

# CONTENTS

List of Figures .....	xvii
List of Tables.....	xxvii
Preface.....	xxix
List of Abbreviations.....	xxxix
List of Symbols .....	xxxv
About the Authors.....	xxxvii

<b>CHAPTER 1 Introduction to Multi-Antenna Communications.....</b>	<b>1</b>
1.1 Brief history of array processing.....	1
1.2 Space-time wireless channels for multi-antenna systems.....	2
1.2.1 Discrete time representation.....	2
1.2.2 Path-loss and shadowing.....	3
1.2.3 Fading.....	4
1.2.4 MIMO channels.....	5
1.3 Exploiting multiple antennas in wireless systems.....	6
1.3.1 Diversity techniques.....	6
1.3.2 Multiplexing capability.....	9
1.3.3 Interference management.....	10
1.4 Single-input multiple-output systems .....	10
1.4.1 Receive diversity via selection combining.....	11
1.4.2 Receive diversity via gain combining.....	12
1.4.3 Receive diversity via hybrid selection/gain combining.....	15
1.5 Multiple-input single-output systems.....	15
1.5.1 Switched multibeam antennas.....	16
1.5.2 Transmit diversity via matched beamforming.....	16
1.5.3 Null-steering and optimal beamforming.....	17
1.5.4 Transmit diversity via space-time coding.....	17
1.5.5 Indirect transmit diversity.....	18
1.6 Multiple-input multiple-output systems.....	19
1.6.1 MIMO with perfect transmit channel knowledge.....	19
1.6.2 MIMO without transmit channel knowledge.....	22
1.6.3 MIMO with partial transmit channel knowledge.....	25
1.7 Multi-link MIMO networks: From multi-user to multi-cell MIMO.....	26
1.8 MIMO techniques in commercial wireless systems.....	26

<b>CHAPTER 2</b>	<b>From Multi-Dimensional Propagation to Multi-Link MIMO Channels .....</b>	<b>29</b>
2.1	Double-directional channel modeling.....	30
2.1.1	The double-directional channel impulse response.....	30
2.1.2	Multidimensional correlation functions and stationarity.....	35
2.1.3	Channel fading statistics and K-factor.....	36
2.1.4	Doppler spectrum and coherence time.....	38
2.1.5	Power delay and direction spectra.....	39
2.1.6	Cross-correlation properties of double-directional channel characteristics.....	41
2.2	The MIMO channel matrix.....	42
2.2.1	Deriving the MIMO channel matrix.....	42
2.2.2	Linking antennas and propagation: Introducing the steering vectors.....	43
2.2.3	A finite scatterer MIMO channel representation.....	44
2.3	Statistical properties of the MIMO channel matrix.....	44
2.3.1	Spatial correlation.....	44
2.3.2	Singular values and eigenvalues.....	47
2.3.3	Frobenius norm.....	49
2.4	Multi-link MIMO propagation.....	49
2.5	Impact of antenna arrays on MIMO channels.....	50
2.5.1	Ideal versus real-world antenna arrays.....	50
2.5.2	Mutual coupling.....	51
2.5.3	Dual-polarized antennas.....	55
2.6	Towards MIMO channel modeling.....	56
2.6.1	Analytical representations versus physical models.....	56
2.6.2	Discrete MIMO channel modeling: sampling theorem revisited.....	56
<b>CHAPTER 3</b>	<b>Analytical MIMO Channel Representations For System Design.....</b>	<b>59</b>
3.1	Propagation-motivated MIMO metrics.....	60
3.1.1	Comparing models and correlation matrices.....	60
3.1.2	Characterizing the multipath richness.....	61
3.1.3	Measuring the non-stationarity of MIMO channels.....	64
3.1.4	Measuring the distance between multi-link MIMO channels.....	68
3.2	Analytical single-link representations of narrowband correlated MIMO channels.....	71
3.2.1	Rayleigh fading channels.....	71

3.2.2	Ricean fading channels .....	72
3.2.3	Double-Rayleigh fading keyhole channels .....	73
3.2.4	Correlated Rayleigh channel dynamics .....	74
3.3	Dual-polarized channels.....	76
3.3.1	Modeling antenna and scattering depolarization .....	76
3.3.2	Dual-polarized Rayleigh fading channels.....	78
3.3.3	Dual-polarized Ricean fading channels .....	83
3.4	Separable representations of Gaussian MIMO channels .....	84
3.4.1	Kronecker model.....	84
3.4.2	Virtual channel representation .....	86
3.4.3	Eigenbeam model.....	89
3.4.4	Accuracy of separable representations.....	90
3.5	Frequency selective MIMO channels.....	98
3.6	Analytical multi-link representations of MIMO channels.....	100

<b>CHAPTER 4</b>	<b>Physical MIMO Channel Models for Performance Simulation .....</b>	<b>101</b>
4.1	Electromagnetic models.....	101
4.1.1	Ray-based deterministic methods .....	101
4.1.2	Multi-polarized channels .....	102
4.2	Geometry-based stochastic models.....	103
4.2.1	One-ring model .....	103
4.2.2	Two-ring models .....	105
4.2.3	Combined elliptical-ring model .....	106
4.2.4	Elliptical and circular models .....	108
4.2.5	Extension of geometry-based models to dual-polarized channels.....	108
4.2.6	Kronecker separability of geometry-based models.....	110
4.3	Empirical channel models.....	113
4.3.1	Extended Saleh-Valenzuela model.....	113
4.3.2	SUI channel models .....	114
4.3.3	Shadowing correlation models in multi-link scenarios.....	115
4.4	Standardized MIMO channel models .....	116
4.4.1	IEEE 802.11 TGn models .....	116
4.4.2	IEEE 802.16/WiMAX models .....	116
4.4.3	COST 259/273 directional channel models.....	117
4.4.4	3GPP/3GPP2 spatial channel models and winner .....	119
4.4.5	COST 2100 multi-link MIMO channel model.....	120
4.4.6	WINNER II multi-link MIMO channel model .....	124

<b>CHAPTER 5</b>	<b>Capacity of Single-Link MIMO Channels.....</b>	<b>125</b>
5.1	Introduction.....	125
5.1.1	Some information theory concepts .....	125
5.1.2	System model.....	126
5.2	Capacity of deterministic MIMO channels.....	127
5.2.1	Capacity and water-filling algorithm .....	127
5.2.2	Capacity bounds and suboptimal power allocations.....	131
5.3	Ergodic capacity of fast fading channels .....	132
5.3.1	MIMO capacity with perfect transmit channel knowledge.....	132
5.3.2	MIMO capacity with partial transmit channel knowledge.....	134
5.4	I.I.D. Rayleigh fast fading channels.....	134
5.4.1	Perfect channel knowledge .....	134
5.4.2	Partial transmit channel knowledge .....	136
5.5	Correlated Rayleigh fast fading channels .....	145
5.5.1	Spectral efficiency with equal power allocation .....	145
5.5.2	Partial transmit channel knowledge .....	149
5.6	Ricean fast fading channels.....	154
5.6.1	Spectral efficiency with equal power allocation .....	154
5.6.2	Partial transmit channel knowledge .....	157
5.7	Outage capacity and probability and diversity-multiplexing trade-off in slow fading channels.....	157
5.7.1	Perfect transmit channel knowledge .....	158
5.7.2	Partial transmit channel knowledge .....	159
5.8	I.I.D. Rayleigh slow fading channels.....	160
5.8.1	Infinite SNR .....	160
5.8.2	Finite SNR .....	167
5.9	Correlated Rayleigh and Ricean slow fading channels.....	168
<b>CHAPTER 6</b>	<b>Space-Time Coding over I.I.D. Rayleigh Flat Fading Channels.....</b>	<b>173</b>
6.1	Overview of a space-time encoder.....	173
6.2	System model.....	174
6.3	Error probability motivated design methodology .....	175
6.3.1	Fast fading MIMO channels: The distance-product criterion.....	176
6.3.2	Slow fading MIMO channels: The rank-determinant and rank-trace criteria .....	177
6.4	Information theory motivated design methodology .....	180
6.4.1	Fast fading MIMO channels: Achieving the ergodic capacity.....	181
6.4.2	Slow fading MIMO channels: Achieving the diversity-multiplexing trade-off.....	182

6.5	Space-time block coding.....	187
6.5.1	A general framework for linear STBCs .....	188
6.5.2	Spatial multiplexing/V-BLAST .....	194
6.5.3	D-BLAST.....	204
6.5.4	Orthogonal space-time block codes .....	206
6.5.5	Quasi-orthogonal space-time block codes .....	212
6.5.6	Linear dispersion codes.....	216
6.5.7	Algebraic space-time codes.....	218
6.5.8	Global performance comparison.....	223
6.6	Space-time trellis coding.....	224
6.6.1	Space-time trellis codes .....	225
6.6.2	Super-orthogonal space-time trellis codes .....	233

## **CHAPTER 7 MIMO Receiver Design: Detection and Channel Estimation..... 237**

7.1	Reminder: System model.....	237
7.2	MIMO Receivers for uncoded transmissions.....	238
7.2.1	Optimal detection.....	238
7.2.2	Lattice representation .....	238
7.2.3	Linear receivers.....	239
7.2.4	Decision-feedback receivers .....	243
7.2.5	Lattice-reduction-aided detection .....	243
7.2.6	Sphere decoding algorithm and QR-ML detection.....	244
7.2.7	Ordered sphere decoders.....	250
7.2.8	Breadth-first search detectors with fixed complexity.....	250
7.2.9	Semidefinite-relaxation detection .....	252
7.2.10	Slowest descent detection .....	253
7.3	MIMO Receivers for coded transmissions.....	256
7.3.1	Iterative MIMO receivers.....	256
7.3.2	Space-time coded modulations .....	257
7.4	MIMO channel estimation .....	258
7.4.1	Motivation to channel estimation.....	258
7.4.2	Slow fading channels .....	259
7.4.3	Fast fading channels.....	260

## **CHAPTER 8 Error Probability in Real-World MIMO Channels ..... 263**

8.1	A conditional Pairwise Error Probability approach .....	263
8.1.1	Degenerate channels .....	263
8.1.2	The Spatial Multiplexing example.....	267
8.2	Introduction to an average Pairwise Error Probability approach.....	269

8.3	Average Pairwise Error Probability in Rayleigh fading channels.....	274
8.3.1	High SNR regime.....	274
8.3.2	Medium SNR regime.....	282
8.3.3	Low SNR regime.....	287
8.3.4	Summary and examples.....	287
8.4	Average Pairwise Error Probability in Ricean fading channels.....	290
8.5	Perspectives on the space-time code design in realistic channels.....	293

**CHAPTER 9 Space-Time Coding over Real-World MIMO Channels With No Transmit Channel Knowledge..... 295**

9.1	Information theory motivated design methodology.....	295
9.2	Information theory motivated code design in slow fading channels.....	297
9.2.1	Universal code design criteria.....	297
9.2.2	MISO channels.....	300
9.2.3	Parallel channels.....	300
9.3	Error Probability motivated design methodology.....	303
9.3.1	Designing robust codes.....	303
9.3.2	Average Pairwise Error Probability in degenerate channels.....	304
9.3.3	Catastrophic codes and general design criteria.....	308
9.4	Error Probability motivated code design in slow fading channels.....	314
9.4.1	Full rank codes.....	314
9.4.2	Linear space-time block codes.....	314
9.4.3	Virtual channel representation based design criterion.....	317
9.4.4	Relationship with information theory motivated design.....	318
9.4.5	Practical code designs in slow fading channels.....	319
9.5	Error Probability motivated code design in fast fading channels.....	330
9.5.1	“Product-Wise” catastrophic codes.....	330
9.5.2	Practical code designs in fast fading channels.....	330

**CHAPTER 10 Space-Time Coding with Partial Transmit Channel Knowledge..... 335**

10.1	Introduction to channel statistics based precoding techniques.....	338
10.1.1	Information theory motivated design methodologies.....	338
10.1.2	Error Probability motivated design methodologies.....	339
10.2	Channel statistics based precoding for orthogonal space-time block coding.....	340
10.2.1	Optimal precoding in Kronecker Rayleigh fading channels.....	341
10.2.2	Optimal precoding in non Kronecker Rayleigh channels.....	345
10.2.3	Optimal precoding in Ricean fading channels.....	346
10.3	Channel statistics based precoding for codes with non-identity error matrices.....	348

10.4	Channel statistics based precoding for Spatial Multiplexing.....	351
10.4.1	Beamforming.....	353
10.4.2	Constellation shaping.....	353
10.5	Introduction to quantized precoding and antenna selection techniques .....	357
10.6	Quantized precoding and antenna selection for dominant eigenmode transmissions .....	358
10.6.1	Selection criterion and codebook design .....	358
10.6.2	Optimal codebook design based on vector quantization.....	360
10.6.3	I.i.d. Rayleigh fading channels .....	360
10.6.4	Spatially correlated Rayleigh fading channels.....	366
10.6.5	Dual-polarized Rayleigh fading channels.....	371
10.6.6	Dynamic Rayleigh fading channels .....	373
10.7	Quantized precoding and antenna selection for orthogonal space-time block coding .....	375
10.7.1	Selection criterion and codebook design .....	375
10.7.2	Antenna subset selection and achievable diversity gain.....	377
10.8	Quantized precoding and antenna selection for spatial multiplexing.....	379
10.8.1	Selection criterion and codebook design .....	379
10.8.2	Impact of decoding strategy on error probability.....	380
10.8.3	Extension to multimode precoding.....	381
10.9	Information theory motivated quantized precoding.....	383

## **CHAPTER 11 Space-Time Coding for Frequency Selective Channels..... 385**

11.1	Single-carrier vs. multi-carrier transmissions.....	385
11.1.1	Single-carrier transmissions.....	385
11.1.2	Multi-carrier transmissions: MIMO-OFDM.....	386
11.1.3	A unified representation for single and multi-carrier transmissions .....	391
11.2	Information theoretic aspects for frequency selective MIMO channels.....	393
11.2.1	Capacity considerations .....	393
11.2.2	Mutual information with equal power allocation.....	394
11.2.3	Diversity-multiplexing trade-off .....	395
11.3	Average pairwise error probability .....	396
11.4	Code design criteria for single-carrier transmissions in Rayleigh fading channels .....	397
11.4.1	Generalized delay-diversity .....	397
11.4.2	Lindskog-Paulraj scheme.....	398
11.4.3	Alternative constructions.....	400

11.5	Code design criteria for space-frequency coded MIMO-OFDM transmissions in Rayleigh fading channels .....	400
11.5.1	Diversity gain analysis .....	400
11.5.2	Coding gain analysis .....	404
11.5.3	Space-frequency linear block coding .....	406
11.5.4	Cyclic delay-diversity .....	409
11.5.5	Precoder cycling .....	412
11.6	On the robustness of codes in spatially correlated frequency selective channels .....	414
11.6.1	Degenerate taps .....	414
11.6.2	application to space-frequency MIMO-OFDM .....	416
11.6.3	Application to precoder cycling .....	416

**CHAPTER 12 Multi-User MIMO..... 419**

12.1	System model .....	419
12.1.1	Multiple access channel – uplink .....	420
12.1.2	Broadcast channel – downlink .....	421
12.2	Capacity of Multiple-Access Channels (MAC) .....	424
12.2.1	Capacity region of deterministic channels .....	424
12.2.2	Ergodic capacity region of fast fading channels .....	431
12.2.3	Outage capacity, outage probability and diversity-multiplexing trade-off of slow fading channels .....	437
12.3	Capacity of Broadcast Channels (BC) .....	442
12.3.1	Capacity region of deterministic channels .....	442
12.3.2	Ergodic capacity region of fast fading channels .....	451
12.3.3	Outage capacity, outage probability and diversity-multiplexing trade-off of slow fading channels .....	453
12.4	BC-MAC Duality .....	455
12.4.1	Duality of SISO channels .....	455
12.4.2	Duality of MIMO channels .....	458
12.5	Multi-user diversity, resource allocation and scheduling .....	463
12.5.1	Multi-user diversity .....	463
12.5.2	Resource allocation, fairness and scheduling criteria .....	466
12.5.3	User grouping .....	469
12.6	Sum-rate scaling laws .....	471
12.6.1	High and low SNR regimes .....	473
12.6.2	Large antenna array regime .....	475
12.6.3	Large number of users .....	477
12.7	Uplink multi-user MIMO .....	478
12.8	Downlink multi-user MIMO precoding with perfect transmit channel knowledge .....	479
12.8.1	Matched beamforming .....	481

12.8.2	Zero-forcing beamforming.....	481
12.8.3	Block diagonalization .....	484
12.8.4	Regularized zero-forcing beamforming .....	487
12.8.5	Joint leakage suppression.....	487
12.8.6	Maximum sum-rate beamforming .....	489
12.8.7	Beamforming with assigned target SINR .....	490
12.8.8	Tomlinson-Harashima precoding .....	494
12.8.9	Vector perturbation.....	497
12.8.10	Global performance comparison .....	500
12.9	Downlink multi-user MIMO precoding with partial transmit channel knowledge .....	507
12.9.1	Opportunistic beamforming – unitary precoding.....	507
12.9.2	Quantized feedback-based precoding .....	509
12.9.3	Outdated feedback-based precoding .....	521
<b>CHAPTER 13 Multi-Cell MIMO.....</b>		<b>525</b>
13.1	Interference in wireless networks .....	525
13.1.1	Classical inter-cell interference mitigation .....	526
13.1.2	Towards multi-cell coordination and cooperation.....	529
13.2	System model .....	532
13.2.1	Interference channel – coordination.....	532
13.2.2	Multiple access and broadcast channels – cooperation.....	535
13.3	Network architecture.....	536
13.3.1	Multi-cell measurement, clustering and transmission .....	536
13.3.2	Distributed and centralized architecture .....	537
13.3.3	User-centric and network-predefined clustering .....	537
13.4	Capacity of multi-cell MIMO channels .....	539
13.4.1	SISO Interference Channels.....	539
13.4.2	More than two-user SISO Interference Channels .....	546
13.4.3	MIMO Interference Channels .....	548
13.4.4	Multiple access and broadcast channels .....	549
13.5	Multi-cell diversity and resource allocation.....	550
13.5.1	Multi-cell multi-user diversity .....	551
13.5.2	Multi-cell resource allocation .....	553
13.6	Coordinated power control.....	555
13.6.1	Large number of users.....	556
13.6.2	Large number of interferers .....	556
13.6.3	High and low SINR regimes .....	557
13.6.4	Two-cell clusters .....	559
13.6.5	OFDMA networks .....	560
13.6.6	Fully distributed power control.....	568
13.7	Coordinated beamforming .....	572

13.7.1 Matched beamforming .....	573
13.7.2 Zero-forcing beamforming and block diagonalization .....	574
13.7.3 Interference alignment .....	576
13.7.4 Joint leakage suppression .....	584
13.7.5 Maximum network sum-rate beamforming .....	584
13.7.6 Beamforming with assigned target SINR .....	584
13.7.7 Balancing competition and coordination .....	585
13.7.8 Opportunistic beamforming .....	586
13.8 Coordinated scheduling, beamforming and power control .....	586
13.8.1 MIMO-OFDMA networks .....	586
13.8.2 A general framework of coordination .....	590
13.9 Coding for multi-cell coordination .....	592
13.10 Network MIMO .....	594

**CHAPTER 14 MIMO in LTE, LTE-Advanced and WiMAX..... 597**

14.1 Design targets and key technologies .....	597
14.1.1 System requirements .....	597
14.1.2 Key technologies .....	598
14.2 Antenna and network deployments .....	601
14.2.1 Prioritized multiple antenna set-ups .....	601
14.2.2 Deployment scenarios .....	602
14.2.3 Backhaul .....	604
14.3 Reference signals .....	605
14.3.1 Dedicated vs. common .....	605
14.3.2 Downlink design .....	606
14.3.3 Uplink design .....	608
14.4 Single-user MIMO .....	608
14.4.1 MIMO encoding .....	609
14.4.2 Open- and closed-loop MIMO .....	609
14.4.3 Open-loop transmit diversity: Space-time/frequency coding .....	611
14.4.4 Open-loop spatial multiplexing: Precoder cycling .....	612
14.4.5 Uplink SU-MIMO .....	613
14.5 Multi-user MIMO .....	613
14.5.1 Codebook and non-codebook based precoding .....	614
14.5.2 MU-MIMO dimensioning .....	615
14.5.3 Transparency of MU-MIMO .....	616
14.5.4 SU/MU-MIMO dynamic switching .....	616
14.5.5 Open-loop MU-MIMO .....	618
14.5.6 Uplink MU-MIMO .....	618
14.6 Multi-cell MIMO .....	618
14.6.1 Traditional interference mitigation .....	618
14.6.2 Semi-static ICIC .....	619

14.6.3 Enhanced ICIC.....	619
14.6.4 Coordinated multi-point (CoMP).....	621
14.7 Channel State Information (CSI) feedback.....	625
14.7.1 Feedback types.....	625
14.7.2 Feedback mechanisms .....	626
14.7.3 Quantized feedback and codebook designs .....	628
14.7.4 Uplink sounding.....	632
14.7.5 CSI Feedback for multi-cell MIMO .....	633
14.8 Beyond LTE-A: Massive multi-cell and massive multi-antenna networks.....	634

## **CHAPTER 15 MIMO-OFDMA System Level Evaluation..... 637**

15.1 Single-user MIMO.....	637
15.1.1 Antenna deployment and configuration.....	638
15.1.2 Channel estimation errors .....	640
15.1.3 Feedback type.....	640
15.1.4 Feedback accuracy .....	641
15.2 Multi-User MIMO.....	643
15.2.1 Antenna deployment and configuration.....	643
15.2.2 Dimensioning.....	645
15.2.3 Channel estimation errors .....	645
15.2.4 Receive filter .....	647
15.2.5 Transmit filter and feedback type.....	648
15.2.6 Feedback accuracy .....	648
15.2.7 Cumulative impact of impairments.....	654
15.2.8 Single-user/multi-user MIMO dynamic switching .....	654
15.2.9 Multi-user diversity.....	656
15.3 User Dropping and cell clustering in homogeneous networks .....	656
15.3.1 Intra-site vs. inter-site clustering.....	656
15.3.2 User-centric vs. network predefined clustering.....	657
15.3.3 Which users benefit from CoMP?.....	657
15.3.4 Feedback overhead.....	659
15.4 Coordinated scheduling and beamforming in homogeneous networks.....	659
15.4.1 Antenna deployments.....	660
15.4.2 Number of iterations .....	662
15.4.3 Coordinated scheduling vs. coordinated beamforming .....	662
15.4.4 Link adaptation and CQI computation.....	663
15.5 Coordinated scheduling and power control in heterogeneous networks.....	663
15.5.1 Femto cells.....	663
15.5.2 Downlink dead-zone problem .....	665

15.5.3 Static binary ON/OFF power control.....	668
15.5.4 Dynamic binary ON/OFF power control .....	670
15.5.5 Dynamic vs. static binary ON/OFF power control .....	672
15.5.6 Picocells and distributed antenna systems (DAS).....	672
15.6 Concluding remarks .....	674
<b>Appendix A Useful Mathematical and Matrix Properties .....</b>	<b>675</b>
<b>Appendix B Complex Gaussian Random variables and matrices .....</b>	<b>677</b>
B.1 Some useful probability distributions .....	677
B.2 Eigenvalues of Wishart matrices .....	678
B.2.1 Determinant and product of eigenvalues of Wishart matrices.....	679
B.2.2 Distribution of ordered of eigenvalues .....	679
B.2.3 Distribution of non-ordered of eigenvalues.....	679
<b>Appendix C Antenna Coupling Model.....</b>	<b>681</b>
C.1 Minimum scatterers W.R.T. impedance parameters.....	681
C.1.1 Circuit representation .....	681
C.1.2 Radiation patterns.....	683
C.2 Minimum scatterers W.R.T. admittance parameters .....	685
<b>Appendix D Derivation of the Average Pairwise Error Probability.....</b>	<b>687</b>
D.1 Joint space-time correlated Ricean fading channels .....	688
D.2 Space correlated Ricean slow fading channels .....	690
D.3 Joint space-time correlated Ricean block fading channels .....	690
D.4 I.i.d. Rayleigh slow and fast fading channels .....	691
<b>Bibliography .....</b>	<b>693</b>
<b>Index.....</b>	<b>727</b>