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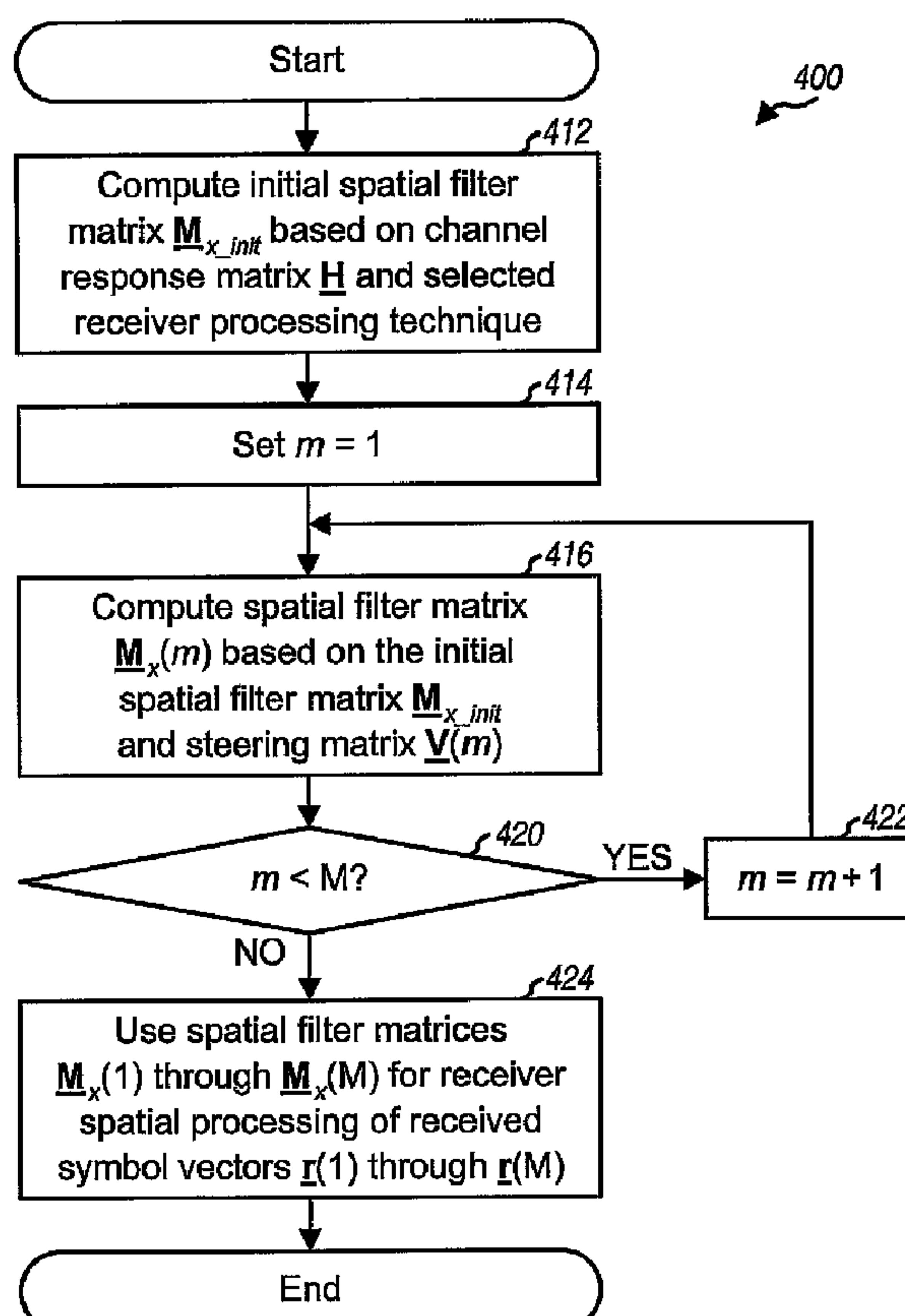
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(54) Titre : CALCUL EFFICACE DE MATRICES DE FILTRE SPATIAL PERMETTANT D'ORIENTER LA DIVERSITE DE TRANSMISSION DANS UN SYSTEME DE COMMUNICATION A ENTREE MULTIPLE-SORTIE MULTIPLE (MIMO)  
(54) Title: EFFICIENT COMPUTATION OF SPATIAL FILTER MATRICES FOR STEERING TRANSMIT DIVERSITY IN A MIMO COMMUNICATION SYSTEM



(57) Abrégé/Abstract:

Techniques for efficiently computing spatial filter matrices are described. The channel response matrices for a MIMO channel may be highly correlated if the channel is relatively static over a range of transmission spans. In this case, an initial spatial filter matrix

**(57) Abrégé(suite)/Abstract(continued):**

may be derived based on one channel response matrix, and a spatial filter matrix for each transmission span may be computed based on the initial spatial filter matrix and a steering matrix used for that transmission span. The channel response matrices may be partially correlated if the MIMO channel is not static but does not change abruptly. In this case, a spatial filter matrix may be derived for one transmission span and used to derive an initial spatial filter matrix for another transmission span m. A spatial filter matrix for transmission span m may be computed based on the initial spatial filter matrix, e.g., using an iterative procedure.

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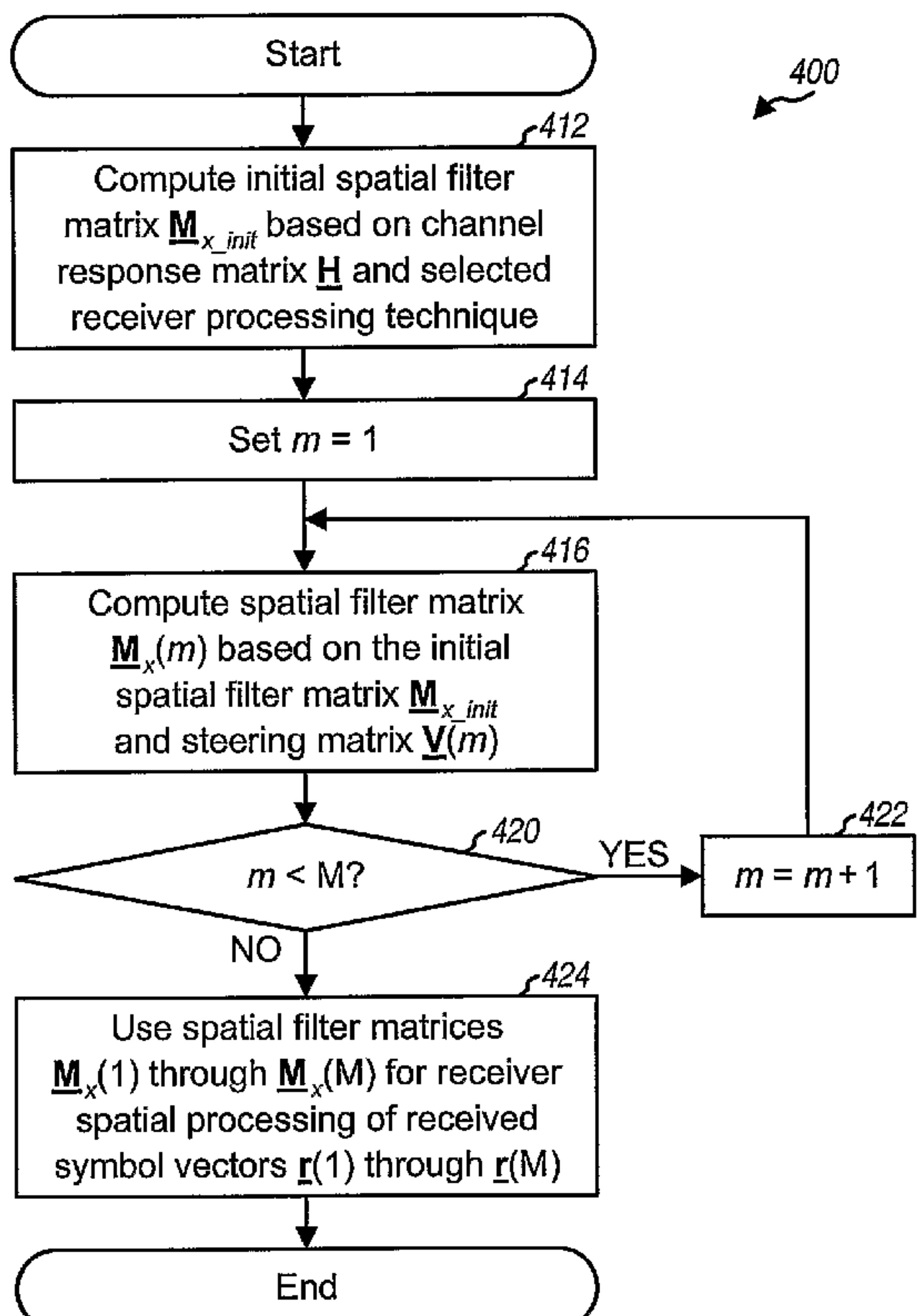
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# EFFICIENT COMPUTATION OF SPATIAL FILTER MATRICES FOR STEERING TRANSMIT DIVERSITY IN A MIMO COMMUNICATION SYSTEM

## BACKGROUND

### I. Field

[0001] The present invention relates generally to communication, and more specifically to spatial processing for data transmission in a multiple-input multiple-output (MIMO) communication system.

### II. Background

[0002] A MIMO system employs multiple ( $N_T$ ) transmit antennas at a transmitting entity and multiple ( $N_R$ ) receive antennas at a receiving entity for data transmission. A MIMO channel formed by the  $N_T$  transmit antennas and  $N_R$  receive antennas may be decomposed into  $N_S$  spatial channels, where  $N_S \leq \min \{N_T, N_R\}$ . The  $N_S$  spatial channels may be used to transmit data in parallel to achieve higher throughput and/or redundantly to achieve greater reliability.

[0003] Each spatial channel may experience various deleterious channel conditions such as, e.g., fading, multipath, and interference effects. The  $N_S$  spatial channels may also experience different channel conditions and may achieve different signal-to-noise-and-interference ratios (SNRs). The SNR of each spatial channel determines its transmission capacity, which is typically quantified by a particular data rate that may be reliably transmitted on the spatial channel. For a time variant wireless channel, the channel conditions change over time and the SNR of each spatial channel also changes over time.

[0004] To improve performance, the MIMO system may utilize some form of feedback whereby the receiving entity evaluates the spatial channels and provides feedback information indicating the channel condition or the transmission capacity of each spatial channel. The transmitting entity may then adjust the data transmission on each spatial channel based on the feedback information. However, this feedback information may not be available for various reasons. For example, the system may not support feedback transmission from the receiving entity, or the wireless channel may change more rapidly than the rate at which the receiving entity can estimate the wireless channel and/or send

back the feedback information. In any case, if the transmitting entity does not know the channel condition, then it may need to transmit data at a low rate so that the data transmission can be reliably decoded by the receiving entity even with the worst-case channel condition. The performance of such a system would be dictated by the expected worst-case channel condition, which is highly undesirable.

[0005] To improve performance (e.g., when feedback information is not available), the transmitting entity may perform spatial processing such that the data transmission does not observe the worst-case channel condition for an extended period of time, as described below. A higher data rate may then be used for the data transmission. However, this spatial processing represents additional complexity for both the transmitting and receiving entities.

[0006] There is therefore a need in the art for techniques to efficiently perform spatial processing to improve performance in a MIMO system.

## SUMMARY

[0007] Techniques for efficiently computing spatial filter matrices used for spatial processing by a receiving entity are described herein. A transmitting entity may transmit data via a MIMO channel using either full channel state information (“full-CSI”) or “partial-CSI” transmission, as described below. The transmitting entity may also utilize steering transmit diversity (STD) for improved performance. With STD, the transmitting entity performs spatial processing with different steering matrices so that the data transmission observes an ensemble of effective channels and is not stuck on a “bad” channel realization for an extended period of time. The receiving entity performs the complementary receiver spatial processing for either full-CSI or partial-CSI transmission and for steering transmit diversity. The spatial filter matrices used for receiver spatial processing may be efficiently computed if the MIMO channel is relatively static or does not change abruptly.

[0008] If the MIMO channel is relatively static over a range of transmission spans (e.g., a range of symbol periods or frequency subbands), then the channel response matrices for the MIMO channel over these transmission spans may be highly correlated. In this case, an initial spatial filter matrix may be derived based on a channel response matrix and a selected receiver processing technique, as described below. A spatial filter matrix

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for each transmission span within the static range may then be computed based on the initial spatial filter matrix and the steering matrix used for that transmission span.

**[0009]** If the MIMO channel is not static but does not change abruptly, then the channel response matrices for different transmission spans may be partially

5 correlated. In this case, a spatial filter matrix  $\underline{M}_x(\ell)$  may be derived for a given transmission span  $\ell$  and used to derive an initial spatial filter matrix for another transmission span  $m$ . A spatial filter matrix  $\underline{M}_x(m)$  for transmission span  $m$  may then be computed based on the initial spatial filter matrix, e.g., using an iterative procedure. The same processing may be repeated over a range of transmission  
10 spans of interest, so that each newly derived spatial filter matrix may be used to compute another spatial filter matrix for another transmission span.

According to one aspect of the present invention, there is provided a method of deriving spatial filter matrices in a wireless multiple-input multiple-output (MIMO) communication system, comprising: determining an initial spatial filter matrix; 15 and deriving a plurality of spatial filter matrices for a plurality of time and/or frequency transmission spans based on the initial spatial filter matrix and a plurality of steering matrices used for the plurality of time and/or frequency transmission spans.

According to another aspect of the present invention, there is provided an apparatus in a wireless multiple-input multiple-output (MIMO) communication system, comprising: a processor operative to determine an initial spatial filter matrix and to derive a plurality of spatial filter matrices for a plurality of time and/or frequency transmission spans based on the initial spatial filter matrix and a plurality of steering matrices used for the plurality of time and/or frequency transmission spans; and a memory operative to store the plurality of steering matrices.  
20

25 According to still another aspect of the present invention, there is provided an apparatus in a wireless multiple-input multiple-output (MIMO) communication system, comprising: means for determining an initial spatial filter

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3a

matrix; and means for deriving a plurality of spatial filter matrices for a plurality of time and/or frequency transmission spans based on the initial spatial filter matrix and a plurality of steering matrices used for the plurality of time and/or frequency transmission spans.

5        According to yet another aspect of the present invention, there is provided a method of transmitting data including a stream of symbols via a multiple-input multiple-output (MIMO) channel, comprising: deriving an initial spatial filter matrix based on both a channel response matrix and a selected receiver processing technique; and performing spatial processing on the stream of symbols with a spatial  
10 filter based on the initial spatial filter matrix and with different steering matrices so that a data transmission observes a plurality of effective channels.

According to a further aspect of the present invention, there is provided a computer-readable medium having stored thereon computer executable instructions for transmitting data including a stream of symbols via a multiple-input  
15 multiple-output (MIMO) channel, the instructions comprising code for: deriving an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique; and performing spatial processing using a spatial filter matrix based on the initial spatial filter matrix and with different steering matrices so that a data transmission observes a plurality of effective channels.

20        According to yet a further aspect of the present invention, there is provided an apparatus in a multiple-input multiple-output (MIMO) communication system, comprising: means for deriving an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique; and means for performing spatial processing with a spatial filter matrix derived from the initial spatial  
25 filter matrix and with different steering matrices to allow a data transmission to observes a plurality of effective channels.

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3b

According to still a further aspect of the present invention, there is provided an apparatus in a multiple-input multiple-output (MIMO) communication system, comprising: a spatial processor configured to derive an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique, and perform spatial processing with a spatial filter matrix derived from the initial spatial filter matrix and with different steering matrices to allow a data transmission to observe a plurality of effective channels.

According to another aspect of the present invention, there is provided an apparatus in a multiple-input multiple-output (MIMO) communication system, comprising: a module configured to derive an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique; and a module configured to perform spatial processing with a spatial filter matrix derived from the initial spatial filter matrix and with different steering matrices to allow a data transmission to observe a plurality of effective channels.

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3c

[0010] The steering matrices may be defined such that the computation of the spatial filter matrices can be simplified. Various aspects and embodiments of the invention are described in further detail below.

#### BRIEF DESCRIPTION OF THE DRAWINGS

[0011] FIG. 1 shows a transmitting entity and a receiving entity in a MIMO system;

[0012] FIG. 2 shows a model for data transmission with steering transmit diversity;

[0013] FIGS. 3A and 3B show data transmission in a single-carrier MIMO system and a multi-carrier MIMO system, respectively;

[0014] FIGS. 4 and 5 show processes to compute spatial filter matrices for fully and partially correlated channel response matrices, respectively;

[0015] FIG. 6 shows a block diagram of an access point and a user terminal; and

[0016] FIG. 7 shows a block diagram of a processor for spatial filter matrix computation.

#### DETAILED DESCRIPTION

[0017] The word “exemplary” is used herein to mean “serving as an example, instance, or illustration.” Any embodiment described herein as “exemplary” is not necessarily to be construed as preferred or advantageous over other embodiments.

[0018] FIG. 1 shows a simple block diagram of a transmitting entity 110 and a receiving entity 150 in a MIMO system 100. At transmitting entity 110, a transmit (TX) spatial processor 120 performs spatial processing on data symbols (denoted by a vector  $\underline{s}(m)$ ) to generate transmit symbols (denoted by a vector  $\underline{x}(m)$ ). As used herein, a

“data symbol” is a modulation symbol for data, a “pilot symbol” is a modulation symbol for pilot (which is data that is known *a priori* by both the transmitting and receiving entities), a “transmit symbol” is a symbol to be sent from a transmit antenna, a “received symbol” is a symbol obtained from a receive antenna, and a modulation symbol is a complex value for a point in a signal constellation used for a modulation scheme (e.g., M-PSK, M-QAM, and so on). The spatial processing is performed based on steering matrices  $\underline{V}(m)$  and possibly other matrices. The transmit symbols are further conditioned by a transmitter unit (TMTR) 122 to generate  $N_T$  modulated signals, which are transmitted from  $N_T$  transmit antennas 124 and via a MIMO channel.

[0019] At receiving entity 150, the transmitted modulated signals are received by  $N_R$  receive antennas 152, and the  $N_R$  received signals are conditioned by a receiver unit (RCVR) 154 to obtain received symbols (denoted by a vector  $\underline{r}(m)$ ). A receive (RX) spatial processor 160 then performs receiver spatial processing (or spatial matched filtering) on the received symbols with spatial filter matrices (denoted by  $\underline{M}_x(m)$ ) to obtain “detected” data symbols (denoted by a vector  $\underline{\hat{s}}(m)$ ). The detected data symbols are estimates of the data symbols sent by transmitting entity 110. The spatial processing at the transmitting and receiving entities are described below.

[0020] The spatial filter matrix computation techniques described herein may be used for a single-carrier MIMO system as well as a multi-carrier MIMO system. Multiple carriers may be obtained with orthogonal frequency division multiplexing (OFDM), discrete multi tone (DMT), some other multi-carrier modulation techniques, or some other construct. OFDM effectively partitions the overall system bandwidth into multiple ( $N_F$ ) orthogonal subbands, which are also referred to as tones, subcarriers, bins, and frequency channels. With OFDM, each subband is associated with a respective subcarrier that may be modulated with data.

[0021] In MIMO system 100, the MIMO channel formed by the  $N_T$  transmit antennas at transmitting entity 110 and the  $N_R$  receive antennas at receiving entity 150 may be characterized by an  $N_R \times N_T$  channel response matrix  $\underline{H}(m)$ , which may be given as:

$$\underline{H}(m) = \begin{bmatrix} h_{1,1}(m) & h_{1,2}(m) & \cdots & h_{1,N_T}(m) \\ h_{2,1}(m) & h_{2,2}(m) & \cdots & h_{2,N_T}(m) \\ \vdots & \vdots & \ddots & \vdots \\ h_{N_R,1}(m) & h_{N_R,2}(m) & \cdots & h_{N_R,N_T}(m) \end{bmatrix}, \quad \text{Eq (1)}$$

where entry  $h_{i,j}(m)$ , for  $i = 1 \dots N_R$  and  $j = 1 \dots N_T$ , denotes the coupling or complex channel gain between transmit antenna  $j$  and receive antenna  $i$  for transmission span  $m$ . A transmission span may cover time and/or frequency dimensions. For example, in a single-carrier MIMO system, a transmission span may correspond to one symbol period, which is the time interval to transmit one data symbol. In a multi-carrier MIMO system, a transmission span may correspond to one subband in one symbol period. A transmission span may also cover multiple symbol periods and/or multiple subbands. For simplicity, the MIMO channel is assumed to be full rank with  $N_S = N_T \leq N_R$ .

[0022] The MIMO system may support data transmission using one or more operating modes such as, for example, a “calibrated” mode and an “uncalibrated” mode. The calibrated mode may employ full-CSI transmission whereby data is transmitted on orthogonal spatial channels (or “eigenmodes”) of the MIMO channel. The uncalibrated mode may employ partial-CSI transmission whereby data is transmitted on spatial channels of the MIMO channel, e.g., from individual transmit antennas.

[0023] The MIMO system may also employ steering transmit diversity (STD) to improve performance. With STD, the transmitting entity performs spatial processing with steering matrices so that a data transmission observes an ensemble of effective channels and is not stuck on a single bad channel realization for an extended period of time. Consequently, performance is not dictated by the worst-case channel condition.

### **1. Calibrated Mode – Full-CSI Transmission**

[0024] For full-CSI transmission, eigenvalue decomposition may be performed on a correlation matrix of  $\underline{\mathbf{H}}(m)$  to obtain  $N_S$  eigenmodes of  $\underline{\mathbf{H}}(m)$ , as follows:

$$\underline{\mathbf{R}}(m) = \underline{\mathbf{H}}^H(m) \cdot \underline{\mathbf{H}}(m) = \underline{\mathbf{E}}(m) \cdot \underline{\Lambda}(m) \cdot \underline{\mathbf{E}}^H(m) , \quad \text{Eq (2)}$$

where  $\underline{\mathbf{R}}(m)$  is an  $N_T \times N_T$  correlation matrix of  $\underline{\mathbf{H}}(m)$ ;

$\underline{\mathbf{E}}(m)$  is an  $N_T \times N_T$  unitary matrix whose columns are eigenvectors of  $\underline{\mathbf{R}}(m)$ ;

$\underline{\Lambda}(m)$  is an  $N_T \times N_T$  diagonal matrix of eigenvalues of  $\underline{\mathbf{R}}(m)$ ; and

“ $H$ ” denotes a conjugate transpose.

A unitary matrix  $\underline{\mathbf{U}}$  is characterized by the property  $\underline{\mathbf{U}}^H \cdot \underline{\mathbf{U}} = \underline{\mathbf{I}}$ , where  $\underline{\mathbf{I}}$  is the identity matrix. The columns of a unitary matrix are orthogonal to one another, and each

column has unit power. The matrix  $\underline{\mathbf{E}}(m)$  may be used for spatial processing by the transmitting entity to transmit data on the  $N_S$  eigenmodes of  $\underline{\mathbf{H}}(m)$ . The eigenmodes may be viewed as orthogonal spatial channels obtained through decomposition. The diagonal entries of  $\underline{\Lambda}(m)$  are eigenvalues of  $\underline{\mathbf{R}}(m)$ , which represent the power gains for the  $N_S$  eigenmodes. Singular value decomposition may also be performed to obtain matrices of left and right eigenvectors, which may be used for full-CSI transmission.

[0025] The transmitting entity performs spatial processing for full-CSI transmission with steering transmit diversity, as follows:

$$\underline{\mathbf{x}}_f(m) = \underline{\mathbf{E}}(m) \cdot \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m) , \quad \text{Eq (3)}$$

where  $\underline{\mathbf{s}}(m)$  is an  $N_T \times 1$  vector with up to  $N_S$  data symbols to be sent in transmission span  $m$ ;

$\underline{\mathbf{V}}(m)$  is an  $N_T \times N_T$  steering matrix for transmission span  $m$ ;

$\underline{\mathbf{E}}(m)$  is the matrix of eigenvectors for transmission span  $m$ ; and

$\underline{\mathbf{x}}_f(m)$  is an  $N_T \times 1$  vector with  $N_T$  transmit symbols to be sent from the  $N_T$  transmit antennas in transmission span  $m$ .

As shown in equation (3), each data symbol in  $\underline{\mathbf{s}}(m)$  is effectively spatially spread with a respective column of  $\underline{\mathbf{V}}(m)$ . If  $N_S < N_T$ , then  $N_S$  data symbols in  $\underline{\mathbf{s}}(m)$  are spatially spread with an  $N_S \times N_S$  matrix  $\underline{\mathbf{V}}(m)$  to obtain  $N_S$  “spread” symbols. Each spread symbol includes a component of each of the  $N_S$  data symbols. The  $N_S$  spread symbols from the spatial spreading are then sent on the  $N_S$  eigenmodes of  $\underline{\mathbf{H}}(m)$ . Each steering matrix  $\underline{\mathbf{V}}(m)$  is a unitary matrix and may be generated as described below.

[0026] The receiving entity obtains received symbols from the  $N_R$  receive antennas, which may be expressed as:

$$\begin{aligned} \underline{\mathbf{r}}_f(m) &= \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{x}}_f(m) + \underline{\mathbf{n}}(m) = \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{E}}(m) \cdot \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m) , \\ &= \underline{\mathbf{H}}_{f\_eff}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m) \end{aligned} \quad \text{Eq (4)}$$

where  $\underline{\mathbf{r}}_f(m)$  is an  $N_R \times 1$  vector with  $N_R$  received symbols obtained via the  $N_R$  receive antennas in transmission span  $m$ ;

$\underline{\mathbf{n}}(m)$  is a noise vector for transmission span  $m$ ; and

$\underline{\mathbf{H}}_{f\_eff}(m)$  is an  $N_R \times N_T$  “effective” MIMO channel response matrix observed by the data vector  $\underline{\mathbf{s}}(m)$  for full-CSI transmission with steering transmit diversity, which is:

$$\underline{\mathbf{H}}_{f\_eff}(m) = \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{E}}(m) \cdot \underline{\mathbf{V}}(m) . \quad \text{Eq (5)}$$

For simplicity, the noise is assumed to be additive white Gaussian noise (AWGN) with a zero mean vector and a covariance matrix of  $\underline{\varphi}_{nn} = \sigma^2 \cdot \underline{\mathbf{I}}$ , where  $\sigma^2$  is the variance of the noise and  $\underline{\mathbf{I}}$  is the identity matrix.

[0027] The receiving entity can recover the data symbols in  $\underline{\mathbf{s}}(m)$  using various receiver processing techniques. The techniques applicable for full-CSI transmission include a full-CSI technique and a minimum mean square error (MMSE) technique.

[0028] For the full-CSI technique, the receiving entity may derive a spatial filter matrix  $\underline{\mathbf{M}}_{fcsi}(m)$  as follows:

$$\underline{\mathbf{M}}_{fcsi}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\Lambda}^{-1}(m) \cdot \underline{\mathbf{E}}^H(m) \cdot \underline{\mathbf{H}}^H(m) . \quad \text{Eq (6)}$$

The receiving entity may perform receiver spatial processing using  $\underline{\mathbf{M}}_{fcsi}(m)$ , as follows:

$$\begin{aligned} \hat{\underline{\mathbf{s}}}_{fcsi}(m) &= \underline{\mathbf{M}}_{fcsi}(m) \cdot \underline{\mathbf{r}}_f(m) , \\ &= \underline{\mathbf{V}}^H(m) \cdot \underline{\Lambda}^{-1}(m) \cdot \underline{\mathbf{E}}^H(m) \cdot \underline{\mathbf{H}}^H(m) \cdot [\underline{\mathbf{H}}(m) \cdot \underline{\mathbf{E}}(m) \cdot \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m)] , \quad \text{Eq (7)} \\ &= \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}_f(m) , \end{aligned}$$

where  $\hat{\underline{\mathbf{s}}}_{fcsi}(m)$  is an  $N_T \times 1$  vector with  $N_S$  detected data symbols; and

$\underline{\mathbf{n}}_f(m)$  is the post-detection noise after the receiver spatial processing.

[0029] For the MMSE technique, the receiving entity may derive a spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse}(m)$  as follows:

$$\underline{\mathbf{M}}_{f\_mmse}(m) = [\underline{\mathbf{H}}_{f\_eff}^H(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}_{f\_eff}^H(m) . \quad \text{Eq (8)}$$

The spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse}(m)$  minimizes the mean square error between the symbol estimates from the spatial filter and the data symbols in  $\underline{\mathbf{s}}(m)$ .

[0030] The receiving entity may perform MMSE spatial processing, as follows:

$$\begin{aligned}
 \hat{\underline{\mathbf{s}}}_{f\_mmse}(m) &= \underline{\mathbf{D}}_{f\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{f\_mmse}(m) \cdot \underline{\mathbf{r}}_f(m) , \\
 &= \underline{\mathbf{D}}_{f\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{f\_mmse}(m) \cdot [\underline{\mathbf{H}}_{f\_eff}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m)] , \quad \text{Eq (9)} \\
 &= \underline{\mathbf{D}}_{f\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{f\_mmse}(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}_{f\_mmse}(m) ,
 \end{aligned}$$

where  $\underline{\mathbf{D}}_{f\_mmse}(m)$  is a diagonal matrix containing the diagonal elements of

$\underline{\mathbf{M}}_{f\_mmse}(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m)$ , or  $\underline{\mathbf{D}}_{f\_mmse}(m) = \text{diag} [\underline{\mathbf{M}}_{f\_mmse}(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m)]$ ; and

$\underline{\mathbf{n}}_{f\_mmse}(m)$  is the MMSE filtered noise.

The symbol estimates from the spatial filter  $\underline{\mathbf{M}}_{f\_mmse}(m)$  are unnormalized estimates of the data symbols. The multiplication with the scaling matrix  $\underline{\mathbf{D}}_{f\_mmse}(m)$  provides normalized estimates of the data symbols.

[0031] Full-CSI transmission attempts to send data on the eigenmodes of  $\underline{\mathbf{H}}(m)$ . However, a full-CSI data transmission may not be completely orthogonal due to, for example, an imperfect estimate of  $\underline{\mathbf{H}}(m)$ , error in the eigenvalue decomposition, finite arithmetic precision, and so on. The MMSE technique can account for (or “clean up”) any loss of orthogonality in the full-CSI data transmission.

[0032] Table 1 summarizes the spatial processing at the transmitting and receiving entities for full-CSI transmission with steering transmit diversity.

Table 1

Entity	Calibrated Mode - Full-CSI Transmission	
Transmitter	$\underline{\mathbf{x}}_f(m) = \underline{\mathbf{E}}(m) \cdot \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m)$	Spatial Processing
	$\underline{\mathbf{H}}_{f\_eff}(m) = \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{E}}(m) \cdot \underline{\mathbf{V}}(m)$	Effective Channel
Receiver full-CSI	$\underline{\mathbf{M}}_{fcsi}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\Lambda}^{-1}(m) \cdot \underline{\mathbf{E}}^H(m) \cdot \underline{\mathbf{H}}^H(m)$	Spatial Filter Matrix

	$\hat{\mathbf{s}}_{fcsi}(m) = \underline{\mathbf{M}}_{fcsi}(m) \cdot \underline{\mathbf{r}}_f(m)$	Spatial Processing
Receiver MMSE	$\underline{\mathbf{M}}_{f\_mmse}(m) = [\underline{\mathbf{H}}_{f\_eff}^H(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}_{f\_eff}^H(m)$	Spatial Filter Matrix
	$\underline{\mathbf{D}}_{f\_mmse}(m) = \text{diag} [\underline{\mathbf{M}}_{f\_mmse}(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m)]$	
	$\hat{\mathbf{s}}_{f\_mmse}(m) = \underline{\mathbf{D}}_{f\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{f\_mmse}(m) \cdot \underline{\mathbf{r}}_f(m)$	Spatial Processing

## 2. Uncalibrated Mode – Partial-CSI Transmission

[0033] For partial-CSI transmission with steering transmit diversity, the transmitting entity performs spatial processing as follows:

$$\underline{\mathbf{x}}_p(m) = \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m) , \quad \text{Eq (10)}$$

where  $\underline{\mathbf{x}}_p(m)$  is the transmit data vector for transmission span  $m$ . As shown in equation (10), each data symbol in  $\underline{\mathbf{s}}(m)$  is spatially spread with a respective column of  $\underline{\mathbf{V}}(m)$ . The  $N_T$  spread symbols resulting from the multiplication with  $\underline{\mathbf{V}}(m)$  are then transmitted from the  $N_T$  transmit antennas.

[0034] The receiving entity obtains received symbols, which may be expressed as:

$$\begin{aligned} \underline{\mathbf{r}}_p(m) &= \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{x}}_p(m) + \underline{\mathbf{n}}(m) = \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m) , \\ &= \underline{\mathbf{H}}_{p\_eff}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m) , \end{aligned} \quad \text{Eq (11)}$$

where  $\underline{\mathbf{r}}_p(m)$  is the received symbol vector for transmission span  $m$ ; and

$\underline{\mathbf{H}}_{p\_eff}(m)$  is an  $N_R \times N_T$  effective MIMO channel response matrix observed by  $\underline{\mathbf{s}}(m)$  for partial-CSI transmission with steering transmit diversity, which is:

$$\underline{\mathbf{H}}_{p\_eff}(m) = \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{V}}(m) . \quad \text{Eq (12)}$$

[0035] The receiving entity can recover the data symbols in  $\underline{\mathbf{s}}(m)$  using various receiver processing techniques. The techniques applicable for partial-CSI transmission include a channel correlation matrix inversion (CCMI) technique (which is also commonly called

a zero-forcing technique), the MMSE technique, and a successive interference cancellation (SIC) technique.

[0036] For the CCMI technique, the receiving entity may derive a spatial filter matrix  $\underline{\mathbf{M}}_{ccmi}(m)$ , as follows:

$$\underline{\mathbf{M}}_{ccmi}(m) = [\underline{\mathbf{H}}_{p\_eff}^H(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m)]^{-1} \cdot \underline{\mathbf{H}}_{p\_eff}^H(m) = \underline{\mathbf{R}}_{p\_eff}^{-1}(m) \cdot \underline{\mathbf{H}}_{p\_eff}^H(m) . \quad \text{Eq (13)}$$

The receiving entity may perform CCMI spatial processing, as follows:

$$\begin{aligned} \hat{\underline{\mathbf{s}}}_{ccmi}(m) &= \underline{\mathbf{M}}_{ccmi}(m) \cdot \underline{\mathbf{r}}_p(m) , \\ &= \underline{\mathbf{R}}_{p\_eff}^{-1}(m) \cdot \underline{\mathbf{H}}_{p\_eff}^H(m) \cdot [\underline{\mathbf{H}}_{p\_eff}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}(m)] , \\ &= \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}_{ccmi}(m) , \end{aligned} \quad \text{Eq (14)}$$

where  $\underline{\mathbf{n}}_{ccmi}(m)$  is the CCMI filtered noise. Due to the structure of  $\underline{\mathbf{R}}_{p\_eff}(m)$ , the CCMI technique may amplify the noise.

[0037] For the MMSE technique, the receiving entity may derive a spatial filter matrix  $\underline{\mathbf{M}}_{p\_mmse}(m)$ , as follows:

$$\underline{\mathbf{M}}_{p\_mmse}(m) = [\underline{\mathbf{H}}_{p\_eff}^H(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}_{p\_eff}^H(m) . \quad \text{Eq (15)}$$

Equation (15) for the partial-CSI transmission has the same form as equation (8) for the full-CSI transmission. However,  $\underline{\mathbf{H}}_{p\_eff}(m)$  (instead of  $\underline{\mathbf{H}}_{f\_eff}(m)$ ) is used in equation (15) for partial-CSI transmission.

[0038] The receiving entity may perform MMSE spatial processing, as follows:

$$\begin{aligned} \hat{\underline{\mathbf{s}}}_{p\_mmse}(m) &= \underline{\mathbf{D}}_{p\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{p\_mmse}(m) \cdot \underline{\mathbf{r}}_p(m) , \\ &= \underline{\mathbf{D}}_{p\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{p\_mmse}(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m) \cdot \underline{\mathbf{s}}(m) + \underline{\mathbf{n}}_{p\_mmse}(m) , \end{aligned} \quad \text{Eq (16)}$$

where  $\underline{\mathbf{D}}_{p\_mmse}(m) = \text{diag} [\underline{\mathbf{M}}_{p\_mmse}(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m)]$  and  $\underline{\mathbf{n}}_{p\_mmse}(m)$  is the MMSE filtered noise for partial-CSI transmission.

[0039] For the SIC technique, the receiving entity recovers the data symbols in  $\underline{\mathbf{s}}(m)$  in successive stages. For clarity, the following description assumes that each element of

$\underline{s}(m)$  and each element of  $\underline{r}_p(m)$  corresponds to one data symbol stream. The receiving entity processes the  $N_R$  received symbol streams in  $\underline{r}_p(m)$  in  $N_S$  successive stages to recover the  $N_S$  data symbol streams in  $\underline{s}(m)$ . Typically, the SIC processing is such that one packet is recovered for one stream, and then another packet is recovered for another stream, and so on. For simplicity, the following description assumes  $N_S = N_T$ .

[0040] For each stage  $\ell$ , where  $\ell = 1 \dots N_S$ , the receiving entity performs receiver spatial processing on  $N_R$  input symbol streams  $\underline{r}_p^\ell(m)$  for that stage. The input symbol streams for the first stage ( $\ell = 1$ ) are the received symbol streams, or  $\underline{r}_p^1(m) = \underline{r}_p(m)$ . The input symbol streams for each subsequent stage ( $\ell = 2 \dots N_S$ ) are modified symbol streams from a preceding stage. The receiver spatial processing for stage  $\ell$  is based on a spatial filter matrix  $\underline{M}_x^\ell(m)$ , which may be derived based on a reduced effective channel response matrix  $\underline{H}_{p\_eff}^\ell(m)$  and further in accordance with the CCMI, MMSE, or some other technique.  $\underline{H}_{p\_eff}^\ell(m)$  contains  $N_S - \ell + 1$  columns in  $\underline{H}_{p\_eff}(m)$  corresponding to  $N_S - \ell + 1$  data symbol streams not yet recovered in stage  $\ell$ . The receiving entity obtains one detected data symbol stream  $\{\hat{s}_\ell\}$  for stage  $\ell$  and further processes (e.g., demodulates, deinterleaves, and decodes) this stream to obtain a corresponding decoded data stream  $\{\hat{d}_\ell\}$ .

[0041] The receiving entity next estimates the interference that data symbol stream  $\{s_\ell\}$  causes to the other data symbol streams not yet recovered. To estimate the interference, the receiving entity processes (e.g., re-encodes, interleaves, and symbol maps) the decoded data stream  $\{\hat{d}_\ell\}$  in the same manner performed by the transmitting entity for this stream and obtains a stream of “remodulated” symbols  $\{\tilde{s}_\ell\}$ , which is an estimate of the data symbol stream  $\{s_\ell\}$  just recovered. The receiving entity then performs spatial processing on the remodulated symbol stream with steering matrices  $\underline{V}(m)$  and further multiplies the result with channel response matrices  $\underline{H}(m)$  to obtain  $N_R$  interference components  $\underline{i}^\ell(m)$  caused by stream  $\{s_\ell\}$ . The receiving entity then subtracts the  $N_R$

interference components  $\underline{\mathbf{i}}^\ell(m)$  from the  $N_R$  input symbol streams  $\underline{\mathbf{r}}_p^\ell(m)$  for the current stage  $\ell$  to obtain  $N_R$  input symbol streams  $\underline{\mathbf{r}}_p^{\ell+1}(m)$  for the next stage, or  $\underline{\mathbf{r}}_p^{\ell+1}(m) = \underline{\mathbf{r}}_p^\ell(m) - \underline{\mathbf{i}}^\ell(m)$ . The input symbol streams  $\underline{\mathbf{r}}_p^{\ell+1}(m)$  represent the streams that the receiving entity would have received if the data symbol stream  $\{s_\ell\}$  had not been transmitted, assuming that the interference cancellation was effectively performed. The receiving entity then repeats the same processing on the  $N_R$  input symbol streams  $\underline{\mathbf{r}}_p^{\ell+1}(m)$  to recover another data stream. However, the effective channel response matrix  $\underline{\mathbf{H}}_{p\_eff}^{\ell+1}(m)$  for the subsequent stage  $\ell+1$  is reduced by one column corresponding to the data symbol stream  $\{s_\ell\}$  recovered in stage  $\ell$ .

[0042] For the SIC technique, the SNR of each data symbol stream is dependent on (1) the receiver processing technique (e.g., CCMI or MMSE) used for each stage, (2) the specific stage in which the data symbol stream is recovered, and (3) the amount of interference due to the data symbol streams recovered in later stages. In general, the SNR progressively improves for data symbol streams recovered in later stages because the interference from data symbol streams recovered in prior stages is canceled. This may then allow higher rates to be used for data symbol streams recovered in later stages.

[0043] Table 2 summarizes the spatial processing at the transmitting and receiving entities for partial-CSI transmission with steering transmit diversity. For simplicity, the SIC technique is not shown in Table 2.

Table 2

Entity	Uncalibrated Mode - Partial-CSI Transmission	
Transmitter	$\underline{\mathbf{x}}_p(m) = \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m)$	Spatial Processing
	$\underline{\mathbf{H}}_{p\_eff}(m) = \underline{\mathbf{H}}(m) \cdot \underline{\mathbf{V}}(m)$	Effective Channel
Receiver CCMI	$\underline{\mathbf{M}}_{ccmi}(m) = [\underline{\mathbf{H}}_{p\_eff}^H(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m)]^{-1} \cdot \underline{\mathbf{H}}_{p\_eff}^H(m)$	Spatial Filter Matrix
	$\hat{\underline{\mathbf{s}}}_{ccmi}(m) = \underline{\mathbf{M}}_{ccmi}(m) \cdot \underline{\mathbf{r}}_p(m)$	Spatial Processing

<b>Receiver MMSE</b>	$\underline{\mathbf{M}}_{p\_mmse}(m) = [\underline{\mathbf{H}}_{p\_eff}^H(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}_{p\_eff}^H(m)$ $\underline{\mathbf{D}}_{p\_mmse}(m) = \text{diag} [\underline{\mathbf{M}}_{p\_mmse}(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m)]$	Spatial Filter Matrix
	$\hat{\underline{\mathbf{s}}}_{p\_mmse}(m) = \underline{\mathbf{D}}_{p\_mmse}^{-1}(m) \cdot \underline{\mathbf{M}}_{p\_mmse}(m) \cdot \underline{\mathbf{r}}_p(m)$	Spatial Processing

[0044] **FIG. 2** shows a model for data transmission with steering transmit diversity. Transmitting entity 110 performs spatial processing (or spatial spreading) for steering transmit diversity (block 220) and spatial processing for either full-CSI or partial-CSI transmission (block 230). Receiving entity 150 performs receiver spatial processing for full-CSI or partial-CSI transmission (block 260) and receiver spatial processing (or spatial despreading) for steering transmit diversity (block 270). As shown in FIG. 2, the transmitting entity performs spatial spreading for steering transmit diversity prior to the spatial processing (if any) for full-CSI and partial-CSI transmission. The receiving entity may perform the complementary receiver spatial processing for full-CSI or partial-CSI transmission followed by spatial despreading for steering transmit diversity.

### **3. Spatial Filter Matrix Computation**

[0045] With steering transmit diversity, different steering matrices  $\underline{\mathbf{V}}(m)$  may be used for different transmission spans to randomize the effective MIMO channel observed by a data transmission. This may then improve performance since the data transmission does not observe a “bad” MIMO channel realization for an extended period of time. The transmission spans may correspond to symbol periods for a single-carrier MIMO system or subbands for a multi-carrier MIMO system.

[0046] **FIG. 3A** shows a partial-CSI transmission with steering transmit diversity for a single-carrier MIMO system. For this system, the transmission span index  $m$  may be equal to a symbol period index  $n$  (or  $m = n$ ). One vector  $\underline{\mathbf{s}}(n)$  of data symbols may be transmitted in each symbol period  $n$  and spatially spread with a steering matrix  $\underline{\mathbf{V}}(n)$  selected for that symbol period. Each data symbol vector  $\underline{\mathbf{s}}(n)$  observes an effective MIMO channel response of  $\underline{\mathbf{H}}_{p\_eff}(n) = \underline{\mathbf{H}}(n) \cdot \underline{\mathbf{V}}(n)$  and is recovered using a spatial filter matrix  $\underline{\mathbf{M}}_x(n)$ .

[0047] **FIG. 3B** shows a partial-CSI transmission with steering transmit diversity in a multi-carrier MIMO system. For this system, the transmission span index  $m$  may be

equal to a subband index  $k$  (or  $m = k$ ). For each symbol period, one vector  $\underline{s}(k)$  of data symbols may be transmitted in each subband  $k$  and spatially spread with a steering matrix  $\underline{V}(k)$  selected for that subband. Each data symbol vector  $\underline{s}(k)$  observes an effective MIMO channel response of  $\underline{H}_{p\_eff}(k) = \underline{H}(k) \cdot \underline{V}(k)$  and is recovered using a spatial filter matrix  $\underline{M}_x(k)$ . The vector  $\underline{s}(k)$  and the matrices  $\underline{V}(k)$ ,  $\underline{H}(k)$ , and  $\underline{M}_x(k)$  are also a function of symbol period  $n$ , but this is not shown for simplicity.

[0048] As shown in FIGS. 3A and 3B, if different steering matrices are used for different transmission spans, then the spatial filter matrices used by the receiving entity are a function of the transmission span index  $m$ . This is true even if the channel response matrix  $\underline{H}(m)$  is fixed or constant over a range of transmission spans. For example, in a multi-carrier MIMO system,  $\underline{H}(k)$  may be fixed across a set of subbands for a flat fading MIMO channel with a flat frequency response. As another example, in a single-carrier MIMO system,  $\underline{H}(n)$  may be fixed over a given time interval for a MIMO channel with no temporal fading. This time interval may correspond to all or a portion of the time duration used to transmit a block of data symbols that is coded and decoded as a block.

[0049] A degree of correlation typically exists between the channel response matrices for adjacent transmission spans, e.g., between  $\underline{H}(m)$  and  $\underline{H}(m \pm 1)$ . This correlation may be exploited to simplify the computation for the spatial filter matrices at the receiving entity. The computation is described below for two cases – full-correlation and partial-correlation.

#### **A. Full Correlation**

[0050] With full-correlation, the channel response matrix for the MIMO channel is fixed over a range of transmission span indices of interest, e.g., for  $m = 1 \dots M$ , where  $M$  may be any integer value greater than one. Thus,  $\underline{H}(1) = \underline{H}(2) = \dots = \underline{H}(M) = \underline{H}$ .

[0051] For the full-CSI technique, the spatial filter matrix  $\underline{M}_{fcsi}(m)$  with fully correlated channel response matrices may be expressed as:

$$\underline{M}_{fcsi}(m) = \underline{V}^H(m) \cdot \underline{\Lambda}^{-1} \cdot \underline{E}^H \cdot \underline{H}^H. \quad \text{Eq (17)}$$

The spatial filter matrix  $\underline{M}_{fcsi}(m)$  may then be computed as:

$$\underline{\mathbf{M}}_{fcsi}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{fcsi\_base} , \quad \text{for } m = 1 \dots M , \quad \text{Eq (18)}$$

where  $\underline{\mathbf{M}}_{fcsi\_base} = \underline{\Lambda}^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H$  is a base spatial filter matrix, which is the spatial filter matrix for the full-CSI technique without steering transmit diversity. The base spatial filter matrix  $\underline{\mathbf{M}}_{fcsi\_base}$  is not a function of transmission span  $m$  because the channel response matrix  $\underline{\mathbf{H}}$  is fixed. Equation (18) indicates that the spatial filter matrix  $\underline{\mathbf{M}}_{fcsi}(m)$  for each transmission span  $m$  may be obtained by pre-multiplying the base spatial filter matrix  $\underline{\mathbf{M}}_{fcsi\_base}$  with the steering matrix  $\underline{\mathbf{V}}^H(m)$  used for that transmission span.

[0052] Alternatively, the spatial filter matrix  $\underline{\mathbf{M}}_{fcsi}(m)$  may be computed as:

$$\underline{\mathbf{M}}_{fcsi}(m) = \underline{\mathbf{W}}_1(m) \cdot \underline{\mathbf{M}}_{fcsi}(1) , \quad \text{for } m = 2 \dots M , \quad \text{Eq (19)}$$

where  $\underline{\mathbf{M}}_{fcsi}(1) = \underline{\mathbf{V}}^H(1) \cdot \underline{\Lambda}^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H$  and  $\underline{\mathbf{W}}_1(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{V}}(1)$ . Equation (19) indicates that the spatial filter matrix  $\underline{\mathbf{M}}_{fcsi}(m)$  for each transmission span  $m$  may be obtained by pre-multiplying the spatial filter matrix  $\underline{\mathbf{M}}_{fcsi}(1)$  for transmission span 1 with the matrix  $\underline{\mathbf{W}}_1(m)$ . The matrices  $\underline{\mathbf{W}}_1(m)$ , for  $m = 2 \dots M$ , are unitary matrices, each of which is obtained by multiplying two unitary steering matrices  $\underline{\mathbf{V}}(m)$  and  $\underline{\mathbf{V}}(1)$ . The matrices  $\underline{\mathbf{W}}_1(m)$  may be pre-computed and stored in a memory.

[0053] For the MMSE technique for full-CSI transmission, the spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse}(m)$  with fully correlated channel response matrices may be expressed as:

$$\begin{aligned} \underline{\mathbf{M}}_{f\_mmse}(m) &= [\underline{\mathbf{H}}_{f\_eff}^H(m) \cdot \underline{\mathbf{H}}_{f\_eff}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}_{f\_eff}^H(m) , \\ &= [\underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} \cdot \underline{\mathbf{V}}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H , \quad \text{Eq (20)} \\ &= \underline{\mathbf{V}}^H(m) \cdot [\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H . \end{aligned}$$

Equation (20) is derived using the properties:  $(\underline{\mathbf{A}} \cdot \underline{\mathbf{B}})^{-1} = \underline{\mathbf{B}}^{-1} \cdot \underline{\mathbf{A}}^{-1}$  and  $\underline{\mathbf{V}} \cdot \underline{\mathbf{V}}^H = \underline{\mathbf{I}}$ . The term within bracket in the second equality in equation (20) may be expressed as:

$$\begin{aligned}
 [\underline{\mathbf{V}}^H \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} \cdot \underline{\mathbf{V}} + \sigma^2 \cdot \underline{\mathbf{I}}] &= [\underline{\mathbf{V}}^H (\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{V}} \cdot \underline{\mathbf{I}} \cdot \underline{\mathbf{V}}^H) \cdot \underline{\mathbf{V}}] , \\
 &= [\underline{\mathbf{V}}^H (\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}}) \cdot \underline{\mathbf{V}}] ,
 \end{aligned}$$

where “ $(m)$ ” has been omitted for clarity. The inverse of the term in the second equality above may then be expressed as:

$$[\underline{\mathbf{V}}^H (\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}}) \cdot \underline{\mathbf{V}}]^{-1} = [\underline{\mathbf{V}}^H (\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}})^{-1} \cdot \underline{\mathbf{V}}] ,$$

where  $\underline{\mathbf{V}}^H = \underline{\mathbf{V}}^{-1}$ .

[0054] The spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse}(m)$  may be computed as:

$$\underline{\mathbf{M}}_{f\_mmse}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{f\_mmse\_base} , \quad \text{for } m = 1 \dots M , \quad \text{Eq (21)}$$

where  $\underline{\mathbf{M}}_{f\_mmse\_base} = [\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H$ . Similar to the full-CSI technique, the spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse}(m)$  for transmission span  $m$  may be obtained by pre-multiplying the base spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse\_base}$  with the steering matrix  $\underline{\mathbf{V}}^H(m)$ . The spatial filter matrix  $\underline{\mathbf{M}}_{f\_mmse}(m)$  may also be computed as:

$$\underline{\mathbf{M}}_{f\_mmse}(m) = \underline{\mathbf{W}}_1(m) \cdot \underline{\mathbf{M}}_{f\_mmse}(1) , \quad \text{for } m = 2 \dots M , \quad \text{Eq (22)}$$

where  $\underline{\mathbf{M}}_{f\_mmse}(1) = \underline{\mathbf{V}}^H(1) \cdot [\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H$ .

[0055] For the CCMI technique, the spatial filter matrix  $\underline{\mathbf{M}}_{ccmi}(m)$  with fully correlated channel response matrices may be expressed as:

$$\begin{aligned}
 \underline{\mathbf{M}}_{ccmi}(m) &= [\underline{\mathbf{H}}_{p\_eff}^H(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m)]^{-1} \cdot \underline{\mathbf{H}}_{p\_eff}^H(m) , \\
 &= [\underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{V}}(m)]^{-1} \cdot \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{H}}^H , \\
 &= [\underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{R}} \cdot \underline{\mathbf{V}}(m)]^{-1} \cdot \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{H}}^H , \quad \text{Eq (23)} \\
 &= \underline{\mathbf{V}}^{-1}(m) \cdot \underline{\mathbf{R}}^{-1} \cdot [\underline{\mathbf{V}}^H(m)]^{-1} \cdot \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{H}}^H , \\
 &= \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{R}}^{-1} \cdot \underline{\mathbf{H}}^H ,
 \end{aligned}$$

where  $[\underline{\mathbf{V}}^H(m)]^{-1} = \underline{\mathbf{V}}(m)$  because  $\underline{\mathbf{V}}(m)$  is a unitary matrix.

[0056] The spatial filter matrix  $\underline{\mathbf{M}}_{ccmi}(m)$  may thus be computed as:

$$\underline{\mathbf{M}}_{ccmi}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{ccmi\_base} , \quad \text{for } m = 1 \dots M , \quad \text{Eq (24)}$$

where  $\underline{\mathbf{M}}_{ccmi\_base} = \underline{\mathbf{R}}^{-1} \cdot \underline{\mathbf{H}}^H$ . The spatial filter matrix  $\underline{\mathbf{M}}_{ccmi}(m)$  may also be computed as:

$$\underline{\mathbf{M}}_{ccmi}(m) = \underline{\mathbf{W}}_1(m) \cdot \underline{\mathbf{M}}_{ccmi}(1) , \quad \text{for } m = 2 \dots M , \quad \text{Eq (25)}$$

where  $\underline{\mathbf{M}}_{ccmi}(1) = \underline{\mathbf{V}}^H(1) \cdot \underline{\mathbf{R}}^{-1} \cdot \underline{\mathbf{H}}^H$ .

[0057] For the MMSE technique for partial-CSI transmission, the spatial filter matrix  $\underline{\mathbf{M}}_{p\_mmse}(m)$  with fully correlated channel response matrices may be expressed as:

$$\begin{aligned} \underline{\mathbf{M}}_{p\_mmse}(m) &= [\underline{\mathbf{H}}_{p\_eff}^H(m) \cdot \underline{\mathbf{H}}_{p\_eff}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}_{p\_eff}^H(m) , \\ &= [\underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{V}}(m) + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{H}}^H , \\ &= \underline{\mathbf{V}}^H(m) \cdot [\underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}^H . \end{aligned} \quad \text{Eq (26)}$$

Equation (26) may be derived in similar manner as equation (20) above.

[0058] The spatial filter matrix  $\underline{\mathbf{M}}_{p\_mmse}(m)$  may be computed as:

$$\underline{\mathbf{M}}_{p\_mmse}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{p\_mmse\_base} , \quad \text{for } m = 1 \dots M , \quad \text{Eq (27)}$$

where  $\underline{\mathbf{M}}_{p\_mmse\_base} = [\underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}^H$ . The spatial filter matrix  $\underline{\mathbf{M}}_{p\_mmse}(m)$  may also be computed as:

$$\underline{\mathbf{M}}_{p\_mmse}(m) = \underline{\mathbf{W}}_1(m) \cdot \underline{\mathbf{M}}_{p\_mmse}(1) , \quad \text{for } m = 2 \dots M , \quad \text{Eq (28)}$$

where  $\underline{\mathbf{M}}_{p\_mmse}(1) = \underline{\mathbf{V}}^H(1) \cdot [\underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}^H$ .

[0059] Table 3 summarizes the computation for the spatial filter matrices for full-CSI and partial-CSI transmissions with fully correlated channel response matrices over transmission spans  $m = 1 \dots M$ .

Table 3 – Spatial Filter Matrices with Full Correlation

Mode	Spatial Filter Matrix	Technique
Full-CSI	$\underline{\mathbf{M}}_{fcsi\_base} = \underline{\Lambda}^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H$ , and $\underline{\mathbf{M}}_{fcsi}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{fcsi\_base}$	Full-CSI
	$\underline{\mathbf{M}}_{f\_mmse\_base} = [\underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} \cdot \underline{\mathbf{E}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{E}}^H \cdot \underline{\mathbf{H}}^H$ , and $\underline{\mathbf{M}}_{f\_mmse\_base}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{f\_mmse\_base}$	MMSE
Partial-CSI	$\underline{\mathbf{M}}_{ccmi\_base} = \underline{\mathbf{R}}^{-1} \cdot \underline{\mathbf{H}}^H$ , and $\underline{\mathbf{M}}_{ccmi}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{ccmi\_base}$	CCMI
	$\underline{\mathbf{M}}_{p\_mmse\_base} = [\underline{\mathbf{H}}^H \cdot \underline{\mathbf{H}} + \sigma^2 \cdot \underline{\mathbf{I}}]^{-1} \cdot \underline{\mathbf{H}}^H$ , and $\underline{\mathbf{M}}_{p\_mmse}(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{p\_mmse\_base}$	MMSE

[0060] In general, the spatial filter matrix for transmission span  $m$  may be computed as  $\underline{\mathbf{M}}_x(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{x\_base}$ , where the subscript “ $x$ ” denotes the receiver processing technique and may be “ $fcsi$ ”, “ $f\_mmse$ ”, “ $ccmi$ ”, or “ $p\_mmse$ ”. The base spatial filter matrix  $\underline{\mathbf{M}}_{x\_base}$  may be computed as if steering transmit diversity was not used.

[0061] FIG. 4 shows a flow diagram of a process 400 to compute spatial filter matrices with fully correlated channel response matrices over transmission spans  $m = 1 \dots M$ . An initial spatial filter matrix  $\underline{\mathbf{M}}_{x\_init}$  is first computed (block 412). This initial spatial filter matrix may be the base spatial filter matrix  $\underline{\mathbf{M}}_{x\_base}$  that is derived based on (1) the channel response matrix  $\underline{\mathbf{H}}$  and (2) the receiver processing technique selected for use (e.g., full-CSI, MMSE for full-CSI, CCMI, or MMSE for partial-CSI). Alternatively, the initial spatial filter matrix may be the spatial filter matrix  $\underline{\mathbf{M}}_x(1)$  for transmission span  $m = 1$ , which may be derived based on  $\underline{\mathbf{H}}$  and  $\underline{\mathbf{V}}(1)$ .

[0062] The transmission span index  $m$  is then set to 1 if  $\underline{\mathbf{M}}_{x\_init} = \underline{\mathbf{M}}_{x\_base}$  (as shown in FIG. 4) or set to 2 if  $\underline{\mathbf{M}}_{x\_init} = \underline{\mathbf{M}}_x(1)$  (block 414). The spatial filter matrix  $\underline{\mathbf{M}}_x(m)$  for transmission span  $m$  is then computed based on the initial spatial filter matrix  $\underline{\mathbf{M}}_{x\_init}$  and the steering matrix  $\underline{\mathbf{V}}(m)$  used for transmission span  $m$  (block 416). In particular,  $\underline{\mathbf{M}}_x(m)$  may be computed based on either  $\underline{\mathbf{M}}_{x\_base}$  and  $\underline{\mathbf{V}}(m)$  or  $\underline{\mathbf{M}}_x(1)$  and  $\underline{\mathbf{W}}_1(m)$ , as described above. A determination is then made whether  $m < M$  (block 420). If the

answer is ‘yes, then the index  $m$  is incremented (block 422), and the process returns to block 416 to compute the spatial filter matrix for another transmission span. Otherwise, if  $m = M$  in block 420, then the spatial filter matrices  $\underline{\mathbf{M}}_x(1)$  through  $\underline{\mathbf{M}}_x(M)$  are used for receiver spatial processing of received symbol vectors  $\underline{\mathbf{r}}_x(1)$  through  $\underline{\mathbf{r}}_x(M)$ , respectively (block 424). Although not shown in FIG. 4 for simplicity, each spatial filter matrix may be used for receiver spatial processing as soon as both the spatial filter matrix  $\underline{\mathbf{M}}_x(m)$  is generated and the received symbol vector  $\underline{\mathbf{r}}_x(m)$  are obtained.

[0063] For full-CSI transmission, the spatial processing at the transmitting entity may also be simplified as:  $\underline{\mathbf{x}}_f(m) = \underline{\mathbf{E}} \cdot \underline{\mathbf{V}}(m) \cdot \underline{\mathbf{s}}(m)$ . A matrix  $\underline{\mathbf{E}} \cdot \underline{\mathbf{V}}(m)$  may be computed for each transmission span  $m$  based on the steering matrix  $\underline{\mathbf{V}}(m)$  for that transmission span and the matrix  $\underline{\mathbf{E}}$ , which is not a function of transmission span for the full correlation case.

### B. Partial Correlation

[0064] With partial-correlation, the channel response matrices for the MIMO channel are less than fully correlated across a range of transmission span indices of interest. In this case, a spatial filter matrix computed for a transmission span  $\ell$  may be used to facilitate the computation of a spatial filter matrix for another transmission span  $m$ .

[0065] In an embodiment, a base spatial filter matrix  $\underline{\mathbf{M}}_{x\_base}(\ell)$  for transmission span  $\ell$  is obtained from a spatial filter matrix  $\underline{\mathbf{M}}_x(\ell)$  computed for transmission span  $\ell$  by removing the steering matrix  $\underline{\mathbf{V}}(\ell)$  used for transmission span  $\ell$ , as follows:

$$\underline{\mathbf{M}}_{x\_base}(\ell) = \underline{\mathbf{V}}(\ell) \cdot \underline{\mathbf{M}}_x(\ell) . \quad \text{Eq (29)}$$

The base spatial filter matrix  $\underline{\mathbf{M}}_{x\_base}(\ell)$  is then used to derive a base spatial filter matrix  $\underline{\mathbf{M}}_{x\_base}(m)$  for transmission span  $m$  (e.g.,  $m = \ell \pm 1$ ).  $\underline{\mathbf{M}}_{x\_base}(m)$  may be computed, e.g., using an iterative procedure or algorithm that iteratively performs a set of computations on  $\underline{\mathbf{M}}_{x\_base}(\ell)$  to obtain a final solution for  $\underline{\mathbf{M}}_{x\_base}(m)$ . Iterative procedures for computing an MMSE solution (e.g., adaptive MMSE algorithms, gradient algorithm, lattice algorithms, and so on) are known in the art and not described herein. The spatial filter matrix  $\underline{\mathbf{M}}_x(m)$  for transmission span  $m$  may be computed as:

$$\underline{\mathbf{M}}_x(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{M}}_{x\_base}(m) . \quad \text{Eq (30)}$$

The processing order for this embodiment may thus be given as:  $\underline{\mathbf{M}}_x(\ell) \rightarrow \underline{\mathbf{M}}_{x\_base}(\ell) \Rightarrow \underline{\mathbf{M}}_{x\_base}(m) \rightarrow \underline{\mathbf{M}}_x(m)$ , where “ $\rightarrow$ ” denotes a direct computation and “ $\Rightarrow$ ” denotes possible iterative computation. The base spatial filter matrices  $\underline{\mathbf{M}}_{x\_base}(\ell)$  and  $\underline{\mathbf{M}}_{x\_base}(m)$  do not contain steering matrices, whereas the spatial filter matrices  $\underline{\mathbf{M}}_x(\ell)$  and  $\underline{\mathbf{M}}_x(m)$  contain steering matrices  $\underline{\mathbf{V}}(\ell)$  and  $\underline{\mathbf{V}}(m)$  used for transmission spans  $\ell$  and  $m$ , respectively.

[0066] In another embodiment, the spatial filter matrix  $\underline{\mathbf{M}}_x(m)$  for transmission span  $m$  is computed using an iterative procedure that iteratively performs a set of computations on an initial guess  $\tilde{\underline{\mathbf{M}}}_x(m)$ . The initial guess may be derived from the spatial filter matrix  $\underline{\mathbf{M}}_x(\ell)$  derived for transmission span  $\ell$ , as follows:

$$\tilde{\underline{\mathbf{M}}}_x(m) = \underline{\mathbf{W}}_\ell(m) \cdot \underline{\mathbf{M}}_x(\ell) , \quad \text{Eq (31)}$$

where  $\underline{\mathbf{W}}_\ell(m) = \underline{\mathbf{V}}^H(m) \cdot \underline{\mathbf{V}}(\ell)$ . The processing order for this embodiment may be given as:  $\underline{\mathbf{M}}_x(\ell) \rightarrow \tilde{\underline{\mathbf{M}}}_x(m) \Rightarrow \underline{\mathbf{M}}_x(m)$ . The spatial filter matrices  $\tilde{\underline{\mathbf{M}}}_x(m)$  and  $\underline{\mathbf{M}}_x(m)$  both contain the steering matrix  $\underline{\mathbf{V}}(m)$  used for transmission span  $m$ .

[0067] For the above embodiments,  $\underline{\mathbf{M}}_{x\_base}(\ell)$  and  $\tilde{\underline{\mathbf{M}}}_x(m)$  may be viewed as the initial spatial filter matrices used to derive the spatial filter matrix  $\underline{\mathbf{M}}_x(m)$  for a new transmission span  $m$ . In general, the amount of correlation between  $\underline{\mathbf{M}}_x(\ell)$  and  $\underline{\mathbf{M}}_x(m)$  is dependent on the amount of correlation between  $\underline{\mathbf{M}}_{x\_base}(\ell)$  and  $\underline{\mathbf{M}}_{x\_base}(m)$ , which is dependent on the amount of correlation between  $\underline{\mathbf{H}}(\ell)$  and  $\underline{\mathbf{H}}(m)$  for transmission spans  $\ell$  and  $m$ . A higher degree of correlation may result in faster convergence to the final solution for  $\underline{\mathbf{M}}_x(\ell)$ .

[0068] FIG. 5 shows a flow diagram of a process 500 to compute spatial filter matrices with partially correlated channel response matrices for transmission spans  $m = 1 \dots M$ . The indices for the current and next transmission spans are initialized as  $\ell = 1$  and  $m = 2$  (block 512). A spatial filter matrix  $\underline{\mathbf{M}}_x(\ell)$  is computed for transmission span  $\ell$  in accordance with the receiver processing technique selected for use (block 514). An

initial spatial filter matrix  $\underline{\mathbf{M}}_{x\_init}$  for transmission span  $m$  is then computed based on the spatial filter matrix  $\underline{\mathbf{M}}_x(\ell)$  and the proper steering matrix/matrices  $\underline{\mathbf{V}}(\ell)$  and  $\underline{\mathbf{V}}(m)$ , e.g., as shown in equation (29) or (31) (block 516). The spatial filter matrix  $\underline{\mathbf{M}}_x(m)$  for transmission span  $m$  is then computed based on the initial spatial filter matrix  $\underline{\mathbf{M}}_{x\_init}$ , e.g., using an iterative procedure (block 518).

[0069] A determination is then made whether  $m < M$  (block 520). If the answer is 'yes', then the indices  $\ell$  and  $m$  are updated, e.g., as  $\ell = m$  and  $m = m + 1$  (block 522). The process then returns to block 516 to compute a spatial filter matrix for another transmission span. Otherwise, if all spatial filter matrices have been computed, as determined in block 520, then the spatial filter matrices  $\underline{\mathbf{M}}_x(1)$  through  $\underline{\mathbf{M}}_x(M)$  are used for receiver spatial processing of received symbol vectors  $\underline{\mathbf{r}}_x(1)$  through  $\underline{\mathbf{r}}_x(M)$ , respectively (block 524).

[0070] For simplicity, FIG. 5 shows the computation of  $M$  spatial filter matrices for  $M$  consecutive transmission spans  $m = 1 \dots M$ . The transmission spans do not need to be contiguous. In general, a spatial filter matrix derived for one transmission span  $\ell$  is used to obtain an initial guess of a spatial filter matrix for another transmission span  $m$ , where  $\ell$  and  $m$  may be any index values.

#### **4. Steering Matrices**

[0071] A set of steering matrices (or transmit matrices) may be generated and used for steering transmit diversity. These steering matrices may be denoted as  $\{\underline{\mathbf{V}}\}$ , or  $\underline{\mathbf{V}}(i)$  for  $i = 1 \dots L$ , where  $L$  may be any integer greater than one. Each steering matrix  $\underline{\mathbf{V}}(i)$  should be a unitary matrix. This condition ensures that the  $N_T$  data symbols transmitted simultaneously using  $\underline{\mathbf{V}}(i)$  have the same power and are orthogonal to one another after the spatial spreading with  $\underline{\mathbf{V}}(i)$ .

[0072] The set of  $L$  steering matrices may be generated in various manners. For example, the  $L$  steering matrices may be generated based on a unitary base matrix and a set of scalars. The base matrix may be used as one of the  $L$  steering matrices. The other  $L-1$  steering matrices may be generated by multiplying the rows of the base matrix with different combinations of scalars. Each scalar may be any real or complex

value. The scalars are selected to have unit magnitude so that steering matrices generated with these scalars are unitary matrices.

[0073] The base matrix may be a Walsh matrix. A  $2 \times 2$  Walsh matrix  $\underline{\mathbf{W}}_{2 \times 2}$  and a larger size Walsh matrix  $\underline{\mathbf{W}}_{2N \times 2N}$  may be expressed as:

$$\underline{\mathbf{W}}_{2 \times 2} = \begin{bmatrix} 1 & 1 \\ 1 & -1 \end{bmatrix} \quad \text{and} \quad \underline{\mathbf{W}}_{2N \times 2N} = \begin{bmatrix} \underline{\mathbf{W}}_{N \times N} & \underline{\mathbf{W}}_{N \times N} \\ \underline{\mathbf{W}}_{N \times N} & -\underline{\mathbf{W}}_{N \times N} \end{bmatrix}. \quad \text{Eq (32)}$$

Walsh matrices have dimensions that are powers of two (e.g., 2, 4, 8, and so on).

[0074] The base matrix may also be a Fourier matrix. For an  $N \times N$  Fourier matrix  $\underline{\mathbf{D}}_{N \times N}$ , the element  $d_{n,m}$  in the  $n$ -th row and  $m$ -th column of  $\underline{\mathbf{D}}_{N \times N}$  may be expressed as:

$$d_{n,m} = e^{-j2\pi \frac{(n-1)(m-1)}{N}}, \quad \text{for } n = \{1 \dots N\} \text{ and } m = \{1 \dots N\}. \quad \text{Eq (33)}$$

Fourier matrices of any square dimension (e.g., 2, 3, 4, 5, and so on) may be formed. Other matrices may also be used as the base matrix.

[0075] For an  $N \times N$  base matrix, each of rows 2 through  $N$  of the base matrix may be independently multiplied with one of  $K$  different possible scalars.  $K^{N-1}$  different steering matrices may be obtained from  $K^{N-1}$  different permutations of the  $K$  scalars for  $N-1$  rows. For example, each of rows 2 through  $N$  may be independently multiplied with a scalar of  $+1$ ,  $-1$ ,  $+j$ , or  $-j$ . For  $N=4$  and  $K=4$ , 64 different steering matrices may be generated from a  $4 \times 4$  base matrix with four different scalars. In general, each row of the base matrix may be multiplied with any scalar having the form  $e^{j\theta}$ , where  $\theta$  may be any phase value. Each element of a scalar-multiplied  $N \times N$  base matrix is further scaled by  $1/\sqrt{N}$  to obtain an  $N \times N$  steering matrix having unit power for each column.

[0076] Steering matrices derived based on a Walsh matrix (or a  $4 \times 4$  Fourier matrix) have certain desirable properties. If the rows of the Walsh matrix are multiplied with scalars of  $\pm 1$  and  $\pm j$ , then each element of a resultant steering matrix is  $+1$ ,  $-1$ ,  $+j$ , or  $-j$ . In this case, the multiplication of an element (or “weight”) of a spatial filter matrix with an element of the steering matrix may be performed with just bit manipulation. If the elements of the  $L$  steering matrices belong in a set composed of

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$\{+1, -1, +j, -j\}$ , then the computation to derive the spatial filter matrices for the full correlation case can be greatly simplified.

## 5. MIMO System

[0077] FIG. 6 shows a block diagram of an access point 610 and a user terminal 650 in a MIMO system 600. Access point 610 is equipped with  $N_{ap}$  antennas that may be used for data transmission and reception, and user terminal 650 is equipped with  $N_{ut}$  antennas, where  $N_{ap} > 1$  and  $N_{ut} > 1$ .

[0078] On the downlink, at access point 610, a TX data processor 620 receives and processes (encodes, interleaves, and symbol maps) traffic/packet data and control/overhead data and provides data symbols. A TX spatial processor 630 performs spatial processing on the data symbols with steering matrices  $\underline{V}(m)$  and possibly eigenvector matrices  $\underline{E}(m)$  for the downlink, e.g., as shown in Tables 1 and 2. TX spatial processor 630 also multiplexes in pilot symbols, as appropriate, and provides  $N_{ap}$  streams of transmit symbols to  $N_{ap}$  transmitter units 632a through 632ap. Each transmitter unit 632 receives and processes a respective transmit symbol stream and provides a corresponding downlink modulated signal.  $N_{ap}$  downlink modulated signals from transmitter units 632a through 632ap are transmitted from  $N_{ap}$  antennas 634a through 634ap, respectively.

[0079] At user terminal 650,  $N_{ut}$  antennas 652a through 652ut receive the transmitted downlink modulated signals, and each antenna provides a received signal to a respective receiver unit 654. Each receiver unit 654 performs processing complementary to that performed by transmitter unit 632 and provides received symbols. An RX spatial processor 660 performs receiver spatial processing on the received symbols from all  $N_{ut}$  receiver units 654a through 654ut, e.g., as shown in Tables 1 and 2, and provides detected data symbols. An RX data processor 670 processes (e.g., symbol demaps, deinterleaves, and decodes) the detected data symbols and provides decoded data for the downlink.

[0080] The processing for the uplink may be the same or different from the processing for the downlink. Traffic and control data is processed (e.g., encoded, interleaved, and symbol mapped) by a TX data processor 688, spatially processed by a TX spatial processor 690 with steering matrices  $\underline{V}(m)$  and possibly eigenvector matrices  $\underline{E}(m)$  for

the uplink, and multiplexed with pilot symbols to generate  $N_{ut}$  transmit symbol streams.  $N_{ut}$  transmitter units 654a through 654ut condition the  $N_{ut}$  transmit symbol streams to generate  $N_{ut}$  uplink modulated signals, which are transmitted via  $N_{ut}$  antennas 652a through 652ut.

[0081] At access point 610, the uplink modulated signals are received by  $N_{ap}$  antennas 634a through 634ap and processed by  $N_{ap}$  receiver units 632a through 632ap to obtain received symbols for the uplink. An RX spatial processor 644 performs receiver spatial processing on the received symbols and provides detected data symbols, which are further processed by an RX data processor 646 to obtain decoded data for the uplink.

[0082] Processors 638 and 678 perform channel estimation and spatial filter matrix computation for the access point and user terminal, respectively. Controllers 640 and 680 control the operation of various processing units at the access point and user terminal, respectively. Memory units 642 and 682 store data and program codes used by controllers 630 and 680, respectively.

[0083] FIG. 7 shows an embodiment of processor 678, which performs channel estimation and spatial filter matrix computation for user terminal 650. A channel estimator 712 obtains received pilot symbols and derives a channel response matrix for each transmission span in which received pilot symbols are available. A filter 714 may perform time-domain filtering of the channel response matrices for the current and prior transmission spans to obtain a higher quality channel response matrix  $\underline{H}(m)$ . A unit 716 then computes an initial spatial filter matrix  $\underline{M}_{x\_init}$ .

[0084] For fully correlated  $\underline{H}(m)$ , the initial spatial filter matrix  $\underline{M}_{x\_init}$  may be (1) a base spatial filter matrix  $\underline{M}_{x\_base}$  computed based on  $\underline{H}(m)$  and the selected receiver processing technique or (2) a spatial filter matrix  $\underline{M}_x(1)$  for transmission span 1 computed based on  $\underline{H}(1)$ ,  $\underline{V}(1)$ , and the selected receiver processing technique. For partially correlated  $\underline{H}(m)$ , the initial spatial filter matrix  $\underline{M}_{x\_init}$  may be an initial guess  $\underline{M}_{x\_base}(\ell)$  or  $\tilde{\underline{M}}_x(m)$  that is obtained based on a spatial filter matrix  $\underline{M}_x(\ell)$  computed for another transmission span  $\ell$ . A unit 718 computes the spatial filter matrix  $\underline{M}_x(m)$  for transmission span  $m$  based on the initial spatial filter matrix  $\underline{M}_{x\_init}$  and the steering matrix  $\underline{V}(m)$  used for that transmission span. For partially correlated  $\underline{H}(m)$ , unit 718

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may implement an iterative procedure to compute for  $\underline{\mathbf{M}}_x(m)$  based on the initial spatial filter matrix, which is an initial guess of  $\underline{\mathbf{M}}_x(m)$ .

[0085] Processor 638 performs channel estimation and spatial filter matrix computation for access point 610 and may be implemented in similar manner as processor 678.

[0086] The spatial filter matrix computation techniques described herein may be implemented by various means. For example, these techniques may be implemented in hardware, software, or a combination thereof. For a hardware implementation, the processing units for spatial filter matrix computation may be implemented within one or more application specific integrated circuits (ASICs), digital signal processors (DSPs), digital signal processing devices (DSPDs), programmable logic devices (PLDs), field programmable gate arrays (FPGAs), processors, controllers, micro-controllers, microprocessors, other electronic units designed to perform the functions described herein, or a combination thereof.

[0087] For a software implementation, the spatial filter matrix computation may be performed with modules (e.g., procedures, functions, and so on). The software codes may be stored in memory units (e.g., memory units 642 and 682 in FIG. 6) and executed by processors (e.g., controllers 640 and 680 in FIG. 6). The memory unit may be implemented within the processor or external to the processor, in which case it can be communicatively coupled to the processor via various means as is known in the art.

[0088] Headings are included herein for reference and to aid in locating certain sections. These headings are not intended to limit the scope of the concepts described therein under, and these concepts may have applicability in other sections throughout the entire specification.

[0089] The previous description of the disclosed embodiments is provided to enable any person skilled in the art to make or use the present invention. Various modifications to these embodiments will be readily apparent to those skilled in the art, and the generic principles defined herein may be applied to other embodiments.

Thus, the present invention is not intended to be limited to the embodiments shown herein but is to be accorded the widest scope consistent with the principles and novel features disclosed herein.

[0090] **WHAT IS CLAIMED IS:**

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CLAIMS:

1. A method of deriving spatial filter matrices in a wireless multiple-input multiple-output (MIMO) communication system, comprising:
  - determining an initial spatial filter matrix; and
- 5 deriving a plurality of spatial filter matrices for a plurality of time and/or frequency transmission spans based on the initial spatial filter matrix and a plurality of steering matrices used for the plurality of time and/or frequency transmission spans.
2. The method of claim 1, wherein the initial spatial filter matrix is determined based on an initial channel response matrix for a MIMO channel.
- 10 3. The method of claim 2, wherein the spatial filter matrix for each of the plurality of time and/or frequency transmission spans is derived based on the initial channel response matrix and a steering matrix used for the time and/or frequency transmission span.
4. The method of claim 2, wherein the initial spatial filter matrix is further determined based on a steering matrix for one of the plurality of time and/or frequency transmission spans.
- 15 5. The method of claim 4, wherein the spatial filter matrix for each of the plurality of time and/or frequency transmission spans is derived based on the initial channel response matrix, the steering matrix used to determine the initial spatial filter matrix, and a steering matrix used for the time and/or frequency transmission span.
6. The method of claim 2, wherein data is transmitted on orthogonal spatial channels of a MIMO channel, and wherein the initial channel response matrix is determined in accordance with a full channel state information (full-CSI) technique.
7. The method of claim 2, wherein data is transmitted on orthogonal spatial channels of a MIMO channel, and wherein the initial channel response matrix is determined in accordance with a minimum means square error (MMSE) technique.

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8. The method of claim 2, wherein data is transmitted on spatial channels of a MIMO channel, and wherein the initial channel response matrix is determined in accordance with a channel correlation matrix inversion (CCMI) technique.

9. The method of claim 2, wherein data is transmitted on spatial channels of a MIMO channel, and wherein the initial channel response matrix is determined in accordance with a minimum means square error (MMSE) technique.

10. The method of claim 1, wherein the plurality of steering matrices are used by a transmitting entity to spatially process data to achieve transmit diversity.

11. The method of claim 1, wherein elements of the plurality of steering matrices are members of a set comprised of +1, -1, +j, and -j, where j is a square root of -1.

12. The method of claim 1, wherein the plurality of time and/or frequency transmission spans correspond to a plurality of symbol periods.

13. The method of claim 1, wherein the plurality of time and/or frequency transmission spans correspond to a plurality of frequency subbands.

14. The method of claim 1, further comprising:

performing spatial processing on symbols received for the plurality of time and/or frequency transmission spans with the plurality of spatial filter matrices.

15. An apparatus in a wireless multiple-input multiple-output (MIMO) communication system, comprising:

a processor operative to determine an initial spatial filter matrix and to derive a plurality of spatial filter matrices for a plurality of time and/or frequency transmission spans based on the initial spatial filter matrix and a plurality of steering matrices used for the plurality of time and/or frequency transmission spans; and

25 a memory operative to store the plurality of steering matrices.

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16. The apparatus of claim 15, wherein the initial spatial filter matrix is determined based on an initial channel response matrix for a MIMO channel, and wherein the spatial filter matrix for each of the plurality of time and/or frequency transmission spans is derived based on the initial channel response matrix and a steering matrix used for the time and/or frequency transmission span.  
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17. The apparatus of claim 16, wherein the initial channel response matrix is determined in accordance with a full channel state information (full-CSI) technique, a minimum means square error (MMSE) technique, or a channel correlation matrix inversion (CCMI) technique.
- 10 18. The apparatus of claim 15, wherein elements of the plurality of steering matrices are members of a set comprised of +1, -1, +j, and -j, where j is a square root of -1.
19. The apparatus of claim 15, further comprising:
  - 15 a spatial processor operative to perform spatial processing on symbols received for the plurality of time and/or frequency transmission spans with the plurality of spatial filter matrices.
20. An apparatus in a wireless multiple-input multiple-output (MIMO) communication system, comprising:
  - means for determining an initial spatial filter matrix; and
  - 20 means for deriving a plurality of spatial filter matrices for a plurality of time and/or frequency transmission spans based on the initial spatial filter matrix and a plurality of steering matrices used for the plurality of time and/or frequency transmission spans.
21. The apparatus of claim 20, wherein the initial spatial filter matrix is determined based on an initial channel response matrix for a MIMO channel, and wherein the spatial filter matrix for each of the plurality of time and/or frequency

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transmission spans is derived based on the initial channel response matrix and a steering matrix used for the time and/or frequency transmission span.

22. The apparatus of claim 21, wherein the initial channel response matrix is determined in accordance with a full channel state information (full-CSI) technique, 5 a minimum mean square error (MMSE) technique, or a channel correlation matrix inversion (CCMI) technique.

23. The apparatus of claim 20, wherein elements of the plurality of steering matrices are members of a set comprised of +1, -1, +j, and -j, where j is a square root of -1.

10 24. The apparatus of claim 20, further comprising:

means for performing spatial processing on symbols received for the plurality of time and/or frequency transmission spans with the plurality of spatial filter matrices.

25. A method of transmitting data including a stream of symbols via a 15 multiple-input multiple-output (MIMO) channel, comprising:

deriving an initial spatial filter matrix based on both a channel response matrix and a selected receiver processing technique; and

20 performing spatial processing on the stream of symbols with a spatial filter based on the initial spatial filter matrix and with different steering matrices so that a data transmission observes a plurality of effective channels.

26. The method of claim 25, wherein the data transmission comprises a frame.

27. The method of claim 25, wherein the data transmission comprises a plurality of orthogonal frequency division multiplexing (OFDM) symbols.

28. The method of claim 25, comprising:

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determining a spatial filter matrix for each of a plurality of time and/or frequency transmission spans within a static range based on the initial spatial filter matrix, and a steering matrix used for each respective time and/or frequency transmission span; and

5 performing spatial processing using the spatial filter matrix determined for each of the plurality of time and/or frequency transmission spans during each of the plurality of time and/or frequency transmission spans.

29. The method of claim 25, comprising deriving a second spatial filter matrix based on the initial spatial filter matrix.

10 30. The method of claim 29, comprising deriving a third spatial filter matrix based on the second spatial filter matrix.

31. A computer-readable medium having stored thereon computer executable instructions for transmitting data including a stream of symbols via a multiple-input multiple-output (MIMO) channel, the instructions comprising code for:

15 deriving an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique; and

performing spatial processing using a spatial filter matrix based on the initial spatial filter matrix and with different steering matrices so that a data transmission observes a plurality of effective channels.

20 32. The computer-readable medium of claim 31, wherein the data transmission comprises a frame.

33. The computer-readable medium of claim 31, wherein the data transmission comprises a plurality of orthogonal frequency division multiplexing (OFDM) symbols.

25 34. The computer-readable medium of claim 31, further comprising instructions for:

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determining a spatial filter matrix for each of a plurality of time and/or frequency transmission spans within a static range based on the initial spatial filter matrix, and a steering matrix used for respective time and/or frequency transmission spans and

5 performing spatial processing using the spatial filter matrix determined for each of the plurality of time and/or frequency transmission spans during each of the plurality of time and/or frequency transmission spans.

35. The computer-readable medium of claim 31, further comprising instructions for deriving a second spatial filter matrix based on the initial spatial filter 10 matrix.

36. The computer-readable medium of claim 35, further comprising instructions for deriving a third spatial filter matrix based on the second spatial filter matrix.

37. An apparatus in a multiple-input multiple-output (MIMO) communication system, comprising:

15 means for deriving an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique; and

means for performing spatial processing with a spatial filter matrix derived from the initial spatial filter matrix and with different steering matrices to allow a data transmission to observe a plurality of effective channels.

20 38. The apparatus of claim 37, wherein the data transmission comprises a frame.

39. The apparatus of claim 37, wherein the data transmission comprises a plurality of orthogonal frequency division multiplexing (OFDM) symbols.

40. The apparatus of claim 37, further comprising means for determining a 25 spatial filter matrix for each of a plurality of time and/or frequency transmission spans

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within a static range based on the initial spatial filter matrix, and a steering matrix used for respective time and/or frequency transmission spans.

41. The apparatus of claim 37, further comprising means for deriving a second spatial filter matrix based on the initial spatial filter matrix.

5 42. The apparatus of claim 41, further comprising means for deriving a third spatial filter matrix based on the second spatial filter matrix.

43. An apparatus in a multiple-input multiple-output (MIMO) communication system, comprising:

10 a spatial processor configured to derive an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique, and perform spatial processing with a spatial filter matrix derived from the initial spatial filter matrix and with different steering matrices to allow a data transmission to observe a plurality of effective channels.

44. The apparatus of claim 43, wherein the data transmission comprises a 15 frame.

45. The apparatus of claim 43, wherein the data transmission comprises a plurality of orthogonal frequency division multiplexing (OFDM) symbols.

46. The apparatus of claim 43, further comprising a first spatial matrix computation processor configured to determine a spatial filter matrix for each of a 20 plurality of time and/or frequency transmission spans within a static range based on the initial spatial filter matrix, and a steering matrix used for each respective time and/or frequency transmission span.

47. The apparatus of claim 46, further comprising a second spatial matrix computation processor configured to derive a second spatial filter matrix based on 25 the initial spatial filter matrix.

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48. The apparatus of claim 47, further comprising a third spatial matrix computation processor configured to derive a third spatial filter matrix based on the second spatial filter matrix.
49. An apparatus in a multiple-input multiple-output (MIMO) communication system, comprising:
  - a module configured to derive an initial spatial filter matrix based on a channel response matrix and a selected receiver processing technique; and
  - a module configured to perform spatial processing with a spatial filter matrix derived from the initial spatial filter matrix and with different steering matrices to allow a data transmission to observe a plurality of effective channels.

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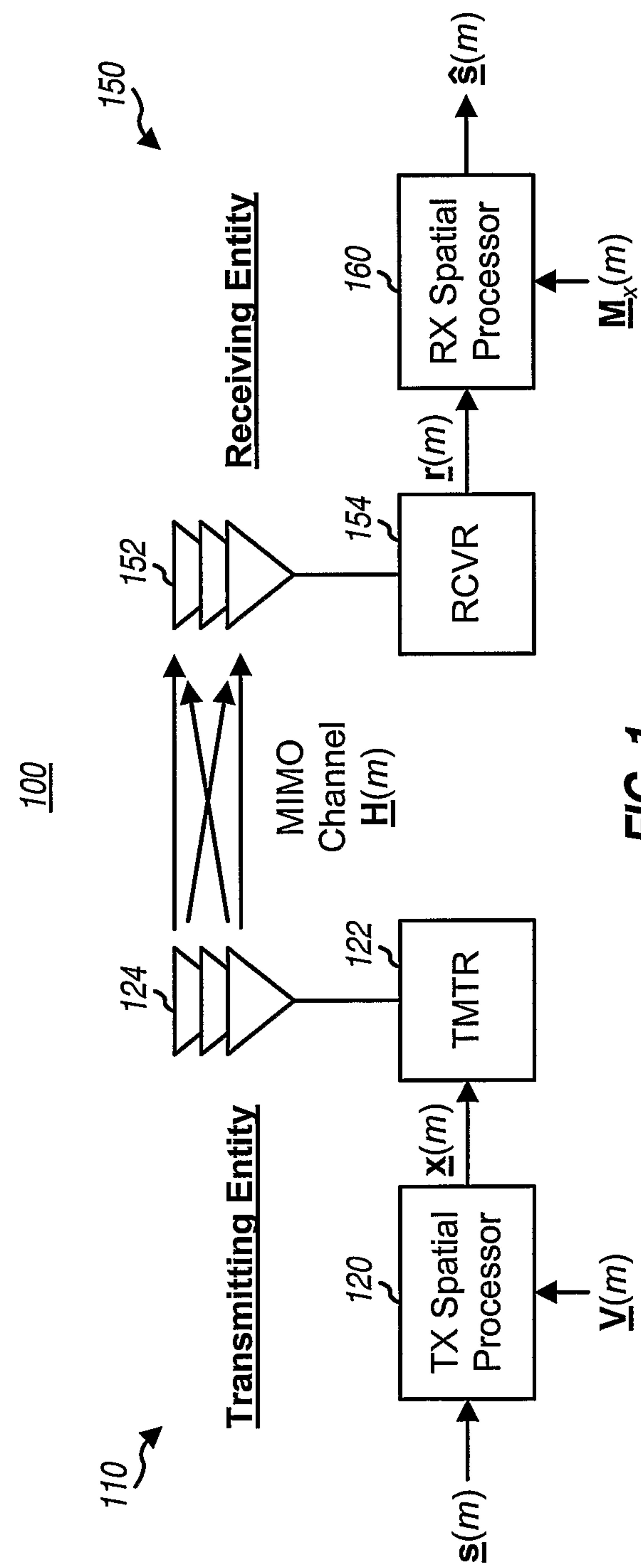
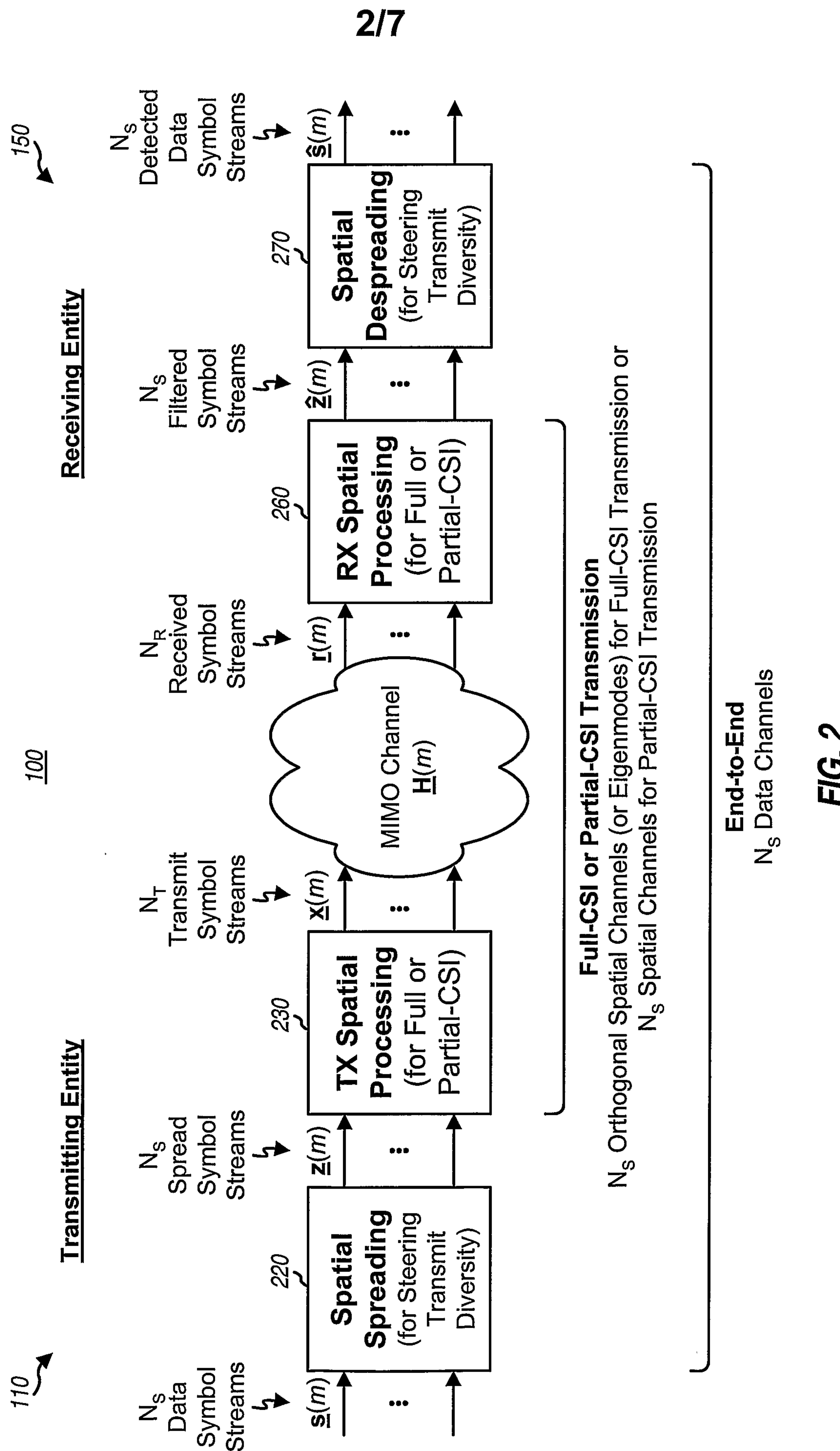


FIG. 1



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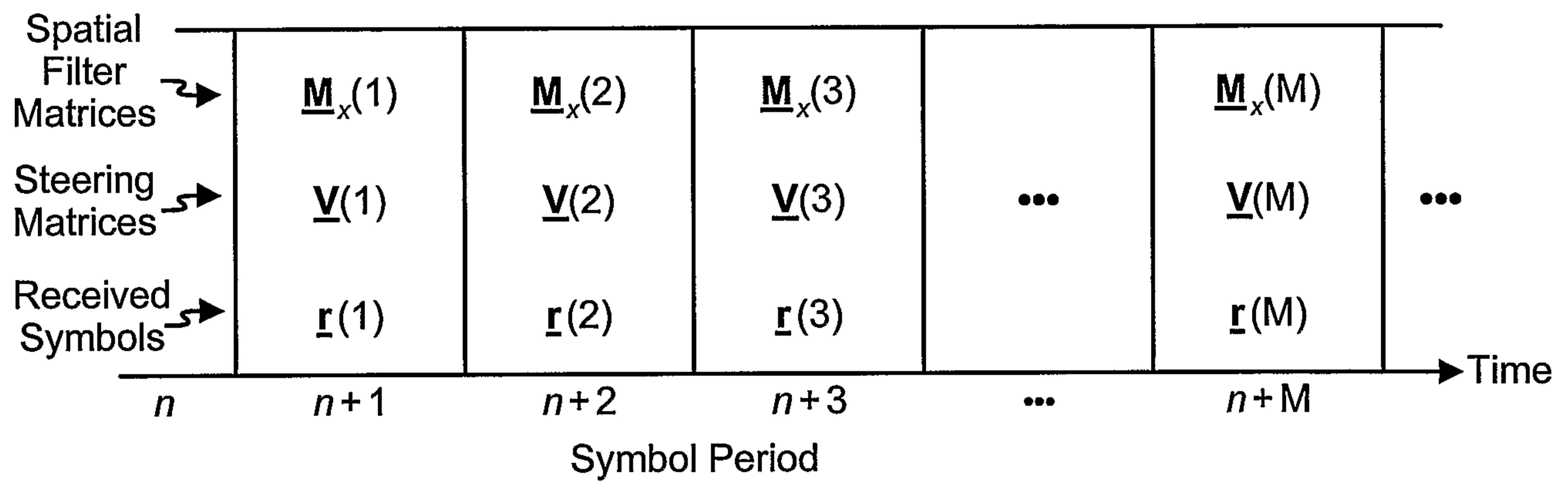


FIG. 3A

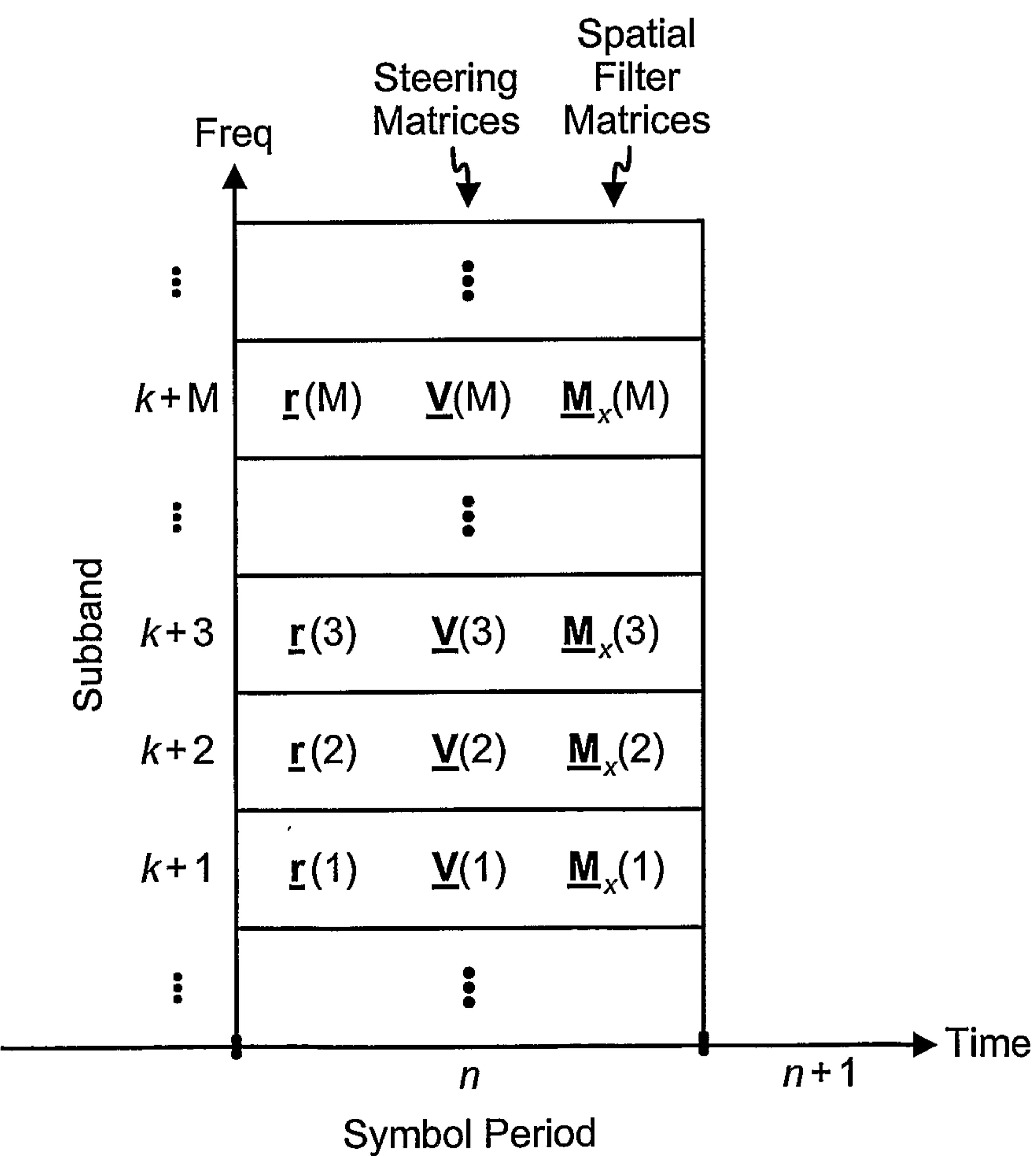


FIG. 3B

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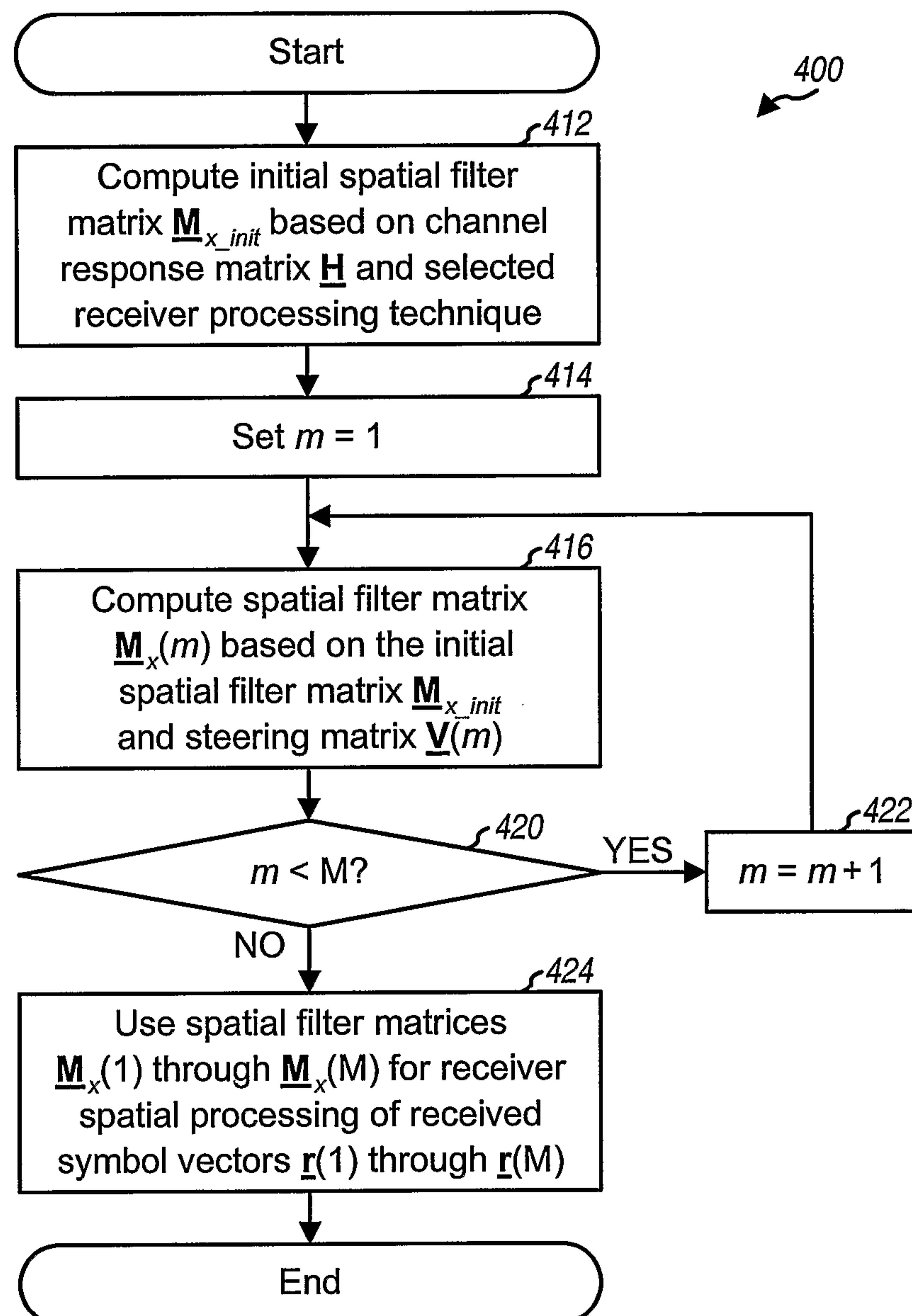


FIG. 4

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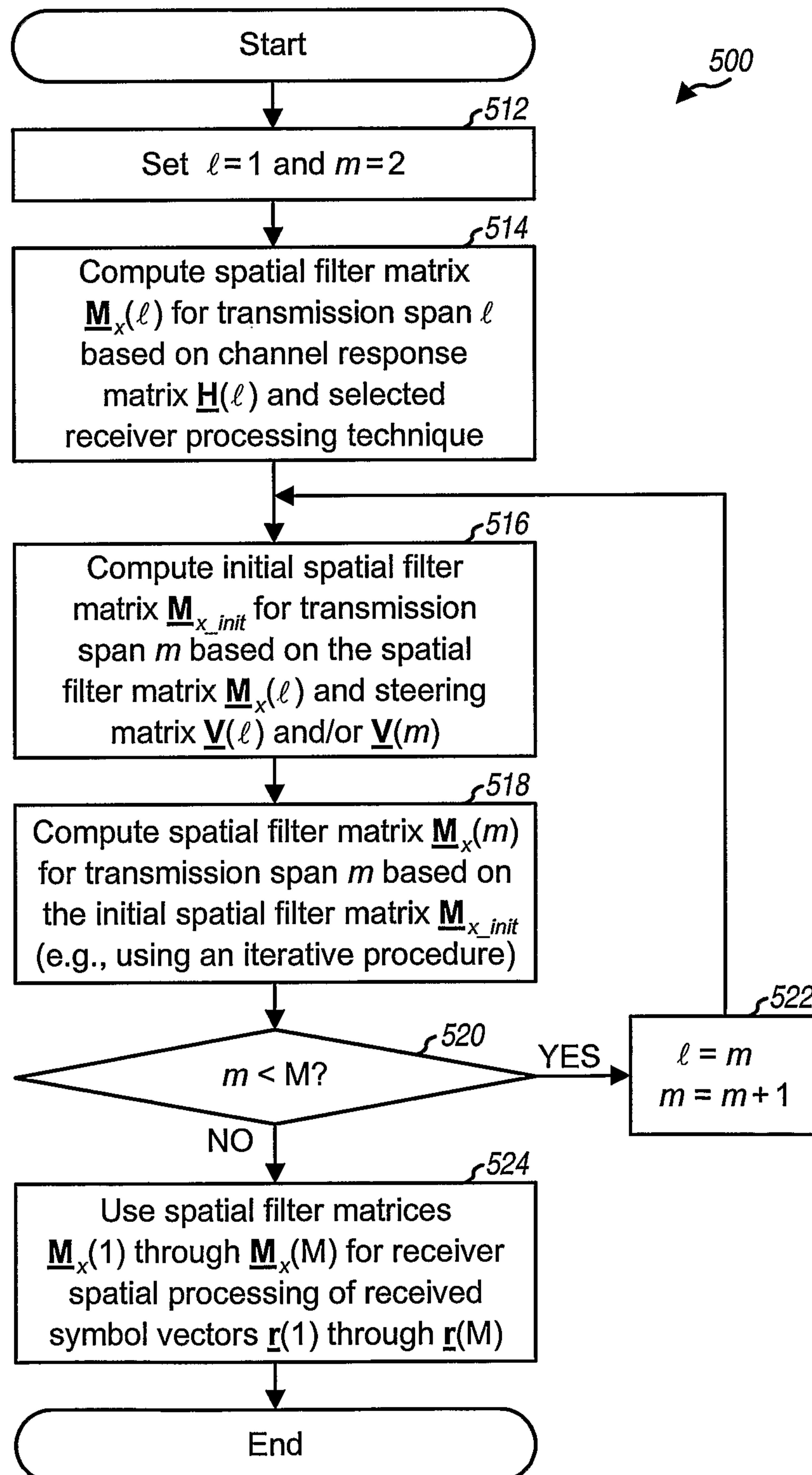
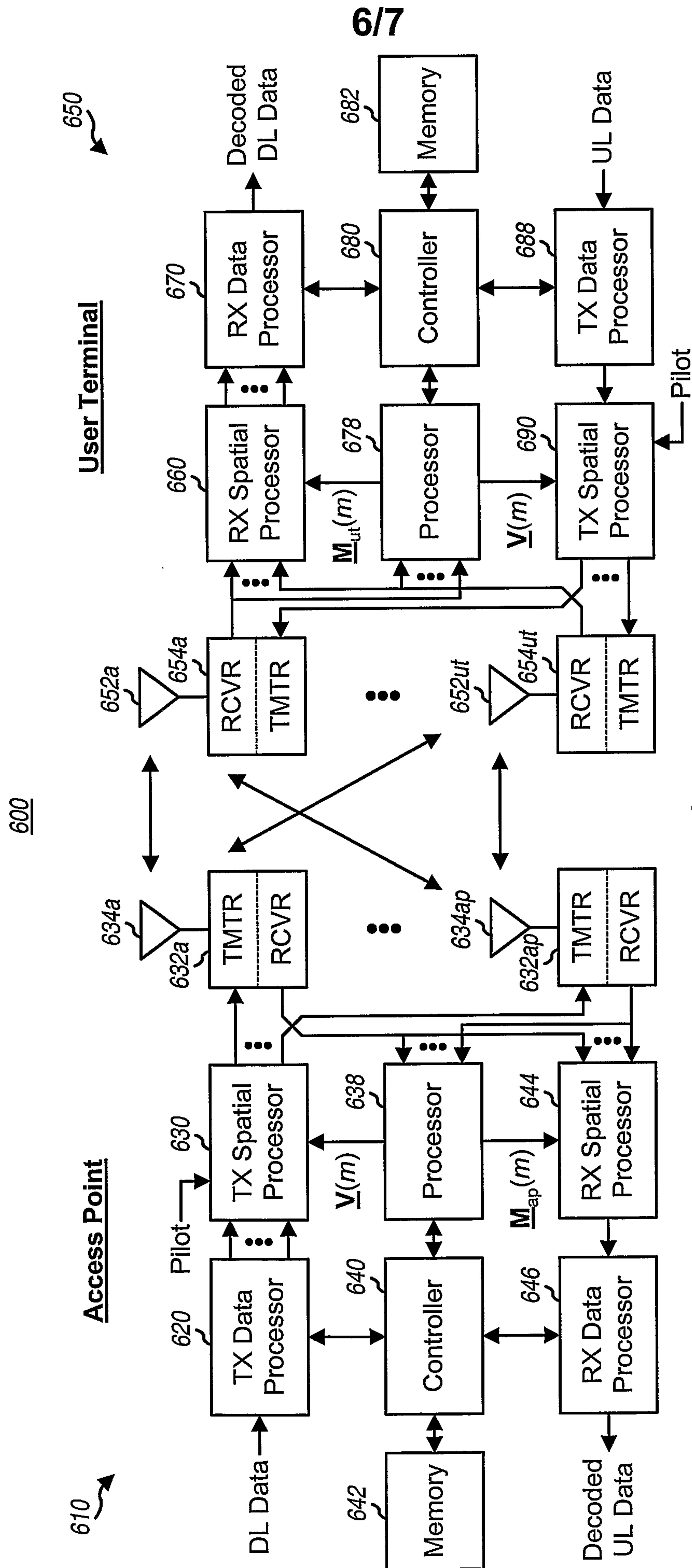


FIG. 5



**FIG. 6**

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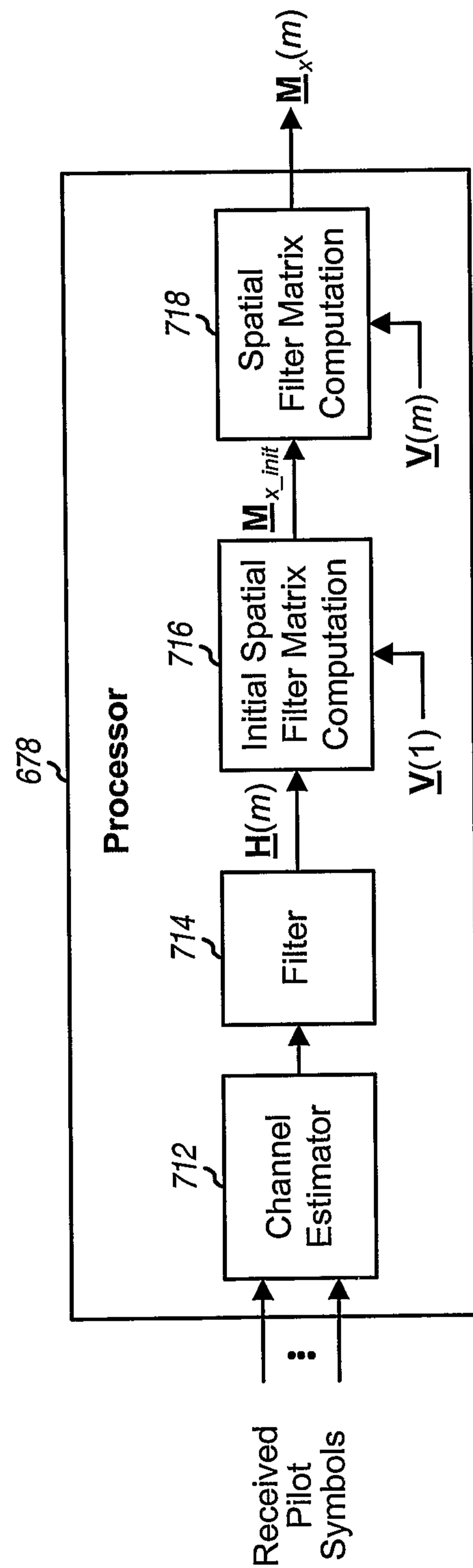


FIG. 7

Start

400

Compute initial spatial filter matrix  $\underline{M}_{x\_init}$  based on channel response matrix  $\underline{H}$  and selected receiver processing technique

412

Set  $m = 1$

414

Compute spatial filter matrix  $\underline{M}_x(m)$  based on the initial spatial filter matrix  $\underline{M}_{x\_init}$  and steering matrix  $\underline{V}(m)$

416

$m < M?$

420

YES

422

$m = m + 1$

NO

424

Use spatial filter matrices  $\underline{M}_x(1)$  through  $\underline{M}_x(M)$  for receiver spatial processing of received symbol vectors  $\underline{r}(1)$  through  $\underline{r}(M)$

End