

1 A switching strategy for improving the performance of the frequency-domain block LMS
2 algorithms for active noise control

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13 Running title: Improved adaptive algorithm

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17 **Abstract:** The bin-normalized frequency domain block LMS (NFBLMS) algorithm
18 demonstrates high convergence speed in active noise control (ANC) applications; however, it
19 suffers from a biased steady-state solution when the adaptive filter length is not sufficient. A
20 modified FBLMS (MFBLMS) algorithm has been proposed recently to solve the problem
21 with guaranteed optimal steady-state performance, but its convergence speed is lower than
22 that of the NFBLMS algorithm. In this paper, an improved algorithm is proposed by
23 combining the NFBLMS and MFBLMS algorithms. Based on the analysis of the initial
24 convergence trajectory of the NFBLMS algorithm, an effective switching strategy is
25 designed, which enables the MFBLMS algorithm after the NFBLMS algorithm approaches
26 its steady state and switches back to the NFBLMS algorithm when an environmental change
27 is detected. The simulation results using the measured acoustic transfer functions are
28 presented to demonstrate that the proposed algorithm gains both high convergence speed and
29 optimal steady-state performance from the NFBLMS and MFBLMS algorithms.

30 **Keywords:** active noise control; frequency domain adaptive algorithm; insufficient filter
31 length.

32

33 I. INTRODUCTION

34 Active noise control (ANC) has wide applications in sound barriers, cars and
35 headphones⁰⁻⁴ due to its benefits of attenuating low-frequency noise without bulky passive
36 structures. For the common feedforward control system, the filtered-x LMS (FXLMS)
37 algorithm is widely utilized because of its simplicity and stability.⁵⁻¹⁰ However, as noted by
38 many researchers, the time domain FXLMS algorithm suffers from low convergence speed.¹¹
39 Many effective alternatives, such as the frequency domain block least mean square (FBLMS)
40 algorithm,¹²⁻¹⁵ subband algorithm,^{16,17} and variable step size (VSS) algorithm,¹⁸ have been
41 proposed.

42 The normalized FBLMS (NFBLMS) algorithm, obtained by normalizing the stepsize
43 of the FBLMS algorithm according to the reference signal power in each frequency bin,
44 theoretically has a uniform convergence mode in each frequency bin.^{19,20} Although the
45 NFBLMS algorithm has high convergence speed for colored noise, its mean squared error
46 (MSE) is large with insufficient adaptive filter length, which is a common scenario in ANC
47 system due to the existence of the secondary path between the control source and the error
48 sensor.^{21,22,23} A modified FBLMS (MFBLMS) algorithm has been proposed, which can
49 guarantee the optimal steady-state behavior at cost of some computational complexities.²⁴
50 Unfortunately, the convergence speed of the MFBLMS algorithm has been found to be
51 generally lower than that of the NFBLMS algorithm.²⁵

52 In this paper, a quantitative analysis of the initial convergence behavior of the NFBLMS
53 algorithm is presented first, and then a switching mechanism between the NFBLMS and the
54 MFBLMS algorithms is designed based on this. The benefits of both the NFBLMS and the
55 MFBLMS algorithms are combined in the proposed algorithm, ensuring both the high
56 convergence speed and the optimal steady-state behavior. Simulations with the measured
57 ANC transfer functions are carried out to validate the efficacy of the proposed algorithm.

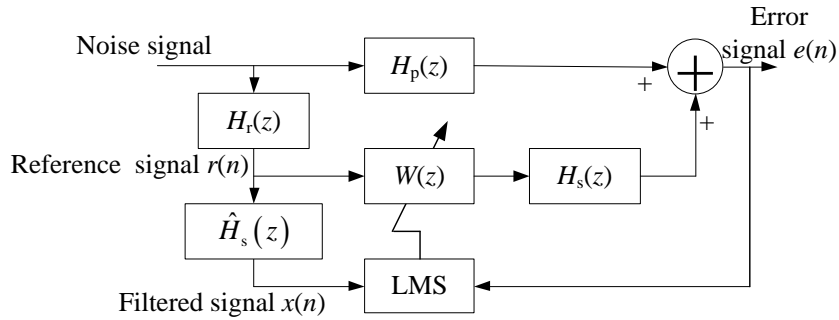
58 Throughout this paper, lowercase letters are used for scalar quantities, bold lowercase for
 59 vectors and bold uppercase for matrices. Subscript f denotes a frequency domain
 60 representation of each signal and k is reserved for the block index.

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62 II. THE FREQUENCY DOMAIN ALGORITHM

63 A block diagram of a common feedforward ANC system is shown in Figure 1, where
 64 $H_r(z)$ is the transfer function from the noise source to the reference sensor, $H_p(z)$ and $H_s(z)$
 65 are the transfer functions of the primary and the secondary paths, $\hat{H}_s(z)$ is the modeled
 66 secondary path transfer function, and $W(z)$ is the control filter.

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69 Figure 1. Block diagram of the FxLMS algorithm

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71 To reduce the computational complexity and increase the convergence speed, the
 72 NFBLMS¹⁵ and MFBLMS²⁴ algorithms can be applied in the ANC system. If the secondary
 73 path is perfectly modeled, i.e., $\hat{H}_s(z) = H_s(z)$, the frequency domain algorithm for ANC
 74 can be simplified as the adaptive system identification algorithm,²¹ as shown in Figure 2,
 75 where $\mathbf{x}(k)$ and $\mathbf{e}(k)$ denote the filtered signal vector and the error signal vector in the time
 76 domain respectively, $\mathbf{x}_f(k)$ and $\mathbf{e}_f(k)$ denote the filtered signal vector and the error signal
 77 vector in the frequency domain respectively, $\mathbf{w}_f(k)$ is the control filter in the frequency
 78 domain, and $\boldsymbol{\xi}$ is the vector containing the normalizing factors for each frequency bin. The

79 length of the control filter is N , and the block length of the algorithm is usually also set as N ,
80 so the length of the DFT operation is $2N$. The red line and the blue line indicate the signal
81 flow of the NFBLS and MFBLMS algorithms, respectively. The black line indicates the
82 signal flow of both algorithms.

83 The commonly used update equation of the constrained NFBLS algorithm is ²⁴

$$84 \quad \mathbf{w}_f(k+1) = \mathbf{w}_f(k) + 2\mu \mathbf{Q}_{N,0} \mathbf{M}_f \mathbf{X}_f^H(k) \mathbf{e}_f(k), \quad (1)$$

85 where the superscript H represents the conjugate transpose operation, μ is step size
86 normalized by ξ , $\mathbf{X}_f(k) = \text{diag}[\mathbf{x}_f(k)]$, $\mathbf{M}_f = \text{diag}[\xi]$, and ξ is usually set as the reciprocal of the
87 reference signal power, so that

$$88 \quad \mathbf{M}_f = \left\{ E \left[\mathbf{X}_f^H(k) \mathbf{X}_f(k) \right] \right\}^{-1}. \quad (2)$$

89 $\mathbf{Q}_{N,0} = \mathbf{F} \mathbf{G}_{N,0} \mathbf{F}^{-1}$, $\mathbf{Q}_{0,N} = \mathbf{F} \mathbf{G}_{0,N} \mathbf{F}^{-1}$, \mathbf{F} represents a $2N \times 2N$ discrete Fourier transform (DFT)
90 matrix, and

$$91 \quad \mathbf{G}_{N,0} = \begin{bmatrix} \mathbf{I}_{N \times N} & \mathbf{0}_{N \times N} \\ \mathbf{0}_{N \times N} & \mathbf{0}_{N \times N} \end{bmatrix}, \mathbf{G}_{0,N} = \begin{bmatrix} \mathbf{0}_{N \times N} & \mathbf{0}_{N \times N} \\ \mathbf{0}_{N \times N} & \mathbf{I}_{N \times N} \end{bmatrix}. \quad (3)$$

92 The filter update equation of the MFBLMS algorithm is given by²⁴

$$93 \quad \mathbf{w}_f(k+1) = \mathbf{w}_f(k) + 2\mu \mathbf{Q}_{N,0} \mathbf{M}_f \mathbf{Q}_{N,0} \mathbf{X}_f^H(k) \mathbf{e}_f(k). \quad (4)$$

94 The difference between Eqs. (1) and (4) is that there is one more $\mathbf{Q}_{N,0}$ in Eq. (4).

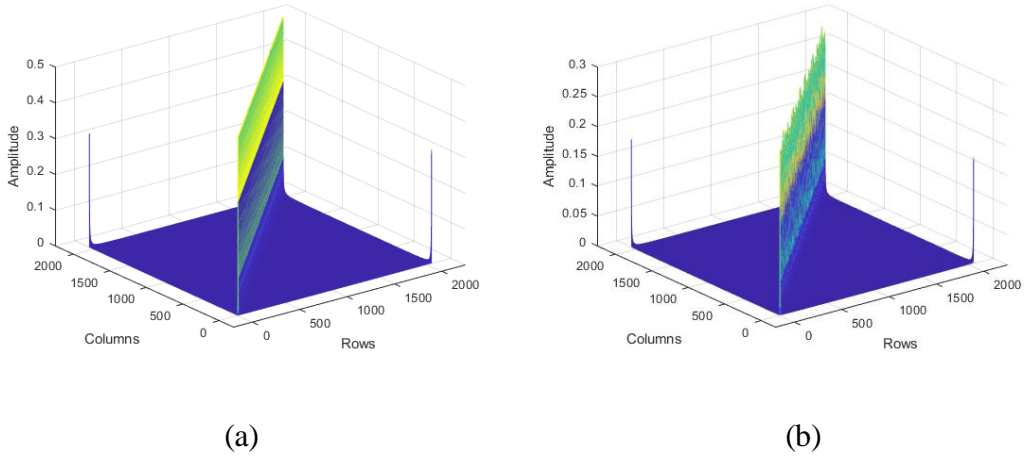
95 When the adaptive filter is of insufficient length, the steady-state solution of the
96 NFBLS algorithm deviates from the optimal Wiener solution while the MFBLMS
97 algorithm remains converging to the Wiener solution.²⁶ However, the convergence speed of
98 the MFBLMS algorithm has been found to be slower than that of the NFBLS algorithm due
99 to²⁵ Therefore it is reasonable to combine the high convergence speed of the NFBLS
100 algorithm and the optimal steady-state behavior of the MFBLMS algorithm, and the key is to
101 design an effective switching strategy.

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113 distribution with 2 degrees of freedom.²⁸ $E[\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{e}_{f,o}(k)] = 0$, $\mathbf{Q}_{N,0} \approx \mathbf{I}/2$ and $\mathbf{Q}_{0,N}$
 114 $\approx \mathbf{I}/2$ for large enough N , $E[\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{X}_f(k)] \approx \mathbf{I}/4$, and $\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{X}_f(k)$ is
 115 approximated as a diagonal matrix.¹⁹

116 To confirm the analysis results, Figure 3 shows the value distribution $\mathbf{Q}_{0,N}$ and
 117 $\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{X}_f(k)$ when $N = 2048$, with noise signal generated by passing the Gaussian
 118 white noise through the transfer function $H(z) = (1-0.5z^{-1})^{10}/(1-0.6z^{-1})^{10}$. It is clear that both
 119 matrices are close to an ideal diagonal matrix, and the diagonal element of $\mathbf{Q}_{0,N}$ is around 0.5
 120 while the diagonal element of $\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{X}_f(k)$ is around 0.25, as anticipated from the
 121 analysis.

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125 Figure 3. Distribution of matrix coefficients with (a) $\mathbf{Q}_{0,N}$; (b) $\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{X}_f(k)$.

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127 Let

$$128 \quad \Phi(k) = 2\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{X}_f(k). \quad (6)$$

129 When the initial value of the adaptive filter is far enough away from the steady-state solution,

130 $\mu\mathbf{Q}_{N,0}\mathbf{M}_f\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}\mathbf{e}_{f,o}(k)$ is considerably smaller than $\mathbf{v}_f(k)$ at the initial stage of the filter

131 updating process and is negligible. Substituting Eq. (6) in Eq. (5) yields

$$132 \quad \mathbf{v}_f(k+1) = [\mathbf{I} - \mu\Phi(k)]\mathbf{v}_f(k). \quad (7)$$

133 The error of the NFBLMS and MFBLMS algorithms can both be described as²⁴

$$134 \quad \mathbf{e}_f(k) = \mathbf{Q}_{0,N} [\mathbf{d}_f(k) - \mathbf{X}_f(k) \mathbf{w}_f(k)], \quad (8)$$

135 where $\mathbf{d}_f(k)$ is the desired signal in the frequency domain. It can be seen from Eq. (8) that

$$136 \quad \begin{aligned} \mathbf{e}_f(k) &= \mathbf{Q}_{0,N} [\mathbf{X}_f(k) \mathbf{w}_{f,o}(k) + \mathbf{e}_{f,o}(k) - \mathbf{X}_f(k) \mathbf{w}_f(k)] \\ &= -\mathbf{Q}_{0,N} \mathbf{X}_f(k) \mathbf{v}_f(k) + \mathbf{Q}_{0,N} \mathbf{e}_{f,o}(k) \end{aligned} \quad (9)$$

137 When the initial value of the adaptive filter is far away from the steady-state solution, $\mathbf{e}_f(k) -$

138 $\mathbf{Q}_{0,N} \mathbf{e}_{f,o}(k) \approx \mathbf{e}_f(k)$ at the initial stage. Eq. (9) can be simplified as

$$139 \quad \mathbf{e}_f(k) = -\mathbf{Q}_{0,N} \mathbf{X}_f(k) \mathbf{v}_f(k). \quad (10)$$

140 According to the independence assumption,²⁰ $\mathbf{v}_f(k)$ is only related to the past observations

141 and is independent of the information of the current block. Multiplying both sides of Eq. (10)

142 with their respective conjugate transpositions and then taking expectation leads to

$$143 \quad \begin{aligned} E[\mathbf{e}_f^H(k) \mathbf{e}_f(k)] &= E[\mathbf{v}_f^H(k) \mathbf{X}_f^H(k) \mathbf{Q}_{0,N}^H \mathbf{Q}_{0,N} \mathbf{X}_f(k) \mathbf{v}_f(k)] \\ &= E\left\{ \mathbf{v}_f^H(k) E[\mathbf{X}_f^H(k) \mathbf{Q}_{0,N}^H \mathbf{Q}_{0,N} \mathbf{X}_f(k)] \mathbf{v}_f(k) \right\}. \end{aligned} \quad (11)$$

144 Let $J_m(k) = E[\mathbf{e}_f^H(k) \mathbf{e}_f(k)]$, substituting Eq. (7) in Eq. (11) yields

$$145 \quad \begin{aligned} &J_m(k+1) \\ &= E[\mathbf{e}_f^H(k+1) \mathbf{e}_f(k+1)] \\ &= E\left\{ \mathbf{v}_f^H(k) [\mathbf{I} - \mu \mathbf{\Phi}^H(k)] E[\mathbf{X}_f^H(k+1) \mathbf{Q}_{0,N}^H \mathbf{Q}_{0,N} \mathbf{X}_f(k+1)] [\mathbf{I} - \mu \mathbf{\Phi}(k)] \mathbf{v}_f(k) \right\} \end{aligned} \quad (12)$$

146 Since $\mathbf{\Phi}(k)$ is only related to $\mathbf{X}_f(k)$, $\mathbf{\Phi}(k)$ is independent of $\mathbf{X}_f(k+1)$ due to the independence

147 assumption. Note the matrices in Eq. (12) are all approximated as diagonal matrices, so Eq.

148 (12) can be expressed as

$$149 \quad \begin{aligned} &J_m(k+1) \\ &= E\left\{ \mathbf{v}_f^H(k) E\left\{ [\mathbf{I} - \mu \mathbf{\Phi}^H(k)] E[\mathbf{X}_f^H(k+1) \mathbf{Q}_{0,N}^H \mathbf{Q}_{0,N} \mathbf{X}_f(k+1)] [\mathbf{I} - \mu \mathbf{\Phi}(k)] \right\} \mathbf{v}_f(k) \right\} \\ &= E\left\{ \mathbf{v}_f^H(k) E[\mathbf{I} - \mu \mathbf{\Phi}^H(k)] [\mathbf{I} - \mu \mathbf{\Phi}(k)] E[\mathbf{X}_f^H(k+1) \mathbf{Q}_{0,N}^H \mathbf{Q}_{0,N} \mathbf{X}_f(k+1)] \mathbf{v}_f(k) \right\} \end{aligned} \quad (13)$$

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151 Known by the characteristics of the chi-square distribution,²⁹ $E[\mathbf{\Phi}(k)] = 0.5\mathbf{I}$ and $E\{[\mathbf{\Phi}^H(k) -$
 152 $0.5\mathbf{I}][\mathbf{\Phi}(k) - 0.5\mathbf{I}]\} \approx 0.25\mathbf{I}$, then

$$\begin{aligned}
 & E\{[\mathbf{I} - \mu\mathbf{\Phi}^H(k)][\mathbf{I} - \mu\mathbf{\Phi}(k)]\} \\
 &= E\left\{\left\{\left(1 - \frac{\mu}{2}\right)\mathbf{I} - \mu\left[\mathbf{\Phi}^H(k) - \frac{1}{2}\mathbf{I}\right]\right\}\left\{\left(1 - \frac{\mu}{2}\right)\mathbf{I} - \mu\left[\mathbf{\Phi}(k) - \frac{1}{2}\mathbf{I}\right]\right\}\right\} \\
 153 &= \left(1 - \frac{\mu}{2}\right)^2 \mathbf{I} + \mu^2 E\left\{\left[\mathbf{\Phi}^H(k) - \frac{1}{2}\mathbf{I}\right]\left[\mathbf{\Phi}(k) - \frac{1}{2}\mathbf{I}\right]\right\}, \quad (14) \\
 &= \left[\left(1 - \frac{\mu}{2}\right)^2 + \frac{\mu^2}{4}\right]\mathbf{I} = b\mathbf{I}
 \end{aligned}$$

154 where $b = (1 - \mu / 2)^2 + \mu^2 / 4$.

155 According to the independence assumption, $\mathbf{v}_f(k)$ is independent of $\mathbf{\Phi}(k)$. Assume that
 156 the noise is stationary, then substituting Eq. (14) in Eq. (13) leads to

$$\begin{aligned}
 & J_m(k+1) \\
 &= bE\left\{\mathbf{v}_f^H(k)E\left[\mathbf{X}_f^H(k+1)\mathbf{Q}_{0,N}^H\mathbf{Q}_{0,N}\mathbf{X}_f(k+1)\right]\mathbf{v}_f(k)\right\} \\
 157 &= bE\left\{\mathbf{v}_f^H(k)E\left[\mathbf{X}_f^H(k)\mathbf{Q}_{0,N}^H\mathbf{Q}_{0,N}\mathbf{X}_f(k)\right]\mathbf{v}_f(k)\right\} \quad (15) \\
 &= bE\left[\mathbf{e}_f^H(k)\mathbf{e}_f(k)\right] \\
 &= bJ_m(k)
 \end{aligned}$$

158 In practice, $J_m(k)$ is initialized using the instantaneous squared error $J(k) = \mathbf{e}_f^H(k)\mathbf{e}_f(k)$ and
 159 the update process is carried out as

$$160 \quad J_m(k) = bJ_m(k-1) + \alpha[J(k) - bJ_m(k-1)], \quad (16)$$

161 where α is a small regularization coefficient to mitigate the variation of the instantaneous
 162 estimate. It can be expected that $J_m(k)$ decreases fast at the initial stage and remains
 163 comparatively stable when the filter approaches the steady-state. Therefore a reasonable
 164 criterion to determine the convergence state of the NFBLMS algorithm is to calculate the
 165 difference of $J_m(k)$ as $\Delta J(k) = J_m(k-1) - J_m(k)$. When $\Delta J(k)$ is smaller than a preset threshold
 166 ΔJ^{THR} , the NFBLMS algorithm reaches the steady-state and the proposed algorithm should
 167 switch to the MFBLMS algorithm.

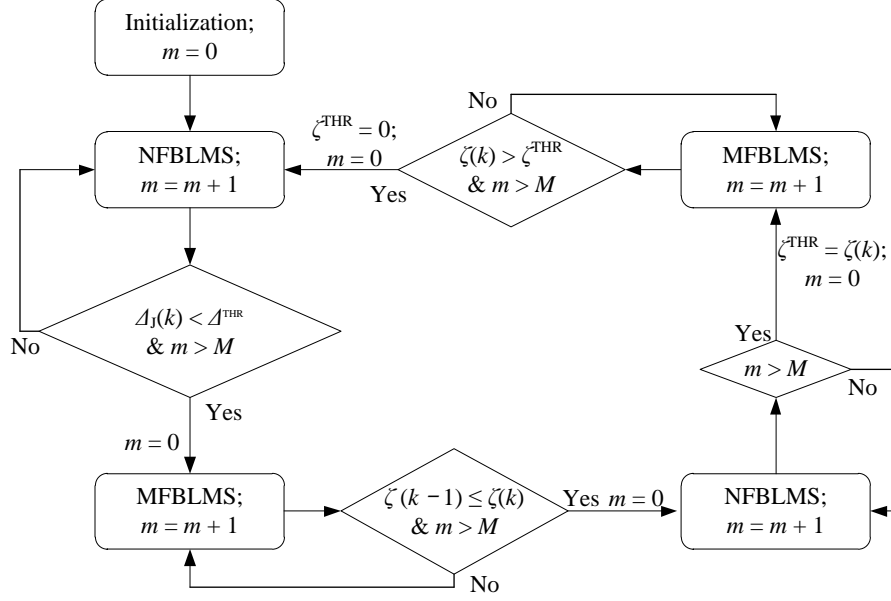
168 When the secondary path is fixed but the position of the noise source or the reference
 169 sensor changes, the control process needs to switch back to the NFBLMS algorithm to
 170 guarantee a higher convergence speed. The steady-state tracking parameter is set as

$$171 \quad \zeta(k) = \frac{E\left(\mathbf{e}_f(k)^T \mathbf{Q}_{0,N} \mathbf{e}_f(k)\right)}{E\left(\mathbf{x}_f(k)^T \mathbf{Q}_{0,N} \mathbf{x}_f(k)\right)}. \quad (17)$$

172 When $\zeta(k)$ suddenly increases above a threshold ζ^{THR} , the ANC system needs to be
 173 re-initialized to the NFBLMS algorithm.

174 The schematic diagram of the switching strategy is shown in Figure 4. To prevent
 175 frequent switching between the two algorithms, each algorithm needs to run continuously at
 176 least for M blocks after a switch. The proposed algorithm is initialized with the NFBLMS
 177 algorithm. When $\Delta_J(k) < \Delta^{\text{THR}}$, the NFBLMS algorithm is assumed to reach steady-state, and
 178 the proposed algorithm is switched to the MFBLMS algorithm. When the MFBLMS
 179 algorithm converges close to the Wiener solution, $\zeta(k)$ fluctuates around the minimum value.
 180 In order to set a reasonable ζ^{THR} , the proposed algorithm switches to the NFBLMS algorithm
 181 for a short while and obtains a larger $\zeta(k)$ that can be set as ζ^{THR} . After that, the proposed
 182 algorithm switches back to the MFBLMS algorithm. When $\zeta(k) > \zeta^{\text{THR}}$, a considerable
 183 change of the acoustic environment is detected and the proposed algorithm switches to the
 184 NFBLMS algorithm for a high convergence speed.

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Figure 4. The switching strategy of the proposed algorithm.

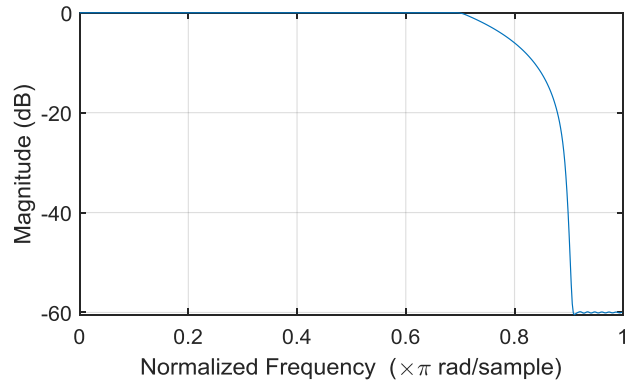
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189 In the proposed frequency-domain algorithm, the high convergence speed of the
 190 NFBLMS algorithm and the optimal steady-state behavior of the MFBLMS algorithm are
 191 combined efficiently with a limited increase of the computational burden. Furthermore, the
 192 proposed algorithm can also track the variation of the acoustic environment and re-converges
 193 efficiently when the position of the noise source or the reference sensor is changed.

194 IV. SIMULATIONS

195 The performance of the proposed algorithm is demonstrated by comparing with the ANC
 196 systems based only on the NFBLMS or the MFBLMS algorithms with the measured data.
 197 The measurements were conducted in a normal room with a sampling rate of 16 kHz, where
 198 the noise signal is generated by passing the Gaussian white noise through a low-pass filter
 199 $H(z)$ with cut-off frequency of 6 kHz, as shown in Figure 5.

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Figure 5 Frequency response of $H(z)$ used in the measurements.

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The noise source was placed in two positions shown in Figure 6, resulting in different

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reference transfer functions, $H_{r1}(z)$ and $H_{r2}(z)$, and different primary transfer functions,

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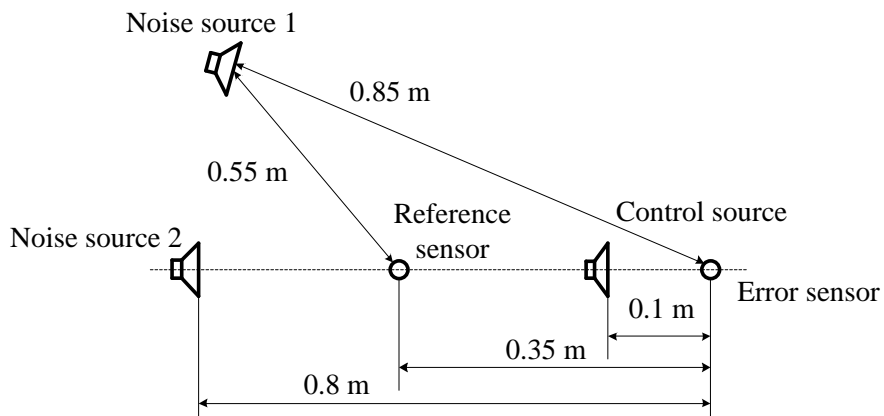
$H_{p1}(z)$ and $H_{p2}(z)$. All the measured impulse responses, including $H_s(z)$, are shown in Figure

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7. The acoustics feedback from the control source to the reference sensor is removed with

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feedback neutralization. 错误!未找到引用源。

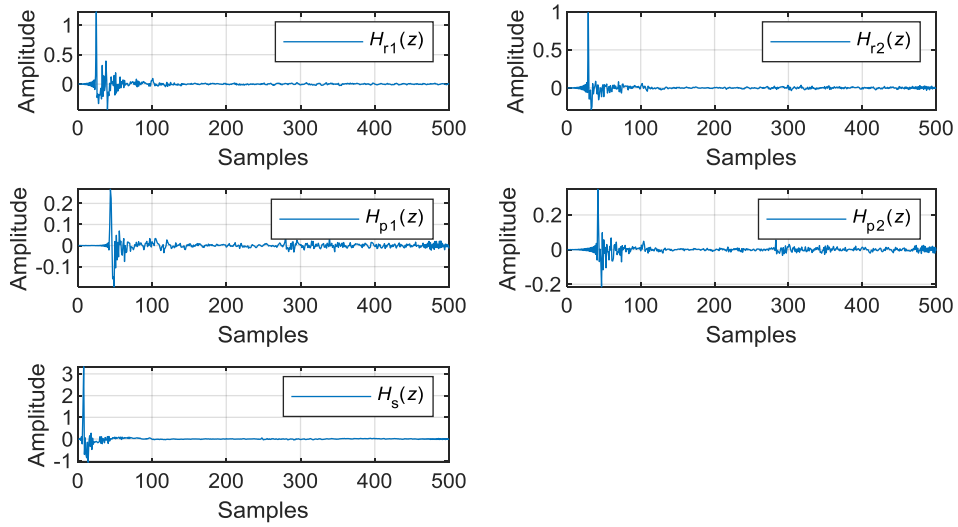


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Figure 6. The positions of sources and sensors in the measurements.

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Figure 7. The impulse responses used in the measurements.

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The measurement data is divided into two sections. The first section is obtained with the

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noise source 1, and the second section is obtained with the noise source 2. The control filter

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length is set as 1024, the signal block length is 1024 and the FFT of 2048 points is utilized

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in the proposed algorithm. The step sizes of all algorithms are set to guarantee both the high

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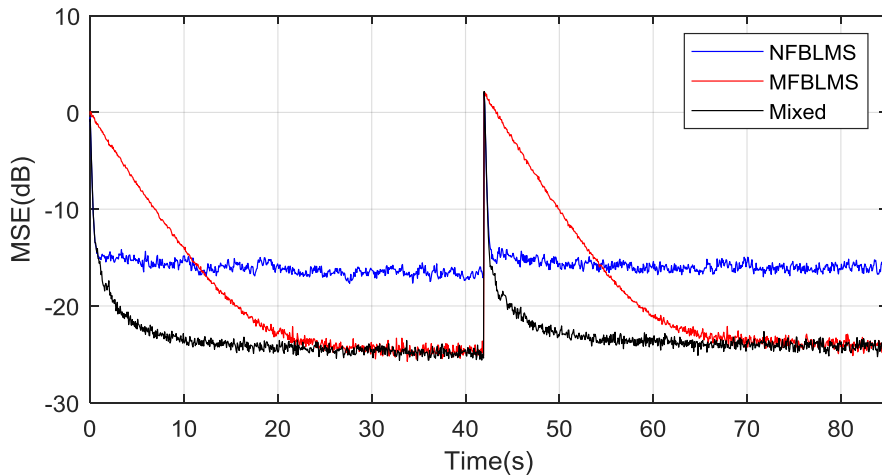
convergence speed and the stability of the system. The results are averaged over 10

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independent trials. The comparison of the convergence of the three algorithms in the ANC

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system is shown in Figure 8.



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Figure 8. The convergence curves of the three algorithms

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V. CONCLUSIONS

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