

# Physics-Based Machine Learning for Fiber-Optic Communication Systems

Christian Häger

Department of Electrical Engineering, Chalmers University of Technology, Sweden

Workshop on Machine Learning and Optical Systems  
(Boston Chapter of the IEEE Photonics Society)  
October 28, 2020



**CHALMERS**

**FORCE**  
FIBER-OPTIC COMMUNICATIONS  
RESEARCH CENTER

# Thank You!



**Henry D. Pfister**  
Duke



**Christoffer Fougstedt**  
Chalmers (now: Ericsson)



**Lars Svensson**  
Chalmers



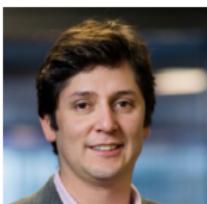
**Per Larsson-Edefors**  
Chalmers



**Rick M. Bütler**  
TU/e (now: TU Delft)



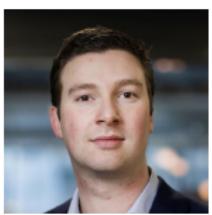
**Gabriele Liga**  
TU/e



**Alex Alvarado**  
TU/e



**Vinícius Oliari**  
TU/e



**Sebastiaan Goossens**  
TU/e



**Menno van den Hout**  
TU/e

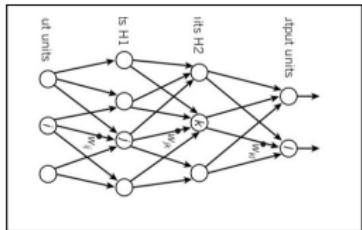


**Sjoerd van der Heide**  
TU/e

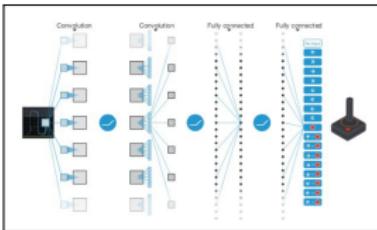


**Chigo Okonkwo**  
TU/e

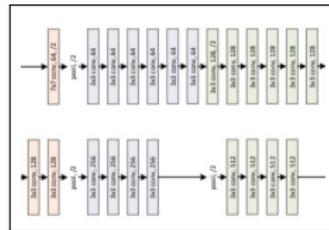
Deep Learning [LeCun et al., 2015]



Deep Q-Learning [Mnih et al., 2015]

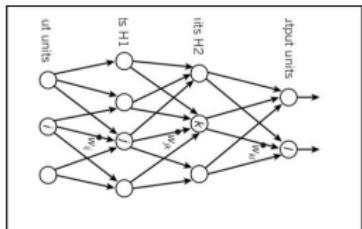


ResNet [He et al., 2015]

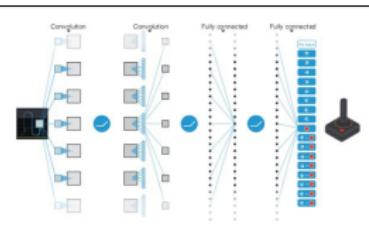


Multi-layer neural networks: impressive performance, countless applications

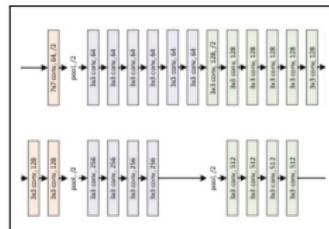
## Deep Learning [LeCun et al., 2015]



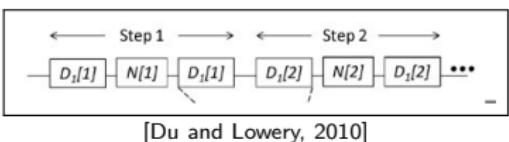
## Deep Q-Learning [Mnih et al., 2015]



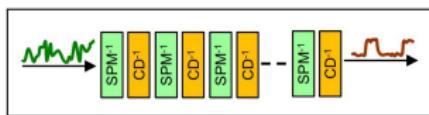
## ResNet [He et al., 2015]



Multi-layer neural networks: impressive performance, countless applications



[Du and Lowery, 2010]



[Nakashima et al., 2017]

Split-step methods for solving the propagation equation in fiber-optics

# Agenda

In this talk, we ...

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In this talk, we ...

1. show that multi-layer neural networks and the split-step method have the same functional form: both alternate linear and pointwise nonlinear steps
2. propose a physics-based machine-learning approach based on parameterizing the split-step method (no black-box neural networks)
3. revisit hardware-efficient nonlinear equalization via learned digital backpropagation

# Outline

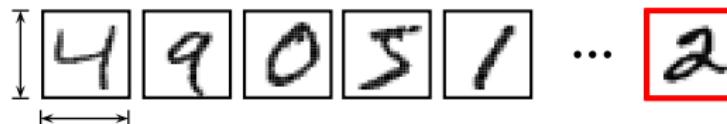
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4. Polarization-Dependent Effects
5. Wideband Signals
6. Conclusions

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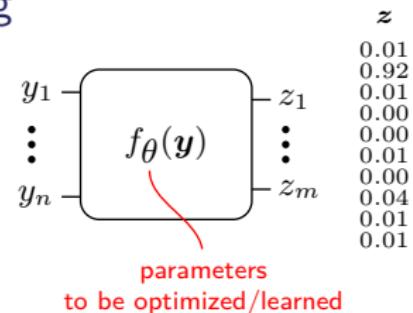
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## Supervised Learning

handwritten digit recognition (MNIST: 70,000 images)

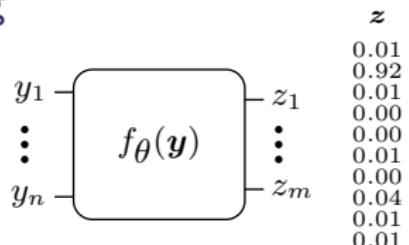


$28 \times 28$  pixels  $\implies n = 784$

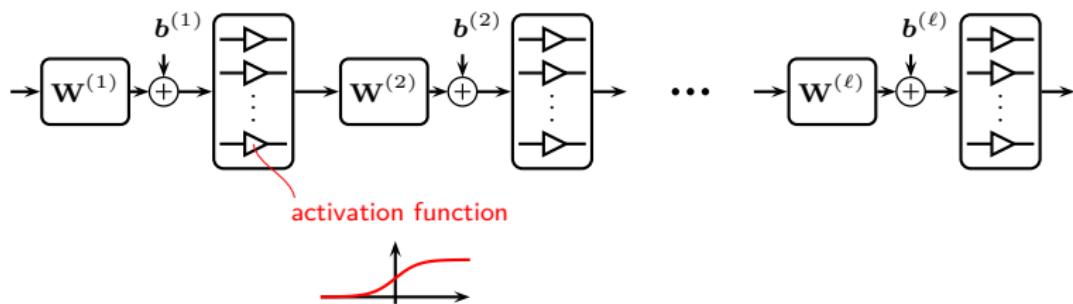


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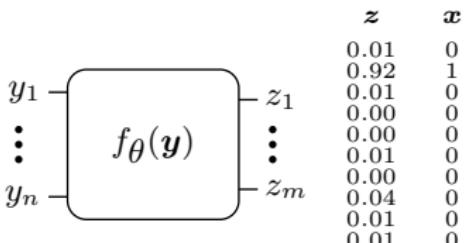


How to choose  $f_\theta(y)$ ? Deep feed-forward neural networks

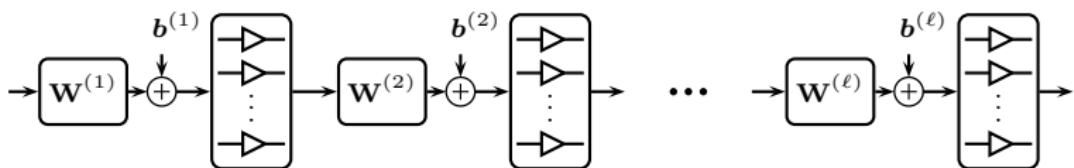


## Supervised Learning

handwritten digit recognition (MNIST: 70,000 images)



How to choose  $f_\theta(y)$ ? Deep feed-forward neural networks



How to optimize  $\theta = \{W^{(1)}, \dots, W^{(\ell)}, b^{(1)}, \dots, b^{(\ell)}\}$ ? Deep learning

$$\min_{\theta} \sum_{i=1}^N \text{Loss}(f_{\theta}(y^{(i)}), x^{(i)}) \triangleq g(\theta) \quad \text{using} \quad \theta_{k+1} = \theta_k - \lambda \nabla_{\theta} g(\theta_k) \quad (1)$$

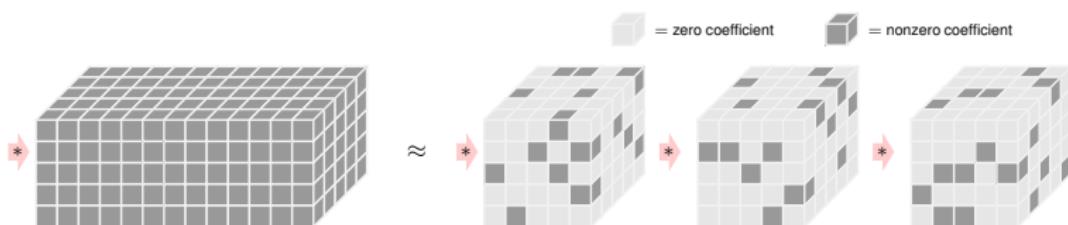
mean squared error  
cross-entropy, ...

stochastic gradient descent,  
RMSProp, Adam, ...

# Why Deep Models?

Many possible answers

One advantage is complexity: **deep computation graphs** tend to be **more parameter efficient than shallow graphs** [Lin et al., 2017]



- **Sparsity** can emerge due to **(approximate) factorization** (even for linear models, e.g., FFT)
- Deep computation graphs allow for **very simple elementary steps**
- Deep models typically have **many “good” parameter configurations** that are close to each other  $\implies$  **robustness** to, e.g., quantization noise

# Machine Learning for Physical-Layer Communications



# Machine Learning for Physical-Layer Communications



- 
- [Shen and Lau, 2011], Fiber nonlinearity compensation using extreme learning machine for DSP-based ..., (*OECC*)  
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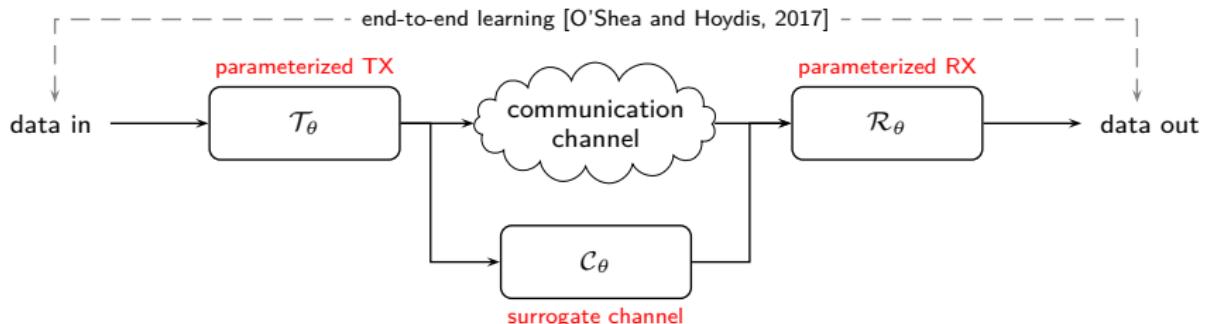


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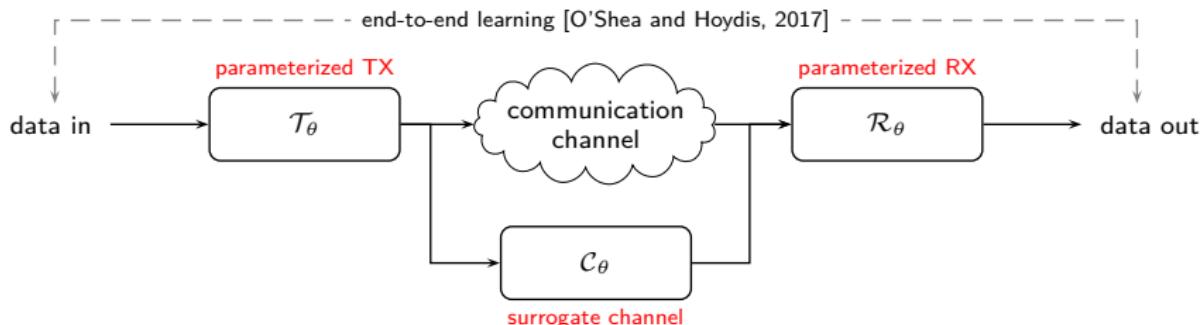
[—]

[O'Shea et al., 2018]. Approximating the void: Learning stochastic channel models from observation with variational GANs. (*arXiv*)

[Ye et al., 2018]. Channel agnostic end-to-end learning based communication systems with conditional GAN. (*arXiv*)

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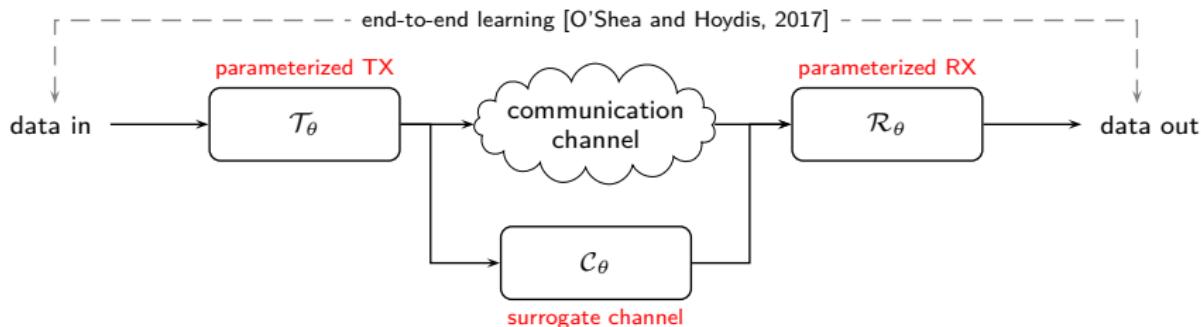
# Machine Learning for Physical-Layer Communications



Using (deep) neural networks for  $T_\theta, R_\theta, C_\theta$

- How to choose **network architecture** (#layers, activation function)?
- How to **initialize** parameters?
- How to **interpret** solutions? Any **insight** gained?
- ...

Machine Learning for Physical-Layer Communications



## Using (deep) neural networks for $\mathcal{T}_\theta, \mathcal{R}_\theta, \mathcal{C}_\theta$

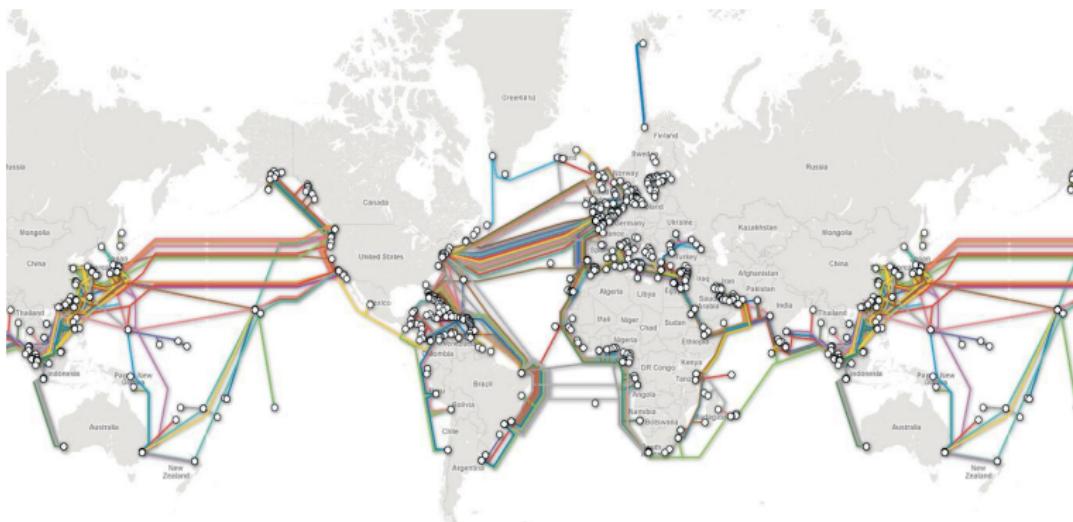
- How to choose network architecture (#layers, activation function)? X
  - How to initialize parameters? X
  - How to interpret solutions? Any insight gained? X
  - All

**Model-based learning:** sparse signal recovery [Gregor and LeCun, 2010], [Borgerding and Schniter, 2016], neural belief propagation [Nachmani et al., 2016], radio transformer networks [O’Shea and Hoydis, 2017], . . .

# Outline

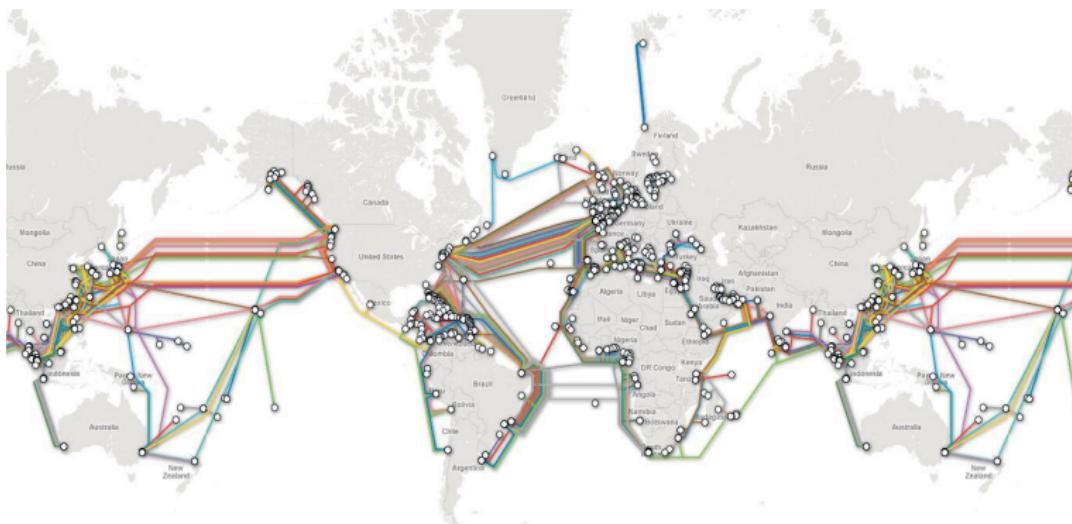
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Fiber-optic systems enable **data traffic over very long distances** connecting cities, countries, and continents.

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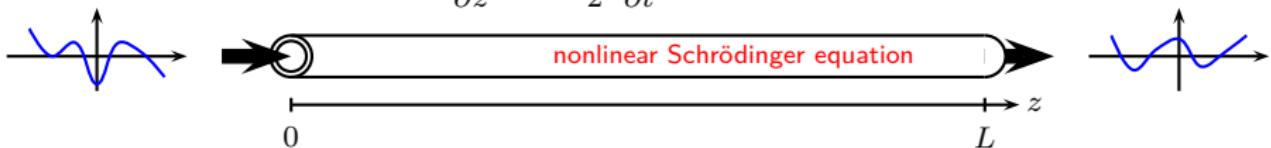


Fiber-optic systems enable **data traffic over very long distances** connecting cities, countries, and continents.

- **Dispersion:** different wavelengths travel at different speeds (linear)
- **Kerr effect:** refractive index changes with signal intensity (nonlinear)

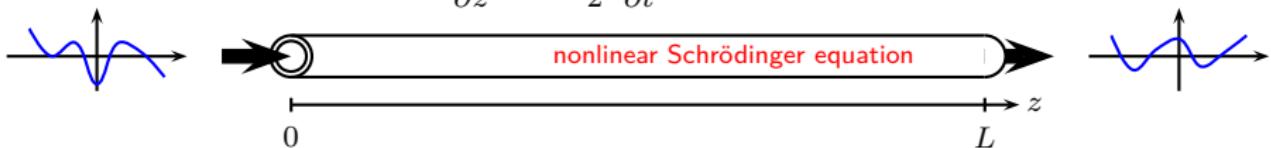
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$$\frac{\partial u}{\partial z} = -j \frac{\beta_2}{2} \frac{\partial^2 u}{\partial t^2} + \gamma u |u|^2$$



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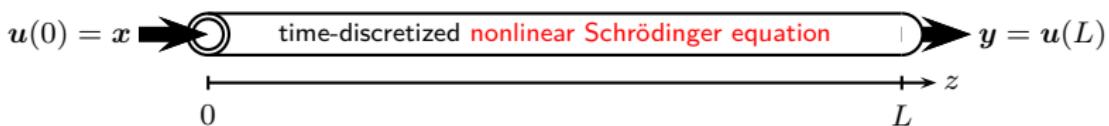
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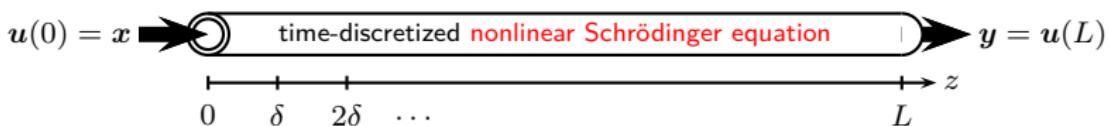
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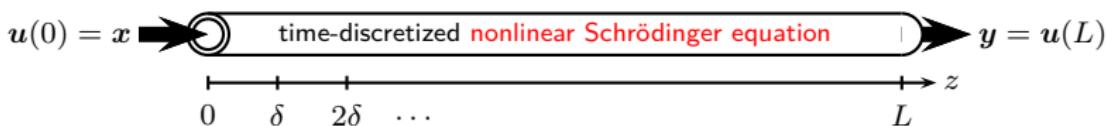
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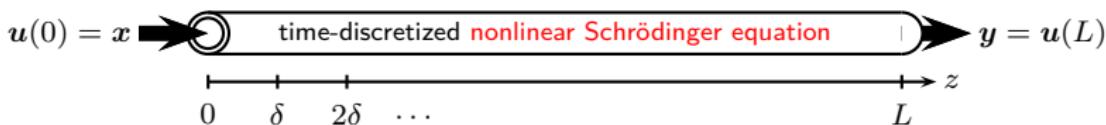
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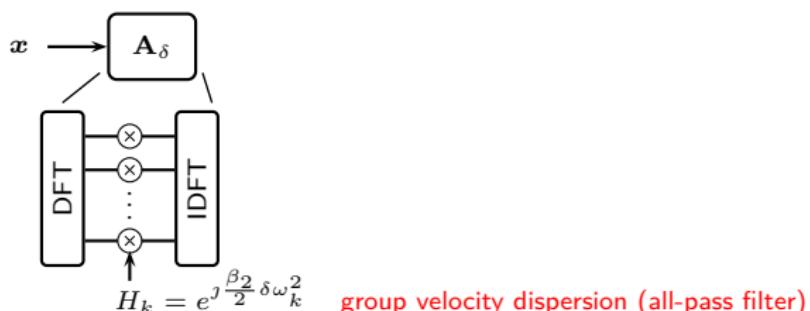
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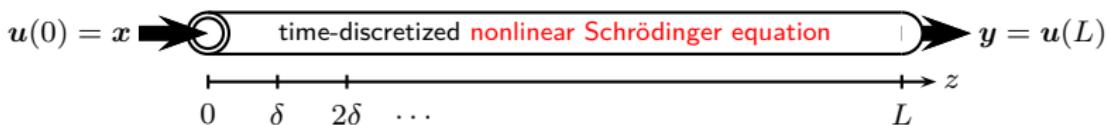


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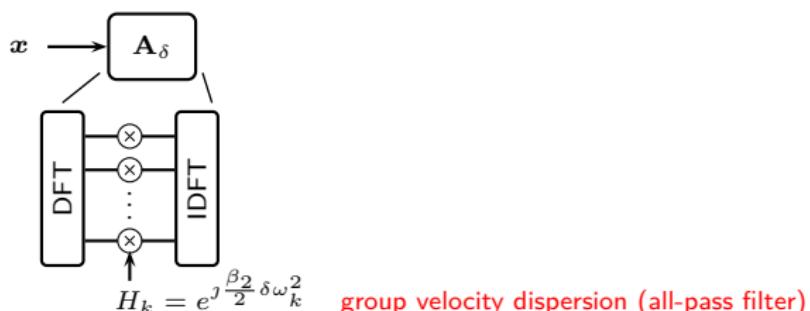


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$$\frac{du(z)}{dz} = + \gamma \rho(u(z)) \quad \rho(x) = |x|^2 x \text{ element-wise}$$

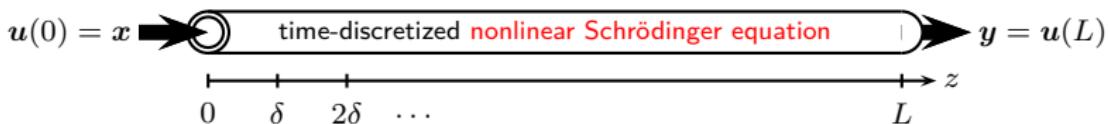


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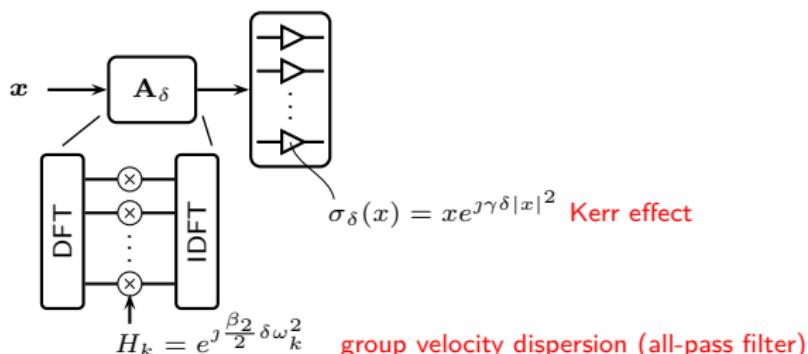


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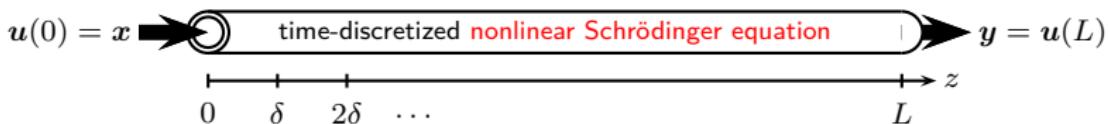


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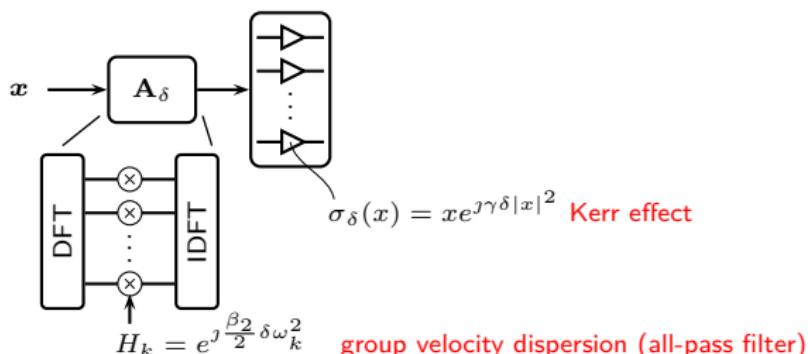


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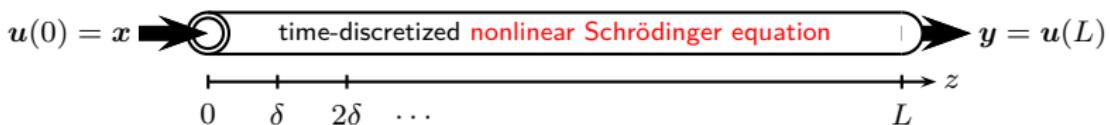


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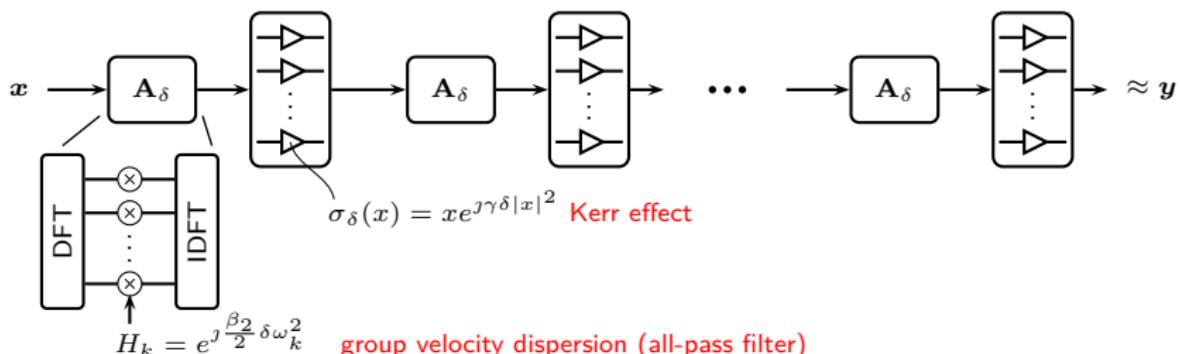


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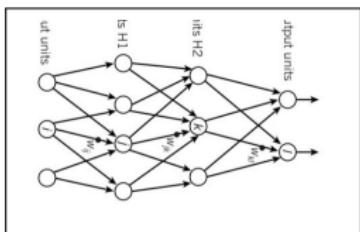
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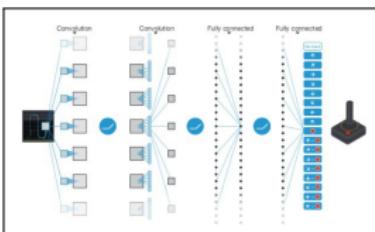
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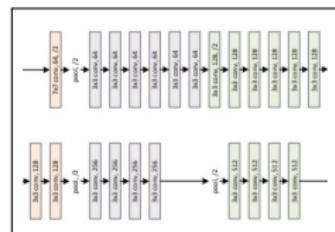
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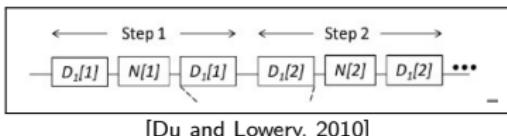
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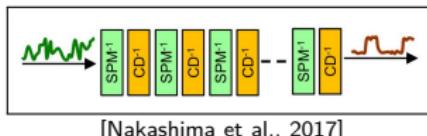
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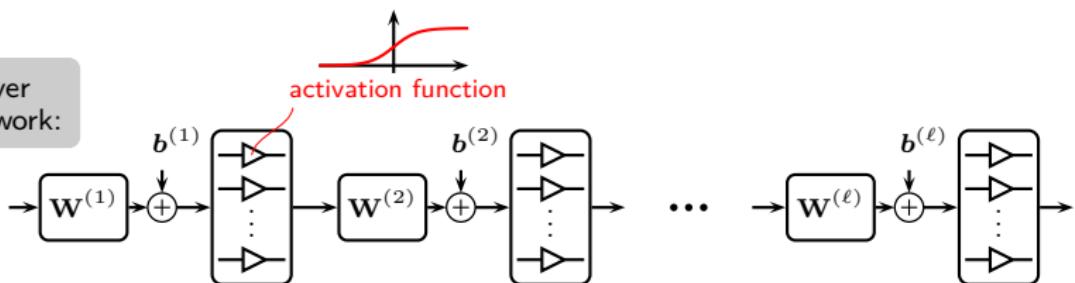
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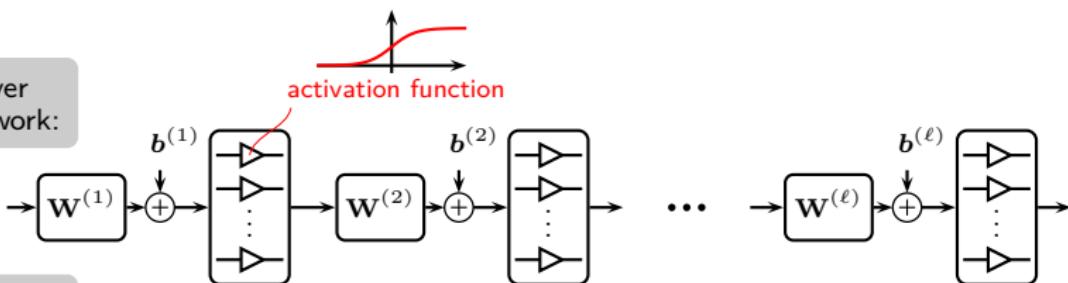
## Parameterizing the Split-Step Method

multi-layer  
neural network:

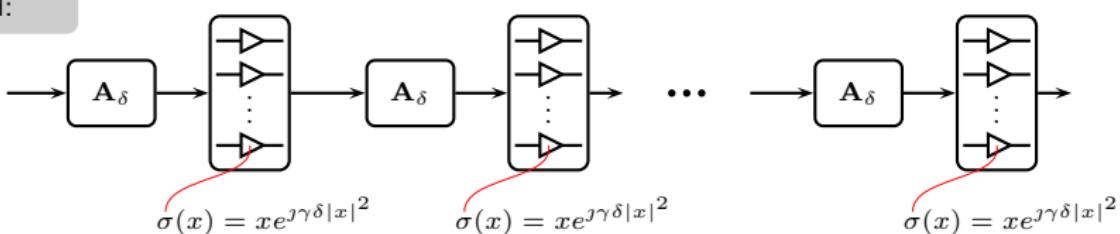


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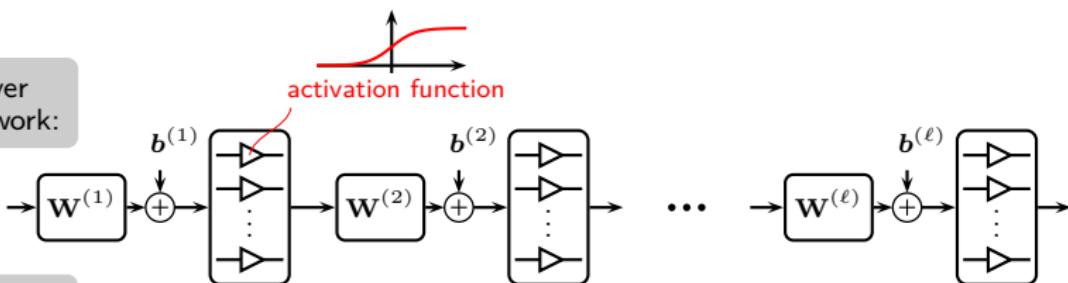


split-step  
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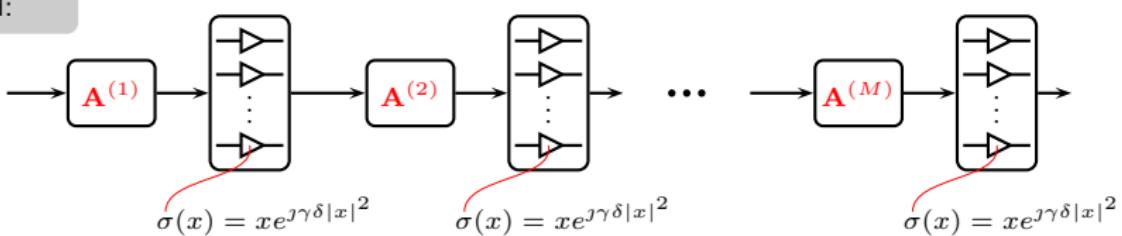


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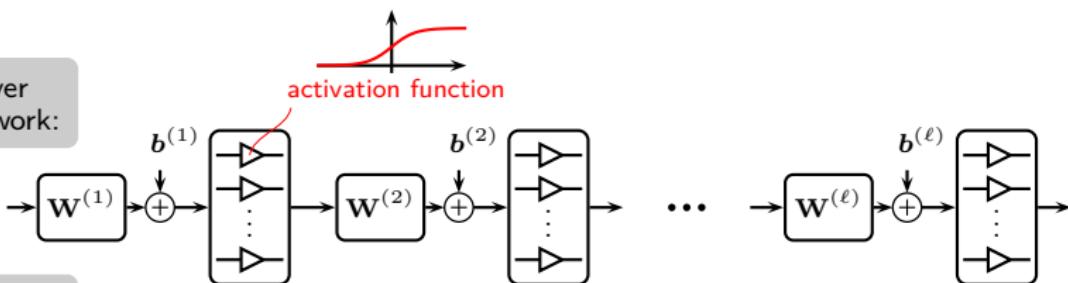


[Häger & Pfister, 2018], Nonlinear Interference Mitigation via Deep Neural Networks, (OFC)

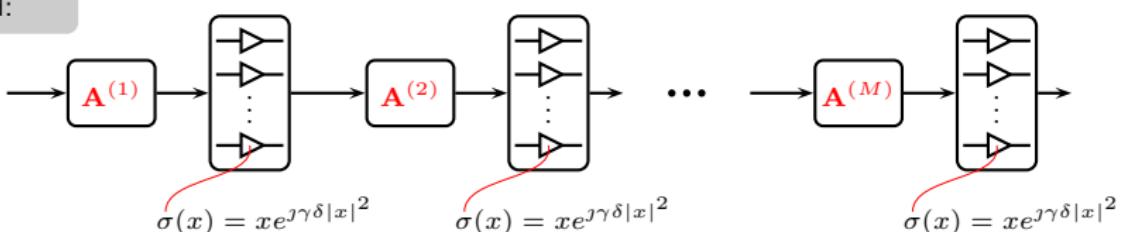
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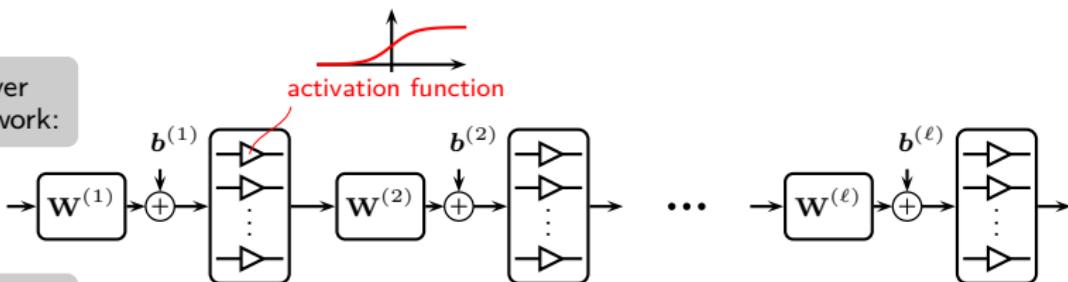
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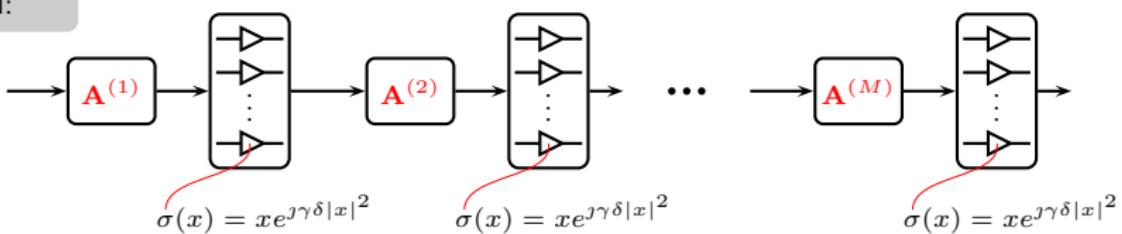
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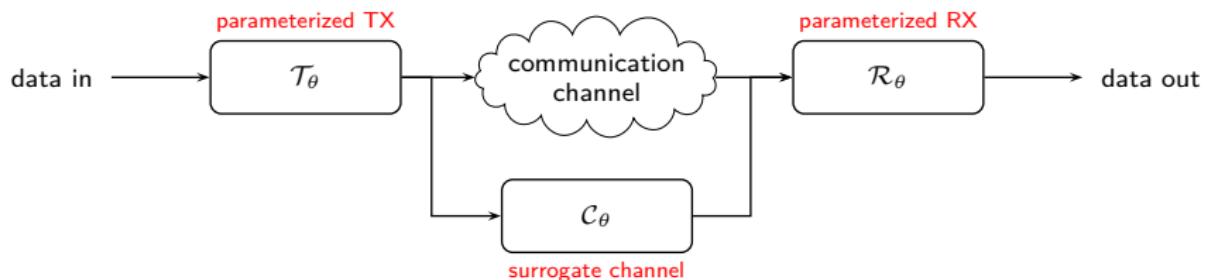


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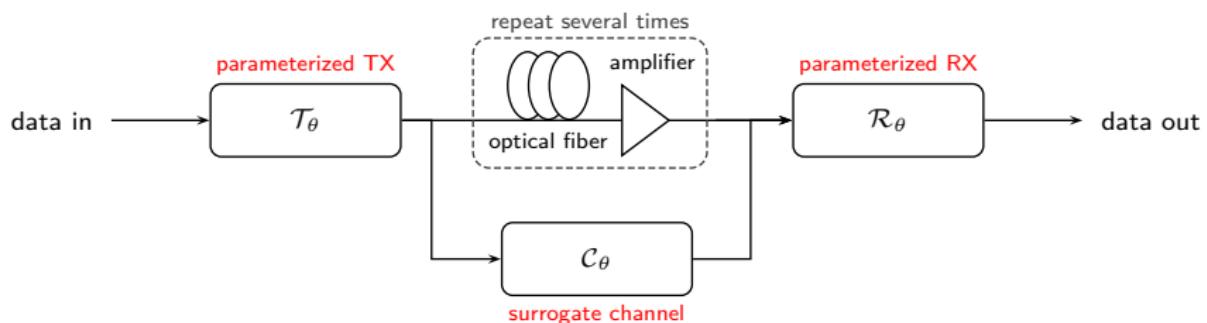


- Parameterized model  $f_\theta$  with  $\theta = \{\mathbf{A}^{(1)}, \dots, \mathbf{A}^{(M)}\}$
- Includes as special cases: step-size optimization, “placement” of nonlinear operator, higher-order dispersion, matched filtering ...

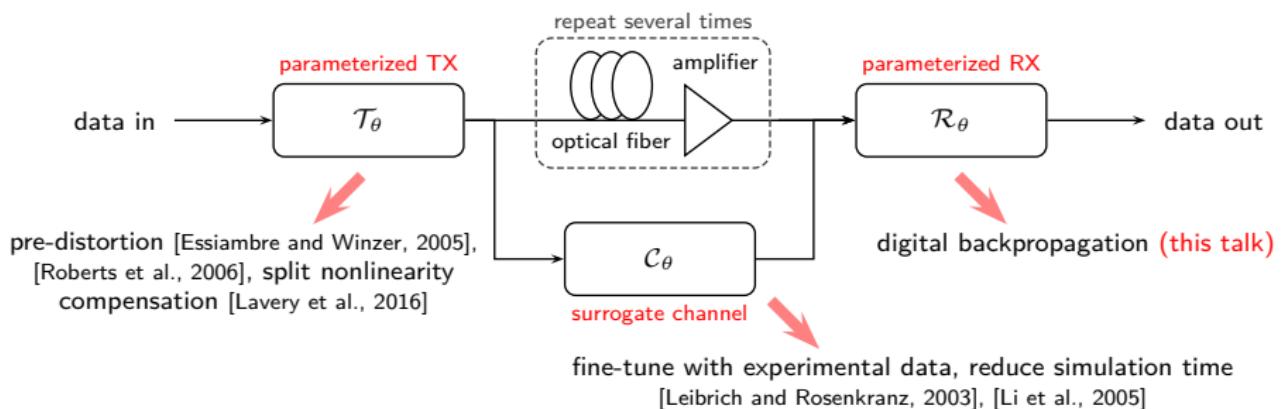
## Possible Applications



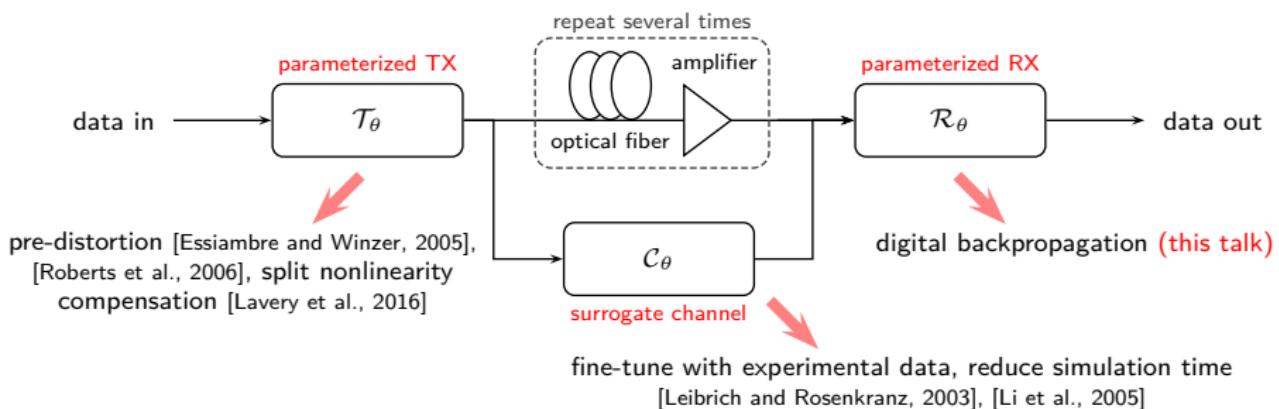
## Possible Applications



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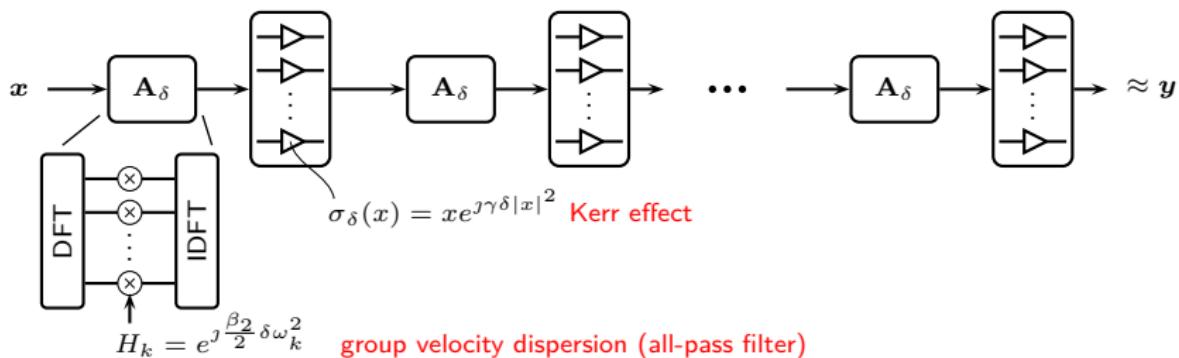
### Physics/model-based learning approaches

- How to choose **network architecture** (#layers, activation function)? ✓
- How to **initialize** parameters? ✓
- How to **interpret** solutions? Any **insight** gained? ✓

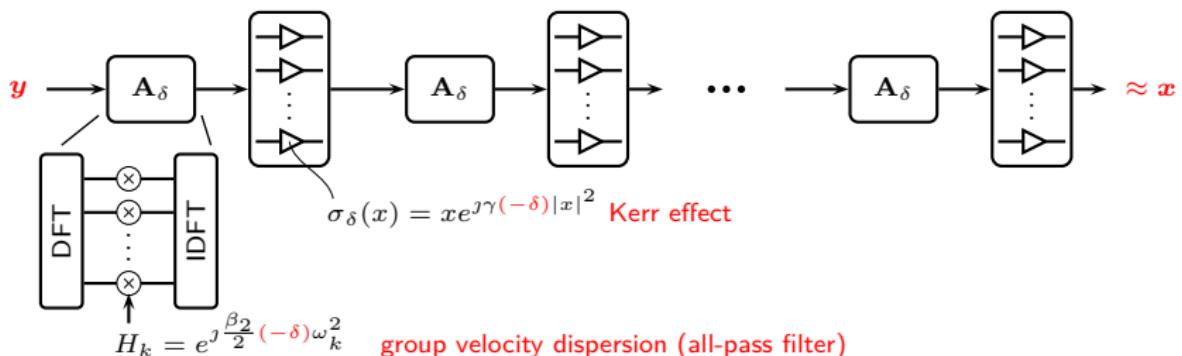
# Outline

1. Machine Learning and Neural Networks for Communications
2. Physics-Based Machine Learning for Fiber-Optic Communications
3. Learned Digital Backpropagation
4. Polarization-Dependent Effects
5. Wideband Signals
6. Conclusions

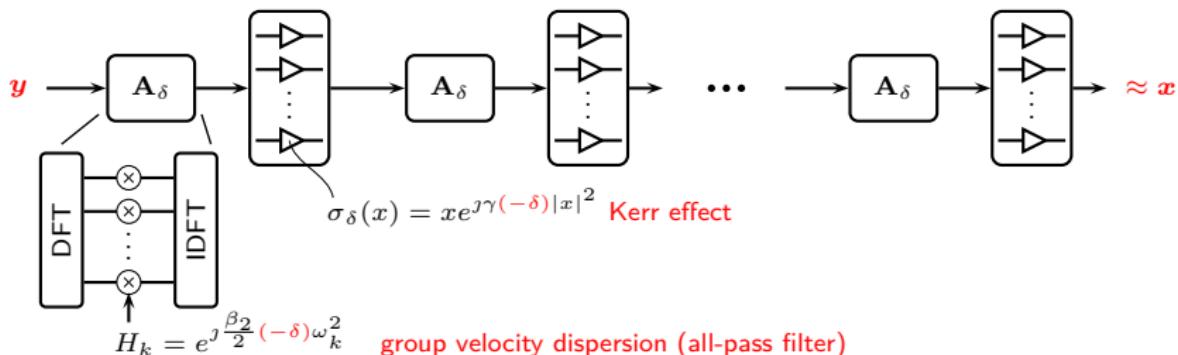
## Digital Backpropagation



## Digital Backpropagation

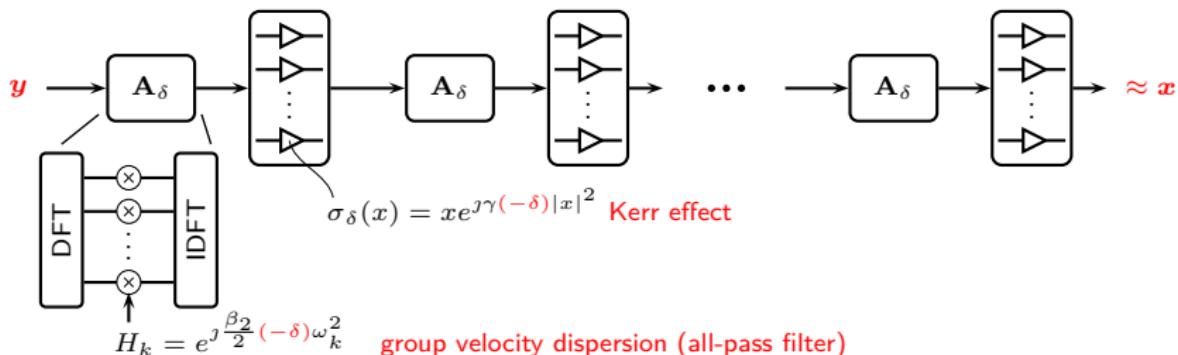


## Digital Backpropagation



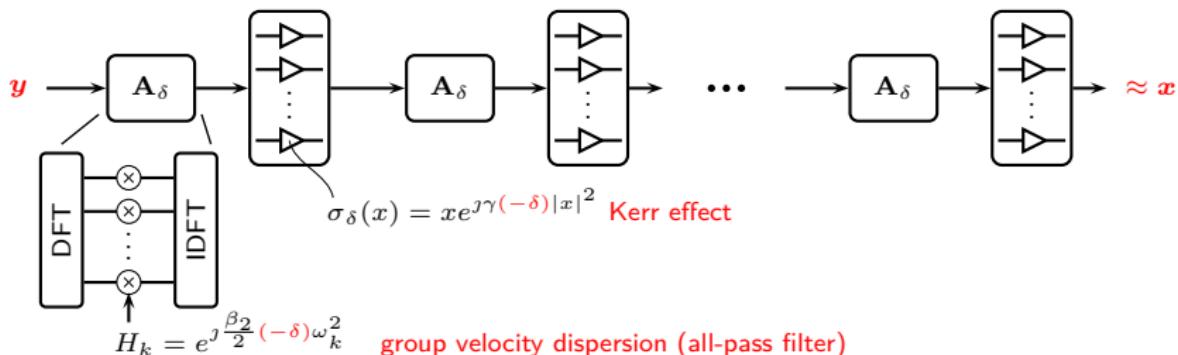
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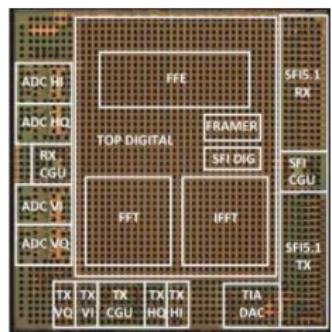
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## Digital Backpropagation



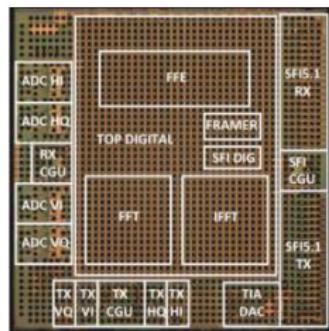
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- **Digital backpropagation:** invert a partial differential equation **in real time** [Essiambre and Winzer, 2005], [Roberts et al., 2006], [Li et al., 2008], [Ip and Kahn, 2008]
- Widely considered to be impractical (**too complex**): linear equalization is already one of the **most power-hungry DSP blocks** in coherent receivers

# Real-Time Digital Backpropagation

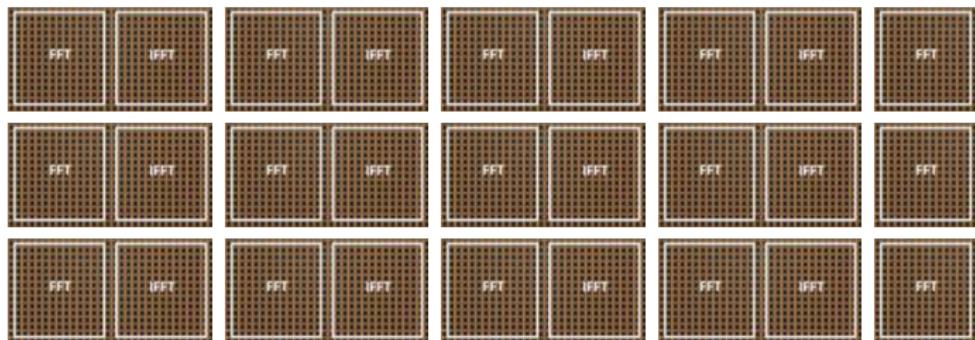


[Crivelli et al., 2014]

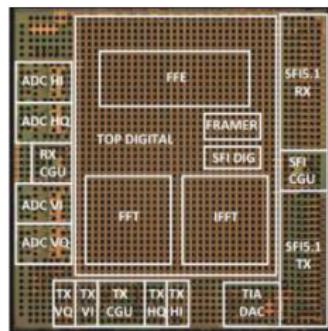
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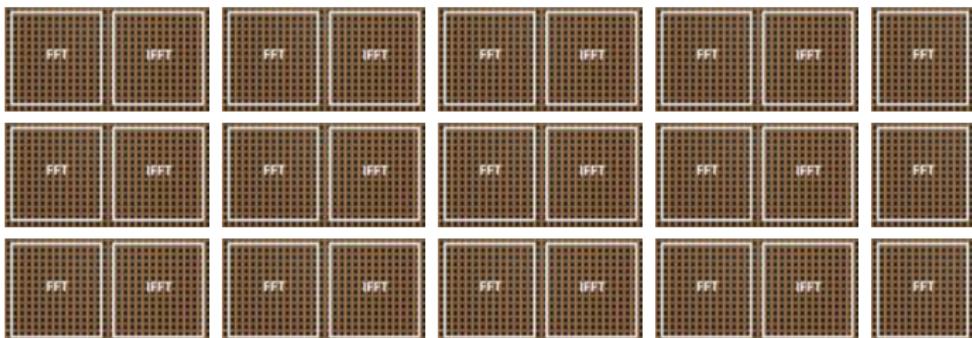
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## Real-Time Digital Backpropagation

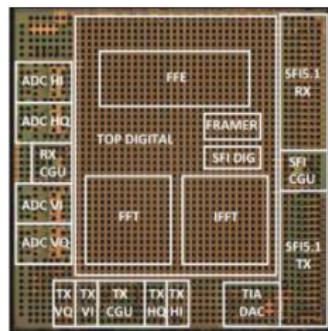


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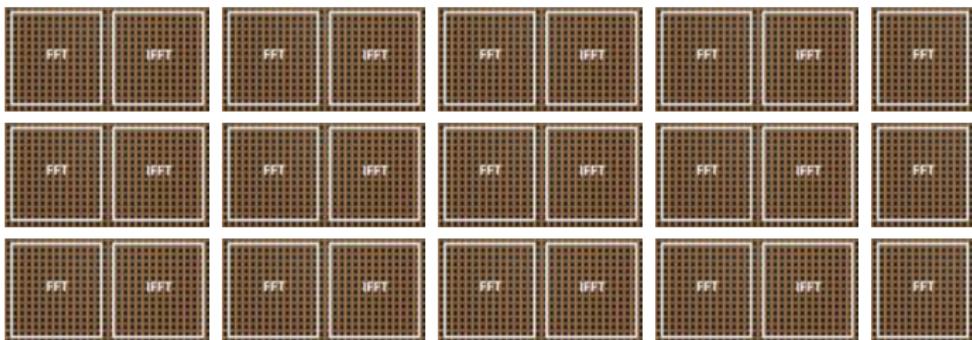


- Complexity increases with the number of steps  $M \Rightarrow$  reduce  $M$  as much as possible (see, e.g., [Du and Lowery, 2010], [Rafique et al., 2011], [Li et al., 2011], [Yan et al., 2011], [Napoli et al., 2014], [Secondini et al., 2016], ... )

## Real-Time Digital Backpropagation

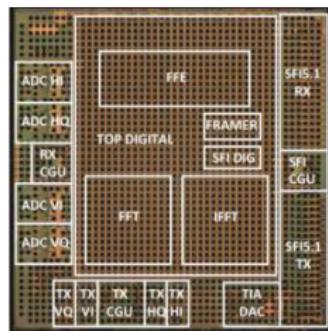


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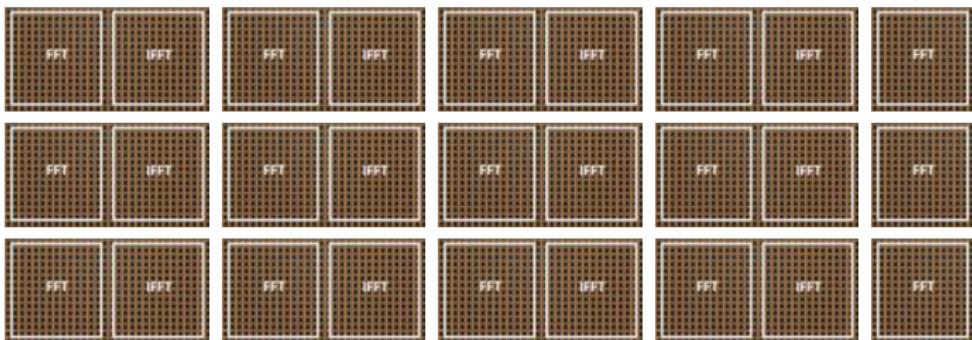


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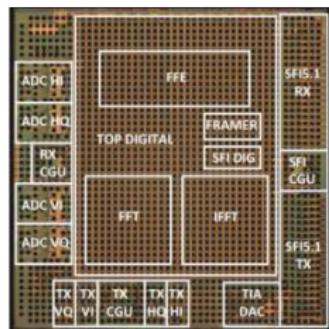


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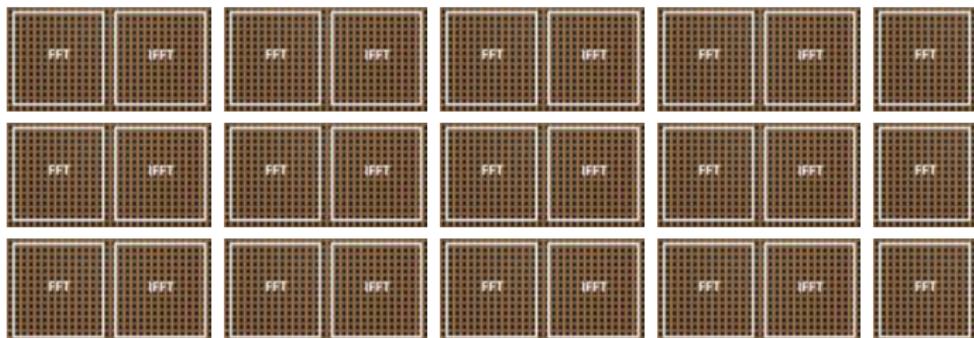


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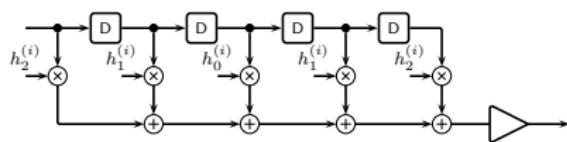
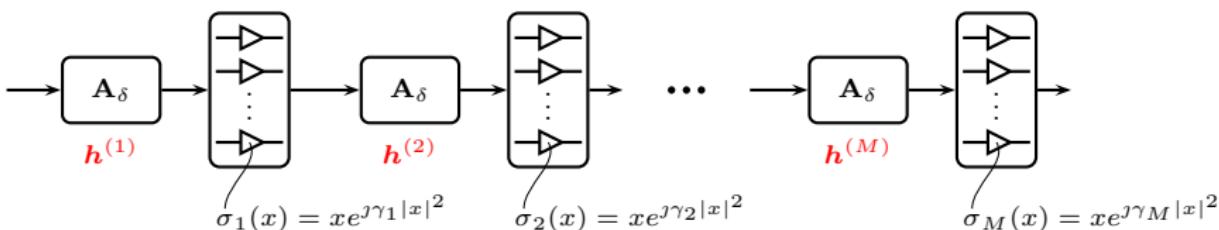
Our approach: physics-based deep learning and model compression

Joint optimization, pruning, and quantization of all linear steps  $\Rightarrow$  hardware-efficient digital backpropagation

# Learned Digital Backpropagation

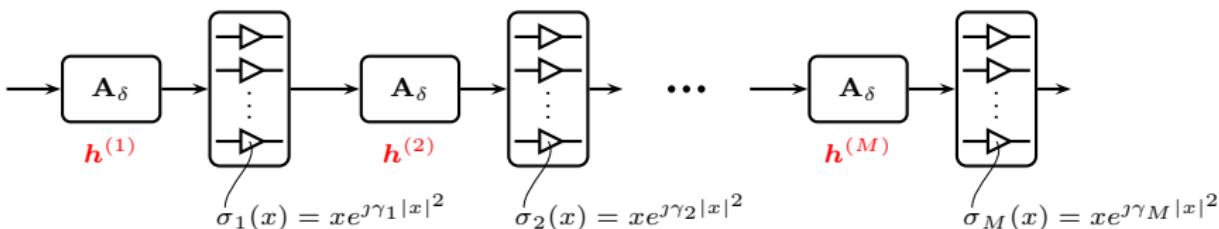
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TensorFlow implementation of the computation graph  $f_\theta(y)$ :



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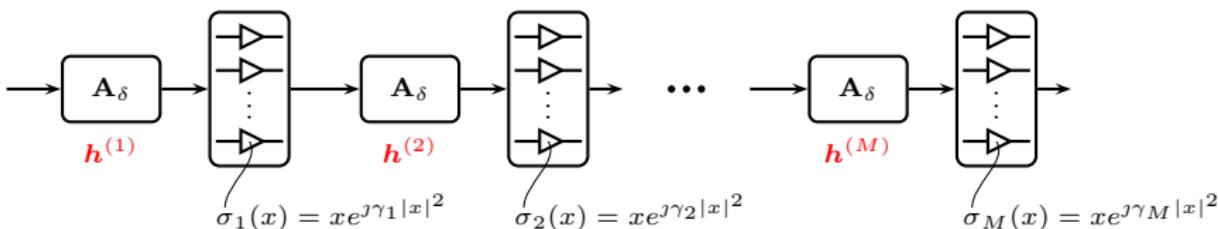
$$\min_{\theta} \sum_{i=1}^N \text{Loss}(f_\theta(\mathbf{y}^{(i)}), \mathbf{x}^{(i)}) \triangleq g(\theta) \quad \text{using } \theta_{k+1} = \theta_k - \lambda \nabla_{\theta} g(\theta_k)$$

mean squared error

Adam optimizer, fixed learning rate

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mean squared error

Adam optimizer, fixed learning rate

Iteratively prune (set to 0) outermost filter taps during gradient descent

# Iterative Filter Tap Pruning

$$\theta = \left\{ \begin{array}{l} \boldsymbol{h}^{(1)} \\ \boldsymbol{h}^{(2)} \\ \vdots \\ \boldsymbol{h}^{(M)} \end{array} \right\}$$

## Iterative Filter Tap Pruning

←———— starting length  $2K' + 1$  —————→

$$\theta = \left\{ \begin{array}{l} \mathbf{h}^{(1)} = ( h_{K'}^{(1)} \cdots h_K^{(1)} \cdots h_1^{(1)} h_0^{(1)} h_1^{(1)} \cdots h_K^{(1)} \cdots h_{K'}^{(1)} ) \quad \text{step 1} \\ \mathbf{h}^{(2)} = ( h_{K'}^{(2)} \cdots h_K^{(2)} \cdots h_1^{(2)} h_0^{(2)} h_1^{(2)} \cdots h_K^{(2)} \cdots h_{K'}^{(2)} ) \quad \text{step 2} \\ \vdots \qquad \vdots \qquad \qquad \vdots \qquad \qquad \vdots \\ \mathbf{h}^{(M)} = ( h_{K'}^{(M)} \cdots h_K^{(M)} \cdots h_1^{(M)} h_0^{(M)} h_1^{(M)} \cdots h_K^{(M)} \cdots h_{K'}^{(M)} ) \quad \text{step } M \end{array} \right.$$

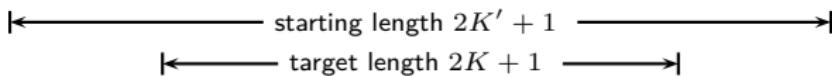
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- Initially: constrained least-squares coefficients (LS-CO) [Sheikh et al., 2016]

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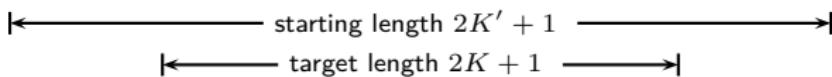
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The diagram shows two horizontal arrows above the vector components. The top arrow spans from the first element to the last element and is labeled "starting length  $2K' + 1$ ". The bottom arrow spans from the first element to the last element and is labeled "target length  $2K + 1$ ". The elements are indexed from  $K'$  down to  $0$  and back up to  $K'$ .

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## Iterative Filter Tap Pruning



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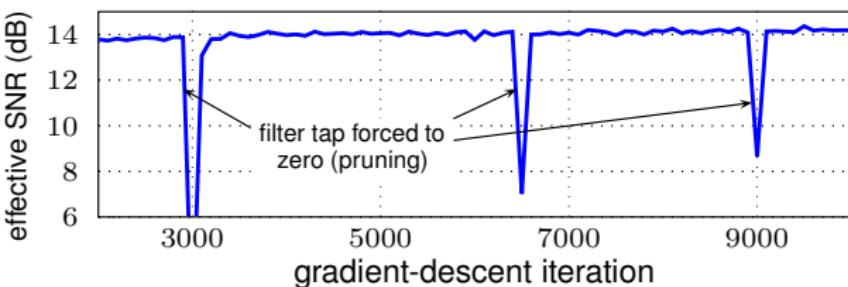
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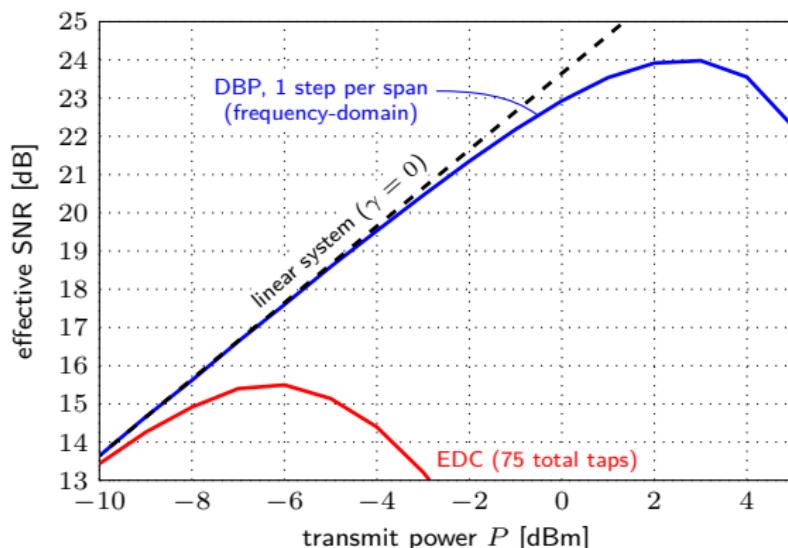
starting length  $2K' + 1$

target length  $2K + 1$

- Initially: constrained least-squares coefficients (LS-CO) [Sheikh et al., 2016]
- Typical learning curve:



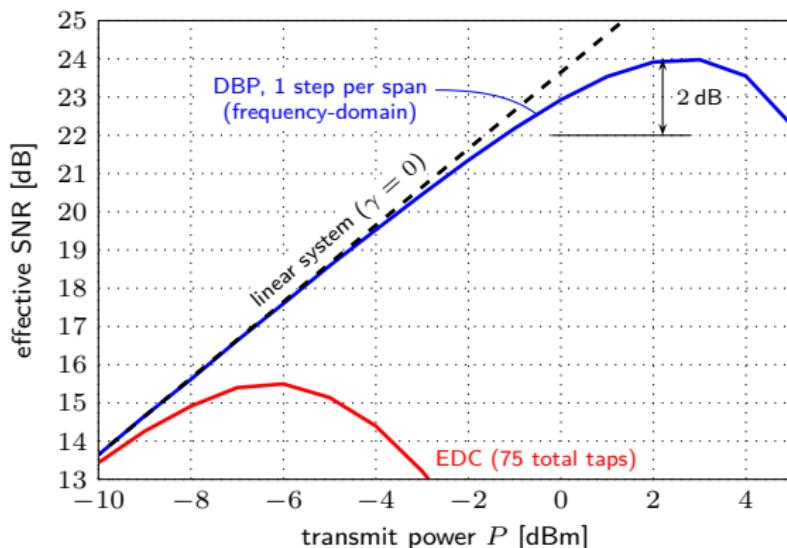
## Revisiting Ip and Kahn (2008)



Parameters similar to [Ip and Kahn, 2008]:

- $25 \times 80$  km SSFM
- Gaussian modulation
- RRC pulses (0.1 roll-off)
- 10.7 Gbaud
- 2 samples/symbol processing
- single channel, single pol.

## Revisiting Ip and Kahn (2008)

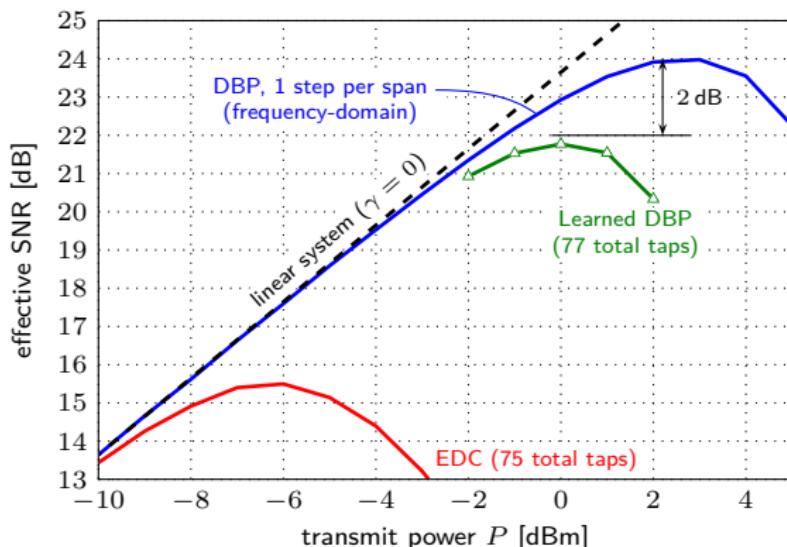


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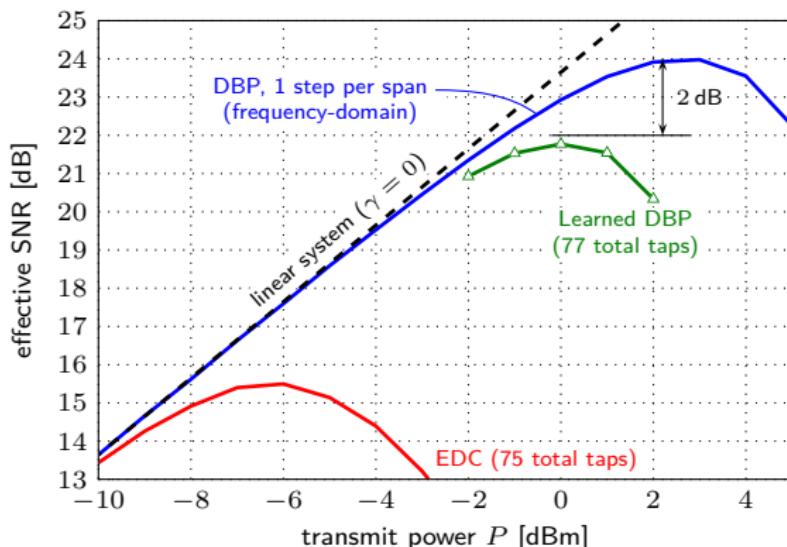


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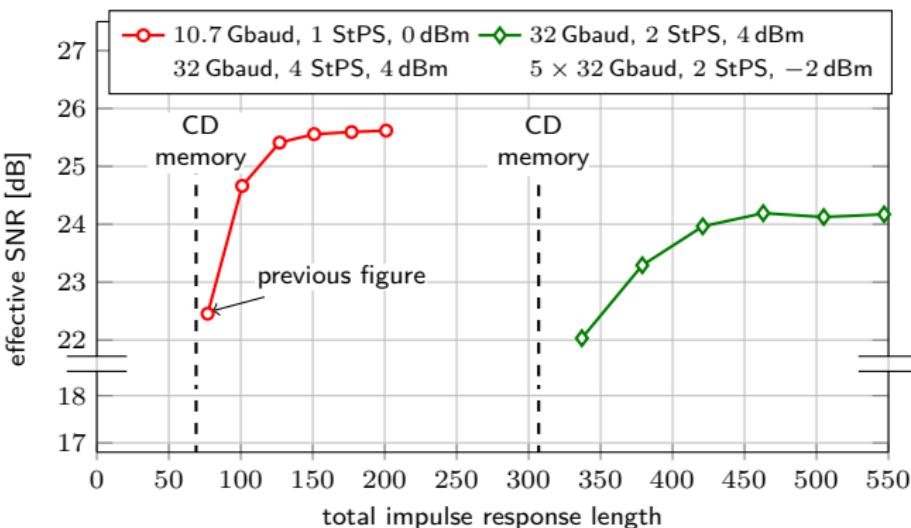


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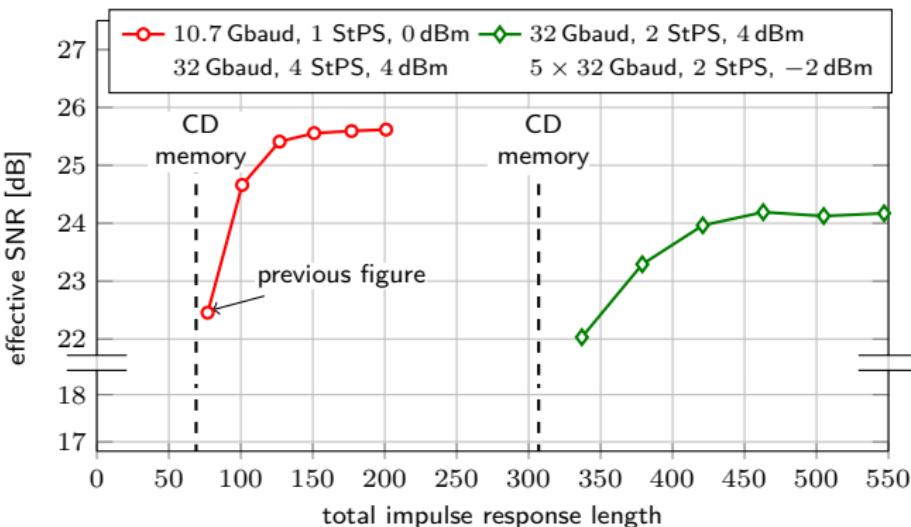
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- Learned approach uses **only 77 total taps**: alternate 5 and 3 taps/step and use **different** filter coefficients in all steps [Häger and Pfister, 2018a]
- Can **outperform** “ideal DBP” in the nonlinear regime [Häger and Pfister, 2018b]

## Performance–Complexity Trade-off



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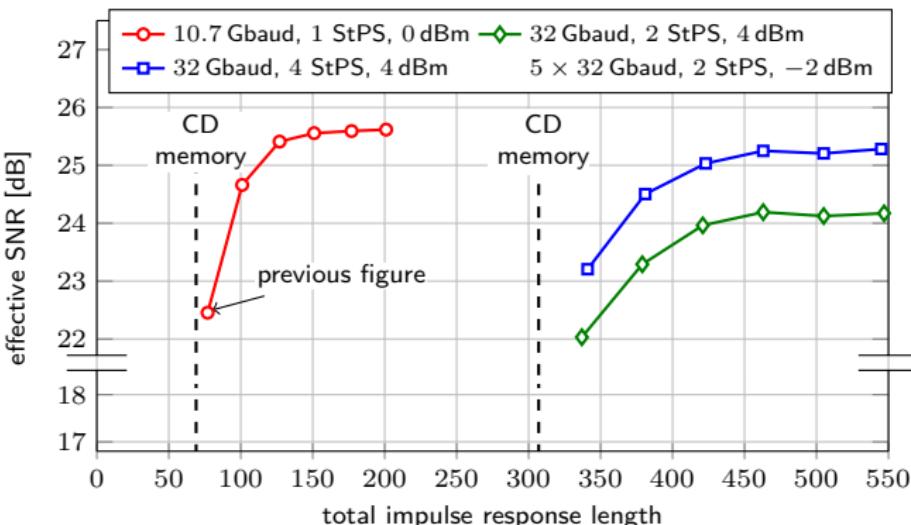
Conventional wisdom: Steps are inefficient  $\implies$  reduce as much as possible

Complexity

?  
≈

Number of  
Steps

## Performance–Complexity Trade-off



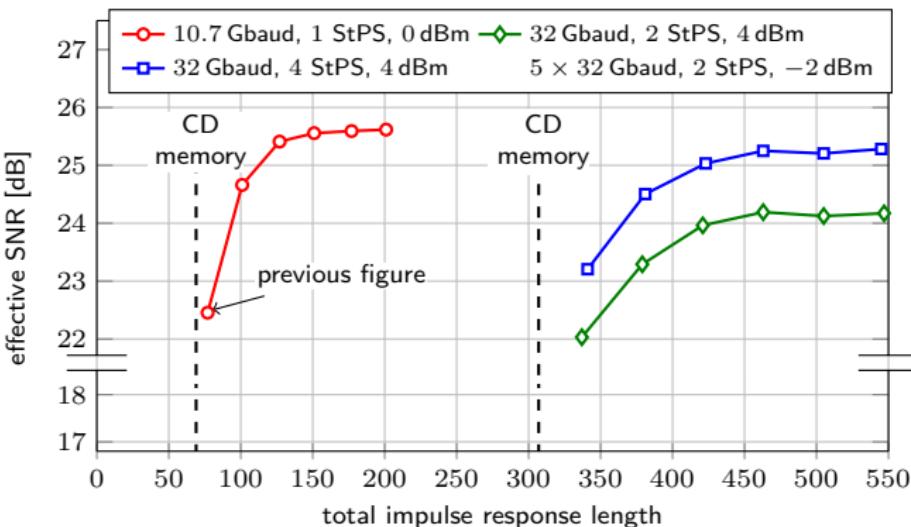
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 $\approx$

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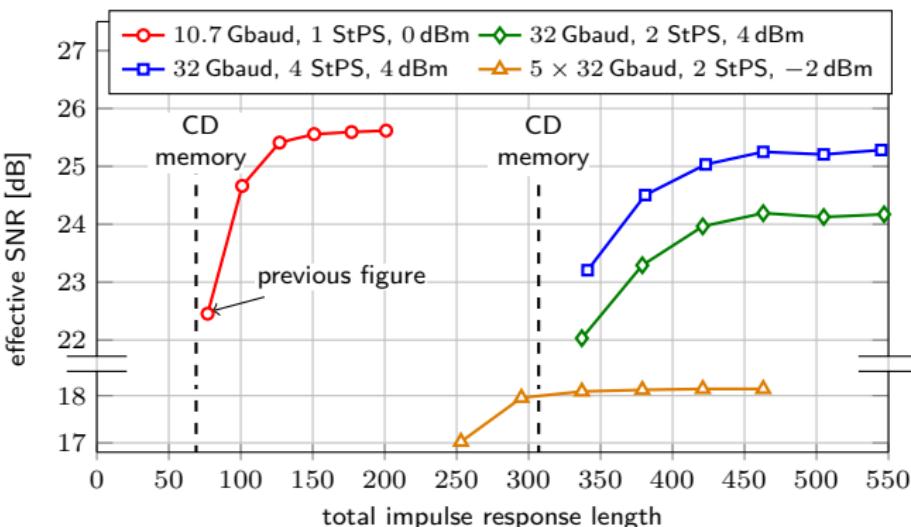
=

Number of  
Steps

$\times$

Complexity  
per Step

## Performance–Complexity Trade-off



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Complexity

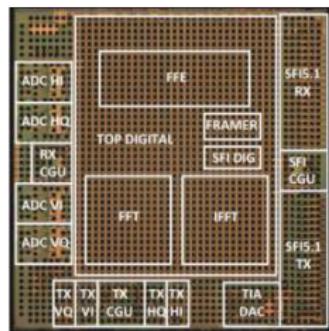
=

Number of  
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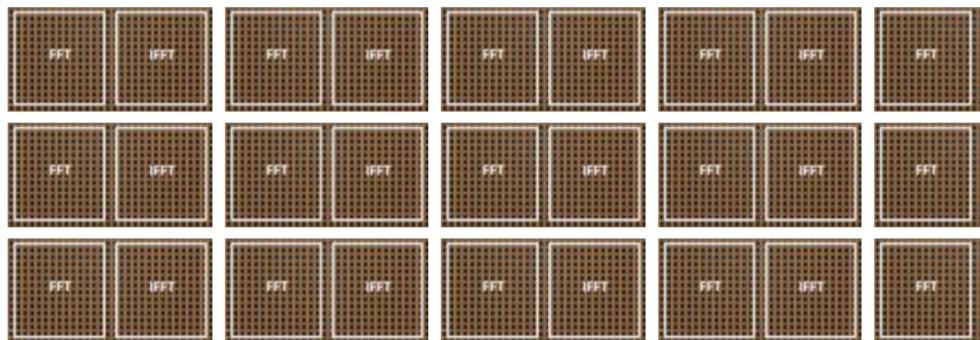
x

Complexity  
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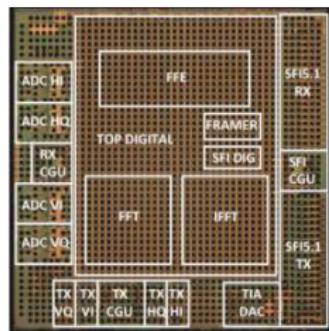
# Real-Time ASIC Implementation



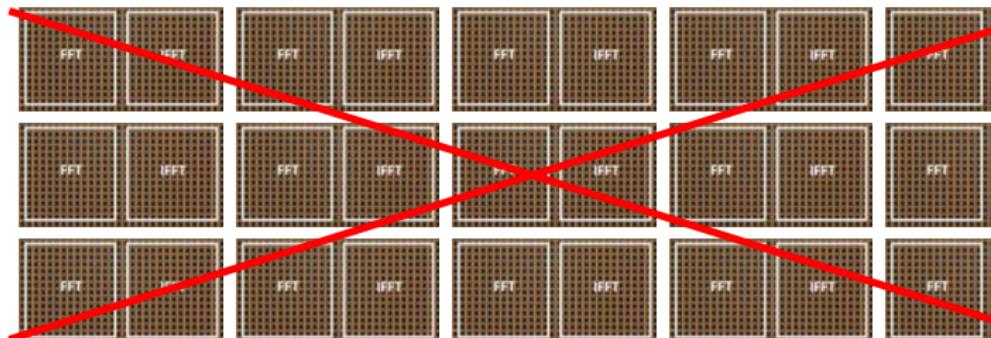
[Crivelli et al., 2014]



## Real-Time ASIC Implementation



[Crivelli et al., 2014]

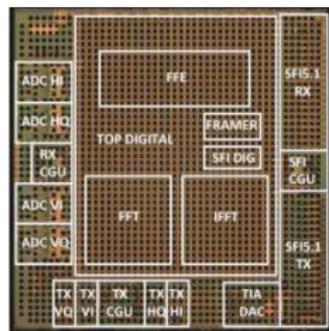


[Fougstedt et al., 2017], Time-domain digital back propagation: Algorithm and finite-precision implementation aspects, (*OFC*)

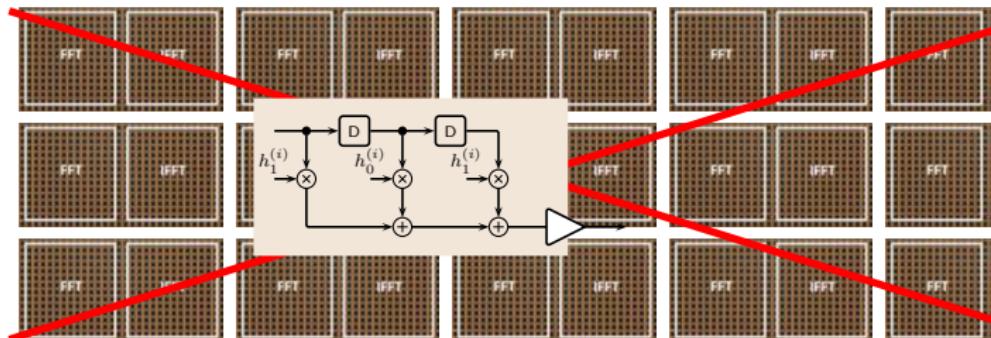
[Fougstedt et al., 2018], ASIC implementation of time-domain digital back propagation for coherent receivers, (*PTL*)

[Sherborne et al., 2018], On the impact of fixed point hardware for optical fiber nonlinearity compensation algorithms, (*JLT*)

## Real-Time ASIC Implementation

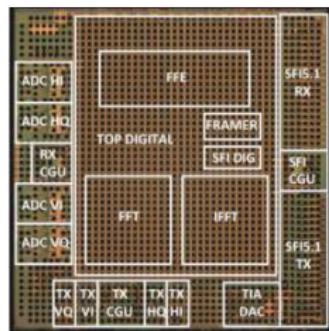


[Crivelli et al., 2014]

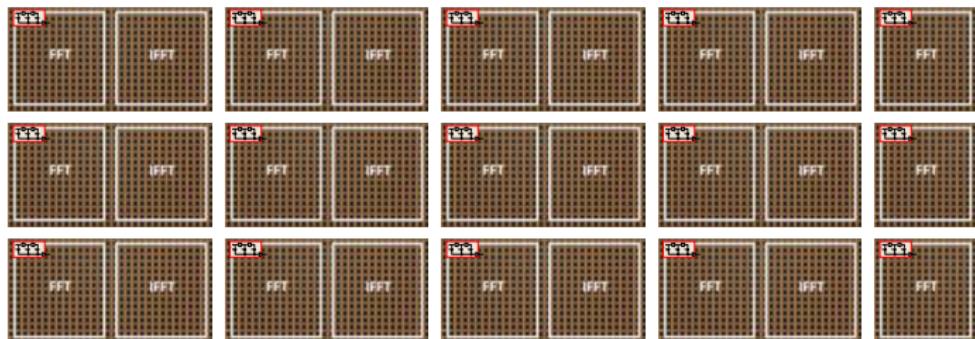


- Our linear steps are **very short symmetric FIR filters** (as few as **3 taps**)

## Real-Time ASIC Implementation



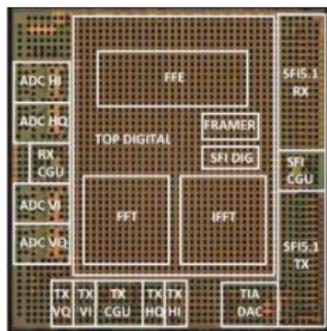
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- Our linear steps are **very short symmetric FIR filters** (as few as **3 taps**)
- 28-nm ASIC at 416.7 MHz clock speed (40 GHz signal)
  - Only **5-6 bit** filter coefficients via **learned quantization**
  - Hardware-friendly nonlinear steps (Taylor expansion)
  - All FIR filters are **fully reconfigurable**

[Fougstedt et al., 2018], ASIC implementation of time-domain digital backpropagation with deep-learned chromatic dispersion filters, (ECOC)

## Real-Time ASIC Implementation

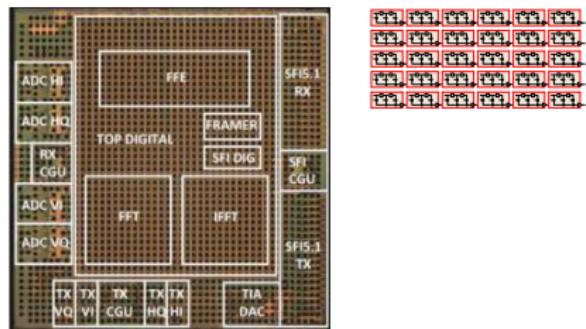


[Crivelli et al., 2014]

- Our linear steps are **very short symmetric FIR filters** (as few as **3 taps**)
- 28-nm ASIC at 416.7 MHz clock speed (40 GHz signal)
  - Only **5-6 bit** filter coefficients via **learned quantization**
  - Hardware-friendly nonlinear steps (Taylor expansion)
  - All FIR filters are **fully reconfigurable**

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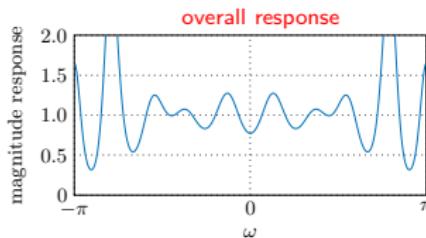
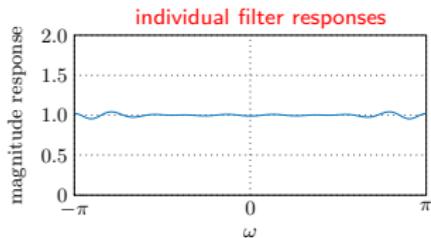
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- **< 2× power compared to EDC** [Crivelli et al., 2014, Pillai et al., 2014]

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# Why Does The Learning Approach Work?

Previous work: design a single filter or filter pair and **use it repeatedly**.

⇒ Good overall response only possible with **very long** filters.



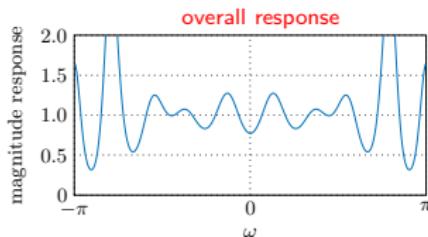
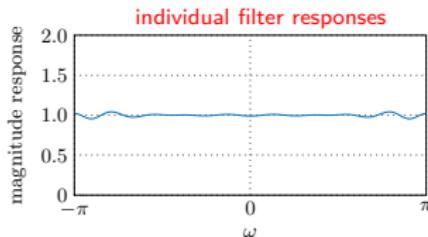
From [Ip and Kahn, 2009]:

- “We also note that [...] 70 taps, is much larger than expected”
- “This is due to amplitude ringing in the frequency domain”
- “Since backpropagation requires multiple iterations of the linear filter, amplitude distortion due to ringing accumulates (Goldfarb & Li, 2009)”

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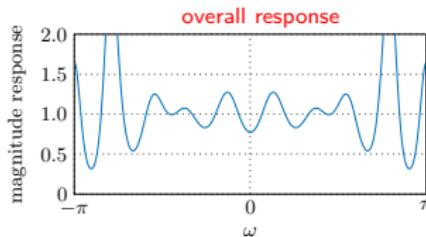
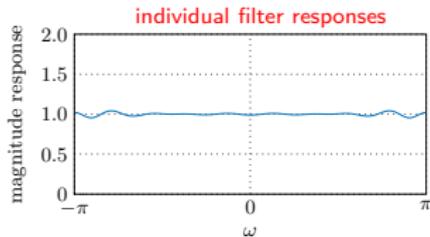
The learning approach uncovered that there is no such requirement!

[Lian, Häger, Pfister, 2018], What can machine learning teach us about communications? (ITW)

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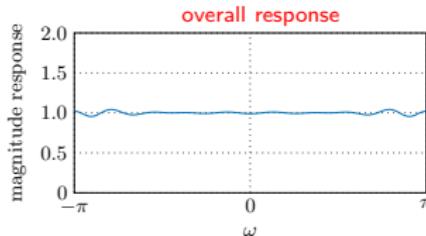
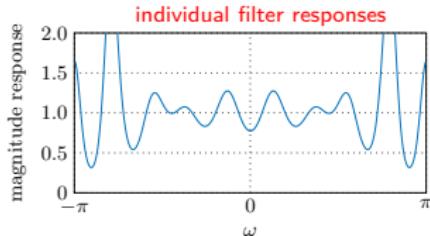
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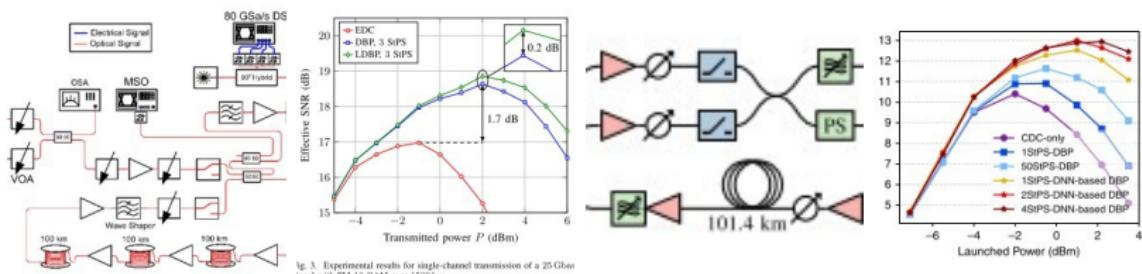


Sacrifice **individual filter accuracy**, but **different response per step**.

⇒ **Good overall response** even with **very short filters** by joint optimization.



## Experimental Investigations



Training with **real-world data sets** including presence of various **hardware impairments** (phase noise, timing error, frequency offset, etc.)

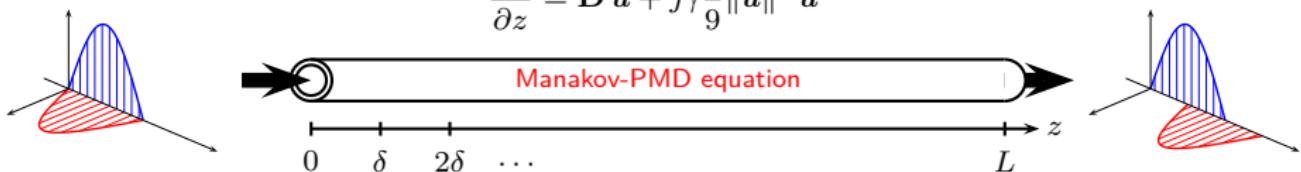
- [Oliari et al., 2020], Revisiting Efficient Multi-step Nonlinearity Compensation with Machine Learning: An Experimental Demonstration, (*J. Lightw. Technol.*)
- [Sillekens et al., 2020], Experimental Demonstration of Learned Time-domain Digital Back-propagation, (*Proc. IEEE Workshop on Signal Processing Systems*)
- [Fan et al., 2020], Advancing Theoretical Understanding and Practical Performance of Signal Processing for Nonlinear Optical Communications through Machine Learning, (*Nat. Commun.*)
- [Bitachon et al., 2020], Deep learning based Digital Back Propagation Demonstrating SNR gain at Low Complexity in a 1200 km Transmission Link, (*Opt. Express*)

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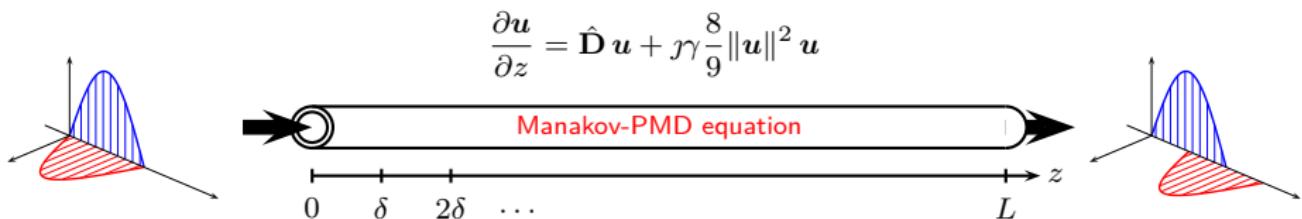
## Evolution of Polarization-Multiplexed Signals

$$\frac{\partial \mathbf{u}}{\partial z} = \hat{\mathbf{D}} \mathbf{u} + j\gamma \frac{8}{9} \|\mathbf{u}\|^2 \mathbf{u}$$

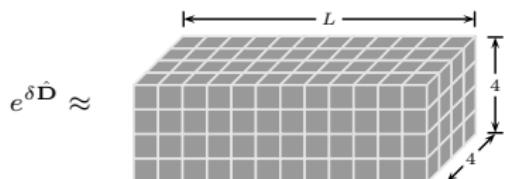
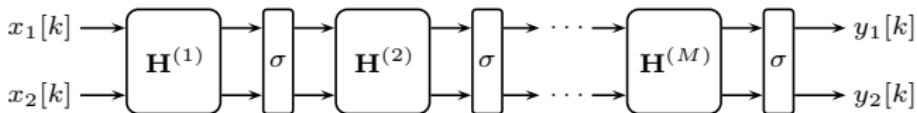


- Jones vector  $\mathbf{u} \triangleq (u_1(t, z), u_2(t, z))^\top$  with complex baseband signals
- linear operator  $\hat{\mathbf{D}}$ : attenuation, chromatic & polarization mode dispersion

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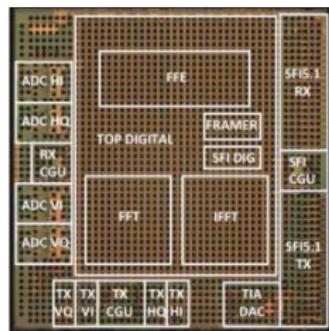


- Jones vector  $\mathbf{u} \triangleq (u_1(t, z), u_2(t, z))^\top$  with complex baseband signals
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- Split-step method: alternate linear and nonlinear steps  $\sigma(x) = xe^{j\gamma \frac{8}{9} \delta \|\mathbf{x}\|^2}$

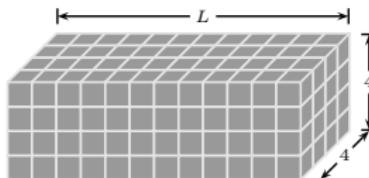


2 × 2 complex or  
4 × 4 real MIMO filters  $\implies$  complexity!

# Real-Time Compensation of Polarization Impairments

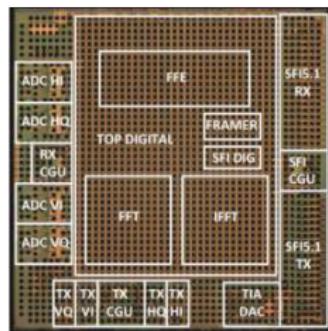


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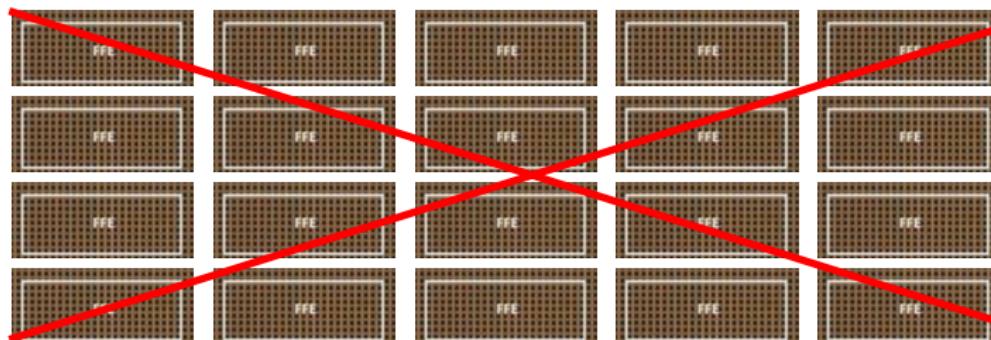


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- $\Rightarrow$  adaptive filtering (via stochastic gradient descent) required

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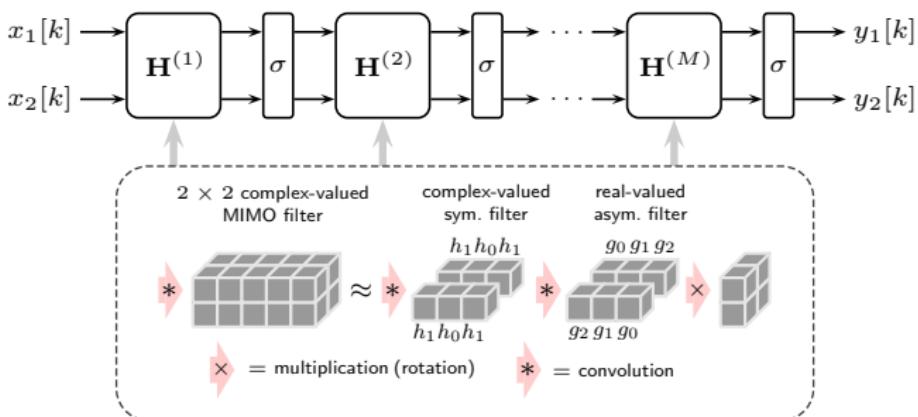
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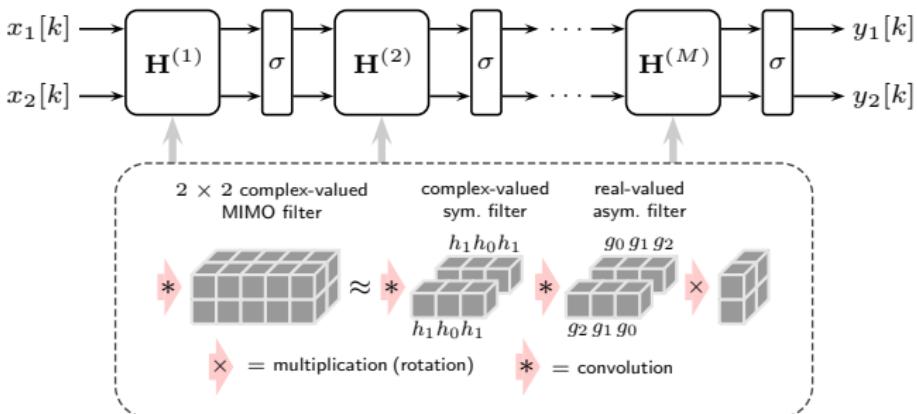
Using (and updating) full MIMO filters in each step is not feasible.

## Our approach: Factorize each MIMO Filter



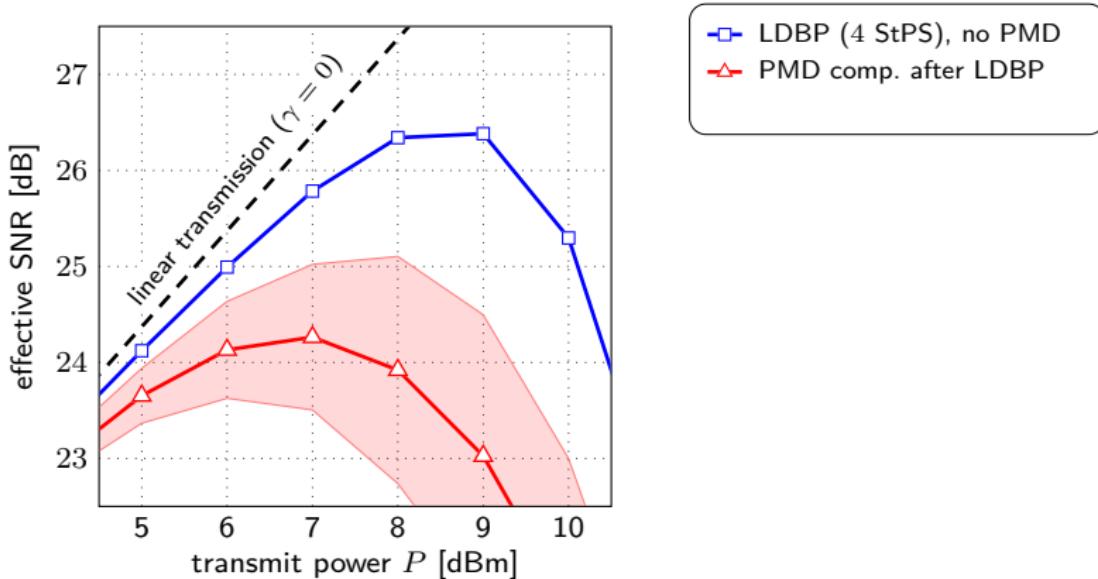
- 5-tap real-valued filters to approximate **first-order PMD (DGD)**
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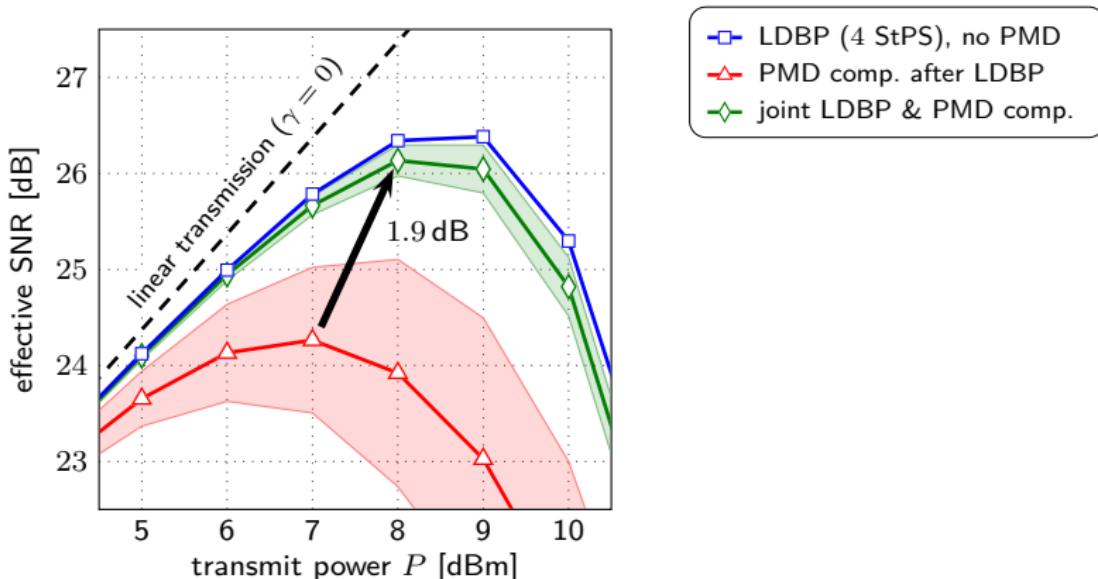


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- Memoryless rotations  $\begin{pmatrix} a & -b^* \\ b & a^* \end{pmatrix}$ , where  $a, b \in \mathbb{C}$  (4 real parameters)
- Assumes no knowledge about PMD realizations or accumulated PMD
- FIR-filter based! **Avoids frequency-domain (FFT-based) filtering**

[Goroshko et al., 2016], Overcoming performance limitations of digital back propagation due to polarization mode dispersion, (*CTON*)  
 [Czegledi et al., 2017], Digital backpropagation accounting for polarization-mode dispersion, (*Opt. Express*)  
 [Liga et al., 2018], A PMD-adaptive DBP receiver based on SNR optimization, (*OFC*)

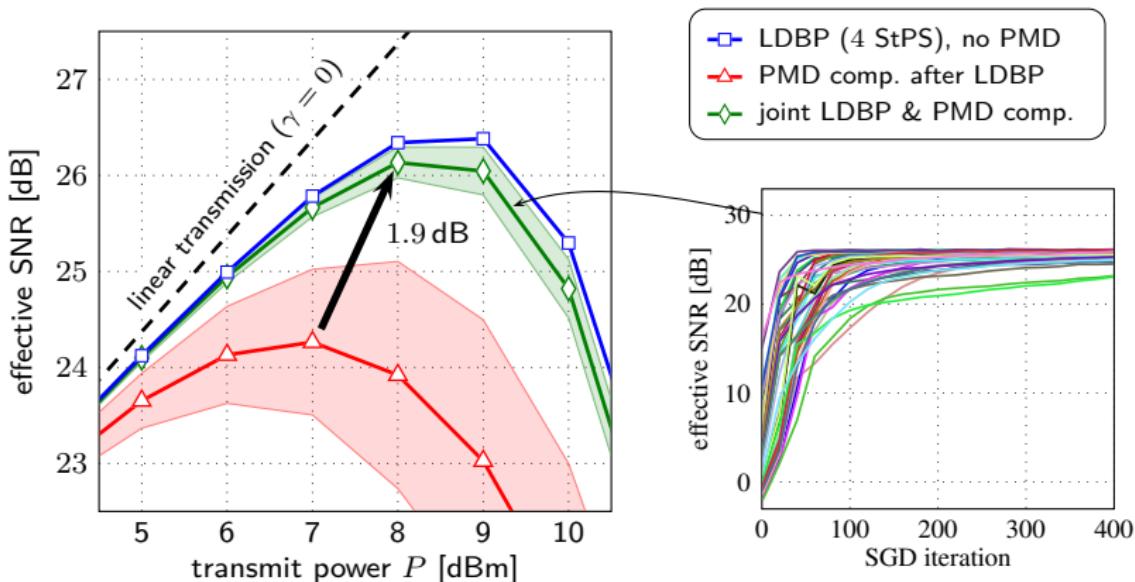
Results (32 Gbaud,  $10 \times 100$  km,  $0.2 \text{ ps}/\sqrt{\text{km}}$  PMD)

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[Bütler et al., 2020]. Model-based Machine Learning for Joint Digital Backpropagation and PMD Compensation, *(J. Lightw. Technol.)*, see arXiv:2010.12313

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# Wideband Time-Domain Backpropagation

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### Example

Consider a 96-Gbaud signal, where delay spread is 125 symbol periods per 100 km (alternatively: superchannel or multiple WDM channels).

- Power estimate for 1500 km and 20 Gbaud:  $2 \times 15 \times 0.18 \text{ W} = 5.4 \text{ W}$
- Quadratic scaling:  $\approx 25 \times 5.4 \text{ W} = 135 \text{ W}$  (full DBP)
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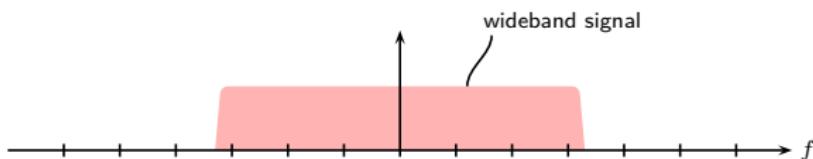
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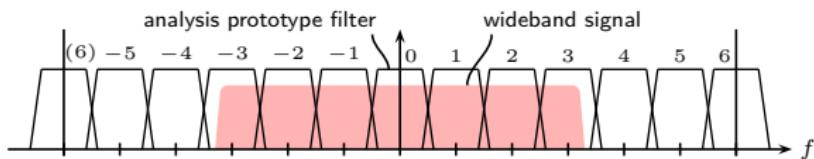
## Question

Is it possible to scale the time-domain / deep learning approach gracefully to larger bandwidths?

# Wideband Signals and Subband Processing



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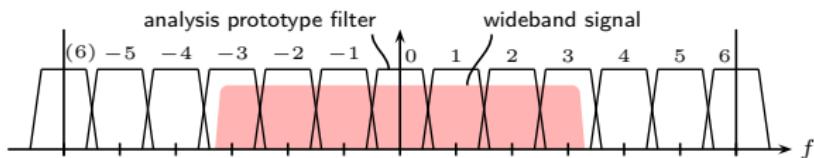


- Subband processing: **split** received signal into  $N$  parallel signals

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[Taylor, 2008]. Compact digital dispersion compensation algorithms, (*OFC*)  
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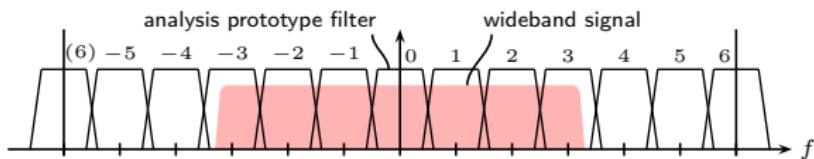


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- MIMO filter accounts for cross-phase modulation (XPM) between subbands [Leibrich and Rosenkranz, 2003]

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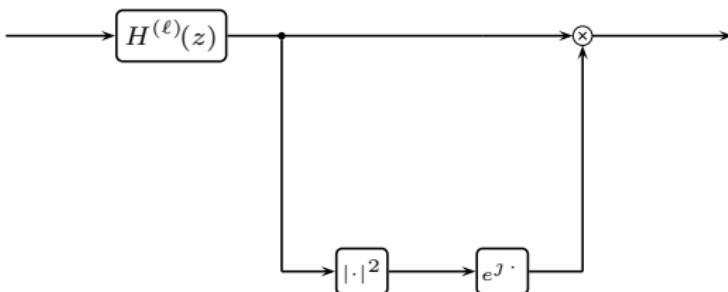
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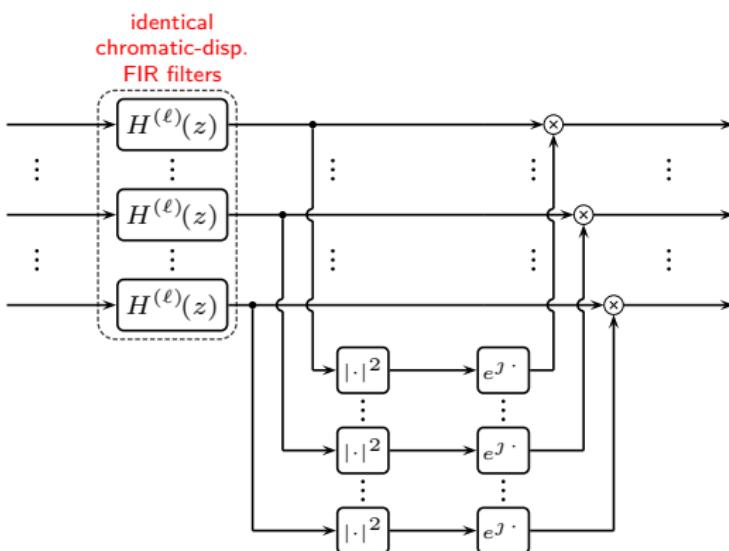
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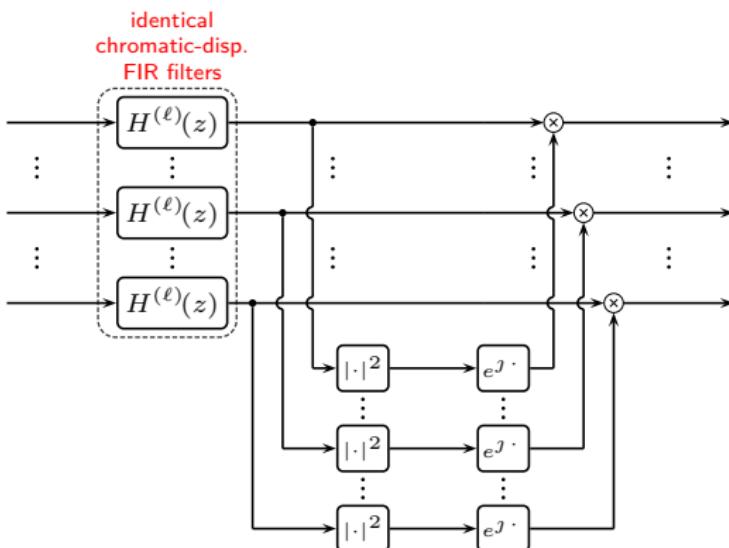
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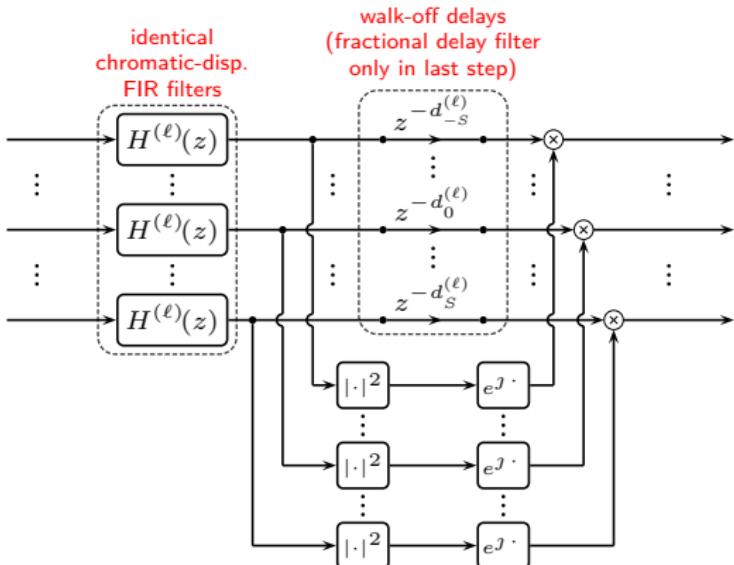


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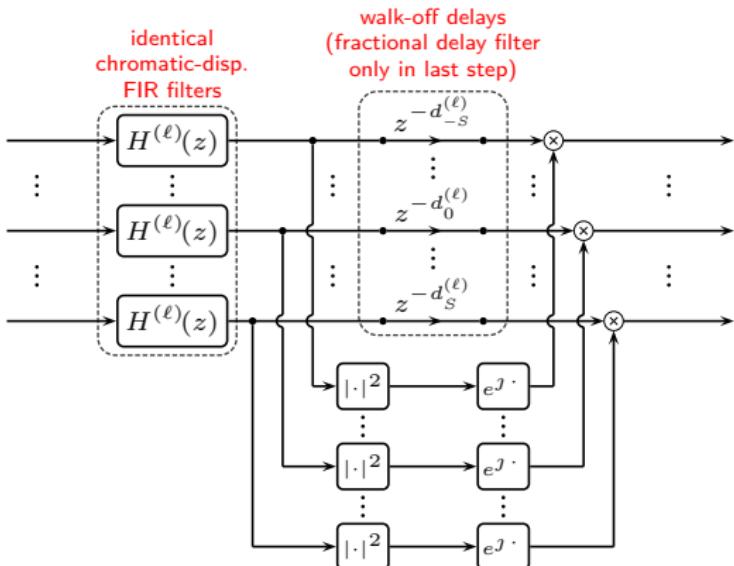
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⇒ choose step size such that delays are integer multiples of sampling interval

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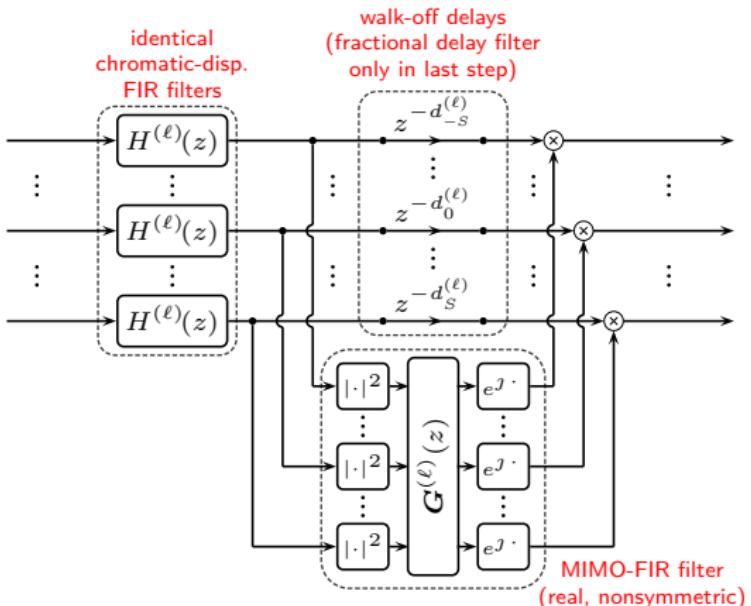


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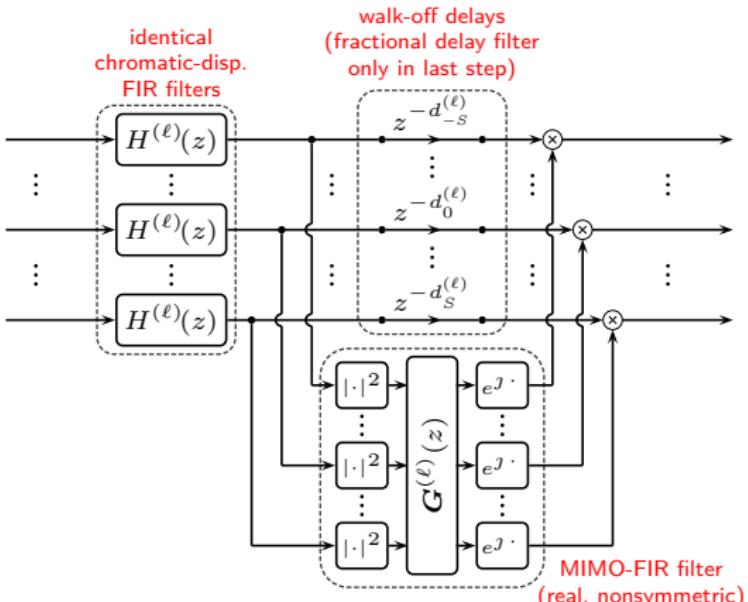
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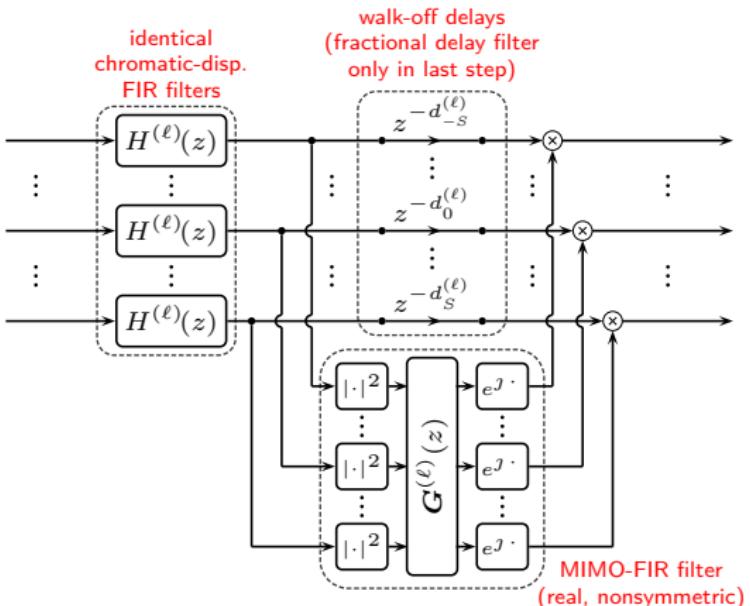


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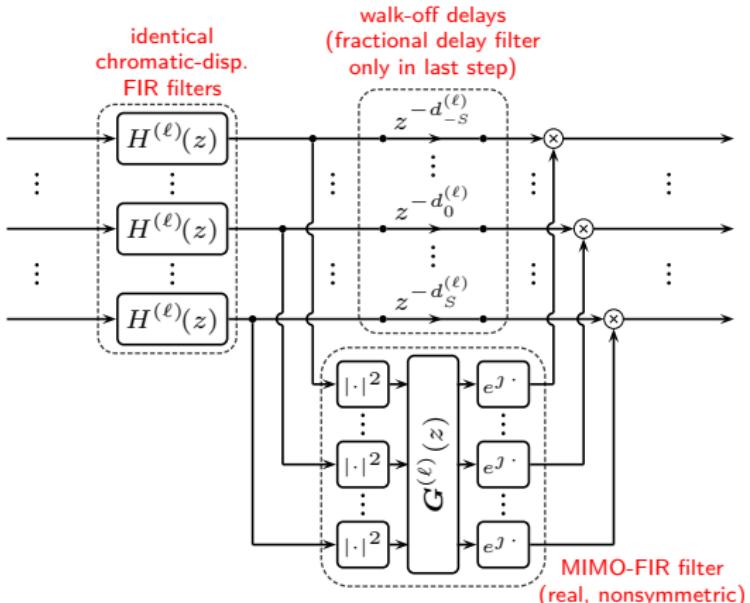


- Hardware-efficient implementation (no FFT/IFFT) of split-step method for coupled NLSEs [Leibrich and Rosenkranz, 2003], see also [Mateo et al., 2010]
- Only accounts for XPM between subbands, but not FWM

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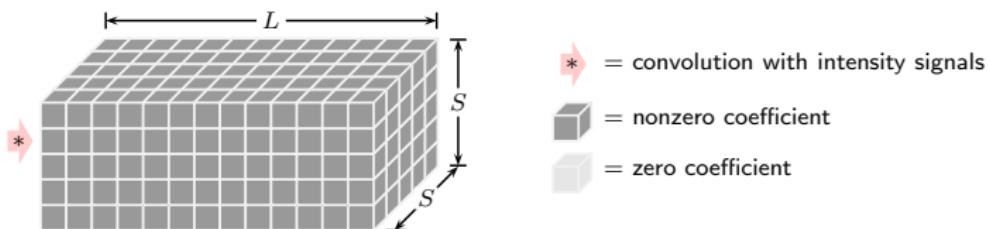


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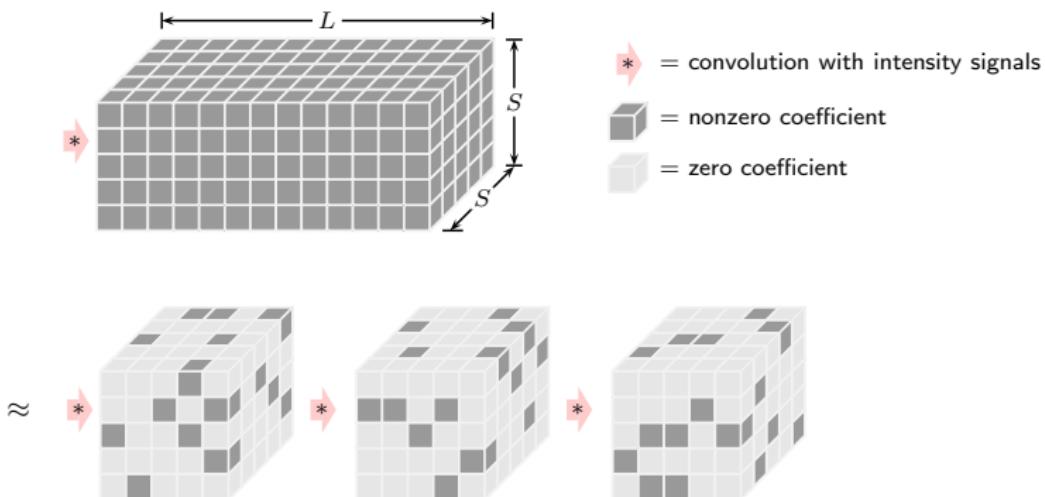


- “Unrolling” all steps gives a **deep, multi-layer computation graph**
- Deep learning** to jointly optimize filters  $H^{(\ell)}(z)$ ,  $G^{(\ell)}(z)$  in all steps by maximizing **effective SNR** based on stochastic **gradient descent**
- Iteratively **prune** (set to 0) the outermost taps to get **very short filters**

# Wideband Signals and Subband Processing

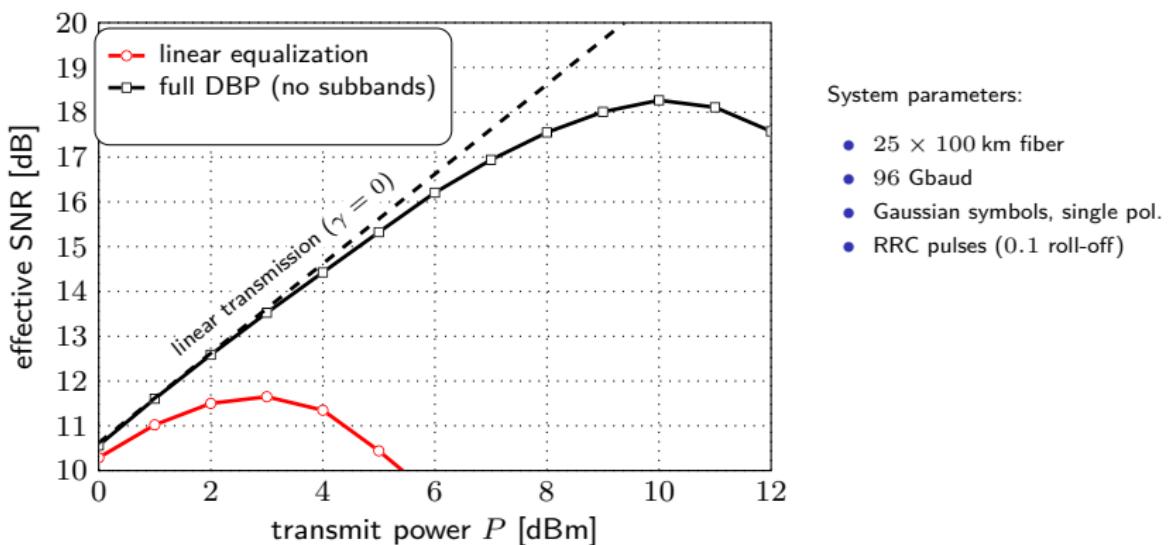


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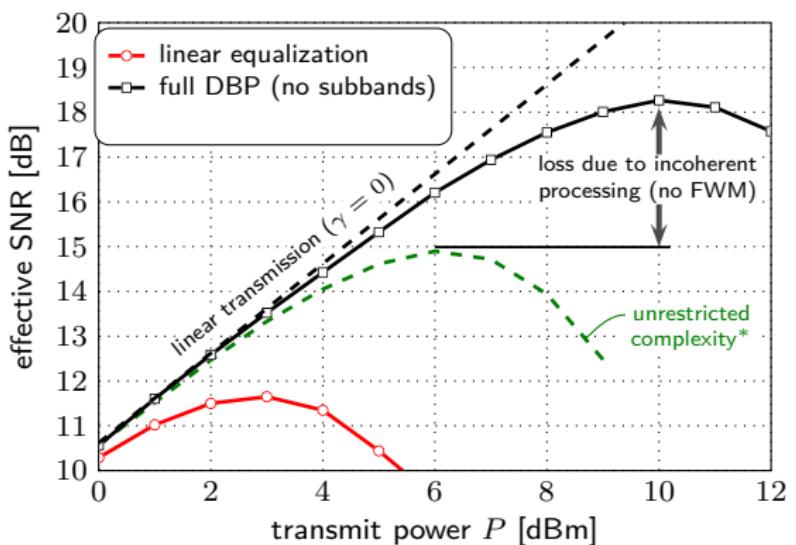


- **$L_1$ -norm regularization** applied to filter coefficients during gradient descent
- $\implies$  92% of coefficients are zero with little performance penalty

## Results (12 Subbands for 96 Gbaud)



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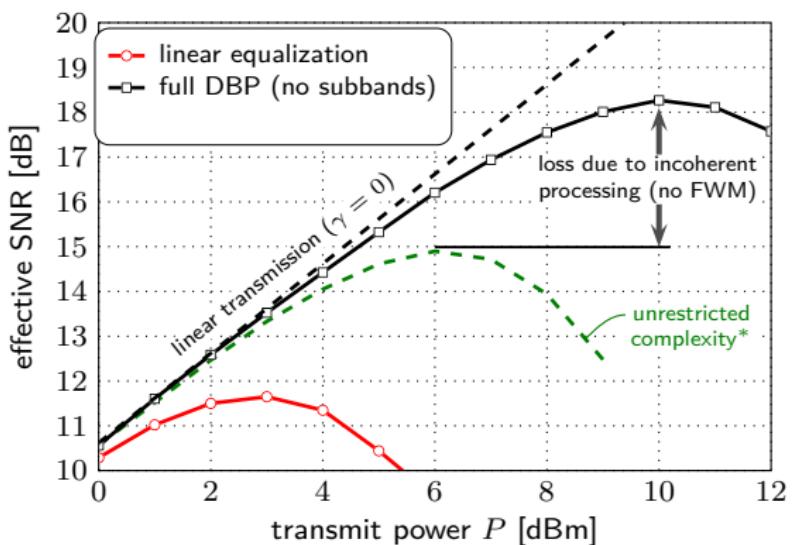


System parameters:

- 25 × 100 km fiber
- 96 Gbaud
- Gaussian symbols, single pol.
- RRC pulses (0.1 roll-off)

\* [Leibrich and Rosenkranz, 2003]  
FFT/IFFT, no downsampling,  
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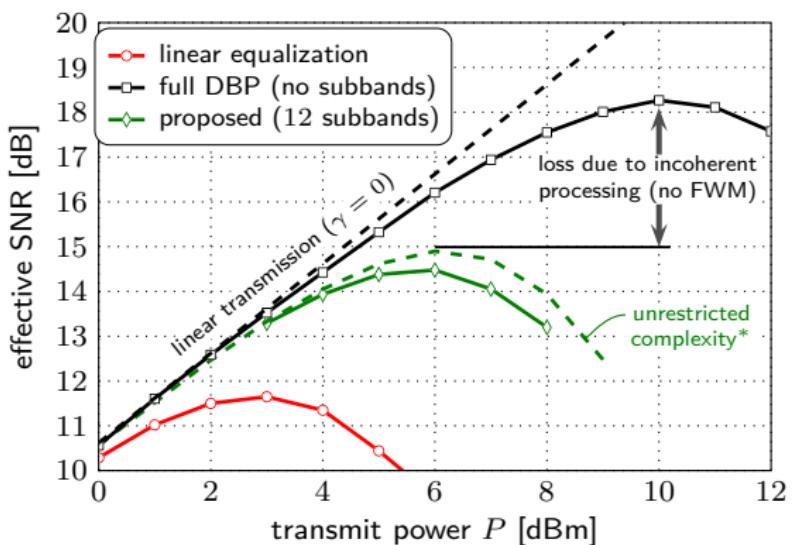
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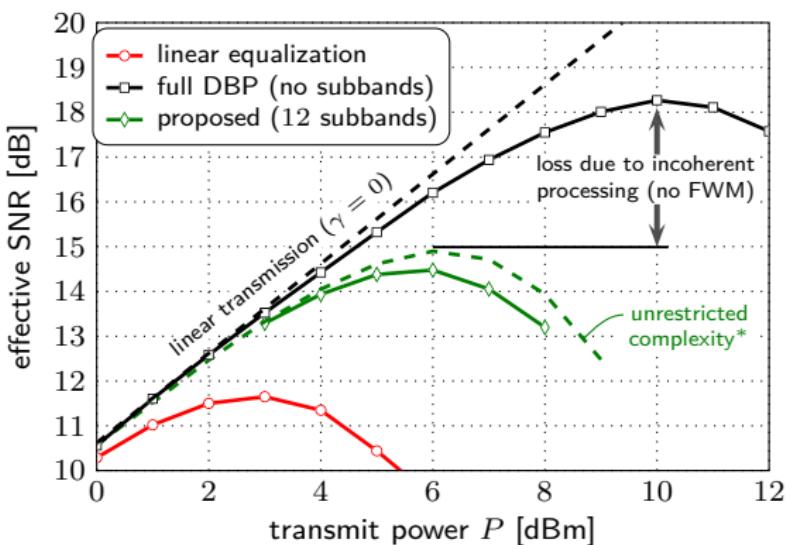
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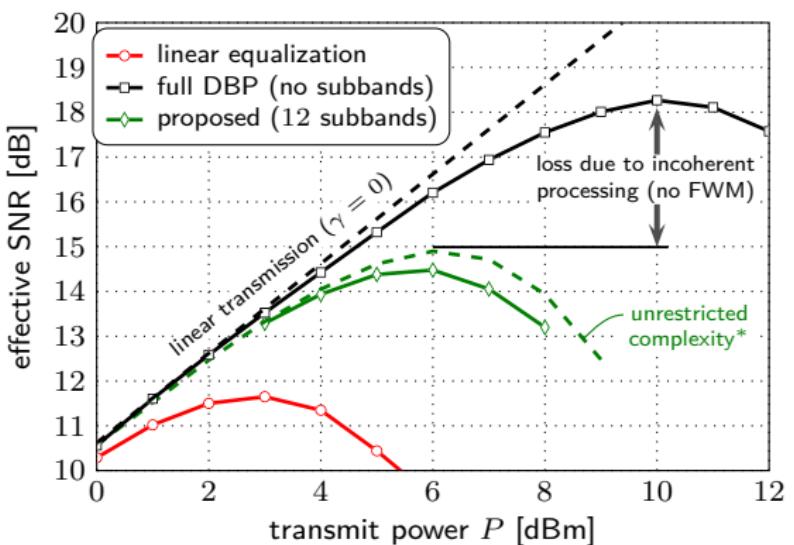
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- $> 4 \times$  less real multpl. compared to FFT/IFFT [Mateo et al., 2010]
- $\approx 2 - 3 \times$  less complexity compared to full DBP (estimated)

# Outline

1. Machine Learning and Neural Networks for Communications
2. Physics-Based Machine Learning for Fiber-Optic Communications
3. Learned Digital Backpropagation
4. Polarization-Dependent Effects
5. Wideband Signals
6. Conclusions

## The Bigger Picture

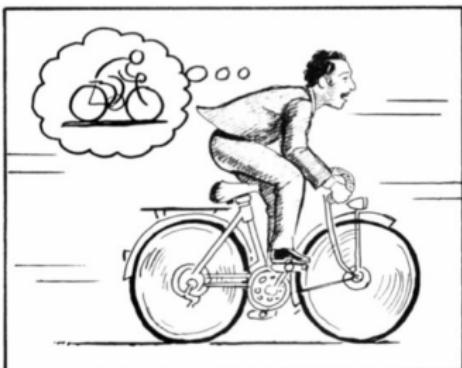
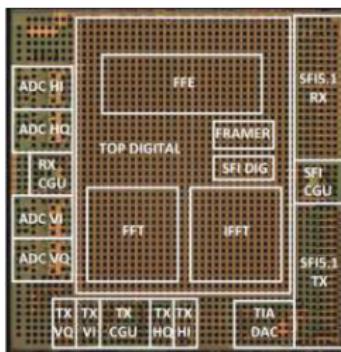


Figure 1. A World Model, from Scott McCloud's *Understanding Comics*. (McCloud, 1993; E, 2012)



[Crivelli et al., 2014]

- Optical receivers build models of their "environment"

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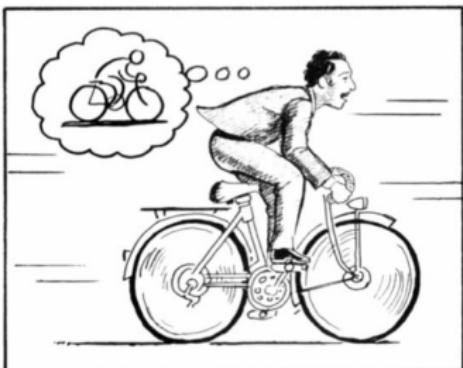
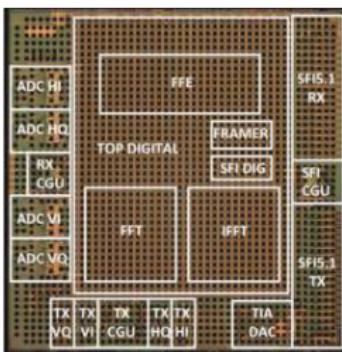


Figure 1. A World Model, from Scott McCloud's *Understanding Comics*. (McCloud, 1993; E, 2012)



[Crivelli et al., 2014]

- Optical receivers build models of their "environment"
- Currently these models are **linear** and/or **rigid** (non-adaptive)
- Interpretable **physics-based “multi-layer” models** for machine learning can be obtained by exploiting our existing domain knowledge

Machine Learning  
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Physics-Based Models  
oooooo

Learned DBP  
oooooooooooo

Polarization Effects  
oooooo

Wideband Signals  
oooooo

Conclusions  
oo●

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## Conclusions

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## Conclusions

### **neural-network-based ML**

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universal function approximators

good designs require  
experience and fine-tuning

black boxes,  
difficult to “open”

---

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[Häger & Pfister, 2020], “Physics-Based Deep Learning for Fiber-Optic Communication Systems”,  
in *IEEE J. Sel. Areas Commun.* (to appear), see <https://arxiv.org/abs/2010.14258>

Code: <https://github.com/chaeger/LDBP>

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Thank you!

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