

Combining Orthogonal Space Time Block Codes with Adaptive Sub-group Antenna Encoding

Jingxian Wu[†], Henry Horng[‡], Jinyun Zhang[‡], Jan C. Olivier^{*}, and Chengshan Xiao[†]

[†]Department of ECE, University of Missouri, Columbia, MO 65211, USA

[‡]Mitsubishi Electric Research Lab, Cambridge, MA 02139, USA

^{*}Department of EEC Engineering, University of Pretoria, South Africa

Abstract—An adaptive space time transmit diversity scheme with simple feedback is proposed for the next generation wireless communication systems. By combining orthogonal space time block codes with adaptive sub-group antenna encoding, this new diversity scheme can effectively exploit the diversity potential provided by multiple antenna arrays without introducing interference among the signals transmitted at different antennas. In order to reduce the amount of feedback information as well as the computational complexity, a new quadrant phase constraining method is introduced for the computation of the feedback information. With simple operations at both the transmitter and the receiver, the new adaptive diversity scheme outperforms not only open loop space time block encoding techniques, but also some close loop transmit diversity techniques with the same amount of feedback.

I. INTRODUCTION

Transmit diversity is one of the key techniques adopted by high speed downlink packet access (HSDPA) [1] of the 3rd generation partnership project (3GPP) standard to provide high speed reliable communication. One of the most commonly used transmit diversity techniques is the orthogonal space time block code (STBC) [2]. It is pointed out in [3] that for complex constellations, rate one STBC only exists for systems with exactly two transmit antennas.

Recently, a lot of effort has been put into extending the STBC encoding scheme to systems with more than 2 transmit antennas without sacrificing the coding rate [4]-[8]. Moreover, the channel state information (CSI) can be utilized by the transmit diversity systems to further improve the system performance. The CSI can be made available to the transmitter through a separate feedback channel, and such encoding schemes are called close loop techniques [9]-[13]. Most of the existing close loop techniques require considerable amount of information transmitted in the feedback channel, *e.g.*, vectors with complex-valued or real-valued elements, thus a lot of bandwidth of the reverse channel will be consumed by the feedback information.

In this paper, a new adaptive space time encoding scheme is proposed for systems with more than two transmit antennas, and only a very small amount of feedback information (at the order of several bits) are required by this close loop technique. To utilize the orthogonality of the STBC encoder, all of the transmit antennas are divided into two sub-groups, with each sub-group corresponding to one of the two output streams of the STBC encoder. Adaptive space encoding vectors are employed by each of the antenna sub-group to improve the

overall diversity gain as well as to keep the orthogonality between the signals transmitted by different antenna groups. In order to reduce the amount of feedback and reduce the computational complexity, a new quadrant phase constraining method is introduced to compute the feedback information, and the amounts of feedback information can be as few as 1 bit and 2 bits for systems with 3 or 4 transmit antennas, respectively, which is of practical interest for the design of next generation wireless communication systems.

The rest of this paper is organized as follows. Section II presents the system structure of the proposed adaptive space-time transmit diversity scheme. In Section III, a new adaptive quadrant phase constraint method is presented for the computation of the feedback information at the receiver. Simulation results are given in Section IV, and Section V concludes the paper.

II. SYSTEM STRUCTURE

We consider a system with M transmit antennas and one receive antenna. The block diagram of the baseband representation of the system is depicted in Fig. 1, and only the modules directly related to the transmit diversity scheme are shown in the figure.

At the transmitter, the binary information data are first encoded and modulated, then the modulated symbols are fed into the orthogonal STBC encoder. Without loss of generality, we assume that at two consecutive symbol intervals t_1 and t_2 , the input of the STBC encoder is s_1 and s_2 , respectively, where $s_j \in \mathbb{S}$, for $j = 1, 2$, with \mathbb{S} being the modulation symbol set, and the energy of the modulation symbol is $E(|s_j|^2) = E_s$. At the STBC encoder, the input data symbols s_1 and s_2 are demultiplexed into two data streams, and the output of the STBC encoder can be written by

$$\begin{aligned} \mathbf{d}_1 &= [d_{11} \ d_{21}]^T = [s_1 \ s_2^*]^T \in \mathbb{C}^{2 \times 1}, \\ \mathbf{d}_2 &= [d_{12} \ d_{22}]^T = [s_2 \ -s_1^*]^T \in \mathbb{C}^{2 \times 1}, \end{aligned} \quad (1)$$

where \mathbf{d}_k corresponds to the k th output stream of the STBC encoder, with d_{kj} being transmitted at the time instant t_j , and $(\cdot)^T$ denotes matrix transpose.

The M transmit antennas are divided into two antenna sub-groups, with each sub-group corresponding to one of the output streams \mathbf{d}_1 , \mathbf{d}_2 of the STBC encoder. We assume that the number of antennas contained in the k th group is M_k , for $k = 1, 2$, with $M_1 + M_2 = M$. Adaptive linear space encoders are employed by each of the two antenna sub-groups, and they

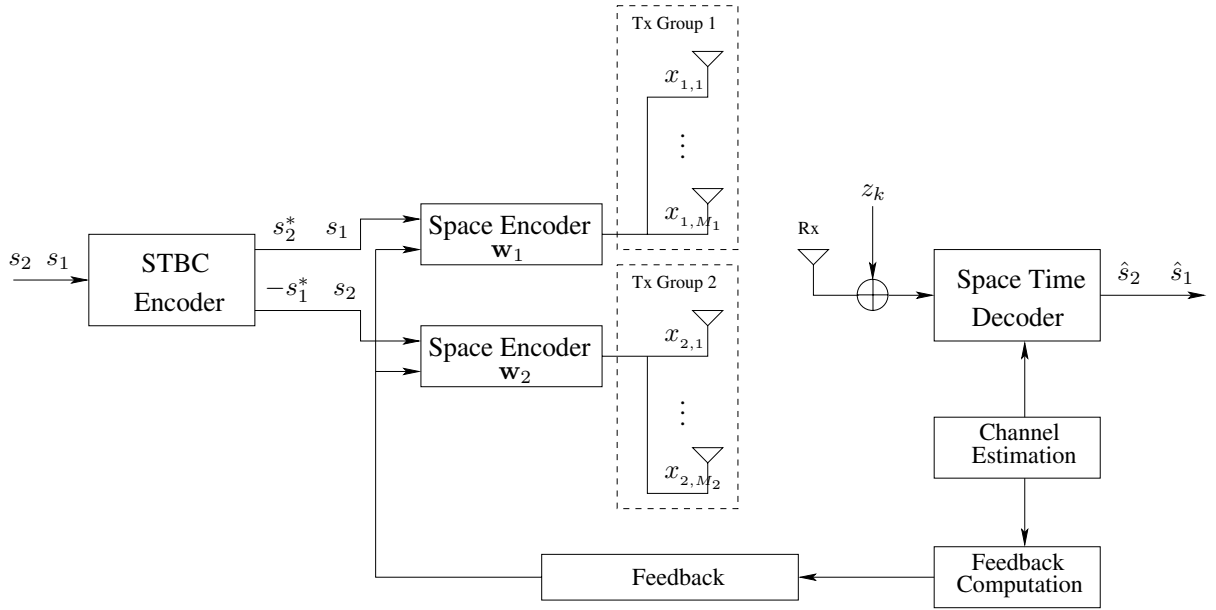


Fig. 1. The block diagram of the system with transmit diversity.

are used to map the two data streams onto the M transmit antennas with the help of the channel feedback information. If we define the space encoding vector of the k th sub-group as

$$\mathbf{w}_k = [w_{k,1} \quad w_{k,2} \quad \cdots \quad w_{k,M_k}] \in \mathbb{C}^{1 \times M_k}, \text{ for } k = 1, 2, \quad (2)$$

with the power constraint $\mathbf{w}_1 \mathbf{w}_1^H + \mathbf{w}_2 \mathbf{w}_2^H = 1$, then the encoded signals to be transmitted by the k th antenna sub-group can be written in matrix format

$$\mathbf{X}_k = \mathbf{d}_k \cdot \mathbf{w}_k \in \mathbb{C}^{2 \times M_k}, \text{ for } k = 1, 2, \quad (3)$$

with the symbols on the first row of \mathbf{X}_k transmitted at the symbol period t_1 and symbols on the second row transmitted at t_2 .

In the channel, the transmitted signals are corrupted by both the time-varying multipath fading and additive white Gaussian noise (AWGN). The signals received by the receiver are the sum of the propagational signals from all the transmit antennas plus noise, and they can be represented by

$$\begin{aligned} \mathbf{r} &= [\mathbf{X}_1 \quad \mathbf{X}_2] \begin{bmatrix} \mathbf{h}_1 \\ \mathbf{h}_2 \end{bmatrix} + \mathbf{z}, \\ &= \mathbf{d}_1 \mathbf{w}_1 \mathbf{h}_1 + \mathbf{d}_2 \mathbf{w}_2 \mathbf{h}_2 + \mathbf{z}, \end{aligned} \quad (4)$$

where $\mathbf{r} = [r_1, r_2]^T$, $\mathbf{z} = [z_1, z_2]^T$ are the receive vector and AWGN noise vector, respectively, with r_k and z_k corresponding to the time instant t_k , $\mathbf{h}_k \in \mathbb{C}^{M_k \times 1}$ is the channel impulse response (CIR) vector defined as

$$\mathbf{h}_k = [h_{k,1} \quad h_{k,2} \quad \cdots \quad h_{k,M_k}]^T, \text{ for } k = 1, 2, \quad (5)$$

with the element $h_{k,m}$, for $m = 1, 2, \dots, M_k$, being the CIR between the m th transmit antenna of sub-group k and the receive antenna.

Combining (1) and (4), we can rewrite the input-output relationship of the diversity system as

$$\begin{aligned} \begin{bmatrix} r_1 \\ r_2^* \end{bmatrix} &= \begin{bmatrix} \mathbf{w}_1 \mathbf{h}_1 & \mathbf{w}_2 \mathbf{h}_2 \\ -\mathbf{h}_2^H \mathbf{w}_2^H & \mathbf{h}_1^H \mathbf{w}_1^H \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} z_1 \\ z_2^* \end{bmatrix}, \\ &= \mathbf{H} \cdot \mathbf{s} + \tilde{\mathbf{z}}, \end{aligned} \quad (6)$$

where $(\cdot)^*$ denotes complex conjugate, $\mathbf{s} = [s_1 \quad s_2]^T$, $\mathbf{z} = [z_1 \quad z_2^*]^T$ are the signal vector and noise vector, respectively, and the channel matrix \mathbf{H} is defined as

$$\mathbf{H} = \begin{bmatrix} \mathbf{w}_1 \mathbf{h}_1 & \mathbf{w}_2 \mathbf{h}_2 \\ -\mathbf{h}_2^H \mathbf{w}_2^H & \mathbf{h}_1^H \mathbf{w}_1^H \end{bmatrix} \in \mathbb{C}^{2 \times 2}. \quad (7)$$

The matrix \mathbf{H} is a 2×2 orthogonal matrix, *i.e.*, $\mathbf{H}^H \mathbf{H} = (|\mathbf{h}_1 \mathbf{w}_1|^2 + |\mathbf{h}_2 \mathbf{w}_2|^2) \cdot \mathbf{I}_2$, with \mathbf{I}_2 being a 2×2 identity matrix. From (6) and (7), we can compute the decision vector $\mathbf{y} = [y_1, y_2]^T$ as

$$\begin{aligned} \mathbf{y} &= \mathbf{H}^H \mathbf{r}, \\ &= (|\mathbf{h}_1 \mathbf{w}_1|^2 + |\mathbf{h}_2 \mathbf{w}_2|^2) \cdot \mathbf{s} + \mathbf{v}, \end{aligned} \quad (8)$$

where $\mathbf{v} = \mathbf{H}^H \mathbf{z}$ is the noise component with covariance matrix $(|\mathbf{h}_1 \mathbf{w}_1|^2 + |\mathbf{h}_2 \mathbf{w}_2|^2) \cdot \mathbf{I}_2 \cdot N_0$, and $N_0 = E(|z_k|^2)$. With the decision variable given in (8), we can compute the signal to noise ratio (SNR) at the receiver as follows

$$\gamma_M = (|\mathbf{h}_1 \mathbf{w}_1|^2 + |\mathbf{h}_2 \mathbf{w}_2|^2) \cdot \gamma_0, \quad (9)$$

where $\gamma_0 = \frac{E_s}{N_0}$ is the SNR without diversity. It can be seen from (9) that the SNR γ is a function of the space encoding vectors \mathbf{w}_1 , \mathbf{w}_2 and the CIR vectors \mathbf{h}_1 , \mathbf{h}_2 . By choosing appropriate forms of \mathbf{w}_k based on the properties of the fading channels, we can improve the receiver SNR with only a small amount of feedback.

III. ADAPTIVE SPACE ENCODING VECTOR DESIGN: QUADRANT PHASE CONSTRAINING

A. General Case

To achieve the maximum SNR at the receiver, the optimum design criterion for the space encoding vectors \mathbf{w}_1 and \mathbf{w}_2 is

$$(\mathbf{w}_1, \mathbf{w}_2) = \underset{(\mathbf{w}_1, \mathbf{w}_2) \in \mathcal{W}}{\operatorname{argmax}} \{ |\mathbf{h}_1 \mathbf{w}_1|^2 + |\mathbf{h}_2 \mathbf{w}_2|^2 \}, \quad (10)$$

where \mathcal{W} is the set of all the possible encoding vector pairs satisfying $\mathbf{w}_1 \mathbf{w}_1^H + \mathbf{w}_2 \mathbf{w}_2^H = \mathbf{1}$. The optimum values of \mathbf{w}_1 and \mathbf{w}_2 can be obtained by exhaustively searching all the elements of \mathcal{W} . The size of the set \mathcal{W} increases exponentially with the number of transmit antennas, therefore this optimum space encoding vector design method are not appropriate for systems with large number of transmit antennas.

In order to reduce the computational complexity as well as to reduce the amount of feedback information, we introduce a quadrant phase constraining method for the computation of the feedback information and the formulation of the adaptive space encoding vectors. For a general system with M transmit antennas, we let $M_1 = M_2 = \frac{M}{2}$ if M is an even number, and $M_1 = \frac{M+1}{2}$, $M_2 = \frac{M-1}{2}$ if M is an odd number. Define the space encoding vector \mathbf{w}_k as

$$\mathbf{w}_k = \frac{1}{\sqrt{M}} \left[1 \exp\left(-i \frac{q_{k,2} \pi}{2}\right) \cdots \exp\left(-i \frac{q_{k,M_k} \pi}{2}\right) \right], \quad (11)$$

where $i^2 = -1$ is the imaginary part symbol, $q_{k,m} \in \{0, 1, 2, 3\}$, for $m = 2, 3, \dots, M_k$ and $k = 1, 2$, is the feedback information, and each $q_{k,m}$ contains 2 bits of information. For systems with M transmit antennas, the total number of feedback bits required by the proposed algorithm is $2M - 4$. For convenience of representation, we let $q_{1,1} = q_{2,1} = 0$.

With the space encoding vectors defined in (11), we can write the corresponding SNR γ_M given in (9) as

$$\begin{aligned} \gamma_M &= \frac{1}{M} \sum_{k=1}^2 \left| \sum_{m=1}^{M_k} h_{1,m} \exp\left(-i \cdot q_{1,m} \frac{\pi}{2}\right) \right|^2 \cdot \gamma_0, \\ &= (g_c + g_b) \cdot \gamma_0, \end{aligned} \quad (12)$$

where the diversity gains g_c and g_b are given by

$$\begin{aligned} g_c &= \frac{1}{M} \sum_{m=1}^{M_1} |h_{1,m}|^2 + \frac{1}{M} \sum_{m=1}^{M_2} |h_{2,m}|^2, \quad (13a) \\ g_b &= \frac{1}{M} \sum_{m=1n=m+1}^{M_1} \sum_{m=1n=m+1}^{M_1} \Re \left[h_{1,m} h_{1,n}^* \exp\left(-i \frac{q_{1,m} - q_{1,n}}{2} \pi\right) \right] + \\ &\quad \frac{1}{M} \sum_{m=1n=m+1}^{M_2} \sum_{m=1n=m+1}^{M_2} \Re \left[h_{2,m} h_{2,n}^* \exp\left(-i \frac{q_{2,m} - q_{2,n}}{2} \pi\right) \right] \end{aligned} \quad (13b)$$

with $\Re(\cdot)$ being the real part operator. In the equation above, g_c is the conventional diversity gain, which is fixed for a certain number of transmit antennas; while the feedback diversity gain g_b varies with the value of the space encoding vector \mathbf{w}_k , which is in turn determined by the feedback information $q_{k,m}$. The value of $q_{k,m}$ can be chosen based on certain design criterions to improve the SNR γ_M .

Taking into account both the system performance and computational complexity, we are choosing a sub-optimum design criterion: *all of the summed elements of the feedback diversity gain g_b are non-negative.*

One of the summed elements of g_b can be expressed as

$$\Re \left[h_{k,m} h_{k,n}^* \exp\left(-i \frac{q_{k,m} - q_{k,n}}{2} \pi\right) \right] = |h_{k,m}| |h_{k,n}| \times \cos(\Delta\theta_{k,mn}), \quad (14)$$

where $\Delta\theta_{k,mn} = \theta_{k,m} - \theta_{k,n} - \frac{q_{k,m} - q_{k,n}}{2} \pi$, with $\theta_{k,m} \in [0, 2\pi)$ being the phase of $h_{k,m}$. The term described in (14) will be non-negative if the following condition is satisfied

$$|\Delta\theta_{k,mn}| \leq \frac{\pi}{2}, \quad \forall m \neq n, \quad (15)$$

which means the differences between all the possible angle pairs within each sub-group should be less than $\pi/2$. One direct way to satisfy this condition is choosing the value of $q_{k,m}$ such that all the rotated phases $\theta_{k,m} - q_{k,m} \frac{\pi}{2}$, for $m = 1, 2, \dots, M_k$, belonging to one sub-group are in the same $\pi/2$ angle sector in a two dimensional coordinate system.

Without loss of generality, we normalize the phases of all the CIRs of the k th sub-group with the phase of $\theta_{k,1}$, and the normalized phases are represented as

$$\tilde{\theta}_{k,m} = \theta_{k,m} - \theta_{k,1} + 2l\pi, \quad (16)$$

where the integer l is chosen such that $\tilde{\theta}_{k,m}$ is in the range of $[0, 2\pi)$. The normalized phase $\tilde{\theta}_{k,m}$ is rotated clockwise by the angle of $q_{k,m} \frac{\pi}{2}$, so that the rotated angle $\tilde{\theta}_{k,m} + q_{k,m} \frac{\pi}{2}$ is in the quadrant phase sector from $[-\pi/4, \pi/4]$ of the coordinate system as shown in Fig. 2. Following the discussions above, we can compute the feedback information $q_{k,m}$ as

$$q_{k,m} = \begin{cases} \lfloor \frac{\tilde{\theta}_{k,m} + \pi/4}{\pi/2} \rfloor, & \tilde{\theta}_{k,m} \in [\frac{\pi}{4}, \frac{7\pi}{4}), \\ 0, & \text{otherwise,} \end{cases}, \quad (17)$$

where $\lfloor \cdot \rfloor$ returns the nearest smaller integer. An example is given in Fig. 2, where $\tilde{\theta}_{k,m} = 9\pi/8$. From (17) we can get that $q_{k,m} = 2$, and the corresponding rotated angle is $\tilde{\theta}_{k,m} - q_{k,m} \frac{\pi}{2} = \pi/8$, which is in the angle sector of $[-\pi/4, \pi/4]$ of the coordinate system. By performing the same operations to all the normalized phases, the rotated phases of the same sub-group will be in the same quadrant angle sector, and the non-negativity of each summed element of the diversity gain g_b can be guaranteed. This method achieves the feedback diversity gain by constraining all the rotated phases of the CIRs of one sub-group in an angle sector of $\pi/2$, hence we call it quadrant phase constraining method. Since the value of $q_{k,m}$ is computed separately for each of the transmit antennas, the computational complexity of this algorithm increases linearly with the number of transmit antennas.

With $q_{k,m}$ computed from (17), all the summed elements given in (14) are guaranteed to be non-negative, and the feedback diversity gain of (13b) can be written by

$$\tilde{g}_b = \frac{1}{M} \sum_{k=1}^2 \sum_{m=1}^{M_k} \sum_{n=m+1}^{M_k} |h_{k,m}| |h_{k,n}^*| \cos(\Delta\theta_{k,mn}), \quad (18)$$

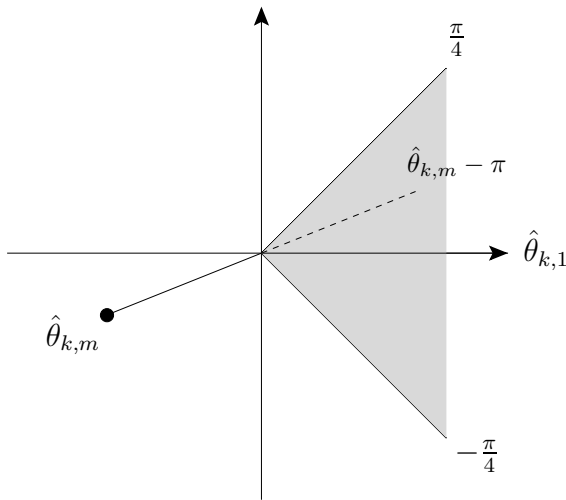


Fig. 2. The two dimensional coordinate system.

and the SNR at the receiver of the proposed algorithm is

$$\gamma_M = (g_c + \tilde{g}_b) \cdot \gamma_0, \quad (19)$$

with g_c and \tilde{g}_b defined in (13a) and (18), respectively.

With the adaptive diversity algorithm presented in this subsection, $2M-4$ bits of feedback information are required to form the space encoding vectors for systems with M transmit antennas. It will be shown next that the amount of feedback information can be further reduced for systems with $M \leq 4$ transmit antennas, which are of practical interests of next generation communication systems.

B. Special Cases: Systems with $M \leq 4$ Transmit Antennas

For systems with $M \leq 4$ transmit antennas, each of the two antenna sub-groups will contain at most 2 transmit antennas. For sub-groups with 2 transmit antennas, the sub-optimum design criterion can be satisfied with only 1 bit feedback information.

For systems with $M = 4$ transmit antennas, the number of antennas in each of the antenna groups is $M_1 = M_2 = 2$. We define the space encoding vector as

$$\mathbf{w}_k = \frac{1}{2} [1 \quad (-1)^{b_k}], \quad \text{for } k = 1, 2, \quad (20)$$

where $b_k \in \{0, 1\}$ is the feedback information for the k th antenna sub-group, and it is defined as

$$b_k = \begin{cases} 0, & \Re(h_{k,1} h_{k,2}^*) \geq 0, \\ 1, & \text{otherwise} \end{cases} \quad (21)$$

Combining (9), (20) and (21), we will have the SNR at the receiver written by

$$\gamma_4 = (g_{4,c} + g_{4,b}) \gamma_0, \quad (22)$$

with the conventional diversity gain $g_{4,c}$ and the feedback diversity gain $g_{4,b}$ defined as

$$g_{4,c} = \frac{1}{4} \left(\sum_{m=1}^2 |h_{1,m}|^2 + \sum_{m=1}^2 |h_{2,m}|^2 \right), \quad (23a)$$

$$g_{4,b} = \frac{1}{2} \sum_{k=1}^2 |\Re(h_{k,1} h_{k,2}^*)|. \quad (23b)$$

We can see that $g_{4,c}$ given in (23a) is the same as the conventional diversity gain of (13a) when we set $M = 4$, and the feedback diversity gain $g_{4,b}$ of (23b) is always non-negative with totally 2 bits of feedback (1 bit for each sub-group) as opposed to the $2 \times 2 - 4 = 4$ bits feedback described for the general case.

Similarly, for systems with $M = 3$ antennas, we have $M_1 = 2$ and $M_2 = 1$. Since there is only 1 antenna in sub-group 2, we have $\mathbf{w}_2 = 1/\sqrt{3}$. For sub-group 1 with 2 transmit antennas, we apply the space encoding vector \mathbf{w}_1 as defined in (20). With this encoding scheme, the receiver SNR can be computed from (9) as

$$\gamma_3 = (g_{3,c} + g_{3,b}) \cdot \gamma_0, \quad (24)$$

with the conventional diversity gain $g_{3,c}$ and feedback diversity gain $g_{3,b}$ being given by

$$g_{3,c} = \frac{1}{3} \left(\sum_{m=1}^2 |h_{1,m}|^2 + |h_{2,1}|^2 \right), \quad (25a)$$

$$g_{3,b} = \frac{2}{3} |\Re(h_{k,1} h_{k,2}^*)|. \quad (25b)$$

When there are only two transmit antennas present in the system, we have $w_1 = w_2 = 1/\sqrt{2}$, and this scheme reduced to orthogonal space time block code.

With the method presented in this subsection, we only need 1 bit and 2 bits feedback information for systems with $M = 3$ and $M = 4$ transmit antennas, respectively.

IV. SIMULATION RESULTS

Simulations are carried out for 3GPP HSDPA systems to evaluate the performance of the proposed adaptive diversity scheme. The simulation parameters are defined according to the HSDPA technical specifications [1] and are shown in Table 1.

The frame error rate (FER) performance for systems with 3 transmit antennas and 4 transmit antennas is shown in Fig. 3 and Fig. 4, respectively. In order to compare, the performance of orthogonal space time block coding with 2 transmit antennas are also depicted in these two figures. Comparing the performance of the proposed algorithms with optimum quantized TxAA scheme [11] with the same amount of feedback, we can see that for FER = 1%, the performance improvements are approximately 4 dB for systems with 3 transmit antennas, and 2dB for systems with 4 transmit antennas. Moreover, the performance differences between the two space encoding methods of Section III-A and Section III-B are within the range of 0.5 dB.

Table 1. Simulation Parameters for 3GPP HSDPA Systems

Carrier Frequency	2 GHz
Spreading Factor (SF)	16
Number of Multicodes (N_c)	10
Frame Length	2ms
Chip Rate (R_c)	3.84 Mbps
CPICH power	10% I_{or}
E_c/I_{or}	70%
I_{or}/I_{oc}	variable
Channel Coding	Turbo, rate $R_t = 3/4$
Fading Model	one path Rayleigh
Correlation Model	i.i.d.
Channel Estimation	perfect
Modulation	64 QAM
Feedback Delay	4 TTI

V. CONCLUSIONS

An adaptive space time transmit diversity scheme is proposed for next generation wireless communication systems. Combining an orthogonal space time block code with adaptive sub-group antenna encoding, this close loop diversity scheme can be used for systems with more than two transmit antennas without introducing interference among the transmitted signals. A new quadrant phase constraining method is proposed for the computation of the feedback information and the formulation of the space encoding vectors. For general systems with M transmit antennas, the amount of feedback required by the encoders are $2M - 4$. For the special cases of systems with 3 and 4 transmit antennas, which is of practical interest for emerging wireless communication systems, the size of the feedback information can be as few as 1 bit and 2 bits, respectively. Simulation results show that this new diversity scheme outperforms not only open loop diversity techniques, but also some close loop diversity techniques with the same amount of feedback.

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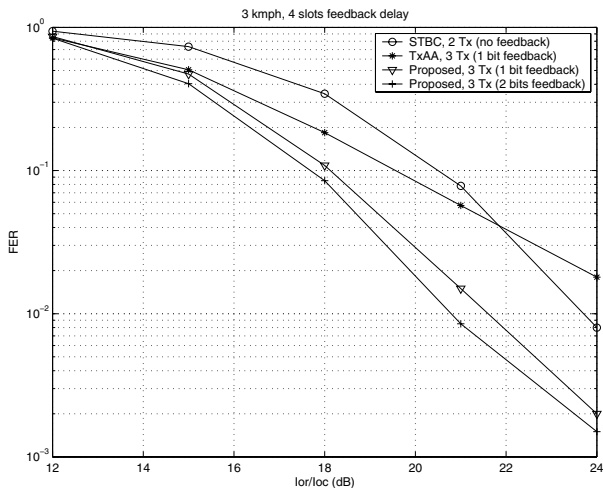


Fig. 3. Comparison of various transmit diversity schemes for systems with 3 transmit antennas

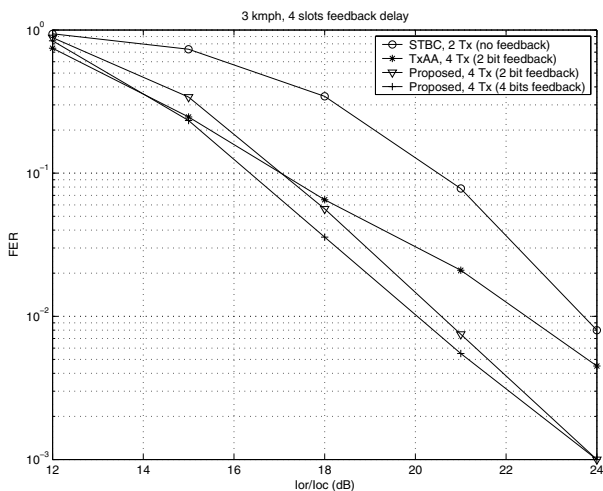


Fig. 4. Comparison of various transmit diversity schemes for systems with 4 transmit antennas