

# AN $L_1$ -CONSTRAINED NORMALIZED LMS ALGORITHM AND ITS APPLICATION TO THINNED ADAPTIVE ANTENNA ARRAYS

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## ABSTRACT

We propose in this work an  $L_1$ -norm Linearly Constrained Normalized Least-Mean-Square ( $L_1$ -CNLMS) algorithm applied to solve the beamforming problem in Standard Hexagonal Arrays (SHA) and (non-standard) Hexagonal Antenna Arrays (HAA). In addition to the linear constraints present in the CNLMS algorithm, the  $L_1$ -CNLMS algorithm takes into account an  $L_1$ -norm penalty on the filter coefficients which results in sparse solutions producing Thinned Hexagonal Arrays. The effectiveness of the  $L_1$ -CNLMS algorithm is demonstrated by comparing, via computer simulations, its results with those of the CNLMS algorithm. When employing the  $L_1$ -CNLMS algorithm to antenna array problems, the resulting effect of the  $L_1$ -norm constraint is perceived as a large aperture array with few active array elements.

**Index Terms**— CNLMS Algorithm,  $L_1$ -norm, Sparse Sensor Arrays, Constrained Adaptive Beamforming, Thinned Arrays.

## 1. INTRODUCTION

In modern telecommunication systems as well as in a number of other applications, the use of adaptive antenna arrays has become an important asset to increase system capacity, improve performance, and attain demanding criteria for quality of service. Interfering signals may impose severe drawbacks and limitations for systems unable to mitigate their effects either due to lack of computational capacity or due to limited power supply (those powered by batteries, for instance). On one hand, algorithm design shall target some specified radiation characteristic, such as 0 dB gain for signals of interest and the ability to mitigate jammers. On the other hand, the number of elements used shall be kept low for a tight control over energy consumption. In general, these design rules are conflicting and a compromise is often the best solution.

In this work, we propose a design criteria embedded in the adaptation algorithm which favors sparse, or thinned, arrays with a good compromise between radiation pattern and the number of array elements in use. Our algorithm is able to turn off elements, or sensors, as deemed appropriate, without violating design linear constraints.

We consider that the possibility of provoking sparsity by a design rule incorporated in the adaptation-algorithm objective function is key to achieving high performance in demanding online and real-time applications. The LASSO [1] and the Sparse LMS [2] algorithms, together with references [3], [4], and [5], offered good starting points to the pursuit of sparse and linearly constrained adaptive

filters. Motivated by the preliminary good results presented in [6], the work presented here has focused on a linearly constrained adaptation algorithm with an additional  $L_1$ -norm constraint based on the CNLMS [7] algorithm. The new algorithm achieves large degrees of sparsity and yet maintains desired beampattern characteristics. We have also developed a variable step-size to adjust dynamically convergence speed and  $L_1$ -norm; this proved to be fundamental to achieving sparsity and performance gain in tandem.

The algorithm is particularly suited for applications where a large number of sensors are needed. Examples are planar arrays employed in mobile satellite communications [8] [9] [10], including those used in tactical military communication systems—operating in bands “X” [11] and “Ku” [12]—and in civilian satellite systems for personal communications.

We have tested the proposed algorithm in two simulation setups involving hexagonal antenna arrays [13] [14] for satellite applications. The first scenario contemplates a standard hexagonal array of 91 elements for mobile receiver systems and, in the second scenario, we use an hexagonal array of 397 elements for geostationary satellite antenna systems.

## 2. THE CNLMS AND $L_1$ -CNLMS ALGORITHMS

The CLMS algorithm proposed in [15] adjusts, at each iteration, the coefficients of an adaptive linear combiner satisfying linear constraints, such as those determined by beamforming applications. However, the difficulty to choose the step size for a gradient-type algorithm becomes aggravated in constrained scenarios. In [7], the normalized version of the CLMS algorithm was presented for multi-user detection; its use in other applications, such as adaptive beamforming, is straightforward.

Defining  $\epsilon(k) = d(k) - \mathbf{w}^H \mathbf{x}(k)$  as an estimation error associated with coefficient vector  $\mathbf{w}$ , where  $\mathbf{x}(k)$  and  $d(k)$  are the input and desired signals, respectively, the CLMS algorithm can be derived [15] [16] starting from the following constrained minimization problem:

$$\min_{\mathbf{w}} E[|\epsilon(k)|^2] \text{ s.t. } \mathbf{C}^H \mathbf{w} = \mathbf{z}, \quad (1)$$

where  $\mathbf{C}$  is an  $N \times N_C$  constraint matrix and  $\mathbf{z}$  is the corresponding constraint vector containing  $N_C$  (number of constraints) elements.

Using Lagrange multipliers and an instantaneous estimate of the gradient, the updating equation of the CLMS algorithm at time instant  $k$  is expressed as

$$\mathbf{w}(k+1) = \mathbf{P} [\mathbf{w}(k) + \mu e^*(k) \mathbf{x}(k)] + \mathbf{F}, \quad (2)$$

where  $e(k) = d(k) - \mathbf{w}^H(k) \mathbf{x}(k)$  is the *a priori* estimation error,  $\mathbf{P} = \mathbf{I}_{N \times N} - \mathbf{C} (\mathbf{C}^H \mathbf{C})^{-1} \mathbf{C}^H$  is a projection matrix and  $\mathbf{F} = \mathbf{C} (\mathbf{C}^H \mathbf{C})^{-1} \mathbf{z}$  is an  $N \times 1$  vector.

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Minimizing the instantaneous *a posteriori* squared error at instant  $k$  [7] [16], defined as  $e_{ap}^2(k) = [d(k) - \mathbf{w}^H(k+1)\mathbf{x}(k)]^2$ , the convergence step in Eq. (2), assuming it time varying, could be replaced by

$$\mu(k) = \frac{\mu_0}{\mathbf{x}^H(k)\mathbf{P}\mathbf{x}(k) + \gamma}, \quad (3)$$

where  $\mu_0$  is a fixed convergence factor introduced to control misadjustment and  $\gamma$  is a parameter included to avoid taking large steps when  $\mathbf{x}^H(k)\mathbf{P}\mathbf{x}(k)$  becomes too small.

The use of Eq. (3) into Eq. (2) leads to the CNLMS algorithm [7].

## 2.1. The $L_1$ -CLMS Algorithm

In [6], an  $L_1$ -norm penalty is added to the list of constraints in the CLMS algorithm in order to favor coefficient shrinkage towards sparsity:

$$\min_{\mathbf{w}} E[|\epsilon(k)|^2] \text{ s.t. } \begin{cases} \mathbf{C}^H \mathbf{w} = \mathbf{z}, \\ \|\mathbf{w}\|_1 = t. \end{cases} \quad (4)$$

A cost function with the  $L_1$ -norm penalty is then defined as

$$\xi(\mathbf{w}) = E[|\epsilon(k)|^2] + \lambda_1^H (\mathbf{C}^H \mathbf{w} - \mathbf{z}) + \lambda_2 (\|\mathbf{w}\|_1 - t). \quad (5)$$

The instantaneous estimate of the gradient of  $\xi(\mathbf{w})$  in Eq. (5) is expressed as

$$\hat{\nabla}_{\mathbf{w}} \xi(\mathbf{w}) = -2e^*(k)\mathbf{x}(k) + \mathbf{C}\lambda_1 + \lambda_2 \text{sign}[\mathbf{w}], \quad (6)$$

where  $\text{sign}[w] \triangleq w/|w|$  and  $\|\mathbf{w}\|_1 = \text{sign}^H[\mathbf{w}]\mathbf{w}$ .

Applying the steepest descent method [16], we obtain

$$\mathbf{w}(k+1) = \mathbf{w}(k) - \frac{\mu}{2} \left\{ -2e^*(k)\mathbf{x}(k) + \mathbf{C}\lambda_1 + \lambda_2 \text{sign}[\mathbf{w}(k)] \right\}. \quad (7)$$

It is possible to solve for  $\lambda_1$  premultiplying Eq. (7) by  $\mathbf{C}^H$  such that

$$\lambda_1 = (\mathbf{C}^H \mathbf{C})^{-1} \mathbf{C}^H \left\{ 2e^*(k)\mathbf{x}(k) - \lambda_2 \text{sign}[\mathbf{w}(k)] \right\}. \quad (8)$$

Due to the constraints in the minimization problem stated in Eq. (4), the approximation  $\text{sign}^H[\mathbf{w}(k)]\mathbf{w}(k+1) \approx t$  is proposed; this shall be valid, at least near convergence, as  $\mathbf{w}(k)$  and  $\mathbf{w}(k+1)$  are expected to be in the same hyper-quadrant.

Defining the  $L_1$ -norm  $t_k = \text{sign}^H[\mathbf{w}(k)]\mathbf{w}(k)$  and taking into account that  $N = \text{sign}^H[\mathbf{w}(k)]\text{sign}[\mathbf{w}(k)]$ , it is possible to premultiply Eq. (7) by  $\text{sign}^H[\mathbf{w}(k)]$  and eliminate vector  $\mathbf{w}(k+1)$ :

$$t = t_k - \frac{\mu}{2} \left\{ -e^*(k)\text{sign}^H[\mathbf{w}(k)]\mathbf{x}(k) + \text{sign}^H[\mathbf{w}(k)]\mathbf{C}\lambda_1 + \lambda_2 \text{sign}^H[\mathbf{w}(k)]\text{sign}[\mathbf{w}(k)] \right\}. \quad (9)$$

After isolating  $\lambda_2$  from Eq. (9) and defining the  $L_1$ -norm error  $e_{L1}(k) = t - t_k$ , we have

$$\lambda_2 = \left( \frac{-2}{N\mu} \right) e_{L1}(k) + \frac{2}{N} e^*(k)\text{sign}^H[\mathbf{w}(k)]\mathbf{x}(k) - \frac{1}{N} \text{sign}^H[\mathbf{w}(k)]\mathbf{C}\lambda_1. \quad (10)$$

The Lagrange multipliers  $\lambda_1$  and  $\lambda_2$  can be calculated solving the system of equations stated by Eqs. (8) and (10).

The update equation for the  $L_1$ -CLMS algorithm can be obtained from the update equation presented in [6]:

$$\mathbf{w}(k+1) = \mathbf{P} [\mathbf{w}(k) + \mu \bar{\mathbf{P}}(k)\mathbf{x}(k)e^*(k)] + \mathbf{F} + \mathbf{F}_{L1}(k) \quad (11)$$

with

$$\begin{cases} \bar{\mathbf{P}}(k) = \left[ \mathbf{I} - \left( \frac{\mathbf{P}\text{sign}[\mathbf{w}(k)]}{\|\mathbf{P}\text{sign}[\mathbf{w}(k)]\|^2} \right) \text{sign}^H[\mathbf{w}(k)] \right] \mathbf{P}, \\ \mathbf{F}_{L1}(k) = \mu_{L1} \left( \frac{\mathbf{P}\text{sign}[\mathbf{w}(k)]}{\|\mathbf{P}\text{sign}[\mathbf{w}(k)]\|^2} \right) e_{L1}(k), \\ e_{L1}(k) = t - \text{sign}^H[\mathbf{w}(k)]\mathbf{w}(k). \end{cases}$$

## 2.2. The New $L_1$ -CNLMS Algorithm

In order to obtain a normalized version of the  $L_1$ -CLMS algorithm, a time-varying convergence factor shall be calculated minimizing the instantaneous *a posteriori* squared error at instant  $k$  [16], i.e., we calculate  $\mu$ , at instant  $k$ , which minimizes  $e_{ap}^2(k)$ :

$$\mu(k) = \frac{\mu_0 [e^*(k) - \mathbf{x}^H(k)\mathbf{F}_{L1}]}{e^*(k)\mathbf{x}^H(k)\bar{\mathbf{P}}(k)\mathbf{x}(k) + \gamma}. \quad (12)$$

The factors  $\mu_0$  and  $\mu_{L1}$  are fixed convergence factors introduced to control misadjustment. If  $\mu_0$  is chosen equal to 1, the instantaneous *a posteriori* squared error is equal to zero, as expected for a normalized algorithm.

The proposed algorithm, comprising Eqs. (11) and (12), produces sparse solutions as a consequence of the  $L_1$ -norm shrinkage, yielding more economical arrays. Comparing the update equations for the  $L_1$ -CNLMS and the CNLMS algorithms, it is possible to infer they have the same order of computational complexity, i.e.,  $O(N \times N_c)$ . In this work, matrix  $\mathbf{C}$  and vector  $\mathbf{z}$  define the linear constraints to assure nulls in the directions of the jammers and a constant gain in the direction of interest, while the  $L_1$ -norm constraint is controlled by parameter  $t$ .

## 3. THE ANTENNA ARRAY

Consider a Standard Hexagonal Array (SHA) composed of  $N$  receiving antennas (sensors) and  $N_c$  receiving narrowband signals coming from different azimuths ( $\theta_i$ ) and zeniths ( $\phi_i$ ) [13] defined mathematically by  $(\theta_1, \phi_1), \dots, (\theta_{N_c}, \phi_{N_c})$ . The samples observed by  $N$  sensors during  $M$  snapshots, assuming an analytic signal in the discrete domain, are denoted by  $\mathbf{x}(k)$ , with  $k$  from 1 to  $M$ . The  $N \times 1$  signal vector is modeled as

$$\mathbf{x}(k) = \sum_{i=1}^{N_c} \mathbf{a}(\theta_i, \phi_i) s_q(k) + \boldsymbol{\eta}(k), \quad k = 1, 2, \dots, M. \quad (13)$$

Using matrix notation, the last expression can be written as  $\mathbf{A}\mathbf{s}(k) + \boldsymbol{\eta}(k)$  and an  $N \times M$  input data matrix  $\mathbf{X}$  can be defined and expressed as

$$\mathbf{X} = [\mathbf{x}(1) \ \mathbf{x}(2) \ \dots \ \mathbf{x}(M)] = \mathbf{A}\mathbf{S} + \boldsymbol{\mathcal{N}}, \quad (14)$$

where  $\mathbf{S}$  is the  $N_c \times M$  complex signal envelope matrix at the array center,  $\mathbf{A} = [\mathbf{a}(\theta_1, \phi_1), \dots, \mathbf{a}(\theta_{N_c}, \phi_{N_c})]$  is the  $N \times N_c$  steering matrix and  $\boldsymbol{\mathcal{N}}$  is the  $N \times M$  noise matrix. The steering matrix columns are defined as:

$$\mathbf{a}_i = \exp \left\{ -j \frac{2\pi}{\lambda} \left[ \cos(\theta_i) \sin(\phi_i) \otimes \mathbf{d}_u + \sin(\theta_i) \sin(\phi_i) \otimes \mathbf{d}_v \right] \right\}, \quad i = 1, \dots, N_c, \quad (15)$$

where  $\mathbf{d}_u$  and  $\mathbf{d}_v$  are  $N \times 1$  vectors containing the Cartesian  $u$  (abscissa) and  $v$  (ordinate) components, respectively, denoting position for each array element in Cartesian coordinate plane. The symbol  $\otimes$  represents the Kronecker product [13] and  $\lambda$  is the signal wavelength.

Considering a plane wave with wavelength  $\lambda$  incident from direction  $(\theta, \phi)$  that propagates across a planar array of  $N$  isotropic antennas arranged on the same plane according to the grid  $\mathbf{D} = [\mathbf{d}_u, \mathbf{d}_v]_{N \times 2}$ , the beampattern for a given direction  $(\theta, \phi)$  of an array processor having coefficient vector  $\mathbf{w}$  can be calculated by

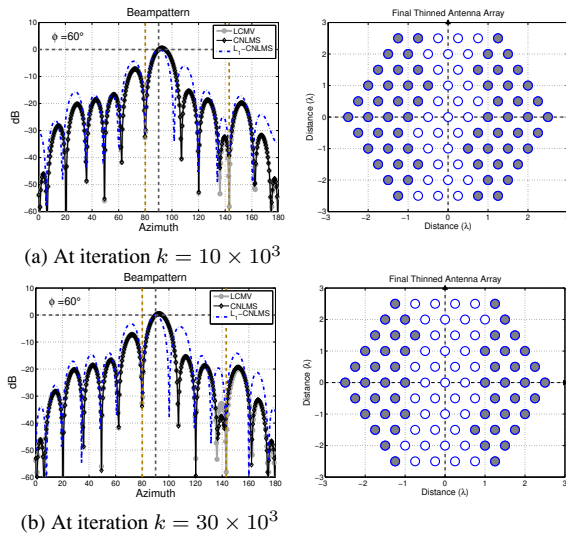
$$B(\theta, \phi) = \mathbf{w}^H \exp \left\{ -j \frac{2\pi}{\lambda} \left[ \cos(\theta) \sin(\phi) \otimes \mathbf{d}_u + \sin(\theta) \sin(\phi) \otimes \mathbf{d}_v \right] \right\}. \quad (16)$$

#### 4. SIMULATION RESULTS

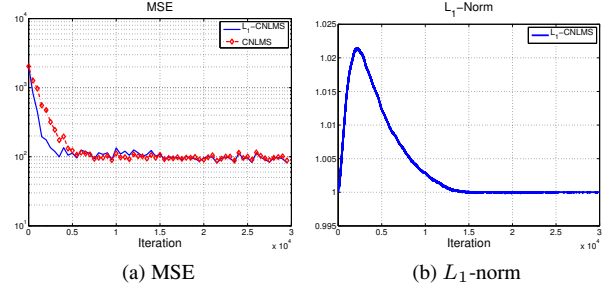
In this section, results from two simulations are presented. We compare the results of the  $L_1$ -CNLMS algorithm with those of the CNLMS algorithm.

##### 4.1. SHA for X-band Geostationary Military Satellite System

The first simulation was carried out considering an SHA suitable for receiving geostationary military satellite signals in the X-band [13] [17]. This SHA employs 6 elements on each edge, resulting in a total of 91 elements as can be observed in Figure 1. Three narrowband analytical QPSK signals are considered in this simulation, i.e., a signal of interest and two interfering signals (jammers). All parameters used in this simulation are listed in Table 1.



**Fig. 1:** Thinned SHA and respective beampattern for the  $L_1$ -CNLMS and CNLMS algorithms, and the LCMV solution. The elements represented by white circles are those turned off by the  $L_1$ -CNLMS algorithm. In Cartesian coordinate plane, the azimuth angle begins in the first quadrant, abscissa axis, and increases in counter-clockwise direction.



**Fig. 2:** MSE and  $L_1$ -norm for coefficient vector during shrinkage process applied to a 91-elements SHA.

**Table 1:** Parameter Values for Simulations I and II

Parameter	I	II
$L_1$ -CNLMS Step-size ( $\mu_0$ )	$2 \times 10^{-2}$	$2 \times 10^{-2}$
CNLMS Step-size ( $\mu_0$ )	$1 \times 10^{-2}$	$1 \times 10^{-2}$
Elements' separation	$\frac{\lambda}{2}$	$\lambda$
$L_1$ -norm constraint ( $t$ )	1.00	1.04
Signals' Frequencies	8 GHz	12 GHz
Signal of Interest ( $\theta_S, \phi_S$ )	(90°, 60°)	(90°, 45°)
Signal SNR	20 dB	20 dB
Jamming 1 ( $\theta_1, \phi_1$ )	(80°, 60°)	(87.50°, 45°)
Jamming 2 ( $\theta_2, \phi_2$ )	(143°, 60°)	(88.75°, 47.50°)
Jamming 3 ( $\theta_3, \phi_3$ )	-	(91.25°, 47.50°)
Jamming 4 ( $\theta_4, \phi_4$ )	-	(92.50°, 45°)
Jamming 1, 2, 3, 4 SNR	40 dB	40 dB

The results presented in Figure 1 show a thinned adaptive beamformer designed iteratively by the  $L_1$ -CNLMS algorithm with only 57% of the total number of elements in use. Performance in terms of beampattern and MSE, as depicted in Figures 1 and 2, respectively, show negligible penalty incurred by sparsity.

##### 4.2. HAA for Ku-band Communication Satellite

The second simulation was carried out considering a hexagonal antenna array (HAA) for Ku-band Communication Satellite. This HAA employs 12 elements on each edge, resulting in a total of 397 elements. The scheme proposed is based on a real satellite communication system able to generate 64 beam spots [18] with average center-to-center spot angle equal to 2.5°. Although the frequency reuse of 1:4 imposes that no adjacent spot shares the same frequency channel, the short separation between the spots of same frequency group causes mutual interference (see Figure 3). Due to the high gains required by satellite antenna systems, it is sometimes not possible to use SHA in which the distance between adjacent array elements is half wavelength. In this simulation, this distance is equal to one wavelength. Five narrowband analytical QPSK signals are considered in this simulation, i.e., a signal of interest and four interfering signals (jammers) disposed in a footprint according to the lattice shown in Figure 3.

This simulation intends to show the narrowband interference between channels using the same frequency. Only one spot is considered, although this result can be extended to the total number of spots.

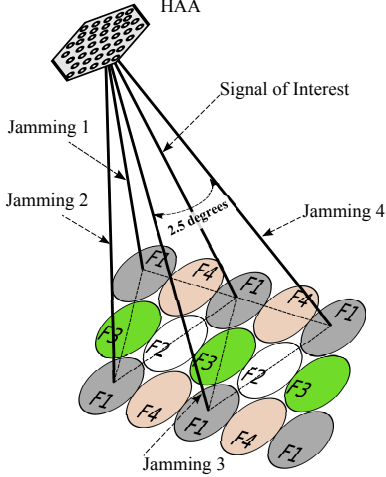


Fig. 3: Spot footprint.

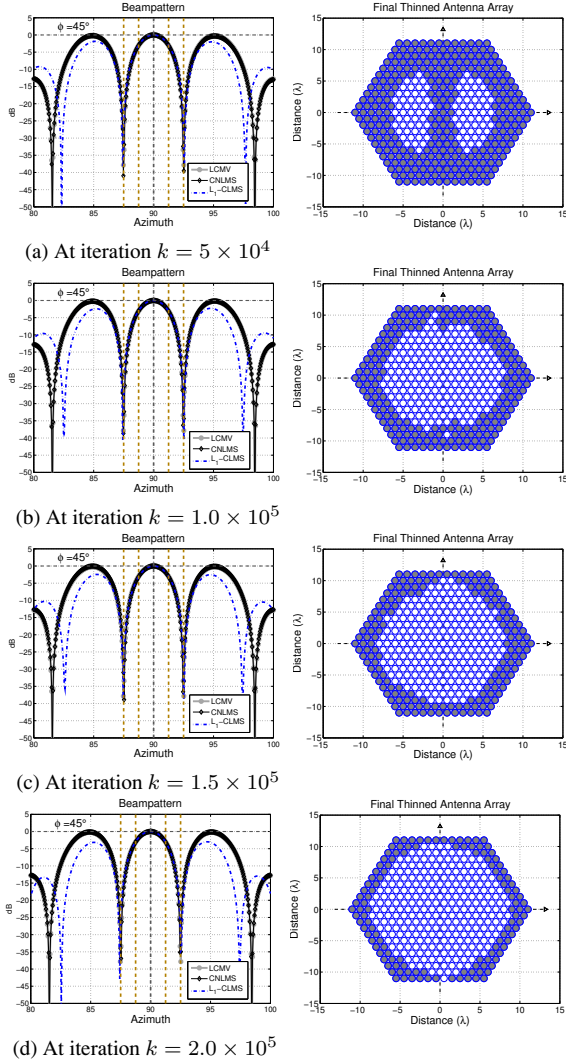


Fig. 4: Thinned HAA and respective beampattern for the  $L_1$ -CNLMS and CNLMS algorithms, and the LCMV solution. The elements represented by white circles are those turned off.

In this simulation, the thinned beamformer designed recursively with the new  $L_1$ -CNLMS algorithm uses, after convergence, only 32% of the total number of elements without compromising the beampattern response or MSE convergence, as shown in Figures 4, 5 and 6. A typical value for  $L_1$ -norm constraint  $t$  equal to 1 was used, this value is the minimal  $L_1$ -norm value feasible according to constraints stated in Eq. (4).

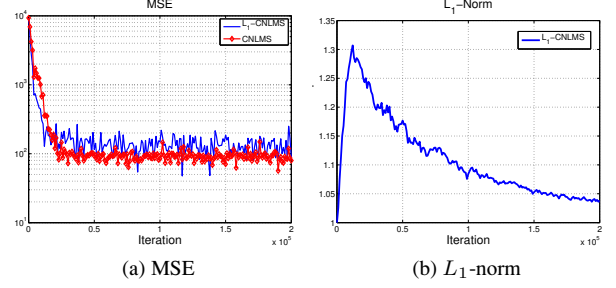


Fig. 5: MSE and  $L_1$ -norm for coefficient vector during shrinkage process applied to a 397-elements HAA.

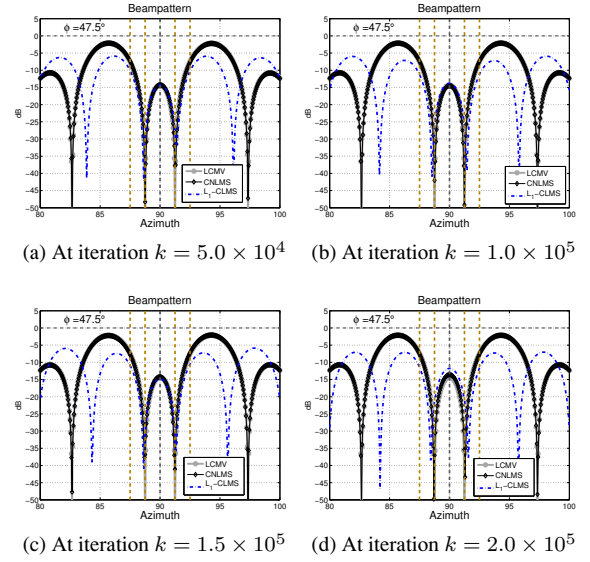


Fig. 6: HAA beampattern at zenith  $\phi = 47.5^\circ$  for the  $L_1$ -CNLMS and CNLMS algorithms, and the LCMV solution.

## 5. CONCLUSIONS

The results of the simulations presented in Section 4 show that the  $L_1$ -CNLMS algorithm, proposed in this paper, provides a suitable adaptive algorithm for mobile satellite communication systems where power supply requirements are critical and the use of adaptive antenna array systems became a necessity.

The ability of the proposed algorithm to produce sparse solutions, with subsequent shutting down of a large number of system's Low Noise Blocks (LNB), allows flexibility in the energy consumption of satellite communications systems. Similar results can also be obtained in mobile communication systems that employ adaptive antenna arrays.

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