



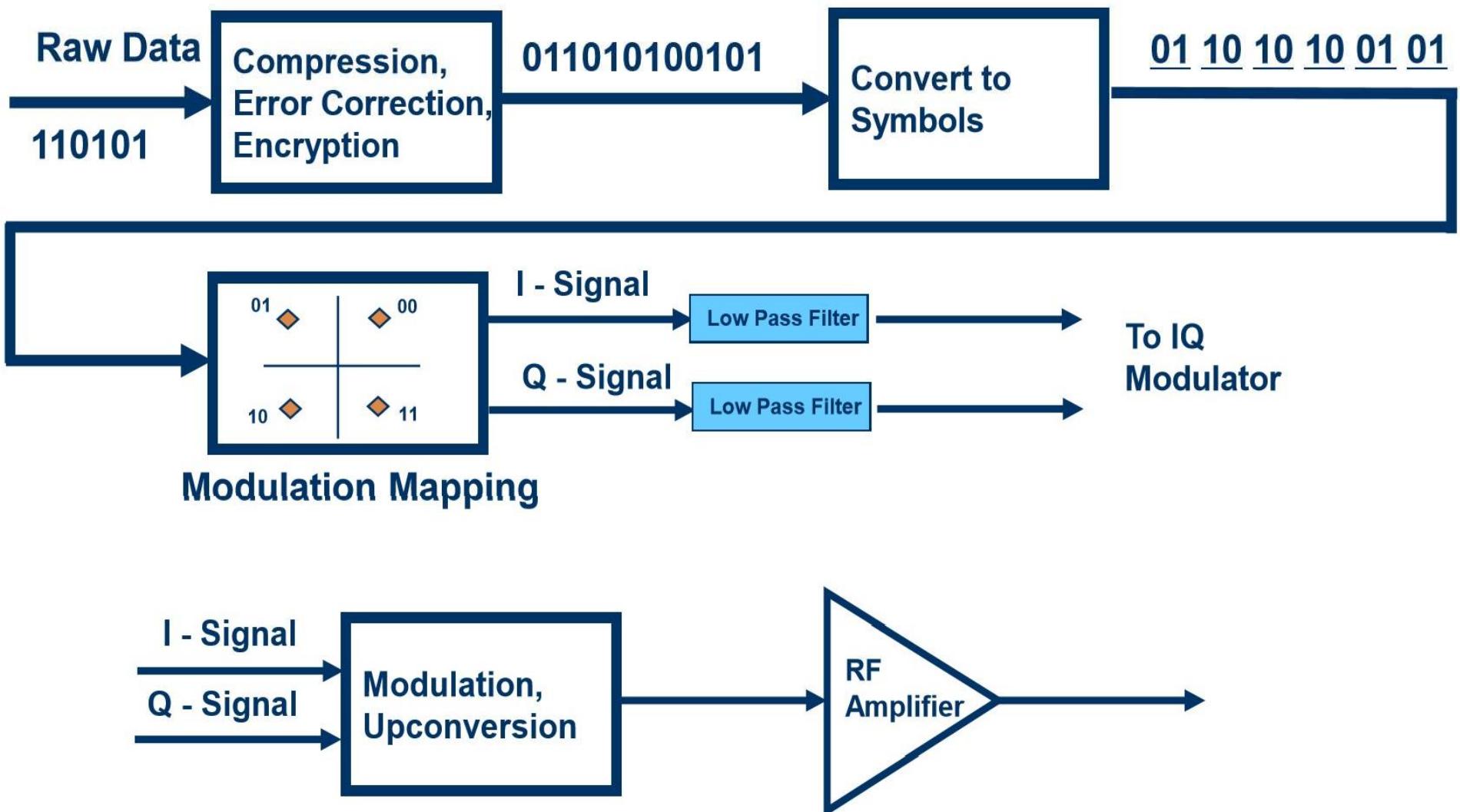
Communication Theory II

Lecture 5: Modulation on M-ary

M-ary Modulation

- ➊ M-ary (or multi-symbol) modulation schemes include
 - multi-phase
 - multi-amplitude
 - combined multi-phase/multi-amplitude
- ➋ They are commonly used in telephone, microwave, WiFi, cellular mobile phones and satellite communications to achieve higher spectrum efficiency.

M-ary Modulation Block Diagram



In-phase and quadrature components

It is possible to create an arbitrarily phase-shifted sine wave, by mixing together **two sine waves that are 90° out of phase in different proportions**

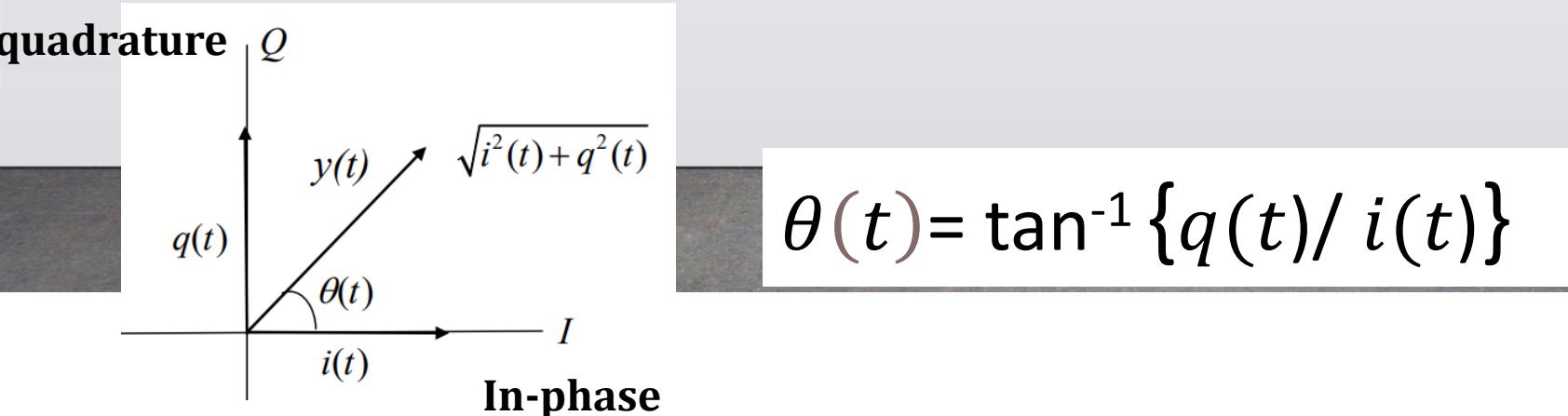
Complex baseband signal as $S(t) = i(t) + j q(t)$

In-phase quadrature

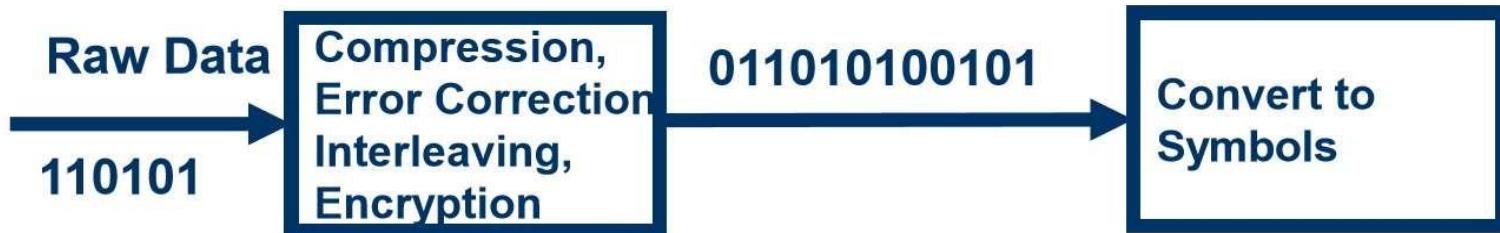
Transmit signal $y(t) = i(t) \cos(2\pi f_c t) + q(t) \cos(2\pi f_c t + \pi/2)$

$$y(t) = i(t) \cos(2\pi f_c t) - q(t) \sin(2\pi f_c t) = \operatorname{Re}(y(t) e^{j2\pi f_c t})$$

$$y(t) = \sqrt{i^2(t) + q^2(t)} \cos(2\pi f_c t + \theta(t))$$



Raw Data Conversion



- ➊ Raw data comes from the user
 - Digitized voice, keystrokes, jpegs...
- ➋ Compression is employed for efficiency.
- ⌁ Error correction is applied for transmission quality.
- ⌂ Interleaving creates signal-dropout resistance.
- ⌃ Encryption is applied for security.

Data Bits to Symbols

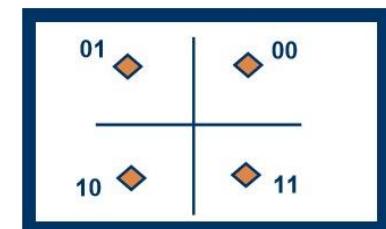


- 💡 Symbols are represented by the possible states of digital modulation.
- 💡 Higher order modulation allows more bits per symbol.
- 💡 What in the world does that mean?
 - ▣ Mapping symbols to I and Q.

$$\text{Symbol rate} = \frac{\text{bit rate}}{\text{number of bits transmitted with each symbol}}$$

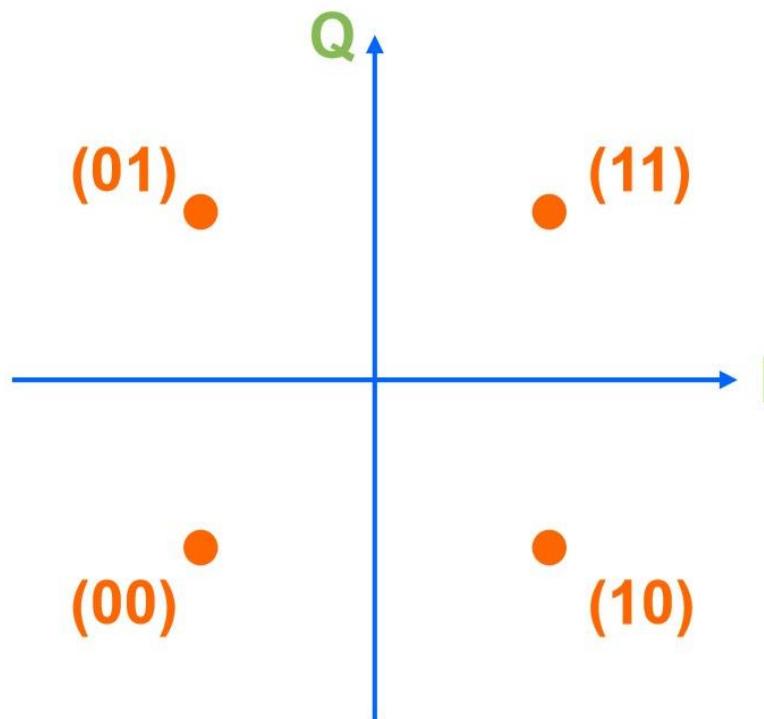
IQ Mapping

- What is Mapping:
 - Translate a Symbol to a point in the IQ space

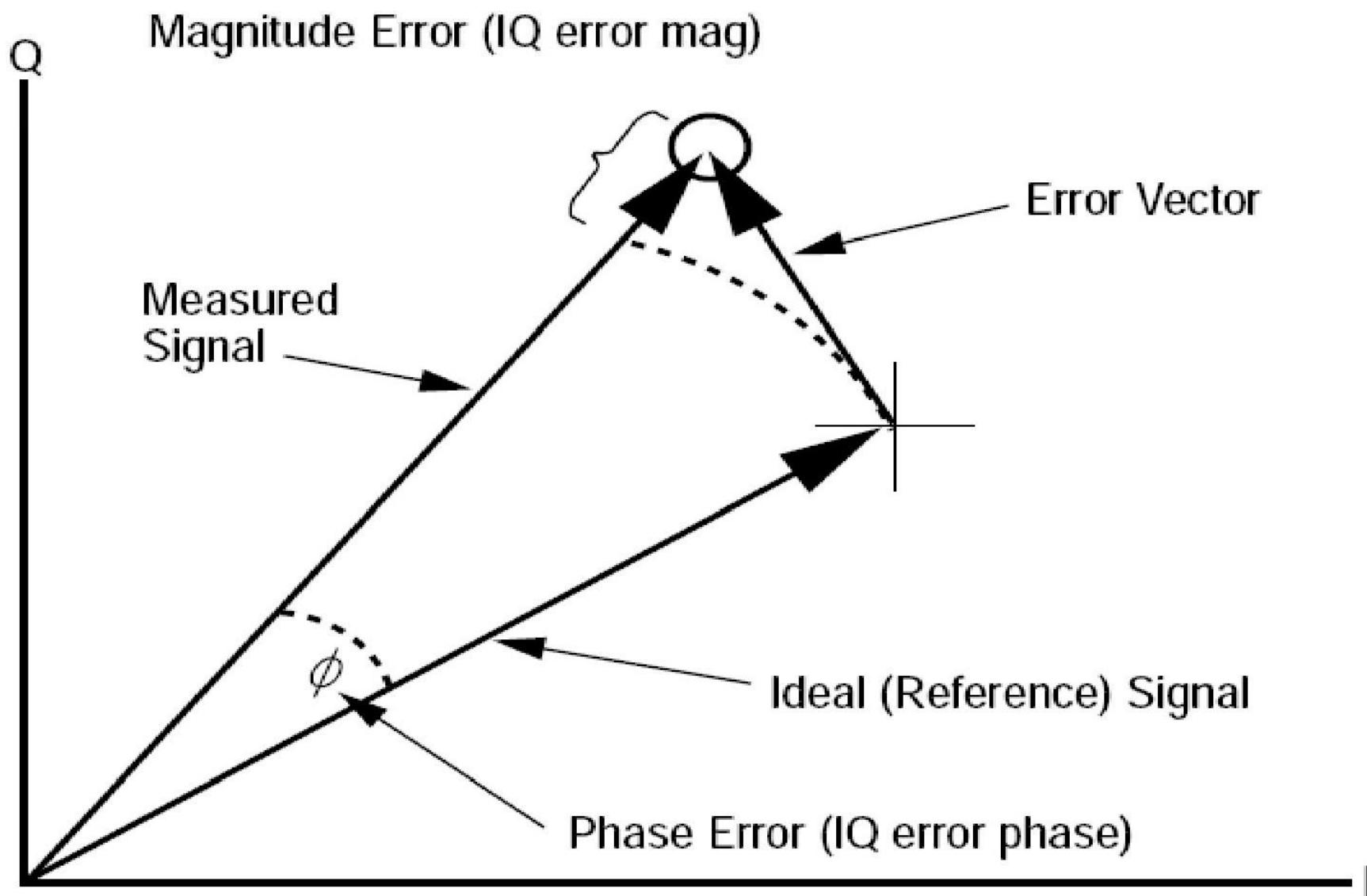


Modulation Mapping

- Example



Error Vector Magnitude (EVM)



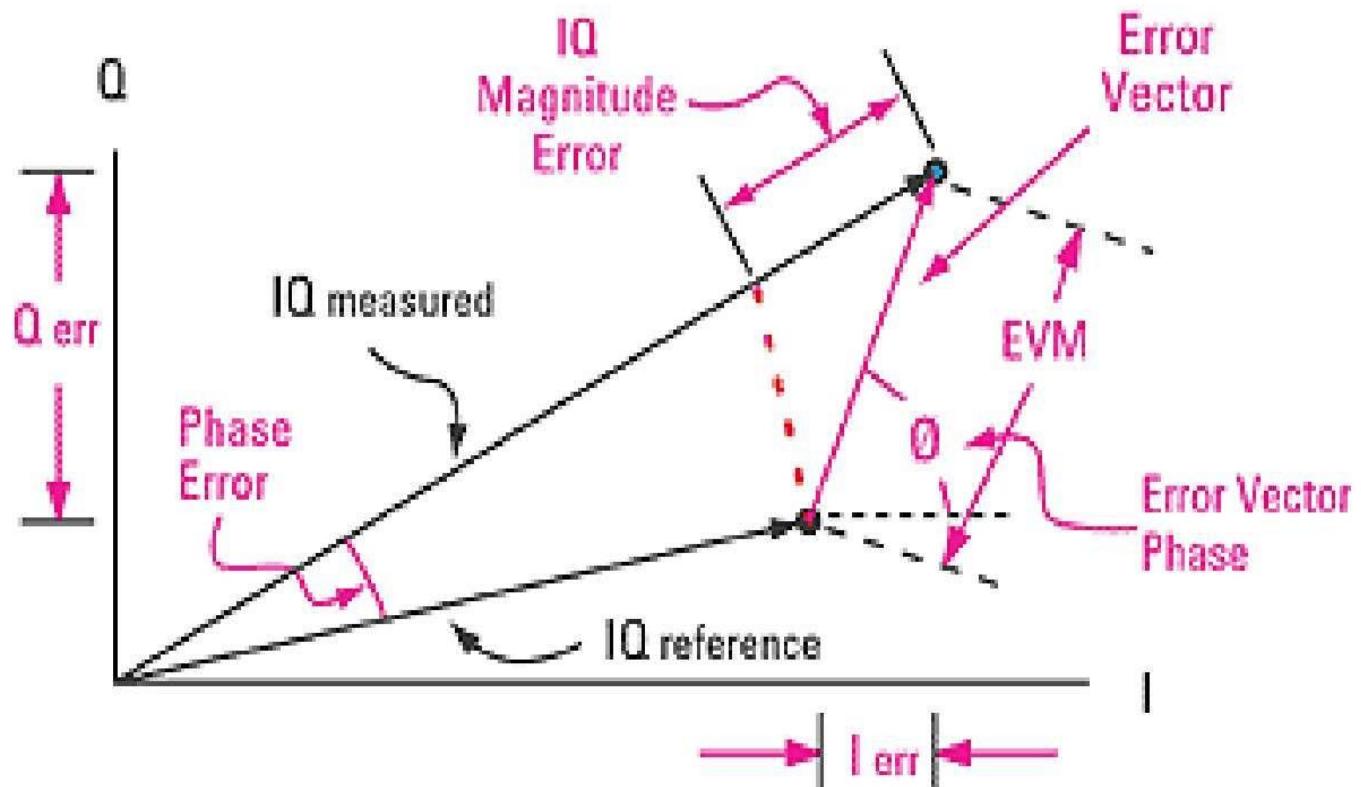
EVM Calculation

$$\text{EVM}[n] = \sqrt{I_{\text{err}}[n]^2 + Q_{\text{err}}[n]^2}$$

where [n] = measurement at the symbol time

$$I_{\text{err}} = I_{\text{Ref}} - I_{\text{Meas}}$$

$$Q_{\text{err}} = Q_{\text{Ref}} - Q_{\text{Meas}}$$



***M*-ary PSK**

- In *M*-ary PSK, the phase of the carrier takes on one of *M* possible values,

$$\theta_i = 2(i-1)\pi / M, \text{ where } i = 1, 2, \dots, M$$

- During each signaling interval of duration *T*, one of the following *M* possible signals is sent.

$$s_i(t) = \sqrt{\frac{2E_s}{T}} \cos\left(2\pi f_c t + \frac{2\pi}{M}(i-1)\right), \text{ where } i = 1, 2, \dots, M$$

- E_s is the energy per symbol.
- The carrier frequency $f_c = n_c/T$ for some fixed integer n_c

***M*-ary PSK**

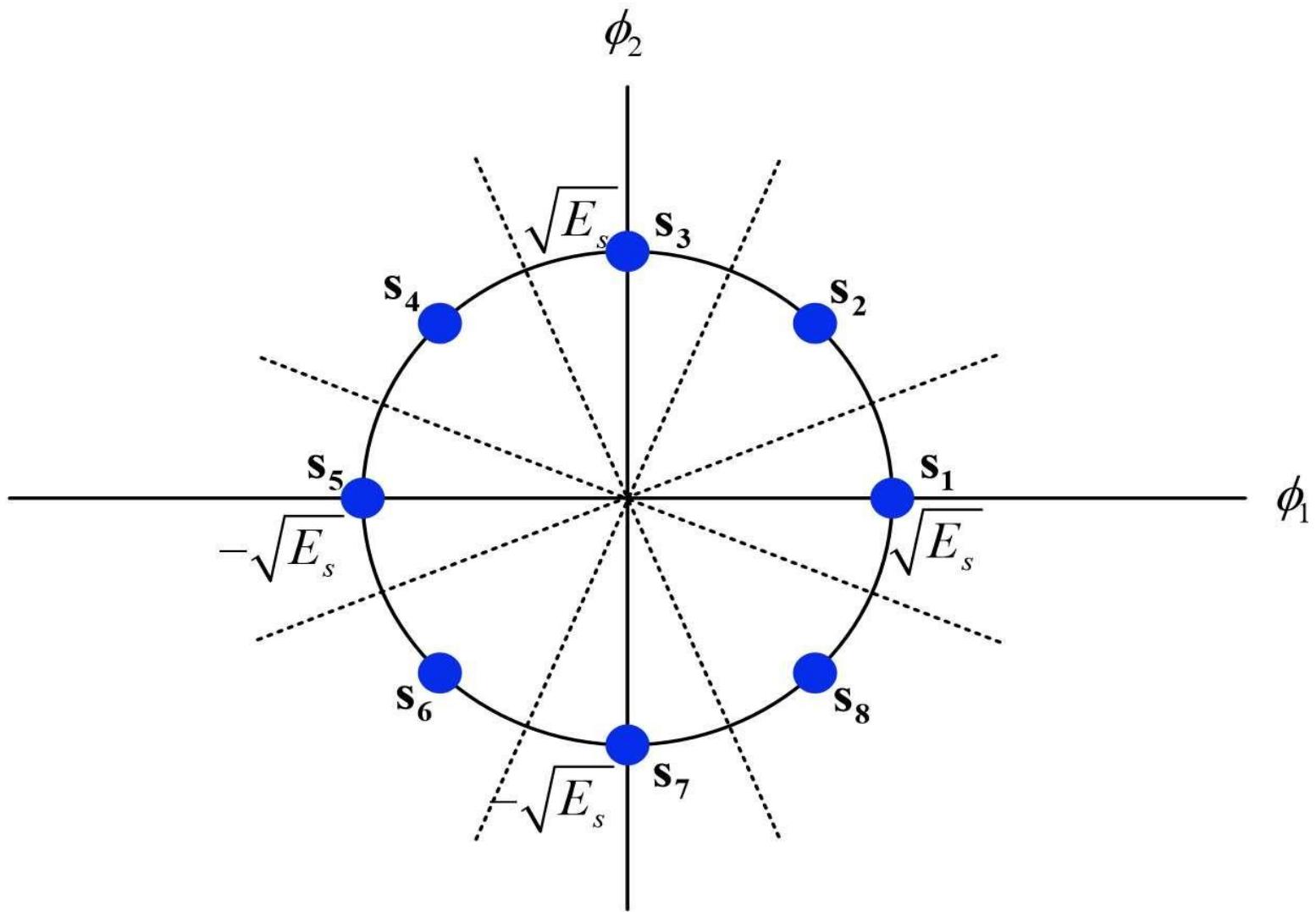
- Each $s_i(t)$ may be expanded in terms of two basis functions $\phi_1(t)$ and $\phi_2(t)$, defined as

$$\phi_1(t) = \sqrt{\frac{2}{T}} \cos(2\pi f_c t), \quad 0 \leq t \leq T$$

$$\phi_2(t) = \sqrt{\frac{2}{T}} \sin(2\pi f_c t), \quad 0 \leq t \leq T$$

- Both basis functions have unit energy.
- The signal constellation of *M*-ary PSK is therefore two-dimensional. The *M* message points are equally spaced on a circle of radius $\sqrt{E_s}$ and center at the origin.

M-ary PSK with $M = 8$



M-ary PSK

- The average probability of symbol error for M-ary PSK is

$$p(e) = \sum_{m=1}^M p(e | m) p(s_m)$$

- $p(s_m)$ is the probability that symbol s_m was sent.
- $p(e | m)$ is the probability of decision error when symbol s_m was sent

- When each symbol is sent with the same probability,

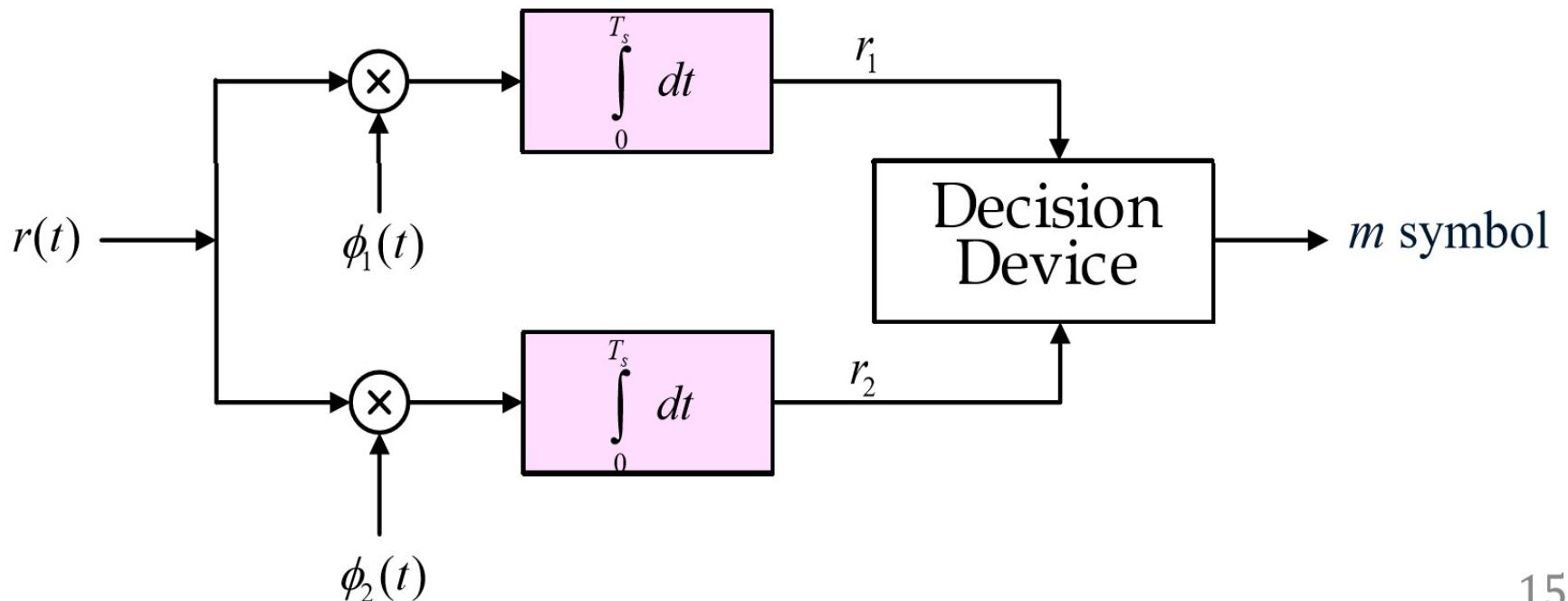
$$p(e) = \frac{1}{M} \sum_{m=1}^M p(e | m)$$

M-ary PSK

- It is difficult to compute $p(e | m)$ directly, we obtain it through

$$p(e | m) = 1 - p(c | m)$$

- $p(c | m)$ is the probability of “correct decision” when symbol s_m was sent.



M-ary PSK with M = 8

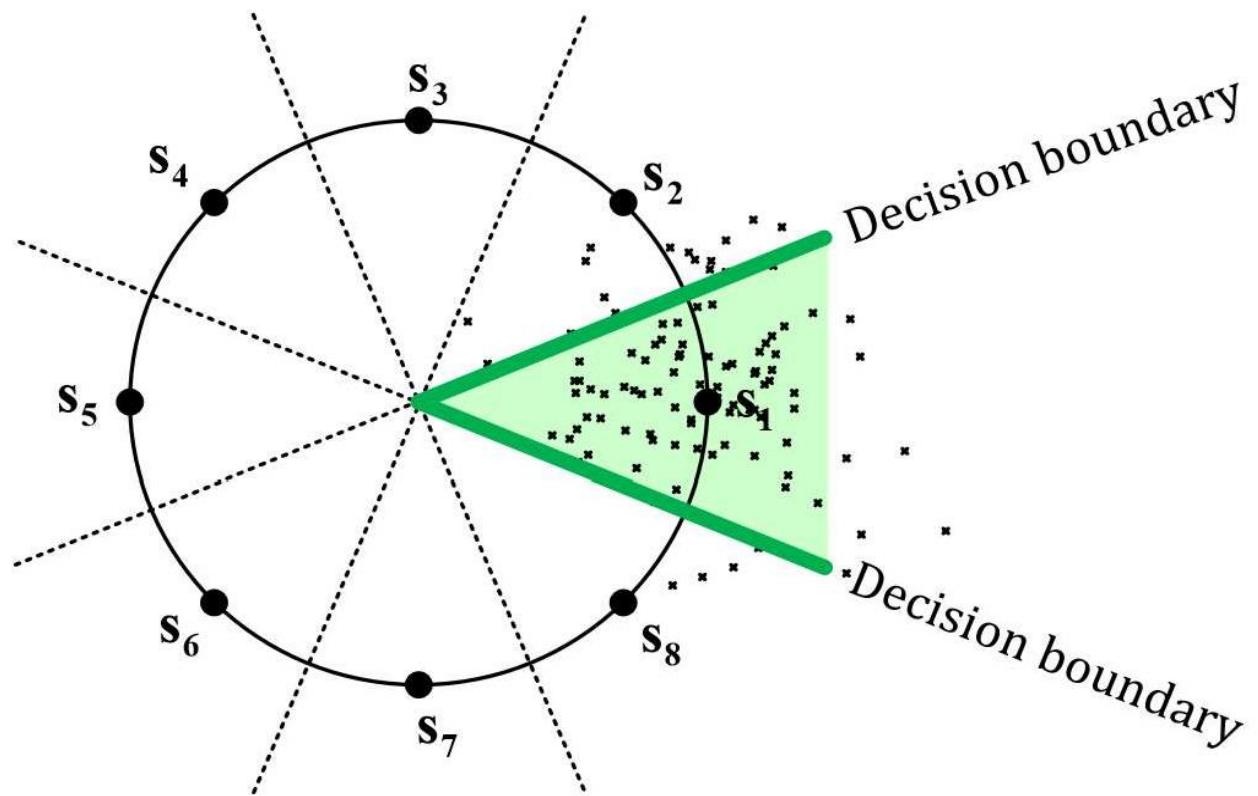
- Assume that s_1 was sent, the receiver produces

$$r_1 = \sqrt{E_s} + N_1 \quad r_2 = N_2$$

N_1 and N_2 are two independent Gaussian random variables with zeros mean and variance $\sigma^2 = \frac{N_0}{2}$.

$$\begin{aligned} f_{r_1, r_2}(r_1, r_2) &= \frac{1}{\sqrt{2\pi}\sigma} \exp\left[-\frac{(r_1 - \sqrt{E_s})^2}{2\sigma^2}\right] \frac{1}{\sqrt{2\pi}\sigma} \exp\left[-\frac{(r_2)^2}{2\sigma^2}\right] \\ &= \frac{1}{2\pi\sigma^2} \exp\left[-\frac{(r_1^2 - 2r_1\sqrt{E_s} + E_s + r_2^2)}{2\sigma^2}\right] \end{aligned}$$

M-ary PSK with $M = 8$



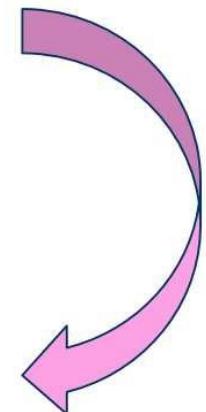
M-ary PSK

- Since the decision is entirely based on phase, we transform (r_1, r_2) into (R, Θ) . 

$$R = \sqrt{r_1^2 + r_2^2} \quad \Theta = \tan^{-1}\left(\frac{r_2}{r_1}\right)$$

$$f_{r_1, r_2}(r_1, r_2) = \frac{1}{2\pi\sigma^2} \exp\left[-\frac{\left(r_1^2 - 2r_1\sqrt{E_s} + E_s + r_2^2\right)}{2\sigma^2}\right]$$

$$f_{R, \Theta}(r, \theta) = \frac{r}{2\pi\sigma^2} \exp\left[-\frac{r^2 + E_s - 2\sqrt{E_s}r\cos(\theta)}{2\sigma^2}\right]$$



M-ary PSK

- Since the decision is entirely based on phase, we focus only on Θ .

$$\begin{aligned}f_{\Theta}(\theta) &= \int_0^{\infty} f_{R,\Theta}(r, \theta) dr \\&= \int_0^{\infty} \frac{r}{2\pi\sigma^2} \exp\left[-\frac{r^2 + E_s - 2\sqrt{E_s}r\cos(\theta)}{2\sigma^2}\right] dr \\&= \int_0^{\infty} \frac{r}{2\pi\sigma^2} \exp\left[-\frac{r^2 - 2\sqrt{E_s}r\cos(\theta) + E_s \cos^2(\theta) - E_s \cos^2(\theta) + E_s}{2\sigma^2}\right] dr \\&= \exp\left[-\frac{-E_s \cos^2(\theta) + E_s}{2\sigma^2}\right] \int_0^{\infty} \frac{r}{2\pi\sigma^2} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr \\&= \exp\left[-\frac{E_s}{2\sigma^2} \sin^2(\theta)\right] \int_0^{\infty} \frac{r}{2\pi\sigma^2} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr\end{aligned}$$

M-ary PSK

$$\begin{aligned}
& \int_0^\infty \frac{r}{2\pi\sigma^2} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr = \int_0^\infty \frac{(r - \sqrt{E_s} \cos(\theta))}{2\pi\sigma^2} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr \\
& \quad + \int_0^\infty \frac{\sqrt{E_s} \cos(\theta)}{2\pi\sigma^2} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr \\
&= -\frac{1}{2\pi} \exp\left(-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\pi\sigma^2}\right) \Big|_0^\infty + \frac{\sqrt{E_s} \cos(\theta)}{\sqrt{2\pi\sigma^2}} \int_0^\infty \frac{1}{\sqrt{2\pi\sigma^2}} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr \\
&= -\frac{1}{2\pi} \exp\left(-\frac{E_s \cos^2(\theta)}{2\pi\sigma^2}\right) + \frac{\sqrt{E_s} \cos(\theta)}{\sqrt{2\pi\sigma^2}} \int_0^\infty \frac{1}{\sqrt{2\pi\sigma^2}} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr
\end{aligned}$$

- Assume $\frac{E_s}{\sigma^2} \gg 1$ and $|\Theta| < \frac{\pi}{2}$, we obtain

$$\int_0^\infty \frac{r}{2\pi\sigma^2} \exp\left[-\frac{(r - \sqrt{E_s} \cos(\theta))^2}{2\sigma^2}\right] dr \approx 0 + \frac{\sqrt{E_s} \cos(\theta)}{\sqrt{2\pi\sigma^2}} \cdot 1$$

M-ary PSK with M = 8

- Probability density function of Θ is .

$$f_{\Theta}(\theta) \approx \sqrt{\frac{E_s}{2\pi\sigma^2}} \cos\theta \exp\left[-\frac{E_s}{2\sigma^2} \sin^2\theta\right]$$

- The decision is correct, if $-\frac{\pi}{M} \leq \Theta \leq \frac{\pi}{M}$. Therefore,

$$p(c|1) \approx \int_{-\pi/M}^{\pi/M} \sqrt{\frac{E_s}{2\pi\sigma^2}} \cos\theta \exp\left[-\frac{E_s}{2\sigma^2} \sin^2\theta\right] d\theta$$

- Changing variables $z = \sqrt{\frac{E_s}{\sigma^2}} \sin\theta$ and $dz = \sqrt{\frac{E_s}{\sigma^2}} \cos\theta d\theta$

$$p(c|1) \approx \int_{-\sqrt{E_s/\sigma^2} \sin(\pi/M)}^{\sqrt{E_s/\sigma^2} \sin(\pi/M)} \frac{1}{\sqrt{2\pi}} \exp\left[-z^2/2\right] dz$$

M-ary PSK

$$\begin{aligned} p(c|1) &\approx \int_{-\sqrt{E_s/\sigma^2} \sin(\pi/M)}^{\sqrt{E_s/\sigma^2} \sin(\pi/M)} \frac{1}{\sqrt{2\pi}} \exp[-z^2/2] dz \\ &= \int_{-\sqrt{2E_s/N_0} \sin(\pi/M)}^0 \frac{1}{\sqrt{2\pi}} \exp[-z^2/2] dz + \int_0^{\sqrt{2E_s/N_0} \sin(\pi/M)} \frac{1}{\sqrt{2\pi}} \exp[-z^2/2] dz \\ &= 1 - Q\left(\sqrt{\frac{2E_s}{N_0}} \sin \frac{\pi}{M}\right) - Q\left(\sqrt{\frac{2E_s}{N_0}} \sin \frac{\pi}{M}\right) \\ &= 1 - 2Q\left(\sqrt{\frac{2E_s}{N_0}} \sin \frac{\pi}{M}\right) \end{aligned}$$

where

$$Q(x) = \frac{1}{\sqrt{2\pi}} \int_x^\infty \exp\left(-\frac{u^2}{2}\right) du, \quad x \geq 0$$

In words, the *Q*-function equals the area under the positive tail of the zero-mean, unit-variance Gaussian density function.

M-ary PSK

$$p(e \mid 1) = 1 - p(c \mid 1) = 2Q\left(\sqrt{\frac{2E_s}{N_0}} \sin \frac{\pi}{M}\right)$$

Since $p(e \mid m) = 1 - p(c \mid m)$ for $m = 1, 2, \dots, M$,

the average probability of **symbol error** for M -ary PSK is

$$p(e) = 2Q\left(\sqrt{\frac{2E_s}{N_0}} \sin \frac{\pi}{M}\right) = \operatorname{erfc}\left(\sqrt{\frac{E_s}{N_0}} \sin \frac{\pi}{M}\right)$$

$$\text{where } \operatorname{erfc}(x) = \frac{2}{\sqrt{\pi}} \int_x^{\infty} \exp(-t^2) dt = 2Q(\sqrt{2}x)$$

$$E_s = kE_b = (\log_2 M)E_b$$

M-ary PSK

The average probability of **bit error** for M-ary PSK is approximated as

$$p_b = \frac{1}{\log_2 M} p(e)$$

$$p_b = BER = \frac{1}{\log_2 M} 2Q\left(\sqrt{\frac{2 \log_2 M \cdot E_b}{N_0}} \sin \frac{\pi}{M}\right)$$

$$p_b = BER = \frac{1}{\log_2 M} erfc\left(\sqrt{\frac{\log_2 M \cdot E_b}{N_0}} \sin \frac{\pi}{M}\right)$$

***M*-ary ASK**

- In *M*-ary ASK, during each signaling interval of duration T , one of the following M possible signals is sent

$$s_i(t) = A_i \sqrt{\frac{2}{T}} \cos(2\pi f_c t), \text{ where } i = 1, 2, \dots, M$$

- The carrier frequency $f_c = n_c/T$ for some fixed integer n_c

***M*-ary PSK**

- Each $s_i(t)$ may be expanded in terms of one basis functions $\phi_i(t)$, defined as

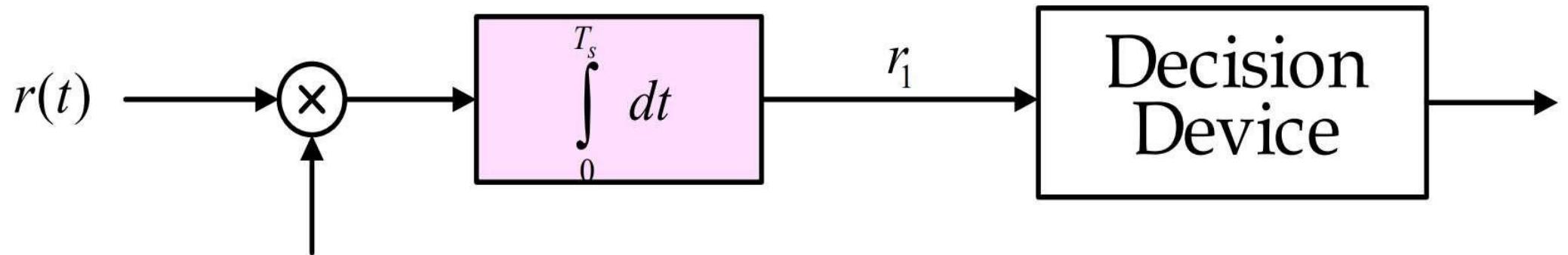
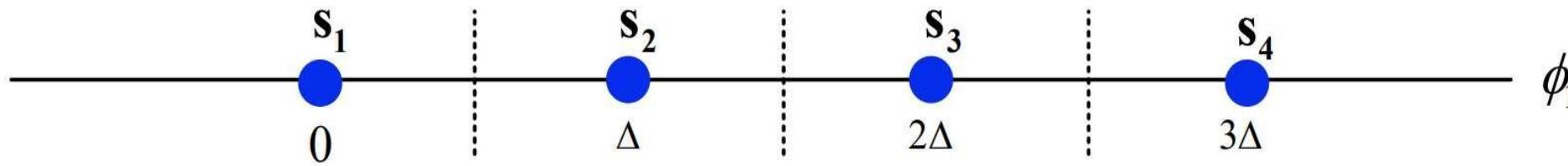
$$\phi_i(t) = \sqrt{\frac{2}{T}} \cos(2\pi f_c t), \quad 0 \leq t \leq T$$

- The basis function has unit energy.
- If $A_i = (i-1)\Delta$, then

$$s_i(t) = (i-1)\Delta \phi_i(t), \text{ where } i = 1, 2, \dots, M$$

- Where Δ is the distance between two adjacent signals, see next slide.

M-ary ASK with M = 4



M-ary ASK

- The average probability of symbol error for M-ary PSK is

$$p(e) = \sum_{i=1}^M p(e | s_i) p(s_i)$$

- $p(s_i)$ The probability that symbol s_i was sent.
- $p(e | s_i)$ The probability of decision error when symbol s_i was sent.

- When each symbol is sent with the same probability,

$$p(s_i) = \frac{1}{M}$$

M-ary ASK with M = 8

- Assume that \mathbf{s}_i was sent, the receiver produces,

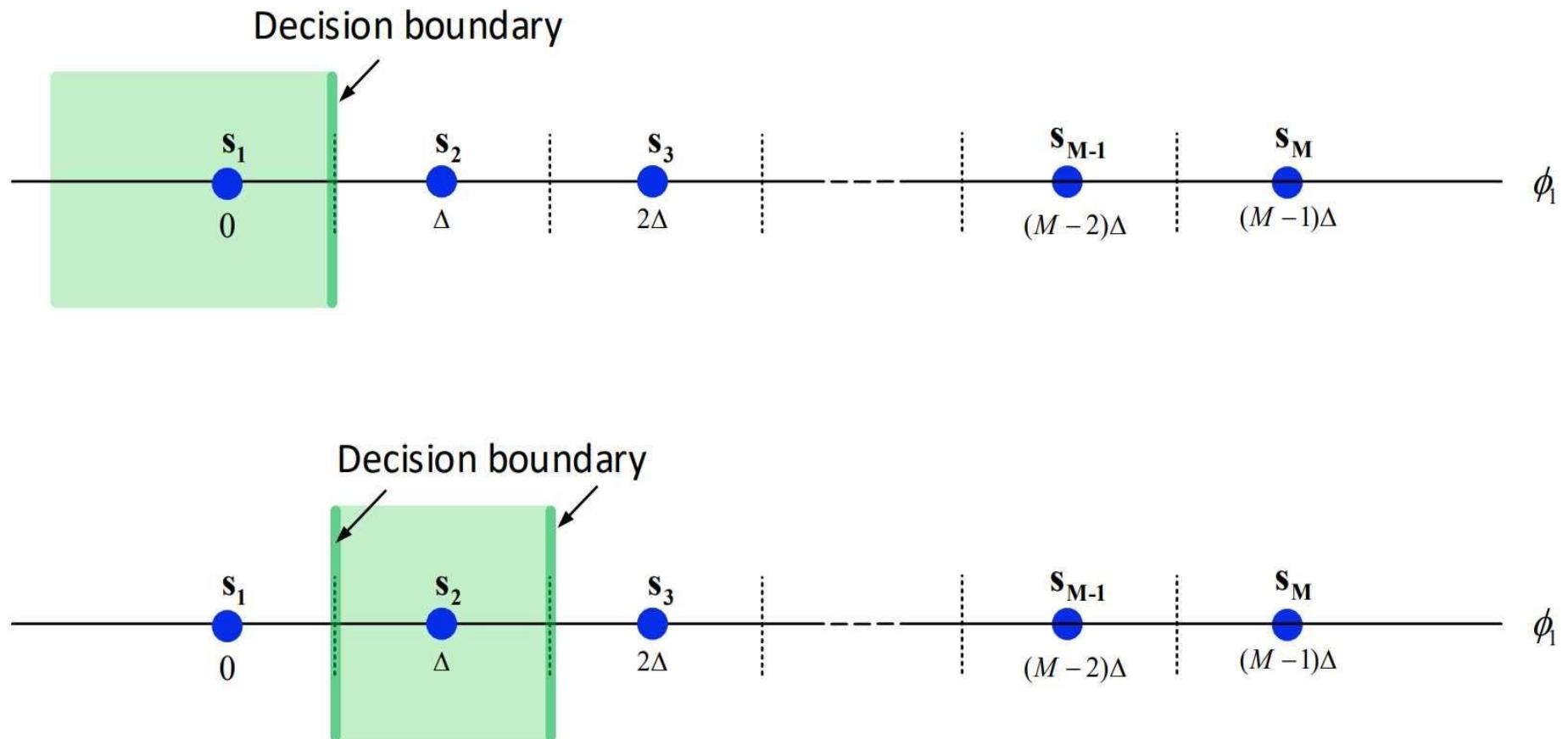
$$r_1 = (i - 1)\Delta + N$$

- **N is an independent Gaussian random variable with zeros mean and variance $\sigma^2 = \frac{N_0}{2}$.**

$$f_{r_1}(r_1 | \mathbf{s}_i) = \frac{1}{\sqrt{2\pi}\sigma} \exp\left[-\frac{(r_1 - (i-1)\Delta)^2}{2\sigma^2}\right]$$

$$= \frac{1}{\sqrt{\pi N_0}} \exp\left[-\frac{(r_1 - (i-1)\Delta)^2}{N_0}\right]$$

M-ary ASK with $M = 8$



s_1 and s_M have different decision regions from s_2, s_3, \dots, s_{M-1}

M-ary ASK

For \mathbf{s}_1 and \mathbf{s}_M ,

$$p(e | \mathbf{s}_1) = \int_{\Delta/2}^{\infty} f_{r_1}(r_1 | \mathbf{s}_1) dr = \int_{\Delta/2}^{\infty} \frac{1}{\sqrt{\pi N_0}} \exp\left[-\frac{r_1^2}{N_0}\right] dr = Q\left(\frac{\Delta}{\sqrt{2N_0}}\right)$$

$$\begin{aligned} p(e | \mathbf{s}_M) &= \int_{-\infty}^{(M-1.5)\Delta} f_{r_1}(r_1 | \mathbf{s}_M) dr \\ &= \int_{-\infty}^{(M-1.5)\Delta} \frac{1}{\sqrt{\pi N_0}} \exp\left[-\frac{(r_1 - (M-1)\Delta)^2}{N_0}\right] dr \\ &= Q\left(\frac{\Delta}{\sqrt{2N_0}}\right) = p(e | \mathbf{s}_1) \end{aligned}$$

M-ary ASK

For $\mathbf{s}_2, \mathbf{s}_3, \dots, \mathbf{s}_{M-1}$,

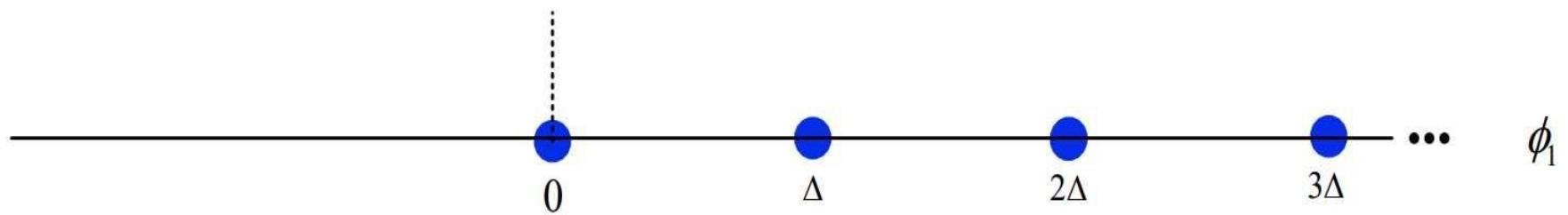
$$p(e | \mathbf{s}_i) = 1 - \int_{(i-1.5)\Delta}^{(i-0.5)\Delta} f_{r_1}(r_1 | \mathbf{s}_i) dr = 2Q\left(\frac{\Delta}{\sqrt{2N_0}}\right)$$

$$p(e) = \sum_{i=1}^M p(e | \mathbf{s}_i) p(\mathbf{s}_i)$$

$$= \frac{1}{M} \left[2 \times Q\left(\frac{\Delta}{\sqrt{2N_0}}\right) + (M-2) \times 2Q\left(\frac{\Delta}{\sqrt{2N_0}}\right) \right]$$

$$= \frac{2(M-1)}{M} Q\left(\frac{\Delta}{\sqrt{2N_0}}\right)$$

M-ary ASK



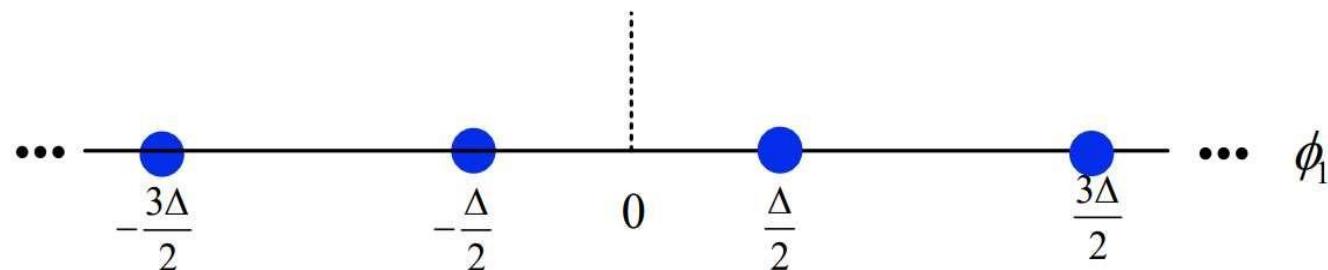
$$E_s = \frac{0^2 + \Delta^2 + (2\Delta)^2 + (3\Delta)^2 + \dots + ((M-1)\Delta)^2}{M} = \frac{(M-1)(2M-1)\Delta^2}{6}$$

M-ary ASK

- If we may change the signals to become

$$s_i(t) = (2i - 1 - M) \frac{\Delta}{2} \phi_1(t), \text{ where } i = 1, 2, \dots, M$$

- The energy per symbol E_s can be lower without any change to P_e .



$$E_s = \frac{1}{M} \left(\frac{\Delta}{2} \right)^2 \sum_{i=1}^M (2i - 1 - M)^2 = \frac{\Delta^2}{4M} \left(\frac{M}{3} (M^2 - 1) \right) = \frac{(M^2 - 1)\Delta^2}{12}$$

M-ary ASK

$$E_b = \frac{E_s}{\log_2(M)} = \frac{(M^2 - 1)\Delta^2}{12\log_2(M)}$$

$$\Delta = \sqrt{\frac{E_b 12 \log_2(M)}{M^2 - 1}}$$

Therefore, the symbol error rate of M-ary ASK

$$p(e) = \frac{2(M-1)}{M} Q\left(\frac{\Delta}{\sqrt{2N_0}}\right)$$

SER = [(M-1)/M *math.erfc(math.sq

$$= \frac{2(M-1)}{M} Q\left(\sqrt{\frac{E_b}{N_0} \frac{6 \log_2(M)}{M^2 - 1}}\right)$$

$$= \frac{(M-1)}{M} erfc\left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{M^2 - 1}}\right)$$

M-ary QAM

- In *M*-ary QAM, during each signaling interval of duration T , one of the following M possible signals is sent

$$s_i(t) = A_{I,i} \sqrt{\frac{2}{T}} \cos(2\pi f_c t) + A_{Q,i} \sqrt{\frac{2}{T}} \sin(2\pi f_c t),$$

where $i = 1, 2, \dots, M$

- The carrier frequency $f_c = n_c/T$ for some fixed integer n_c

M-ary QAM

- Each $s_i(t)$ may be expanded in terms of two basis functions $\phi_1(t)$ and $\phi_2(t)$, defined as

$$\phi_1(t) = \sqrt{\frac{2}{T}} \cos(2\pi f_c t), \quad 0 \leq t \leq T$$

$$\phi_2(t) = \sqrt{\frac{2}{T}} \sin(2\pi f_c t), \quad 0 \leq t \leq T$$

- Both basis functions have unit energy.

M-ary QAM

- Each $s_i(t)$ is represented as

$$s_i(t) = A_{I,i}\phi_1(t) + A_{Q,i}\phi_2(t),$$

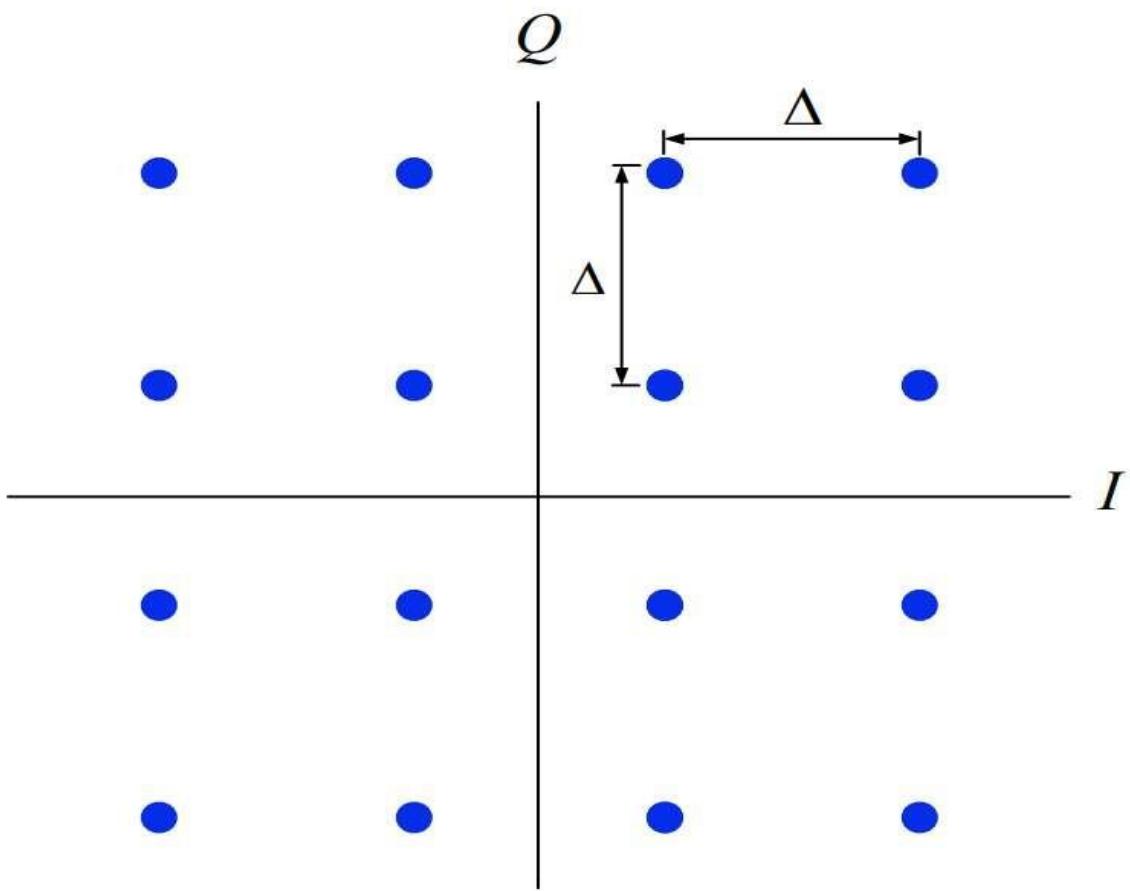
- Energy of symbol i is

$$E_i = A_{I,i}^2 + A_{Q,i}^2$$

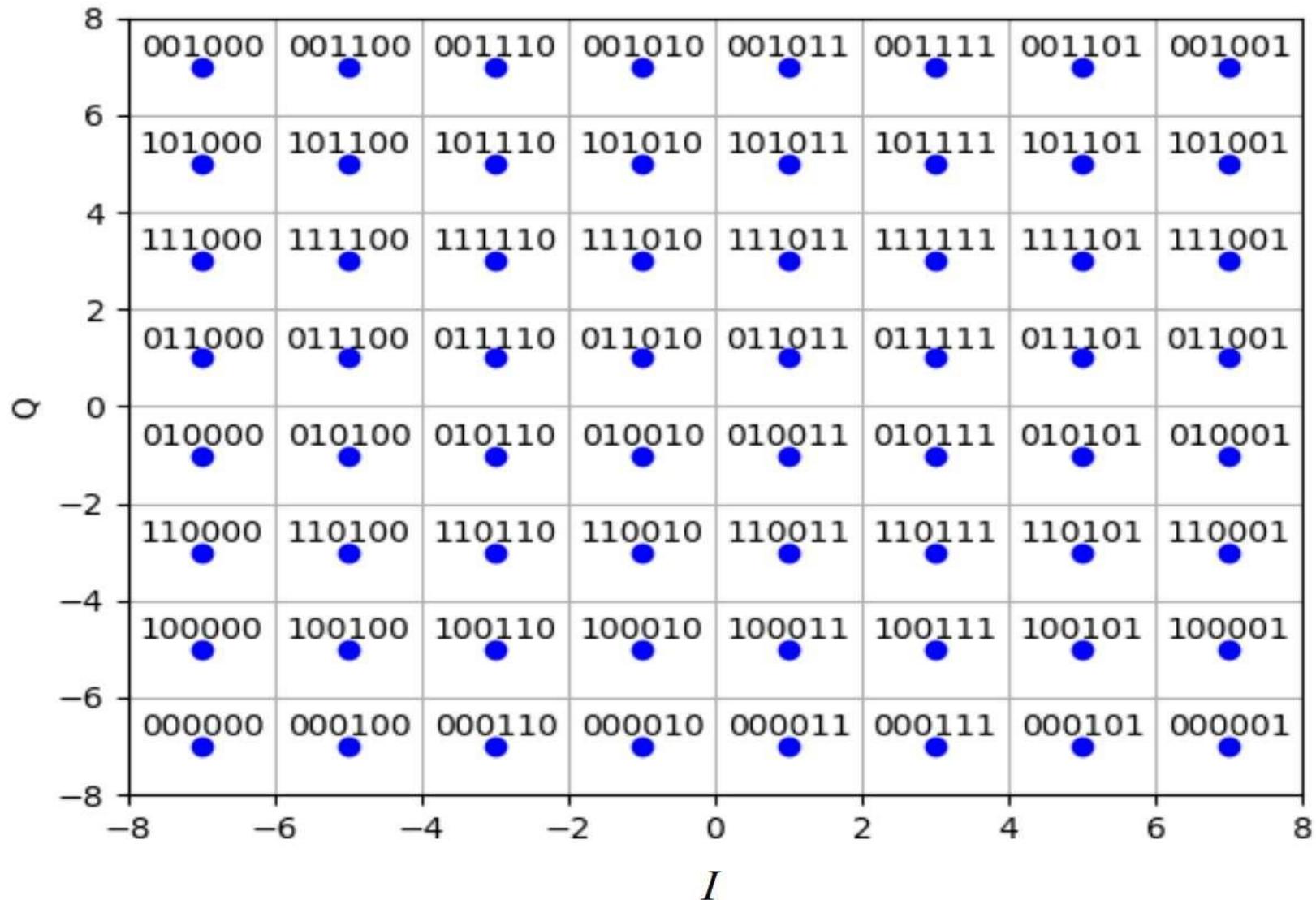
- Energy per symbol of QAM is

$$E_S = \frac{1}{M} \sum_{i=1}^M E_i = \frac{1}{M} \sum_{i=1}^M (A_{I,i}^2 + A_{Q,i}^2)$$

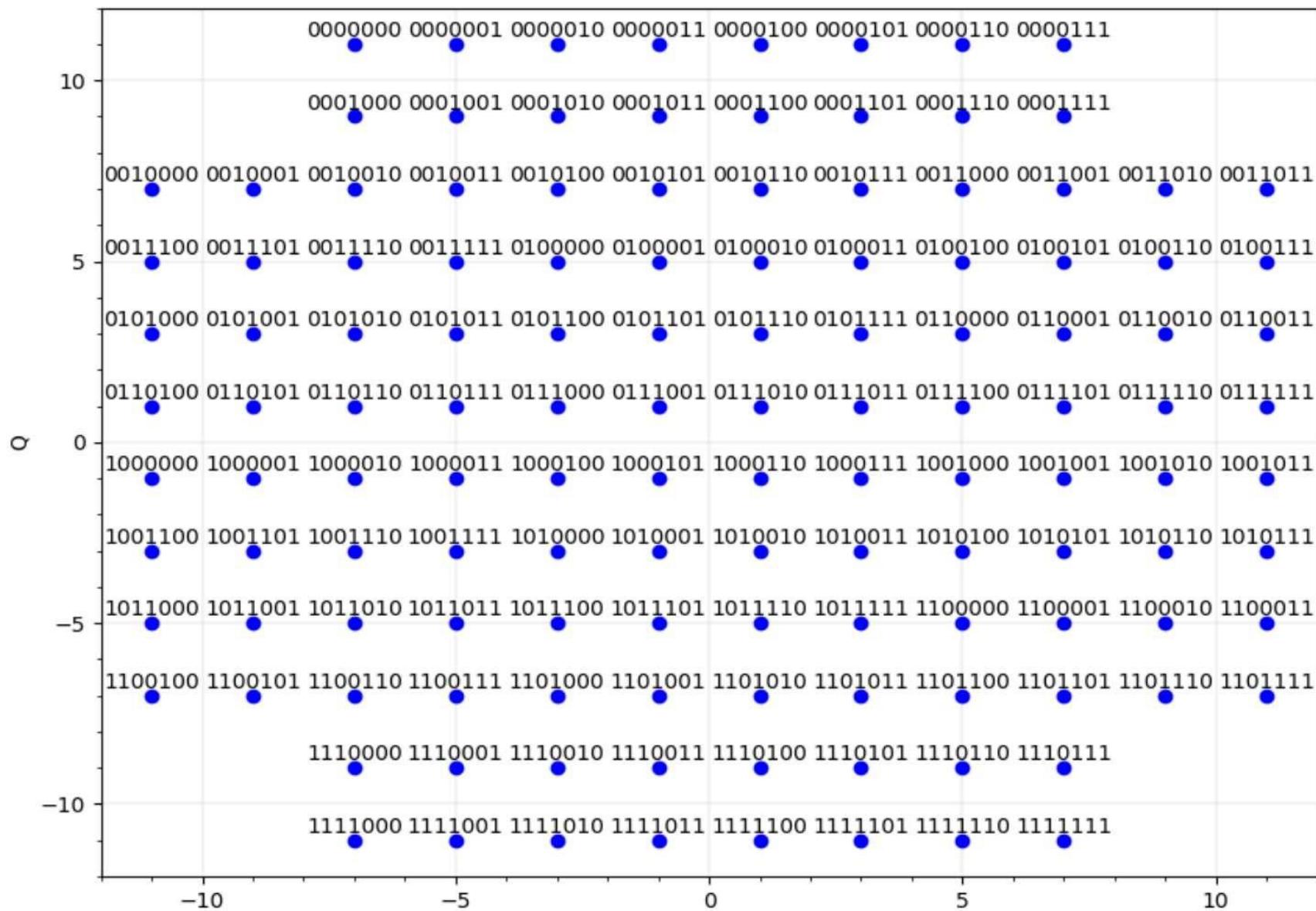
16-ary QAM



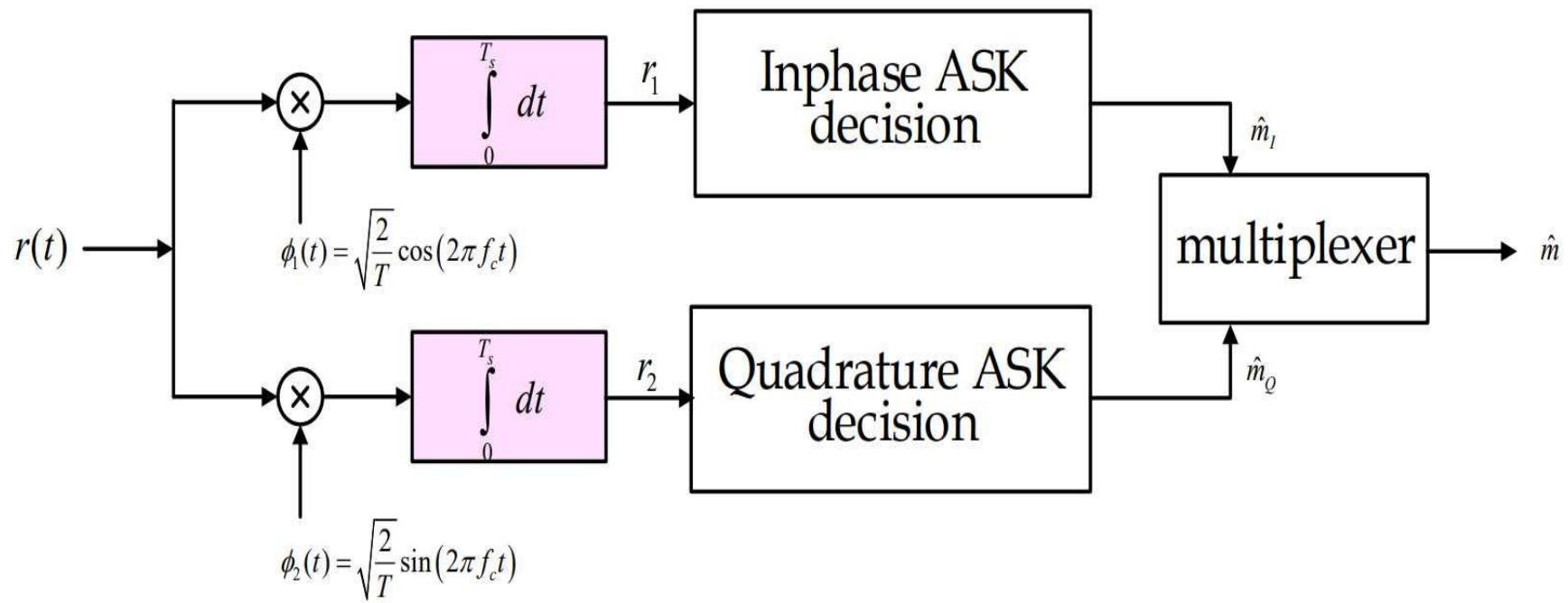
64-ary QAM



128-ary QAM



16-ary QAM



M-ary QAM

- Receiver can detect inphase and quadrature signal separately and independently.
- Therefore, symbol error rate of M-ary QAM can be computed easily using the symbol error rate of M-ary ASK as follows.

$$p_{M-QAM}(e) = 1 - P[\text{correct}] = 1 - \left(1 - p_{\sqrt{M}-ASK}(e)\right)^2$$

M-ary QAM

Since $p_{\sqrt{M}-ASK}(e) = \frac{2(\sqrt{M} - 1)}{\sqrt{M}} Q\left(\sqrt{\frac{E_b}{N_0} \frac{6 \log_2(\sqrt{M})}{M-1}}\right)$

$$= 2\left(1 - \frac{1}{\sqrt{M}}\right) Q\left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{M-1}}\right)$$

we obtain

$$p_{M-QAM}(e) = 1 - \left(1 - 2\left(1 - \frac{1}{\sqrt{M}}\right) Q\left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{M-1}}\right)\right)^2$$

$$= 4\left(1 - \frac{1}{\sqrt{M}}\right) Q\left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{M-1}}\right) - 4\left(1 - \frac{1}{\sqrt{M}}\right)^2 Q^2\left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{M-1}}\right)$$

M-ary QAM

$$p_{M-QAM}(e) = 2 \left(1 - \frac{1}{\sqrt{M}} \right) erfc \left(\sqrt{\frac{E_s}{N_0} \frac{3}{2(M-1)}} \right) - \left(1 - \frac{1}{\sqrt{M}} \right)^2 erfc^2 \left(\sqrt{\frac{E_s}{N_0} \frac{3}{2(M-1)}} \right)$$
$$= 2 \left(1 - \frac{1}{\sqrt{M}} \right) erfc \left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{2(M-1)}} \right) - \left(1 - \frac{1}{\sqrt{M}} \right)^2 erfc^2 \left(\sqrt{\frac{E_b}{N_0} \frac{3 \log_2(M)}{2(M-1)}} \right)$$



THANK YOU

