

紧支撑正交复小波滤波器的参数化

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摘要: 针对复小波在实际应用中比实小波更具有优势的特点, 给出了紧支撑正交复小波滤波器参数化的更简单的形式, 比FENG等(2013)减少了参数的个数, 更易于得到正交的复小波, 从而为工程人员选择合适的复小波带来更大的便利, 并给出了算例.

关键词: 复小波滤波器; 正交; 紧支撑; 参数化

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1. 引言

近年来, 小波滤波器的理论和应用迅速的增加. 正交性、对称性、紧支性是小波应用于工程中非常重要的特性. 众所周知, 除了Harr小波, 不存在紧支撑并且对称正交的2带实小波. 为了克服这一缺陷, 小波的概念被推广到高维小波^[2-5]、多带小波^[6]、多小波^[7]、复小波^[8-12]等. 复数小波具有较好的方向性, 平移不变性和精确的相空间等信息, 使其在实际应用中比实小波更具有优势, 因此复小波的研究受到人们的高度关注. 这方面的文章不断涌现, 构造的方法也各具特色. Lawton^[7]构造了对称正交的复小波; Lina^[9]从小波值域的拓展和构造平移不变的小波变换出发, 提出了Daubechies复数小波的概念; ZHANG^[10]和HAN^[11]讨论了复小波的一些性质, 做了进一步的研究; FENG^[12]给出紧支撑复小波参数化. 本文受到文[12]的启发, 给出了紧支撑正交复小波参数化的最简单的形式, 比文[12]减少了参数的个数, 更易于得到正交的复小波, 从而为工程人员选择合适的复小波带来更大的方便, 并给出了算例.

2. 预备知识

众所周知, 构造小波基的一般方法是多尺度分析(MRA), 多尺度分析的定义如下:

定义2.1 空间 $L^2(\mathbb{R})$ 的一个序列子空间 $\{V_j\}_{j \in \mathbb{Z}}$ 被称为一个多尺度分析, 如果满足下列条件:

(a) $V_j \subset V_{j+1}, j \in \mathbb{Z}$;

(b) $\bigcap_{j \in \mathbb{Z}} V_j = \{0\}, \overline{\bigcup_{j \in \mathbb{Z}} V_j} = L^2(\mathbb{R})$;

(c) $f(x) \in V_j \Leftrightarrow f(2x) \in V_{j+1}, j \in \mathbb{Z}, x \in \mathbb{R}$;

(d) 存在函数 $\varphi(x) \in V_0$ 使得 $\{\varphi(x-k)\}_{k \in \mathbb{Z}}$ 是 V_0 的一组标准正交基, 函数 $\varphi(x)$ 称为尺度函数.

根据多分辨率分析知道, 令 $\psi(x)$ 为小波函数, 则有下列的双尺度方程:

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定义 2.2 双尺度方程：

$$\varphi(x) = \sum_{k \in z} h_k \varphi(2x - k), x \in \mathbb{R}, \tag{2.1}$$

$$\psi(x) = \sum_{k \in z} g_k \varphi(2x - k), x \in \mathbb{R}. \tag{2.2}$$

定义 2.3 对双尺度方程 (2.1) 的两边做 Fourier 变换得 $\hat{\varphi}(2\xi) = H(\xi)\hat{\varphi}(\xi)$ ，其中 $\hat{\varphi}$ 是 φ 的 Fourier 变换， $H(\xi)$ 称为尺度函数 $\varphi(x)$ 的“符号函数”。

引理 2.1^[1] 设 $\varphi(x)$ 为尺度函数， $H(\xi)$ 为尺度函数 $\varphi(x)$ 的“符号函数”，由尺度函数的正交性可得下列条件：

$$1) |H(\xi)|^2 + |H(\xi + \pi)|^2 = 1; \tag{2.3}$$

$$2) H(0) = 1. \tag{2.4}$$

定义 2.4 如果三角多项式 $H(\xi)$ 满足条件 (2.3) 和 (2.4)，则称 $H(\xi)$ 为正交的低通滤波器。令 $H(\xi) = \frac{1}{2} \sum_{k \in z} h_k e^{-ik\xi}$ ， $\{h_k\}$ ， $k \in z$ 称为滤波器 $H(\xi)$ 的冲激响应。

由多分辨率分析知道，构造小波的方法通常开始于双尺度方程，尺度函数 $\varphi(x)$ 和小波函数 $\psi(x)$ 是小波理论的核心，但在工程实现时并不直接使用 $\varphi(x)$ 和 $\psi(x)$ ，而是使用与他们对应的 $H(\xi)$ 和 $G(\xi)$ 的冲激响应 $\{h_k\}$ 和 $\{g_k\}$ 。构造小波实际上就是求解低通滤波器系数 $\{h_k\}$ 和高通滤波器系数 $\{g_k\}$ ，而 $\{h_k\}$ 与 $\{g_k\}$ 的关系是确定的，即 $g_k = (-1)^{n-1} h_{1-k}$ 。^[1] 因此只需确定 $\{h_k\}$ ，便可确定 $\{g_k\}$ ，从而也就确定了尺度函数 $\varphi(x)$ 和 $\psi(x)$ 。

定义 2.5 当滤波器 $\{h_k\}$ 、 $\{g_k\}$ ，为满足正交小波条件的复数时，该滤波器即为复小波滤波器。

3. 正交复小波滤波器的参数化结果

对于给定的正整数 M ，令 $H(\xi) = \frac{1}{2} \sum_{k=0}^{M-1} h_k e^{-ik\xi}$ $z = e^{-i\xi}$ ， $\xi \in \mathbb{R}$ ， $h_k = a_k + ib_k$ ， $a_k, b_k \in \mathbb{R}$ ， $k = 0, 1, 2 \dots M - 1$ 。下面给出长度为 4 和 6 的复小波滤波器目前最简单的参数化。

定理 3.1 $H_4(z)$ 满足 $H_4(1) = 1$ ， $|H_4(z)|^2 + |H_4(-z)|^2 = 1$ ，当且仅当：

$$a_0 = \frac{1}{2} + \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, \quad a_1 = \frac{1}{2} + \frac{\sqrt{2}}{2} \cos \alpha \sin \beta, \quad a_2 = \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \cos \beta,$$

$$a_3 = \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \sin \beta; \quad b_0 = -\frac{1}{2} \sin \alpha, \quad b_1 = \frac{1}{2} \sin \alpha, \quad b_2 = \frac{1}{2} \sin \alpha, \quad b_3 = -\frac{1}{2} \sin \alpha,$$

或 $b_0 = \frac{1}{2} \sin \alpha$ ， $b_2 = -\frac{1}{2} \sin \alpha$ ， $b_1 = -\frac{1}{2} \sin \alpha$ ， $b_3 = \frac{1}{2} \sin \alpha$ ，而 $\alpha, \beta \in [0, 2\pi]$ 。

证 令 $H_4(z) = \frac{1}{2} (h_0 + h_1 z + h_2 z^2 + h_3 z^3)$ ，其中 $z = e^{-i\xi}$ ， $\xi \in \mathbb{R}$ ，

$$|H_4(z)|^2 = \frac{1}{4} \left\{ \sum_{k=0}^3 |h_k|^2 + (h_0 \bar{h}_1 + h_1 \bar{h}_2 + h_2 \bar{h}_3) z^{-1} + (\bar{h}_0 h_1 + \bar{h}_1 h_2 + \bar{h}_2 h_3) z \right. \\ \left. + (h_0 \bar{h}_2 + h_1 \bar{h}_3) z^{-2} + (\bar{h}_0 h_2 + \bar{h}_1 h_3) z^2 + h_0 \bar{h}_3 z^{-3} + \bar{h}_0 h_3 z^3 \right\},$$

因为 $|H_4(z)|^2 + |H_4(-z)|^2 = 1$ ，整理得到下列方程组：

$$a_0^2 + a_1^2 + a_2^2 + a_3^2 + b_0^2 + b_1^2 + b_2^2 + b_3^2 = 2, \quad a_0 a_2 + a_1 a_3 + b_0 b_2 + b_1 b_3 = 0, \tag{3.1}$$

$$a_0 b_2 - a_2 b_0 + a_1 b_3 - a_3 b_1 = 0. \tag{3.2}$$

从 $H_4(1) = 1$ ， $H_4(-1) = 0$ 得：

$$a_0 + a_2 = a_1 + a_3 = 1, \quad b_0 + b_2 = b_1 + b_3 = 0, \tag{3.3}$$

整理(3.1)式, 令 $a_0 - a_2 = \sqrt{2} \cos \alpha \cos \beta$, $a_1 - a_3 = \sqrt{2} \cos \alpha \sin \beta$, $b_0 - b_2 = \sqrt{2} \sin \alpha \cos \gamma$, $b_1 - b_3 = \sqrt{2} \sin \alpha \sin \gamma$, 从(3.1)(3.3)推出:

$$\begin{aligned} a_0 &= \frac{1}{2} + \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, & a_1 &= \frac{1}{2} + \frac{\sqrt{2}}{2} \cos \alpha \sin \beta, & a_2 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, \\ a_3 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \sin \beta; & b_0 &= \frac{\sqrt{2}}{2} \sin \alpha \cos \gamma, & b_1 &= \frac{\sqrt{2}}{2} \sin \alpha \sin \gamma, & b_2 &= -\frac{\sqrt{2}}{2} \sin \alpha \cos \gamma, \\ & & b_3 &= -\frac{\sqrt{2}}{2} \sin \alpha \sin \gamma. \end{aligned} \quad (3.4)$$

$a_i, b_i, i = 0, 1, 2, 3$, 满足条件(3.2) 得: $\sin \alpha (\cos \gamma + \sin \gamma) = 0$.

若 $\sin \alpha = 0$, 则为实小波滤波器;

若 $\sin \alpha \neq 0$ 时, $\cos \gamma + \sin \gamma = 0$, 而 $\gamma \in [0, 2\pi]$ 得 $\gamma = \frac{3\pi}{4}$ 或 $\gamma = \frac{7\pi}{4}$, 将其代入(3.4) 中从而得出定理的结论.

例如 选择参数 $\alpha = \frac{2\pi}{3}, \beta = \frac{7\pi}{4}$, 则 $H_4(z) = \frac{1+z}{8} [(1 - \sqrt{3}i) + (2 + 2\sqrt{3}i)z + (1 - \sqrt{3}i)z^2]$.

定理3.2 $H_6(z)$ 满足 $H_6(1) = 1$, $|H_6(z)|^2 + |H_6(-z)|^2 = 1$, 当且仅当:

$$\begin{aligned} a_0 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \cos \beta + \frac{R}{2} \cos \tau, & a_1 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \sin \beta + \frac{R}{2} \sin \tau, & a_2 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, \\ a_3 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \sin \beta, & a_4 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \cos \beta - \frac{R}{2} \cos \tau, & a_5 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \sin \beta - \frac{R}{2} \sin \tau; \\ b_0 &= \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma, & b_1 &= \frac{\sqrt{2}}{4} \sin \alpha \sin \gamma, & b_2 &= -\frac{\sqrt{2}}{2} \sin \alpha \cos \gamma, & b_3 &= -\frac{\sqrt{2}}{2} \sin \alpha \sin \gamma, \\ b_4 &= \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma, & b_5 &= \frac{\sqrt{2}}{4} \sin \alpha \sin \gamma, \end{aligned} \quad (3.5)$$

或

$$\begin{aligned} a_0 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \cos \beta + \frac{R}{2} \cos \xi \cos \tau, & a_1 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \sin \beta + \frac{R}{2} \cos \xi \sin \tau, \\ a_2 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, & a_3 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \sin \beta, & a_4 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \cos \beta - \frac{R}{2} \cos \xi \cos \tau, \\ a_5 &= \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \sin \beta - \frac{R}{2} \cos \xi \sin \tau; & b_0 &= \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma, \\ b_1 &= \frac{\sqrt{2}}{4} \sin \alpha \sin \gamma + \frac{R}{2} \sin \xi, & b_2 &= -\frac{\sqrt{2}}{2} \sin \alpha \cos \gamma, & b_3 &= -\frac{\sqrt{2}}{2} \sin \alpha \sin \gamma, \\ b_4 &= \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma, & b_5 &= \frac{\sqrt{2}}{4} \sin \alpha \sin \gamma - \frac{R}{2} \sin \xi, \end{aligned} \quad (3.6)$$

其中 $R = \sqrt{1 + \cos \alpha \cos(\beta - \frac{\pi}{4})}$ 而 $\alpha, \beta, \gamma, \xi, \tau \in [0, 2\pi]$.

证 由条件 $|H_6(z)|^2 + |H_6(-z)|^2 = 1$, 推出:

$$\sum_{i=0}^5 a_i^2 + \sum_{i=0}^5 b_i^2 = 2, \quad (3.7)$$

$$a_0 a_2 + a_1 a_3 + a_2 a_4 + a_3 a_5 + b_0 b_2 + b_1 b_3 + b_2 b_4 + b_3 b_5 = 0, \quad (3.8)$$

$$a_0 a_4 + a_1 a_5 + b_0 b_4 + b_1 b_5 = 0, \quad (3.9)$$

$$a_2 b_0 - a_0 b_2 + a_3 b_1 - a_1 b_3 + a_4 b_2 - a_2 b_4 + a_5 b_3 - a_3 b_5 = 0, \quad (3.10)$$

$$a_4 b_0 - a_0 b_4 + a_5 b_1 - a_1 b_5 = 0, \quad (3.11)$$

整理(3.7)-(3.9)式得:

$$(a_0 - a_2 + a_4)^2 + (a_1 - a_3 + a_5)^2 + (b_0 - b_2 + b_4)^2 + (b_1 - b_3 + b_5)^2 = 2,$$

令

$$\begin{aligned} a_0 - a_2 + a_4 &= \sqrt{2} \cos \alpha \cos \beta, & a_1 - a_3 + a_5 &= \sqrt{2} \cos \alpha \sin \beta, \\ b_0 - b_2 + b_4 &= \sqrt{2} \sin \alpha \cos \gamma, & b_1 - b_3 + b_5 &= \sqrt{2} \sin \alpha \sin \gamma. \end{aligned} \tag{3.12}$$

从 $H_6(1) = 1, H_6(-1) = 0$ 得:

$$\begin{cases} a_0 + a_2 + a_4 = a_1 + a_3 + a_5 = 1, \\ b_0 + b_2 + b_4 = b_1 + b_3 + b_5 = 0. \end{cases} \tag{3.13}$$

从(3.12)(3.13) 推出:

$$\begin{aligned} a_0 + a_4 &= \frac{1}{2} + \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, & a_1 + a_5 &= \frac{1}{2} + \frac{\sqrt{2}}{2} \cos \alpha \sin \beta, \\ a_2 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \cos \beta, & a_3 &= \frac{1}{2} - \frac{\sqrt{2}}{2} \cos \alpha \sin \beta; & b_0 + b_4 &= \frac{\sqrt{2}}{2} \sin \alpha \cos \gamma, \\ b_1 + b_5 &= \frac{\sqrt{2}}{2} \sin \alpha \sin \gamma, & b_2 &= -\frac{\sqrt{2}}{2} \sin \alpha \cos \gamma, & b_3 &= -\frac{\sqrt{2}}{2} \sin \alpha \sin \gamma. \end{aligned} \tag{3.14}$$

由条件(3.7)(3.9)得:

$$(a_0 - a_4)^2 + (a_1 - a_5)^2 + (b_0 - b_4)^2 + (b_1 - b_5)^2 = 2 - a_2^2 - a_3^2 - b_2^2 - b_3^2 = 1 + \cos \alpha \cos \left(\beta - \frac{\pi}{4} \right). \tag{3.15}$$

令 $\sqrt{1 + \cos \alpha \cos \left(\beta - \frac{\pi}{4} \right)} = R,$

$$\begin{cases} a_0 - a_4 = R \cos \xi \cos \tau, & \begin{cases} b_0 - b_4 = R \sin \xi \cos \eta, \\ b_1 - b_5 = R \sin \xi \sin \eta, \end{cases} & \xi, \tau, \eta \in [0, 2\pi]. \end{cases} \tag{3.16}$$

结合(3.15)(3.16)得:

$$\begin{cases} a_0 = \frac{1}{4} + \frac{\sqrt{2}}{4} \cos \alpha \cos \beta + \frac{R}{2} \cos \xi \cos \tau, & \begin{cases} b_0 = \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma + \frac{R}{2} \sin \xi \cos \eta, \\ b_4 = \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma - \frac{R}{2} \sin \xi \cos \eta, \\ b_1 = \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma + \frac{R}{2} \sin \xi \sin \eta, \\ b_5 = \frac{\sqrt{2}}{4} \sin \alpha \cos \gamma - \frac{R}{2} \sin \xi \sin \eta, \end{cases} \end{cases} \tag{3.17}$$

$a_i, b_i, i = 0, 1, 2, 3, 4, 5,$ 满足条件(3.10)(3.11)得:

$$\begin{cases} \sin \xi (\sin \eta + \cos \eta) = 0, \\ \cos \xi \sin \alpha \cos (\tau - \gamma) = \cos \alpha \sin \xi \cos (\beta - \eta). \end{cases} \tag{3.18}$$

讨论: (i) 当 $\sin \xi = 0$ 时, $\sin \alpha \cos (\tau - \gamma) = 0,$

若 $\sin \alpha = 0,$ 则为实的小波滤波器;

若 $\sin \alpha \neq 0$ 时, $\cos (\tau - \gamma) = 0,$ 而 $\tau, \gamma \in [0, 2\pi]$ 得 $\tau - \gamma = k\pi + \frac{\pi}{2}, k = -2, -1, 0, 1, \beta, \eta$ 任意取值.

例如 选择 $\xi = 0, \tau = \frac{3\pi}{4}, \gamma = \frac{\pi}{4}, \beta = \eta = \frac{\pi}{3}, \tau = \frac{3\pi}{4}, \gamma = \frac{\pi}{4}$ 则

$$\begin{aligned} H_6(z) &= \frac{1}{8} \left[(1 - \sqrt{2} + i) + (1 + \sqrt{2} + i) z + (2 - 2i) z^2 + (2 - 2i) z^3 \right. \\ &\quad \left. + (1 + \sqrt{2} + i) z^4 + (1 - \sqrt{2} + i) z^5 \right]. \end{aligned}$$

(ii) 当 $\cos \eta + \sin \eta = 0$ 时, 则 $\eta = \frac{3\pi}{4}$ 或 $\eta = \frac{7\pi}{4}.$

例如 选择 $\eta = \frac{3\pi}{4}$ 时, $\beta = \frac{3\pi}{4}, \tau = \gamma = \frac{\pi}{4}, \alpha = \xi = \frac{\pi}{6},$ 则

$$\begin{aligned} H_6(z) &= \frac{1}{16} \left\{ \left[(2 - \sqrt{3} + \sqrt{6}) + (1 - \sqrt{2}) i \right] + \left[(2 + \sqrt{3} + \sqrt{6}) + (1 + \sqrt{2}) i \right] z \right. \\ &\quad \left. + (4 + 2\sqrt{3} - 2i) z^2 + (4 - 2\sqrt{3} - 2i) z^3 + \left[(2 - \sqrt{3} - \sqrt{6}) + (1 + \sqrt{2}) i \right] z^4 \right. \\ &\quad \left. + \left[(2 + \sqrt{3} - \sqrt{6}) + (1 - \sqrt{2}) i \right] z^5 \right\}. \end{aligned}$$

4. 结论

本文给出了长度为4、6的正交复小波滤波器的参数化,在目前所知的文献中参数的个数是最少的.在以后的工作中做更深入的研究,研究更高阶的复小波滤波器及具有消失矩、共轭对称等性质更好的复小波滤波器的参数化,以便于工程人员在实际问题中的有更好的应用.

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Parameterizations of Orthogonal Complex Wavelet Filters with Compact Support

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Abstract: The complex wavelets have more advantages than real wavelets in some practical applications, In this paper, a simpler form of parameterization for orthogonal complex wavelet filters with compact support are given, The number of parameters is less than that in FENG et al.(2013), It is easier to obtain orthogonal complex wavelets by our method, which will bring more convenience for engineers, Moreover, some examples are given.

Key words: Complex wavelet filter; Orthogonality; Compact support; Parameterization