



## Complex and Quaternion-Valued Lattices for Digital Transmission

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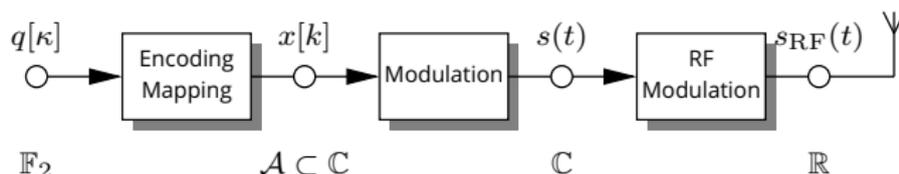
Work supported by Deutsche Forschungsgemeinschaft (DFG) under grant FI 982/12-1

## 1. Complex-Valued Lattices in Communications

- System Model and Motivation
- Introduction to Complex-Valued Lattices
- Coded-Modulation Schemes based on Complex-Valued Lattices
- Complex-Valued Lattice Reduction for Channel Equalization

## 2. Quaternion-Valued Lattices in Communications

- System Model and Motivation
- Introduction to Quaternion-Valued Lattices
- Coded-Modulation Schemes based on Quaternion-Valued Lattices
- Quaternion-Valued Lattice Reduction for Channel Equalization

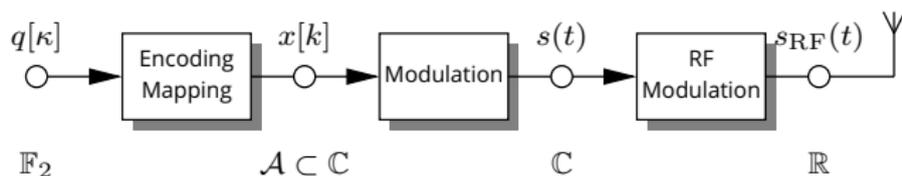


## Digital Pulse-Amplitude Modulation: Transmitter

- transmission of sequence of bits  $q[\kappa] \in \mathbb{F}_2$
- encoding and mapping
  - channel encoding over the finite field (Hamming space)
  - mapping to complex-valued signal constellation  $\mathcal{A}$  (Euclidean space)
- modulation

$$s(t) = \sum_{k=-\infty}^{\infty} x[k] g(t - kT)$$

- transition from discrete-time to continuous-time domain
- transmit filter  $g(t)$  (usually: band limitation)
- symbol period  $T$



## Digital Pulse-Amplitude Modulation: Transmitter

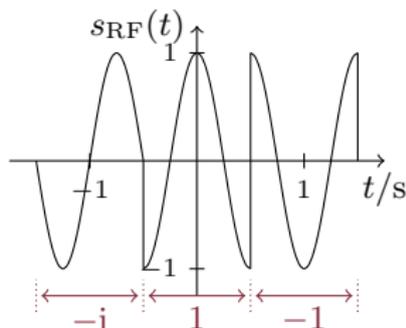
- radio-frequency (RF) modulation

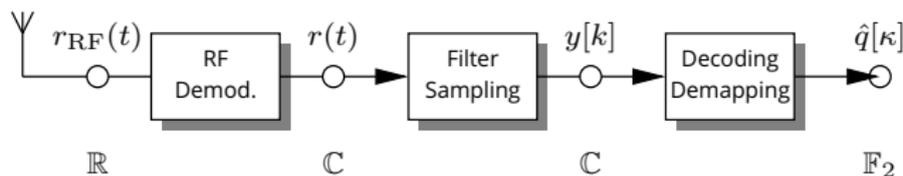
$$s_{\text{RF}}(t) = |s(t)| \cdot \cos(2\pi f_c t + \arg\{s(t)\})$$

- complex signal modulated onto the real-valued carrier (frequency  $f_c$ )
- amplitude of RF signal given by  $|s(t)|$
- phase of RF signal given by  $\arg\{s(t)\}$

### Example

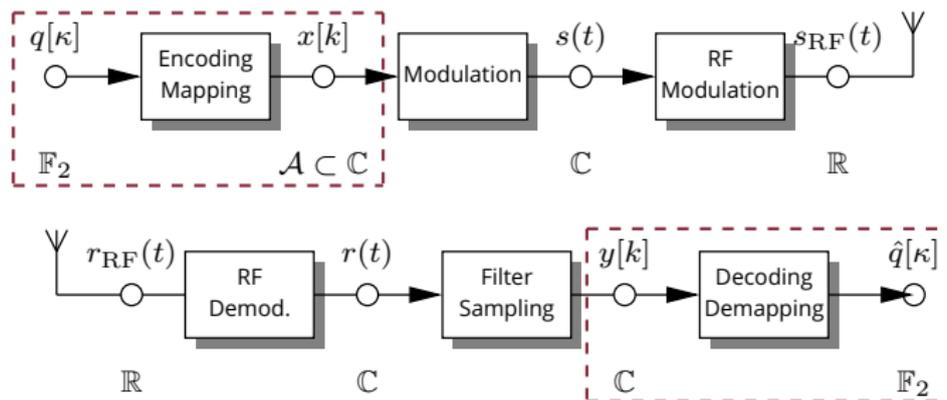
- $\mathcal{A} = \{1, -1, i, -i\}$
- $g(t) = \text{rect}(t/1 \text{ s})$   
 $\Rightarrow |s(t)| = 1$
- $x[k] = [\dots, -i, 1, -1, \dots]$
- $f_c = 1 \text{ Hz}$





## Digital Pulse-Amplitude Modulation: Receiver

- RF demodulation
  - equivalent complex baseband signal obtained from RF receive signal
- receive filter and sampling
  - usually *matched filter*  $g^*(-t)$ 
    - maximization of signal-to-noise ratio (SNR)
  - sampling
    - transition from continuous-time to discrete-time domain
- decoding and demapping
  - channel decoding w.r.t. coded-modulation scheme
    - interaction between channel code and signal constellation
  - demapping to estimated source bits



## Discrete-Time Equivalent Complex Baseband (ECB)

- digital signal processing usually performed in
  - baseband domain (complex signals)
  - discrete-time domain
- discrete-time ECB transmission model with
  - transmit symbols  $x[k]$
  - receive symbols  $y[k]$
  - complex-valued channel model
    - equivalent representation of distortions in ECB domain

## Additive White Gaussian Noise (AWGN) Channel

$$\underbrace{y[k]}_{\text{Re}\{y[k]\} + \text{Im}\{y[k]\}i} = \underbrace{x[k]}_{\text{Re}\{x[k]\} + \text{Im}\{x[k]\}i} + \underbrace{n[k]}_{\text{Re}\{n[k]\} + \text{Im}\{n[k]\}i}$$

- discrete-time complex-valued noise  $n[k]$
- noise samples usually zero-mean Gaussian with some variance  $\sigma_n^2$
- samples are white over time (i.i.d.)
- transmission performance depends on SNR expressed as  $\sigma_x^2/\sigma_n^2$

## Block-Based Transmission over the AWGN Channel

$$\underline{\mathbf{y}} = \underline{\mathbf{x}} + \underline{\mathbf{n}}$$

- sequence of transmit/receive symbols and noise split into blocks

$$\underbrace{[y_1, y_2, \dots, y_{N_b}]}_{\underline{\mathbf{y}}} = \underbrace{[x_1, x_2, \dots, x_{N_b}]}_{\underline{\mathbf{x}}} + \underbrace{[n_1, n_2, \dots, n_{N_b}]}_{\underline{\mathbf{n}}}$$

- for brevity, block index omitted

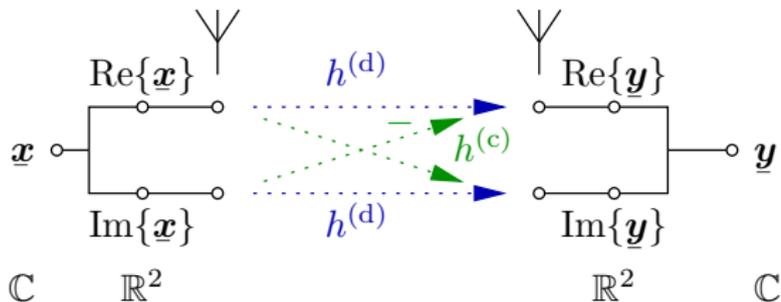
## Single-Input/Single-Output (SISO) Block-Fading Channel

$$\underbrace{\underline{y}}_{\text{Re}\{\underline{y}\} + \text{Im}\{\underline{y}\}i} = \underbrace{h}_{\text{Re}\{h\} + \text{Im}\{h\}i} \cdot \underbrace{\underline{x}}_{\text{Re}\{\underline{x}\} + \text{Im}\{\underline{x}\}i} + \underbrace{\underline{n}}_{\text{Re}\{\underline{n}\} + \text{Im}\{\underline{n}\}i}$$

- equivalently described by real-valued matrix equation

$$\begin{bmatrix} \text{Re}\{\underline{y}\} \\ \text{Im}\{\underline{y}\} \end{bmatrix} = \underbrace{\begin{bmatrix} \text{Re}\{h\} & -\text{Im}\{h\} \\ \text{Im}\{h\} & \text{Re}\{h\} \end{bmatrix}}_{\begin{bmatrix} h^{(d)} & -h^{(c)} \\ h^{(c)} & h^{(d)} \end{bmatrix}} \begin{bmatrix} \text{Re}\{\underline{x}\} \\ \text{Im}\{\underline{x}\} \end{bmatrix} + \begin{bmatrix} \text{Re}\{\underline{n}\} \\ \text{Im}\{\underline{n}\} \end{bmatrix}$$

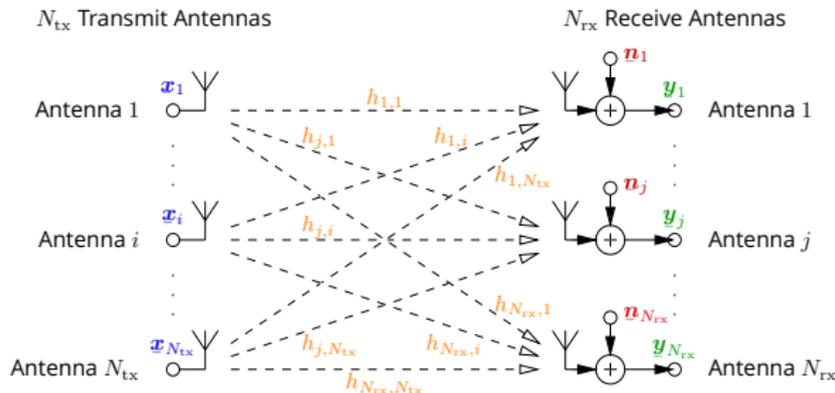
- complex-valued fading factor  $h = h^{(d)} + h^{(c)}i$   
→ usually complex Gaussian



$h^{(d)}$  direct link

$h^{(c)}$  cross link

## Multiple-Input/Multiple-Output (MIMO) Block-Fading Channel



→ wireless multi-antenna transmission (same time and frequency)

### Representation via MIMO System Equation:

$$\underbrace{\begin{bmatrix} \underline{y}_1 \\ \vdots \\ \underline{y}_{N_{rx}} \end{bmatrix}}_{\mathbf{Y} \text{ receive symbols}} = \underbrace{\begin{bmatrix} h_{1,1} & \dots & h_{1,N_{tx}} \\ \vdots & \ddots & \vdots \\ h_{N_{rx},1} & \dots & h_{N_{rx},N_{tx}} \end{bmatrix}}_{\mathbf{H} \text{ channel matrix}} \cdot \underbrace{\begin{bmatrix} \underline{x}_1 \\ \vdots \\ \underline{x}_{N_{tx}} \end{bmatrix}}_{\mathbf{X} \text{ transmit symbols}} + \underbrace{\begin{bmatrix} \underline{n}_1 \\ \vdots \\ \underline{n}_{N_{rx}} \end{bmatrix}}_{\mathbf{N} \text{ noise}}$$

## Fields of Application

- channel coding
  - signal constellations
  - lattice-reduction-aided MIMO equalization
- } coded modulation

⇒ design of coded-modulation schemes for AWGN or MIMO scenarios

## Problem

- transmit and receive signals are complex-valued
- lattice theory is most often considered over real numbers

⇒ complex-valued lattices are required

### Definition of a Lattice

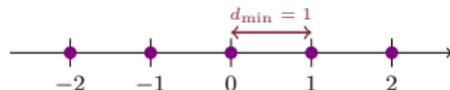
[CS '99, Fis '02]

$$\Lambda(\mathbf{G}) = \left\{ \sum_{v=1}^V \mathbf{g}_v \zeta_v \mid \zeta_v \in \mathbb{Z} \right\}$$

- created by generator matrix  $\mathbf{G} = [\mathbf{g}_1, \dots, \mathbf{g}_V] \in \mathbb{R}^{U \times V}$
- defined over integer ring  $\mathbb{Z}$
- *infinite* set of points (vectors) over  $U$ -dimensional Euclidean space
- Abelian group w.r.t. addition

### Integer ring $\mathbb{Z}$

- Euclidean ring
  - division with small remainder possible
  - Euclidean algorithm well-defined
- **two** nearest neighbors
- squared minimum distance  $d_{\min}^2 = 1$



⇒ how can we extend the definition to complex lattices?

## Generalized Definition

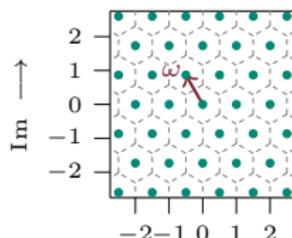
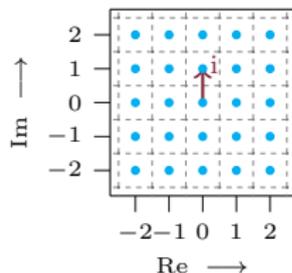
[Ste '19]

$$\Lambda(\mathbf{G}) = \left\{ \sum_{v=1}^V \mathbf{g}_v \zeta_v \mid \zeta_v \in \mathbb{I} \right\}$$

- complex generator matrix  $\mathbf{G} = [\mathbf{g}_1, \dots, \mathbf{g}_V] \in \mathbb{C}^{U \times V}$
- defined over complex integer ring  $\mathbb{I}$

## Complex Integer Rings

- Gaussian integers  $\mathbb{G} = \mathbb{Z} + \mathbb{Z}i$ 
  - Euclidean ring
  - **four** nearest neighbors
  - squared minimum distance  $d_{\min}^2 = |i|^2 = 1$
  - isomorphic to 2D real-valued integer lattice  $\mathbb{Z}^2$
- Eisenstein integers  $\mathbb{E} = \mathbb{Z} + \mathbb{Z}\omega$ 
  - $\omega = e^{i\frac{2\pi}{3}}$  Eisenstein unit (sixth root of unity)
  - Euclidean ring
  - **six** nearest neighbors
  - squared minimum distance  $d_{\min}^2 = |\omega|^2 = 1$
  - isomorphic to 2D hexagonal lattice  $\mathcal{A}_2$



## Voronoi Constellations

[For '89, Fis '02]

$$\mathcal{A} = \Lambda_a \cap \mathcal{R}_V(\Lambda_b)$$

- signal-point lattice  $\Lambda_a$
- Voronoi region  $\mathcal{R}_V(\Lambda_b)$  of boundary lattice  $\Lambda_b$  (w.r.t. origin)

### Complex-Valued Construction [Ste '19]

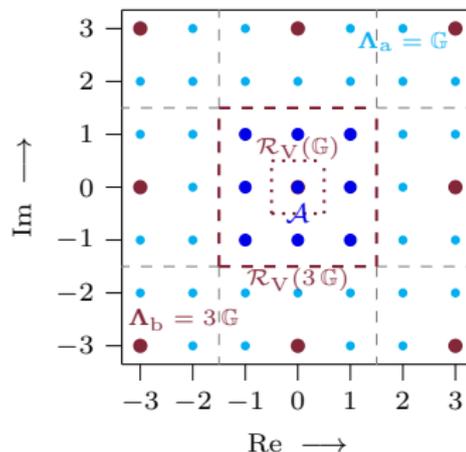
- $\Lambda_a$  complex integer ring ( $\mathbb{G}$  or  $\mathbb{E}$ )
- $\Lambda_b = \Theta \Lambda_a$ ,  $\Theta \in \Lambda_a$ , scaled version

→ constellation with  $M = |\Theta|^2$  signal points  
 → *periodic extensions* with modulo function

$$\text{mod}_{\Lambda_b}\{x\} = x - \mathcal{Q}_{\Lambda_b}\{x\} \in \mathcal{R}_V(\Lambda_b)$$

$\mathcal{Q}_{\Lambda_b}\{\cdot\}$  quantization w.r.t. Voronoi cells of  $\Lambda_b$

⇒ how to combine with channel coding?



$|\Theta|^2 = 9$  signal points

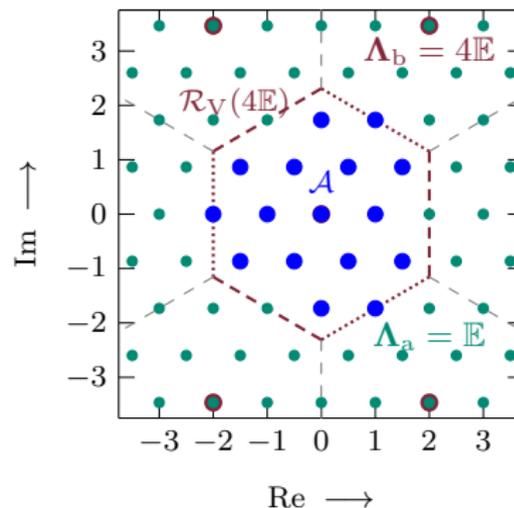
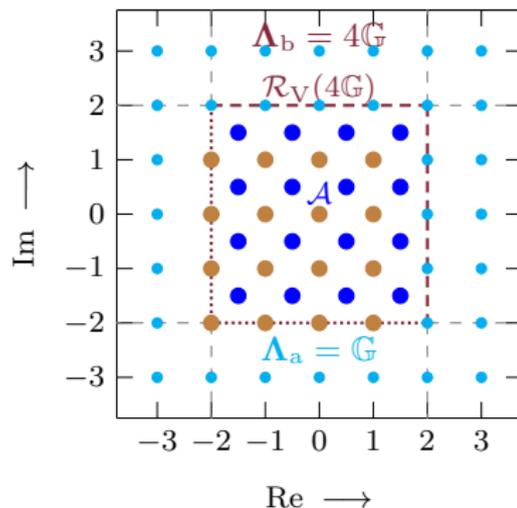
## Bit-Interleaved Coded Modulation (BICM)

[CTB '98]

- close-to-optimum scheme for high SNRs
- channel coding over  $\mathbb{F}_2$  (binary codes), encoded bits are interleaved
- blocks of  $b$  bits mapped to  $M = 2^b$ -ary constellation

⇒ Voronoi construction:  $\Lambda_a = \mathbb{G}$  or  $\Lambda_a = \mathbb{E}$ ,  $\Lambda_b = \sqrt{M}\Lambda_a$

→ edges have to be handled properly, offset for  $\Lambda_a = \mathbb{G}$

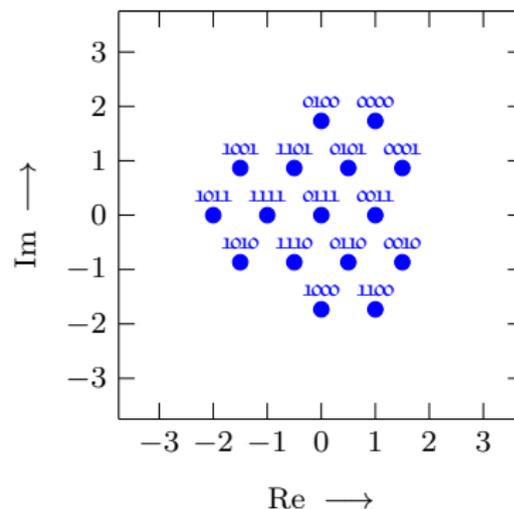
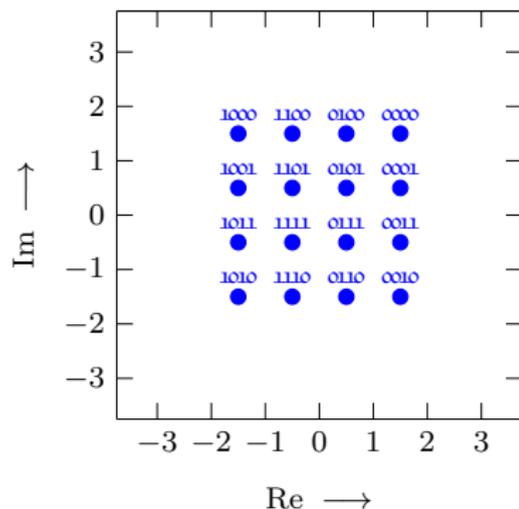


## Bit-Interleaved Coded Modulation: Bit Labeling

- Gray labeling required for close-to-optimum performance
- neighbored signal points may only differ in one bit
- for square QAM ( $\Lambda_a = \mathbb{G}$ ), Gray labeling well-known

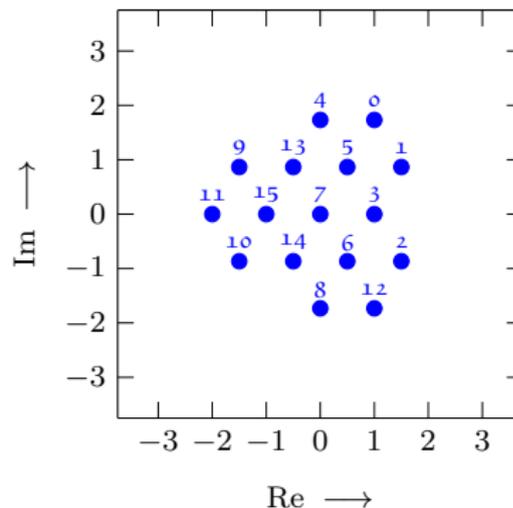
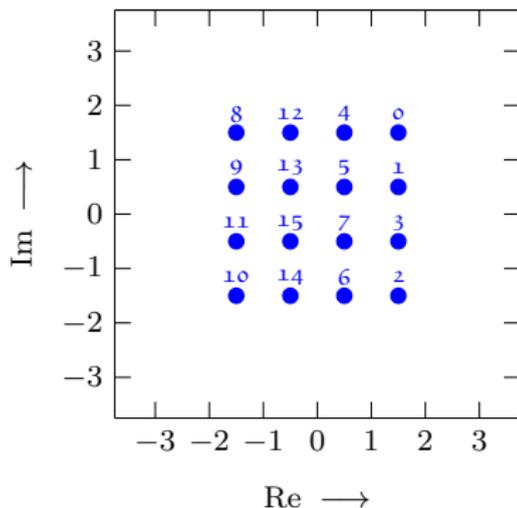
⇒ Gray labeling for Eisenstein-based constellations?

→ unfortunately, only pseudo-Gray labeling (1.5 bits on average)



## Alternative Coded-Modulation Strategies for Binary Labeling

- multilevel coding over Gaussian/Eisenstein integers [FHSG '18, SRFF '19]
- channel coding over  $\mathbb{F}_{2^b}$ 
  - $b$  bits are mapped to corresponding  $2^b$  finite-field elements
  - finite-field elements are directly mapped to signal points
  - optimum performance possible, but usually high complexity



## Gaussian (QAM) vs. Eisenstein Constellations

- hexagonal lattice: packing gain
- hexagonal boundaries: shaping gain

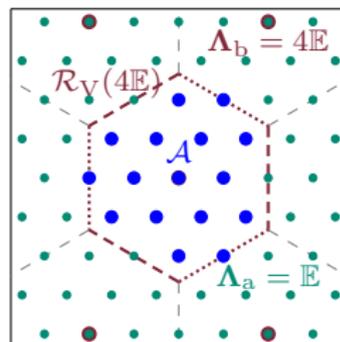
## Asymptotic Gains

[CS '99, Fis '02]

- packing gain: 0.6247 dB
- shaping gain: 0.1671 dB
- total gain: 0.6247 dB + 0.1671 dB = 0.7918 dB

## Variance of the Constellation

$M$	$\sigma_{x,G}^2$	$\sigma_{x,E}^2$	$\sigma_{x,E}^2/\sigma_{x,G}^2$
4	0.5	0.75	1.5
16	2.5	2.25	0.9
64	10.5	9	0.8571
256	42.5	35.625	0.8382
1024	170.5	142.3125	0.8347
4096	682.5	568.9688	0.8337
$\infty$			$0.8\bar{3} \hat{=} -0.7918$ dB



so far:  $\Theta \in \mathbb{R}$ , particularly  $\Theta = \sqrt{2^b}$

now: consider  $\Lambda_b = \Theta \Lambda_a$ ,  $\Theta \in \Lambda_a \subset \mathbb{C}$ :

- scaling of Voronoi region by  $|\Theta|$
- rotation of Voronoi region by  $\arg\{\Theta\}$

→ how to choose  $\Theta$  conveniently?

## Gaussian Primes [Hub '94b, CS '99]

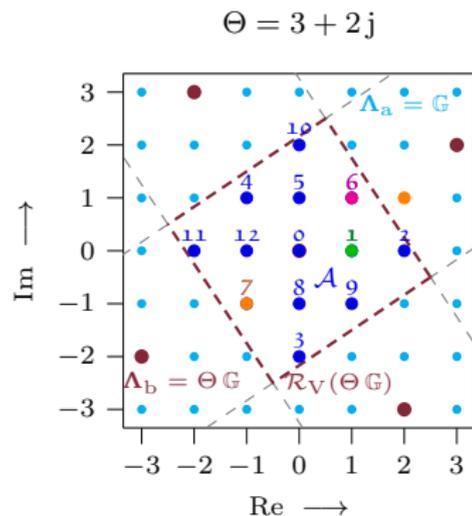
Gaussian integer  $\Theta \in \mathbb{G}$  with

- $|\Theta|^2 = p$ ,  $p$  prime
- $\text{rem}_4\{p\} = 1 \rightarrow \text{e.g., } p = 5, 13, 17, \dots$

## Gaussian Prime Constellations

- constellation with  $|\Theta|^2 = p$  signal points
- isomorphism between finite field  $\mathbb{F}_p$  and constellation  $\mathcal{A}$

⇒ straightforward coded modulation (code over  $\mathbb{F}_p \Leftrightarrow p$ -ary constellation)



$$|\Theta|^2 = 3^2 + 2^2 = 13$$

$$\mathcal{A} \simeq \mathbb{F}_p = \{0, 1, \dots, 11, 12\}$$

Example:  $6 + 1 = 7$

## Eisenstein Primes [Hub '94a, CS '99]

Eisenstein integer  $\Theta \in \mathbb{E}$  with

- $|\Theta|^2 = p$ ,  $p$  prime
- $\text{rem}_6\{p\} = 1 \rightarrow \text{e.g., } p = 7, 13, 19, \dots$

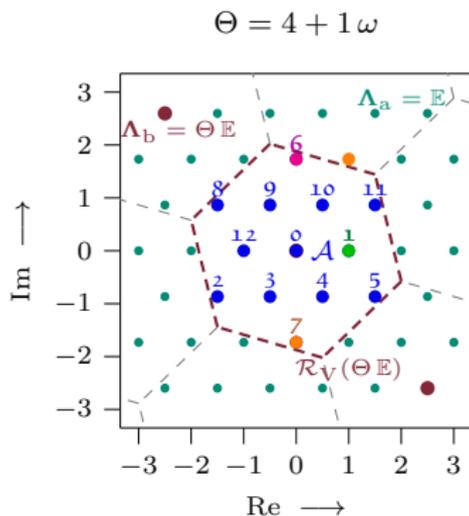
→ hexagonal Voronoi region

- scaled by  $|\Theta|$
- rotated by  $\arg\{\Theta\}$

## Eisenstein Prime Constellations

- constellation with  $|\Theta|^2 = p$  signal points
- isomorphism between finite field  $\mathbb{F}_p$  and constellation  $\mathcal{A}$

⇒ packing and shaping gain over Gaussian prime constellations



$$|\Theta|^2 = 4^2 - \sqrt{3}^2 = 13$$

$$\mathcal{A} \simeq \mathbb{F}_p = \{0, 1, \dots, 11, 12\}$$

Example:  $6 + 1 = 7$

## Advantages

- straightforward coded modulation
- joint arithmetic over Hamming and Euclidean space
- suited in combination with MIMO equalization schemes
  - linear combinations of signal points
  - ↕
  - linear combinations of codewords

## Disadvantages

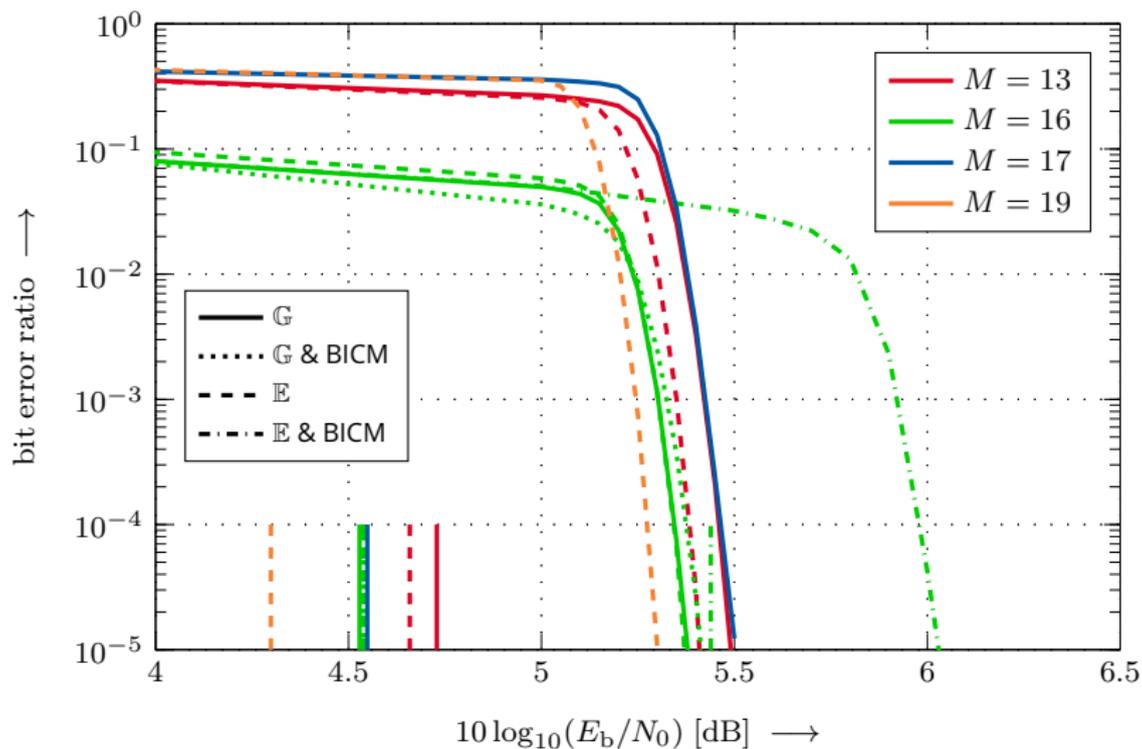
- no direct mapping from bits to constellation points
- conversion from  $\mathbb{F}_2$  to  $\mathbb{F}_p$  required (*modulus conversion* [FU '98, Fis '02])
  - mapping from blocks of  $\mu$  bits to  $\nu$   $p$ -ary symbols
- accompanied by conversion/rate loss ( $2^\mu < p^\nu$ )
- error propagation if decoding fails

## Transmission Scenario

- AWGN channel
    - transmission of binary source symbols (bits)
    - 3 information bits per symbol (code rates adjusted accordingly)
    - block-based transmission (64800 bits per block)
    - averaged over  $10^5$  codewords and related noise samples
  - 16-ary Gaussian/Eisenstein constellation
    - combination with BICM (binary code)
    - combination with  $2^b$ -ary channel code
  - algebraic signal constellations
    - 13-ary Gaussian and Eisenstein prime constellation
    - 17-ary Gaussian prime constellation
    - 19-ary Eisenstein prime constellation
- conversion to/from elements of  $\mathbb{F}_p$

## Channel Coding

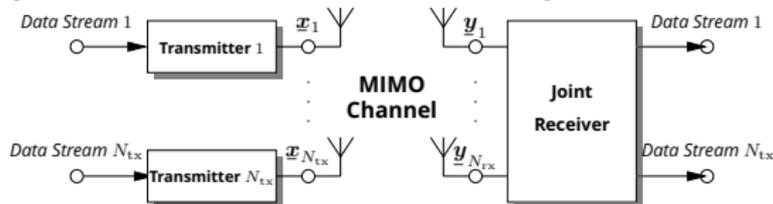
- binary/non-binary low-density parity-check (LDPC) codes over  $\mathbb{F}_q$   
→ subclass of irregular repeat-accumulate codes [KP '02]
- binary/non-binary belief-propagation decoding over field  $\mathbb{F}_q$  [CML<sup>+</sup> '12]



$E_b$ : energy per information bit  
 $N_0$ : noise power spectral density

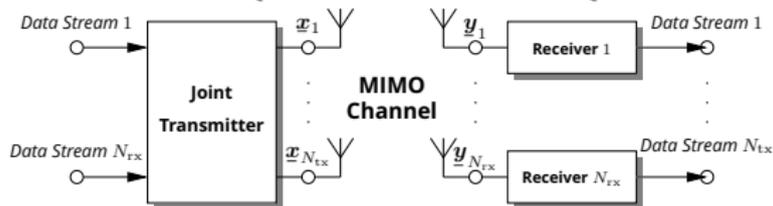
vertical lines: related capacities

## MIMO Multiple-Access Channel (Multiuser Uplink)

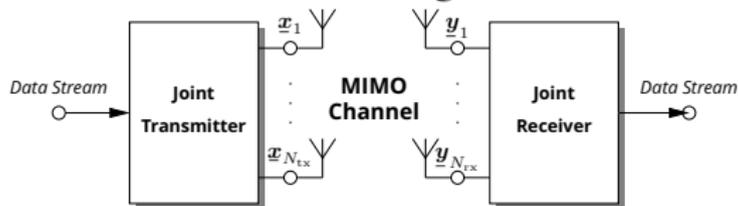


here:  
multiuser uplink  
considered

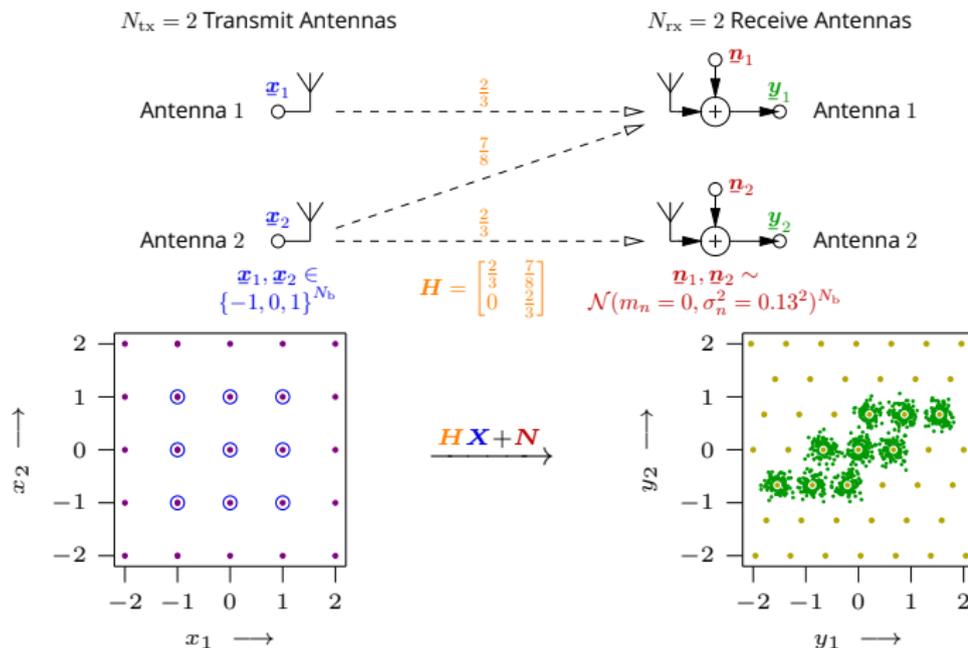
## MIMO Broadcast Channel (Multiuser Downlink)



## Point-to-Point MIMO Transmission (Single User)



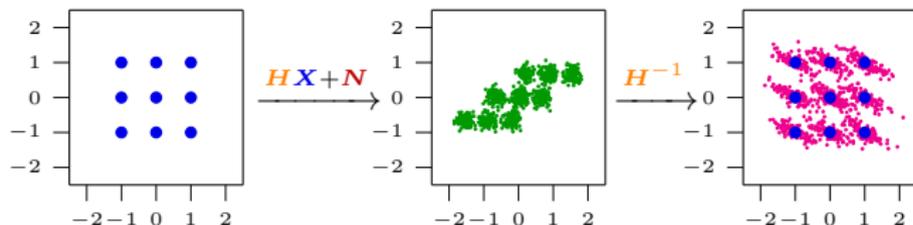
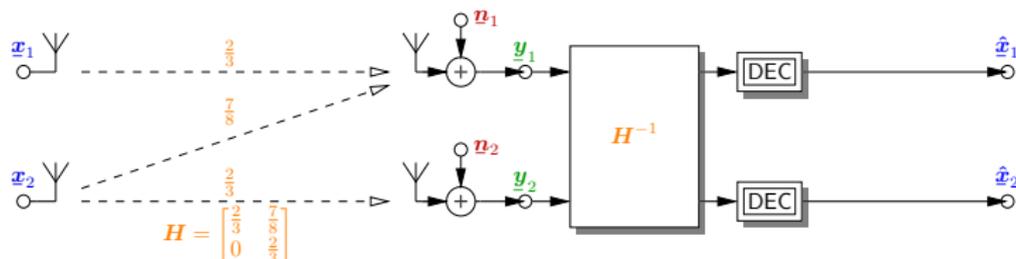
## Example: $2 \times 2$ MIMO Transmission (Real-Valued)



transmit symbols drawn from **regular arrangement of points** (subset of integer ring)

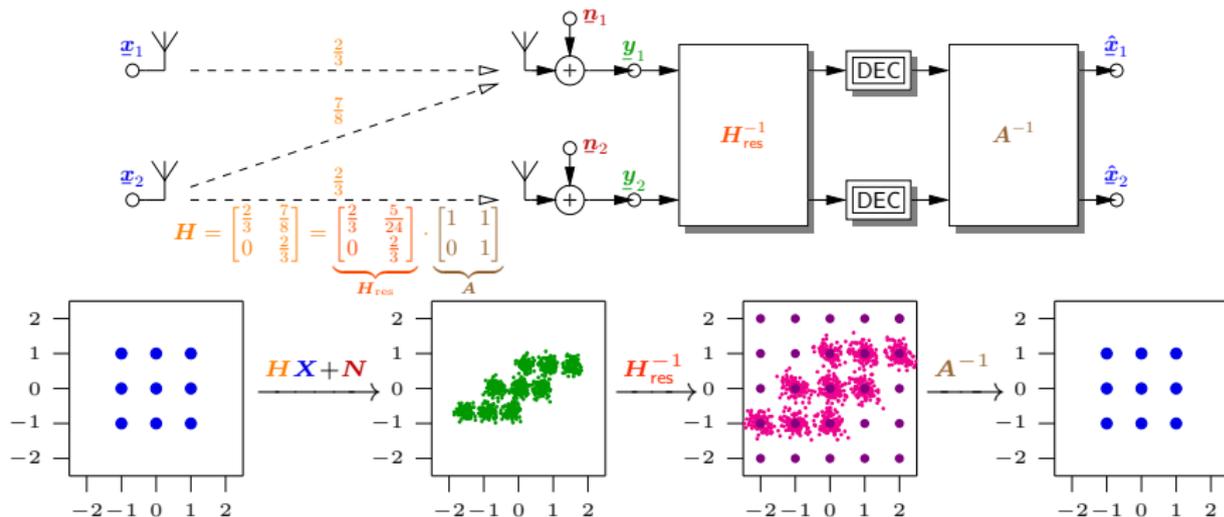


receive symbols drawn from **regular arrangement of points** (plus noise)



## Linear Equalization by Channel Inversion

- receive symbols multiplied by  $H^{-1}$  (in general: pseudoinverse)
- works over real or complex numbers
- problem: *large noise enhancement*  
→ decoding will often fail



## LRA Equalization for Real-Valued Channels

[YW '02, WF '03]

- MIMO channel matrix factorized into  $H = \underbrace{H_{res}}_{\text{drawn from } \mathbb{C}} \cdot \underbrace{A}_{\text{drawn from } \mathbb{G}, \mathbb{E}}$
- linear equalization of non-integer part
- decoding w.r.t. signal-point lattice  $\Lambda_a = \mathbb{G}, \mathbb{E}$
- equalization of integer part (*no noise enhancement!*)

⇒ generalization to complex-valued lattices

[Ste '19]

**Classical Zero-Forcing (ZF) Factorization Approach**

[YW '02, WF '03]

$$\mathbf{H} = \underbrace{\mathbf{H}_{\text{res}}}_{\mathbb{C}^{N_{\text{rx}} \times N_{\text{tx}}}} \cdot \underbrace{\mathbf{A}}_{\substack{\Lambda_{\text{a}}^{N_{\text{tx}} \times N_{\text{tx}}} \\ |\det(\mathbf{A})|=1}}$$

- integer matrix  $\mathbf{A}$  unimodular
- channel matrix  $\mathbf{H}$  considered as generator matrix of lattice  $\Lambda(\mathbf{H})$
- $\mathbf{A}$  describes change to *more suited* lattice basis, i.e.,  $\Lambda(\mathbf{H}) = \Lambda(\mathbf{H}_{\text{res}})$

⇒ algorithms for lattice basis reduction are suited

**Minimum Mean-Square Error (MMSE) Extension**

[WBKK '04]

factorization of *augmented channel matrix*  $\mathcal{H}$  according to

$$\mathcal{H} = \left[ \begin{array}{c} \mathbf{H} \\ \sqrt{\zeta} \mathbf{I} \end{array} \right] = \underbrace{\mathcal{H}_{\text{res}}}_{\mathbb{C}^{(N_{\text{rx}} + N_{\text{tx}}) \times N_{\text{tx}}}} \cdot \underbrace{\mathbf{A}}_{\substack{\Lambda_{\text{a}}^{N_{\text{tx}} \times N_{\text{tx}}} \\ |\det(\mathbf{A})|=1}}, \quad \zeta = \frac{\sigma_n^2}{\sigma_x^2}$$

⇒ equalization matrix for MMSE linear equalization of the non-integer part

## Lenstra-Lenstra-Lovász (LLL) Reduction

[LLL '82]

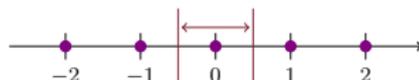
- polynomial-time algorithm
- can be seen as some kind of Euclidean algorithm for matrices
- operates on QR decomposition  $\mathbf{G} = \mathbf{QR} \in \mathbb{R}^{U \times V}$ 
  - $\mathbf{Q}$  matrix with orthogonal columns
  - $\mathbf{R}$  upper triangular matrix with unit main diagonal

## Reduction Criteria

generator matrix  $\mathbf{G} = \mathbf{QR}$  is LLL-reduced, if

- size reduction condition

$$|r_{l,v}| < \frac{1}{2}, \quad 1 \leq l < v \leq V$$



- Lovász condition (quality parameter  $\delta \in (1/4, 1]$ )

$$\|\mathbf{q}_v\|^2 \geq (\delta - |r_{v-1,v}|^2) \|\mathbf{q}_{v-1}\|^2, \quad v = 2, \dots, V$$

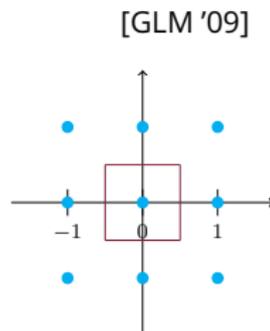
fulfilled

## Complex Lenstra-Lenstra-Lovász (CLLL) Reduction

- Lovász condition unchanged
- size reduction condition adapted to

$$|\operatorname{Re}\{r_{l,v}\}| \leq \frac{1}{2} \cap |\operatorname{Im}\{r_{l,v}\}| \leq \frac{1}{2}$$

- quality parameter  $\delta \in (1/2, 1]$



## Generalization of Size-Reduction Criterion

- size reduction condition

$$\mathcal{Q}_{\mathbb{I}}\{r_{l,v}\} = 0, \quad 1 \leq l < v \leq V$$

- minimum quality parameter  $\delta$  is maximum squared quantization error

⇒ Eisenstein-LLL with condition  $\mathcal{Q}_{\mathbb{E}}\{r_{l,v}\} = 0$  and  $\delta \in (1/3, 1]$  [SF '15]

## LLL Reduction: Performance

- LLL reduction operates on QR decomposition of (reduced) generator matrix
- actually required: basis vectors of reduced lattice basis **as short as possible**

## Minkowski Reduction

[Min '91]

- successive determination of shortest lattice vectors that **form a basis of the lattice**
- NP-hard *shortest vector problem* has to be solved in each step

⇒ optimum but high-complexity lattice-basis-reduction approach

## Minkowski Reduction: Criterion/Algorithm

[ZQW '12]

- consider lattice  $\Lambda(\mathbf{G})$  with generator matrix  $\mathbf{G} = [\mathbf{g}_1, \dots, \mathbf{g}_V] \in \mathbb{R}^{U \times V}$
- in step  $v = 1, \dots, V$ , the basis vector  $\mathbf{g}_v = \mathbf{G}\zeta_v$  is chosen such that

$$\zeta_v = \operatorname{argmin}_{\zeta_v \in \mathbb{Z}^V} \|\mathbf{G} \cdot [\zeta_1, \dots, \zeta_V]^T\|$$

- the related integer vector  $\zeta_v$  additionally has to fulfill

$$\gcd\{\zeta_v, \dots, \zeta_V\} = 1$$

→ unimodular integer matrix describes related change of basis

## Minkowski Reduction: Generalization

- greatest common divisor calculated by Euclidean algorithm
  - Euclidean algorithm defined over all Euclidean rings
- ⇒ generalization to lattices over  $\mathbb{G}$  and  $\mathbb{E}$  possible

[Ste '19]

⇒ restriction to unimodular integer matrices really necessary?

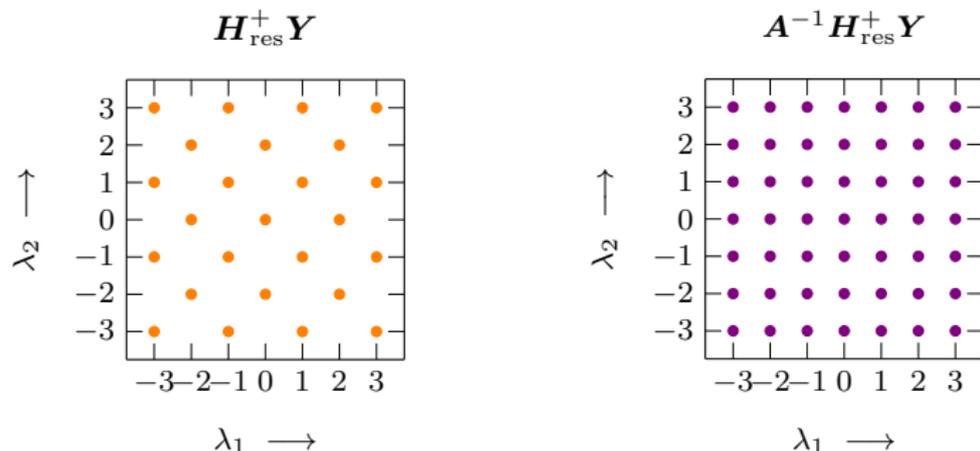
## Full-Rank Relaxation

[ZNEG '14, FCS '16]

$$\mathbf{H} = \underbrace{\mathbf{H}_{\text{res}}}_{\mathbb{C}^{N_{\text{rx}} \times N_{\text{tx}}}} \cdot \underbrace{\mathbf{A}}_{\substack{\Lambda_{\mathbf{a}}^{N_{\text{tx}} \times N_{\text{tx}}} \\ \text{rank}(\mathbf{A}) = N_{\text{tx}}}}$$

## Related Factorization Problem: Successive Minima Problem

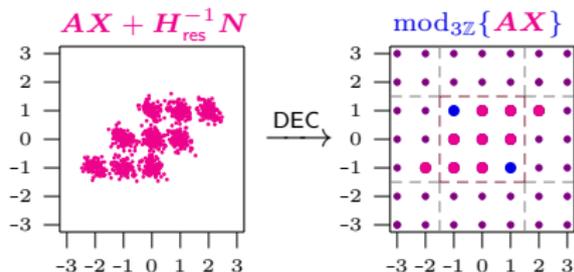
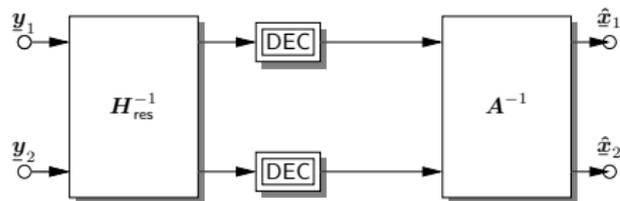
- consider lattice  $\Lambda(\mathbf{G})$  with generator matrix  $\mathbf{G} = [\mathbf{g}_1, \dots, \mathbf{g}_V] \in \mathbb{R}^{U \times V}$
  - find  $V$  shortest linearly independent lattice vectors (*successive minima*)
  - related integer vectors  $\zeta_1, \dots, \zeta_V$  form integer matrix  $\mathbf{A}$
  - NP-hard problem but efficient algorithms exist [DKWZ '15, FCS '16]
- ⇒ straightforward adaption to lattices over  $\mathbb{G}$  and  $\mathbb{E}$  [Ste '19]



## Real-Valued $2 \times 2$ Example (Noise Neglected)

$$\mathbf{A} = \begin{bmatrix} 1 & 1 \\ -1 & 1 \end{bmatrix}, \quad |\det(\mathbf{A})| = 2$$

- after non-integer equalization via  $H_{\text{res}}^+$ : sublattice of  $\mathbb{Z}^2$   
→ detection/decoding still possible
- after integer equalization via  $A^{-1}$ : original lattice  $\mathbb{Z}^2$  restored



## Decoding of Linear Combinations

- at decoder inputs: cascade

$$H_{\text{res}}^{-1}(HX + N) = AX + H_{\text{res}}^{-1}N$$

→ integer linear combinations

$$AX \in \Lambda_a^{N_{\text{tx}} \times N_{\text{b}}}$$

- linear codes: linear combinations of codewords form codewords
- problem: coding performed over  $\mathbb{F}_p$

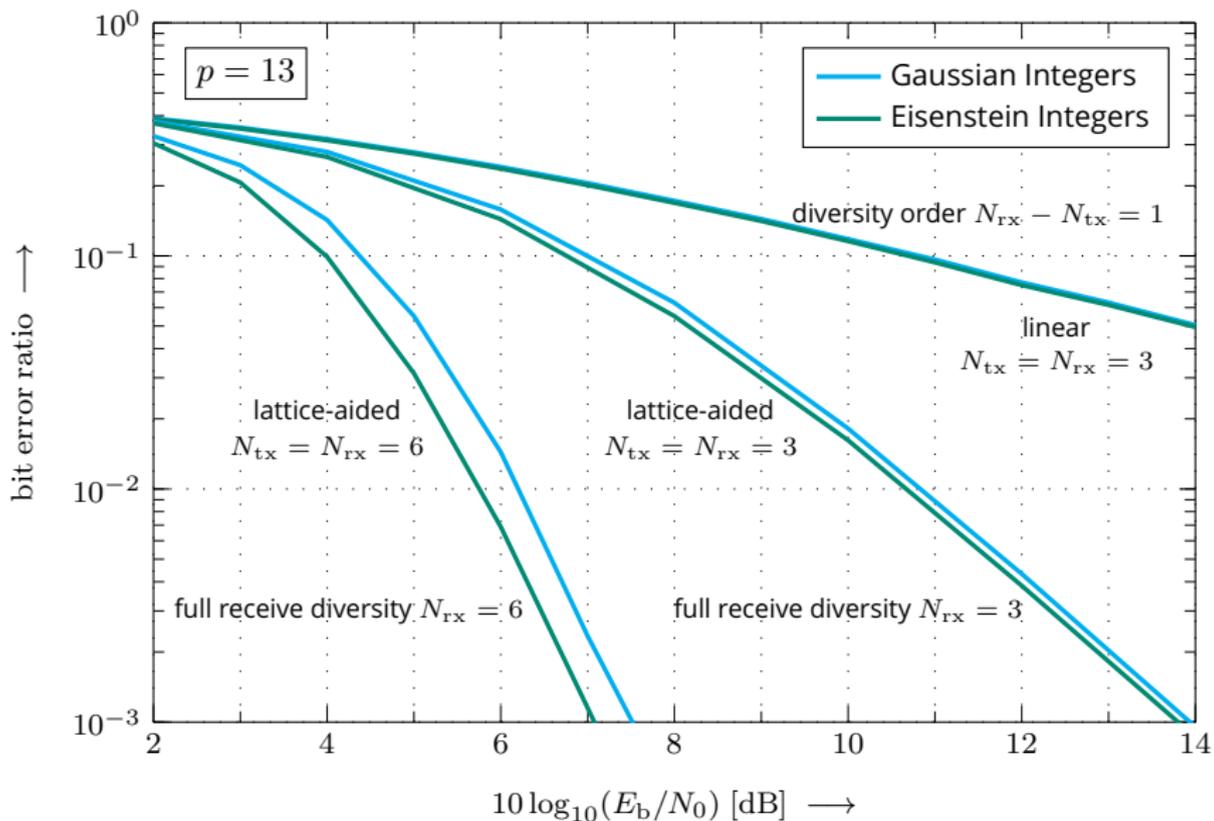
⇒ *joint arithmetic required!* [ZNEG '14]

## Related Coded-Modulation Strategies

- based on algebraic constellations (real/complex-valued)
- utilize equivalence with **signal points from  $\mathcal{A}$**  in modulo arithmetic
- two different strategies to handle integer interference:
  - integer forcing: resolved over finite-field in modulo arithmetic [ZNEG '14]
  - lattice-aided receiver: recovers the **original linear combinations** [Ste '19]
 ⇒ *coded variant of the LRA equalization philosophy*

## Transmission Scenario

- MIMO multiple-access channel
  - *Rayleigh fading* on each link (i.i.d. complex Gaussian)
  - channel matrix constant over codeword duration (*block fading*)
  - results averaged over many channel realizations (and users)
- lattice-aided receiver
  - 13-ary Gaussian and Eisenstein prime constellations
  - optimum channel factorization calculated (successive minima)
  - MMSE criterion
- coded modulation: properties from AWGN scenario
  - non-binary low-density parity-check (LDPC) codes over  $\mathbb{F}_p$
  - 3 information bits per symbol



- introduction to complex-valued transmission
  
- complex-valued lattices and related Voronoi constellations
  
- coded-modulation schemes
  - bit-interleaved coded modulation (BICM)
  - $2^b$ -ary coded modulation
  - coded modulation over algebraic signal constellations
  
- lattice-reduction-aided equalization for MIMO transmission
  - factorization approach (lattice basis reduction/unimodular integer matrix)
  - lattice-basis-reduction criteria (LLL/Minkowski)
  - relaxation of unimodularity constraint/successive minima problem
  - coded modulation using algebraic signal constellations
  - factorization gain of the Eisenstein integers

## Complex Numbers $\mathbb{C}$

$$c = \underbrace{\operatorname{Re}\{c\}}_{\in \mathbb{R}} + \underbrace{\operatorname{Im}\{c\}}_{\in \mathbb{R}} i$$

- field extension of  $\mathbb{R}$
- imaginary unit  $i = \sqrt{-1}$

## Quaternions $\mathbb{H}$

$$\begin{aligned}
 q &= \underbrace{(\operatorname{Re}\{q^{\{1\}}\} + \operatorname{Im}\{q^{\{1\}}\} i)}_{q^{\{1\}} \in \mathbb{C}} + \underbrace{(\operatorname{Re}\{q^{\{2\}}\} + \operatorname{Im}\{q^{\{2\}}\} i)}_{q^{\{2\}} \in \mathbb{C}} j \\
 &= \underbrace{q^{(1)}}_{\in \mathbb{R}} + \underbrace{q^{(2)}}_{\in \mathbb{R}} i + \underbrace{q^{(3)}}_{\in \mathbb{R}} j + \underbrace{q^{(4)}}_{\in \mathbb{R}} k
 \end{aligned}$$

- extension of  $\mathbb{C}$
- imaginary units  $i, j$ , and  $k = i \cdot j$
- multiplication is **non-commutative** (*skew field*)

	$i$	$j$	$k$
$i$	$-1$	$k$	$-j$
$j$	$-k$	$-1$	$i$
$k$	$j$	$-i$	$-1$

## Quaternion-Valued SISO Block Fading (AWGN channel: $h = 1$ )

$$\underline{y} = \underbrace{h}_{h^{1}+h^{2}j} \cdot \underbrace{x}_{x^{1}+x^{2}j} + \underbrace{n}_{n^{1}+n^{2}j}$$

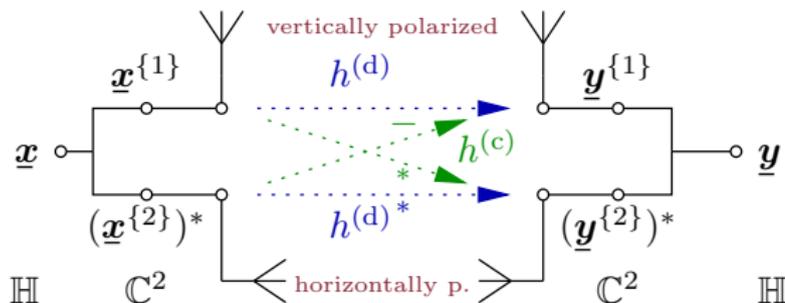
$$\underline{y}^{\{1\}} + \underline{y}^{\{2\}}j = h^{\{1\}} + h^{\{2\}}j \cdot (x^{\{1\}} + x^{\{2\}}j) + n^{\{1\}} + n^{\{2\}}j$$

- equivalently described by complex-valued matrix equation

$$\begin{bmatrix} \underline{y}^{\{1\}} \\ (\underline{y}^{\{2\}})^* \end{bmatrix} = \underbrace{\begin{bmatrix} h^{\{1\}} & -h^{\{2\}} \\ (h^{\{2\}})^* & (h^{\{1\}})^* \end{bmatrix}}_{\begin{bmatrix} h^{(d)} & -h^{(c)} \\ (h^{(c)})^* & (h^{(d)})^* \end{bmatrix}} \begin{bmatrix} \underline{x}^{\{1\}} \\ (\underline{x}^{\{2\}})^* \end{bmatrix} + \begin{bmatrix} \underline{n}^{\{1\}} \\ (\underline{n}^{\{2\}})^* \end{bmatrix}$$

- realized via dual-polarized transmission

[CLF '14, LBX+ '16]



$h^{(d)}$  direct link

$h^{(c)}$  cross link

## Quaternion-Valued System Equation

[IS '95, WWS '06]

$$\underline{y} = h\underline{x} + \underline{n}$$

■ transmit symbols  $\underline{x} = \underbrace{(\underline{x}^{(1)} + \underline{x}^{(2)} i)}_{\text{vertical}} + \underbrace{(\underline{x}^{(3)} - \underline{x}^{(4)} i)^*}_{\text{horizontal}} j$

→ drawn from 4D signal constellation

■ fading factor  $h = \underbrace{(h^{(1)} + h^{(2)} i)}_{\text{direct gain}} + \underbrace{(h^{(3)} - h^{(4)} i)^*}_{\text{cross-polar gain}} j$

→ four i.i.d. real-valued Gaussian coefficients

■ additive noise  $\underline{n} = \underbrace{(\underline{n}^{(1)} + \underline{n}^{(2)} i)}_{\text{vertical noise}} + \underbrace{(\underline{n}^{(3)} - \underline{n}^{(4)} i)^*}_{\text{horizontal noise}} j$

→ four i.i.d. real-valued Gaussian coefficients (AWGN)

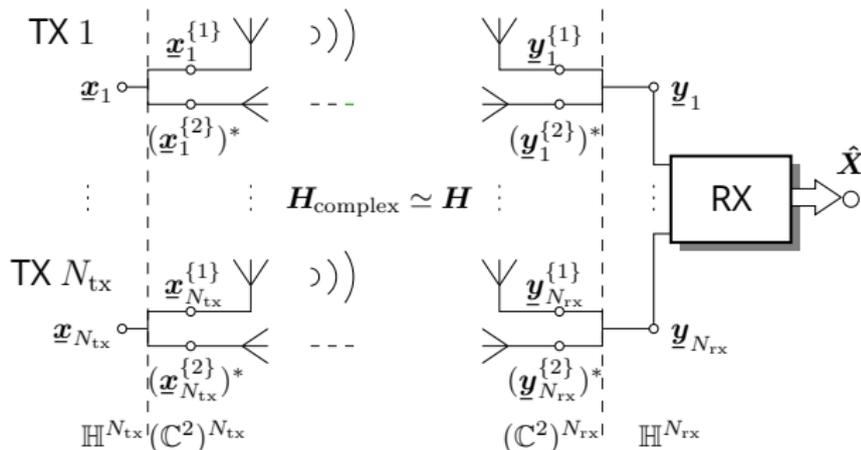
■ receive symbols  $\underline{y} = \underbrace{(\underline{y}^{(1)} + \underline{y}^{(2)} i)}_{\text{vertical}} + \underbrace{(\underline{y}^{(3)} - \underline{y}^{(4)} i)^*}_{\text{horizontal}} j$

## Quaternion-Valued MIMO Channel

$$Y = HX + N, \quad \text{with}$$

$$H = [h_{l,k}]_{\substack{l=1,\dots,N_{\text{rx}} \\ k=1,\dots,N_{\text{tx}}}} \in \mathbb{H}^{N_{\text{rx}} \times N_{\text{tx}}}$$

## $N_{\text{tx}}$ -User MIMO Multiple-Access Channel with $N_{\text{rx}}$ Antenna Pairs [SF '18]



## Lipschitz Integers $\mathcal{L}$

- quaternions with components

$$l = \underbrace{l^{(1)}}_{\in \mathbb{Z}} + \underbrace{l^{(2)}}_{\in \mathbb{Z}} i + \underbrace{l^{(3)}}_{\in \mathbb{Z}} j + \underbrace{l^{(4)}}_{\in \mathbb{Z}} k$$

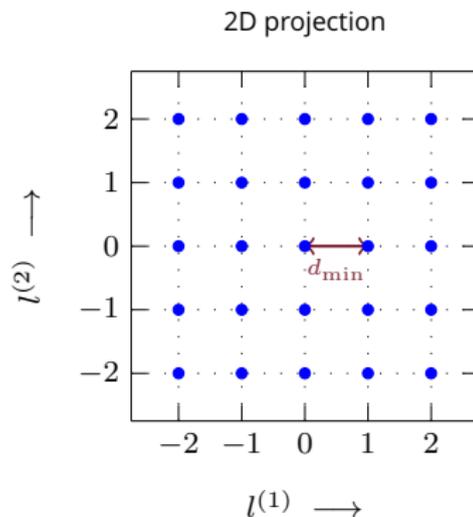
- isomorphic to 4D integer lattice  $\mathbb{Z}^4$

## Important Properties [CS '99, CS '03]

- **eight** nearest neighbors
- squared minimum distance

$$d_{\min}^2 = 1^2 + 0^2 + 0^2 + 0^2 = 1$$

- $\mathcal{L}$  forms a *non-Euclidean ring*
  - no division with small remainder
  - Euclidean algorithm not defined



## Hurwitz Integers $\mathcal{H}$

- quaternions with components

$$h = h^{(1)} + h^{(2)} i + h^{(3)} j + h^{(4)} k ,$$

$$(h^{(1)}, h^{(2)}, h^{(3)}, h^{(4)}) \in \mathbb{Z}^4 \cup (\mathbb{Z} + 1/2)^4$$

- two subsets  $\mathcal{H}_1 = \mathcal{L}$  and  $\mathcal{H}_2 = \mathcal{L} + (1 + i + j + k)/2$
- isomorphic to 4D checkerboard lattice  $D_4$

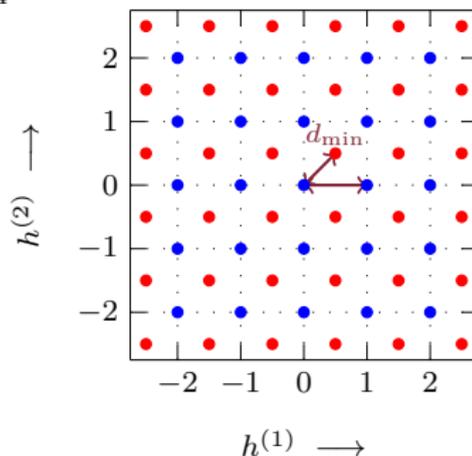
## Important Properties [CS '99, CS '03]

- 24 nearest neighbors
- squared minimum distance

$$d_{\min}^2 = \left(\frac{1}{2}\right)^2 + \left(\frac{1}{2}\right)^2 + \left(\frac{1}{2}\right)^2 + \left(\frac{1}{2}\right)^2 = 1$$

- $\mathcal{H}$  forms a *Euclidean ring*
  - division with small remainder
  - Euclidean algorithm well-defined

2D projection



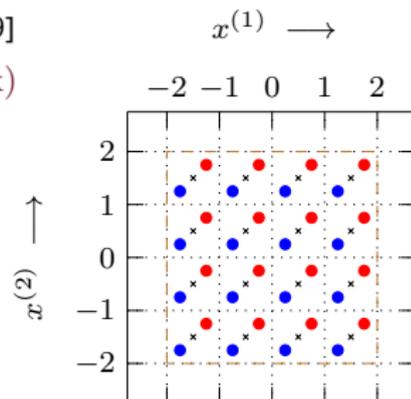
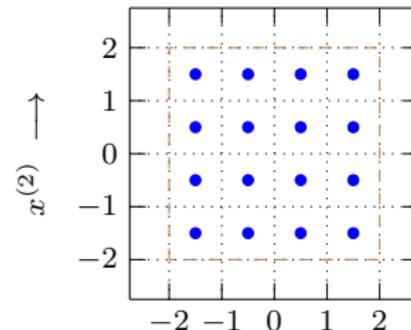
## Based on Lipschitz Integers $\mathcal{L}$

- QAM in each polarization
- Voronoi constellation over  $\mathbb{G}$  (with offset)
- cardinalities  $M = 4^2 = 16, 16^2 = 256, \dots$
- 4D Gray labeling possible
- separable into **four 1D constellations**

## Based on Hurwitz Integers $\mathcal{H}$ [SF '18, SFFF '19]

- subsets  $\mathcal{L}_1$  and  $\mathcal{L}_2$  with offset  $\pm \frac{1}{4}(1 + i + j + k)$
  - enable one additional bit  
→  $M = 2 \cdot 16 = 32, 2 \cdot 256 = 512, \dots$
  - same boundaries and minimum distance
  - 4D Gray labeling not possible
- **no straightforward application of bit-interleaved coded modulation (BICM)**

2D projection



## Voronoi Constellations over Hurwitz Integers

$$\mathcal{A} = \mathcal{H} \cap \mathcal{R}_V(\Theta\mathcal{H})$$

- can in theory be constructed
- problem: Voronoi region is 24-cell
  - 24 vertices
  - 96 edges
  - 96 faces

→ boundaries have to be handled properly

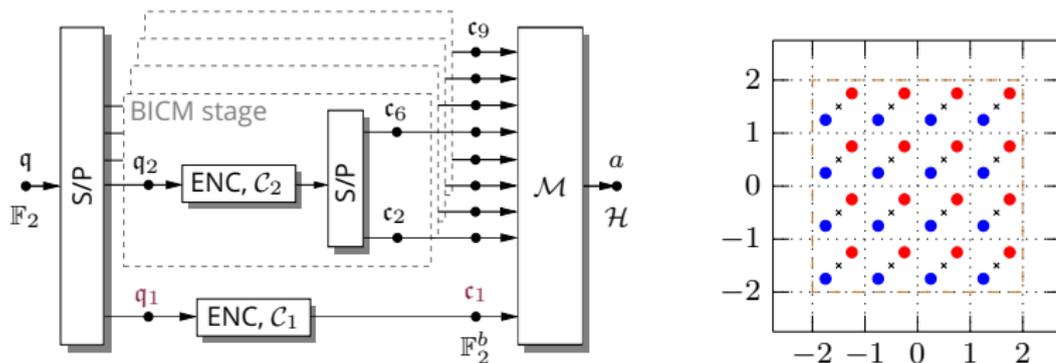
⇒ proposed Hurwitz constellations only benefit from packing gain

## Algebraic Constellations over Lipschitz/Hurwitz Integers

- constellations based on Lipschitz primes
- constellations based on Hurwitz primes

⇒ part of current research

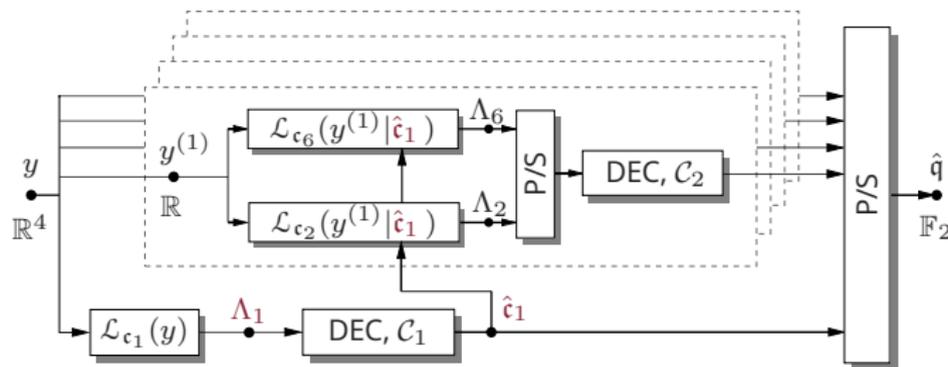
## Two-Stage Transmitter for Hurwitz Constellations ( $M = 512$ ) [SFFF '19]



- 4D stage: bit stream  $q_1$  protected by low-rate code  $C_1$   
 → encoded *offset bits*  $c_1$  select via the mapping  $\mathcal{M}$  between
  - Lipschitz subset  $\mathcal{L}_1$  shifted by  $-\frac{1}{4}(1 + i + j + k)$
  - Lipschitz subset  $\mathcal{L}_2$  shifted by  $+\frac{1}{4}(1 + i + j + k)$
- 1D stage: conventional coded modulation in the subset
  - 4D signal treated per component (here: 4ASK)
  - BICM with mid-to-high-rate code  $C_2$  using Gray labeling

## Two-Stage Decoder for Hurwitz Constellations ( $M = 512$ )

[SFFF '19]

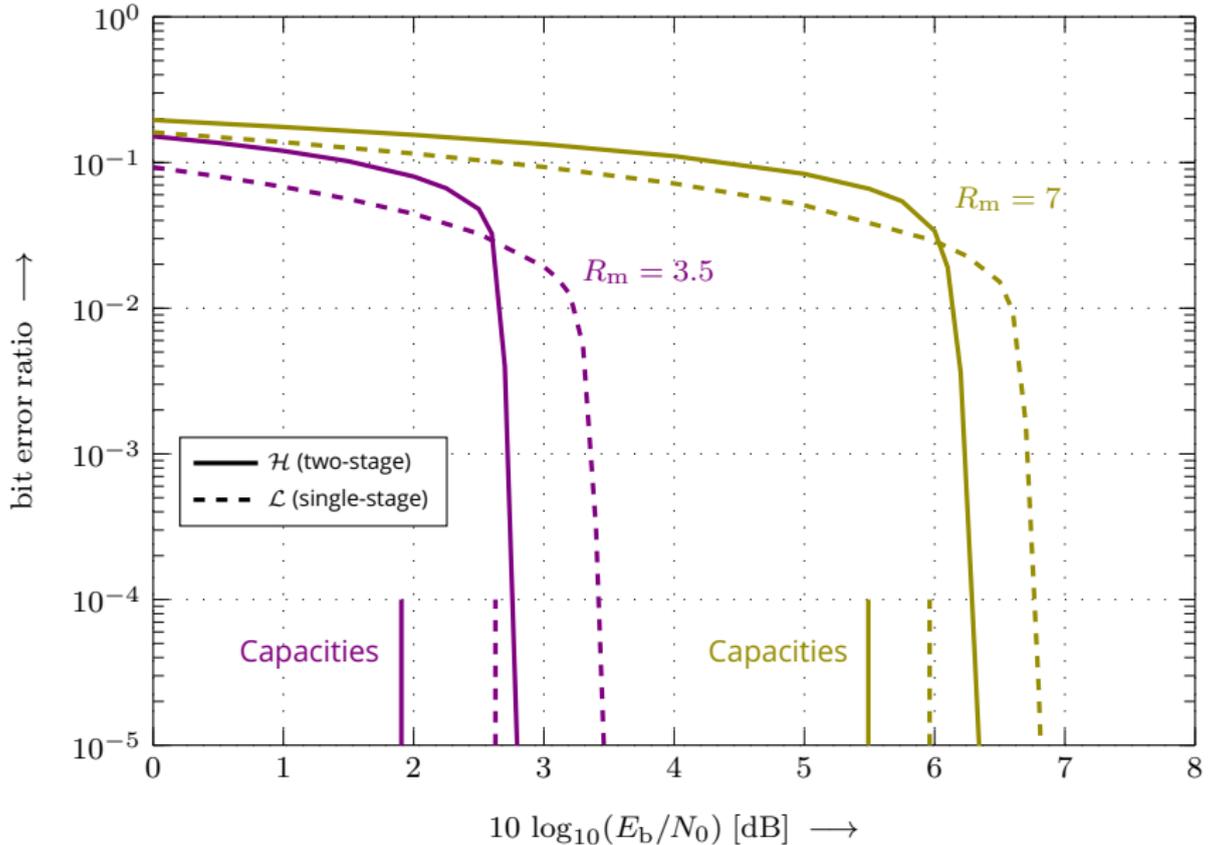


1. 4D stage: decoding of offset bits
2. 1D stage: conventional decoding in the subset
  - already decoded offset bits  $\hat{c}_1$  select between  $\mathcal{L}_1$  and  $\mathcal{L}_2$
  - individual metric calculation w.r.t. real-valued components  $y^{(\cdot)}$

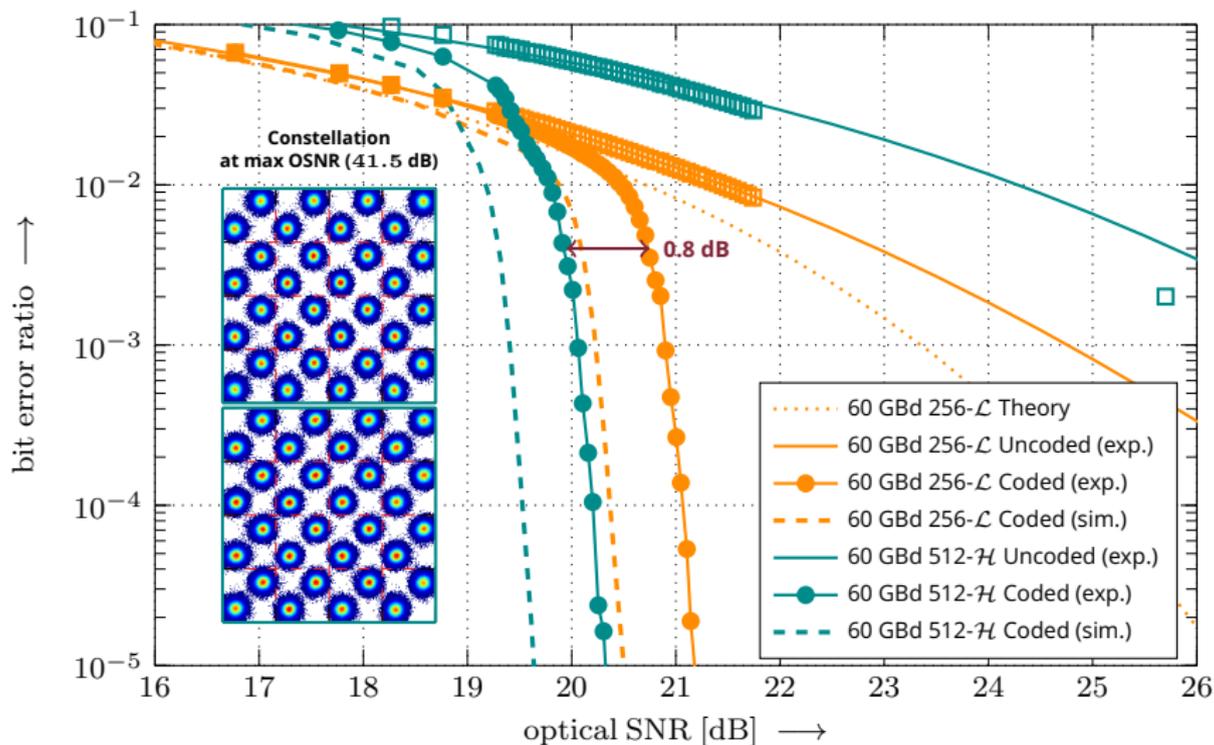
## Numerical Simulations

- numerical simulations using LDPC codes
  - binary irregular repeat-accumulate codes
- code length 64800
- scenarios with fixed modulation rate  $R_m$  (number of information bits)
- code rates according to capacity rule of multilevel coding [WFH '99]

Scenario	Approach	$M$	$R_{c,1}$	$R_{c,2}$
$R_m = 3.5$	$\mathcal{H}$ (two-stage)	32	0.4909	0.7523
	$\mathcal{L}$ (single-stage)	16	—	0.8750
$R_m = 7$	$\mathcal{H}$ (two-stage)	512	0.3103	0.8362
	$\mathcal{L}$ (single-stage)	256	—	0.8750



## Results of Fiber-Optic Transmission presented at ECOC 2019 [FSE+ '19]

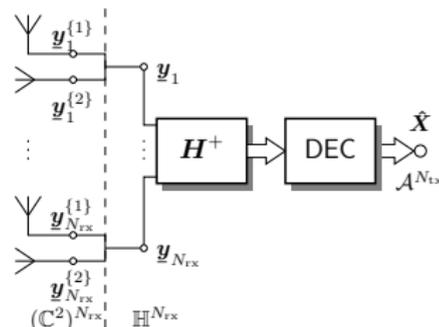


## MIMO Multiple-Access Channel

- quaternion-valued linear equalization
- quaternion-valued channel inverse (ZF)

$$\mathbf{H}^+ \in \mathbb{H}^{N_{\text{rx}} \times N_{\text{tx}}}$$

- MMSE criterion via augmented representation



## Diversity Order (i.i.d. Gaussian Channel)

- $h_{l,k} = \text{Re}\{h_{l,k}\} + \text{Im}\{h_{l,k}\} \mathbf{i} \in \mathbb{C}$   
→ two independent gains; i.e., diversity

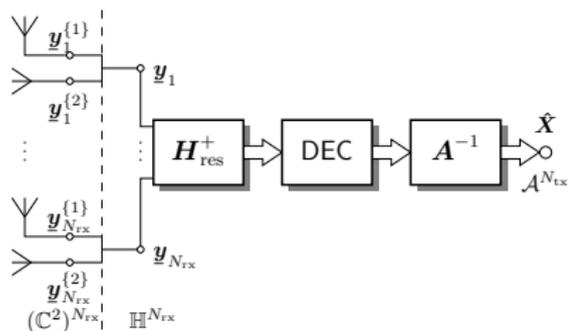
$$\Delta_{\text{c,LIN}} = N_{\text{rx}} - N_{\text{tx}} + 1 \quad (\text{i.e., } \Delta_{\text{c,LIN}} = 1 \text{ for } N_{\text{tx}} = N_{\text{rx}})$$

- $h_{l,k} = h_{l,k}^{(1)} + h_{l,k}^{(2)} \mathbf{i} + h_{l,k}^{(3)} \mathbf{j} + h_{l,k}^{(4)} \mathbf{k} \in \mathbb{H}$   
→ four independent gains; i.e., diversity

$$\Delta_{\text{q,LIN}} = 2(N_{\text{rx}} - N_{\text{tx}} + 1) \quad (\text{i.e., } \Delta_{\text{q,LIN}} = 2 \text{ for } N_{\text{tx}} = N_{\text{rx}})$$

## MIMO Multiple-Access Channel

- factorization  $H = H_{\text{res}} A$
- $H_{\text{res}} \in \mathbb{H}^{N_{\text{rx}} \times N_{\text{tx}}}$
- $A \in \Lambda_{\mathbb{a}}^{N_{\text{tx}} \times N_{\text{tx}}} = \mathbb{I}^{N_{\text{tx}} \times N_{\text{tx}}}$ 
  - quaternion-valued integer ring  $\mathbb{I}$
  - how to factorize channel?



## Quaternion-Valued LLL Reduction

- recapitulation
    - generalization of size-reduction condition:  $Q_{\mathbb{I}}\{r_{l,v}\} = 0$
    - maximum squared quantization error  $\epsilon$  is minimum quality parameter
      - $\Rightarrow \delta > \epsilon$
    - maximum quality parameter  $\delta = 1$ , i.e.,  $\delta \leq 1$
  - LLL reduction over Lipschitz integers
    - maximum squared quantization error  $\epsilon = 1$
    - however:  $\epsilon = 1 < \delta \leq 1$
- $\Rightarrow$  LLL reduction over Lipschitz integers cannot be defined
- $\Rightarrow$  direct consequence of non-Euclidean property

## Quaternion-Valued LLL Reduction

- LLL reduction over Hurwitz integers
    - maximum squared quantization error  $\epsilon = 1/2$
    - hence:  $1/2 < \delta \leq 1$
- ⇒ LLL reduction over Hurwitz integers can be defined
- ⇒ “QLLL reduction”

[SF'18]

## Quaternion-Valued Minkowski Reduction

- recapitulation
  - shortest vectors that can be extended to a basis of the lattice
  - condition:  $\gcd\{\zeta_v, \dots, \zeta_V\} = 1$ 
    - Euclidean algorithm required
- Minkowski reduction over Lipschitz integers
  - not a Euclidean ring
  - definition not possible
- Minkowski reduction over Hurwitz integers
  - Euclidean ring
  - definition possible

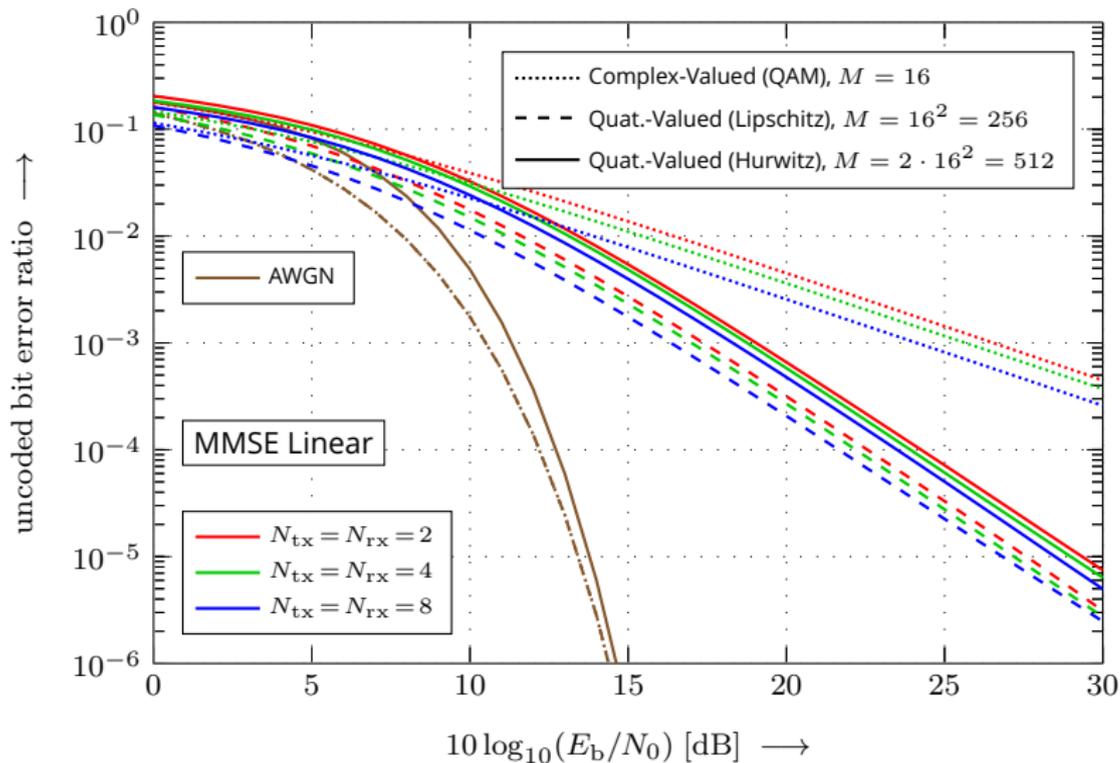
## Quaternion-Valued Successive Minima Problem

- recapitulation: shortest linearly independent lattice vectors
- no restriction to Euclidean rings imposed
- possible over Lipschitz and Hurwitz integers

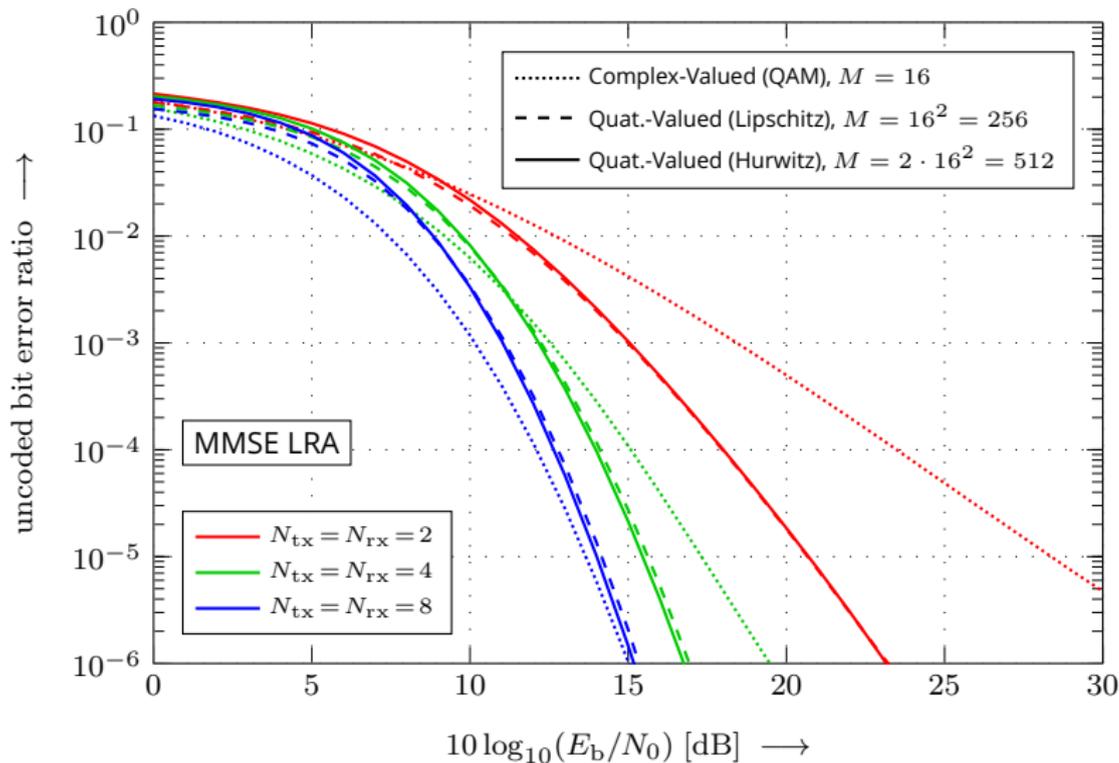
### *Diversity Order (i.i.d. Gaussian Channel)*

- LRA linear equalization achieves full receive diversity [TMK'07]
- complex-valued transmission:  $\Delta_{c,LRA} = N_{rx}$
- quaternion-valued transmission:  $\Delta_{q,LRA} = 2 N_{rx}$

## MIMO Multiple-Access Channel Scenario



## MIMO Multiple-Access Channel Scenario (QLL reduction)



### Quaternions

- algebraic structure with four orthogonal components
- multiplication non-commutative
- related rings Lipschitz and Hurwitz integers

### Quaternion-Valued Coded Modulation

- Hurwitz constellations benefit from denser packing
- coded modulation via two-stage encoding/decoding scheme

### Quaternion-Valued MIMO Transmission

- diversity orders doubled w.r.t. complex-valued case
- LRA equalization via QLLL (based on Hurwitz integers)

### Future Work

- quaternion-valued lattice-basis-reduction algorithms
- quaternion-valued algebraic signal constellations
- coded modulation for quaternion-valued MIMO transmission

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