

I. INTRODUCTION

With the great advance in communication performance (throughput, latency, outage), the main challenge of wireless network has come to energy supply. Most existing mobile devices are powered by batteries that require frequent charging or replacement, which leads to high maintenance cost and thus restricts the scale of networks. Although solar energy and inductive coupling has become popular alternatives, the former depends on the environment while the latter has a very short operation range. Simultaneous Wireless Information and Power Transfer (SWIPT) is a promising solution to connect and power mobile devices via electromagnetic (EM) waves in the radio-frequency (RF) band. It provides low power (in μW level) but broad coverage (up to hundreds of meters) [1] in a sustainable and controllable manner. The decreasing trend in electronic power consumption also boosts the paradigm shift from dedicated power source to Wireless Power Transfer (WPT) and SWIPT.

The concept of SWIPT were first cast in [2], where the authors investigated the rate-energy (R-E) tradeoff for a flat Gaussian channel and some discrete channels. Two practical receiver structures were then proposed in [3], namely Time Switching (TS) that switches between energy harvesting (EH) and Information Decoding (ID) modes and Power Splitting (PS) that splits the received signal into individual components. On top of this, [4] characterized the R-E region for a multiple-input multiple-output (MIMO) broadcast system under TS and PS setup. Information and power beamforming was then considered in multi-user multi-input single-output (MISO) systems to maximize the Weighted Sum-Power (WSP) subjective to Signal-to-Interference-plus-Noise Ratio (SINR) constraints [5]. Motivated by this, [6] investigated fundamental transceiver modules, information and power scheduling, and interference management for SWIPT systems. However, [7] pointed out that the Radio Frequency (RF)-to-Direct Current (DC) conversion efficiency depends on the harvester input power level. The authors also suggested a parametric harvester model based on curve fitting and proposed an iterative resource allocation algorithm. From another perspective, [8], [9] demonstrated that multisine waveform is more suitable for WPT as it outperforms single tone in both operation range and RF-to-DC efficiency. [10] derived a tractable nonlinear harvester model based on the Taylor expansion of diode I-V characteristics and proposed an adaptive waveform optimization algorithm to maximize the output DC current under rate constraints. Simulation and experiments demonstrated the benefit of modelling rectifier nonlinearity in system design [11], [12]. The work was extended to SWIPT in [13] where a superposition of modulated information waveform and multisine power waveform is optimized to enlarge the R-E region. In contrast, [14] suggested an adaptive dual-mode SWIPT, which alternates between single-tone transmission that exploits conventional modulation for high-rate applications and multisine transmission that encodes the information in the Peak-to-Average Ratio (PAPR) for power-demanding applications. By assuming On-Off-Keying (OOK) where bit 1 carries energy, [15] compared unary and Run-Length-Limited (RLL) code in

terms of rate vs battery overflow/underflow probability, and adjusted conventional modulation schemes to ensure WPT is only activated at the points with large offset. Also, a learning approach [16] demonstrated that the offset of the power symbol is positively correlated to the harvester energy constraint, while the information symbols are symmetrically distributed around the origin. It confirmed that the superposed waveform is feasible to enlarge R-E region when considering rectifier nonlinearity. SWIPT was also explored in the network design. [17] proposed a cooperative SWIPT Non-Orthogonal Multiple Access (NOMA) protocol with three user selection schemes such that the strong user assists the EH of the weak user. In [18], SWIPT based on Rate Splitting (RS) was formulated as a Weighted Sum-Rate (WSR) maximization problem subject to total harvested energy constraint for separated Information Receivers (IRs) and Energy Receivers (ERs).

Intelligent Reflecting Surface (IRS) adapts the wireless environment to increase spectrum and energy efficiency. In practice, an IRS consists of multiple individual reflecting elements that adjust the amplitude and phase of the incident signal through passive beamforming. Different from relay and backscatter communication, IRS assists the primary transmission without any active components, leading to low power consumption and no thermal noise added to the reflected signal. It also contributes to a quadratic increase of received signal power with the number of reflectors, which can be interpreted as a Maximum Ratio Combining (MRC) receiver overlapped to a Maximum Ratio Transmission (MRT) transmitter.

Inspired by the advance in real-time reconfigurable metamaterials [19], [20] introduced a programmable metasurface that steers or polarizes the EM wave at specific frequency to mitigate path loss and multi-path fading. At the same time, [21] constructed an adjustable reflect array that ensures reliable millimeter-wave (mmWave) communication based on a beam-searching algorithm to solve indoor signal blockage problem. Motivated by this, [22], [23] introduced an IRS-assisted MISO system and proposed a beamforming algorithm that jointly optimizes the precoder at the Access Point (AP) and the phase shifts at the IRS to maximize Signal-to-Noise Ratio (SNR). The active and passive beamforming problem was extended to the discrete phase shift case [24] and the multiuser case [25]. In [26], channel estimation for Time Division Duplex (TDD) systems was performed through a two-stage Minimum Mean Squared Error (MMSE)-based protocol that sequentially evaluates the cascaded channel of each IRS element with the others switched off. Starting from the impedance equation, [27] investigated the influence of phase shift on the reflection amplitude and proposed a parametric IRS model via curve fitting. Recent research also explored the opportunity of integrating IRS with Orthogonal Frequency Division Multiplexing (OFDM) systems. A practical transmission protocol was proposed in [28], where the authors exploited spatial correlation to reduce estimation overhead and optimization complexity by assuming adjacent elements share a common reflection coefficient. On top of this, group-based OFDM channel estimation was investigated in [29]. [30] proposed a dynamic passive beamforming strategy that adapts IRS over time slots to create time-varying channels

within coherence time and exploits the diversity by updating resource allocation and IRS configuration alternatively. Real-time high-definition video transmission was performed over a prototype constructed with Positive Intrinsic-Negative (PIN) diodes, which demonstrated the feasibility and benefit of IRS at GHz and mmWave frequency [31].

The effective channel enhancement and low power consumption of IRS are expected to bring more opportunities to SWIPT. Based on linear harvester model with energy interference, [32] proved that at most one energy beam is required to maximize the WSP subject to SINR constraints. The fairness issue was then considered in [33], which assumed perfect energy interference cancellation and maximized the minimum output power based on Alternating Optimization (AO) and Semi-Definite Relaxation (SDR) techniques. [34] proposed a novel penalty-based algorithm, whose inner layer employs Block Coordinate Descent (BCD) method to update precoders, phase shifts and auxiliary variables while the outer layer updates the penalty coefficients. It demonstrated that Line-of-Sight (LoS) links can boost the harvested power since the rank-deficient channels are highly correlated such that a single energy stream can satisfy the energy constraints of all ERs. In [35], the WSR maximization of MIMO SWIPT was first transformed to Weighted Minimum Mean Square Error (WMMSE) problem then solved by BCD with low-complexity iterative algorithms. However, most existing IRS-SWIPT papers focus on narrow-band transmission over linear harvester model.

II. SYSTEM MODEL

Consider an IRS-aided multiuser SISO SWIPT system where the IRS not only assists the primal transmission but also retrieves Channel State Information (CSI) and harvests energy for its own operation. The single-antenna transmitter delivers information and power simultaneously, through the L -reflector IRS, to K single-antenna users over N orthogonal subbands. Assume a total bandwidth B and evenly-spaced carriers around center frequency f_0 . Denote the frequency of the n -th subband as f_n ($n = 1, \dots, N$). Suppose each subband is allocated to one user per time slot. It is assumed that the IRS performs channel estimation in the first subframe and supports information and power transfer in the second subframe [29]. Due to the passive characteristics of IRS, we consider a Time-Division Duplexing (TDD) protocol where the CSI can be obtained by exploiting channel reciprocity. Perfect CSI is assumed at the AP and IRS to investigate the analytical upper-bound of the proposed system. A quasi-static frequency-selective model is used for both the AP-user and AP-IRS-user links where the channels are assumed unchanged within each transmission frame. The signals reflected by IRS for two and more times are assumed negligible and thus not considered. Note that although Frequency Selective Surface (FSS) has received much attention for wideband communications, active FSS requires RF-chains thus becomes prohibitive in IRS [36], [5]. Since passive FSS is not reconfigurable with fixed physical characteristics [37], we assume a frequency-flat IRS with the same reflection coefficients for all subbands. Since a

deterministic multisine waveform can boost the energy transfer efficiency [10] and creates no interference to the information signal [38], we use a superposition of multicarrier modulated and unmodulated waveforms, both transmitted on the same frequency bands, to maximize the rate-energy tradeoff. Two practical receiver architectures proposed in [4], namely Time Switching (TS) and Power Splitting (PS), are investigated for the co-located information decoder and energy harvester. In the TS strategy, each transmission subframe is further divided into orthogonal data and energy slots, with duration ratio $(1 - \lambda)$ and λ respectively. Hence, the achievable rate-energy region can be obtained through a time sharing between wireless power transfer (WPT) with $\lambda = 1$ and wireless information transfer (WIT) with $\lambda = 0$. The adjustment of λ has no impact on the transmit waveform and IRS elements design as they are optimized individually in data and energy slots. In comparison, the PS scheme splits the received signal into data and energy streams with power ratio $(1 - \rho)$ and ρ such that the PS ratio is coupled with waveform design. Perfect synchronization is assumed among the three parties in both scenarios.

A. Transmit Signal

Denote $\tilde{x}_{I,n}(t)$ as the information symbol transmitted over subband n , which belongs to one user at time t and follows a capacity-achieving i.i.d. Circular Symmetric Complex Gaussian (CSCG) distribution $\tilde{x}_{I,n} \sim \mathcal{CN}(0, 1)$. Let $\alpha_{k,n}$ be the allocation indicator, namely if subband n is given to user k ($k = 1, \dots, K$), we have $\alpha_{k,n} = 1$ and $\alpha_{k',n} = 0 \forall k' \neq k$. Let $\alpha_k = [\alpha_{k,1}, \dots, \alpha_{k,N}]^T \in \mathbb{C}^{N \times 1}$. The superposed transmit signal at time t is

$$x(t) = \Re \left\{ \sum_{n=1}^N (w_{I,n} \tilde{x}_{I,n}(t) + w_{P,n}) e^{j2\pi f_n t} \right\} \quad (1)$$

where $w_{I/P,n} = s_{I/P,n} e^{j\psi_{I/P,n}}$ collects the magnitude and phase of the information and power signal at frequency n . We further define the waveform vectors $\mathbf{w}_{I/P} = [w_{I/P,1}, \dots, w_{I/P,N}]^T \in \mathbb{C}^{N \times 1}$.

B. Composite Channel Model

Denote the frequency response of the AP-user k direct link as $\mathbf{h}_{D,k} = [h_{D,k,1}, \dots, h_{D,k,N}]^T \in \mathbb{C}^{N \times 1}$. Let $[\mathbf{h}_{I,1}, \dots, \mathbf{h}_{I,N}] \in \mathbb{C}^{L \times N}$ be the frequency response of AP-IRS incident channel, where $\mathbf{h}_{I,n} \in \mathbb{C}^{L \times 1}$ corresponds to the n -th incident channel. Similarly, let $[\mathbf{h}_{R,k,1}, \dots, \mathbf{h}_{R,k,N}]^H \in \mathbb{C}^{N \times L}$ be the frequency response of IRS-user k reflective channel, where $\mathbf{h}_{R,k,n}^H \in \mathbb{C}^{1 \times L}$ corresponds to the n -th reflective channel. At the IRS, element l ($l = 1, \dots, L$) redistributes the received signal by adjusting the amplitude reflection coefficient $\beta_l \in [0, 1]$ and phase shift $\theta_l \in [0, 2\pi)$ ¹. On top of this, the IRS matrix is constructed by collecting the reflection coefficients onto the main diagonal entries as $\Theta = \text{diag} \{ \beta_1 e^{j\theta_1}, \dots, \beta_L e^{j\theta_L} \} \in \mathbb{C}^{L \times L}$. The IRS-aided link can be modeled as a concatenation of the AP-IRS channel,

¹To investigate the performance upper bound of IRS, we suppose the reflection coefficient is maximized $\beta_l = 1 \forall l$ while the phase shift is a continuous variable over $[0, 2\pi)$.

IRS reflection, and IRS-user k channel, which for user k over subband n is

$$\mathbf{h}_{E,k,n} = \mathbf{h}_{R,k,n}^H \mathbf{\Theta} \mathbf{h}_{I,n} = \mathbf{v}_{k,n}^H \boldsymbol{\phi} \quad (2)$$

where $\mathbf{v}_{k,n}^H = \mathbf{h}_{R,k,n}^H \text{diag}(\mathbf{h}_{I,n}) \in \mathbb{C}^{1 \times L}$ and $\boldsymbol{\phi} = [e^{j\theta_1}, \dots, e^{j\theta_L}] \in \mathbb{C}^{L \times 1}$. Both direct and extra link contributes to the corresponding composite channel as

$$\mathbf{h}_{k,n} = A_{k,n} e^{j\bar{\psi}_{k,n}} \mathbf{h}_{D,k,n} + \mathbf{v}_{k,n}^H \boldsymbol{\phi} \quad (3)$$

where $A_{k,n}$ and $\bar{\psi}_{k,n}$ are the amplitude and phase of the composite channel of user k at subband n . Let $\mathbf{V}_k^H = [\mathbf{v}_{k,1}, \dots, \mathbf{v}_{k,N}]^H \in \mathbb{C}^{N \times L}$, the extra link for user k is $\mathbf{h}_{E,k} = [h_{E,k,1}, \dots, h_{E,k,N}]^T = \mathbf{V}_k^H \boldsymbol{\phi} \in \mathbb{C}^{N \times 1}$. Therefore, the composite channel of user k is

$$\mathbf{h}_k = \mathbf{h}_{D,k} + \mathbf{V}_k^H \boldsymbol{\phi} \quad (4)$$

C. Receive Signal

The RF signal received by user k captures the contribution of information and power waveforms through both direct and IRS-aided links as

$$y_k(t) = \Re \left\{ \sum_{n=1}^N h_{k,n} (w_{I,n} \tilde{x}_{I,n}(t) + w_{P,n}) e^{j2\pi f_n t} \right\} \quad (5)$$

which can be divided into

$$y_{I,k}(t) = \Re \left\{ \sum_{n=1}^N h_{k,n} w_{I,n} \tilde{x}_{I,n}(t) e^{j2\pi f_n t} \right\} \quad (6)$$

$$y_{P,k}(t) = \Re \left\{ \sum_{n=1}^N h_{k,n} w_{P,n} e^{j2\pi f_n t} \right\} \quad (7)$$

D. Information Decoder

A major benefit of the superposed waveform is that the power component $y_{P,k}(t)$ creates no interference to the information component $y_{I,k}(t)$. Hence, the achievable rate of user k is

$$R_k(\mathbf{w}_I, \boldsymbol{\phi}, \rho, \boldsymbol{\alpha}_k) = \sum_{n=1}^N \alpha_{k,n} \log_2 \left(1 + \frac{(1-\rho)|h_{k,n} w_{I,n}|^2}{\sigma_n^2} \right) \quad (8)$$

where σ_n^2 is the variance of the noise at RF band and during RF-to-BB conversion on tone n . Rate 8 is achievable with either waveform cancellation or translated demodulation [38].

E. Energy Harvester

Consider a nonlinear diode model based on the Taylor expansion of a small signal model [10], [38], which highlights the dependency of harvester output DC current on the received waveform of user k as

$$i_k(\mathbf{w}_I, \mathbf{w}_P, \boldsymbol{\phi}, \rho) \approx \sum_{i=0}^{\infty} k'_i \rho^{i/2} R_{\text{ant}}^{i/2} \mathcal{E} \{ \mathcal{A} \{ y_k(t)^i \} \} \quad (9)$$

where R_{ant} is the impedance of the receive antenna, $k'_0 = i_s(e^{-i_k R_{\text{ant}}/nv_t} - 1)$, $k'_i = i_s e^{-i_k R_{\text{ant}}/nv_t} / i! (nv_t)^i$ for $i = 1, \dots, \infty$, i_s is saturation current, n is diode ideality factor, v_t is thermal voltage. For a fixed channel and waveform, $\mathcal{A} \{ \cdot \}$ extracts the DC component of the received signal while $\mathcal{E} \{ \cdot \}$ covers the expectation over $\tilde{x}_{I,n}$.

With the assumption of evenly spaced frequencies, we have $\mathcal{E} \{ y_k(t)^i \} = 0 \forall i$ odd such that the related terms has no contribution to DC components. For simplicity, we truncate the infinite series to the n_0 -th order. Maximizing a truncated 9 is equivalent to maximizing a monotonic function [10]

$$z_k(\mathbf{w}_I, \mathbf{w}_P, \boldsymbol{\phi}, \rho) = \sum_{i \text{ even}, i \geq 2}^{n_0} k_i \rho^{i/2} R_{\text{ant}}^{i/2} \mathcal{E} \{ \mathcal{A} \{ y_k(t)^i \} \} \quad (10)$$

where $k_i = i_s / i! (nv_t)^i$. We choose $n_0 = 4$ to investigate the fundamental impact of diode nonlinearity on waveform design. Note that $\mathcal{E} \{ |\tilde{x}_{I,n}|^2 \} = 1$ and $\mathcal{E} \{ |\tilde{x}_{I,n}|^4 \} = 2$, which can be interpreted as a modulation gain on the nonlinear terms of the output DC current.

For simplicity, we define $\mathbf{W}_{I/P} = \mathbf{w}_{I/P} \mathbf{w}_{I/P}^H$ and $\mathbf{H}_k = \mathbf{h}_k \mathbf{h}_k^H$ as waveform matrices and channel matrix of user k . Let $\mathbf{W}_{I/P,n}$, $\mathbf{H}_{k,n}$ keep the n -th ($n = -N + 1, \dots, N - 1$) diagonal of $\mathbf{W}_{I/P}$, \mathbf{H}_k and null the remaining entries, respectively. Due to the positive definiteness of $\mathbf{W}_{I/P}$ and \mathbf{H}_k , we have $\mathbf{W}_{I/P,-n} = \mathbf{W}_{I/P,n}^H$ and $\mathbf{H}_{k,-n} = \mathbf{H}_{k,n}^H$. Let $\beta_2 = k_2 R_{\text{ant}}$ and $\beta_4 = k_4 R_{\text{ant}}^2$. On top of this, nonzero terms in 10 are detailed in 11 – 18 such that the current expression reduces to 19 – 21.

F. Weighted Sum Rate-Energy Region

Define the achievable weighted sum rate-energy (WSR-E) region as

$$C_{R-I}(P) \triangleq \left\{ (R, I) : R \leq \sum_{k=1}^K u_{I,k} R_k, I \leq \sum_{k=1}^K u_{P,k} z_k, \right. \\ \left. \frac{1}{2} (\mathbf{w}_I^H \mathbf{w}_I + \mathbf{w}_P^H \mathbf{w}_P) \leq P \right\} \quad (22)$$

where P is the transmit power budget and $u_{I,k}, u_{P,k}$ are the information and power weight of user k .

III. SINGLE-USER OPTIMIZATION

Consider a single-user waveform and IRS optimization problem where $\boldsymbol{\alpha} = \mathbf{1}^{N \times 1}$. We characterize the rate-energy region through a current maximization problem subject to transmit power, rate, and IRS constraints

$$\max_{\mathbf{w}_I, \mathbf{w}_P, \boldsymbol{\phi}, \rho} z(\mathbf{w}_I, \mathbf{w}_P, \boldsymbol{\phi}, \rho) \quad (23a)$$

$$\text{s.t.} \quad \frac{1}{2} (\mathbf{w}_I^H \mathbf{w}_I + \mathbf{w}_P^H \mathbf{w}_P) \leq P, \quad (23b)$$

$$\sum_n \log_2 \left(1 + \frac{(1-\rho)(h_{D,n} + \mathbf{v}_n^H \boldsymbol{\phi}) w_{I,n}}{\sigma_n^2} \right) \geq \bar{R}, \quad (23c)$$

$$|\phi_l| = 1, \quad l = 1, \dots, L, \quad (23d)$$

$$0 \leq \rho \leq 1 \quad (23e)$$

Problem 23 is intricate due to the non-convex objective function with coupled variables. In the next section, we propose waveform and phase shift design algorithms for frequency-flat and frequency-selective IRS, respectively.

A. Frequency-Selective IRS

Each element in frequency-selective IRS is expected to provide subband-dependent reflection coefficients. Hence, ϕ_n replaces ϕ in 23 and the IRS has a total degree of freedom (DoF) of NL . Note that $|(h_{D,n} + \mathbf{v}_n^H \phi_n)w_{I,n}| \leq |h_{D,n}w_{I,n}| + |\mathbf{v}_n^H \phi_n w_{I,n}|$ where the equality holds when the direct and IRS-aided links are aligned. Therefore, we choose the phase shift of element l at subband n as

$$\theta_{n,l}^* = \angle h_{D,n} - \angle h_{R,n,l} - \angle h_{I,n,l} \quad (24)$$

That is to say, the optimal phase shift is obtained in closed form in the single-user scenario, and the phase of the com-

posite channel equals that of the direct channel. Moreover, it can be observed from 8 and 19 that the optimal phases of information and power waveform are both match to the composite channel as

$$\psi_{I,n}^* = \psi_{P,n}^* = -\bar{\psi}_n \quad (25)$$

By such a phase selection, we have

$$|(h_{D,n} + \mathbf{v}_n^H \phi_n)w_{I,n}| = |h_{D,n}||w_{I,n}| + |\mathbf{v}_n^H \phi_n||w_{I,n}| \quad (26)$$

$$\mathcal{E} \{ \mathcal{A} \{ y_{I,k}^2(t) \} \} = \frac{1}{2} \sum_n (h_{k,n} w_{I,n})(h_{k,n} w_{I,n})^* \quad (11)$$

$$= \frac{1}{2} \mathbf{h}_k^H \mathbf{W}_{I,0}^* \mathbf{h}_k = \frac{1}{2} \mathbf{w}_I^H \mathbf{H}_{k,0}^* \mathbf{w}_I \quad (12)$$

$$\mathcal{E} \{ \mathcal{A} \{ y_{I,k}^4(t) \} \} = \frac{3}{4} \left(\sum_n (h_{k,n} w_{I,n})(h_{k,n} w_{I,n})^* \right)^2 \quad (13)$$

$$= \frac{3}{4} (\mathbf{h}_k^H \mathbf{W}_{I,0}^* \mathbf{h}_k)^2 = \frac{3}{4} (\mathbf{w}_I^H \mathbf{H}_{k,0}^* \mathbf{w}_I)^2 \quad (14)$$

$$\mathcal{A} \{ y_{P,k}^2(t) \} = \frac{1}{2} \sum_n (h_{k,n} w_{P,n})(h_{k,n} w_{P,n})^* \quad (15)$$

$$= \frac{1}{2} \mathbf{h}_k^H \mathbf{W}_{P,0}^* \mathbf{h}_k = \frac{1}{2} \mathbf{w}_P^H \mathbf{H}_{k,0}^* \mathbf{w}_P \quad (16)$$

$$\mathcal{A} \{ y_{P,k}^4(t) \} = \frac{3}{8} \sum_{\substack{n_1, n_2, n_3, n_4 \\ n_1 + n_2 = n_3 + n_4}} (h_{k,n_1} w_{P,n_1})(h_{k,n_2} w_{P,n_2})(h_{k,n_3} w_{P,n_3})^*(h_{k,n_4} w_{P,n_4})^* \quad (17)$$

$$= \frac{3}{8} \sum_{n=-N+1}^{N-1} (\mathbf{h}_k^H \mathbf{W}_{P,n}^* \mathbf{h}_k)(\mathbf{h}_k^H \mathbf{W}_{P,n}^* \mathbf{h}_k)^* = \frac{3}{8} \sum_{n=-N+1}^{N-1} (\mathbf{w}_P^H \mathbf{H}_{k,n}^* \mathbf{w}_P)(\mathbf{w}_P^H \mathbf{H}_{k,n}^* \mathbf{w}_P)^* \quad (18)$$

$$z_k(\mathbf{w}_I, \mathbf{w}_P, \phi, \rho) = \beta_2 \rho (\mathcal{E} \{ \mathcal{A} \{ y_{I,k}^2(t) \} \} + \mathcal{A} \{ y_{P,k}^2(t) \}) + \beta_4 \rho^2 (\mathcal{E} \{ \mathcal{A} \{ y_{I,k}^4(t) \} \} + \mathcal{A} \{ y_{P,k}^4(t) \}) + 6 \mathcal{E} \{ \mathcal{A} \{ y_{I,k}^2(t) \} \} \mathcal{A} \{ y_{P,k}^2(t) \} \quad (19)$$

$$\begin{aligned} &= \frac{1}{2} \beta_2 \rho (\mathbf{h}_k^H \mathbf{W}_{I,0}^* \mathbf{h}_k + \mathbf{h}_k^H \mathbf{W}_{P,0}^* \mathbf{h}_k) \\ &\quad + \frac{3}{8} \beta_4 \rho^2 \left(2(\mathbf{h}_k^H \mathbf{W}_{I,0}^* \mathbf{h}_k)^2 + \sum_{n=-N+1}^{N-1} (\mathbf{h}_k^H \mathbf{W}_{P,n}^* \mathbf{h}_k)(\mathbf{h}_k^H \mathbf{W}_{P,n}^* \mathbf{h}_k)^* \right) \\ &\quad + \frac{3}{2} \beta_4 \rho^2 (\mathbf{h}_k^H \mathbf{W}_{I,0}^* \mathbf{h}_k)(\mathbf{h}_k^H \mathbf{W}_{P,0}^* \mathbf{h}_k) \end{aligned} \quad (20)$$

$$\begin{aligned} &= \frac{1}{2} \beta_2 \rho (\mathbf{w}_I^H \mathbf{H}_{k,0}^* \mathbf{w}_I + \mathbf{w}_P^H \mathbf{H}_{k,0}^* \mathbf{w}_P) \\ &\quad + \frac{3}{8} \beta_4 \rho^2 \left(2(\mathbf{w}_I^H \mathbf{H}_{k,0}^* \mathbf{w}_I)^2 + \sum_{n=-N+1}^{N-1} (\mathbf{w}_P^H \mathbf{H}_{k,n}^* \mathbf{w}_P)(\mathbf{w}_P^H \mathbf{H}_{k,n}^* \mathbf{w}_P)^* \right) \\ &\quad + \frac{3}{2} \beta_4 \rho^2 (\mathbf{w}_I^H \mathbf{H}_{k,0}^* \mathbf{w}_I)(\mathbf{w}_P^H \mathbf{H}_{k,0}^* \mathbf{w}_P) \end{aligned} \quad (21)$$

Therefore, the original problem 23 is reduced to an waveform magnitude optimization problem

$$\max_{\mathbf{s}_I, \mathbf{s}_P, \rho} z(\mathbf{s}_I, \mathbf{s}_P, \rho) \quad (27a)$$

$$\text{s.t.} \quad \frac{1}{2}(\mathbf{s}_I^H \mathbf{s}_I + \mathbf{s}_P^H \mathbf{s}_P) \leq P, \quad (27b)$$

$$\sum_n \log_2 \left(1 + \frac{(1-\rho)A_n^2 s_{I,n}^2}{\sigma_n^2} \right) \geq \bar{R} \quad (27c)$$

with z given by 28. We introduce an auxiliary variable t'' and transform problem 27 into

$$\min_{\mathbf{s}_I, \mathbf{s}_P, \rho, t''} \frac{1}{t''} \quad (29a)$$

$$\text{s.t.} \quad \frac{1}{2}(\mathbf{s}_I^H \mathbf{s}_I + \mathbf{s}_P^H \mathbf{s}_P) \leq P, \quad (29b)$$

$$\frac{t''}{z(\mathbf{s}_I, \mathbf{s}_P, \rho)} \leq 1, \quad (29c)$$

$$\frac{2^{\bar{R}}}{\prod_n \left(1 + \frac{(1-\rho)A_n^2 s_{I,n}^2}{\sigma_n^2} \right)} \leq 1 \quad (29d)$$

Problem 29 is a Reversed Geometric Program which can be transformed to standard Geometric Program (GP). The idea is to decompose the information and power posynomials as sum of monomials, then derive their upper bounds using Arithmetic Mean-Geometric Mean (AM-GM) inequality [38], [39]. Let $z(\mathbf{s}_I, \mathbf{s}_P, \rho) = \sum_{m=1}^M g_{P,m}(\mathbf{s}_I, \mathbf{s}_P, \rho)$, problem 29 is equivalent to

$$\begin{aligned} \min_{\mathbf{s}_I, \mathbf{s}_P, \rho, \bar{\rho}, t''} \quad & \frac{1}{t''} \\ \text{s.t.} \quad & \frac{1}{2}(\mathbf{s}_I^H \mathbf{s}_I + \mathbf{s}_P^H \mathbf{s}_P) \leq P, \\ & t'' \prod_m \left(\frac{g_{P,m}(\mathbf{s}_I, \mathbf{s}_P, \rho)}{\gamma_{P,m}} \right)^{-\gamma_{P,m}} \leq 1, \\ & 2^{\bar{R}} \prod_n \left(\frac{1}{\gamma_{I,n,1}} \right)^{-\gamma_{I,n,1}} \left(\frac{\bar{\rho} A_n^2 s_{I,n}^2}{\sigma_n^2 \gamma_{I,n,2}} \right)^{-\gamma_{I,n,2}} \leq 1, \\ & \rho + \bar{\rho} \leq 1 \end{aligned} \quad (30)$$

where $\gamma_{I,n,1}, \gamma_{I,n,2} \geq 0$, $\gamma_{I,n,1} + \gamma_{I,n,2} = 1$, $\gamma_{P,m} \geq 0 \forall m$, and $\sum_{m=1}^M \gamma_m = 1$. The tightness of the AM-GM inequality

depends on $\{\gamma_{I,n}, \gamma_P\}$ that require successive update. At iteration i , we choose [38]

$$\gamma_{I,n,1}^{(i)} = 1 / \left(1 + \frac{\bar{\rho}^{(i-1)} A_n^2 (s_{I,n}^{(i-1)})^2}{\sigma_n^2} \right) \quad (31)$$

$$\gamma_{I,n,2}^{(i)} = 1 - \gamma_{I,n,1}^{(i)} \quad (32)$$

$$\gamma_{P,m}^{(i)} = \frac{g_{P,m}(\mathbf{s}_I^{(i-1)}, \mathbf{s}_P^{(i-1)}, \rho^{(i-1)})}{z(\mathbf{s}_I^{(i-1)}, \mathbf{s}_P^{(i-1)}, \rho^{(i-1)})} \quad (33)$$

and then solve problem 30. The algorithm is summarized in Algorithm 1.

Algorithm 1 FS-IRS: Waveform and Splitting Ratio

- 1: **Input** $P, \bar{R}, A_n \forall n$ by 3
 - 2: **Initialize** $i \leftarrow 0, \mathbf{s}_{I/P}^{(0)}, \rho^{(0)}$
 - 3: **repeat**
 - 4: $i \leftarrow i + 1$
 - 5: Update GM exponents $\{\gamma_{I,n}^{(i)}, \gamma_P^{(i)}\}$ by 31 – 33
 - 6: Obtain waveform amplitude $\mathbf{s}_{I/P}^{(i)}$ and power splitting ratio $\rho^{(i)}$ by solving problem 30
 - 7: Compute output DC current $z^{(i)}$ by 28
 - 8: **until** $|(z^{(i)} - z^{(i-1)})/z^{(i)}| \leq \epsilon$
 - 9: **Output** $\mathbf{s}_{I/P}^*, \rho^*, z^*$
-

B. Frequency-Flat IRS

In contrast, frequency-flat IRS reflects all subbands equally with a DoF of L . We observe that

$$\begin{aligned} |h_{D,n} + \mathbf{v}_n^H \phi|^2 &= |h_{D,n}|^2 + h_{D,n}^* \mathbf{v}_n^H \phi + \phi^H \mathbf{v}_n h_{D,n} + \phi^H \mathbf{v}_n \mathbf{v}_n^H \phi \\ &= \bar{\phi}^H \mathbf{R}_n \bar{\phi} = \text{Tr}(\mathbf{R}_n \bar{\phi} \bar{\phi}^H) = \text{Tr}(\mathbf{R}_n \Phi) \end{aligned} \quad (34)$$

where t is an auxiliary variable with unit modulus and

$$\mathbf{R}_n = \begin{bmatrix} \mathbf{v}_n \mathbf{v}_n^H & \mathbf{v}_n h_{D,n} \\ h_{D,n}^* \mathbf{v}_n^H & h_{D,n}^* h_{D,n} \end{bmatrix}, \quad \bar{\phi} = \begin{bmatrix} \phi \\ t \end{bmatrix}, \quad \Phi = \bar{\phi} \bar{\phi}^H \quad (35)$$

with $\mathbf{R}_n, \Phi \in \mathbb{C}^{(L+1) \times (L+1)}$ and $\bar{\phi} \in \mathbb{C}^{(L+1) \times 1}$. On top of this, the outer product of composite channel rewrites as

$$\mathbf{h} \mathbf{h}^H = \mathbf{M}^H \Phi \mathbf{M} \quad (36)$$

where $\mathbf{M} = [\mathbf{V}^H, \mathbf{h}_D]^H \in \mathbb{C}^{(L+1) \times N}$. To reduce the design complexity, we propose an suboptimal alternating optimization algorithm that iteratively updates the IRS phase shift, transmit waveform, and receive power splitting ratio with the others being fixed.

$$\begin{aligned} z(\mathbf{s}_I, \mathbf{s}_P, \rho) &= \frac{1}{2} \beta_2 \rho \sum_n A_n^2 (s_{I,n}^2 + s_{P,n}^2) \\ &\quad + \frac{3}{8} \beta_4 \rho^2 \left(\left(\sum_n (A_n s_{I,n}) (A_n s_{I,n})^* \right)^2 + \sum_{\substack{n_1, n_2, n_3, n_4 \\ n_1 + n_2 = n_3 + n_4}} A_{n_1} A_{n_2} A_{n_3} A_{n_4} (s_{P,n_1} s_{P,n_2} s_{P,n_3} s_{P,n_4}) \right) \\ &\quad + \frac{3}{2} \beta_4 \rho^2 \sum_n A_n^4 s_{I,n}^2 s_{P,n}^2 \end{aligned} \quad (28)$$

1) *IRS Phase Shift Optimization*: The phase optimization subproblem is formed as follows. With a given waveform $\mathbf{w}_I, \mathbf{w}_P, \rho$, introduce auxiliary variables

$$\begin{aligned} t_{I/P,n} &= \mathbf{h}^H \mathbf{W}_{I/P,n}^* \mathbf{h} \\ &= \text{Tr}(\mathbf{h} \mathbf{h}^H \mathbf{W}_{I/P,n}^*) \\ &= \text{Tr}(\mathbf{M}^H \mathbf{\Phi} \mathbf{M} \mathbf{W}_{I/P,n}^*) \\ &= \text{Tr}(\mathbf{M} \mathbf{W}_{I/P,n}^* \mathbf{M}^H \mathbf{\Phi}) \\ &= \text{Tr}(\mathbf{C}_{I/P,n} \mathbf{\Phi}) \end{aligned} \quad (37)$$

where we define

$$\mathbf{C}_{I/P,n} = \mathbf{M} \mathbf{W}_{I/P,n}^* \mathbf{M}^H \in \mathbb{C}^{(L+1) \times (L+1)} \quad (38)$$

Therefore, 20 rewrites as

$$\begin{aligned} z(\mathbf{\Phi}) &= \frac{1}{2} \beta_2 \rho (t_{I,0} + t_{P,0}) \\ &\quad + \frac{3}{8} \beta_4 \rho^2 \left(2t_{I,0}^2 + \sum_{n=-N+1}^{N-1} t_{P,n} t_{P,n}^* \right) \\ &\quad + \frac{3}{2} \beta_4 \rho^2 t_{I,0} t_{P,0} \end{aligned} \quad (39)$$

We use first-order Taylor expansion to approximate the second-order terms in 39. Based on the variables optimized at iteration $i-1$, the local approximation at iteration i suggests [40]

$$(t_{I,0}^{(i)})^2 \geq 2t_{I,0}^{(i)} t_{I,0}^{(i-1)} - (t_{I,0}^{(i-1)})^2 \quad (40)$$

$$t_{P,n}^{(i)} (t_{P,n}^{(i)})^* \geq 2\Re \left\{ t_{P,n}^{(i)} (t_{P,n}^{(i-1)})^* \right\} - t_{P,n}^{(i-1)} (t_{P,n}^{(i-1)})^* \quad (41)$$

$$\begin{aligned} t_{I,0}^{(i)} t_{P,0}^{(i)} &= \frac{1}{4} (t_{I,0}^{(i)} + t_{P,0}^{(i)})^2 - \frac{1}{4} (t_{I,0}^{(i)} - t_{P,0}^{(i)})^2 \\ &\geq \frac{1}{2} (t_{I,0}^{(i)} + t_{P,0}^{(i)}) (t_{I,0}^{(i-1)} + t_{P,0}^{(i-1)}) \\ &\quad - \frac{1}{4} (t_{I,0}^{(i-1)} + t_{P,0}^{(i-1)})^2 - \frac{1}{4} (t_{I,0}^{(i)} - t_{P,0}^{(i)})^2 \end{aligned} \quad (42)$$

40 – 42 provide lower bounds to corresponding terms such that the approximated current function at iteration i is given in 43. Hence, problem 23 is transformed to

$$\max_{\mathbf{\Phi}} \quad \tilde{z}(\mathbf{\Phi}) \quad (44a)$$

$$\text{s.t.} \quad \sum_n \log_2 \left(1 + \frac{(1-\rho) |w_{I,n}|^2 \text{Tr}(\mathbf{R}_n \mathbf{\Phi})}{\sigma_n^2} \right) \geq \bar{R}, \quad (44b)$$

$$\mathbf{\Phi}_{l,l} = 1, \quad l = 1, \dots, L+1, \quad (44c)$$

$$\mathbf{\Phi} \succeq 0, \quad (44d)$$

$$\text{rank}(\mathbf{\Phi}) = 1 \quad (44e)$$

We then relax the rank constraint 44e and solve the optimal IRS matrix $\mathbf{\Phi}^*$ iteratively by interior-point method. If $\text{rank}(\mathbf{\Phi}^*) = 1$, the optimal phase shift vector $\bar{\phi}^*$ is attained by eigenvalue decomposition (EVD). Otherwise, a best feasible candidate $\bar{\phi}^*$ can be extracted through Gaussian randomization method [41]. First, perform EVD on $\mathbf{\Phi}^*$ as $\mathbf{\Phi}^* = \mathbf{U}_{\mathbf{\Phi}^*} \mathbf{\Sigma}_{\mathbf{\Phi}^*} \mathbf{U}_{\mathbf{\Phi}^*}^H$. Then, we generate Q CSCG random vectors $\mathbf{r}_q \sim \mathcal{CN}(\mathbf{0}, \mathbf{I}_{L+1})$, $q = 1, \dots, Q$ and construct the corresponding candidates $\bar{\phi}_q = e^{j \arg(\mathbf{U}_{\mathbf{\Phi}^*} \mathbf{\Sigma}_{\mathbf{\Phi}^*}^{\frac{1}{2}} \mathbf{r}_q)}$. Next, the optimal solution $\bar{\phi}^*$ is approximated by the one achieving maximum objective value 44a. Finally, we can retrieve the phase shift by $\theta_l = \arg(\phi_l^* / \phi_{L+1}^*)$, $l = 1, \dots, L$. The algorithm for the phase shift optimization subproblem is summarized in Algorithm 2.

Algorithm 2 FF-IRS: IRS Phase Shift

- 1: **Input** $\bar{R}, Q, \mathbf{w}_I, \mathbf{w}_P, \rho, \sigma_n, \mathbf{R}_n, \mathbf{C}_{I/P,n} \forall n$ by 35, 38
 - 2: **Initialize** $i \leftarrow 0, \mathbf{\Phi}^{(0)}, t_{I/P,n}^{(0)} \forall n$ by 37
 - 3: **repeat**
 - 4: $i \leftarrow i + 1$
 - 5: Obtain IRS matrix $\mathbf{\Phi}^{(i)}$ by solving problem 44
 - 6: Update auxiliary $t_{I/P,n}^{(i)} \forall n$ by 37 for SCA
 - 7: **until** $|(z^{(i)} - z^{(i-1)}) / z^{(i)}| \leq \epsilon$
 - 8: Perform EVD $\mathbf{\Phi}^* = \mathbf{U}_{\mathbf{\Phi}^*} \mathbf{\Sigma}_{\mathbf{\Phi}^*} \mathbf{U}_{\mathbf{\Phi}^*}^H$
 - 9: Generate random vectors $\mathbf{r}_q \sim \mathcal{CN}(\mathbf{0}, \mathbf{I}_{L+1}) \forall q$
 - 10: Construct candidate IRS vectors $\bar{\phi}_q = e^{j \arg(\mathbf{U}_{\mathbf{\Phi}^*} \mathbf{\Sigma}_{\mathbf{\Phi}^*}^{\frac{1}{2}} \mathbf{r}_q)}$ and matrices $\mathbf{\Phi}_q = \bar{\phi}_q \bar{\phi}_q^H \forall q$
 - 11: Select best solution $\mathbf{\Phi}^*$ and ϕ^* for problem 44
 - 12: Compute phase shift by $\theta_l = \arg(\phi_l^* / \phi_{L+1}^*)$, $l = 1, \dots, L$
 - 13: **Output** $\theta_l \forall l$
-

2) *Transmit Waveform Optimization*: Consider the waveform optimization subproblem. Once $\mathbf{\Phi}$ and ρ are obtained, introduce auxiliary variables

$$t'_{I/P,n} = \mathbf{w}_{I/P}^H \mathbf{H}_n^* \mathbf{w}_{I/P} = \text{Tr}(\mathbf{H}_n^* \mathbf{W}_{I/P}) \quad (45)$$

Therefore, 21 rewrites as

$$\begin{aligned} z(\mathbf{W}_I, \mathbf{W}_P) &= \frac{1}{2} \beta_2 \rho (t'_{I,0} + t'_{P,0}) \\ &\quad + \frac{3}{8} \beta_4 \rho^2 \left(2(t'_{I,0})^2 + \sum_{n=-N+1}^{N-1} t'_{P,n} (t'_{P,n})^* \right) \\ &\quad + \frac{3}{2} \beta_4 \rho^2 t'_{I,0} t'_{P,0} \end{aligned} \quad (46)$$

$$\begin{aligned} \tilde{z}(\mathbf{\Phi}^{(i)}) &= \frac{1}{2} \beta_2 \rho (t_{I,0}^{(i)} + t_{P,0}^{(i)}) \\ &\quad + \frac{3}{8} \beta_4 \rho^2 \left(4(t_{I,0}^{(i)})(t_{I,0}^{(i-1)}) - 2(t_{I,0}^{(i-1)})^2 + \sum_{n=-N+1}^{N-1} 2\Re \left\{ t_{P,n}^{(i)} (t_{P,n}^{(i-1)})^* \right\} - t_{P,n}^{(i-1)} (t_{P,n}^{(i-1)})^* \right) \\ &\quad + \frac{3}{2} \beta_4 \rho^2 \left(\frac{1}{2} (t_{I,0}^{(i)} + t_{P,0}^{(i)}) (t_{I,0}^{(i-1)} + t_{P,0}^{(i-1)}) - \frac{1}{4} (t_{I,0}^{(i-1)} + t_{P,0}^{(i-1)})^2 - \frac{1}{4} (t_{I,0}^{(i)} - t_{P,0}^{(i)})^2 \right) \end{aligned} \quad (43)$$

Since 46 and 39 are in the same form, we reuse 40 – 42 and bound 46 by replacing $t_{I/P,n}$ with $t'_{I/P,n}$ in 43. Hence, problem 23 is transformed to

$$\max_{\mathbf{W}_I, \mathbf{W}_P} \tilde{z}(\mathbf{W}_I, \mathbf{W}_P) \quad (47a)$$

$$\text{s.t.} \quad \sum_n \log_2 \left(1 + \frac{(1-\rho)W_{I,n,n}|h_n|^2}{\sigma_n^2} \right) \geq \bar{R}, \quad (47b)$$

$$\frac{1}{2} (\text{Tr}(\mathbf{W}_I) + \text{Tr}(\mathbf{W}_P)) \leq P, \quad (47c)$$

$$\mathbf{W}_{I/P} \succeq 0, \quad (47d)$$

$$\text{rank}(\mathbf{W}_{I/P}) = 1 \quad (47e)$$

We then perform SDR and solve the optimal waveform matrix $\mathbf{W}_{I/P}^*$ iteratively by interior-point method. \mathbf{w}_I^* and \mathbf{w}_P^* can also be extracted using randomized vectors $\mathbf{r}_q \in \mathbb{C}^{(L+1) \times 1}$, $q = 1, \dots, Q$, whose entries are uniformly distributed on the unit circle $r_{q,n} = e^{j\xi}$, $\xi \sim \mathcal{U}[0, 2\pi)$. The algorithm is summarized in Algorithm 3.

Algorithm 3 FF-IRS: Transmit Waveform Optimization

- 1: **Input** $\bar{R}, P, Q, \sigma_n, \mathbf{H}_n, \mathbf{R}_n \forall n$ by 35
 - 2: **Initialize** $i \leftarrow 0$, $\mathbf{W}_{I/P}^{(0)}, t_{I/P,n}^{(0)} \forall n$
 - 3: **repeat**
 - 4: $i \leftarrow i + 1$
 - 5: Obtain waveform matrices $\mathbf{W}_{I/P}^{(i)}$ by solving problem 47
 - 6: Update auxiliary $t_{I/P,n}^{(i)} \forall n$ by 45 for SCA
 - 7: **until** $|(z^{(i)} - z^{(i-1)})/z^{(i)}| \leq \epsilon$
 - 8: Perform EVD $\mathbf{W}_{I/P}^* = \mathbf{U} \mathbf{W}_{I/P}^* \Sigma \mathbf{W}_{I/P}^* \mathbf{U}^H$
 - 9: Generate random vectors $\mathbf{r}_q \forall q$ with entries uniformly distributed on the unit circle
 - 10: Construct candidate waveform vectors $\mathbf{w}_{I/P,r} = \mathbf{U} \mathbf{W}_{I/P}^* \Sigma^{\frac{1}{2}} \mathbf{W}_{I/P}^* \mathbf{r}_q$ and matrices $\mathbf{W}_{I/P,q} = \mathbf{w}_{I/P,q} \mathbf{w}_{I/P,q}^H \forall q$
 - 11: Select best solution $\mathbf{W}_{I/P}^*$ and $\mathbf{w}_{I/P}^*$ for problem 47
 - 12: **Output** $\mathbf{w}_{I/P}^*$
-

3) *Receive Splitting Ratio Optimization*: We then optimize the power splitting ratio ρ for any fixed phase shift ϕ and waveform $\mathbf{w}_{I/P}$. In this case, the output DC current is also expressed by 46 but as a function of ρ with constant $t'_{I/P,n}$ defined in 45. Since $z(\rho)$ is a monotonically increasing function of $\rho \in [0, 1]$, we replace convex objective function $z(\rho)$ with affine ρ and transform problem 23 to

$$\max_{\rho} \quad \rho \quad (48a)$$

$$\text{s.t.} \quad \sum_n \log_2 \left(1 + \frac{(1-\rho)|h_n w_n|^2}{\sigma_n^2} \right) \geq \bar{R}, \quad (48b)$$

$$0 \leq \rho \leq 1 \quad (48c)$$

The optimal power splitting ratio ρ^* can be obtained from problem 48.

4) *WIT Initialization*: To characterize the R-E region, we initialize the algorithm to WIT mode and reduce the rate constraint gradually to obtain the boundary points. Consider a rate maximization problem with given information waveform \mathbf{w}_I and power splitting ratio $\rho = 0$ as

$$\max_{\Phi} \quad \sum_n \log_2 \left(1 + \frac{|w_{I,n}|^2 \text{Tr}(\mathbf{R}_n \Phi)}{\sigma_n^2} \right) \quad (49a)$$

$$\text{s.t.} \quad \Phi_{l,l} = 1, \quad l = 1, \dots, L+1, \quad (49b)$$

$$\Phi \succeq 0, \quad (49c)$$

$$\text{rank}(\Phi) = 1 \quad (49d)$$

Problem 49 can be solved after SDR. Similar to section III-B1, a best solution $\bar{\Phi}^*$ can be obtained via Gaussian randomization method and Φ^* can be recovered by $\phi_l^* = \bar{\phi}_l^* / \bar{\phi}_{L+1}^*$, $l = 1, \dots, L$. After constructing composite channel \mathbf{h} by 4, we use water-filling algorithm and matched filter to obtain optimal power allocation $p_n^* = |w_{I,n}|^2$ and beamforming phase $\psi_{I,n}^* = -\bar{\psi}_n$, respectively. Therefore, the optimal information waveform at subband n is

$$w_{I,n}^* = \sqrt{p_n^*} e^{j\psi_{I,n}^*} \quad (50)$$

We update IRS phase shift by 49 and information waveform by 50 until convergence. The WIT initialization algorithm is summarized in 4.

Algorithm 4 FF-IRS: WIT Initialization

- 1: **Input** $P, Q, \mathbf{R}_n, \sigma_n \forall n$
 - 2: **Initialize** $i \leftarrow 0$, $\mathbf{w}_I^{(0)}$
 - 3: **repeat**
 - 4: $i \leftarrow i + 1$
 - 5: Obtain IRS matrix $\Phi^{(i)}$ by solving problem 49
 - 6: Perform EVD $\Phi^{(i)} = \mathbf{U}_{\Phi^{(i)}} \Sigma_{\Phi^{(i)}} \mathbf{U}_{\Phi^{(i)}}^H$
 - 7: Generate random vectors $\mathbf{r}_q \sim \mathcal{CN}(\mathbf{0}, \mathbf{I}_{L+1}) \forall q$
 - 8: Construct candidate IRS vectors $\bar{\phi}_q = e^{j \arg(\mathbf{U}_{\Phi^{(i)}} \Sigma_{\Phi^{(i)}}^{\frac{1}{2}} \mathbf{r}_q)}$ and matrices $\Phi_q = \bar{\phi}_q \bar{\phi}_q^H \forall q$
 - 9: Select best solution $(\Phi^{(i)})^*$ and $(\phi^{(i)})^*$ for problem 49
 - 10: Update composite channel $(\mathbf{h}^{(i)})^*$ by 4
 - 11: Obtain optimal power allocation $p_n^* \forall n$ by water-filling algorithm
 - 12: Obtain optimal waveform phase $(\psi_{I,n}^{(i)})^* \forall n$ by 25
 - 13: Update information waveform $(\mathbf{w}_I^{(i)})^*$ by 50
 - 14: **until** $|(R^{(i)} - R^{(i-1)})/R^{(i)}| \leq \epsilon$
 - 15: **Output** \mathbf{w}_I^*, Φ^*
-

REFERENCES

- [1] D. W. K. Ng, T. Q. Duong, C. Zhong, and R. Schober, Eds., *Wireless Information and Power Transfer*. Chichester, UK: John Wiley & Sons, Ltd, dec 2018. [Online]. Available: <http://doi.wiley.com/10.1002/9781119476863>
- [2] L. R. Varshney, "Transporting information and energy simultaneously," *IEEE International Symposium on Information Theory - Proceedings*, pp. 1612–1616, 2008.
- [3] X. Zhou, R. Zhang, and C. K. Ho, "Wireless information and power transfer: Architecture design and rate-energy tradeoff," *IEEE Transactions on Communications*, vol. 61, no. 11, pp. 4754–4767, 2013.

- [4] R. Zhang and C. K. Ho, "MIMO broadcasting for simultaneous wireless information and power transfer," *IEEE Transactions on Wireless Communications*, vol. 12, no. 5, pp. 1989–2001, 2013.
- [5] J. Xu, L. Liu, and R. Zhang, "Multiuser MISO beamforming for simultaneous wireless information and power transfer," *IEEE Transactions on Signal Processing*, vol. 62, no. 18, pp. 4798–4810, 2014.
- [6] I. Krikidis, S. Timotheou, S. Nikolaou, G. Zheng, D. W. K. Ng, and R. Schober, "Simultaneous Wireless Information and Power Transfer in modern communication systems," *IEEE Communications Magazine*, vol. 52, no. 11, pp. 104–110, 2014.
- [7] E. Boshkovska, D. W. K. Ng, N. Zlatanov, and R. Schober, "Practical non-linear energy harvesting model and resource allocation for SWIPT systems," *IEEE Communications Letters*, vol. 19, no. 12, pp. 2082–2085, 2015.
- [8] M. S. Trotter, J. D. Griffin, and G. D. Durgin, "Power-optimized waveforms for improving the range and reliability of RFID systems," *2009 IEEE International Conference on RFID, RFID 2009*, pp. 80–87, 2009.
- [9] A. S. Boaventura and N. B. Carvalho, "Maximizing DC power in energy harvesting circuits using multisine excitation," *IEEE MTT-S International Microwave Symposium Digest*, vol. 1, no. 1, pp. 1–4, 2011.
- [10] B. Clerckx and E. Bayguzina, "Waveform Design for Wireless Power Transfer," *IEEE Transactions on Signal Processing*, vol. 64, no. 23, pp. 6313–6328, 2016.
- [11] J. Kim, B. Clerckx, and P. D. Mitcheson, "Experimental Analysis of Harvested Energy and Throughput Trade-off in a Realistic SWIPT System," 2019. [Online]. Available: <http://arxiv.org/abs/1908.08272>
- [12] —, "Signal and System Design for Wireless Power Transfer : Prototype, Experiment and Validation," pp. 1–31, 2019. [Online]. Available: <http://arxiv.org/abs/1901.01156>
- [13] B. Clerckx and J. Kim, "On the Beneficial Roles of Fading and Transmit Diversity in Wireless Power Transfer with Nonlinear Energy Harvesting," *IEEE Transactions on Wireless Communications*, vol. 17, no. 11, pp. 7731–7743, 2018.
- [14] J. J. Park, J. H. Moon, K. Y. Lee, and D. I. Kim, "Dual Mode SWIPT: Waveform Design and Transceiver Architecture with Adaptive Mode Switching Policy," *IEEE Vehicular Technology Conference*, vol. 2018-June, pp. 1–5, 2018.
- [15] J. Hu, Y. Zhao, and K. Yang, "Modulation and Coding Design for Simultaneous Wireless Information and Power Transfer," *IEEE Communications Magazine*, vol. 57, no. 5, pp. 124–130, 2019.
- [16] M. Varasteh, E. Piovano, and B. Clerckx, "A Learning Approach to Wireless Information and Power Transfer Signal and System Design," in *ICASSP 2019 - 2019 IEEE International Conference on Acoustics, Speech and Signal Processing (ICASSP)*. IEEE, may 2019, pp. 4534–4538. [Online]. Available: <https://ieeexplore.ieee.org/document/8682485/>
- [17] Y. Liu, Z. Ding, M. ElKashlan, and H. V. Poor, "Cooperative Non-orthogonal Multiple Access with Simultaneous Wireless Information and Power Transfer," *IEEE Journal on Selected Areas in Communications*, vol. 34, no. 4, pp. 938–953, 2016.
- [18] Y. Mao, B. Clerckx, and V. O. Li, "Rate-Splitting for Multi-User Multi-Antenna Wireless Information and Power Transfer," *IEEE Workshop on Signal Processing Advances in Wireless Communications, SPAWC*, vol. 2019-July, 2019.
- [19] T. J. Cui, M. Q. Qi, X. Wan, J. Zhao, and Q. Cheng, "Coding metamaterials, digital metamaterials and programmable metamaterials," *Light: Science & Applications*, vol. 3, no. 10, pp. e218–e218, 2014.
- [20] C. Liaskos, S. Nie, A. Tsioliaridou, A. Pitsillides, S. Ioannidis, and I. Akyildiz, "Realizing Wireless Communication Through Software-Defined HyperSurface Environments," *19th IEEE International Symposium on a World of Wireless, Mobile and Multimedia Networks, WoWMoM 2018*, 2018.
- [21] X. Tan, Z. Sun, D. Koutsonikolas, and J. M. Jornet, "Enabling Indoor Mobile Millimeter-wave Networks Based on Smart Reflect-arrays," *Proceedings - IEEE INFOCOM*, vol. 2018-April, pp. 270–278, 2018.
- [22] Q. Wu and R. Zhang, "Intelligent Reflecting Surface Enhanced Wireless Network: Joint Active and Passive Beamforming Design," *IEEE Transactions on Wireless Communications*, vol. 18, no. 11, pp. 5394–5409, sep 2018. [Online]. Available: <http://arxiv.org/abs/1809.01423>
- [23] —, "Intelligent Reflecting Surface Enhanced Wireless Network via Joint Active and Passive Beamforming," *IEEE Transactions on Wireless Communications*, vol. 18, no. 11, pp. 5394–5409, 2019.
- [24] —, "Beamforming Optimization for Intelligent Reflecting Surface with Discrete Phase Shifts," in *ICASSP 2019 - 2019 IEEE International Conference on Acoustics, Speech and Signal Processing (ICASSP)*. IEEE, may 2019, pp. 7830–7833. [Online]. Available: <https://ieeexplore.ieee.org/document/8683145/>
- [25] H. Guo, Y.-C. Liang, J. Chen, and E. G. Larsson, "Weighted Sum-Rate Optimization for Intelligent Reflecting Surface Enhanced Wireless Networks," pp. 1–13, 2019. [Online]. Available: <http://arxiv.org/abs/1905.07920>
- [26] Q.-U.-A. Nadeem, A. Kammoun, A. Chaaban, M. Debbah, and M.-S. Alouini, "Intelligent Reflecting Surface Assisted Wireless Communication: Modeling and Channel Estimation," pp. 1–7, 2019. [Online]. Available: <http://arxiv.org/abs/1906.02360>
- [27] S. Abeywickrama, R. Zhang, and C. Yuen, "Intelligent Reflecting Surface: Practical Phase Shift Model and Beamforming Optimization," pp. 1–30, 2019. [Online]. Available: <http://arxiv.org/abs/1907.06002>
- [28] Y. Yang, B. Zheng, S. Zhang, and R. Zhang, "Intelligent Reflecting Surface Meets OFDM: Protocol Design and Rate Maximization," pp. 1–32, 2019. [Online]. Available: <http://arxiv.org/abs/1906.09956>
- [29] B. Zheng and R. Zhang, "Intelligent Reflecting Surface-Enhanced OFDM: Channel Estimation and Reflection Optimization," *IEEE Wireless Communications Letters*, pp. 1–1, 2019.
- [30] Y. Yang, S. Zhang, and R. Zhang, "IRS-Enhanced OFDMA: Joint Resource Allocation and Passive Beamforming Optimization," *IEEE Wireless Communications Letters*, pp. 1–1, 2020.
- [31] L. Dai, M. D. Renzo, C. B. Chae, L. Hanzo, B. Wang, M. Wang, X. Yang, J. Tan, S. Bi, S. Xu, F. Yang, and Z. Chen, "Reconfigurable Intelligent Surface-Based Wireless Communications: Antenna Design, Prototyping, and Experimental Results," *IEEE Access*, vol. 8, pp. 45 913–45 923, 2020.
- [32] Q. Wu and R. Zhang, "Weighted Sum Power Maximization for Intelligent Reflecting Surface Aided SWIPT," *IEEE Wireless Communications Letters*, pp. 1–6, 2019.
- [33] Y. Tang, G. Ma, H. Xie, J. Xu, and X. Han, "Joint Transmit and Reflective Beamforming Design for IRS-Assisted Multiuser MISO SWIPT Systems," 2019. [Online]. Available: <http://arxiv.org/abs/1910.07156>
- [34] Q. Wu and R. Zhang, "Joint Active and Passive Beamforming Optimization for Intelligent Reflecting Surface Assisted SWIPT under QoS Constraints," pp. 1–30, 2019. [Online]. Available: <http://arxiv.org/abs/1910.06220>
- [35] C. Pan, H. Ren, K. Wang, M. ElKashlan, A. Nallanathan, J. Wang, and L. Hanzo, "Intelligent Reflecting Surface Aided MIMO Broadcasting for Simultaneous Wireless Information and Power Transfer," pp. 1–33, 2019. [Online]. Available: <http://arxiv.org/abs/1908.04863>
- [36] D. H. Kim and J. I. Choi, "Design of a multiband frequency selective surface," *ETRI Journal*, vol. 28, no. 4, pp. 506–508, 2006.
- [37] R. S. Anwar, L. Mao, and H. Ning, "Frequency selective surfaces: A review," *Applied Sciences (Switzerland)*, vol. 8, no. 9, pp. 1–47, 2018.
- [38] B. Clerckx, "Wireless Information and Power Transfer: Nonlinearity, Waveform Design, and Rate-Energy Tradeoff," *IEEE Transactions on Signal Processing*, vol. 66, no. 4, pp. 847–862, 2018.
- [39] M. Chiang, *Geometric programming for communication systems*, 2005, vol. 2, no. 1.
- [40] T. Adali and S. Haykin, *Adaptive Signal Processing*. Hoboken, NJ, USA: John Wiley & Sons, Inc., mar 2010. [Online]. Available: <http://doi.wiley.com/10.1002/9780470575758>
- [41] Y. Huang and D. P. Palomar, "Rank-constrained separable semidefinite programming with applications to optimal beamforming," *IEEE Transactions on Signal Processing*, vol. 58, no. 2, pp. 664–678, 2010.