SURFACE ACOUSTIC WAVE APPLICATIONS

Since the introduction of the SAW interdigital transducer in the late 1960s, SAW devices have tremendously affected a broad range of systems. The key to this technology is the ability to sense or tap a traveling electroacoustic wave on a piezoelectric substrate whose velocity is $10⁵$ times slower than an electromagnetic wave. The velocity and photolithographic line resolution determine the practical SAW operating frequency range from approximately 30 MHz to 3 GHz. Typical devices are manufactured in volumes from a few cubic millimeters at high frequencies to a few cubic inches at lower frequencies. Typically, the high-frequency devices have a small volume and low cost. Using various SAW components depending on the required specifications, it is possible to provide precise frequency filtering, frequency resonance, time-pulse shaping, and signal processing. The passive, solid-state SAW devices provide very high performance relative to their volume, weight, and cost which is the reason for their widespread use. The highest cost, precision devices are typically used for military and satellite systems which have the most demanding specifications, the intermediate cost devices are used in modest volume military man packs, military base stations, and commercial base stations, and the low cost devices are used in a broad range of commercial and consumer applications.

During the 1970s and early 1980s, military applications guided the development of the technology providing the ability to implement new and, up to that time, unachievable systems. A broad range of applications included dispersive devices and filter banks for radars, filters and resonators for conventional communication systems, delay lines for systems and weapons, and coded devices, encoded modulator devices, and convolvers for spread-spectrum systems requiring secure communications. These systems encouraged the development of most of the components still in use by SAW devices today. The advent of enormous commercial opportunities in mobile and wireless systems in the 1990s ushered in a renaissance in SAW technology and has spawned technological innovation in devices and systems.

In addition to device technological innovation, research and development on other propagating Rayleigh-like modes,

equivalent circuits used in U.S. television sets. (Reproduced with per- and insert into the chassis. In addition, the LC sections mission of the IEEE, Proceedings of the IEEE, 64 (5): 672, 1976.) drifted with temperature a

higher frequency, and wider bandwidth devices. These mate- TVIF filter.

rial and device enhancements allow SAW devices to compete Figure 1 compares the SAW versus LC implementation of rial and device enhancements allow SAW devices to compete for insertion in the RF, IF, and processing sections of modern filtering in a TVIF section (5). The SAW TVIF filter is intercommunication systems. Commercial and consumer applica- esting because it demonstrates that the SAW transversal filtions include cellular and mobile phones, car and garage door ter can meet a demanding design and cost specification. The

openers, VCRs, CATV, fiber optic repeaters, spread-spectrum systems, sensors, identification tags, satellite communication systems, and many more (1–4).

SAW TVIF FILTER

The SAW TVIF filter stands alone as the first significant commercial application of SAW devices for the television intermediate-frequency (TVIF) filter and deserves a highlighted discussion. Development began in the 1970s when SAW technology was just emerging. Design, analysis, fabrication, and packaging were all extremely challenging for SAW devices at that time. However, it was recognized that a significant technological advance would be achieved if a single, solid-state component could replace the bulky, mulitpole LC Figure 1. Early comparison of the SAW TVIF filter and the L/C tank circuits in the IF which were both expensive to build drifted with temperature and aged with time producing a profoundly negative effect on video reception. The SAW TVIF filters were first introduced to the market in the late 1970s and called pseudo-SAW, and new substrate materials, such as demonstrated that high-volume manufacturing of the devices lithium tetraborate and langasite, have provided lower loss, was feasible. Today, every TV manufactured has a SAW

Figure 2. Schematic diagram of a generic transmitter/receiver (transceiver) system. The transceiver has a common antenna. The system can be separated into a transmitter and receiver by eliminating the common antenna. The gray blocks represent possible SAW elements witin the RF and IF transceiver sections.

posium Proceedings, pp. 121–130.)

approximately 46 dB. A TTE greater than -40 dB produces a noticeable ghost picture which would be unacceptable to the **TYPICAL WIRELESS COMMUNICATION SYSTEM** consumer. Lower loss devices using new transducer and device embodiments reduce the loss below 20 dB while main- There are tremendous numbers of different wireless commu-

Figure 4. A 950 MHz SAW filter with an approximate 3% fractional bandwidth and 3 dB insertion loss. This filter uses a transversely coupled resonator filter which provides a two-pole response and good ultimate sidelobe rejection. This filter is used in the Global System for Mobile communication (GSM). (Reproduced with permission of the **Figure 6.** Magnitude and phase response of a 199 MHz, two-port, IEEE, J. Machui et al., *1995 IEEE Ultrasonics Symposium Proceed-* SAW resonator on quartz. (Reproduced with permission from Saw*ings*, pp. 121–130.) tek, Inc.

Figure 5. A typical 70 MHz IF filter having a typical insertion loss of 22 dB, 3 dB bandwidth of 8 MHz, and sidelobe rejection of greater **Figure 3.** An 870 MHz SAW filter with a 3% fractional bandwidth
and 2.0 dB insertion loss. This filter uses a multiresonator approach
in a ladder-type network. This filter is used as the front end RF filter
in the Advanc

SAW devices are manufactured by using many of the previously developed integrated circuit techniques. Multiple de-TV system requirements have been in place since TV's incepred in the video and single crystal substrate using aluminum electrodes
tion and vary by country around the world. The US system charge interacted by conventional

taining the specifications and costs required in the TV. nication systems for audio, video, and data transmission. Rather than attempting to focus on any one system which has its own specific characteristics, a more generic approach is

Figure 7. Schematic diagram of a typical SAW phase-shift-keyed (PSK)-type coded filter. The input data is converted into a series of phase-modulated impulses which then produce the SAW output-coded waveform.

taken. Figure 2 shows a schematic for a typical transmitter both the transmitter and receiver, and it may be necessary and receiver system. The radio-frequency (RF) section elimi- for the RF receiver filter to accept large input power at the nates spurious responses and establishes the noise figure for transmission frequencies. SAW ladder/lattice filters are curthe system, and the intermediate frequency (IF) sections pro- rently of great interest because they handle high power and vide the channel selectivity and limit the noise bandwidth. To provide low loss and acceptable selectivity. Other important reduce cost, the second IF section is eliminated when possible. considerations are the temperature coefficient of frequency The oscillator/synthesizer is used for channel selection and and the material coupling coefficient. The bandwidth must be may be used as the system clock. The postprocessing of the increased to accommodate operation over the required temsignal may also contain SAW devices in many coded and se- perature range, and the coupling coefficient determines the cure communication systems. The gray blocks represent ele- maximum achievable bandwidth for a given insertion loss. ments in which SAW devices may be inserted, depending on specifications. **IF SAW Devices**

tween approximately 30 MHz and 3 GHz where typical SAW is lower than the transceiver operating frequency, typically devices find application. The RF section center frequency and from tens to hundreds of megahertz. The IF filter must have bandwidth are consistent with the channel requirements, and a narrow transition band and low sidelobe levels to limit the fractional bandwidths can be from fractions of a percent to noise within the system and may also have specific traps to tenths of a percent. The RF section consists of one or two RF reduce adjacent channels, intermodulatio filters and a low-noise amplifier (LNA). As an example, a typi- carrier responses. The insertion loss is usually not as strincal mobile telephone system's center frequencies vary from gent a requirement as in the RF filter because the signal-toapproximately 450 MHz to more than 2 GHz with fractional noise ratio is set before this stage and amplification is typibandwidths of 1% to 5%. One RF filter which has very low cally low cost and available. IF stage insertion loss can range loss and good selectivity is desired. However, two filters may from several dB to as much as 50 dB depending on the fracbe necessary, the first with very low loss and marginal selec- tional bandwidth and system requirements. Figure 5 shows a tivity and a second filter with a higher loss and better selectivity. Any loss prior to the LNA is a direct reduction in signal-to-noise ratio. Therefore, RF filters require extremely low loss, typically between 1 dB and 3 dB. Figure 3 shows a typical SAW front-end RF filter for a mobile phone application at 870 MHz with an insertion loss of approximately 2.0 dB and a 25 MHz bandwidth (6). Typically nulls are designed at the adjacent transmit/receive frequencies for a transceiver, and sidelobe rejection depends on the design approach. The second RF filter can have a relaxed insertion loss specification but typically has greater out-of-band spurious suppression. Figure 4 shows a SAW interstage filter at 950 MHz with approximately 3 dB insertion loss implemented by using a transversely coupled resonator approach (6). SAW filter design techniques for RF filters include two-transducer low-loss sign techniques for Λr finers include two-transducer fow-toss
designs, interdigitated interdigital transducers, single and multitrack resonant structures, and ladder/lattice impedance **Figure 8.** Measured time-domain response of a 128 chip PSK SAW filters. For cellular applications, the antenna is common to correlator. (Reproduced with permission from Sawtek, Inc.)

The IF filter typically has greater selectivity and higher inser-
tion loss than the RF filter. The IF center frequency is chosen The receivers of interest operate in the frequency range be- for good image rejection and adjacent channel selectivity and reduce adjacent channels, intermodulation, or other spurious

Figure 9. Schematic diagram of a typical SAW minimum-shift-keyed (MSK)-type coded filter. The input data are converted into a series of phase-modulated impulses which then produce the SAW output-coded waveform.

typical SAW IF bandpass filter at 70 MHz, insertion loss of and a notch bandwidth adequate to track over the required 22 dB, 8 MHz bandwidth, and group-delay variation of ap- operating temperature range. Multiple coupled resonators are proximately 40 ns. The filter is a conventional two-trans- used to obtain a larger notch bandwidth than the convenducer, SAW transversal implementation which demonstrates tional single-pole resonators. the excellent passband shaping, extremely sharp skirts, and near constant group-delay response. **SIGNAL PROCESSING APPLICATIONS**

SAW Resonator Oscillator Applications
The oscillator/synthesizer often uses a SAW resonator for the
 Coded and Quadrature Modulators The oscillator/synthesizer often uses a SAW resonator for the
frequency-control element having a center frequency such
that, when mixed with the incoming carrier, it results in a
signal at the IF center frequency. The osc gain in the oscillator does not result in oscillator instability. SAW resonator *Q*'s are typically several thousand and can be designed to tens of thousands. SAW oscillators often compete with bulk acoustic wave (BAW) devices which typically operate at much lower frequencies and use multipliers to obtain the frequencies of interest. Both SAW and BAW-based oscillators are often called crystal oscillators (XO). Oscillators have frequency drift primarily caused by the crystal temperature coefficient of frequency (TCF) and often have sophisticated electronics and temperature control to achieve long-term and short-term stabilities. Various configurations include the voltage-controlled (VCXO), temperature-controlled (TCXO), ovencontrolled (OCXO), and microprocessor-controlled (MCXO) crystal oscillators.

Using a narrowband SAW resonator, it is also possible to produce a notch filter (7). Notch filters are used to eliminate a narrow carrier that is produced within a radio, such as in
the oscillator, or they are used to eliminate an external sig-
nal, such as an adjacent channel carrier frequency. Various
response has approximately 4% ampl notch. The notch filter should have good temperature stability ware system implementation.

the 7% measured. The main cause for amplitude modulation is hard-

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by properly connecting of each electrode to the appropriate bus bar. The overall SAW impulse-response length is equal to the data bit length. The output from the SAW-coded transducer can be further modulated for transmission. A similar SAW filter can be used as the matched filter at the receiver where a compressed pulse is achieved whose phase is a function of the original data stream. The frequency bandwidth is determined by the chip impulse-response length, and the processing gain is a function of the number of chips per bit. Figure 8 shows the measured time response of a 128 chip PSK correlator which exhibits a peak-to-sidelobe ratio of approxi-
mately 21 dB, as expected.
a SONET clock-recovery circuit. The device has a typical insertion

SAW devices are designed in both the time and frequency domains. The ability to pulse shape allows developing and implementing precise modulation schemes that are very difficult to implement with other technologies. Quadrature modula- tion loss of 16 dB, and a quartz substrate is used to minimize tion techniques are very popular for transmission, they in- temperature drift effects. In addition to the clock recovery, clude quadrature-phase shift keying (QPSK), minimum shift SAW devices may be used in SONET as delay elements for keying (MSK) and others. The MSK waveform, along with timing or for data pulse shaping to minimize intersymbol inmany others, forms a class of continuous-phase frequency terference and reduce the probability of error in data remodulation (CPFM), encodes the information in the phase covery. and frequency of each chip or bit, and has a uniform amplitude envelope. The phase continuity and uniform amplitude **Channelizers**

The synchronous optical network (SONET) has critical and demanding timing for data transmission. When transmitting over long distances, such as transoceanic, it is necessary to recover the clock from the actual nonreturn-to-zero (NRZ) data stream to retime the data at intermediate points along the network. One popular method is to use a SAW filter within the clock-recovery circuit, as shown in Fig. 11. Figure 12 shows a high *Q*, 622 MHz, quartz, SAW filter used in a SONET clock-recovery system. The device has a typical inser-

circuit using a SAW filter. (Reproduced with permission from Sawtek, Inc.)

loss of 16 dB, a 3 dB bandwidth of 0.93 MHz, a delay of 700 ns, and is **Continuous-Phase Frequency-Modulation Devices** fabricated on quartz. (Reproduced with permission from Sawtek, Inc.)

provide minimum distortion when transmitting through
nower amplifiers which have multiple
nower amplifiers which are often nonlinear. These advanting through
tages are obtained at the expense of a wider chip null band-
wi shown in Fig. 13. The uniformity of amplitude and out-of- **Synchronous Optical Network**

Figure 13. The superimposed frequency response of all channels of Figure 11. A simple schematic diagram of a SONET clock-recovery a seven-channel SAW filter bank at a center frequency of 330 MHz.

band rejection (approximately 50 dB) between channels re- plest radar in concept is the pulse radar. To obtain the great-

applications of SAW devices was in radar systems. The sim-

Figure 14. (a) Schematic of an up-chirp SAW filter. (b) Schematic of a down-chirp

quire precise filter design and system integration. est accuracy in determining an object's distance from a source, it is desirable to transmit a very narrow pulse from **Dispersive Devices**
the source which is subsequently reflected from an object and
Radar. One of the earliest and technologically important ference. The maximum viewing distance is limited by the ference. The maximum viewing distance is limited by the path loss and the minimum detectable signal-to-noise ratio.

Figure 15. A dispersive SAW expander and compressor matched filter pair. The center frequency is 1.0 GHz, a 450 MHz bandwidth, 0.45 μ s delay, and 1000 MHz/ μ s dispersion. (a) Expander and (b) weighted compressor. (Reproduced with permission from Sawtek, Inc.)

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Therefore, it is desirable to transmit very narrow, high-amplitude pulses or to extend the pulse width. The former approach requires a very low duty factor and high-power transmitters whereas the latter lengthens the pulse which limits distance accuracy. The solution to these two conflicting requirements is to use a dispersive transmit pulse that changes the instantaneous carrier frequency with time. A chirp radar uses a SAW dispersive (or chirp) filter to transmit a long dispersive pulse that has significantly more energy than a simple, single-carrier frequency pulse (8). Then the return signal is sent to a matched SAW chirp filter that compresses the pulse. The SAW input/output devices are a matched set whose transmit
filter is an up-chirp and receive filter is a down-chirp. Figure 16. Schematic diagram of a SAW chirp Fourier transform
14 shows a schematic representation of an up down-chirp SAW filter. For a linear chirp, the frequency changes at a given chirp rate (Hz/s) from some minimum to matic form in Fig. 16. The convolve chirp is usually twice the some maximum value across the device. The processing gain, length of the multiply chirps. The first m pressed-time matched-correlator response has a compressed
pulse width inversely proportional to the bandwidth (2.22 ns
as compared to 2.9 ns measured) and a typical peak-to-side-
dimited and multitone input waveforms used lobe ratio of approximately $10 \times \text{log}(\text{time}$ -bandwidth prod-
uct) which is 23 dB.
some type of matched filter, correlator, or convolver to extract

SAW dispersive devices is in a chirp Fourier transform system that performs a real time Fourier transform of a given input signal which is confined to the system bandwidth. Given a function $f(t)$ which has a Fourier transform, $F(\omega)$, the frequency domain function is written as

$$
F(2\pi \mu t) = \int_{-\infty}^{\infty} f(\tau) e^{-j2\pi \mu t \tau} d\tau
$$

where $\omega = 2\pi \mu t$.

Using the identity $2t\tau = t^2 + \tau^2 - (t - \tau)^2$, the equation is rewritten as

$$
F(2\pi\mu t) = e^{-j\pi\mu t^2} \int_{-\infty}^{\infty} f(\tau) e^{-j\pi\mu \tau^2} e^{j\pi\mu (t-\tau)^2} d\tau
$$

This is the equation form of the chirp Fourier transform which is a time function multiplied by a complex chirp, convolved with a second chirp, and then multiplied by a third **Figure 17.** Schematic representation of the output waveform of a chirp. A typical SAW implementation of a multiply-convolve-
SAW chirp system given the sum of thr multiply (MCM) chirp transform system is shown in sche- tude as the input waveform.

length of the multiply chirps. The first multiply chirp condiwhich is approximately given by ratio of the output com- tions the input signal by adding the dispersive delay, and pressed pulse width to the transducer impulse response then the second chirp sorts the input signal frequencies in the length, is a direct function of the device's time–bandwidth time domain through the convolution process, providing the product. Devices can be produced using simple dispersive amplitude-frequency response curve. The final chirp multiply transducers or by using long reflector structures called re- is necessary only if the phase information is desired and does flective array correlators (RAC) (8). Time–bandwidth prod- not affect the amplitude response. Figure 17 shows a scheucts from several hundred to tens of thousands have been matic representation of the system output for an input signal
achieved. The time-domain responses of the transmitted and/ composed of three different frequencies. Th achieved. The time-domain responses of the transmitted and/ composed of three different frequencies. The convolve chirp is
or received chirps may be weighted to produce a more opti- an up-chirp which sorts the frequencies or received chirps may be weighted to produce a more opti- an up-chirp which sorts the frequencies from low with the
mum time-domain pulse-compression response at the re- smallest delay to high with the longest delay. The mum time-domain pulse-compression response at the re-
cover Figure 15 shows the frequency responses of an unalso have a finite time length due to the limited bandwidth of ceiver. Figure 15 shows the frequency responses of an uals have a finite time length due to the limited bandwidth of expander/compressor matched pair at a center frequency of 1 the SAW chirp system. The SAW implementation expander/compressor matched pair at a center frequency of 1 the SAW chirp system. The SAW implementation of the chirp GHz having a handwidth of 450 MHz a dispersive delay of transform system is not an exact implementatio GHz having a bandwidth of 450 MHz, a dispersive delay of transform system is not an exact implementation of the chirp
0.45 us, and a time delay slape of 1000 MHz/us. The com 0.45 μ s, and a time-delay slope of 1000 MHz/ μ s. The com- μ Fourier transform because it is limited in both time length μ

the transmitted signal from noise and interfering sources. **SAW Chirp Fourier Transformer.** Another application of SAW elastic convolvers were studied in the 1970s for use in

SAW chirp system given the sum of three tones having equal ampli-

militarily secure, spread-spectrum communication systems (8,9). The SAW convolver is a three-port device that uses the nonlinear portion of the crystal constants to perform a realtime convolution on any two arbitrary input signals within the operating bandwidth and time length of the device. The device is shown schematically in Fig. 18. The device consists of two input interdigital transducers (IDT), two beam compressors, and a long output plate between the two beam compressors. The input IDT provides the input signal from the receiver, and the reference IDT provides the known reference code signal. To enhance the nonlinear effect within the crystal, the power density is increased by compressing the SAW beam to only a few wavelengths. The beam compressors are usually either multistrip couplers, a horn-type waveguide, or self-focusing IDTs with typical compression ratios of 5 to 20. The two counterpropagating waves are compressed and then trapped under the electrode waveguide, which is only a few wavelengths wide, where they eventually slide by each other. The nonlinear crystal parameters provide point-source multiplication, and the long solid electrode provides the summing bus that is proportional to the integration time. The output signal is the convolution of the two SAW input waveforms at twice the carrier frequency of the inputs. The processing gain of the system is given by the device's time–bandwidth product. Typical devices have time lengths of several microseconds and bandwidths of tens to hundreds of megahertz. A convolver with a 10 microsecond integration length and a 100 MHz bandwidth has a processing gain of 30 dB. Typical convolver efficiency is between -50 dBm to -75 dBm which depends on the substrate material, bandwidth, integration time, and device design. Figure 19 shows the predicted and measured results of a $22 \mu s$ long, real-time SAW convolution of a coded MSK signal. The agreement between measurements **Figure 19.** Correlation of a compressed-pulse time-response of a and the theory of the compressed pulse are excellent. SAW elastic convolver.

Figure 18. Schematic view of a SAW beam width compression elastic convolver.

Figure 20. A schematic of pulse-excited, time-reflective type of a coded SAW tag. The device consists of a transmit/receive antenna, a dual purpose input/output transducer, and a series of reflectors which have centers of reflection corresponding to a pulse position code.

SAW devices are used in the passive mode as identification
tags or in remote sensing. A schematic of a pulse-excited,
time-reflective type of a coded SAW tag is shown in Fig. 20.
The tag is composed of an antenna, a transd tion pulse that is received by the antenna and excites the SAW transducer which launches a wave. The SAW is partially reflected at each reflector and is sent back to the SAW transducer where it is retransmitted back to the interrogator. The center position of the reflector provides a series of delayed pulses that provide the unique code for identification. The device is totally passive, and the antenna and SAW chip are integrated into a single, low-cost package. Figure 21 shows the measured time-domain results for a reflective, coded, passive SAW tag. The time pulses are relatively uniform and discrete which makes demodulation of the tag information easy and accurate.

Remote Signaling

Remote signaling has become very desirable and accepted by consumers and industry. Examples include remote car door openers, car accessory operation, garage door openers, remote lights, power utility meters, and others. It makes some very simple operations even simpler and faster, increases industrial productivity, and is used in inaccessible places and environments for control and sensing. The acceptance of such systems is based on the relatively small size and cost. As an example, a transmitter for a keyless automobile entry is embedded on the actual key with minimal increase in size. A **Figure 21.** The measured time-domain results for a reflective coded simple system used for a keyless entry system is shown in passive SAW tag The time pulses are r simple system used for a keyless entry system is shown in passive SAW tag. The time pulses are relatively uniform and discrete
Fig. 22 (9). The system consists of two SAW filters, an ampli- which makes easy and accurate de fier, an integrated circuit for the code generator, and a bat- (Reproduced with permission from Sawtek, Inc.)

SAW REMOTE SIGNALING AND SENSORS terv. The two SAW filters and amplifier are placed in a single package, and a custom ASIC is designed and programmed for **Identification Tags** the specific code generator. The integrated circuit provides

which makes easy and accurate demodulation of the tag information.

Figure 22. Schematic of a simple, low-cost SAW-based remote key- 1993. less entry system using on-off shift keying. (From RF Monolithics 5. A. J. DeVries and R. Adler, Case history of a surface wave TV IF
fluer for color television receivers. IEEE Proc.. 64: 671-676. 1976.

Sensing the external environment using SAW technology is a 8. D. P. Morgan, *Surface Wave Devices for Signal Processing Applica*-

relatively new and growing market. The different number and tions, New York: Elsevier, 1991 relatively new and growing market. The different number and *tions,* New York: Elsevier, 1991, Chaps. 9 and 10. types of SAW sensor devices and systems cannot be adequately presented here (10). SAW sensors are under investi-

LEEE Trans. Ultrason. Ferroelectr. Frequency Control. 40: 478-

LEEE Trans. Ultrason. Ferroelectr. Frequency Control. 40: 478gation to sense gases, temperature, acceleration, pressure,
and other parameters. The two critical issues are to find a
sensitive sensing mechanism for the parameter of interest
while eliminating or compensating for all ot lar method for measuring gases is to use a SAW delay line DONALD C. MALOCHA having a gas sensitive film in an oscillator circuit on the sub-
University of Central Florida strate surface. As the gas absorbs and desorbs, there is a change in the film's elastic properties that creates a change in acoustic velocity, delay, and insertion loss. This is translated into a frequency shift in the oscillator. The change in frequency versus gas absorption is often determined in parts per million for a well-calibrated system. A schematic of a simple SAW sensor is shown in Fig. 23. Sensing is developing into a very large market. Combining sensing with wireless transmission results in remote sensing applicable to a huge number of applications in transportation, medical, environmental, manufacturing, and many other fields.

Figure 23. A schematic of a simple SAW sensor composed of a twotransducer-delay line with a selective absorbing film which changes the amplitude, phase, and/or insertion loss of the delay line.

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