

# Small antennas: Theory and applications

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# Outline

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Antenna and/or current optimization											
Antennas and convex optimization											
Antenna and/or current optimization											
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Convex optimization											
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- possess a broad range of expertise within the area of AP.
- http://www.ieeeaps.org/distlectureres.html



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- Arthur Yaghjian
- Miloslav Capek, CTU
- Kurt Schab, NCSU





## Lund University



- Lund university was founded in 1666.
- Sweden's largest university.
- Approximately 40 000 students.
- Department of Electrical and Information Technology: Broadband Communications, Circuits and Systems, Communication, Electromagnetic theory, Networking and Security, Signal Processing.

# Outline

Acknowledgments & Lund University 2 Motivation Stored EM energy Antennas and convex optimization Optimal antenna designs **Beating the limit** Summary





## Frame integrated antennas (Sony Xperia)



## Frame integrated antennas (Sony Xperia)



# Base station antenna (Ericsson)



#### Massive MIMO

















# Outline

- Acknowledgments & Lund University
   Motivation
- Stored EM energy

Antenna and/or current optimization

Antennas and convex optimization
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 Stored EM energy
 Convex optimization
 Maximal D/Q and G/Q
 Superdirectivity
 Antennas above ground planes
 Why convex optimization

- **5** Optimal antenna designs
- **6** Beating the limit
- **7** Summary

## Stored electromagnetic energy

- How is the energy expressed?
  - Fields
  - Currents
  - System/Circuit
- Stored according to what?
  - From input impedance
  - In material
  - For scatterer
- Why are we interested?
  - Physics, EM-theory
  - Antenna bandwidth
  - Physical bounds







### Stored energy expressed in fields, currents, and circuits



## Stored energy expressed in fields, currents, and circuits

Stored electric energy by Vandenbosch 2010 (Geyi 2003b,  $ka \rightarrow 0$ ).

$$W_{e} = \frac{\eta_{0}}{4\omega} \int_{\Omega} \int_{\Omega} \nabla_{1} \cdot \boldsymbol{J}(\boldsymbol{r}_{1}) \nabla_{2} \cdot \boldsymbol{J}^{*}(\boldsymbol{r}_{2}) \frac{\cos(k|\boldsymbol{r}_{1} - \boldsymbol{r}_{2}|)}{4\pi |\boldsymbol{r}_{1} - \boldsymbol{r}_{2}|} \\ - \frac{k}{2} \left(k^{2} \boldsymbol{J}(\boldsymbol{r}_{1}) \cdot \boldsymbol{J}^{*}(\boldsymbol{r}_{2}) - \nabla_{1} \cdot \boldsymbol{J}(\boldsymbol{r}_{1}) \nabla_{2} \cdot \boldsymbol{J}^{*}(\boldsymbol{r}_{2})\right) \frac{\sin(k|\boldsymbol{r}_{1} - \boldsymbol{r}_{2}|)}{4\pi} \, \mathrm{dV}_{1} \, \mathrm{dV}_{2}$$

- Can be derived from the subtracted far-field energy (Gustafsson and Jonsson 2015b).
- Negative values (Gustafsson, Cismasu, and Jonsson 2012).
- Need only the current density.
- Can be used in convex optimization.
- Extensions to temporal dispersion.

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- O Summary

#### Physical bounds on antennas: methods





## Antenna and antenna current optimization

Device structure  $\Omega$  with a maximal size for the antenna region  $\Omega_A$ .

- Antenna optimization: determine the shape, material, and feed properties for optimal performance.
- Antenna current optimization: synthesize an optimal current distribution in the available geometry.





Current distribution on the antenna



Current distribution in the antenna antenna region

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## Optimization of antenna currents: examples

#### Q-factor

#### **Q** for superdirectivity $D \ge D_0$ .

minimize Stored energy

subject to Radiation intensity  $= D_0 P_{rad}/(4\pi)$ Radiated power  $< P_{rad}$ 

#### Embedded structures

minimize Stored energy

subject to Radiated power =  $P_{\rm rad}$ 

Correct induced currents

#### Need to:

- 1. Express the stored energy in the current density J.
- 2. Solve the optimization problems.



## Matrix expressions for the stored EM energies

Method of Moments approximation (expand J in basis functions)

$$W_{\rm e} \approx \frac{1}{4\omega} \mathbf{I}^{\mathsf{H}} \mathbf{X}_{\rm e} \mathbf{I}$$
 stored E-energy,  $\mathbf{X}_{\rm e}$  electric reactance  
 $W_{\rm m} \approx \frac{1}{4\omega} \mathbf{I}^{\mathsf{H}} \mathbf{X}_{\rm m} \mathbf{I}$  stored M-energy,  $\mathbf{X}_{\rm m}$  magnetic reactance  
 $P_{\rm rad} \approx \frac{1}{2} \mathbf{I}^{\mathsf{H}} \mathbf{R} \mathbf{I}$  radiated power

giving  $\mathbf{Z} = \mathbf{R} + j(\mathbf{X}_m - \mathbf{X}_e).$  We also use

$$\hat{e}^* \cdot F pprox \mathbf{FI}$$
 far field  
 $E pprox \mathbf{NI}$  near field  
 $\mathbf{I}_{\mathrm{G}} pprox \mathbf{CI}_{\mathrm{A}}$  induced current on a PEC

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$$\hat{e}^* \cdot F \approx \mathbf{FI}$$
 far field  
 $E \approx \mathbf{NI}$  near field  
 $\mathbf{I}_{\mathrm{G}} \approx \mathbf{CI}_{\mathrm{A}}$  induced current on a PEC

#### Pre-computed matrices used in the optimization.

# Optimization of the current distribution

**Characteristic modes** Modes with small Rayleigh quotients

$$\frac{\mathbf{I}^{\mathsf{H}}\mathbf{X}\mathbf{I}}{\mathbf{I}^{\mathsf{H}}\mathbf{R}\mathbf{I}} = \frac{\mathbf{I}^{\mathsf{H}}(\mathbf{X}_{\mathrm{m}} - \mathbf{X}_{\mathrm{e}})\mathbf{I}}{\mathbf{I}^{\mathsf{H}}\mathbf{R}\mathbf{I}}$$

Eigenvalue problem

 $(\mathbf{X}_m - \mathbf{X}_e)\mathbf{I} = \nu \mathbf{R}\mathbf{I}$ 

- Modes with low reactive power.
- Resonances ( $\nu = 0$ )
- Does not enforce

low stored energy.

Stored energy

Minimize the energy Rayleigh quotient

$$\frac{\mathbf{I}^{\mathsf{H}}(\mathbf{X}_{\mathrm{m}}+\mathbf{X}_{\mathrm{e}})\mathbf{I}}{\mathbf{I}^{\mathsf{H}}\mathbf{R}\mathbf{I}}$$

Eigenvalue problem

$$(\mathbf{X}_{\rm m} + \mathbf{X}_{\rm e})\mathbf{I} = \nu \mathbf{R}\mathbf{I}$$

- Modes with low stored energy.
- Does not enforce resonance.

#### Q-factor

Minimize the Q-factor quotient

 $\frac{2\max\{\mathbf{I}^{\mathsf{H}}\mathbf{X}_{m}\mathbf{I},\mathbf{I}^{\mathsf{H}}\mathbf{X}_{e}\mathbf{I}\}}{\mathbf{I}^{\mathsf{H}}\mathbf{R}\mathbf{I}}$ 

- Currents with low Q-factors.
- Resonance by tuning.
- Need to solve these optimization problems
   ⇒ convex optimization and eigenvalue problems.

Chen and Wang 2015; Garbacz and Turpin 1971; Harrington and Mautz 1971

## Convex optimization

minimize  $f_0(\mathbf{x})$ subject to  $f_i(\mathbf{x}) \le 0, \ i = 1, ..., N_1$  $\mathbf{A}\mathbf{x} = \mathbf{b}$ 



where  $f_i(x)$  are convex, *i.e.*,  $f_i(\alpha \mathbf{x} + \beta \mathbf{y}) \leq \alpha f_i(\mathbf{x}) + \beta f_i(\mathbf{y})$  for  $\alpha, \beta \in \mathbb{R}, \alpha + \beta = 1, \alpha, \beta \geq 0.$ 

Solved with efficient standard algorithms. No risk of getting trapped in a local minimum. A problem is 'solved' if formulated as a convex optimization problem.

Antenna performance expressed in the current density J, e.g.,

- ► Radiated field  $F(\hat{k}) = -\hat{k} \times \hat{k} \times \int_{\Omega} J(r) e^{jk\hat{k} \cdot r} dV$  is affine.
- Radiated power, stored electric and magnetic energies, and Ohmic losses are positive semi-definite quadratic forms in J.

# Currents for maximal G/Q

Determine a current density  $\bm{J}(\bm{r})$  in the volume  $\varOmega$  that maximizes the partial-gain Q-factor quotient  $G(\hat{\bm{k}}, \hat{\bm{e}})/Q$ .

- Partial radiation intensity  $P(\hat{k}, \hat{e})$ 

$$\frac{G(\hat{\boldsymbol{k}}, \hat{\boldsymbol{e}})}{Q} = \frac{2\pi P(\hat{\boldsymbol{k}}, \hat{\boldsymbol{e}})}{c_0 k \max\{W_{\rm e}, W_{\rm m}\}}.$$

Scale J and reformulate max.P as max. Re{ê<sup>\*</sup> ⋅ F}.

• Convex optimization problem.

 $\begin{array}{ll} \mathrm{maximize} & \mathrm{Re}\{\mathbf{FI}\}\\ \mathrm{subject \ to} & \mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I} \leq 1\\ & \mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I} \leq 1 \end{array}$ 





Determines a current density  $\bm{J}(\bm{r})$  in the region  $\varOmega$  with maximal partial radiation intensity and unit stored EM energy.

# Maximum $G(\hat{k}, \hat{x})/Q$ for planar rectangles



Solution for current densities confined to planar rectangles with side lengths  $\ell_x$  and  $\ell_y = \{0.01, 0.1, 0.2, 0.5\}\ell_x$ . Gustafsson and Nordebo 2013; Gustafsson et al. 2016

# ${\cal G}/Q$ bounds

#### Typical (but not optimal) MATLAB code using CVX

```
cvx_begin
variable I(n) complex; % current density
maximize(real(F*I)) % far-field
subject to
quad_form(I,Xe) <= 1; % stored E energy
quad_form(I,Xm) <= 1; % stored M energy
cvx_end
```

- ▶ Similar to the forward scattering bounds (2007) for TM.
- Can design 'optimal' electric dipole mode (TM) antennas.
- ► TE modes and TE+TM are not well understood.

We can reformulate the complex optimization problem to analyze superdirectivity, antennas with a prescribed radiation pattern, losses, and antennas embedded in a PEC structure.

M. Gustafsson, etal, Antenna current optimization using MATLAB and CVX, FERMAT, 2016

# Superdirectivity

- A superdirective antenna has a directivity that is much higher than for a typical reference antenna.
- Often low efficiency (low gain) and narrow bandwidth.
- There is an interest in small superdirective antennas, *e.g.*, Best *etal.* 2008 and Arceo & Balanis 2011,



Best, *etal.*, An Impedance-Matched 2-Element Superdirective Array, IEEE-TAP, 2008

Here, we add the constraint  $D \ge D_0$  to the convex optimization problem for G/Q to determine the minimum Q for superdirective lossless antennas. We can also add constraints on the losses.

## Superdirectivity: min. Q s.t. $D \ge D_0$

Add the constraint  $P_{\rm rad} \leq 4\pi D_0^{-1}$  the get the convex optimization problem

 $\min \quad \max\{\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I},\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I}\}$ 

s.t.  $\operatorname{Re}{\{\mathbf{FI}\}} = 1$  $\mathbf{I}^{\mathsf{H}}\mathbf{PI} \le k^{3}D_{0}^{-1}$ 

Example for current densities confined to planar rectangles with side lengths  $\ell_x$  and  $\ell_y=0.5\ell_x.$ 



# Currents for maximal G/Q for embedded antennas

Determine an optimal current density  $J_A(r)$  in the region  $\Omega_A$ . Assume that the ground plane  $\Omega_G = \Omega \setminus \Omega_A$  is PEC. Can minimize the stored energy for given radiated field

 $\begin{array}{ll} \mathrm{minimize} & \mathrm{max}\{\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I},\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I}\}\\ \mathrm{subject \ to} & \mathbf{F}\mathbf{I}=1\\ & \mathbf{I}_{\mathrm{G}}=\mathbf{C}\mathbf{I}_{\mathrm{A}} \end{array}$ 

or maximize the radiated field for given stored energy

 $\begin{array}{ll} \mathrm{maximize} & \mathrm{Re}\{\mathbf{FI}\}\\ \mathrm{subject \ to} & \mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I} \leq 1\\ & \mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I} \leq 1\\ & \mathbf{I}_{\mathrm{G}} = \mathbf{CI}_{\mathrm{A}} \end{array}$ 



# Finite ground plane with $\{6,10,25,100\}\%$ antenna region



# Finite ground plane with $\{6,10,25,100\}\%$ antenna region



## Antennas above ground planes

- Common with antennas above ground planes.
- Add mirror currents for the stored energy and radiated field.
- Results for rectangular structures at height d above the ground plane.
- Comparison with patch and slot loaded patches.



#### Tayli and Gustafsson 2016

#### Maximum capacity for MIMO antennas



Can solve cases of the type (Ehrenborg and Gustafsson 2017)

 $\begin{array}{ll} \text{maximize} & \log_2 \det(\mathbf{1} + \gamma \mathbf{MPM}^{\mathsf{H}}) \\ \text{subject to} & \operatorname{Tr}(\mathbf{X}_{\mathrm{e}}\mathbf{P}) \leq Q \\ & \operatorname{Tr}(\mathbf{X}_{\mathrm{m}}\mathbf{P}) \leq Q \\ & \operatorname{Tr}(\mathbf{R}_{\Omega}\mathbf{P}) = 1 - \eta \\ & \operatorname{Tr}(\mathbf{RP}) = 1 \\ & \mathbf{P} \succ \mathbf{0} \end{array}$ 

Total stored energy and total dissipated power. Note no simple relation between bandwidth and Q-factors for multiport antennas.

#### Maximum capacity for MIMO antennas



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 $\begin{array}{ll} \text{maximize} & \log_2 \det(\mathbf{1} + \gamma \mathbf{MPM}^{\mathsf{H}}) \\ \text{subject to} & \operatorname{Tr}(\mathbf{X}_{\mathrm{e}}\mathbf{P}) \leq Q \\ & \operatorname{Tr}(\mathbf{X}_{\mathrm{m}}\mathbf{P}) \leq Q \\ & \operatorname{Tr}(\mathbf{R}_{\Omega}\mathbf{P}) = 1 - \eta \\ & \operatorname{Tr}(\mathbf{RP}) = 1 \\ & \mathbf{P} \succ \mathbf{0} \end{array}$ 

Total stored energy and total dissipated power. Note no simple relation between bandwidth and Q-factors for multiport antennas.

#### Maximum capacity for a planar rectangle



#### Maximum capacity for a planar rectangle



#### Maximum capacity for a planar rectangle



# Capacity in $\rm bits/s/Hz$ for fixed noise level (Ehrenborg and Gustafsson 2017).

#### Simple optimization formulations

#### Superdirectivity:

$$\begin{array}{ll} \text{minimize} & \max\{\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I}, \mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I}\}\\ \text{subject to} & \mathbf{F}\mathbf{I} = 1\\ & \mathbf{I}^{\mathsf{H}}\mathbf{R}_{\mathrm{r}}\mathbf{I} \leq 4\pi/(\eta_{0}D_{0}) \end{array}$$

#### Prescribed far field:

 $\begin{array}{ll} \text{minimize} & \max\{\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I},\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I}\}\\ \text{subject to} & \int_{\Omega}|\boldsymbol{F}(\hat{\boldsymbol{k}})-\boldsymbol{F}_{0}(\hat{\boldsymbol{k}})|^{2}\,\mathrm{d}\Omega_{\hat{\boldsymbol{k}}}<\delta \end{array}$ 

#### Embedded antennas:

 $\begin{array}{ll} \mathrm{minimize} & \mathrm{max}\{\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{e}}\mathbf{I},\mathbf{I}^{\mathsf{H}}\mathbf{X}_{\mathrm{m}}\mathbf{I}\}\\ \mathrm{subject \ to} & \mathbf{FI}=1\\ & \mathbf{I}_{\mathrm{G}}=\mathbf{CI}_{\mathrm{A}} \end{array}$ 



## Antenna current optimization

Can optimize the antenna current for many but not all antenna problems

- Mainly single frequency cases. Multi-frequency and UWB challenging.
- Well defined stored energy. Free space and sub-wavelength.
   Some recent results for lossy and dispersive media.

Formulations for or combinations of

- ▶ min. Q, min. Q s.t.  $D \ge D_0$ , min. Q s.t.  $F \approx F_0$ , ...
- max. G/Q,
- Efficiency
- Capacity

▶ ...

#### What is know about antenna performance?

# Outline

- Acknowledgments & Lund University Motivation Stored EM energy Antennas and convex optimization Optimal antenna designs
- **6** Beating the limit
- **7** Summary



#### Spherical modes

Best 2004, folded spherical helix
Stuart *etal* 2007, 2008, 2009

▶ Kim *etal* 2010,2012



Arbitrary shapes

- Best 2009, meander lines, folded cylindrical helix
- Cismasu and
- Gustafsson 2014a GA
- Shahpari, Thiel, and Lewis 2014 Ant colony



Complex

 Finite ground planes Cismasu and Gustafsson 2014a

Patch antennas
 Tayli and Gustafsson
 2016

▶ , ...

Need more antennas to compare with.



Spherical modes

 Best 2004, folded spherical helix
 Stuart *etal* 2007, 2008, 2009
 Kim *etal* 2010,2012 Best 2004



Best and Hanna 2010







#### Stuart and Tran 2007







#### Arbitrary shapes

- Best 2009, meander lines, folded cylindrical helix
- Cismasu and Gustafsson 2014a GA
- Shahpari, Thiel, and Lewis 2014 Ant colony



# Meander line antennas in planar rectangles $(\ell_1 \times \ell_2)$







#### Arbitrary shapes

- Best 2009, meander lines, folded cylindrical helix
- Cismasu and
   Gustafsson 2014a GA
- Shahpari, Thiel, and Lewis 2014 Ant colony





Cismasu and Gustafsson 2014a



Tayli and Gustafsson 2016



#### Complex

 Finite ground planes Cismasu and Gustafsson 2014a
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 , ...



#### Spherical modes

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Complex

 Finite ground planes Cismasu and Gustafsson 2014a

Patch antennas
 Tayli and Gustafsson
 2016

▶ , ...

Need more antennas to compare with.

- Metaheuristic approaches such as GA has been shown to produce antennas close to Q<sub>lb</sub> or similar bounds for many geometries and TM radiation.
- Not much known for other cases.
- Machine learning



Cismasu and Gustafsson 2014a; Cismasu and Gustafsson 2014b

# Outline

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## What can be done to overcome the limits?

- Limits are always based on assumptions.
- Often linear time invariant passive materials.
- Break some of the assumptions to beat the limit.
  - ▶ matching can increase the bandwidth. Bode-Fano limit  $B \le 27/(Q|\Gamma_{0,dB}|)$ .
  - non-Foster matching for further increase. Check SNR.
  - non-linearity, time varying, switches



# Outline

Acknowledgments & Lund University Motivation **B** Stored EM energy Antennas and convex optimization Optimal antenna designs **Beating the limit** 

# Summary

- Stored energy in the current density.
- State-space approach for temporal dispersion.
- Convex optimization for bounds and optimal currents: Q, G/Q, superdirective, embedded, MIMO, losses, ...
- Physical bounds from spheres (Chu 1948) and arbitrary shapes (Gustafsson *etal* 2007) to embedded antennas...
- $\blacktriangleright$  Non-Foster to overcome  $B\sim 1/Q$  ...

M. Gustafsson *etal*, *Antenna current optimization* using MATLAB and CVX, FERMAT, 2016.



Slides: http://www.eit.lth.se/staff/mats.gustafsson

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#### Mixture between dipole and loop currents

