
Filter Banks II

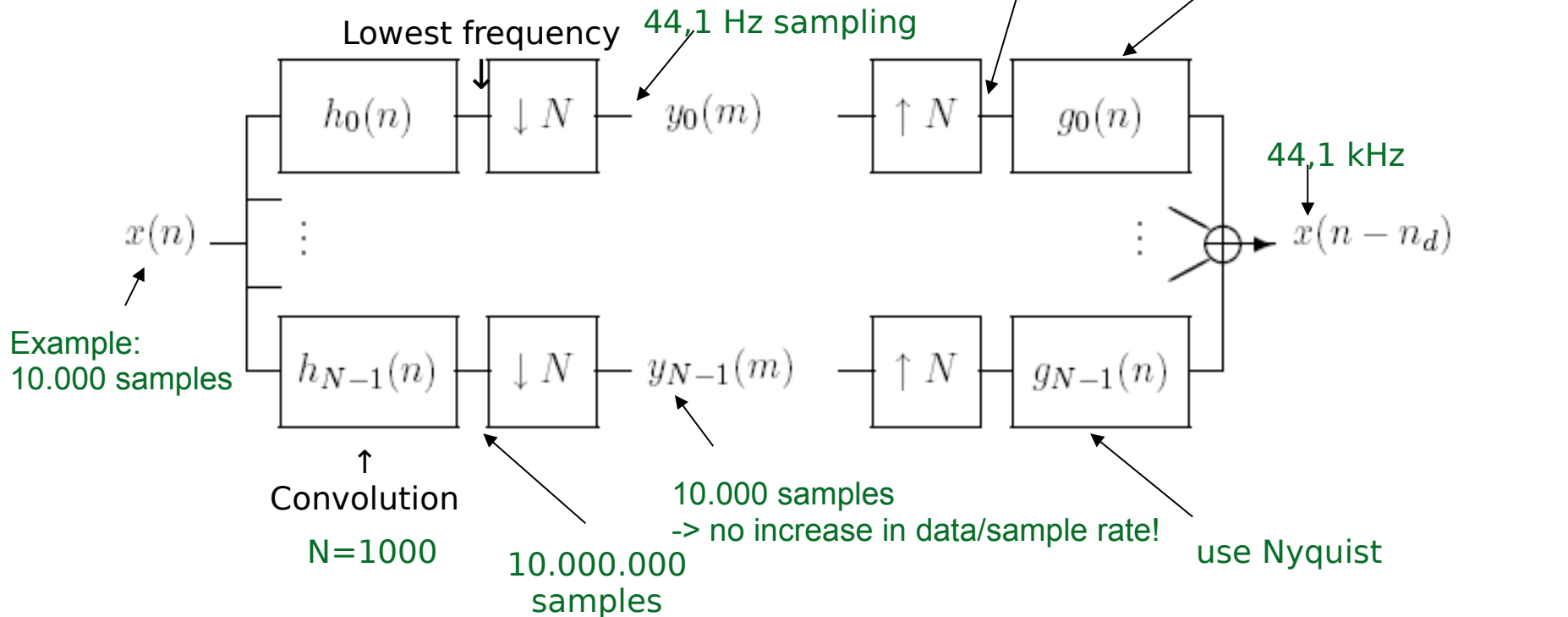
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Critically sampled Analysis and Synthesis Filter Bank, Direct Implementation

Analysis

Example: 44,1 kHz sampling



Modulated Filter Banks – Extending the DCT

Last time we saw that the DCT4 corresponds to a filter bank with impulse responses for the analysis here in time reversed form to simplify the right hand side:

$$h_k(N-1-n) = \cos\left(\frac{\pi}{N}\left(k+\frac{1}{2}\right)\left(n+\frac{1}{2}\right)\right)$$

For subband k and time index n both in the range of $0, \dots, N-1$.

With the help of a “baseband prototype” or “window” $h(n)$ (independent of k):

window function
allows to improve
filter's parameters
like stopband
attenuation and
transition band
width

$$h(n) = \begin{cases} 1 & n = 0 \dots N-1 \\ 0 & \text{else} \end{cases}$$

We can now re-write this as a “**modulated filter**”,

$$h_k(N-1-n) = h(n) \cdot \cos\left(\frac{\pi}{N}\left(k+\frac{1}{2}\right)\left(n+\frac{1}{2}\right)\right)$$

With $k=0, \dots, N-1$, but now with $-\infty < n < \infty$

Modulated Filter Banks

So called **Modulated Filters** as part of a **Modulated Filter Bank** are defined to have the following general form:

$$h_k(n) = h(n) \cdot \Phi_k(n)$$

$h(n)$ window function (not necessarily limited in length)

$\Phi_k(n)$ modulation function, for instance the cosine function

↑
frequency index

Modulated Filter Banks

- Another example of filters for so-called **Cosine Modulated Filter Banks**:

$$h_k(n) = h(n) \cdot \cos\left(\frac{\pi}{N}(k+0.5)(n+0.5)\right)$$

- With the cosine modulation, the resulting frequency responses of the filters in the filter bank are:

$$H_k(\omega) = H(\omega) * \frac{1}{2} \delta\left(\omega - \frac{\pi}{N}(k+0.5)\right) + \frac{1}{2} \delta\left(\omega + \frac{\pi}{N}(k+0.5)\right)$$

The diagram shows the equation $H_k(\omega) = H(\omega) * \frac{1}{2} \delta\left(\omega - \frac{\pi}{N}(k+0.5)\right) + \frac{1}{2} \delta\left(\omega + \frac{\pi}{N}(k+0.5)\right)$. An arrow points from the text 'Multiplication in time becomes convolution in frequency' to the convolution symbol (*). Another arrow points from the text 'Delta functions from cosine term' to the delta functions in the equation.

Multiplication in time becomes
convolution in frequency

Delta functions from cosine term

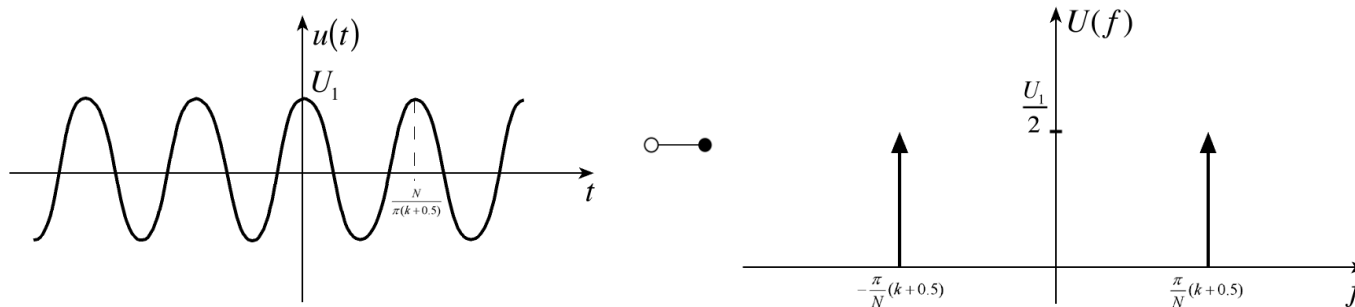
Modulated Filter Banks

$$= H\left(\omega - \frac{\pi}{N}\left(k + \frac{1}{2}\right)\right) + H\left(\omega + \frac{\pi}{N}\left(k + \frac{1}{2}\right)\right)$$

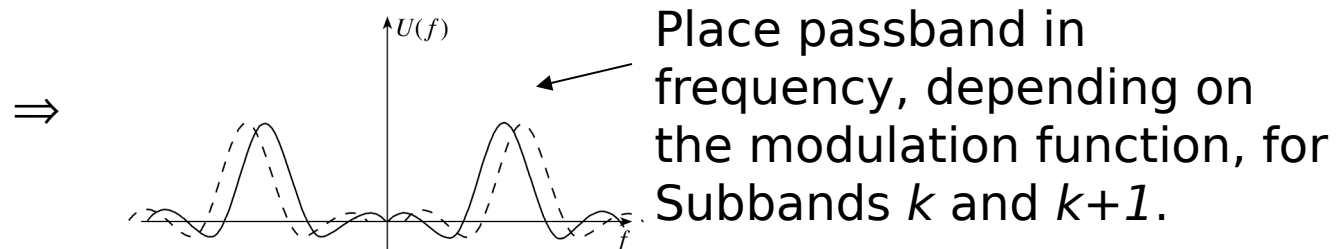
Shift in frequency

- Hence: Modulated filter banks obtain their filters by shifting a „baseband filter“ $h(n)$ in frequency $-\pi < \omega < \pi$.
- As a result, we need to design only $h(n)$ with high stopband attenuation and perfect reconstruction.

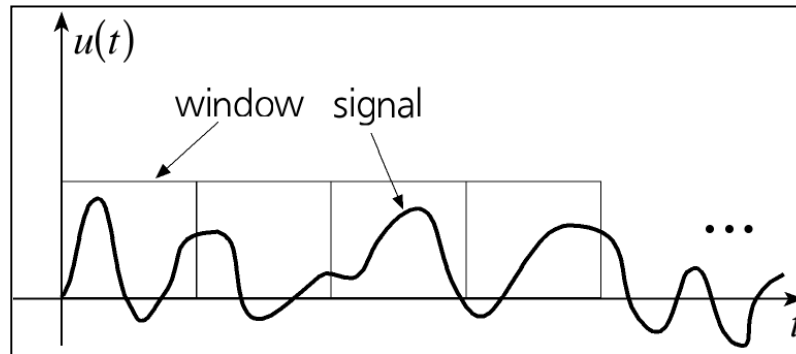
Modulated Filter Banks: Frequency Shifts



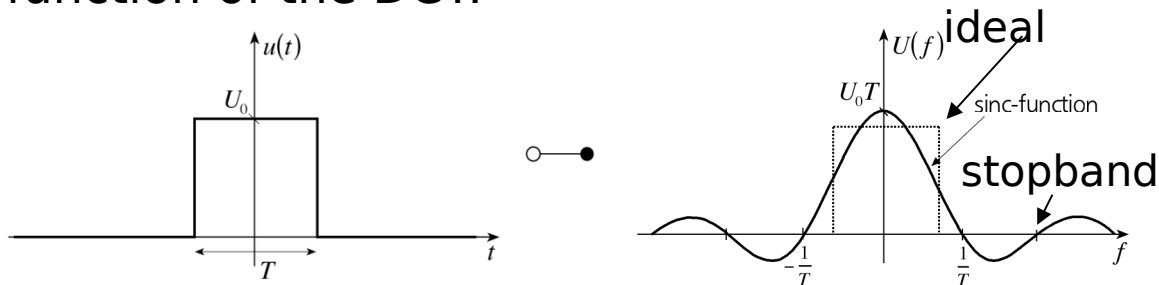
The subbands of the filter bank are frequency-shifted versions of the window frequency response:



Modulated Filter Banks: The Window Function



Frequency response of the rectangular window function of the DCT:



Modulated Filter Banks

Improve filter banks:

- make window longer
- different window shape

Examples (all have the same principle):

- TDAC (time domain aliasing cancellation)
(Princen and Bradley 1986&1987)
- LOT (lapped orthogonal transform)
(Malvar 1989)
- MDCT (modified DCT)
(Bernd Edler 1988)

Fast Implementation: Analysis Polyphase Matrix

- Remember: the analysis polyphase matrix is:

$$\underline{\underline{H}}(z) = \begin{bmatrix} H_{0,0}(z) & H_{0,1}(z) & \cdots & \\ H_{1,0}(z) & H_{1,1}(z) & & \\ \vdots & & \ddots & \\ & & & H_{N-1,N-1}(z) \end{bmatrix}$$

with the analysis polyphase components

$$H_{k,n}(z) = \sum_{m=0}^{\infty} h_k(n + mN)z^{-m}$$

The MDCT Filter Bank

- The so-called MDCT filter bank has a prototype or window length of $L=2N$, and is defined with its filter impulse responses in the direct implementation as,
- Analysis filters:

$$h_k(L-1-n) = h(n) \cdot \cos\left(\frac{\pi}{N} \cdot \left(k + \frac{1}{2}\right) \left(n + \frac{1}{2} - \frac{N}{2}\right)\right) \cdot \sqrt{\frac{2}{N}}$$

- Synthesis filters:

$$g_k(n) = g(n) \cdot \cos\left(\frac{\pi}{N} \cdot \left(k + \frac{1}{2}\right) \left(n + \frac{1}{2} - \frac{N}{2}\right)\right) \cdot \sqrt{\frac{2}{N}}$$

for $n=0, \dots, 2N-1$; $k=0, \dots, N-1$.

The MDCT Filter Bank

- The resulting **Analysis Polyphase** matrix is

$$\underline{\underline{H}}(z) = \begin{bmatrix} h_0(0) + z^{-1}h_0(N) & h_1(0) + z^{-1}h_1(N) & \dots \\ h_0(1) + z^{-1}h_0(N+1) & h_1(1) + z^{-1}h_1(N+1) & \\ \vdots & & \ddots \\ & & & h_{N-1}(N-1) + z^{-1}h_{N-1}(2N-1) \end{bmatrix}$$

Still square
matrix, still
invertible, $N \times N$

- observe: this $h_k(n)$ has length $2N$, and is more general than the rectangular window (not just 1 or 0)
- $\underline{\underline{H}}(z)$ is composed of 1st order polynomials
- Goal: find “good” $h(n)$

MDCT, Fast Implementation

- Fortunately, the MDCT polyphase matrix can be decomposed into a product of matrices, hence easier to invert to obtain perfect reconstruction:

$$\underline{\underline{H}}(z) = \begin{bmatrix} 0 & h(0) & h(N) & 0 \\ & \ddots & & \ddots \\ h(\frac{N}{2}-1) & 0 & 0 & h(1.5N-1) \\ h(\frac{N}{2}) & 0 & 0 & -h(1.5N) \\ & \ddots & & \ddots \\ 0 & h(N-1) & -h(2N-1) & 0 \end{bmatrix} \begin{bmatrix} z^{-1} & & & \\ & \ddots & & \\ & & z^{-1} & \\ & & & 1 \end{bmatrix} \begin{bmatrix} 0 & & & \\ & \ddots & & \\ & & 1 & \\ & & & \ddots \\ & & & & 1 \end{bmatrix}$$

F_a , real valued Delay matrix $D(z)$ DCT4-Matrix

matrix inverse is inverse of each entry!

$$\begin{bmatrix} 1 & 0 \\ 2 & 3 \end{bmatrix} \begin{bmatrix} 1 & 0 \\ 0 & 3 \end{bmatrix} = \begin{bmatrix} 1 & 0 \\ 0 & 9 \end{bmatrix}$$

$$\begin{bmatrix} 1 & 0 \\ 2 & 3 \end{bmatrix} \begin{bmatrix} 1 & 0 \\ 0 & 1/3 \end{bmatrix} = \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix}$$

MDCT, Fast Implementation

- Observe the diamond shaped form of the matrix $F_a(z)$ and the sparse structure
- Beneficial for an efficient implementation

MDCT synthesis, Fast Implementation

- The MDCT synthesis Polyphase matrix can be similarly decomposed into a product of matrices. Needs to be the inverse and a delay for Perfect Reconstruction (PR).

$$\underline{\underline{G}}(z) = T^{-1} \cdot \begin{bmatrix} 1 & & & 0 \\ & \ddots & & \\ & & 1 & \\ & & & z^{-1} \\ & & & & \ddots \\ 0 & & & & & z^{-1} \end{bmatrix} \cdot \begin{bmatrix} 0 & g(\frac{N}{2}-1) & g(\frac{N}{2}) & 0 \\ & \ddots & & \ddots \\ g(0) & 0 & 0 & g(N-1) \\ g(N) & 0 & 0 & -g(2N-1) \\ & \ddots & & \ddots \\ 0 & g(1.5N-1) & -g(1.5N) & 0 \end{bmatrix} F_s$$

$D^{-1}(z) \cdot z^{-1}$

z^{-1} : Delay by one time step (past)

z : Looking into the future → non-causal → not practical
hence mult. with z^{-1} (delay!) → cause of signal delay

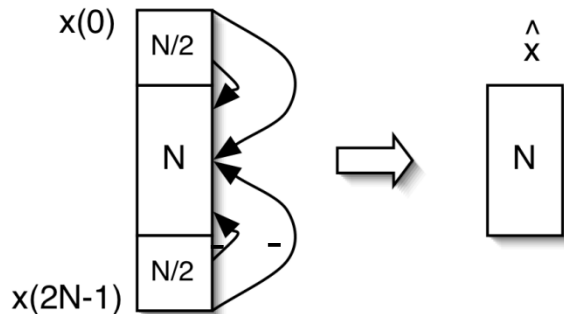
Graphical Interpretation of Analysis Matrix F_a

time

$$[x] \cdot \begin{bmatrix} 0 & h(0) & h(N) & 0 \\ & \ddots & & \ddots \\ h(0) & 0 & 0 & h(N-1) \\ h(N) & 0 & 0 & -h(2N-1) \\ & \ddots & & \ddots \\ 0 & h(N-1) & -h(2N-1) & 0 \end{bmatrix} \cdot \begin{bmatrix} z^{-1} & - & 0 \\ & \ddots & & \\ & & z^{-1} & \\ & & & 1 \\ & & & & \ddots \\ 0 & & & & & 1 \end{bmatrix} \cdot [DCT_4] = [y]$$

F_a $D(z)$

subbands



- „Folding“ the upper and lower quarter of the signal into a length N block (aliasing components)
- Invertible by matrix inversion containing overlap-add

MDCT, Perfect Reconstruction

- DCT matrix T and the delay matrix $D(z)$ are easily invertible for perfect reconstruction.
- System Delay results from making inverse of $D(z)$ causal (one block), and the blocking delay of $N-1$ samples.
- F_a is also easily invertible, with some simple matrix algebra:

$$g(n) = \frac{h(n)}{h(n)h(2N-1-n) + h(N+n)h(N-1-n)}$$

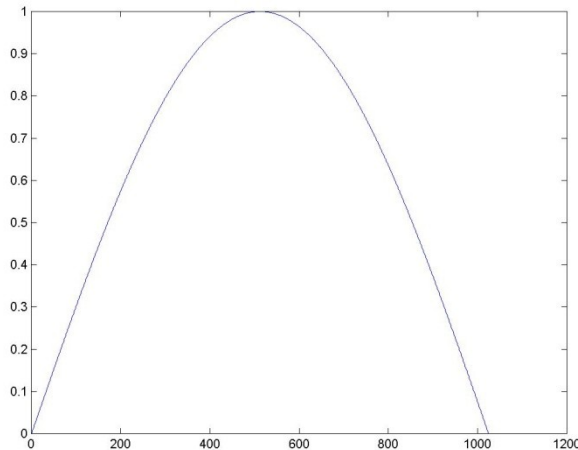
$$g(N+n) = \frac{h(N+n)}{h(n)h(2N-1-n) + h(N+n)h(N-1-n)}$$

Determinant in
the
denominator

with $n=0, \dots, N-1$

MDCT Filter Banks, Sine Window

- Modified Discrete Cosine Transform (MDCT): $g(n)=h(n) \Rightarrow \text{Denominator}=1$
- Example which fulfils this condition: Sine window



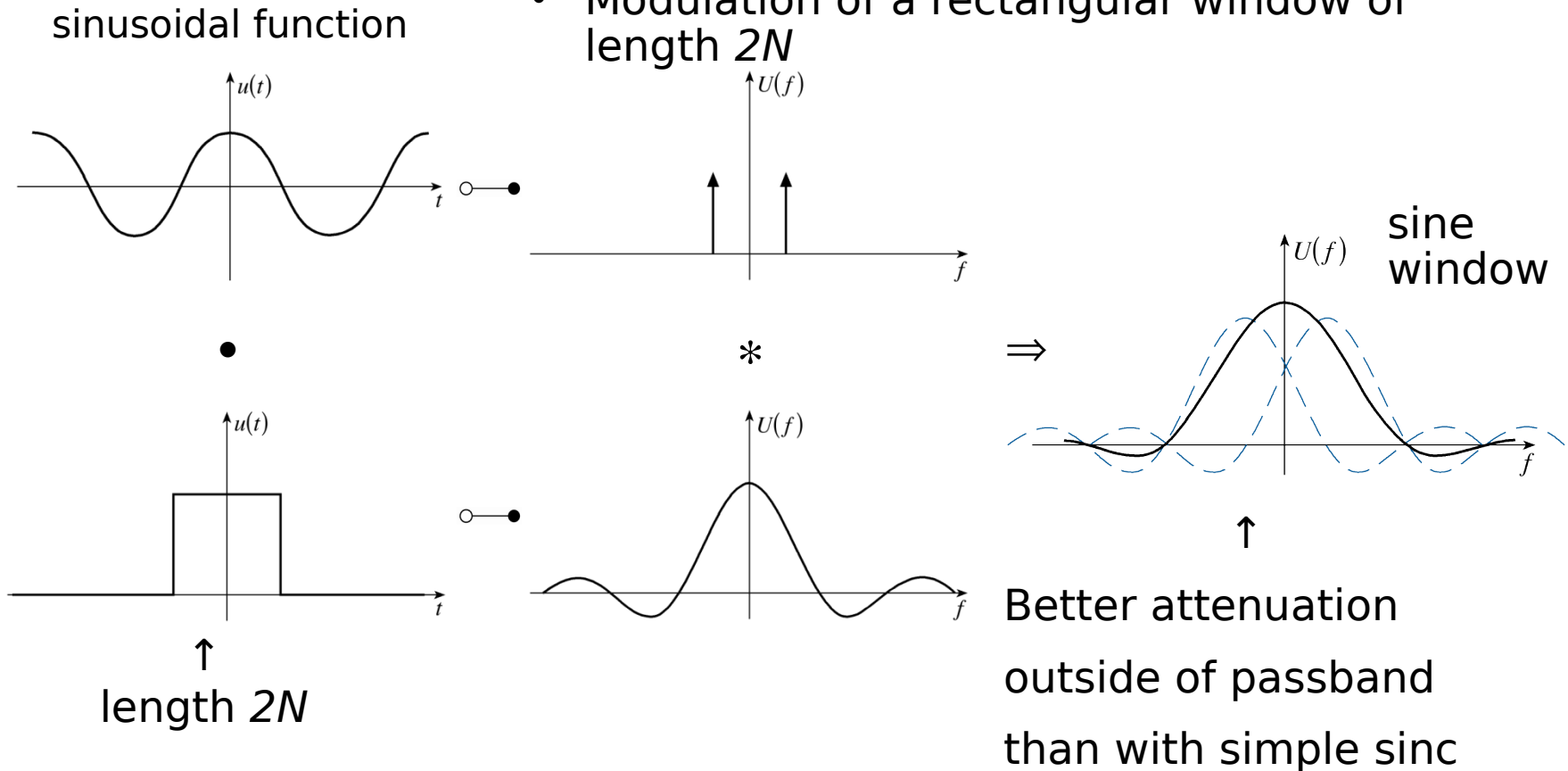
$$h(n) = \sin\left(\frac{\pi}{2N}(n+0.5)\right) \text{ for } n=0, \dots, 2N-1$$

System delay = $2N-1 = 1023$ for $N=512$

(from the delay matrices, 1 block of N , and the blocking delay of $N-1$)

Sine-Window Frequency Response

- Modulation of a rectangular window of length $2N$

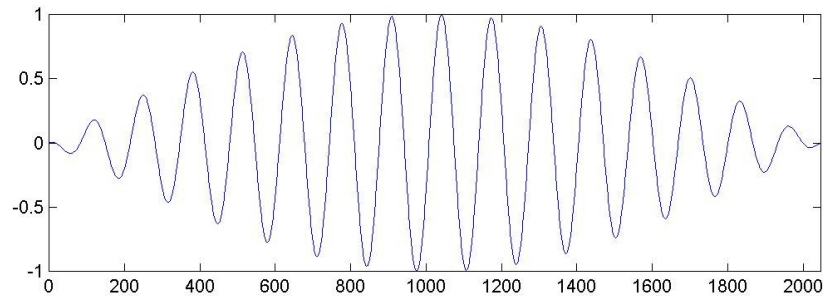
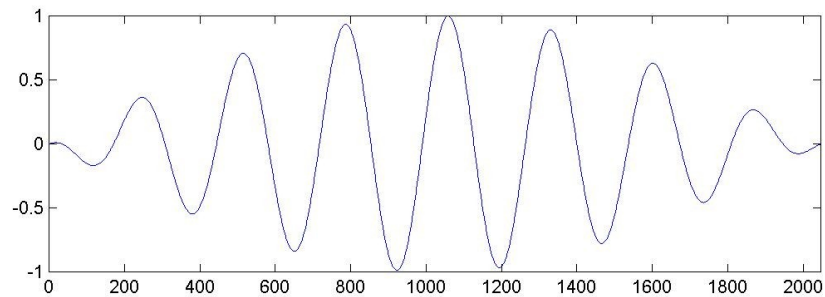


MDCT, Advantages

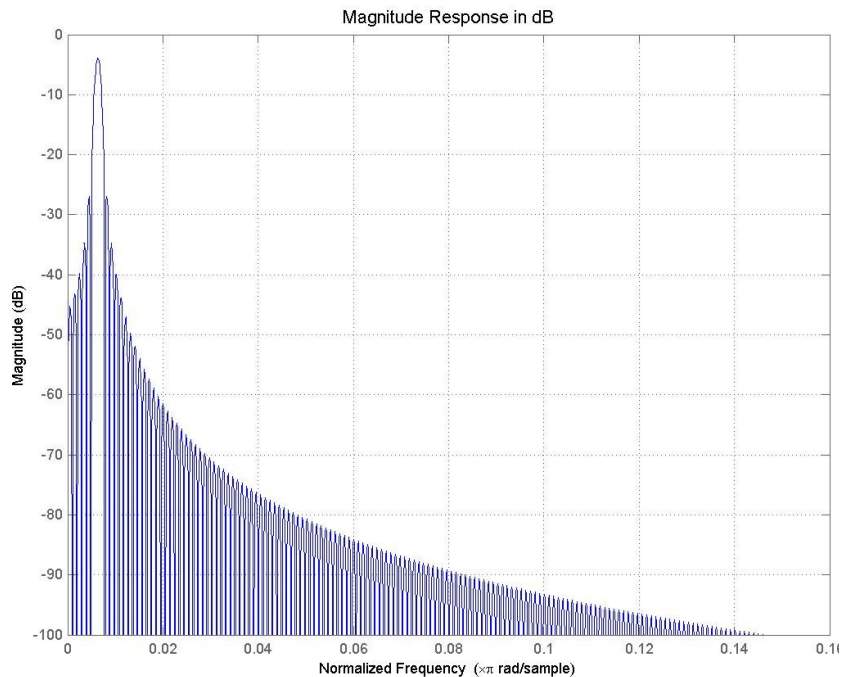
- Improved frequency responses, higher stopband attenuation
- Easy to design filter banks with many subbands
(for instance $N=1024$ for audio coding)
- Efficient implementation with the shown sparse matrices and a fast DCT.
Important for large number of subbands, as in audio coding.

MDCT Filter Banks, Impulse Responses

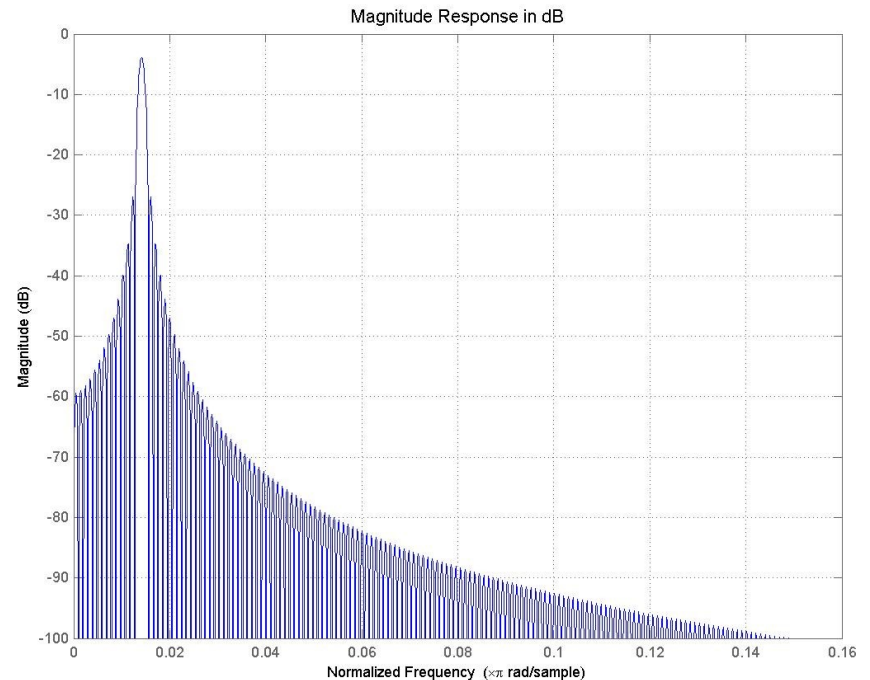
Examples: filter impulse responses
 $h_7(n)$, $h_{15}(n)$, $N=1024$ bands, sine window.



MDCT Filter Banks, Frequency Responses



Magnitude response 7th
band



Magnitude response 15th
band

indeed better filters!

Python Examples

- Next is a time-frequency representation, a spectrogram, which displays time on the vertical axis, and which shows the magnitude of the FFT coefficients as different colors:

`Python pyrecspecwaterfall.py`

- **Observe:** This shows the time-frequency nature of filter banks (of which the FFT is a special example). You have both, time and frequency dependencies.
- Next improved, with the MDCT

Python Examples

- This is an example for the MDCT filter bank. You see a decomposition of the audio signal into MDCT subbands. These subbands can then be processed, for instance we set every subband except for a few to zero. Then we display the result as a spectrogram waterfall diagramm, and use the inverse/synthesis MDCT for reconstruction and play the resulting sound back:

```
python pyrecplayMDCT.py
```

- **Observe:** The MDCT does not have those symmetric 2 sides, it only has one side of the spectrum, with the lowest frequencies on the left side, and the highest on the right.
- If we only keep a few subbands, it sounds muffled or „narrowband“.

Extending the Length of the MDCT

- **Longer filters** are obtained with **higher order polynomials** in the polyphase matrix
- Approach to obtain easily invertible polyphase matrices
- multiply MDCT polyphase matrix with more **easily invertible matrices** with polynomials of 1st order
- To control the resulting system delay:
design different matrices with different needs for delay to make them causal

Extending the Length

- Take the MDCT Polyphase matrix with a general window function $h(n)$ (not nec. Sine window):

$$\underline{\underline{H}}_{MDCT}(z)$$

- This matrix contains polynomials of first order. Multiply it with another matrix with polynomials of first order (Schuller, 1996, 2000):

$$L(z) \cdot \underline{\underline{H}}_{MDCT}(z)$$

Extending the Length

- This matrix needs to have a form such that again a modulated filter bank results.
- Diamond shaped form needs to be maintained

Extending the Length, Zero-Delay Matrix

- This matrix fulfills the conditions
- *Zero-Delay Matrix:*

$$L(z) = \begin{bmatrix} z^{-1}l_0 & & & & & 1 \\ & \ddots & & & & \\ & & z^{-1}l_{N/2-1} & 1 & & \\ & & 1 & 0 & & \\ & \ddots & & & \ddots & \\ 1 & & & & & 0 \end{bmatrix}$$

Extending the Length, Zero-Delay Matrix

- Its inverse is causal, hence does not need a delay to make it causal:

$$L^{-1}(z) = \begin{bmatrix} 0 & & & & 1 \\ & \ddots & & & \\ & & 0 & 1 & \\ & & 1 & -z^{-1}l_{N/2-1} & \\ & \ddots & & & \ddots \\ 1 & & & & -z^{-1}l_0 \end{bmatrix}$$

still increases filter length!

Extending the Length, Zero-Delay Matrix

- Observe: Since the matrix has a causal inverse, it can increase the filter length of the resulting filter bank without increasing the system delay!
- Hence adds zeros inside unit circle
- The coefficients $h(n)$ and l_n don't affect the delay or the PR property, but the frequency response of the resulting filter bank
- Coefficients need to be found by numerical optimization.

Extending the Length, Maximum-Delay Matrix

- Consider the following matrix
- *Maximum-Delay Matrix*:

$$H(z) = z^{-1}L(z^{-1})$$

- Its inverse and delay for causality is

$$H^{-1}(z) \cdot z^{-2} = z^{-1}L^{-1}(z^{-1})$$

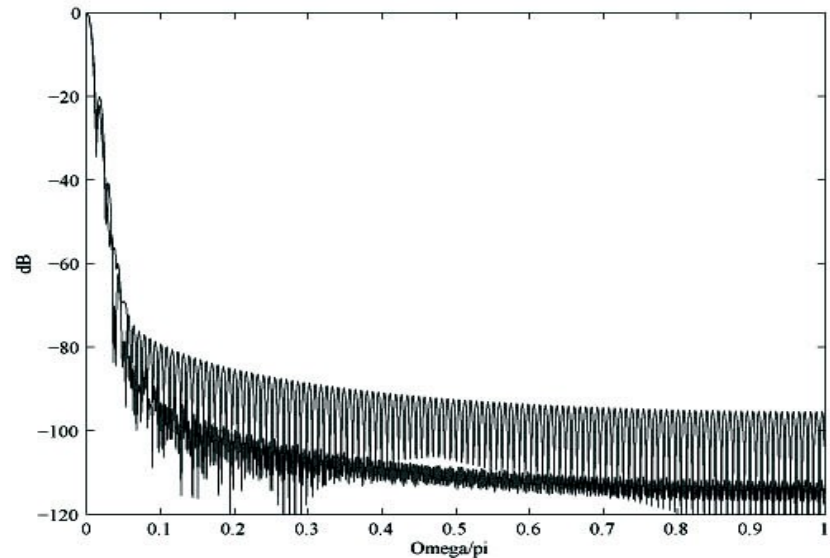
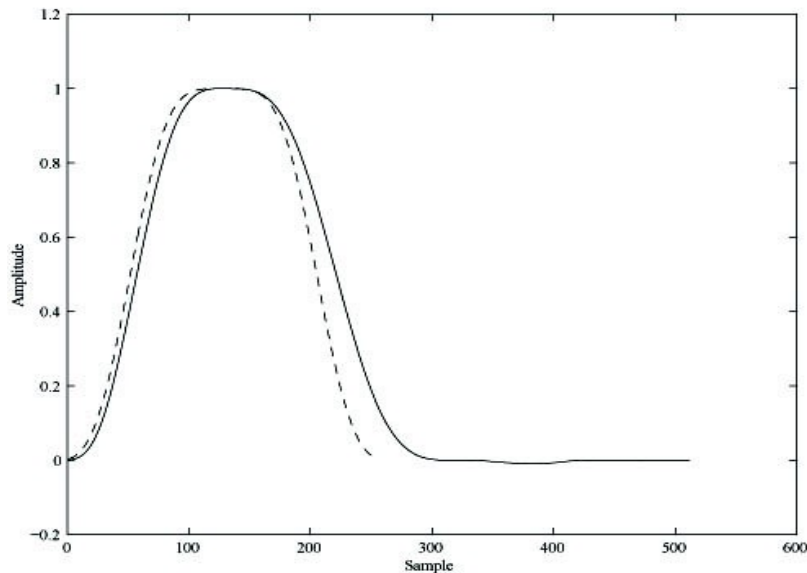
- Observe: This matrix and its inverse need a delay of 2 blocks to make it causal.
- Hence adds zeros outside the unit circle

Extending the Length, Design Method

- Determine the total number of Zero-Delay Matrices and Maximum-Delay Matrices according to the desired filter length
- Determine the number of Maximum-Delay Matrices according to the desired system Delay
- Determine the coefficients of the matrices with numerical optimization to optimize the frequency response

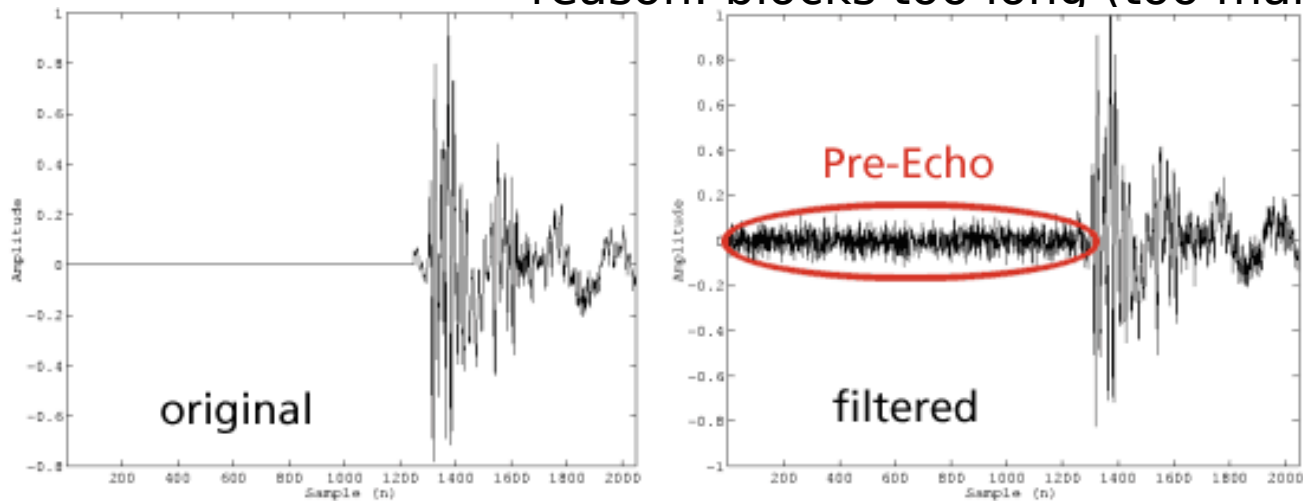
Example

- Comparison for 128 subbands.
- Dashed line: Orthogonal filter bank, filter length 256, system delay 255 samples.
- Solid line: Low delay filter bank, length 512, delay 255



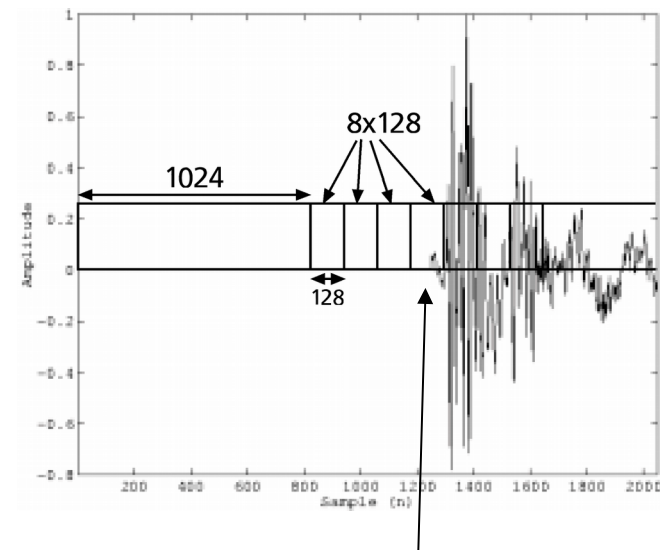
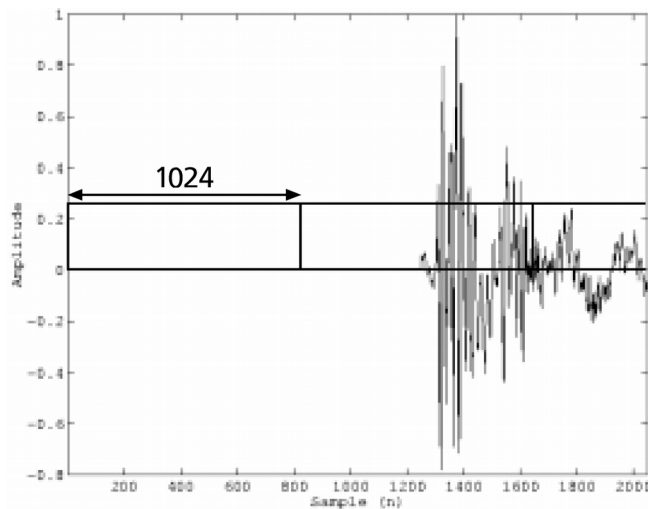
Block Switching

- Problem: In audio coding, Pre-echoes appear
before transients
- reason: blocks too long (too many



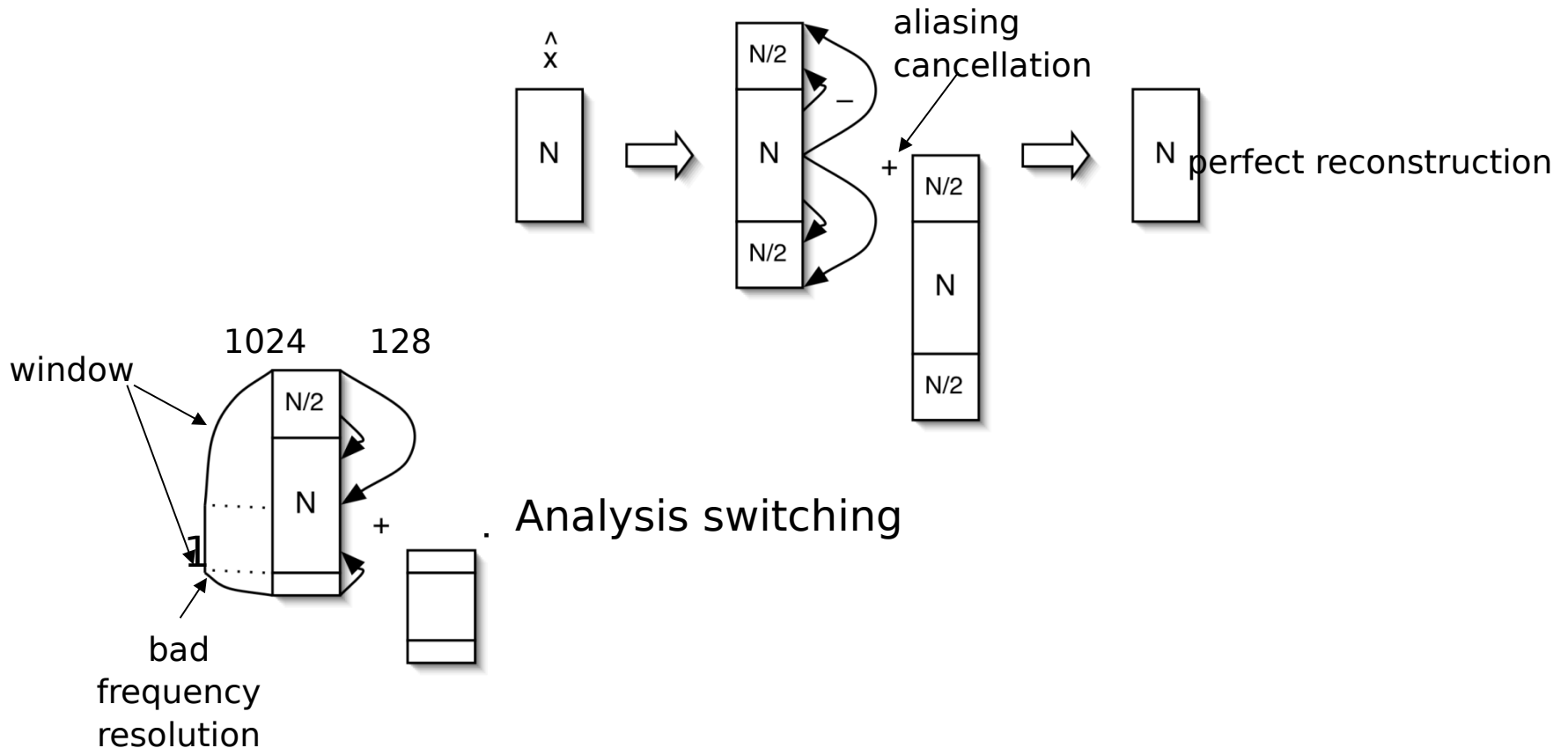
Block Switching

- Approach: for fast changing signals use block switching to lower number of subbands



less noise spread in time!

Accommodate Overlap-Add for Block Switching

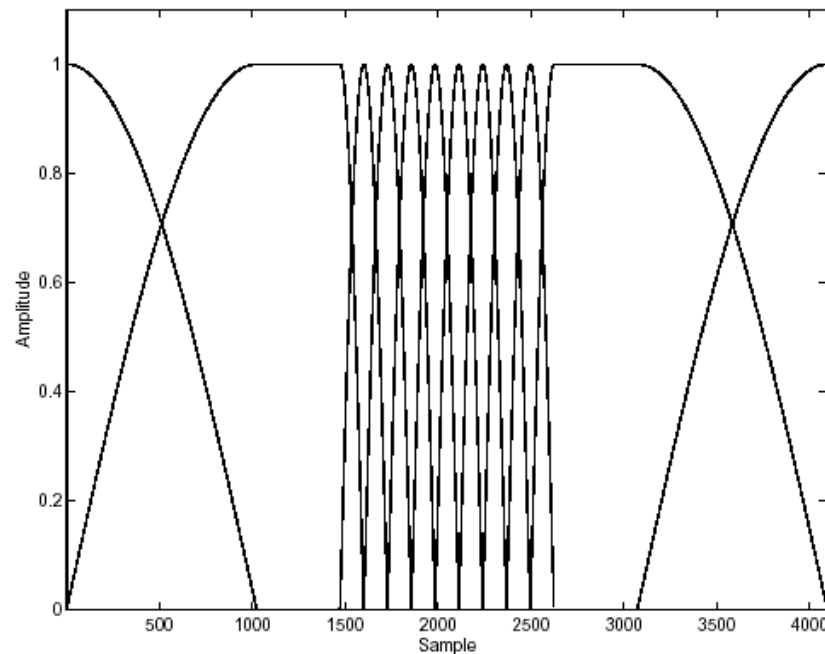


Block Switching

- Sequence of windows for switching the number of sub-bands
- Shorter windows → better resolution

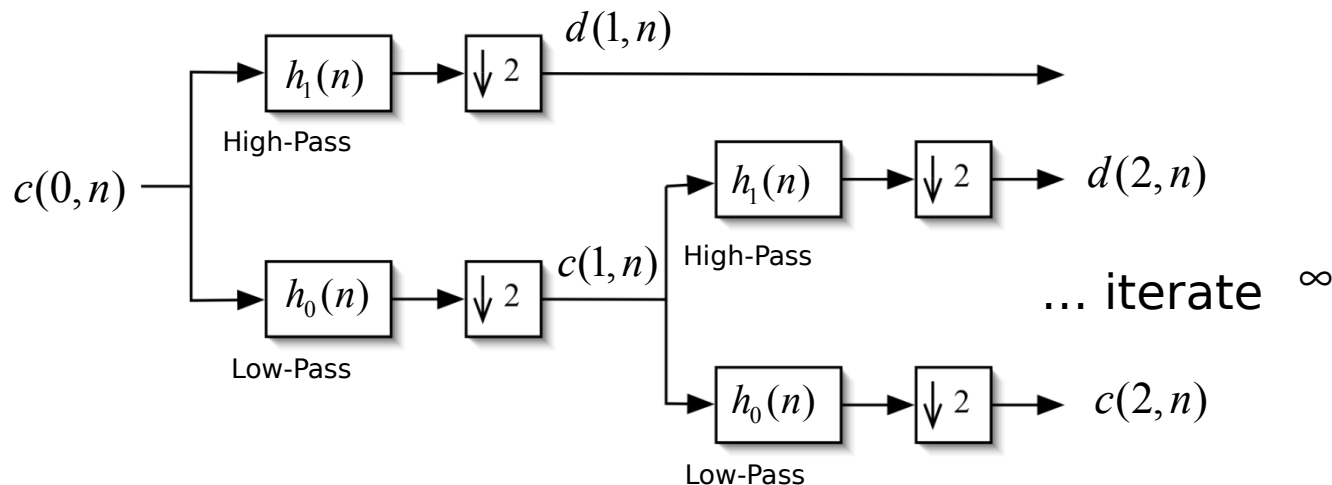
window
value
 $h(n)$

both, analysis
and synthesis



Wavelets, QMF Filter Banks

- Iterate 2-band system
- See also: Wavelet Packets (more general)
- Problem: Aliasing propagation reduces frequency selectivity!
- Important in image coding, but no big role in Audio Coding



How to Obtain a Two Band Filter Bank

- Application: QMF filter banks, Wavelets,...
- Analysis polyphase for a 2-band filter bank:

$$\underline{\underline{H}}(z) = \begin{bmatrix} H_{0,0}(z) & H_{0,1}(z) \\ H_{1,0}(z) & H_{1,1}(z) \end{bmatrix}$$

- Observe: $H_{0,0}(z)$ contains the even coefficients of the low pass filter, and $H_{1,0}(z)$ its odd coefficients.
- Accordingly for the high pass filter

How to Obtain a Two Band Filter Bank

- Given the analysis filters, the synthesis filters can be obtained by inverting the analysis polyphase matrix,

$$\underline{\underline{H}}^{-1}(z) = \frac{1}{\text{Det}(\underline{\underline{H}}(z))} \begin{bmatrix} H_{1,1}(z) & -H_{0,1}(z) \\ -H_{1,0}(z) & H_{0,0}(z) \end{bmatrix}$$

- Observe: If the analysis filters have a finite impulse response (FIR), and the synthesis is desired to also be FIR, the **determinant** of the polyphase matrix needs to be a **constant or a delay!**

How to Obtain a Two Band Filter Bank

$$\det(\underline{\underline{H}}(z)) = H_{1,1}(z)H_{0,0}(z) - H_{0,1}(z)H_{1,0}(z)$$

= const or a delay

- Observe: This is the output of the lower band of the filter bank if the input signal is

$$\underline{x}(z) = \begin{bmatrix} H_{1,1}(z), & -H_{0,1}(z) \end{bmatrix}$$

- Hence the determinant can be formulated as a **convolution**
- This input is the high band filter coefficients, with the sign of the even coefficients flipped and switched places with the odd coefficients.

How to Obtain a Two Band Filter Bank

- Since this represents a critically sampled filter bank, the result represents **every second sample** of the convolution of the low band filter with the correspondingly modified high band filter.
- This modified high band filter is a low band filter (every second sample sign flipped).
- The desired output of this downsampled convolution is a single pulse (corresponding to a constant or a delay), hence flat in frequency
- Another interpretation: correlation of the 2 signals, where the even lags that appear after downsampling are zero, except for the one pulse

QMF (Quadrature Mirror Filter)

- This suggests a simple design strategy:
 - Design a low pass filter for analysis and synthesis
 - Obtain the high pass filters by flipping the low pass filters every second coefficient

analysis FB: $h_1(n) = (-1)^n h_0(n) \quad n = 0, 1, \dots, N-1$

high pass: $g_0(n) = h_0(n)$

synth. FB low
pass: $g_1(n) = -h_1(n)$

- This is an early two band filter bank: QMF, Quadrature Mirror Filter (Croisier, Esteban, Galand, 1976)
- For more than 2 bands: GQMF (Cox, 1986), PQMF

QMF (2)

- Sign flipping to obtain the high band filter leads to the polyphase components:

$$H_{0,1}(z) = H_{0,0}(z)$$

$$H_{1,1}(z) = -H_{1,0}(z)$$

- The resulting determinant is:
$$\det(\underline{\underline{H}}(z)) = H_{1,1}(z)H_{0,0}(z) - H_{0,1}(z)H_{1,0}(z)$$
$$= -2H_{0,1}(z)H_{0,0}(z)$$

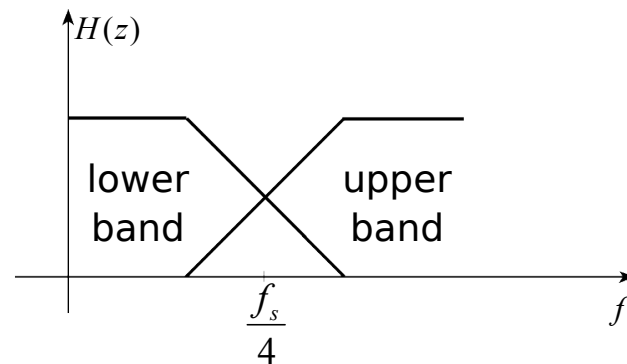
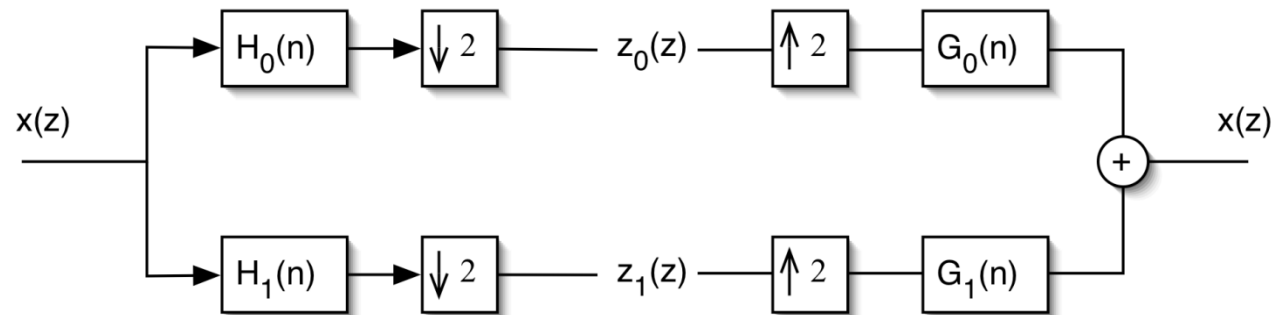
- Observe: This cannot be made a constant or delay for finite polynomials of order 1 or greater, hence no PR for finite length filters!

QMF (3)

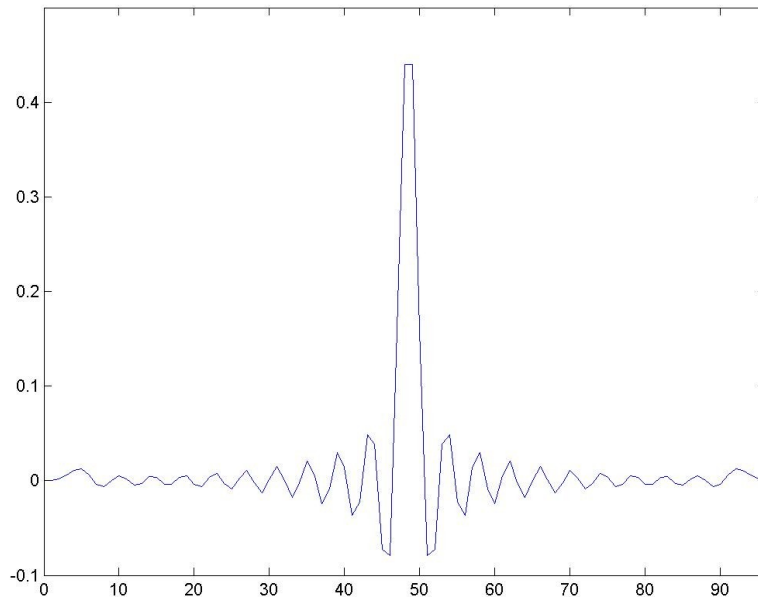
- The QMF accounts for the sign flipping in the determinant equation.
- But not for the trading places of even and odd coefficients
- Hence: **No Perfect Reconstruction**
(only for simple Haar and IIR filters)
- High stopband attenuation needed to keep reconstruction error small
- Numerical optimization to obtain

$$\left|H_0(e^{j\omega})\right|^2 + \left|H_1(e^{j\omega})\right|^2 \approx 1$$

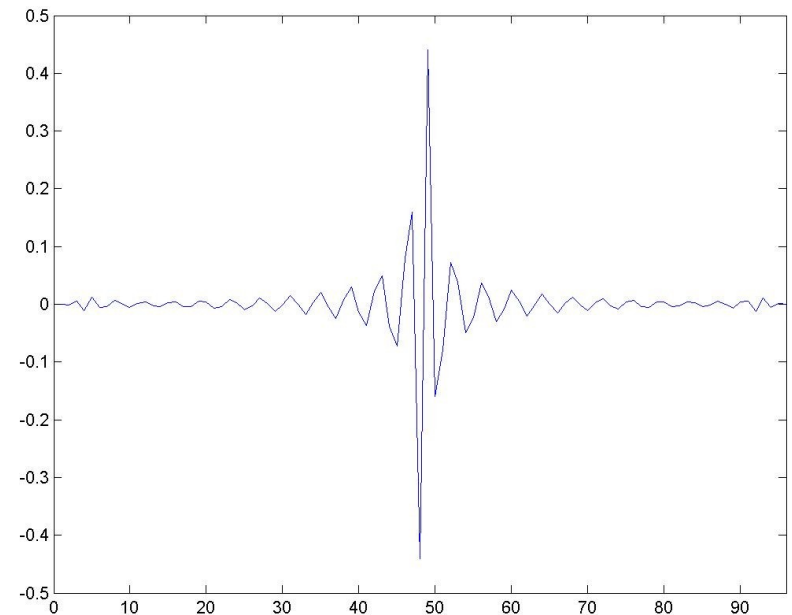
QMF (4)



QMF: Example with Impulse Response of Length 96



Low-Pass



High-Pass

CQMF (1): Conjugate QMF

- To also accommodate for the trading places of odd and even coefficients, a natural choice is to also reverse the temporal order of the synthesis filter.

$$h_1(n) = -h_0(L-1-n)(-1)^n$$

- With L : filter length, and

$$g_0(n) = h_0(n)$$

$$g_1(n) = -h_1(n)$$

- Introduced e.g. by Smith, Barnwell, 1984

CQMF (2)

- For the polyphase components this means

$$H_{0,1}(z) = -z^{-L/2} H_{0,0}(z^{-1})$$

$$H_{1,1}(z) = z^{-L/2} H_{1,0}(z^{-1})$$

- And the input for our determinant calculation is

$$\underline{x}(z) = z^{-L/2} \begin{bmatrix} H_{1,0}(z^{-1}), & H_{0,0}(z^{-1}) \end{bmatrix}$$

- This corresponds exactly to the time reversed low band filter!

CQMF

- Let's define

$$A(z) = H_{1,0}(z^{-1})H_{0,0}(z)$$

- The determinant is now

$$\begin{aligned}\det(\underline{\underline{H}}(z)) &= H_{1,1}(z)H_{0,0}(z) - H_{0,1}(z)H_{1,0}(z) \\ &= z^{-L/2}(A(z) + A(z^{-1}))\end{aligned}$$

- Observe: This can be a constant if all even coefficients of $A(z)$ are zero, except for the center coefficient!

CQMF (3)

- Remember: the determinant was the output of the low band with this input
- Hence: Every second sample of the convolution of the low band filter with its time reversed version.
- This is equal to **every second value** of the **autocorrelation** function of the **low band filter**!
- Determinant is a constant or a delay: only one sample of this downsampled autocorrelation function (all even coefficients) can be unequal zero (most even coefficients are zero)

CQMF (4)

- The Determinant is a constant means:
 - The zeroth autocorrelation coefficient is a constant (unequal 0), and all other even coefficients must be zero.
 - Called Nyquist filter property
 - -> Design method

CQMF (5)

z-transform of
ACF of low pass
filter
-> power spectrum

- In other terms: Define $P(z)$ as the z-transform of this autocorrelation function, the **Power Spectrum**:

$$P(z) := H_0(z) \cdot H_0(z^{-1})$$

- Then all nonzero coefficients of $P(z)$ are the zeroth coefficient and the odd coefficients.
- As a result:

The odd coefficients cancel

$$P(z) + P(-z) = \text{const}$$

Frequency reversal

This is also called the halfband filter property.
Design approach: Design $P(z)$ accordingly, then $H(z)$

Pseudo-QMF (PQMF)

- So far we only had 2 subband QMF filter banks
- Only for the 2-band case we get perfect reconstruction (in the CQMF case)
- The PQMF extends the QMF approach to $N > 2$ subbands
- But it has only „Near Perfect Reconstruction“, meaning a reconstruction error by the filter bank
- It is modulated filter band (like the MDCT), using a baseband prototype filter $h(n)$ (a lowpass)

PQMF

- Its analysis filters are given by the impulse responses (L being the length of the impulse response)

$$h_k(n) = h(n) \cos \left(\frac{\pi}{N} \cdot (k+0.5) \left(n+0.5 - \frac{L}{2} + (-1)^k \frac{\pi}{4} \right) \right)$$

- It is an (almost) **orthogonal filter bank**, which means that the synthesis filter impulse responses are simply the time inverses of the analysis impulse responses,

$$g_k(n) = h_k(L-1-n)$$

PQMF

- Its baseband prototype filters $h(n)$ are now designed such that aliasing cancels between adjacent neighbouring bands,

$$\left|H(e^{j\Omega})\right|^2 + \left|H(e^{j(\pi/N - \Omega)})\right|^2 = 1, \text{ for } 0 < |\Omega| < \frac{\pi}{2N}$$

- beyond the adjacent bands, the attenuation should go towards infinity,

$$\left|H(e^{j\Omega})\right|^2 = 0, \text{ for } |\Omega| > \frac{\pi}{N}$$

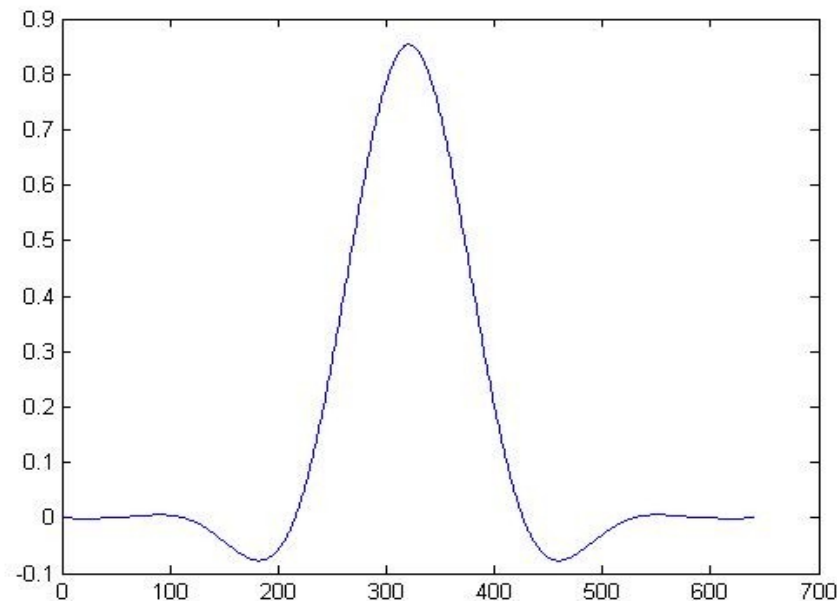
This leads to “Near Perfect Reconstruction”
(there is a reconstruction error)

PQMF

- The PQMF filter bank is used in MPEG1/2 Layer I and II and III. There it has $N=32$ subbands and filter length $L=512$
- Also used in MPEG 4 for so-called SBR (Spectral Band Replication) and for parametric surround coding. There it has $N=32$ or $N=64$ subbands, and filter length $L=320$ or $L=640$

PQMF used in MPEG4

- Impulse response of the baseband prototype (the window), with $N=64$ and $L=640$



PQMF used in MPEG4

- Frequency response of the baseband prototype (the window)

