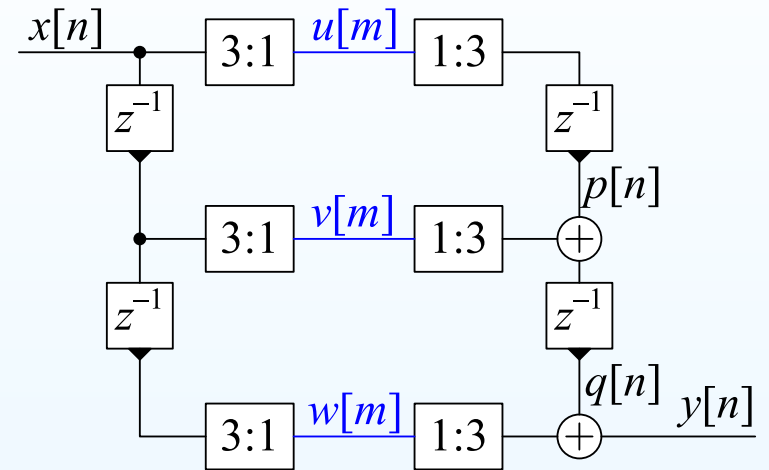


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$u[m]$	c f i l
$p[n]$	-c--f--i--l
$v[m]$	b e h k
$q[n]$	-bc-ef-hi-kl
$w[m]$	a d g j

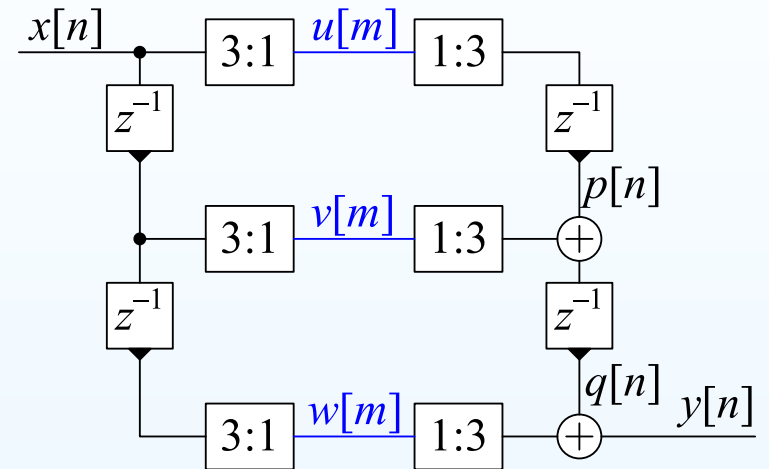


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- Power Spectral Density +
- **Perfect Reconstruction**
- Commutators
- Summary
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$x[n]$	cdefghijklmn
$u[m]$	c f i l
$p[n]$	-c--f--i--l
$v[m]$	b e h k
$q[n]$	-bc-ef-hi-kl
$w[m]$	a d g j
$y[n]$	abcdefghijkl

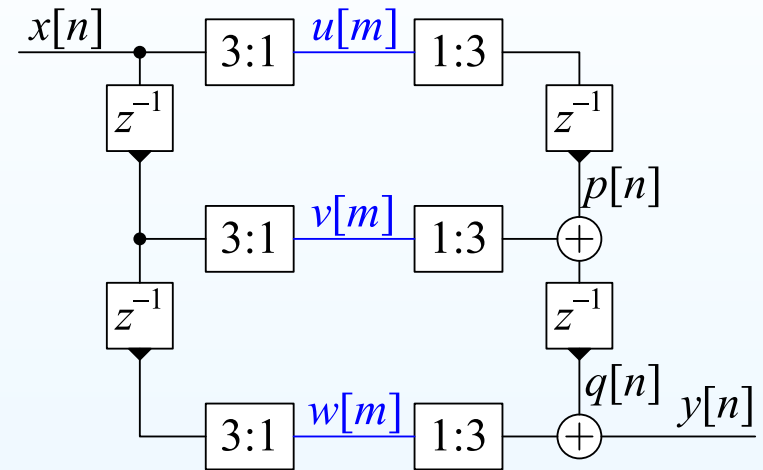


Perfect Reconstruction

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- Building blocks
- Resampling Cascades
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- Upsampled z-transform
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$x[n]$	c d e f g h i j k l m n
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$v[m]$	b e h k
$q[n]$	-bc-ef-hi-kl
$w[m]$	a d g j
$y[n]$	a b c d e f g h i j k l



Input sequence $x[n]$ is split into three streams at $\frac{1}{3}$ the sample rate:

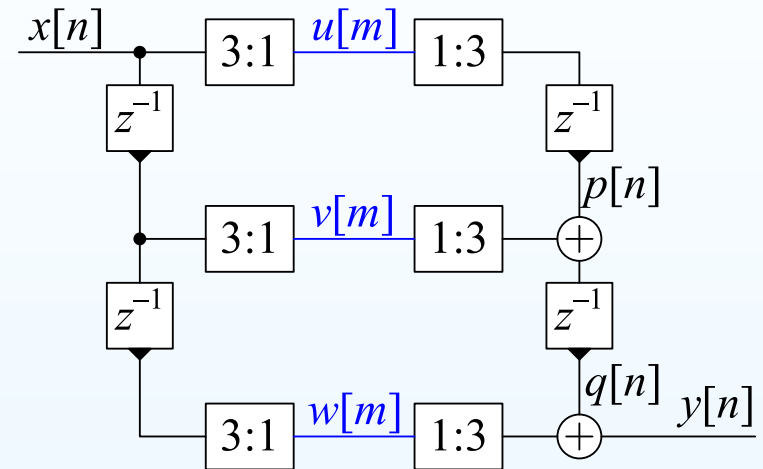
$$u[m] = x[3m], v[m] = x[3m - 1], w[m] = x[3m - 2]$$

Perfect Reconstruction

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- Building blocks
- Resampling Cascades
- Noble Identities
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- Downsampled z-transform
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- Power Spectral Density +
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- Commutators
- Summary
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Input sequence $x[n]$ is split into three streams at $\frac{1}{3}$ the sample rate:

$$u[m] = x[3m], v[m] = x[3m - 1], w[m] = x[3m - 2]$$

Following upsampling, the streams are aligned by the delays and then added to give:

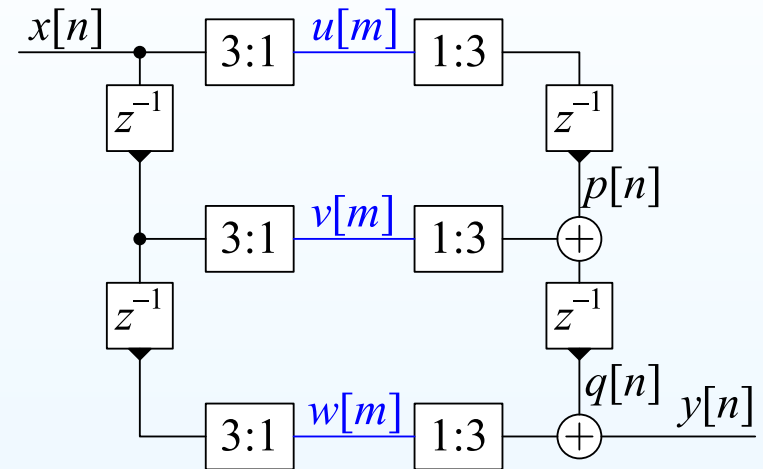
$$y[n] = x[n - 2]$$

Perfect Reconstruction

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- Downsampled z-transform
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- **Perfect Reconstruction**
- Commutators
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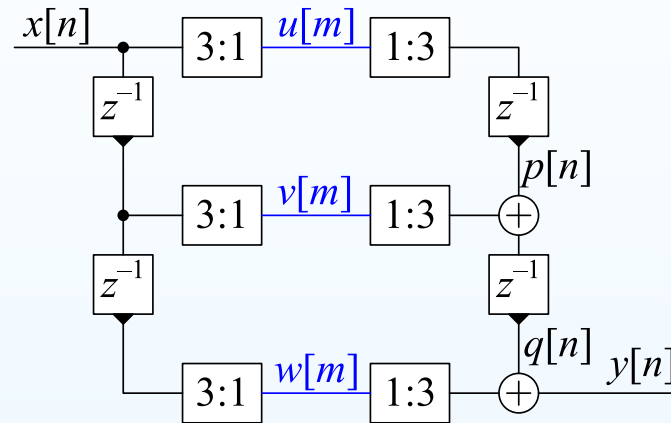
$$y[n] = x[n - 2]$$

Perfect Reconstruction: output is a delayed scaled replica of the input

Commutators

11: Multirate Systems

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- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
- Power Spectral Density +
- Perfect Reconstruction
- **Commutators**
- Summary
- MATLAB routines

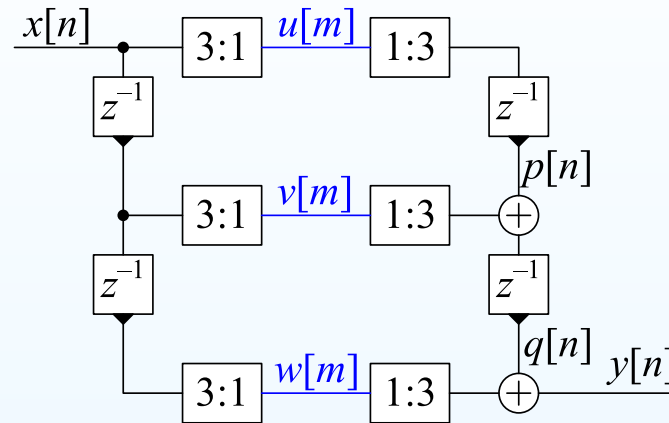


$x[n]$	c d e f g h i j k l m n			
$u[m]$	c	f	i	l
$v[m]$	b	e	h	k
$w[m]$	a	d	g	j
$y[n]$	a b c d e f g h i j k l			

Commutators

11: Multirate Systems

- Multirate Systems
- Building blocks
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- Noble Identities
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- Upsampled z-transform
- Downsampled z-transform
- Downsampled Spectrum
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- Summary
- MATLAB routines



$x[n]$ c d e f g h i j k l m n

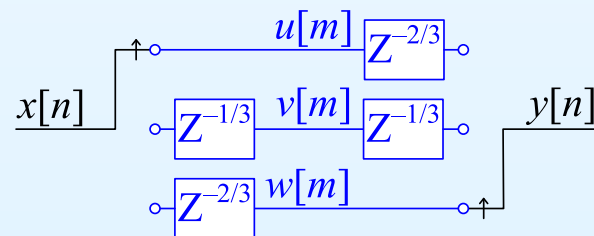
$u[m]$ c f i l

$v[m]$ b e h k

$w[m]$ a d g j

$y[n]$ a b c d e f g h i j k l

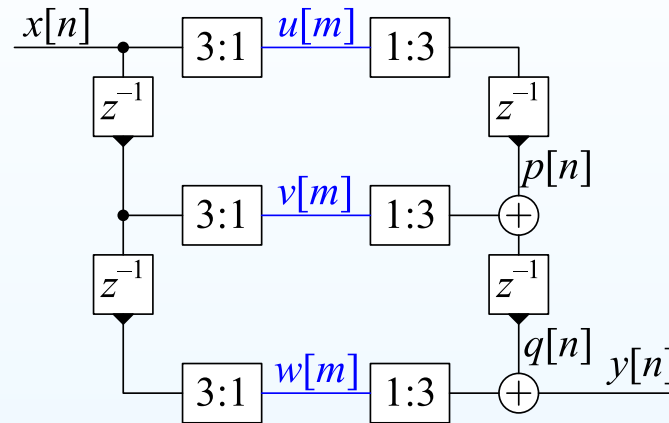
The combination of delays and downsamplers can be regarded as a **commutator** that **distributes values in sequence** to u , w and v .



Commutators

11: Multirate Systems

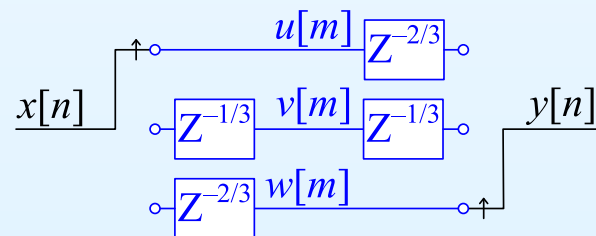
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- **Commutators**
- Summary
- MATLAB routines



$x[n]$	c d e f g h i j k l m n			
$u[m]$	c	f	i	l
$v[m]$	b	e	h	k
$w[m]$	a	d	g	j

$y[n]$	a b c d e f g h i j k l										
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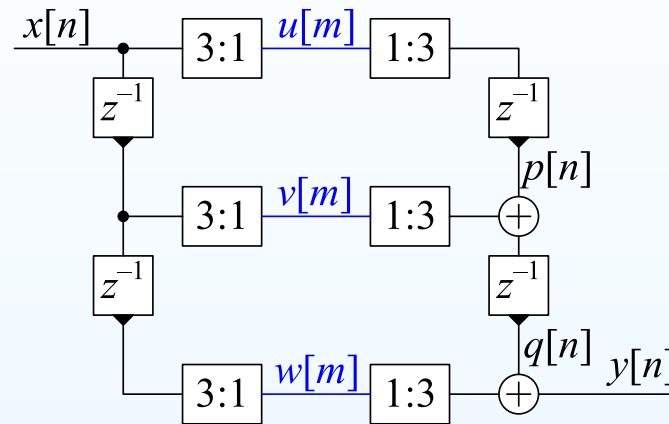
The combination of delays and downsamplers can be regarded as a **commutator** that **distributes values in sequence** to u , w and v . Fractional delays, $z^{-\frac{1}{3}}$ and $z^{-\frac{2}{3}}$ are needed to synchronize the streams.



Commutators

11: Multirate Systems

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- MATLAB routines



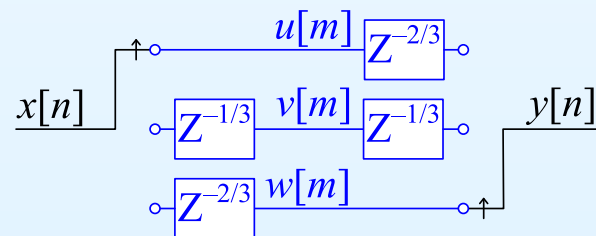
$x[n]$	c d e f g h i j k l m n			
$u[m]$	c	f	i	l
$v[m]$	b	e	h	k
$w[m]$	a	d	g	j

$y[n]$	a b c d e f g h i j k l										
--------	-------------------------	--	--	--	--	--	--	--	--	--	--

The combination of delays and downsamplers can be regarded as a **commutator** that **distributes values in sequence** to u , w and v .

Fractional delays, $z^{-\frac{1}{3}}$ and $z^{-\frac{2}{3}}$ are needed to synchronize the streams.

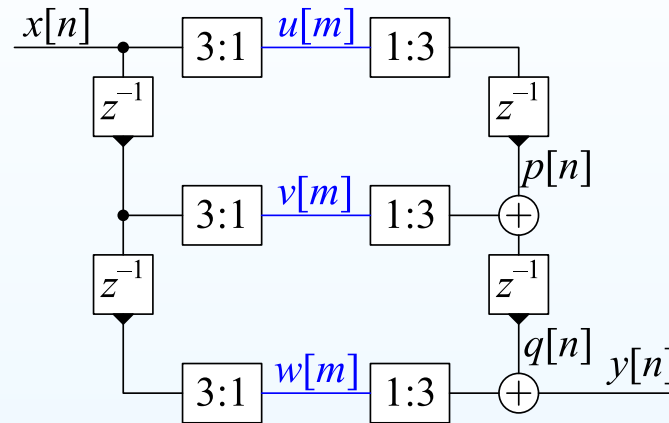
The **output commutator** takes values from the streams in sequence.



Commutators

11: Multirate Systems

- Multirate Systems
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- **Commutators**
- Summary
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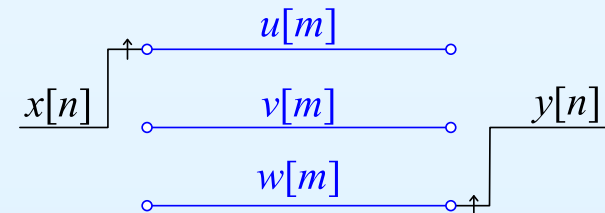
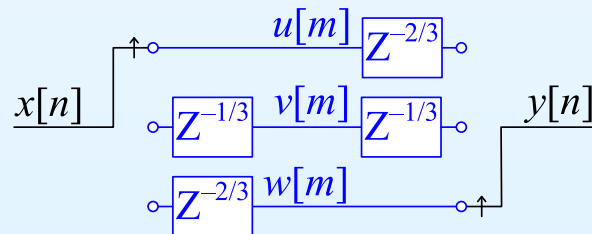
$x[n]$	c	d	e	f	g	h	i	j	k	l	m	n				
$u[m]$				c			f			i		l				
$v[m]$							b			e		h	k			
$w[m]$										a		d	g	j		
$v[m + \frac{1}{3}]$												e	h	k	l	
$w[m + \frac{2}{3}]$													d	g	j	m
$y[n]$	a	b	c	d	e	f	g	h	i	j	k	l				

The combination of delays and downsamplers can be regarded as a **commutator** that **distributes values in sequence** to u , w and v .

Fractional delays, $z^{-\frac{1}{3}}$ and $z^{-\frac{2}{3}}$ are needed to synchronize the streams.

The **output commutator** takes values from the streams in sequence.

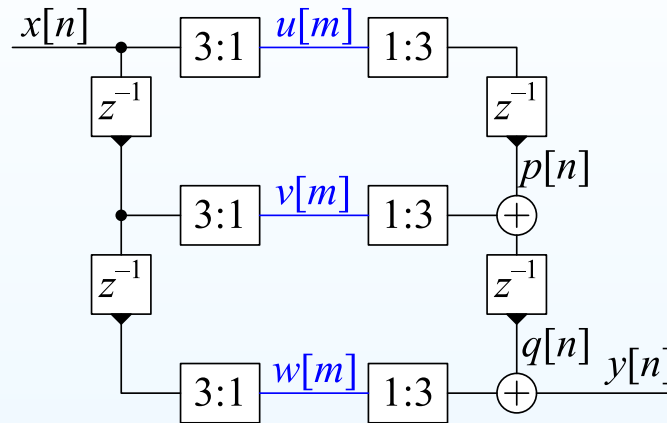
For clarity, we omit the fractional delays and regard each terminal, \circ , as holding its value until needed.



Commutators

11: Multirate Systems

- Multirate Systems
- Building blocks
- Resampling Cascades
- Noble Identities
- Noble Identities Proof
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- Downsampled z-transform
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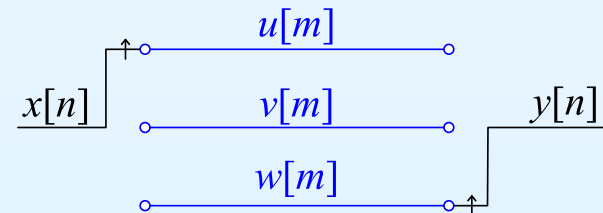
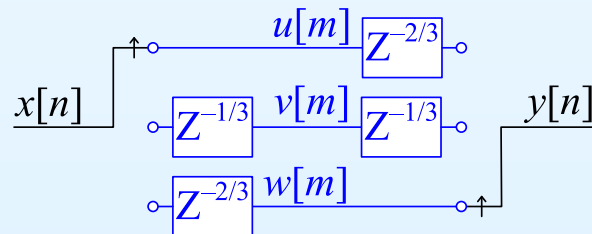
$x[n]$	c	d	e	f	g	h	i	j	k	l	m	n			
$u[m]$				c			f			i		l			
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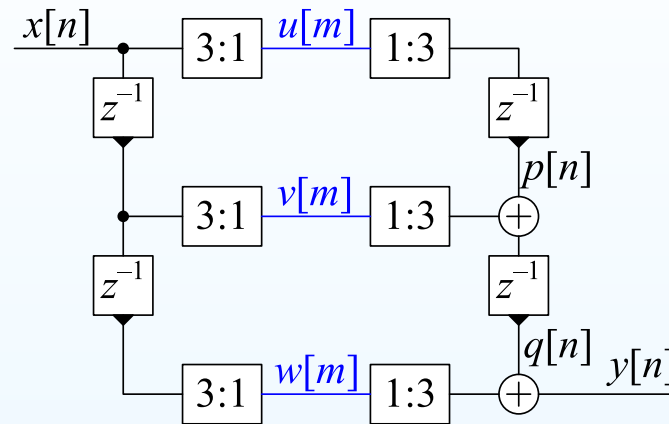
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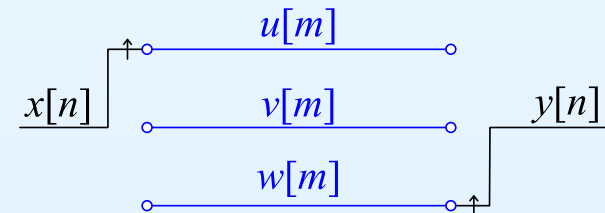
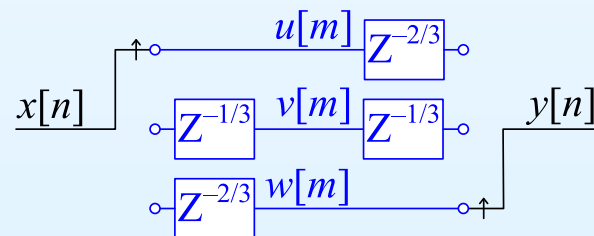
$x[n]$	c	d	e	f	g	h	i	j	k	l	m	n			
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$v[m]$							b			e		h	k		
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The commutator direction is **against the direction** of the z^{-1} delays.

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- Multirate Building Blocks

- **Upsample:** $X(z) \xrightarrow{1:K} X(z^K)$

Invertible, Inserts $K - 1$ zeros between samples

Shrinks and replicates spectrum

Follow by LP filter to remove images

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Destroys information and energy, keeps every K^{th} sample

Expands and aliases the spectrum

Spectrum is the average of K aliased expanded versions

Precede by LP filter to prevent aliases

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For further details see Mitra: 13.

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resample

change sampling rate