

UNIVERSITY OF TECHNOLOGY SYDNEY  
Faculty of Engineering and Information Technology

**Fast and Accurate Estimation of Angle-of-arrival  
in Millimetre-wave Large-scale Hybrid Arrays**

by

**Kai Wu**

A THESIS SUBMITTED  
IN PARTIAL FULFILLMENT OF THE  
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## Certificate of Authorship/Originality

I, Kai Wu declare that this thesis, is submitted in fulfilment of the requirements for the award of doctor of philosophy, in the Faculty of Engineering and Information Technology at the University of Technology Sydney. This thesis is wholly my own work unless otherwise reference or acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis. I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of the requirements for a degree except as fully acknowledged within the text. This thesis is the result of a research candidature jointly delivered with Xidian University as part of a Collaborative Doctoral Research Degree. This research is supported by the Australian Government Research Training Program.

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# ABSTRACT

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Hybrid array is able to leverage array gains, transceiver sizes and costs for massive multiple-input-multiple-output (MIMO) systems in millimetre wave frequencies. Challenges arise from estimation of angle-of-arrival (AoA) in hybrid arrays, due to the array structure and the resultant estimation ambiguities and susceptibility to noises. In this thesis, we study the unambiguous and non-iterative AoA estimation in two types of hybrid arrays — Localized Hybrid Array of Phased SubArrays (LHA-PSAs) and Lens Antenna Arrays (LAAs). For each type, two AoA estimation approaches are proposed for narrowband and wideband, respectively. The main innovation of the approaches include:

- The deterministic sign rules and patterns in LHA-PSAs are unprecedentedly discovered, and exploited to eliminate the estimation ambiguities;
- The optimal trade-off between different error sources is achieved, minimising the wideband AoA estimation error in LHA-PSAs;
- A new wide beam synthesis method is developed for LAAs, which substantially improves the AoA estimation efficiency in LAAs;
- New spatial-frequency patterns are unveiled exploiting the spatial-wideband effect, leading to fast and accurate wideband AoA estimation in LAAs.

Performance analysis is provided for all the approaches with closed-form estimation (lower) bounds derived. Corroborated by simulations, our approaches are able to dramatically improve AoA estimation accuracy while reducing complexity and the number of training symbols, as compared to the state of the art. The estimation errors of our methods asymptotically approach the (lower) bounds.

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I would like to acknowledge GBDTC, Faculty of Engineering and Information Technology (FEIT) and Graduate Research School (GRS) of UTS, and Xidian University, for the scholarships and other (financial) supports during this research.

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## List of Publications

### Journal Papers

- J-1 . **K. Wu**, W. Ni, T. Su, R. P. Liu and Y. J. Guo, “Exploiting Spatial-Wideband Effect for Fast AoA Estimation at Lens Antenna Array,” **IEEE Journal of Selected Topics in Signal Processing**, accepted, 2019.
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- J-3 . **K. Wu**, W. Ni, T. Su, R. P. Liu and Y. J. Guo, “Expeditious Estimation of Angle-of-Arrival for Hybrid Butler Matrix Arrays,” **in IEEE Transaction on Wireless Communications (TWC)**, vol. 18, no. 4, pp. 2170-2185, April 2019.
- J-4 . **Q. Li**, T. Su and **K. Wu**, “Accurate DOA Estimation for Large-Scale Uniform Circular Array Using a Single Snapshot,” **IEEE Communications Letters**, vol. 23, no. 2, pp. 302-305, Feb. 2019.
- J-5 . **K. Wu**, W. Ni, T. Su, R. P. Liu and Y. J. Guo, “Efficient Angle-of-Arrival Estimation of Lens Antenna Arrays for Wireless Information and Power Transfer,” **in IEEE Journal on Selected Areas in Communications (JSAC)**, vol. 37, no. 2, pp. 116-130, Sep. 2018.
- J-6 . **K. Wu**, W. Ni, T. Su, R. P. Liu and Y. J. Guo, “Robust Unambiguous Estimation of Angle-of-Arrival in Hybrid Array With Localized Analog Subarrays,” **in IEEE TWC**, vol. 17, no. 5, pp. 2987-3002, May 2018.
- J-7 . **K. Wu**, W. Ni, T. Su, R. P. Liu and Y. J. Guo, “Fast and Accurate Estimation of Angle-of-Arrival for Satellite-Borne Wideband Communication System,” **in IEEE JSAC**, vol. 36, no. 2, pp. 314-326, Feb. 2018.

# Contents

Certificate	ii
Abstract	iii
Acknowledgments	iv
List of Publications	v
List of Figures	xi
Abbreviation	xvii
<b>1 Introduction</b>	<b>1</b>
1.1 Background . . . . .	1
1.2 Large-scale Hybrid Antenna Array . . . . .	5
1.3 AoA Estimation — Importance, Challenges and State of the art . . . . .	8
1.3.1 Narrowband Hybrid Array of Phased Subarrays . . . . .	9
1.3.2 Wideband Hybrid Array of Phased Subarrays . . . . .	10
1.3.3 Narrowband Lens Antenna Arrays . . . . .	11
1.3.4 Wideband Lens Antenna Arrays . . . . .	13
1.3.5 Fast Angular Estimation and Tracking of HST . . . . .	14
1.4 Literature Review . . . . .	16
1.5 Thesis Organization . . . . .	20
<b>2 Robust Unambiguous Estimation of Angle-of-Arrival in Hybrid Array with Localized Analog Subarrays</b>	<b>22</b>

2.1	Introduction . . . . .	22
2.2	System Model . . . . .	24
2.3	Proposed AoA Estimation for general Localized Hybrid Arrays . . . . .	26
2.3.1	Phase Shifts under General Localized Hybrid Arrays . . . . .	27
2.3.2	Estimation of $Nu$ . . . . .	29
2.3.3	Estimation of $u$ under general localized hybrid arrays . . . . .	34
2.3.4	Suppression of the zigzag effect . . . . .	36
2.3.5	Discussions on Undetectable Angles . . . . .	37
2.4	Analysis of AoA estimation accuracy . . . . .	40
2.4.1	MSELB of $e^{j\widehat{Nu}}$ . . . . .	40
2.4.2	MSELB of $\hat{u}$ . . . . .	41
2.5	Numerical and Simulation Results . . . . .	44
2.6	Conclusion . . . . .	51
<b>3</b>	<b>Fast and Accurate Estimation of Angle-of-arrival for Wideband Large-scale Hybrid Arrays</b>	<b>52</b>
3.1	Introduction . . . . .	52
3.2	System Model and Problem Statement . . . . .	54
3.3	New Design of Phase Shifts . . . . .	57
3.4	Unambiguous Wideband Estimation of $Nu$ . . . . .	60
3.5	Unambiguous Wideband AoA Estimation . . . . .	64
3.6	Analysis and Discussion . . . . .	69
3.6.1	Accuracy of the Proposed AoA Estimation . . . . .	69
3.6.2	Extension to the State-of-the-art [1] . . . . .	70
3.6.3	Computational Complexity . . . . .	71

3.7	Numerical and Simulation Results . . . . .	71
3.8	Conclusion . . . . .	77
<b>4</b>	<b>Efficient Angle-of-Arrival Estimation of Lens Antenna Arrays</b>	<b>78</b>
4.1	Introduction . . . . .	78
4.2	System Model . . . . .	80
4.3	Fine-resolution AoA Estimation . . . . .	83
4.3.1	DBD . . . . .	84
4.3.2	DBD-based AoA Estimation . . . . .	86
4.4	Fast Search of Two Strongest DBDs . . . . .	87
4.5	Multipath AoA Estimation . . . . .	92
4.5.1	Concurrent WPT and WIT . . . . .	94
4.5.2	SWIPT . . . . .	95
4.6	Simulation Results . . . . .	97
4.7	Conclusion . . . . .	105
<b>5</b>	<b>Exploiting Spatial-Wideband Effect for Fast AoA Estimation at Lens Antenna Array</b>	<b>106</b>
5.1	Introduction . . . . .	106
5.2	System Architecture . . . . .	108
5.2.1	LAA Structure . . . . .	108
5.2.2	Signal Model . . . . .	110
5.2.3	Proposed Wideband AoA Estimation Framework . . . . .	112
5.3	Fast Search of the Strongest DFT Beam . . . . .	113
5.3.1	New Spatial-Frequency Pattern . . . . .	113



5.3.2	Fast Search of the Strongest DFT Beam . . . . .	117
5.4	Estimating AoA from DFT Beam Outputs . . . . .	122
5.5	Performance Analysis . . . . .	126
5.5.1	Average Number of Symbols Used by Algorithm 8 . . . . .	126
5.5.2	MSELB of Algorithm 9 . . . . .	129
5.6	Simulation Results . . . . .	131
5.7	Conclusion . . . . .	138
<b>6</b>	<b>Conclusions and Future Works</b>	<b>140</b>
<b>7</b>	<b>Appendices</b>	<b>144</b>
7.1	Proof, Analysis and Derivation in Chapter 2 . . . . .	144
7.1.1	Proof of Lemma 2.1 . . . . .	144
7.1.2	Proof of Lemma 2.2 . . . . .	144
7.1.3	Lemma 7.1 and its proof . . . . .	145
7.1.4	Derivation of $\mathbb{E}_u \{ P_m^t(u) ^2\}$ . . . . .	146
7.1.5	Saturation Analysis of Fig. 2.7 . . . . .	146
7.2	Proof and Derivation in Chapter 3 . . . . .	149
7.2.1	Proof of Lemma 3.1 . . . . .	149
7.2.2	Proof of Lemma 3.2 . . . . .	149
7.2.3	Lemma 7.2 and its proof . . . . .	150
7.2.4	Calculation of $\mathbb{E}_u \{H_m(\rho_i, u)\}$ ( $= 2N$ ) . . . . .	151
7.2.5	Proof of Lemma 7.3 . . . . .	151
7.2.6	Calculation of $\mathbb{E}_u \{ C(\rho_i, u) ^2\}$ . . . . .	152
7.3	Proof and Analysis in Chapter 4 . . . . .	152
7.3.1	Proof of Lemma 4.1 . . . . .	152

7.3.2	Proof of Theorem 4.1 . . . . .	153
7.3.3	Proof of Corollary 4.1 . . . . .	154
7.3.4	Proof of Theorem 4.2 . . . . .	155
7.3.5	Proof of $P_d^{\text{DBD}} \geq P_d^{\text{DFT}}$ . . . . .	157
7.3.6	Analysis on Fig. 4.8: Null Elimination in Mainlobes . . . . .	158
7.3.7	Analysis on Fig. 4.9: Larger Mainlobe-to-sidelobe Ratio than WDFT [2] . . . . .	158
7.4	Proof in Chapter 5 . . . . .	159
7.4.1	Proof of Theorem 5.1 . . . . .	159
7.4.2	Proof of Theorem 5.2 . . . . .	160
7.4.3	Proof of Proposition 5.1 . . . . .	161
7.4.4	Proof of Corollary 5.1 . . . . .	162
7.4.5	Proof of Lemma 5.2 . . . . .	162

# List of Figures

1.1	Schematic diagram of a one-dimensional localized hybrid array, where the subarrays can be implemented by either generic discrete antenna elements, or highly integrated antennas such as lens and Butler matrix. . . . .	2
1.2	Illustration of a one-dimensional linear localized hybrid antenna array composed of $M$ subarrays. Each subarray has $N$ antenna elements, each connected to an analog phase shifter. . . . .	3
1.3	Schematic diagram of the “smart” railway communication system with the interconnections between the HST and BS, TS, infrastructures, as well as satellite. WCL refers to wireless communication link. . . . .	5
1.4	Illustration of the spatial-wideband effect, where an 8-element linear array is considered. The spatial responses of the 4th DFT beam at different frequencies are plotted in Fig. 1.4(a). The beamforming gain (BG) of the second DFT beam at $\theta = \frac{3\pi}{4}$ across frequencies is plotted in Fig. 1.4(b). . . . .	13
2.1	A two-dimensional planar localized hybrid antenna array composed of $M_x \times M_y$ subarrays. Each subarray has $N_x \times N_y$ antenna elements, each connected to an analog phase shifter. The outputs at analog subarrays are further processed to generate digital samples. The RF generation and down-converters are suppressed. . . . .	24

2.2	MSE of $\hat{u}$ versus the number of symbols (also iterations for DBS [3]), where $M = 8$ and $N = 16$ . For DBS [3], the AoA estimation can only be updated every 16 symbols, with result output at $P = 16, 32$ and $48$ . . . . .	45
2.3	MSE of $e^{j\widehat{N}u}$ as $\gamma_0$ increases, where $N = 24$ , and $P = 6$ . . . . .	46
2.4	MSE of $\hat{u}$ versus $\gamma_0$ , where $N = 24$ , $M = 4, 8$ and the number of training symbols is 6. Both results with and without the proposed zigzag mitigation are provided, along with that of DCC [4] for comparison. . . . .	47
2.5	MSE of $\hat{u}$ versus the number of subarrays $M$ , where $N = 24$ and the number of training symbols is 8. For the proposed approach, $M$ ranges from 4 to 24. While for [4], only five values can be taken, i.e. 4, 6, 8, 12 and 24, to keep $N/M \in \mathbb{Z}^+$ . . . . .	48
2.6	MSE of $\hat{u}$ and MSELB versus $\gamma_0$ , where $N = 16$ and $M = 8$ . . . . .	49
2.7	MSE of $\hat{u}$ in the presence of a LoS path and a NLoS path, where $M = 4$ , $N = 8$ , and $P = 4$ for the proposed algorithm and $P = 40$ for DBS [3]. The received signal strength of the LoS path is set to be 5 dB stronger than that of the NLoS path, the LoS path is uniformly distributed within $[\frac{\pi}{4}, \frac{\pi}{3}]$ and the NLoS path is uniformly distributed within $[-\frac{\pi}{3}, -\frac{\pi}{4}]$ . . . . .	50
3.1	Simulated and analytical estimation SNRs versus the receive SNR at antenna element, where (a) for $\gamma_{\Sigma}^{Nu}$ , $\Delta_i = 255$ , which means no accumulation across sub-carriers, and for $\gamma_{\Sigma}^u$ , $i_2 - i_1 = 1$ ; (b) $\Delta_i$ and $i_2 - i_1$ are changed to 1 and 255, respectively. . . . .	73

3.2	(a) MSELB of $\hat{u}_i$ , $\hat{u}$ and $\hat{u}^1$ versus $i_2 - i_1$ or $\Delta_i$ , where the receive SNR at antenna is $\gamma_e = 0$ dB unless otherwise specified and the MSELBs of $\hat{u}^1$ with modified SNR are obtained by subtracting the constant gap of 11.1 dB between simulated and analytical estimation SNRs obtained from Fig. 3.1; (b): MSELB of $\hat{u}^1$ versus $\Delta_i$ , where the number of sub-carriers, $I$ , ranges from 30 to 240 stepped by 30. . . . .	74
3.3	MSE of the state-of-the-art DCC [1], $\hat{u}_i$ , $\hat{u}$ and $\hat{u}^1$ versus the receive SNR at antenna, where the MSE of $\hat{u}_i$ of all sub-carriers given. . . . .	74
3.4	MSE of the state-of-the-art DCC [1], $\hat{u}_i$ , $\hat{u}$ and $\hat{u}^1$ versus $I$ . . . . .	75
3.5	(a) MSE of $\widehat{Nu}$ versus the receive SNR at antenna element, $\gamma_e$ ; (b) MSE of $\hat{u}$ versus $\gamma_e$ , where $\hat{u}^1, \hat{u}^2$ and $\hat{u}^3$ stands for $\hat{u}$ obtained with $i_2 - i_1 = 1, \frac{2I}{3}$ and $I - 1$ , respectively, and the three $Nu$ estimations are used in Algorithm 4 Line 8 to obtained the three $u$ estimations; (c) the best $Nu$ estimation $\widehat{Nu}^2$ is used for generating the three $u$ estimations. . . . .	76
4.1	Schematic diagram of the LAA receiver for concurrent WPT and WIT, or SWIPT. . . . .	80
4.2	Illustration of two adjacent DFT beams including their amplitude and phase responses. . . . .	85
4.3	Illustration of amplitude gains of DBDs, where four consecutive DBDs are illustrated with the AoA of $u = 2.05$ rad to be estimated. . . . .	86
4.4	Illustration of the search of the DBDs for AoA estimation using the beams synthesized by Theorem 4.2, where $N = 64$ , $K = 4$ and $u = 4.25$ rad. . . . .	90

- 4.5 The SIR between two equal-power paths and the MSE of the AoA estimate of one path in the presence of the interference from the other path vs.  $(n_2 - n_1)$ , where  $n_1 = 1$  and the AoAs of the two paths are set as  $u_1 \sim \mathcal{U} \left[ \frac{\pi}{N}, \frac{3\pi}{N} \right]$ ,  $u_2 \sim \mathcal{U} \left[ \frac{2\pi(n_2-1)}{N} + \frac{\pi}{N}, \frac{2\pi(n_2-1)}{N} + \frac{3\pi}{N} \right]$ , respectively. . . . . 94
- 4.6  $P_d^{\text{DFT}}$  of ABP [5] and  $P_d^{\text{DBD}}$  of the proposed method vs.  $\gamma = \frac{1}{\sigma_d^2}$ . . . . . 97
- 4.7 MSE of the single-AoA estimates, using ABP [5] and the proposed algorithm (Algorithm 5), vs.  $\gamma = \frac{1}{\sigma_d^2}$ . . . . . 97
- 4.8 Mainlobe comparison of the synthesized beams using WDFT [2], DFT-DA [6] and the proposed method, where  $N = 64$ ,  $K = 8$  and 16. 99
- 4.9 A Detailed comparisons of WDFT [2] and the proposed method by zooming in the beams in Figs. 4.8(c) and 4.8(d), respectively. . . . . 99
- 4.10  $P\{\mathcal{E}\}$  of WDFT [2] and the proposed beam synthesis vs.  $\gamma = \frac{1}{\sigma_d^2}$ , where  $\mathcal{E}$  refers to the case that the beams of interest are identified correctly. . . . . 101
- 4.11 MSEs of the AoA estimates of two paths, where  $\gamma = \frac{1}{\sigma_d^2}$ ,  $r = 10^{-3}$ ,  $u_i \sim \mathcal{U} \left[ \frac{2\pi n_i}{N}, \frac{2\pi(n_i+1)}{N} \right]$  ( $i = 1, 2$ ). . . . . 101
- 4.12 MSE of the AoA estimate (vs.  $\gamma = \frac{1}{\sigma_d^2}$ ) of the third path,  $u_3$ , in the presence of two strong and close paths,  $u_1$  and  $u_2$ , where  $r = 10^{-3}$ , the powers of the path are 35 dB, 20 dB and 0 dB, respectively; and the AoAs of the three paths satisfy  $u_1 \sim \mathcal{U} \left[ \frac{2\pi(n_1-1)}{N}, \frac{2\pi n_1}{N} \right]$ ,  $u_2 \sim \mathcal{U} \left[ \frac{2\pi n_1}{N}, \frac{2\pi(n_1+1)}{N} \right]$  and  $u_3 \sim \mathcal{U} \left[ \frac{2\pi n_2}{N}, \frac{2\pi(n_2+1)}{N} \right]$ , respectively. . . . . 102
- 4.13 Time-average beamforming gain of an LAA and a DAA receiver based on the AoA estimates obtain by ABP and the proposed algorithm, respectively, where  $\gamma = \frac{1}{\sigma_d^2}$ ,  $r = 10^{-2}$ ,  $u \sim \mathcal{U} [0, 2\pi)$ . . . . . 103
- 4.14 The rate-energy region of the proposed approach and ABP [5] under SWIPT, where  $T = 30$ . . . . . 104

5.1	The schematic diagram of an LAA receiver, where “1-bit phase shifter” refers to a phase shifter with the phase shift of either 0 or 180 degree. . . . .	109
5.2	Illustration of the spatial-frequency patterns, where $N = 256$ , $M = 128$ , and $\rho_m \in [0.8, 1]$ . Fig. 5.2(a) plots $[\mathbf{g}(u, \rho_m)]_{204}$ in (5.7) across $u \in \mathcal{S}(0, 255)$ and sub-carrier $m \in [0, M - 1]$ ; Fig. 5.2(c) plots $P(u, \rho_m)$ in (5.12) by taking $l = 0$ and $L = 164$ in Lemma 5.1; and Figs. 5.2(b) and 5.2(d) plot $\tilde{\mathbf{g}}_n(\tilde{m}, \mathcal{M})$ and $\check{\mathbf{g}}_n(\tilde{m}, \mathcal{M})$ constructed based on the beams in Figs. 5.2(a) and 5.2(b) by applying Theorems 5.1 and 5.2, respectively. . . . .	117
5.3	Illustration of RF chain outputs based on (a) the single-beam selection, where $n_L = 204$ and $u = 5.65$ ; and (b) the multi-beam selection, where $l = 0$ , $L = 164$ and $u = 2.9$ . $N = 256$ , $M = 128$ , and $\rho_m \in [0.8, 1]$ . . . . .	121
5.4	MSE of the AoA estimate, where the state of the art [7], referred to as “all” (since the method uses all the DFT beams), is simulated for comparison. . . . .	130
5.5	(a) the detection probability of Algorithm 8; (b) the simulated and analytical probability that Algorithm 8 uses $x$ symbols ( $x = 1, 2, \dots$ ), referred to as “sim” and “ana”, respectively. . . . .	131
5.6	MSE of the AoA estimate against the number of symbols used by Algorithm 9, denoted by $N_{\text{sym}}^u$ , where $K = 4$ . . . . .	133
5.7	(a) detection probability of the strongest DFT beam against bandwidth $B$ ; (b) probability of Algorithm 8 using $x$ symbols given various $B$ . . . . .	134
5.8	left: MSE of LoS AoA estimate against $\gamma_0$ in the presence of two NLoS paths; right: the DP of the strongest DFT beam for the LoS path. The existing work [7], referred to as “all”, is provided as the benchmark. . . . .	135

5.9	CDF of the squared error of the AoA estimates obtained by running the proposed algorithm in conjunction with SIC. . . . .	135
5.10	Spectral efficiency comparison between the proposed method and the state of the art [8], referred to as “SSD”, where $K = 8$ . . . . .	136



# Abbreviation

Analog-to-Digital and Digital-to-Analog Converters (ADC/DAC)

Angle-of-Arrivals (AoAs)

Auxiliary Beam Pair (ABP)

Additive White Gaussian Noise (AWGN)

Base Stations (BSs)

Cyclic Prefix (CP)

Cramér-Rao Lower Bound (CRLB)

Coherent Signal-subspace Method (CSM)

Designs-of-Freedom (DoF)

Discrete Antenna Arrays (DAAs)

Discrete Fourier Transform (DFT)

Differential DFT Beams (DDBs)

Differential Beam Search (DBS)

Double Cross-Correlation (DCC)

DFT Beam Differences (DBDs)

Estimation of Signal Parameters via Rotational Invariance Techniques (ESPRIT)

fifth-Generation (5G)

Gigabits per second (Gbps)

Geosynchronous Earth Orbit (GEO)

High-Speed Railway (HSR)

High-Speed Trains (HSTs)

Inverse DFT (IDFT)

Incoherent Signal sub-space Method (ISM)

Lens Antenna Arrays (LAAs)  
Localized Hybrid Array of Phased SubArrays (LHA-PSA)  
Low Earth Orbit (LEO)  
Line-of-Sight (LoS)  
Least Squared (LS)  
Multiple-Input-Multiple-Output (MIMO)  
Multiple Signal Classification (MUSIC)  
Mean Square Error (MSE)  
MSE Lower Bound (MSELB)  
millimetre-Wave (mmWave)  
Non-Line-of-Sight (NLoS)  
Orthogonal Frequency-Division Multiplexing (OFDM)  
Parallel Interference Cancellation (PIC)  
Right-Hand Side (RHS)  
Radio Frequency (RF)  
Signal-to-Noise Ratio (SNR)  
Successive Interference Cancellation (SIC)  
Singular Value Decomposition (SVD)  
Simultaneous WIPT (SWIPT)  
Wireless Information and Power Transfer (WIPT)  
Wireless Power Transfer (WPT)  
Wireless Information Transfer (WIT)