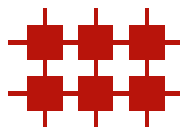


Do Communication Engineers Need Circuit Theory?

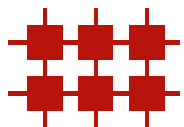
Josef A. Nossek

25. May 2009

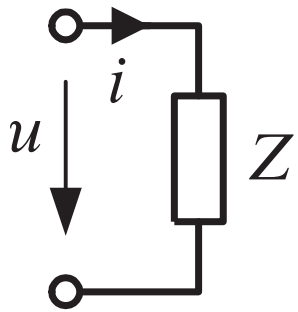
Taipei, Taiwan



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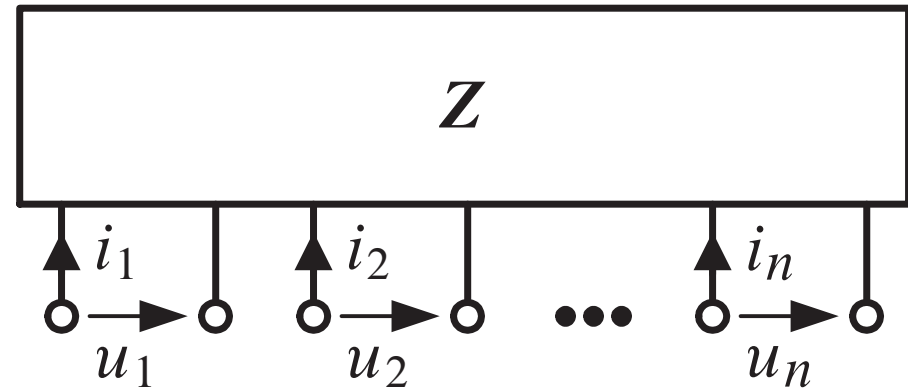
one-port



u, i complex phasors

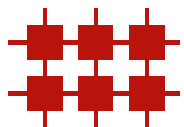
$$\begin{aligned} P &= \operatorname{Re}\{u^*i\} \\ &= |i|^2 \operatorname{Re}\{Z\} \\ &= |u|^2 \operatorname{Re}\{Z^{-1}\} \end{aligned}$$

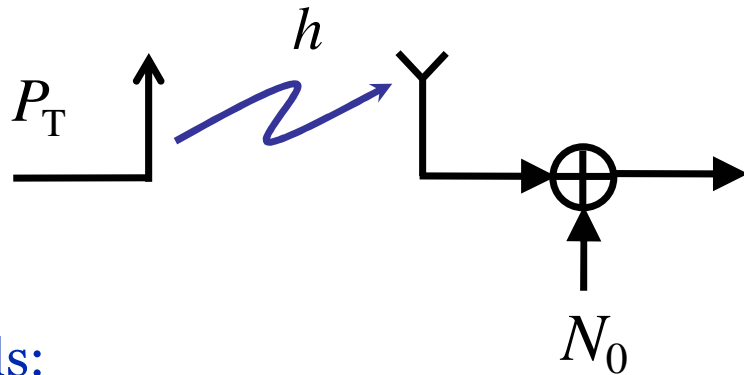
reciprocal multi-port



$$\begin{aligned} P &= \sum_{k=1}^n \operatorname{Re}\{u_k^*i_k\} = \operatorname{Re}\{\mathbf{u}^H \mathbf{i}\} \\ &= \mathbf{i}^H \operatorname{Re}\{Z\} \mathbf{i} \\ &= \mathbf{u}^H \operatorname{Re}\{Z^{-1}\} \mathbf{u} \end{aligned}$$

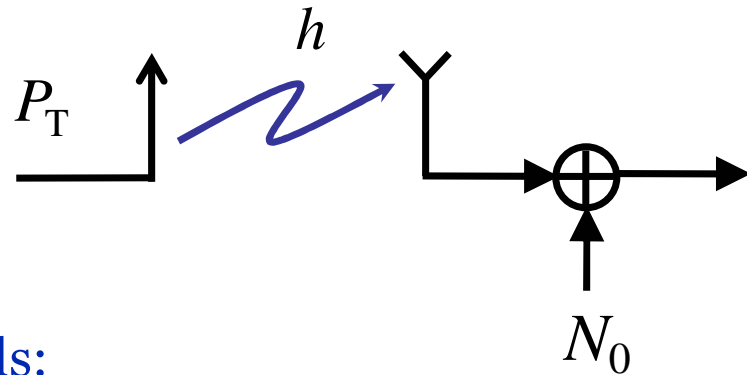
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Symbols:

- P_T : Transmit Power
- h : (complex) channel gain
- N_0 : (two-sided) noise power density
- T : Temporal Channel-use Spacing
- B : Noise Bandwidth
- B_S : Occupied Signal Bandwidth

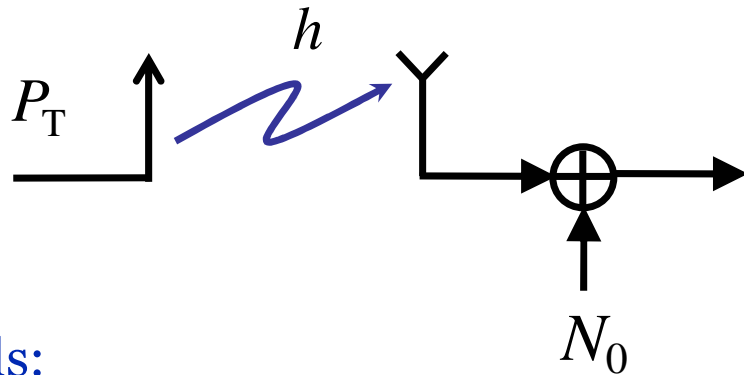


* Signal to Noise Ratio

$$\text{SNR} = \frac{|h|^2 P_T}{B \cdot N_0}$$

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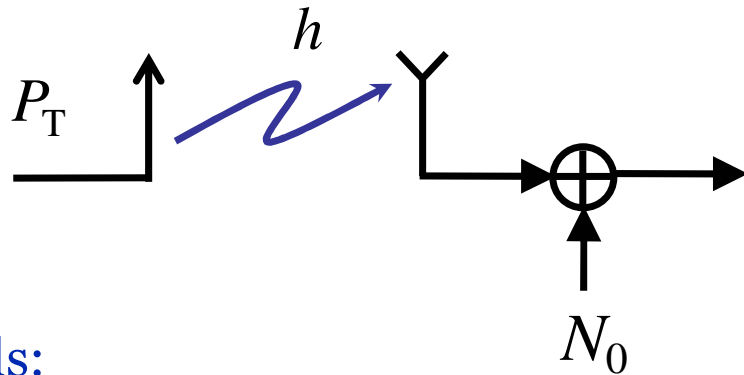
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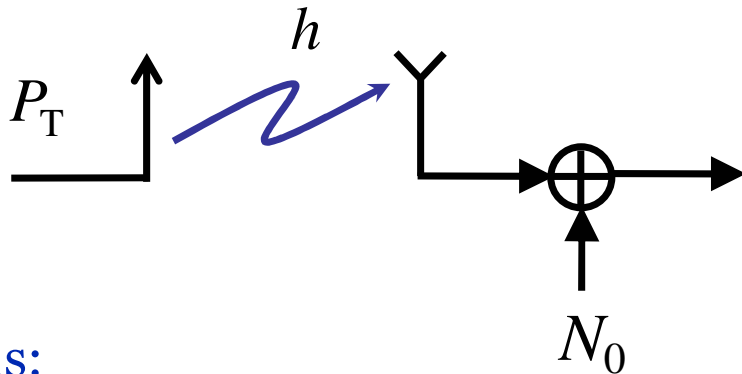
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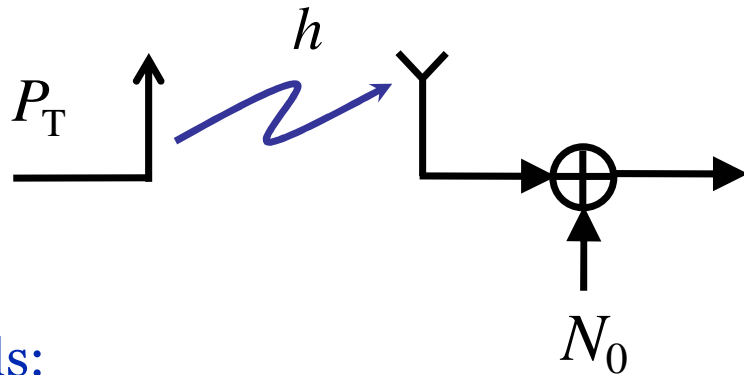
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$$C = \log_2(1 + \text{SNR}) \quad \frac{\text{bits}}{\text{channel-use}}$$

$$\tilde{C} = B \log_2(1 + \text{SNR}) \quad \frac{\text{bits}}{\text{second}}$$



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$$\tilde{C} = B \log_2(1 + \text{SNR}) \quad \frac{\text{bits}}{\text{second}}$$

$$\tilde{C}_{\max} = \lim_{B \rightarrow \infty} B \log_2 \left(1 + \frac{|h|^2 P_T}{B \cdot N_0} \right) = \frac{|h|^2 P_T}{N_0 \ln 2}$$

* Bandwidth Efficiency

$$\eta_B = \frac{\tilde{C}}{B_S} \stackrel{\rho=0}{=} \frac{\tilde{C}}{B} = \log_2(1 + \text{SNR})$$

Interpretation:

Information at rate of η_B bits/second can be transferred in each Hz of bandwidth.

$$0 \leq \eta_B < \infty$$

The larger η_B , the better we utilize bandwidth!

* Transmit Power Efficiency

$$\begin{aligned} \eta_P &= \frac{C}{\text{SNR}} = \frac{\tilde{C} \cdot N_0}{|h|^2 P_T} = \frac{\log_2(1 + \text{SNR})}{\text{SNR}} \\ &= \frac{1}{\ln 2} \cdot \frac{\tilde{C}(P_T)}{\tilde{C}_{\max}(P_T)} \end{aligned}$$

Interpretation:

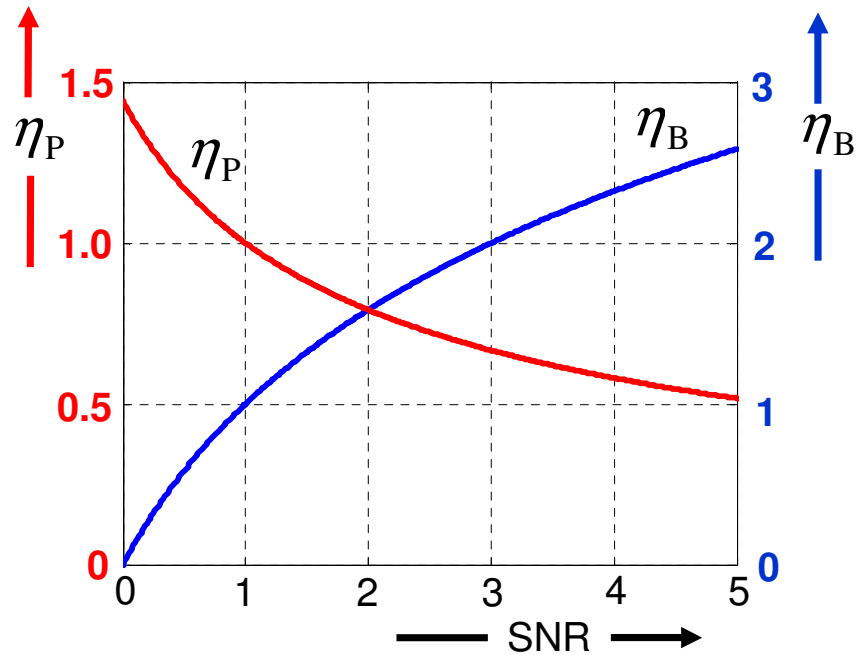
η_P measures the relative utilization of transmit power with respect to maximum possible channel capacity.

$$0 < \eta_P \leq \frac{1}{\ln 2} \approx 1.44$$

The larger η_P , the better we utilize transmit power!

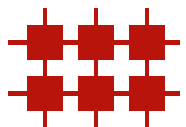
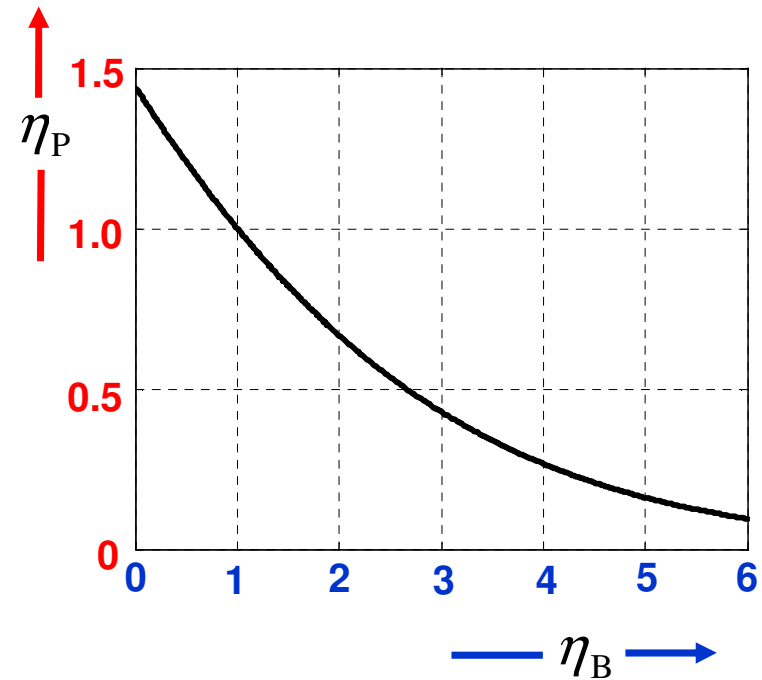
* Bandwidth Efficiency

$$\eta_B = \log_2(1 + \text{SNR})$$



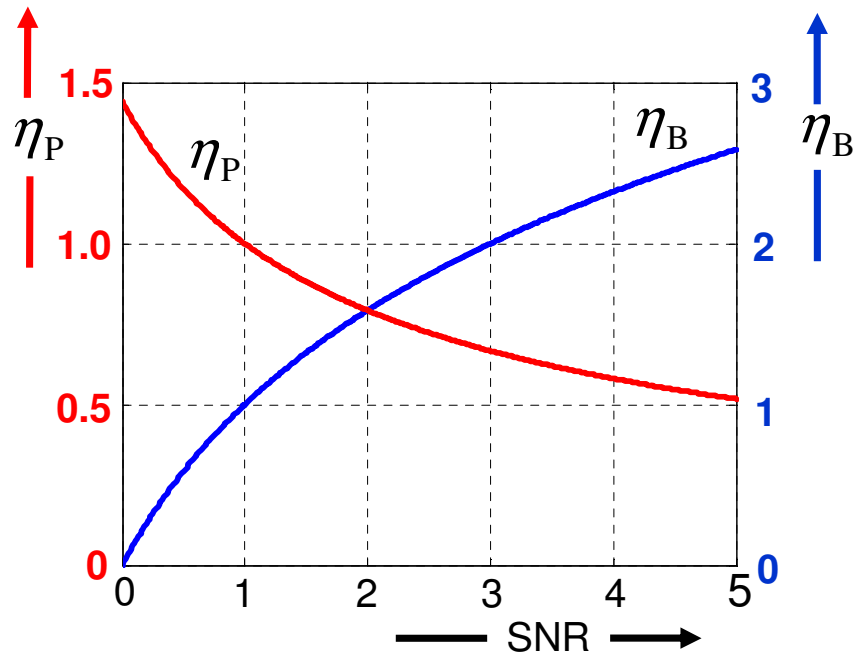
* Transmit Power Efficiency

$$\eta_P = \frac{\log_2(1 + \text{SNR})}{\text{SNR}} = \frac{\eta_B}{2^{\eta_B} - 1}$$



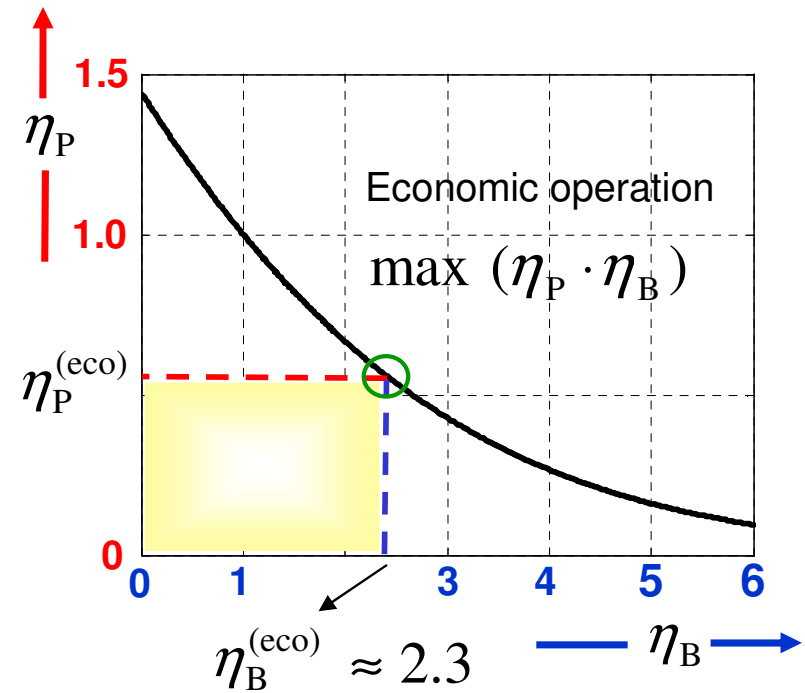
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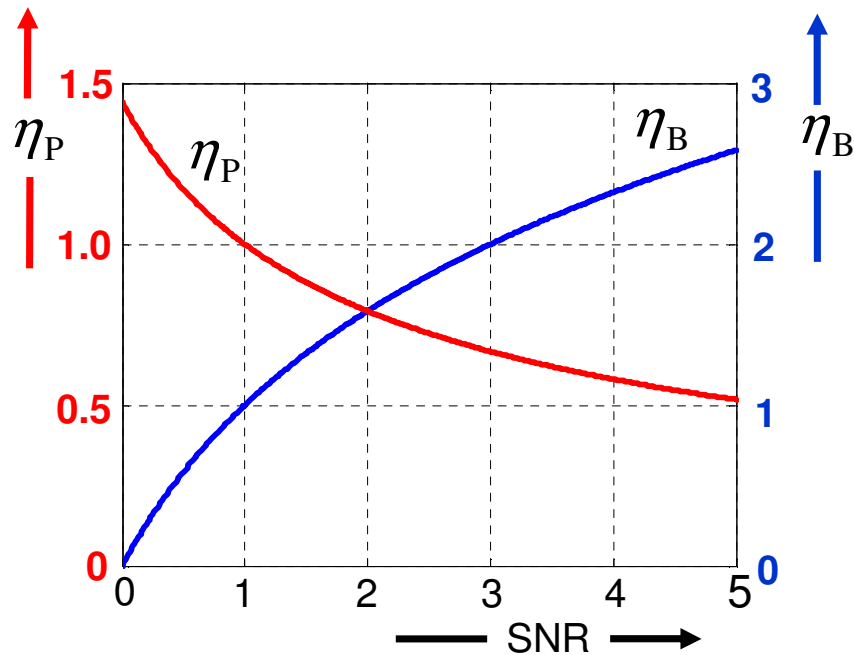
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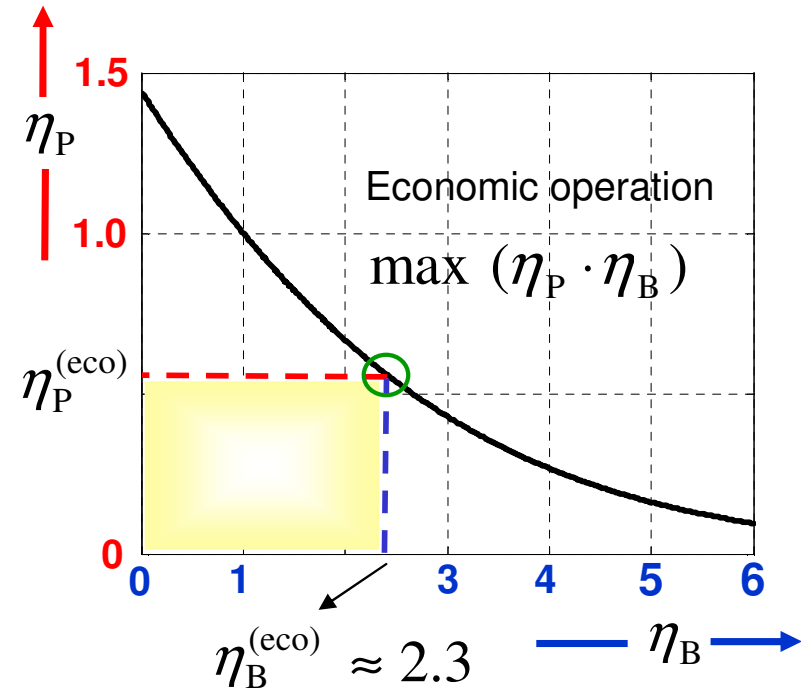
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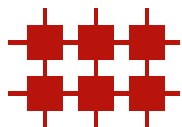


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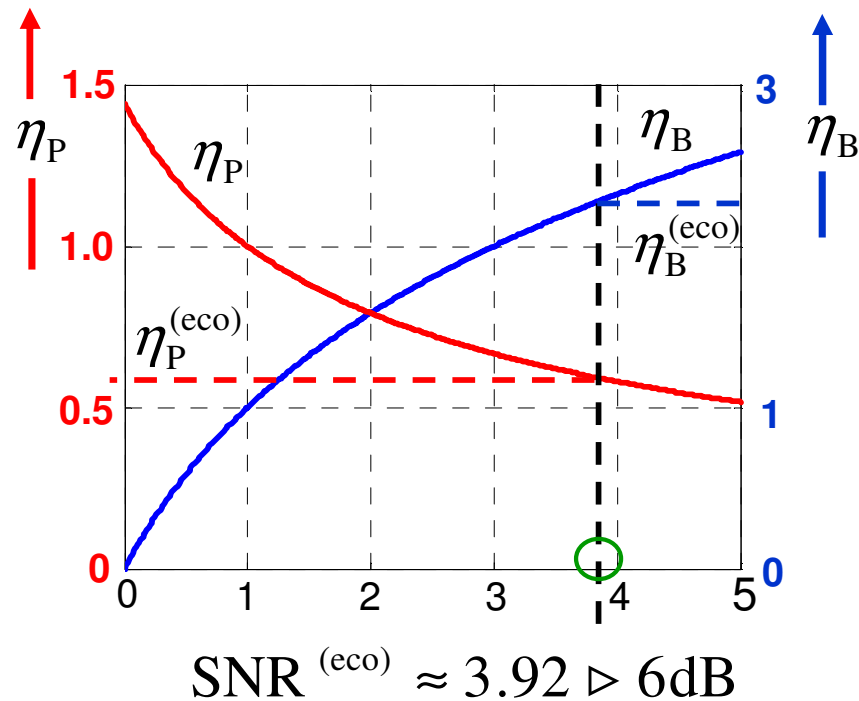


A power economic single-channel system provides an information rate of no more than 2.3 bits/second for each Hz of bandwidth.



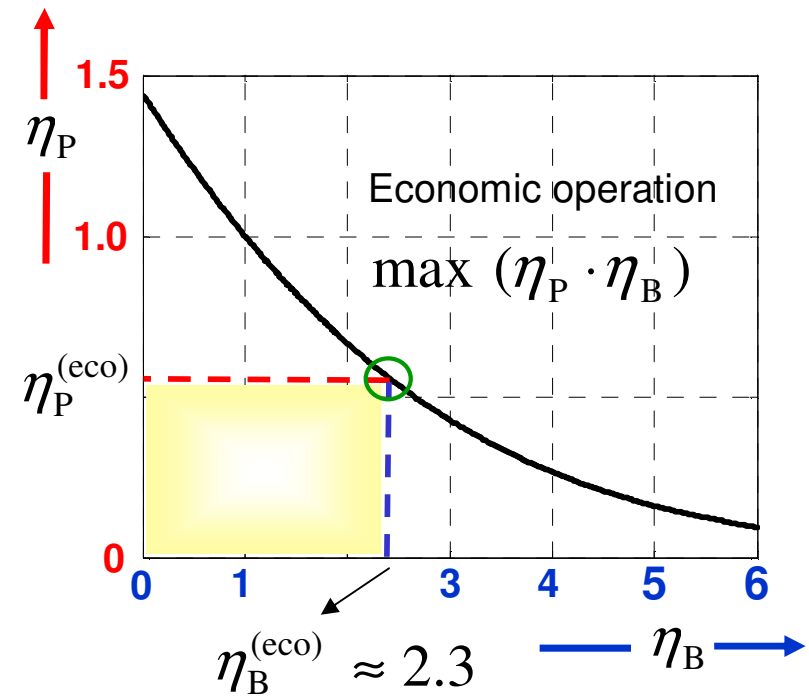
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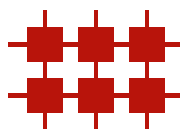


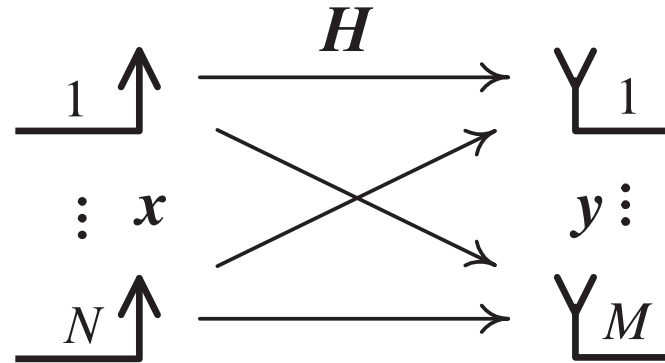
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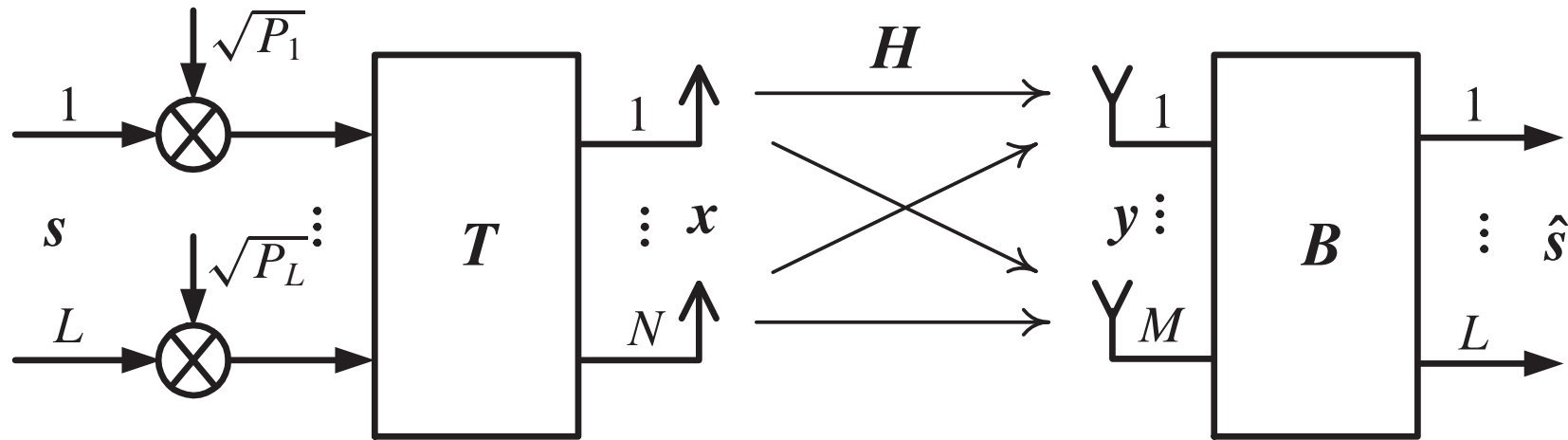


A power economic single-channel system has to operate at SNR of no more than 6dB.





$$y = Hx + n$$

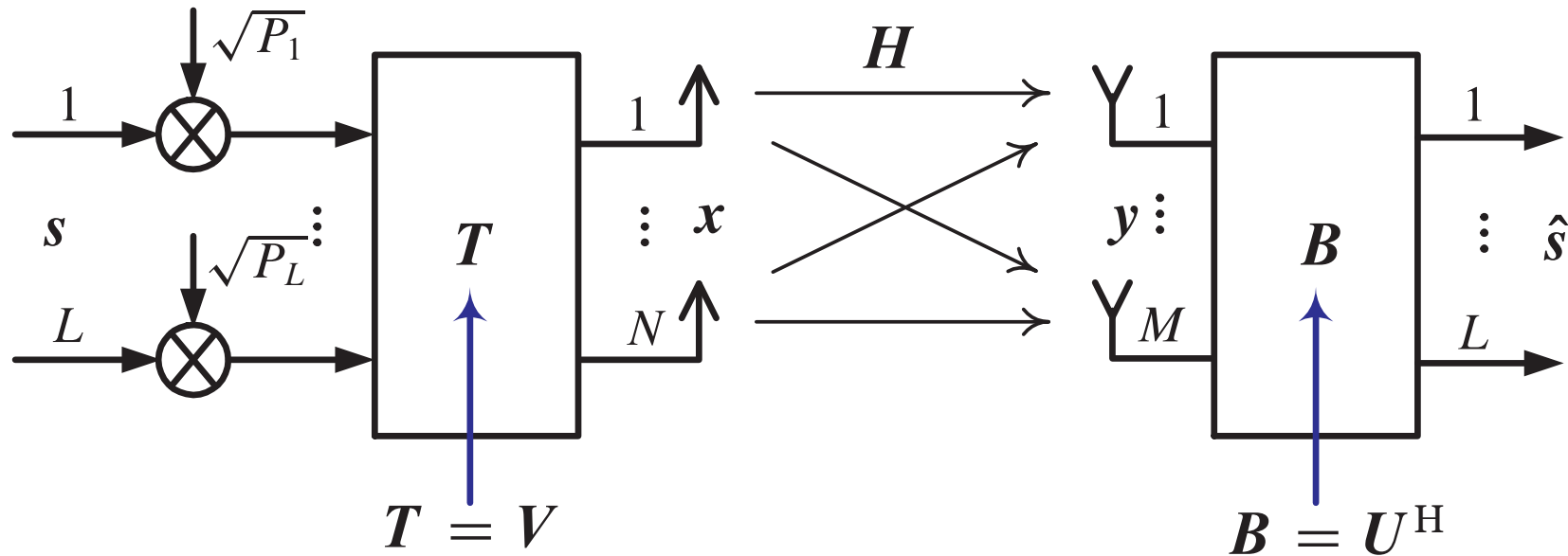


$$\hat{s} = \mathbf{B} \mathbf{H} \mathbf{T} \mathbf{P}^{1/2} \mathbf{s} + \mathbf{B} \mathbf{n}$$

$$L = \text{rank}(\mathbf{H})$$

$$\leq \min(M, N)$$

$$\mathbf{P} = \text{diag}\{P_i\}_{i=1}^L$$



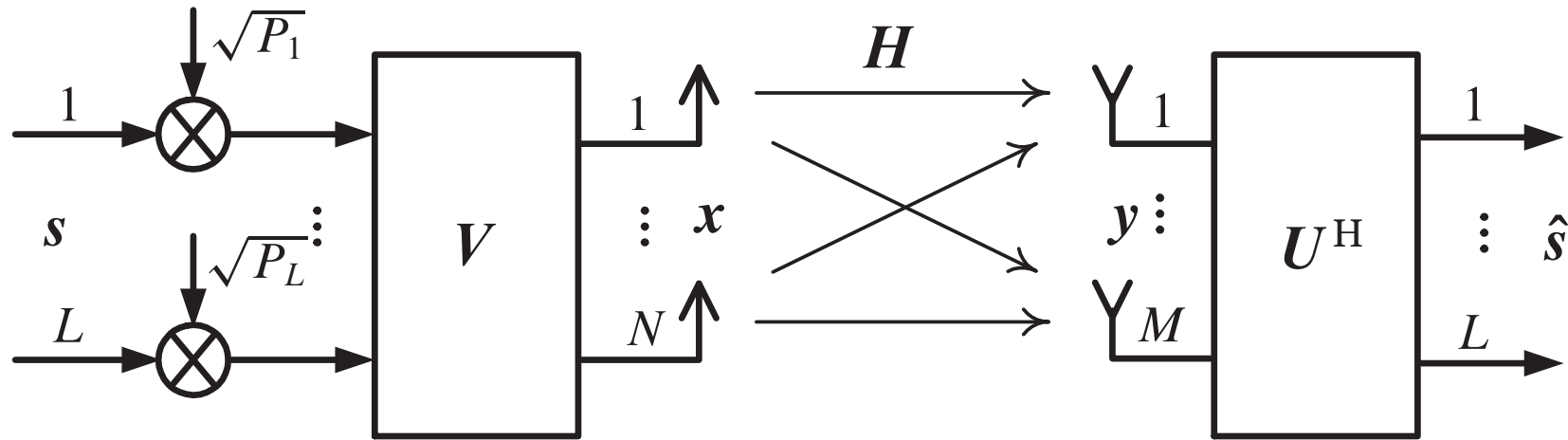
Singular Value
Decomposition

$$\hat{s} = \underbrace{B H T P^{1/2}}_{\text{SVD}} s + B n$$

$$\hat{s} = B U \begin{bmatrix} \gamma_1 & 0 \\ 0 & \gamma_L \end{bmatrix} V^H T P^{1/2} s + n'$$

$$L = \text{rank}(H) \leq \min(M, N)$$

$$P = \text{diag}\{P_i\}_{i=1}^L$$



Singular Value
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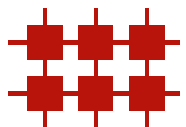
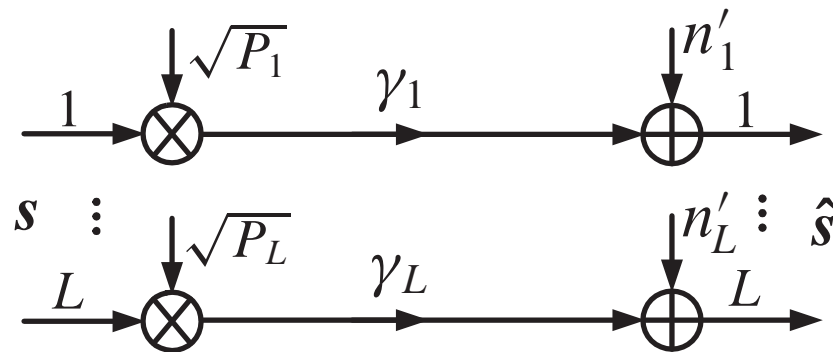
$$\hat{s} = \mathbf{B} \mathbf{H} \mathbf{T} \mathbf{P}^{1/2} \mathbf{s} + \mathbf{B} \mathbf{n}$$

$$= \mathbf{I} \begin{bmatrix} \gamma_1 & 0 \\ 0 & \gamma_L \end{bmatrix} \mathbf{I} \mathbf{P}^{1/2} \mathbf{s} + \mathbf{n}'$$

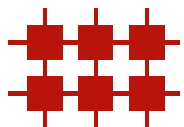
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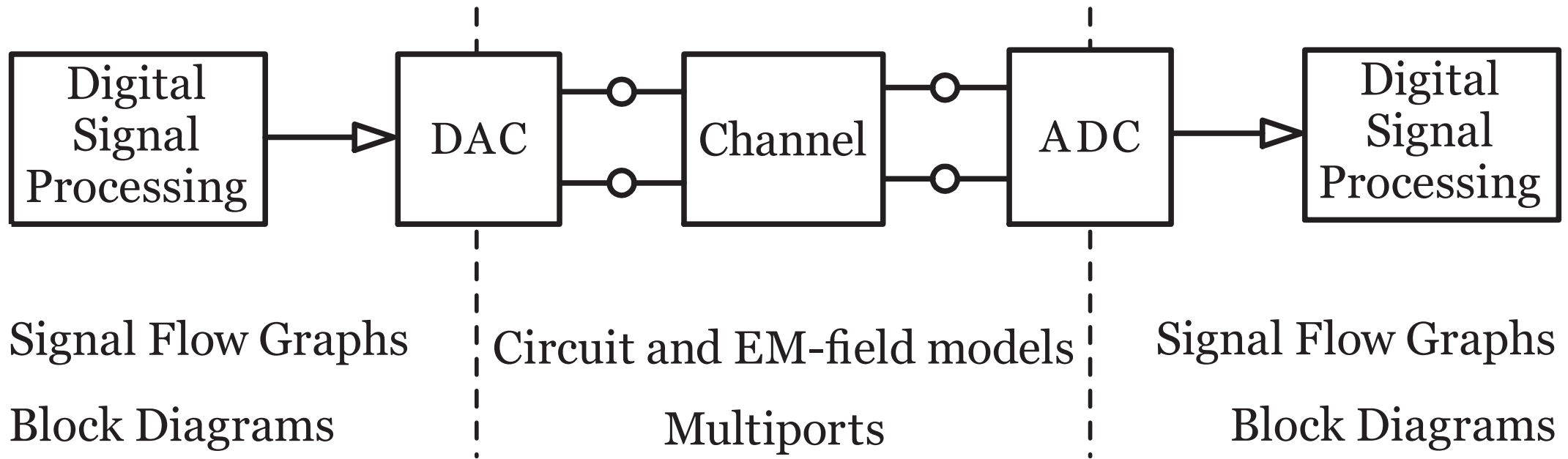
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- * *First: Get the physics right!*
Second: The rest is mathematics! R. KALMAN, 2005
- * *Did we, the system theorists, get the physics right? Do our basic model structures adequately translate physical reality? Does the way in which we view interconnections respect the physics?* J. WILLEMS, 2007
- * Did we, the communication and information engineers, get the physics right in our models?



Power/Energy is always determined by **two** port variables, and in general, **not** by the squared magnitude of only one variable!

- * Bring the physics's constraints into information theory!

 - Theory instantly becomes applicable to the specific system

- * Is it practical to do that?

 - Yes, because it can be done without changing the theory at all!

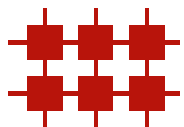
- * Is it fun?

 - Yes, because the system may turn out to perform *better* than expected, once we bring in the governing physics!

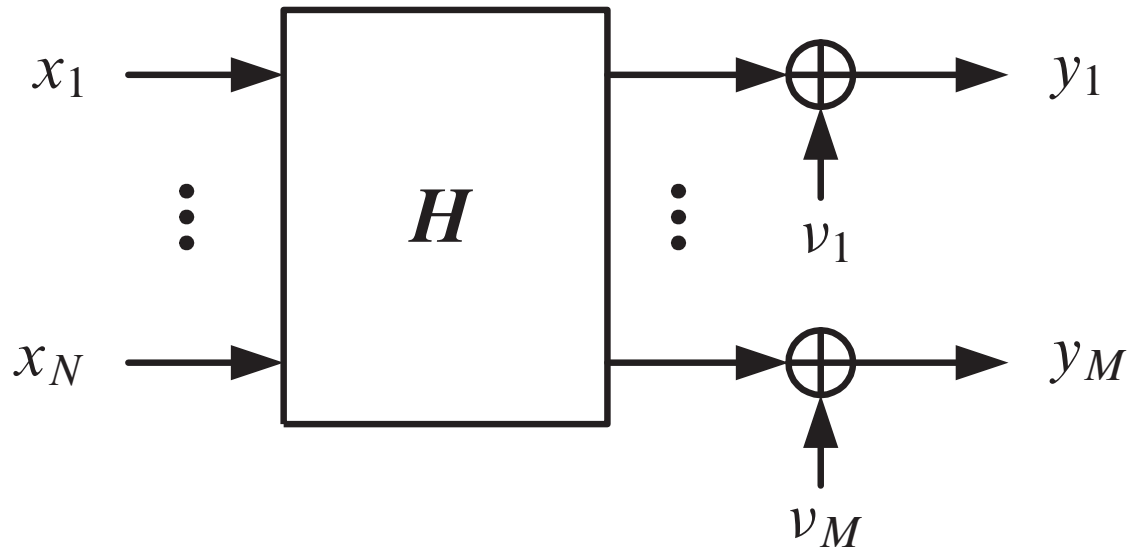
✿ Some examples of the »funny« things that can happen:

1. A uniform linear antenna array of N isotrops can achieve a transmit array gain of N^2 .
2. The receive array gain of a uniform linear antenna array of isotrops can grow **exponentially** with the number of antennas.
3. The channel capacity can grow **linearly** with the number of receive antennas, even when only a single transmit antenna is used (SIMO).
4. The channel capacity of MIMO systems can grow **quadratic** with the number of antennas.

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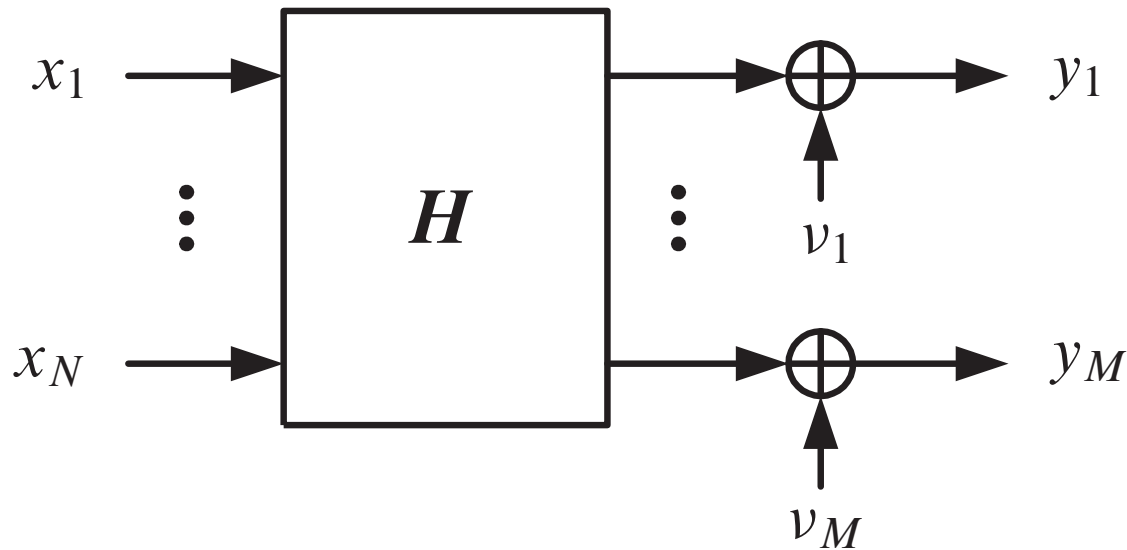


* Mathematical Model



- Additive noise vector channel
- N inputs, M outputs
- $\mathbf{y} = \mathbf{H}\mathbf{x} + \mathbf{v}$
- Channel matrix: $\mathbf{H} \in \mathbb{C}^{M \times N}$

* Mathematical Model



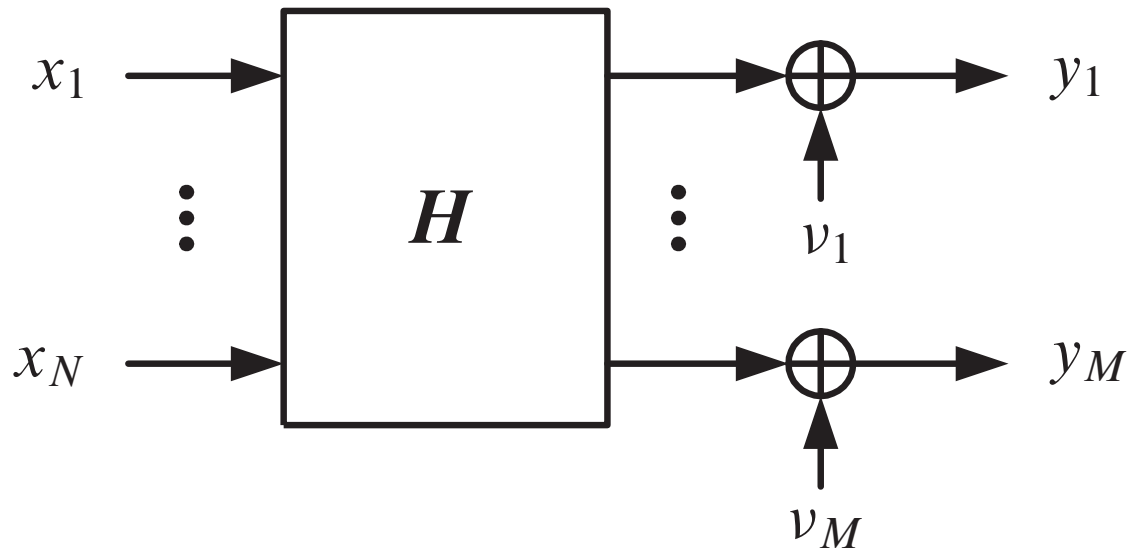
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* Channel Capacity

»transmit power constraint«

$$C = \max_{\text{pdf}(\mathbf{x})} I(\text{pdf}(\mathbf{y}|\mathbf{x}), \text{pdf}(\mathbf{x})), \quad \text{subject to} \quad \mathbb{E} \left[\|\mathbf{x}\|_2^2 \right] \leq P_{\text{Tx}}$$

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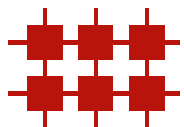
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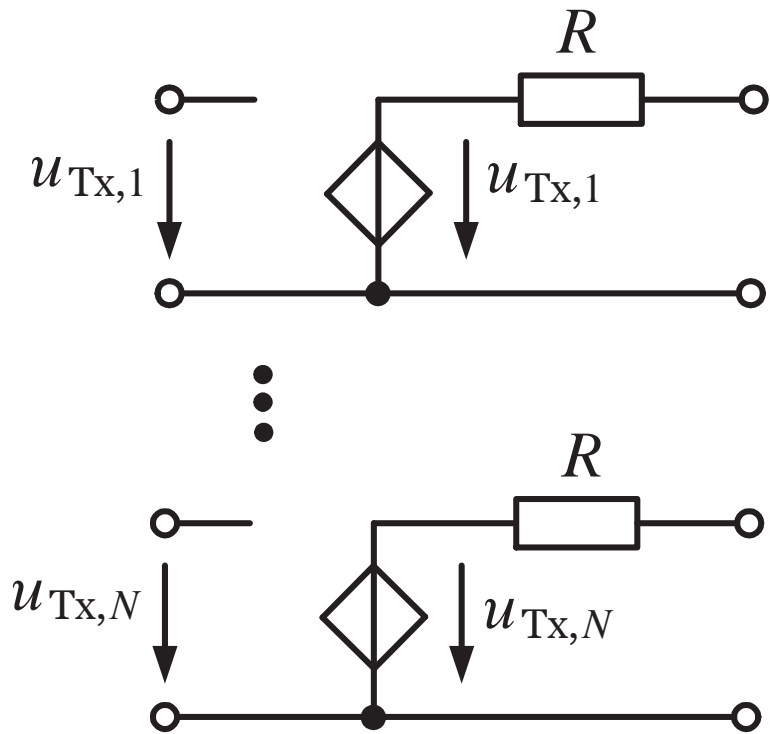
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* A question: How is $\mathbb{E} \left[\|\mathbf{x}\|_2^2 \right]$ related to physical transmit power?

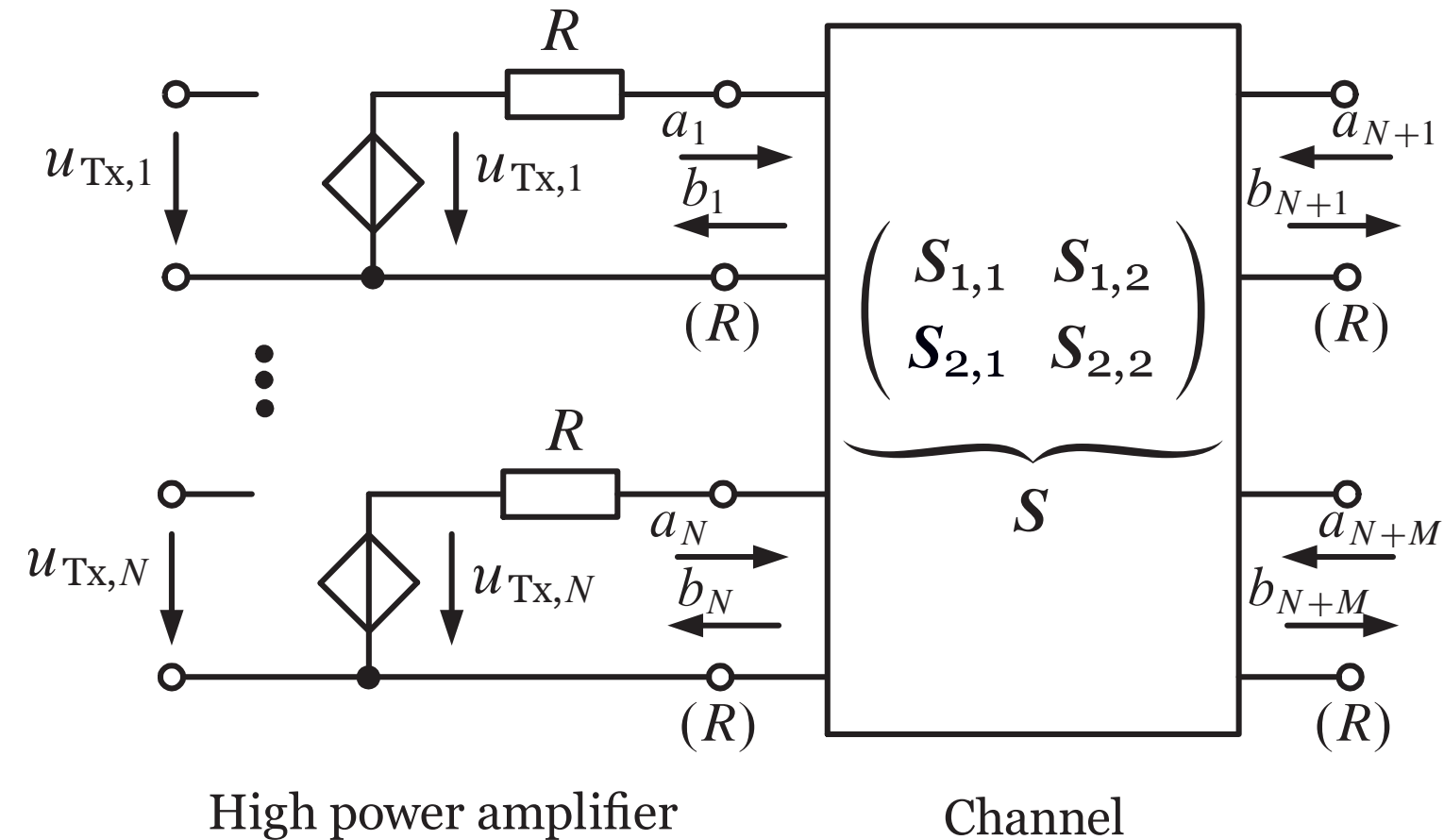
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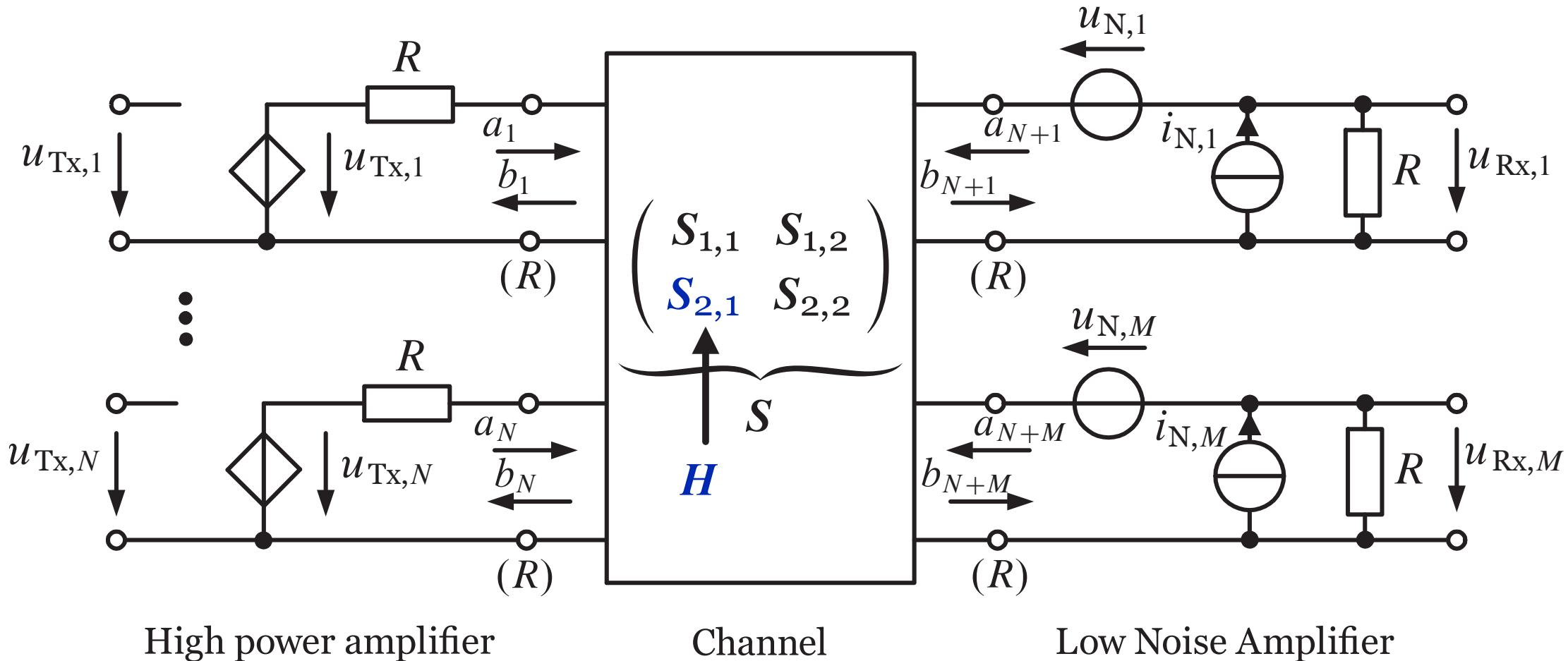




High power amplifier

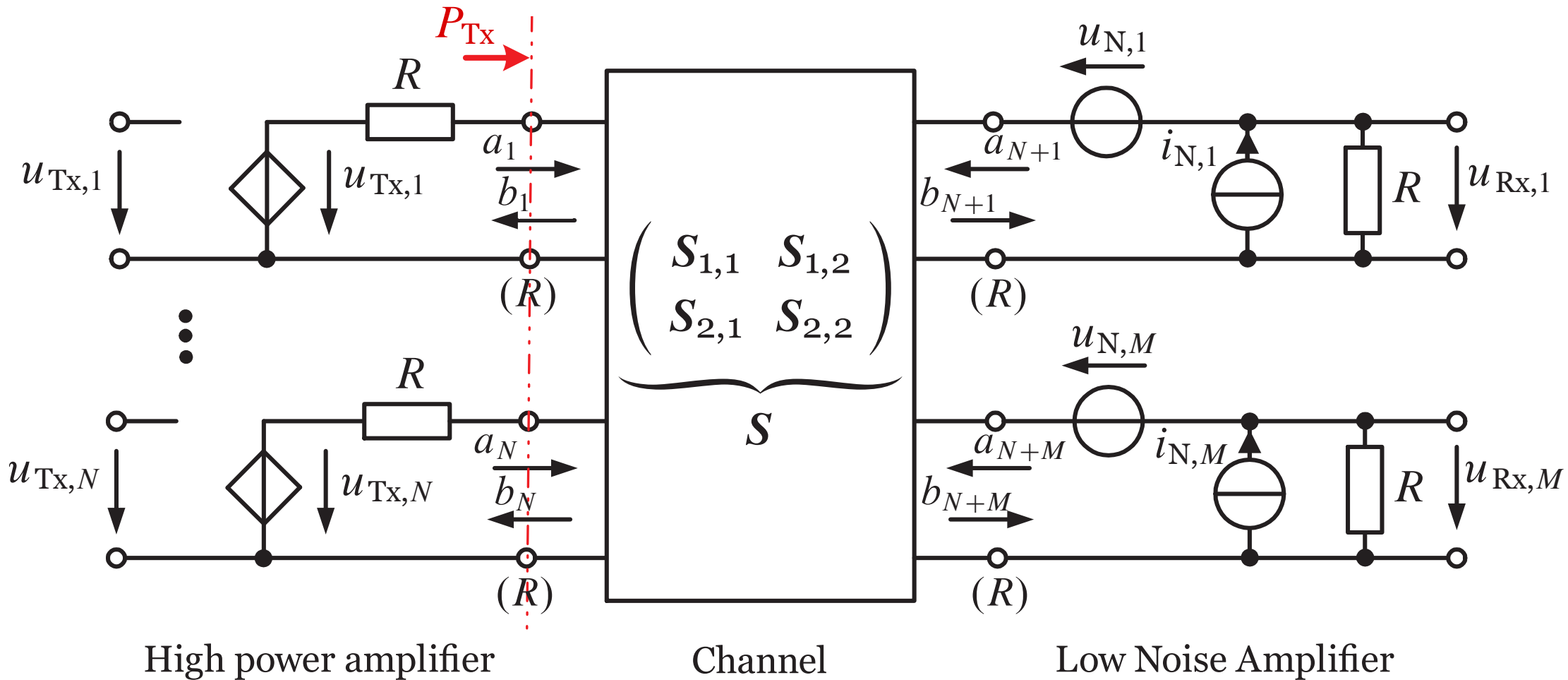


* Scattering matrix: $S \in \mathbb{C}^{(N+M) \times (N+M)}$



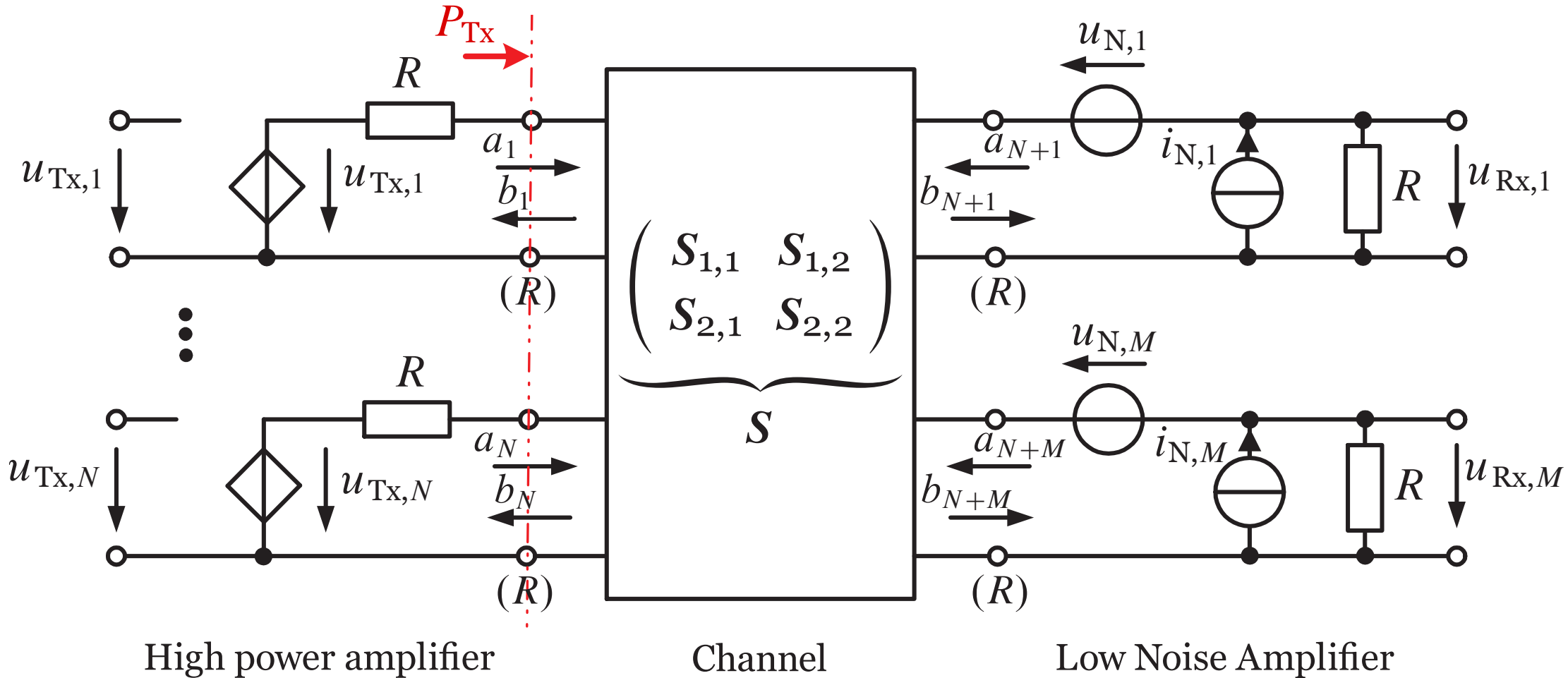
* Scattering matrix: $S \in \mathbb{C}^{(N+M) \times (N+M)}$

* Noise: current noise and voltage noise



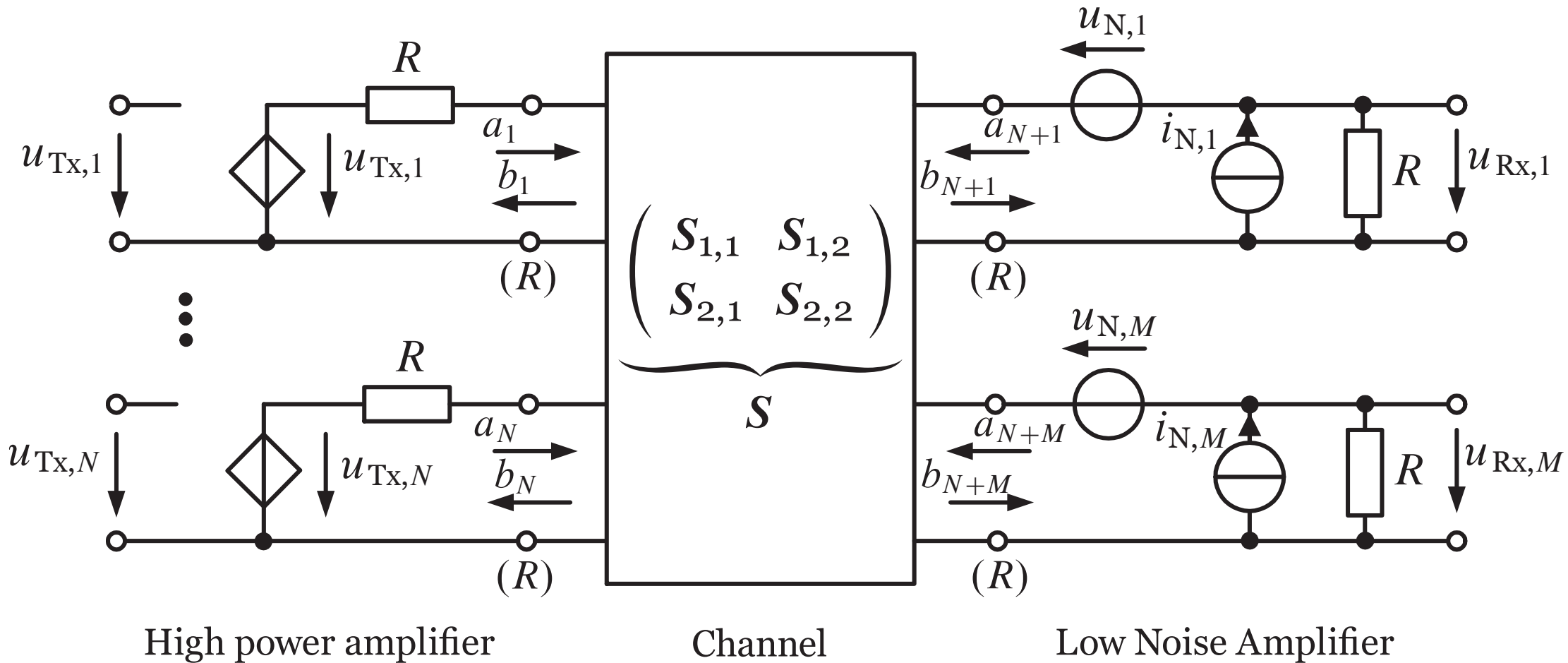
* **Transmit power:**

$$P_{Tx} = \sum_{n=1}^N \mathbb{E} \left[|a_n|^2 - |b_n|^2 \right] \quad \text{for zero noise}$$



* Transmit power:

$$P_{Tx} = \frac{1}{4R} \mathbf{E} [\mathbf{u}_{Tx}^H \mathbf{B} \mathbf{u}_{Tx}], \quad \mathbf{B} = \mathbf{I}_N - \mathbf{S}_{1,1}^H \mathbf{S}_{1,1}$$



$$\frac{1}{\sqrt{R}} \mathbf{u}_{\text{Rx}} = \frac{1}{2\sqrt{R}} \mathbf{S}_{2,1} \mathbf{u}_{\text{Tx}} + \underbrace{\frac{\sqrt{R}}{2} (\mathbf{I}_M + \mathbf{S}_{2,2}) \mathbf{i}_N + \frac{1}{2\sqrt{R}} (\mathbf{I}_M - \mathbf{S}_{2,2}) \mathbf{u}_N}_{\text{receiver noise, } \eta}$$

* Receiver noise: $\eta = \frac{\sqrt{R}}{2} (\mathbf{I}_M + \mathbf{S}_{2,2}) \mathbf{i}_N + \frac{1}{2\sqrt{R}} (\mathbf{I}_M - \mathbf{S}_{2,2}) \mathbf{u}_N$

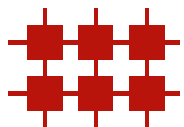
* Receiver noise covariance: $\mathbf{R}_\eta = \mathbf{E} [\eta \eta^H]$

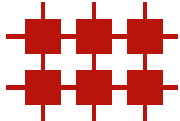
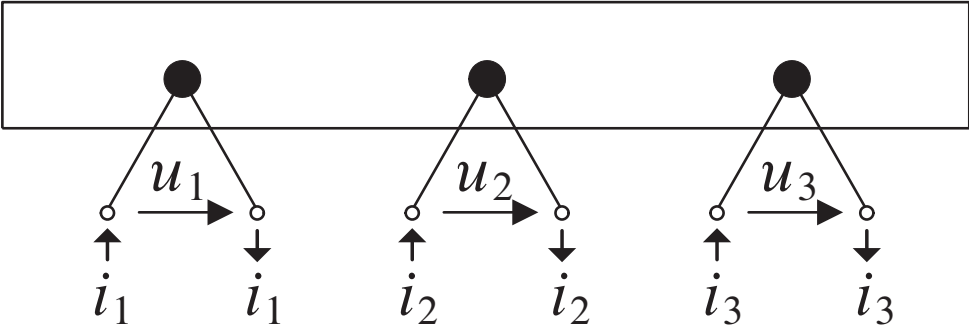
→ Even if \mathbf{u}_N , and \mathbf{i}_N , are independent, and their components are mutually uncorrelated, the receiver noise is, in general, correlated!

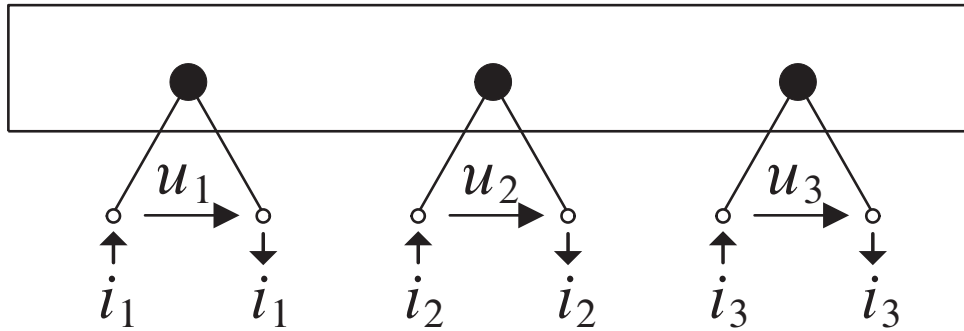
* Example: thermal resistor noise: $\mathbf{u}_N \equiv \mathbf{0}$, $\mathbf{E} [\mathbf{i}_N \mathbf{i}_N^H] = 4kTB R^{-1} \mathbf{I}_M$

$$\begin{aligned} \rightarrow \mathbf{R}_\eta &= \frac{R}{4} (\mathbf{I}_M + \mathbf{S}_{2,2}) \mathbf{E} [\mathbf{i}_N \mathbf{i}_N^H] (\mathbf{I}_M + \mathbf{S}_{2,2})^H \\ &= kTB \cdot (\mathbf{I}_M + \mathbf{S}_{2,2}) (\mathbf{I}_M + \mathbf{S}_{2,2})^H \end{aligned}$$

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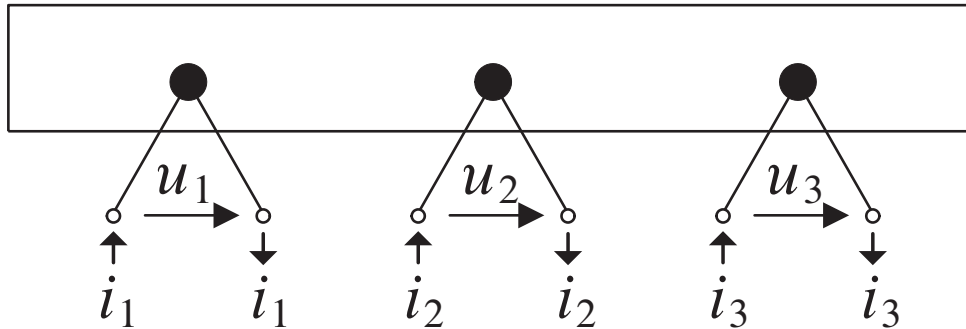






* Circuits point of view

1. $\mathbf{u} = \mathbf{Z} \mathbf{i}$
 2. $\mathbf{Z} = \mathbf{Z}^T$ (reciprocity)
 3. $P_{\text{in}} = \text{E} \left[\text{Re} \{ \mathbf{u}^H \mathbf{i} \} \right]$
- $\longrightarrow P_{\text{in}} = \text{E} \left[\mathbf{i}^H \text{Re} \{ \mathbf{Z} \} \mathbf{i} \right]$



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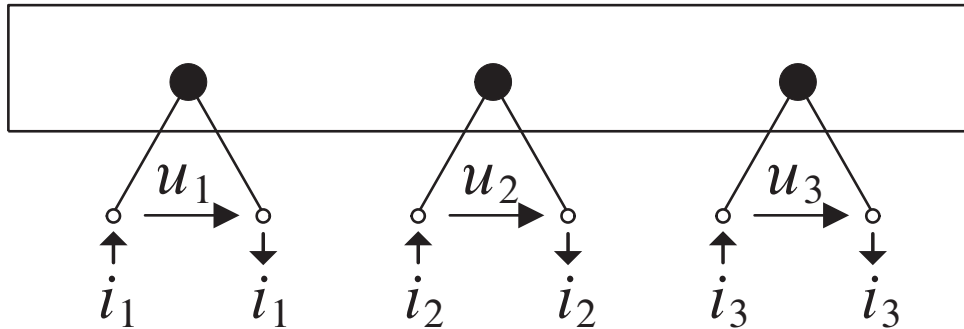
$$\longrightarrow P_{\text{in}} = \text{E} \left[\mathbf{i}^H \text{Re} \{ \mathbf{Z} \} \mathbf{i} \right]$$

* Electro-magnetic view

1. Current \mathbf{i} , excites $\vec{\mathbf{E}}$ and $\vec{\mathbf{H}}$ field

2. Radiated power obtainable from: $P_{\text{rad}} = \text{E} \left[\iint_{\text{sphere}} \text{Re} \{ \vec{\mathbf{E}} \times \vec{\mathbf{H}}^* \} d\vec{\mathbf{A}} \right]$

$$\longrightarrow P_{\text{rad}} = Z_0 \text{E} \left[\mathbf{i}^H \mathbf{C} \mathbf{i} \right]$$



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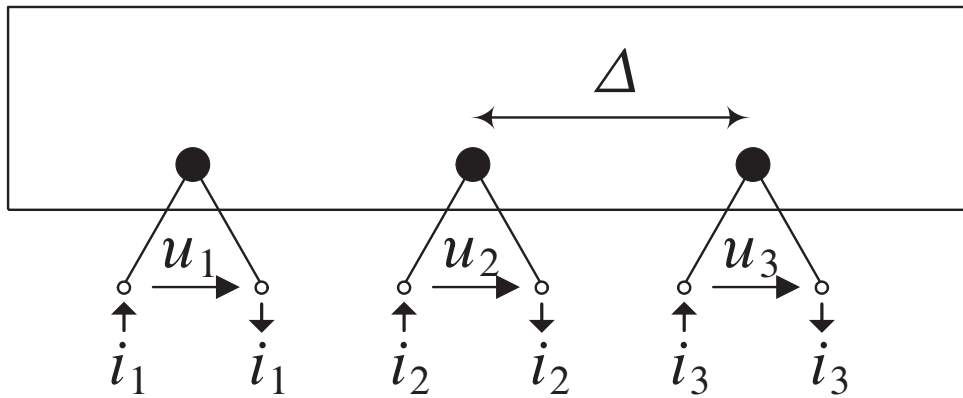
* Electro-magnetic view

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$$\longrightarrow P_{\text{rad}} = Z_0 \text{E} \left[\mathbf{i}^H \mathbf{C} \mathbf{i} \right]$$

* Lossless antennas: $P_{\text{rad}} = P_{\text{in}} \longrightarrow \text{Re} \{ \mathbf{Z} \} = Z_0 \mathbf{C}$

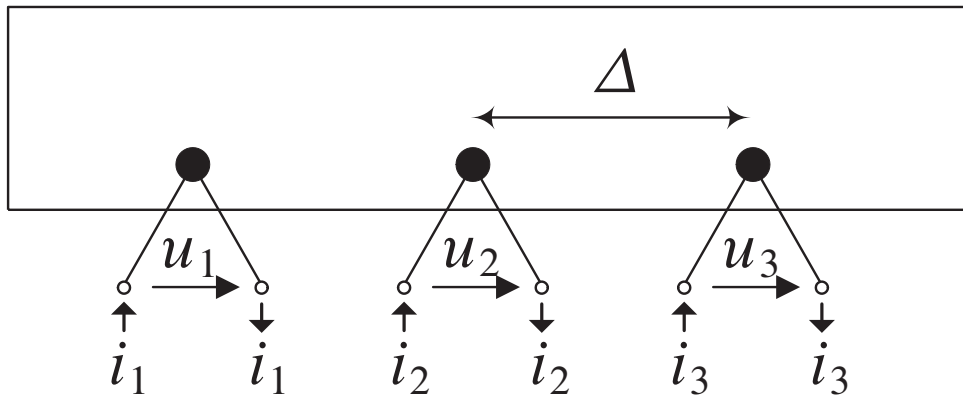


* Closed-form solution:

$$(\mathbf{C})_{n,m} = \text{sinc} \left(2\pi \frac{\Delta}{\lambda} (m - n) \right)$$

* Uncoupled antennas:

$$\frac{\Delta}{\lambda} \in \frac{1}{2} \mathbb{N} \quad \iff \quad \mathbf{C} = \mathbf{I}$$



* Impedance matching network:

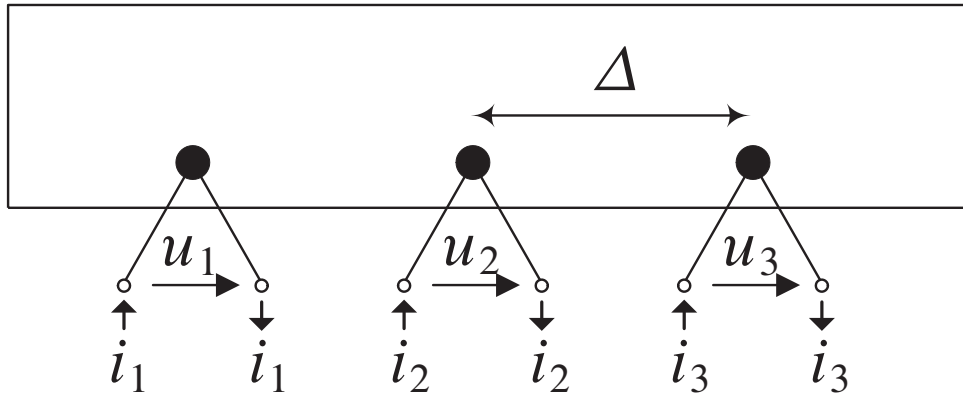
$$\mathbf{Z} = \operatorname{Re}\{\mathbf{Z}\} = Z_0 \mathbf{C}$$

* Closed-form solution:

$$(\mathbf{C})_{n,m} = \operatorname{sinc}\left(2\pi \frac{\Delta}{\lambda} (m - n)\right)$$

* Uncoupled antennas:

$$\frac{\Delta}{\lambda} \in \frac{1}{2} \mathbb{N} \quad \Leftrightarrow \quad \mathbf{C} = \mathbf{I}$$



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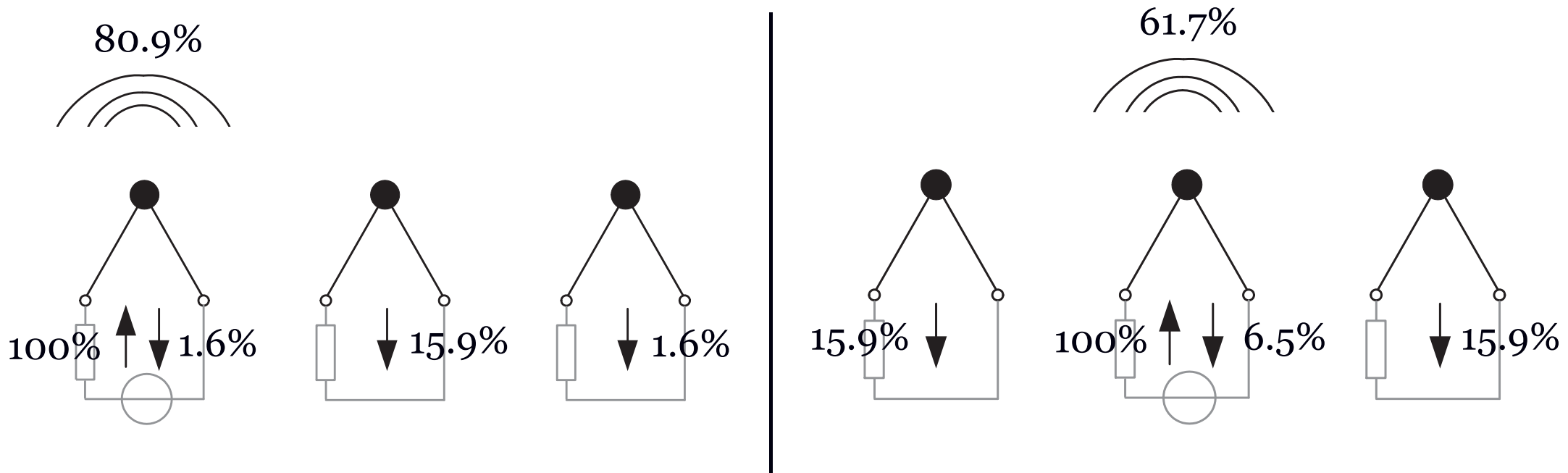
* Impedance matching network:

$$\mathbf{Z} = \text{Re} \{ \mathbf{Z} \} = Z_0 \mathbf{C}$$

* Scattering Matrix: $\mathbf{S}_{i,i} = \left(\mathbf{C} + \frac{R}{Z_0} \mathbf{I} \right)^{-1} \left(\mathbf{C} - \frac{R}{Z_0} \mathbf{I} \right), \quad i \in \{1, 2\}$

* $N = 3$, $\Delta = \lambda/4$, and $R = Z_0$

$$S_{1,1} = \frac{1}{\pi^2 - 2} \begin{pmatrix} -1 & \pi & -1 \\ \pi & -2 & \pi \\ -1 & \pi & -1 \end{pmatrix}$$



* The B -Matrix: $\mathbf{B} = \mathbf{I}_N - \mathbf{S}_{1,1}^H \mathbf{S}_{1,1} \implies P_{\text{Tx}} = \frac{1}{4R} \mathbf{E} [\mathbf{u}_{\text{Tx}}^H \mathbf{B} \mathbf{u}_{\text{Tx}}]$

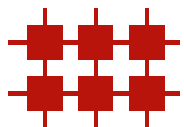
$$\mathbf{B} = \frac{4R}{Z_0} \left(\mathbf{C}_{\text{Tx}} + \frac{R}{Z_0} \mathbf{I}_N \right)^{-1} \mathbf{C}_{\text{Tx}} \left(\mathbf{C}_{\text{Tx}} + \frac{R}{Z_0} \mathbf{I}_N \right)^{-1}$$

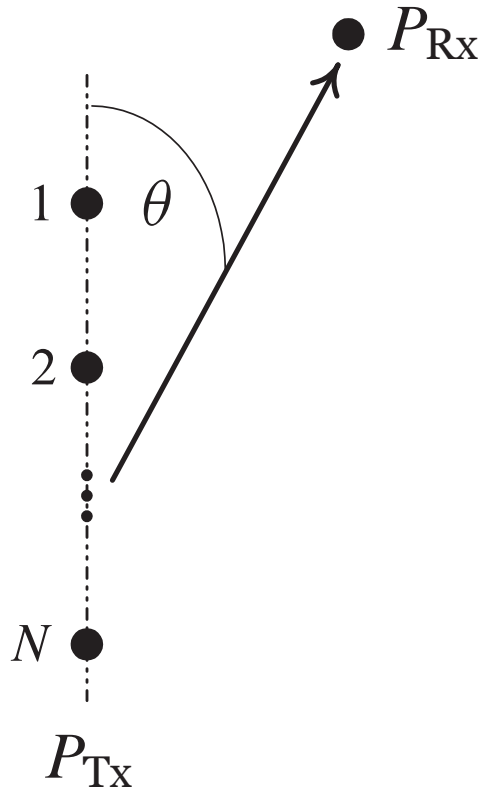
* Thermal noise covariance: $\mathbf{R}_\eta = \sigma^2 \cdot \left(\mathbf{I}_M + \mathbf{S}_{2,2} \right) \left(\mathbf{I}_M + \mathbf{S}_{2,2} \right)^H$
 $\sigma^2 = kTB$

$$\mathbf{R}_\eta = 4\sigma^2 \cdot \left(\mathbf{C}_{\text{Rx}} + \frac{R}{Z_0} \mathbf{I}_M \right)^{-1} \mathbf{C}_{\text{Rx}}^2 \left(\mathbf{C}_{\text{Rx}} + \frac{R}{Z_0} \mathbf{I}_M \right)^{-1}$$

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* Optimum transmit beamforming:

→ Maximize SNR at receiver for a given P_{Tx}

* Transmit array gain:

$$A_{Tx} \stackrel{\text{def}}{=} \frac{\text{SNR}^{\max}}{\text{SNR}^{\text{iso}}} = \frac{P_{Rx}^{\max}}{P_{Rx}^{\text{iso}}} = N \frac{\boldsymbol{\alpha}^H(\theta) \mathbf{C}_{Tx}^{-1} \boldsymbol{\alpha}(\theta)}{\boldsymbol{\alpha}^H(\theta) \boldsymbol{\alpha}(\theta)}$$

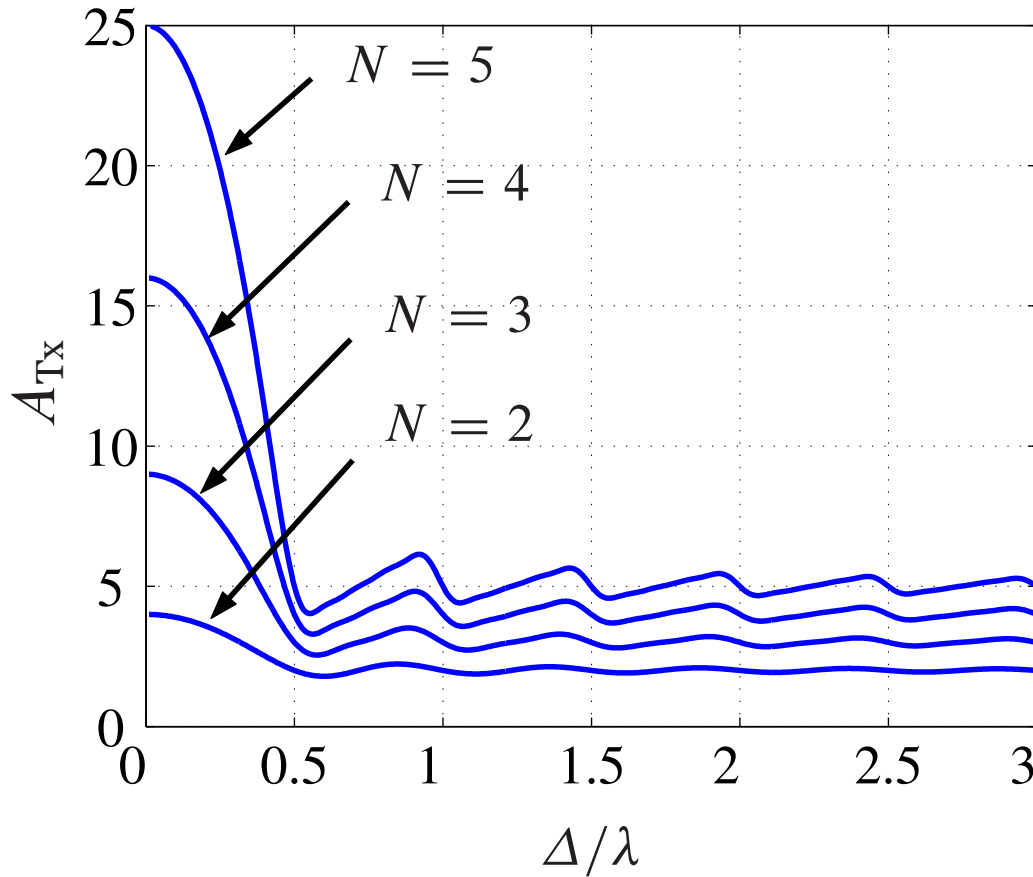
$$\boldsymbol{\alpha}(\theta) = \left(1 \quad e^{-j\xi} \quad e^{-2j\xi} \quad \dots \quad e^{-(N-1)j\xi} \right)^T$$

$$\xi = 2\pi \frac{\Delta}{\lambda} \cos \theta$$

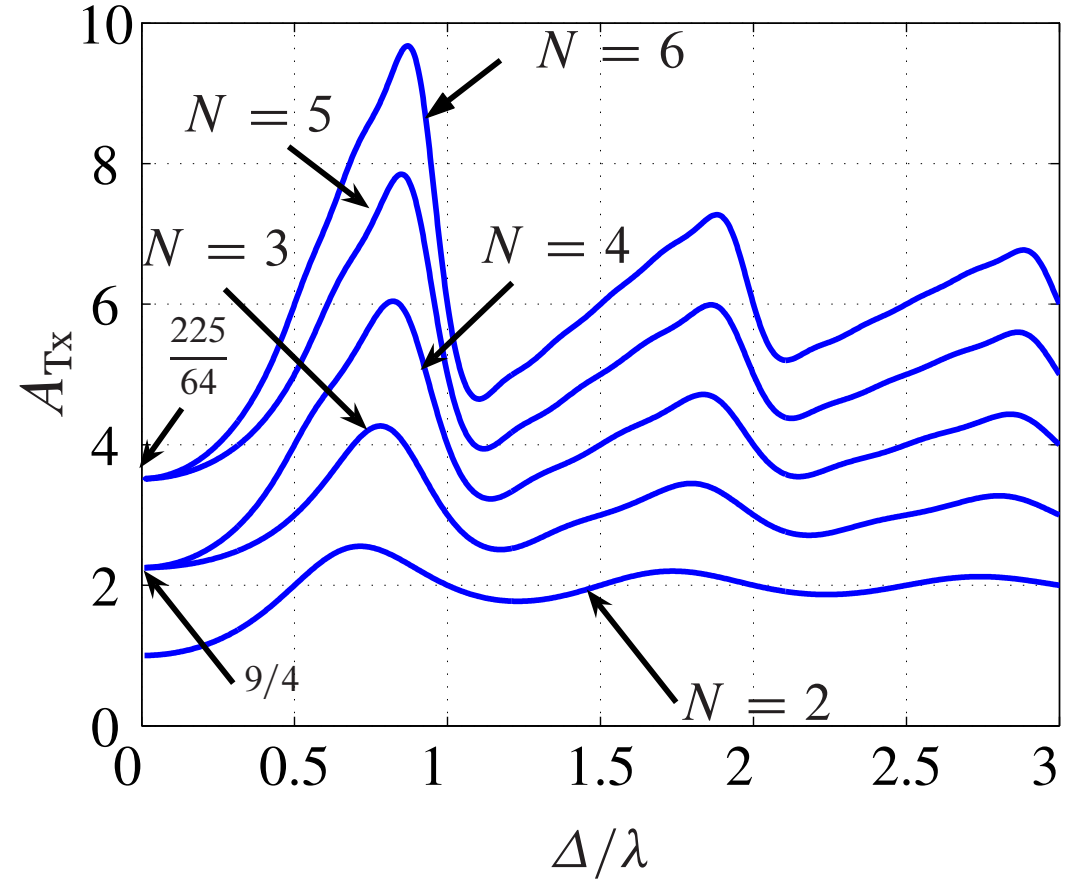
* Transmit array gain depends on:

1. number of antennas (of course)
2. antenna spacing
3. direction of beamforming

✿ »End-Fire«



✿ »Front-Fire«



... known in the antenna community!



* Optimum receive beamforming:

→ Maximize SNR for a given P_{Tx}

* Receive array gain:

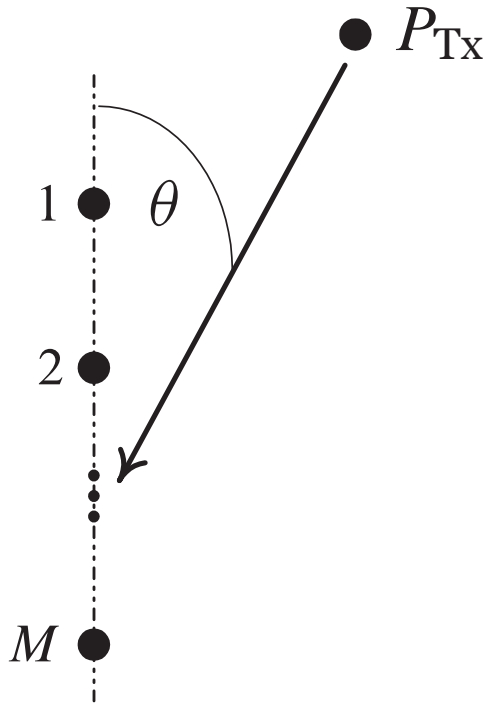
$$A_{Rx} \stackrel{\text{def}}{=} \frac{\text{SNR}^{\text{max}}}{\text{SNR}^{\text{iso}}} = M \frac{\alpha^H(\theta) \mathbf{C}_{Rx}^{-2} \alpha(\theta)}{\alpha^H(\theta) \alpha(\theta)}$$

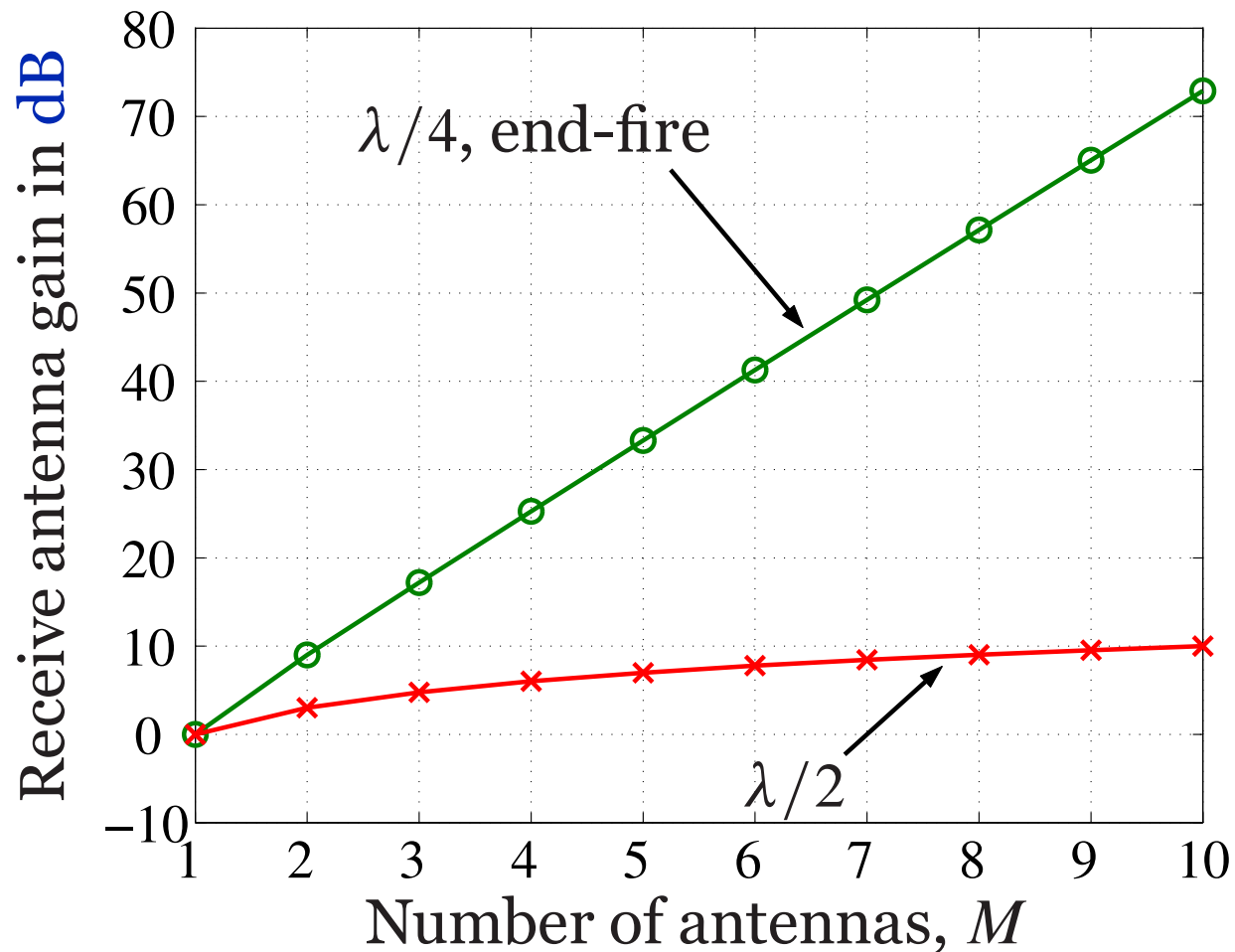
$$\alpha(\theta) = \left(1 \quad e^{-j\xi} \quad e^{-2j\xi} \quad \dots \quad e^{-(M-1)j\xi} \right)^T$$

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* Receive array gain depends on:

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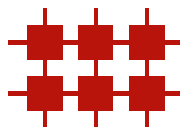




... to our best knowledge,
such a result is not available in the published literature!

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$$\mathbf{y} = \mathbf{H}\mathbf{x} + \mathbf{v}$$

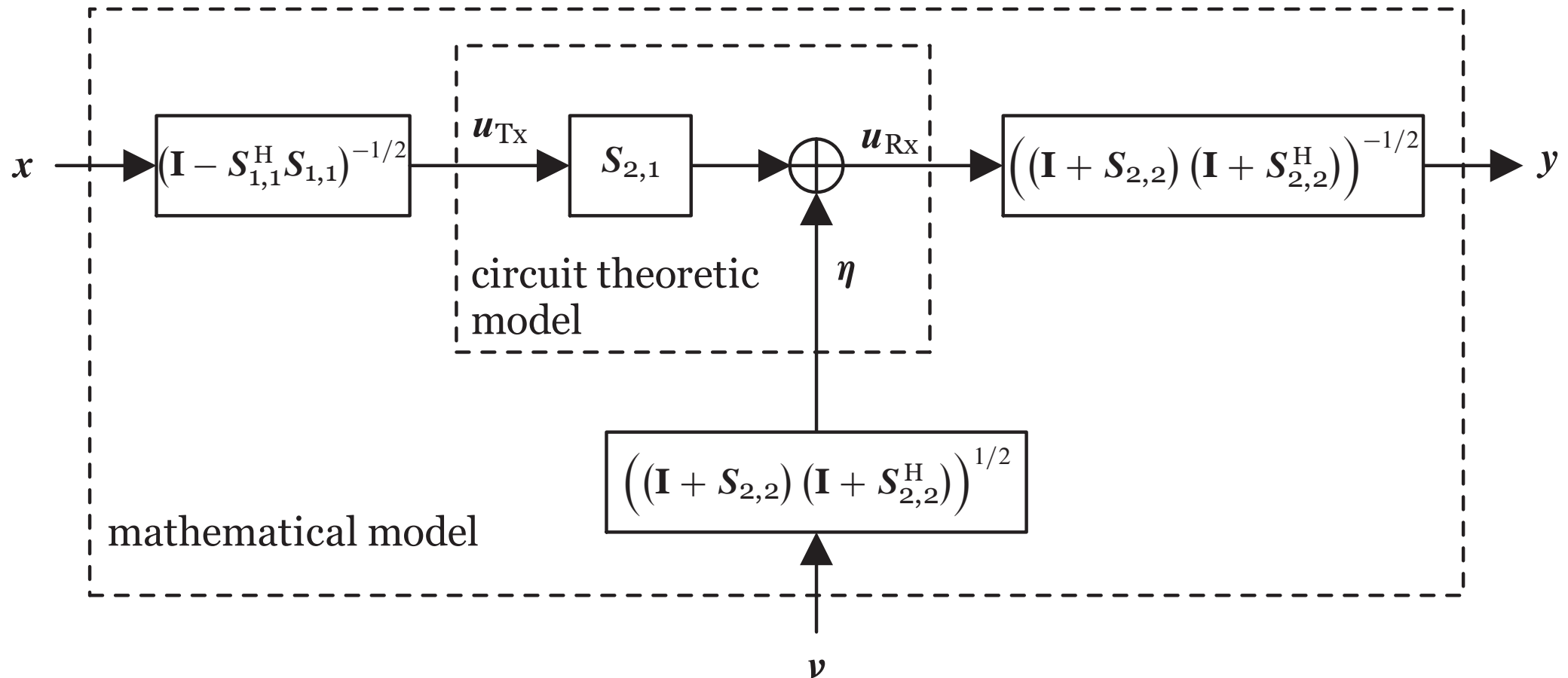
* Channel input $\mathbf{x} = \frac{1}{2\sqrt{R}} \left(\mathbf{I}_N - \mathbf{S}_{1,1}^H \mathbf{S}_{1,1} \right)^{1/2} \mathbf{u}_{\text{Tx}}$

* Channel output $\mathbf{y} = \frac{1}{\sqrt{R}} \left(\left(\mathbf{I}_M + \mathbf{S}_{2,2} \right) \left(\mathbf{I}_M + \mathbf{S}_{2,2}^H \right) \right)^{-1/2} \mathbf{u}_{\text{Rx}}$

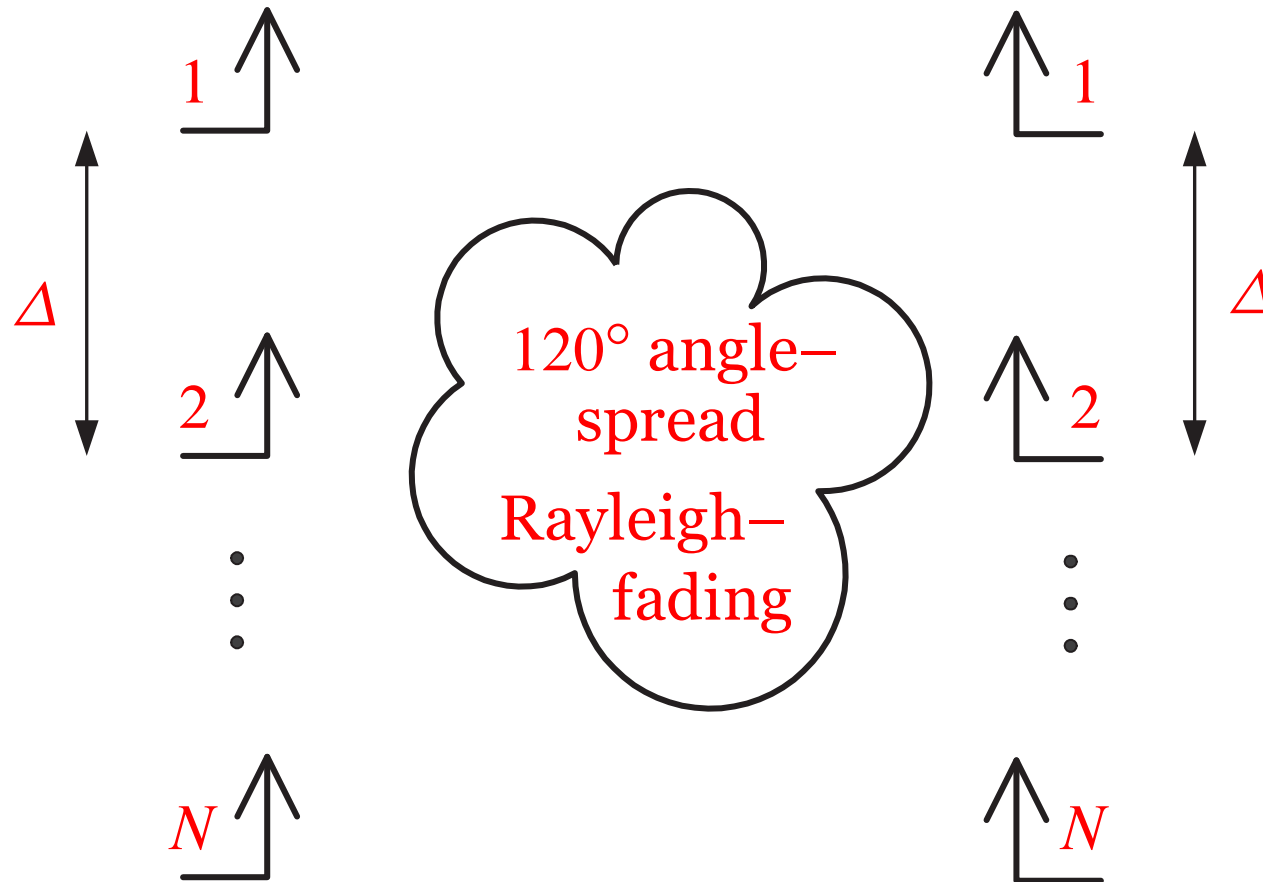
* Transmission: $\mathbf{H} = \left(\left(\mathbf{I}_M + \mathbf{S}_{2,2} \right) \left(\mathbf{I}_M + \mathbf{S}_{2,2}^H \right) \right)^{-1/2} \mathbf{S}_{2,1} \left(\mathbf{I}_N - \mathbf{S}_{1,1}^H \mathbf{S}_{1,1} \right)^{-1/2}$

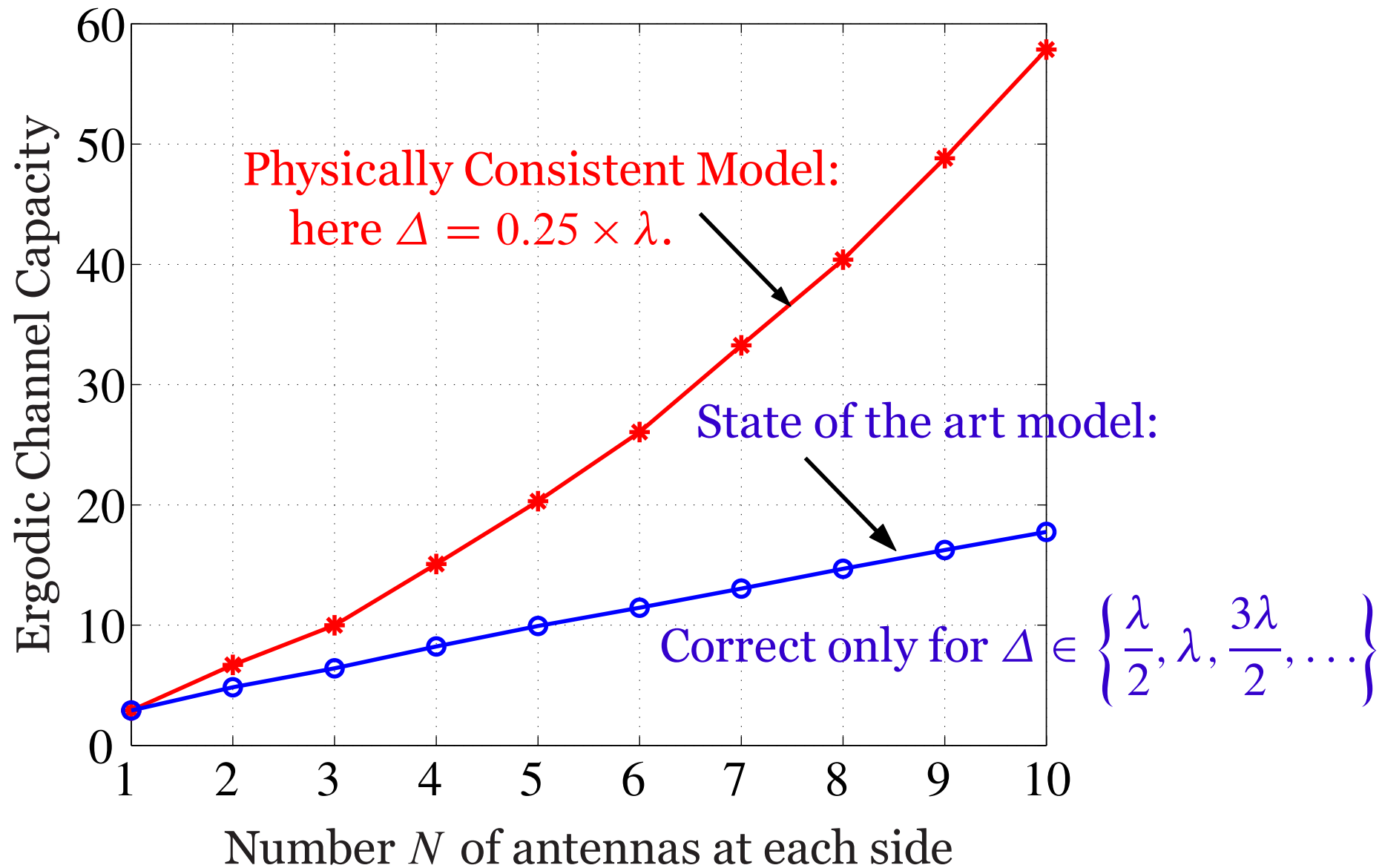
* Noise model: $\mathbf{R}_v = \sigma^2 \mathbf{I}_M$

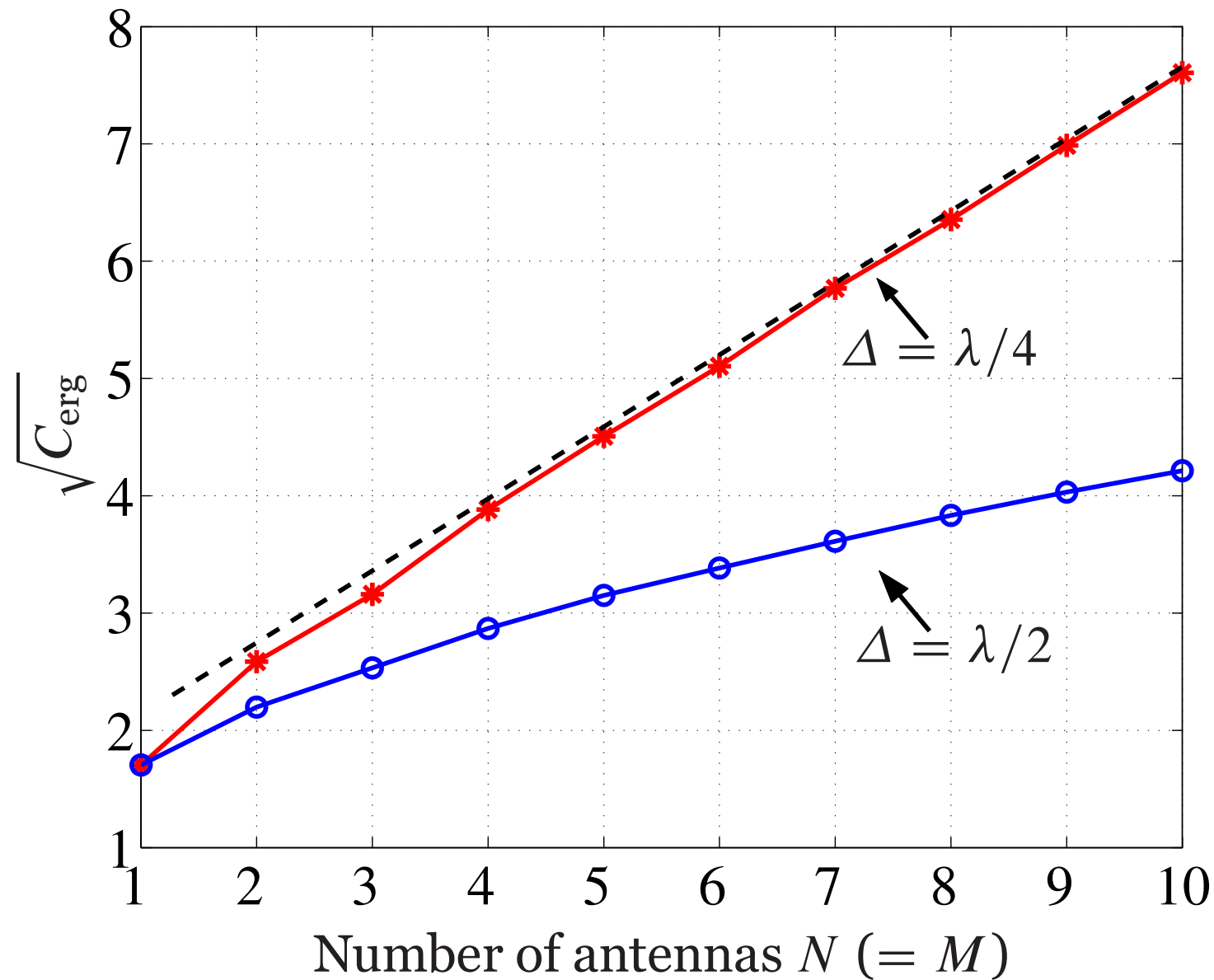
* Transmit power model: $P_{\text{Tx}} = \mathbb{E} \left[\|\mathbf{x}\|_2^2 \right]$



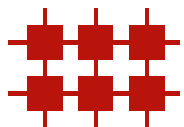
- * Consider a $N \times N$ – MIMO system
- * Uniform Linear Array (ULA) with isotropic radiators
- * Thermal Noise







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- * Sensitivity (and what to do about it)
- * Design of Matching Networks
- * Design of Low-noise Amplifiers
- * Optimizing Antenna Characteristics
- * ...

Now after all do communication engineers need circuit theory?

- **No**, if they are not aiming at a complete understanding of the multiport communication system and if they are satisfied with non optimum solutions.
- **Yes**, they do, if they are aiming at an optimum solution.

Therefore, we should work on complementing the mathematical theory of communication with a circuit theory of communication!

Josef A. Nossek

DO COMMUNICATION ENGINEERS NEED CIRCUIT THEORY?

Taipei, Taiwan, 25. May 2009

Thank you!