A Comparative Analysis of Switched-Capacitor and Inductor-Based DC-DC Conversion Technologies

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Abstract-This paper compares the performance of Switched-Capacitor (SC) and inductor-based DC-DC conversion technologies. A metric to compare between the two topologies is discussed, and is used to compare switch utilization. Fundamental limits on utilization of reactive elements developed in the literature for all DC-DC converters are also reviewed and discussed, and this analysis shows that popular SC and inductorbased converters achieve the limits of utilization for reactive components. These limits are stated in terms of the ratio of output power to required stored energy in reactive elements. A detailed analysis of available surface mount discrete components and on-die devices reveals that capacitors have substantially higher energy and power density than their magnetic counterparts. The challenging regulation task for SC converters is also discussed, with a promising strategy outlined. The SC converter is evidently a promising candidate for future high power density integrated DC-DC converters.

Keywords – *switched capacitor dc-dc converters, high power density, charge-pump.*

I. INTRODUCTION

The traditional inductor-based buck converter has been the default design for most switched-mode voltage regulators for decades, as it has dominated the moderate to high power (>100mW) applications. However, the buck converter requires a bulky inductor and transistors rated for the full input voltage and the full output current of the application. At the high power densities required by today's silicon chips, lowloss inductors are difficult to integrate and remain discrete components in nearly all cases. As the industry pushes towards system on a chip (SOC) solutions, many different circuit functions have already been integrated onto a single die, and the power converters occupy an increasing proportion of printed circuit board (PCB) area. In contrast to the buck converter, a Switched Capacitor (SC) DC-DC converter requires only capacitors, which have a significantly higher power density and can be integrated more easily than inductors. Historically, SC converters have been used in integrated circuits to provide programmable voltages to memories, and have mostly been limited to low power (<100mW) applications. However, SC converters theoretically have lower intrinsic conduction loss than inductor-based converters for a given total rating (e.g. V-A product) of switches for certain converters or applications [1]. This advantage is exploited in Ng [2] and Le [3], further

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demonstrating that SC converters can achieve high power density and high efficiency in moderate power applications (e.g. >1W), by using off-chip capacitors and integrated capacitors, respectively. This paper investigates the advantages of the SC converter with respect to the buck converter, and shows that it has promise in high power density applications. The analysis and examples point to the conclusion that SC converters can and will surpass their magnetic counterparts in overall performance.

Reference [1] discusses a methodology to analyze and optimize SC converters, and compares the SC converter with the buck converter in terms of switch utilization. This paper expands on the discussion in [1], but focuses on reactive elements instead. Section II first gives a brief review of the results in [1], and introduces common metrics to compare both SC and inductor-based converters. Section III shows that SC converters can meet the fundamental limit on component stress that applies to all DC-DC converters. Section IV then compares the reactive component stresses among SC converters and inductor-based converters. Section V discusses implementations of fully integrated DC-DC converters. Section VI briefly discusses an example using discrete capacitors, and Section VII discusses regulation for SC converters.

II. SC CONVERTER MODELING

Neglecting frequency dependent parasitic losses, the steady state behavior of a Switched Capacitor (SC) converter can be modeled as an ideal transformer with a series output impedance [1].



Figure 1: Model of a SC converter

In this model, the turns ratio, n, represents the conversion ratio, determined by the converter topology and switching pattern. The output impedance represents the requisite output voltage drop used to move charge in the circuit. The output impedance is a function of converter topology, switching frequency and component sizes.

SC converters can operate in one of two unique operating conditions, or in the region between them. At low switching frequencies, the converter losses and output impedance are dominated by the amount of charge that can be transferred by capacitors. This regime is denoted the slow switching limit (SSL). At high frequencies, the switch on-state resistance prevents the capacitors from completely transferring their charge each period, and thus, the switch resistance dominates the converter's loss. This operating regime is denoted the fast switching limit (FSL).

This discussion assumes two-phase converters operating at 50% duty cycle. The SSL (capacitor-dominated) and FSL (switch-dominated) output impedance are given by the following equations [1]:

$$R_{SSL} = \frac{1}{f_{sw}} \frac{\left(a_{c,i}\right)^2}{2C_i} \tag{1}$$

$$R_{FSL} = 2 \frac{R_i (a_{r,i})^2}{R_i (a_{r,i})^2}$$
(2)

In (1), f_{sw} represents the switching frequency, C_i is the value of capacitor *i*, and $a_{c,i}$ is the charge multiplier of capacitor *i*. The charge multiplier is defined as the ratio between the charge flowing in capacitor *i* during a single period to the average output charge during that period. Similarly, in (2), R_i and $a_{r,i}$ are the on-state resistance and charge multiplier for switch *i*, respectively.

These expressions for an SC converter's output impedance explicitly allow for its optimization. By constraining total switch V-A product (related to area for integrated implementations) or capacitor energy storage, each circuit element can be sized proportionally to its charge multiplier and inversely to its blocking voltage. This optimization yields the smallest output impedance for a given allotment of switch V-A product or capacitor energy storage.

After carrying out the optimization steps above, a pair of performance metrics can be developed from the output impedance expressions in (1) and (2) to express the ratio of the optimized performance of an SC converter to the cost of the components used. In the case of the slow switching limit, the dimensionless metric in (3), below, is the ratio of the converter output GV^2 to the total energy storage scaled by switching frequency. In the case of the fast switching limit, the metric in (4), below, is the ratio of the converter output GV^2 to the value of the GV^2 ratings of the switches, totaled over the switches. Converter output GV^2 is a precise metric that allows an exact computation of a power versus loss relationship. These metrics assume the switches and capacitors are sized optimally as described above and in [1]. The SSL and FSL metrics are given as follows:

$$M_{SSL} = \frac{2V_{OUT}^2}{\left(\left| \sum_{i \in caps} \left| a_{c,i} v_{c,i(rated)} \right| \right)^2 \right)}$$
(3)

$$M_{FSL} = \frac{V_{OUT}^2}{2\left(\left|a_{r,i}v_{r,i(rated)}\right|\right)^2}$$
(4)

Notice that each of these metrics depends only on the squaredabsolute-sum of the V-A products for the relevant circuit elements – capacitors or switches – normalized by output power. Thus, the performance metrics relate directly to the fundamental operation of the underlying circuit. In the performance metrics, the voltage used for characterization is the component voltage rating, since this sets the cost of the device. In all cases, the maximum expected working voltage must be less than this rated voltage.

III. FUNDAMENTAL LIMITS

Wolaver [4] has developed fundamental limits on the component stresses in a DC-DC converter. While these limits hold for all DC-DC converters, they can be specifically applied to switched capacitor converters to derive fundamental limits on the performance metrics stated earlier. This development for SC converters is given in this section. Section IV-B discusses Wolaver's limits in the context of inductor-based converters.

A. SSL Analysis.

Based on the reactive elements in any DC-DC converter, Wolaver [4] states and proves the following relation:

$$\frac{1}{2} \sum_{k \in \text{reactances}} \left| \overline{v_k i_k} \right| \ge \frac{n-1}{n} \overline{P_{OUT}} \tag{5}$$

where n is the current or voltage step-down ratio (whichever is greater than one) and v_k and i_k are the instantaneous voltage across and current through reactive element k, with the overbar indicating a time-averaged quantity for periodic steady state operation.

The SSL output impedance assumes a low-load condition where there is negligible voltage drop across switches and small capacitor ripple. The current through a capacitor can be represented in terms of its charge multiplier:

$$|i_k| = 2|a_{c,k}|I_{OUT}.$$
(6)

Substituting (6) into (5) yields:

$$I_{OUT} \sum_{i \in caps} v_k |a_{c,k}| \ge \frac{n-1}{n} V_{OUT} I_{OUT}$$
(7)

The SSL metric in (3) can be used to put this limit in terms of the SC converter parameters developed earlier. Manipulating equations (7) and (3) yields

$$M_{SSL} \le \frac{2n^2}{\left(n-1\right)^2}.$$
(8)

This fundamental limit sets the maximum performance for any switched capacitor DC-DC converter, based on reactive energy storage. Since the series-parallel converter achieves the fundamental limit, it has the highest ideal performance of any capacitor-limited SC converter.

B. FSL Analysis

A similar fundamental limit can be placed on the switches in a DC-DC converter. In any converter, the switches can be divided into two groups: the dc-active set, where switches conduct current in the direction opposite the blocking voltage (e.g. diodes), and the ac-active set, where switches conduct current in the same direction as the blocking voltage (e.g. MOSFETs, BJTs).

Wolaver [4] states and proves the following relations for the ac-active and dc-active switches in any DC-DC converter:

$$-\sum_{k \in dc} \overline{v_k} \cdot \overline{i_k} \ge \frac{n-1}{n} \overline{P_{OUT}}$$
(9)

$$-\sum_{k \in ac} \overline{v_k i_k} - \overline{v_k} \cdot \overline{i_k} \ge \frac{n-1}{n} \overline{P_{OUT}}$$
(10)

where *n* is the step-down ratio of the converter (greater than one) and v_k and i_k are the instantaneous current and voltage associated with switch *k*. For a two-phase SC converter operating at 50% duty cycle, the switches are on during one phase, such that v_k is zero and i_k equals the switch's charge multiplier $a_{r,k}$ times the output current. In the other phase, i_k equals zero and v_k equals the blocking voltage $v_{r,k}$.

Since the average instantaneous power in an ideal switch is zero, the time-averaged power term in (10) can be eliminated. By observing that the product of average voltage and average current is negative for dc-active devices, and positive for acactive devices, equations (9) and (10) can be simply added together. By substituting the definition for the switch charge multiplier, the following equation can be obtained:

$$\frac{1}{2}I_{OUT}\sum_{k\in switches} v_{r,k} \left| a_{r,k} \right| \ge 2\frac{n-1}{n}V_{OUT}I_{OUT}$$
(11)

Substituting the FSL performance metric in (4) can be used to obtain this limit in terms of the fundamental parameters of a switched-capacitor converter, analogously to the steps described in section IIIA The fundamental limit on the FSL converter metric is given as:

$$M_{FSL} \le \frac{n^2}{32(n-1)^2}$$
 (12)

This fundamental limit establishes the maximum switch utilization possible in an SC converter. Since the ladder-type converters (including the Dickson topology) achieve this limit for all conversion ratios, they will out-perform other SC converters in switch-limited applications.

IV. COMPARISON OF TOPOLOGIES

This section provides a comparative analysis of the SC and inductor-based converters in terms of the metrics and fundamental limits introduced above, beginning with SC converters in subsection IV-A and following with a comparison with inductor-based converters in subsection IV-B.

A. Switched Capacitor Converter Metrics & Comparison

By comparing the SSL and FSL metrics for converters of interest (shown in Figs. 2 and 3), the best converter topology can be chosen for a specific application. In switch-limited applications, where the switch cost dominates the capacitor cost in nominal operation (e.g., integrated switches and discrete capacitors), choosing a converter with a high FSL metric is optimal. However, if the capacitor cost is dominant (e.g. in fully-integrated converters), choosing a topology with a large SSL metric is best. As shown in Figs. 2 and 3, the Series-Parallel topology has the best SSL metric but the worst FSL metric of the topologies compared. Conversely, the Ladder and Dickson topologies have the best FSL metric and worst SSL metric.



Figure 2: SSL Metric for various topologies and conversion ratios



Figure 3: FSL Metric for various topologies and conversion ratios

Capacitor	Capacitance	Vmax	Imax	Size	Energy Density	Power Density
	μF	V	A	mm	$\mu J/mm^2$	W/mm ³ @ 1MHz
T-Y Ceramic	1	35	2.8	1.6 x 0.8 x 0.8	149.536	95.703
Vishay Tantalum	100	6.3	0.8	3.2 x 1.6 x 1.6	242.249	0.615
Kemet Elect.	22	16	3.1	7.3 x 4.3 x 1.9	47.216	0.832
Inductor	Inductance	Imax (sat)		Size	Energy Density	Power Density
	μH	A		mm	$\mu J/mm^2$	W/mm ³ @ 1MHz
Coilcraft SMT	10	0.21A		2.6 x 2.1 x 1.8	0.0224	0.0224

 TABLE I.
 COMERCIALLY-AVAILABLE PCB-LEVEL CAPACITORS AND INDUCTORS FOR DC-DC CONVERTERS

Table 1: Sample of commercially-available PCB-level capacitors and inductors suitable for DC-DC converters. For each device, the volumetric energy storage density is computed. This energy density represents a cost metric that can be used in reactive component comparison. However, in many converters, the power density is of larger concern than the energy density. Thus, the power density of these components is also calculated considering a 20 °C rise at 1 MHz. Capacitors have a greater energy and power density compared with inductors, but for larger devices, this relation may not hold true.

B Buck converter metrics & comparison

The limits on converter performance developed in section III utilize properties that apply to all DC-DC converters. Thus, it would be highly informative to use these metrics to compare switched-capacitor and traditional buck converters. Using the concepts in sections II and III, the FSL metric for a traditional buck converter can be derived, and is given by:

$$M_{FSL,buck} = \frac{1}{n(\sqrt{n-1}+1)^2}$$
(13)

When finding this metric, the converter's total switch GV^2 rating is constrained, and the two switches are optimized to minimize conduction loss for each specific conversion ratio to develop this expression.

Similarly, when the reactance-based performance limit is found, the buck converter meets the Wolaver limit in (5) when considering only the power inductor. It is somewhat reasonable to focus only on the inductor, since the input and output capacitance can be made arbitrarily small in principle by using a sufficiently large number of interleaved converter phases. We note that inductor peak energy storage is minimized with a design choice that corresponds to operation at the edge of discontinuous conduction mode (DCM), though this choice may not correspond to minimal inductor size given a loss constraint.

In any case, for the component range of interest for integrated or board-mounted applications, inductors are much bulkier than capacitors for the same energy and power handling capability, as shown in Table 1. Thus, the buck converter can be significantly larger than a comparable SC converter.

When comparing reactive element usage, we see that switched-capacitor converters are similar to inductor-based converters in terms of required V-A product for the best topologies in each class. However, the electrical utilization of the reactive elements differs significantly. Inductor-based converters, such as the buck and boost topologies, can, in principle, fully magnetize and de-magnetize a lossless inductor every period in the case of discontinuous conduction without incurring loss. This is not usually the case in practice since depending upon design, there are significant losses associated with ripple current and ripple flux. SC converters, on the other hand, only utilize a small fractional ripple voltage on their capacitors, since this ripple corresponds to loss in the slow-switching limit, also known as charge-sharing loss. Despite the need to store additional energy in switched capacitor converters,¹ the substantially superior energy and power density of capacitors with respect to inductors for practical frequencies of interest allow switched capacitor circuits to provide higher power density at equal efficiency, or higher efficiency at equal power density.

The subsequent section provides a more detailed analysis of on-die reactive elements in the context of fully integrated DC-DC converter applications.

V. FULLY INTEGRATED IMPLEMENTATIONS

With increasing levels of integration of digital processing cores and functional blocks in system-on-a-chip (SOCs), it is clear that multiple independent power supplies need to be implemented on-die to actively optimize the whole system's power and circuit performance. Simply adding off-chip supplies will not only incur serious degradations of supply impedance due to split package power planes, but also additional cost due to increased motherboard size and package complexity. Therefore, there is a strong motivation to fully integrate voltage conversion on the silicon chip using a pointof-load strategy as shown in Fig. 5. With an on-die approach, the density metric is defined using the total implementation area, rather than the total implementation volume.

In order to make the optimal choice of DC-DC converter implementation in a fully integrated context, a fair comparison

¹ In practice, buck converters will also require significant additional energy storage in the form of input and/or output decoupling capacitors in order to achieve good transient response.

between integrated inductors and integrated capacitors requires a consideration of the technology used in the two relative converter types. With an initial implementation goal to ensure no additional cost for special process steps, the most desirable method is to use the gate oxide to implement capacitors. Similarly the top metal layer is used to implement inductors. Given an area of 1mm² in today's CMOS technology, a capacitance of about 10nF can be obtained to achieve an energy density of 5nJ at 1V of operation. Meanwhile, for a planar spiral inductor implementation with 1mm diameter, 3 turns, 100µm line width ² and 50µm line spacing, approximately 12nH can be achieved to obtain 6nJ at 1A operation. However, this inductor, implemented in a common 3µm-thick top metal layer, has a DC resistance of $600 \mathrm{m}\Omega$, equivalent to 37.5% efficiency degradation for a 1V-1A or 1W/mm² output. This 62.5% efficiency critical limit is calculated without other losses of the inductor coming from AC resistance, substrate loss, and inductive switching loss. Significantly, integrated capacitors do not suffer from any of these loss mechanisms.



Figure 5: On-die point-of-load power distribution

Le in [3] reports a preliminary implementation of a fully integrated SC DC-DC converter that achieves efficiency above 80% at 0.55W/mm² of output power density with no additional fabrication steps in a commercial 32nm CMOS process. The work also illustrates methodologies to address several wellknown issues associated with SC converters, including limited output voltage range, voltage ripple, output power density, interconnect for many capacitors, and voltage rating of devices.

If additional process steps are considered, both inductor and capacitor technologies can be improved. A comparison can be made between an inductor implemented with a thick electroplated top metal (usually Aluminum) layer and capacitors utilizing widely available deep-trench or 3D DRAM capacitor technologies.

For example, if fabricated on a 30µm-thick top metal layer, the DC resistance R_{DC} of the inductor can be reduced to 60m Ω . However, increasing the thickness does not reduce the AC resistance R_{AC} significantly. At a nominal switching frequency of 100MHz (which would maintain reasonably low switching losses with modern CMOS transistors), the metal skin depth is only approximately 8.2µm Ignoring the proximity effect, a naïve analysis estimates the AC resistance factor $Fr=R_{DC}/R_{AC}=1.61$, or $R_{AC} = 97$ mΩ. Assuming that the converter is operating at the edge of continuous conduction mode (CCM) and discontinuous conduction mode (DCM) to best take advantage of the available inductor energy density, the loss due to R_{AC} and R_{DC} are 130mW and 60mW, respectively. These losses alone limit the achievable efficiency to 84% for a 1W/mm² implementation. Thus, even with thick metals, the performance of the inductor-based converter is only comparable to an SC converter implemented in completely standard CMOS technology.

The work reported in [12] also concludes that significant improvements are still needed for integrated inductor-based converters to reach 80% efficiency over a high power density range. A successful implementation with magnetic material on silicon from Enpirion [14] achieves efficiency of 80% at 0.4W/mm². As reported in [13], substantial effort was put into improving the integrated inductor by utilizing magnetic materials as well as thick metals to achieve 76% peak efficiency at a power density of ~10W/mm² with a roughly 2-to-1 conversion ratio.

While these works certainly demonstrate significant progress in integrated inductor technology, these solutions are not yet widely available at low cost. In contrast, deep trench or 3D capacitors with densities on the order of 200-400nF/mm² are ubiquitously utilized in stand-alone DRAMs and are gaining traction in embedded DRAM applications as well. The \sim 20-40x increase in energy density offered by these capacitors over CMOS gate oxide translates into significantly improved efficiency and power density for SC converters. Specifically, the work reported in [11] demonstrated a fully integrated 2-to-1 SC converter implemented with ~200fF/µm² deep trench capacitors and achieved efficiency of 90% at a power density of 2W/mm². An analysis similar to that described in [3] predicts that with $200 \text{fF}/\mu\text{m}^2$ deep trench capacitors and modern CMOS switches, an optimized SC design can achieve above 88% efficiency for power densities up to $10W/mm^2$ – i.e., notably higher than the design from [13] while utilizing only relatively standard processing techniques.

VI. DISCRETE CAPACITOR IMPLEMENTATION

SC converters may offer compelling advantages in more traditional applications with external energy storage elements as well. Ng [2] reports on a 12V-to-1.5V Dickson SC converter using off-chip ceramic capacitors and integrated switches. Unlike most SC converters that are designed for low conversion ratio (<4:1) and low power (<100mW) applications, this converter operates with moderate conversion ratio (8:1) and moderate power level (1.5W). As discussed in [2], the converter achieves a higher efficiency (93% vs. 89%) and smaller component PCB footprint (13mm² vs. 34mm²) when compared to commercially available buck and SC DC-DC converters, and highlights the fact that SC converters can attain high efficiency in high conversion ratio applications as

² In practice, certain process rules usually limit a single line width to a smaller number, leading to a higher DC resistance.

well. The improvement in volumetric density for this design is largely due to the high energy density of capacitors when compared to inductors, as reported in Table 1.

VII. REGULATION OF SC CONVERTERS

One of the main drawbacks of SC converters is that they do not nominally provide an efficient means to regulate over a wide range of output voltages, and therefore in this section we will briefly discuss techniques that address this issue.

Regulation of an SC converter can be achieved through modulating either the output referred resistance, R_{OUT} , of the converter, or changing the unloaded conversion ratio, n. Since the maximum achievable efficiency of an SC converter is limited by the voltage drop across R_{OUT} , changing n is desired when the ratio V_{IN}/V_{OUT} varies substantially. However, the complexity of the converter and the number of components increase with the number of possible conversion ratios [5]. Thus, as a practical SC converter may not offer extremely fine resolution of n, modulating R_{OUT} is also necessary in order to maintain tight regulation. However, as long as sufficient choices of n are available to limit the voltage range over which linear regulation through modulating R_{OUT} is necessary, the efficiency of the SC converter can remain high across a broad range of V_{OUT} .

With the large number of switches in an SC converter, there are numerous ways to modulate R_{OUT} [6-9]. All of these methods can be categorized as either modulating R_{SSL} or R_{FSL} . Bayer [6] proposes skipping clock pulses, and Seeman [7] proposes controlling the clock hysteretically, with both of these approaches effectively adjusting switching frequency to modulate R_{OUT} via R_{SSL} . Gregoire [8] proposes varying switch conductance and Zhu [9] proposes varying switch duty ratios, with both schemes effectively varying switch resistances to modulate R_{OUT} via R_{FSL} .

Varying R_{OUT} through R_{SSL} means the converter is operating in the SSL regime. This scheme leads to lower switching frequency for a given R_{OUT} , and thus potentially lower switching loss and higher efficiency. However, output current is impulsive in the SSL, and this scheme can lead to higher output voltage ripple. A larger output capacitor or multi-phase interleaving may be necessary in order to reduce the output ripple down to reasonable values. On the other hand, by actively modulating the switch conductance of the "output" switch of a converter, the output current can be maintained at a near constant value [8], and the output ripple minimized. "Output" switches here are the last switches that separate the flying capacitor(s) from the output terminal.

A regulated SC converter based on combined output switch conductance modulation and variable ratio can be modeled as shown in Fig. 7. The controller can be divided into 2 loops. The inner loop modifies R_{OUT} for tight regulation, and can be modeled as a series transistor controlled by an error amplifier. The outer loop chooses the best conversion ratio such that both regulation and high efficiency is maintained.



Figure 7: Model of a regulated SC converter

A current ramp simulation of an SC converter using this control scheme is shown in Fig. 8. The SC regulator modulates the conductance of the output switches for regulation. In order to reduce switching losses, the switching frequency is set proportionally to the conductance of the output switches. As shown in the figure, when output current increases, V_{OUT} droops and switching frequency increases. This corresponds to an increase in switch conductance, as modeled in Fig. 7. As switch conductance reaches its maximum, the conversion ratio n is reduced to maintain regulation. After *n* reduces, voltage drop across transistor M_1 increases, and thus switch conductance is reduced, accompanied by a reduction in switching frequency. After the second reduction in n, V_{OUT} surges temporarily, as shown in Fig. 8. This is due to the residual charge stored on the flying capacitor from when it was configured in the previous conversion ratio.



Figure 8: Simulation of a regulated SC converter

VIII. CONCLUSION

This paper presents analysis and practical data highlighting that the SC converter can be superior to the traditional inductor-based buck converter in terms of switch utilization, reactive element utilization, and integration. In terms of switches, the ladder-type SC converter has lower switch V-A stress than the buck converter, and meets the fundamental limit for minimum switch V-A stress applicable to all DC-DC converters [4]. In terms of reactive elements, while both the series-parallel SC converter and the buck converter meet the fundamental limit on reactive element V-A stress, the SC converter benefits from the significantly higher energy and power densities of capacitors over inductors. In terms of integration, a fully integrated SC converter can already achieve respectable performance without extra process steps [3], whereas a fully integrated buck converter will likely require both thick metals and magnetic materials to achieve acceptably high efficiency and high power density. Regulation for the SC converters can be achieved by regulating the output resistance and conversion ratio. With these considerations, this work comes to the conclusion that the SC converter has a bright future for high power density integrated DC-DC converters.

ACKNOWLEDGEMENTS

The authors would like to acknowledge grants from National Semiconductor, Freescale Semiconductor and Intel. H.-P. Le and E. Alon would like to acknowledge the support of C2S2 and IFC (2 of 5 research centers funded under the Focus Center Research Program, a Semiconductor Research Corporation program), an IBM Faculty Award, NSF, and the sponsors, students, faculty, and staff of BWRC. M. John and S. Sanders would like to acknowledge the support of GRC, a Semiconductor Research Corporation program.

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