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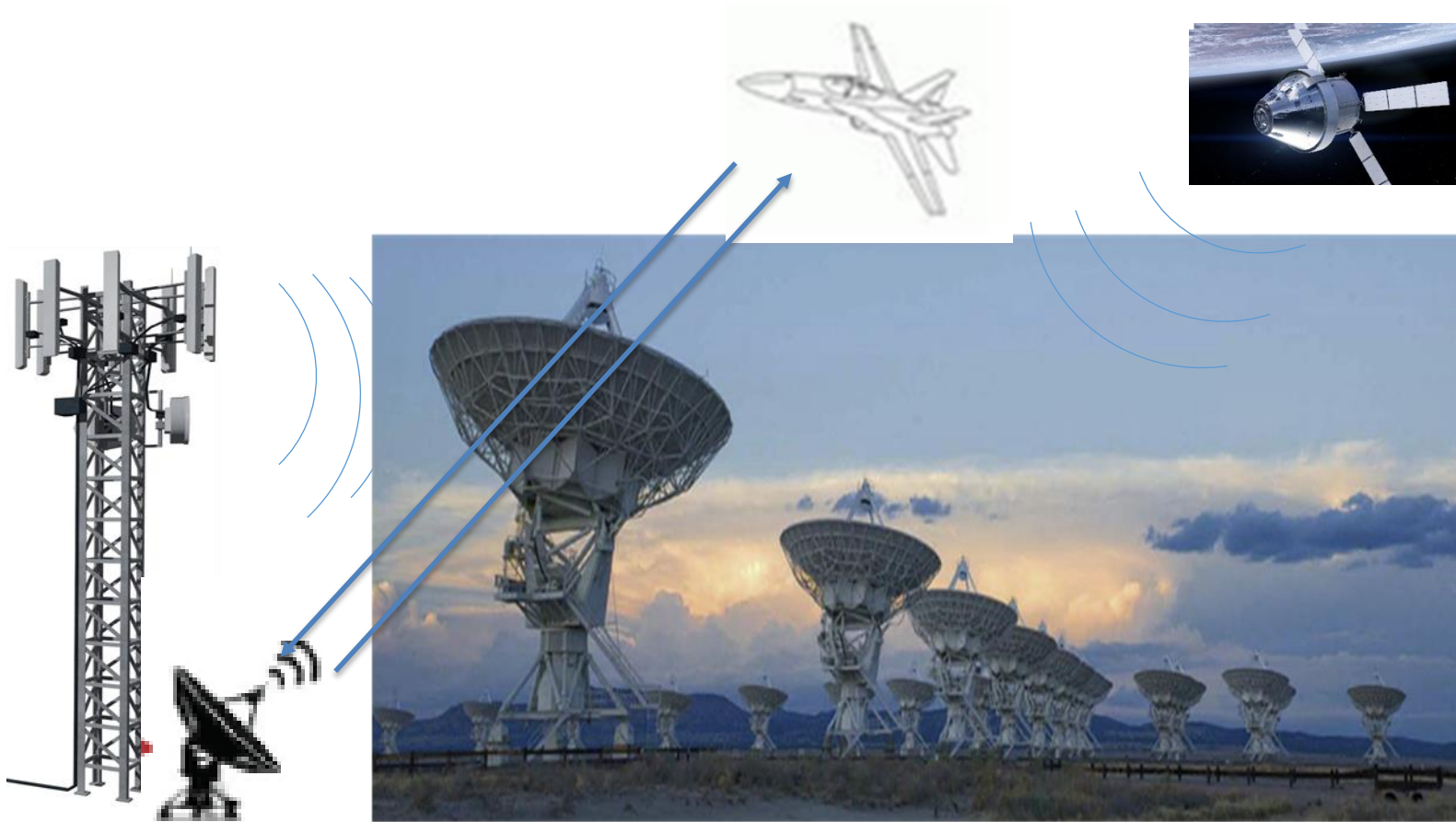
# Radar as Signal of Opportunity, A New Paradigm for Wireless Communications

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# RF Co-Existence



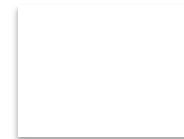
**The RF spectrum is getting increasingly crowded**

# Motivations

*Due to constantly increasing demand on bandwidth, defense applications are losing spectrum to commercial communications.*

*Ongoing research is developing multi-function methods to share aperture and spectrum between radar, electronic warfare, and military communications.*

*Moving away from independent systems and dedicated components.*



# Co-Existence Approaches

- **Cohabitation**: Address the interference which separately operated systems could cause to one another
- **Co-Design**: Involves cooperative control within the same system.

# Radar/Communications Co-Design

- A primary goal of radar is to efficiently track and detect targets, whereas that of communications is to maximize information transfer reliably

## CATEGORIES

- **Joint Resources and Platforms**
  - Joint waveform design, power, etc (compatible vs compounded)
- **One Service Mandates and the Other Accepts**
  - Communications **LEAD** and Radar **FOLLOWS**

*Communication Signals are Signals of Opportunities*

- Radar **LEADs** and Communications **FOLLOW**

*Radar Signals are Signals of Opportunities*

Dual  
Function

Signal  
of  
opportunity

# Signal vs. System of Opportunity

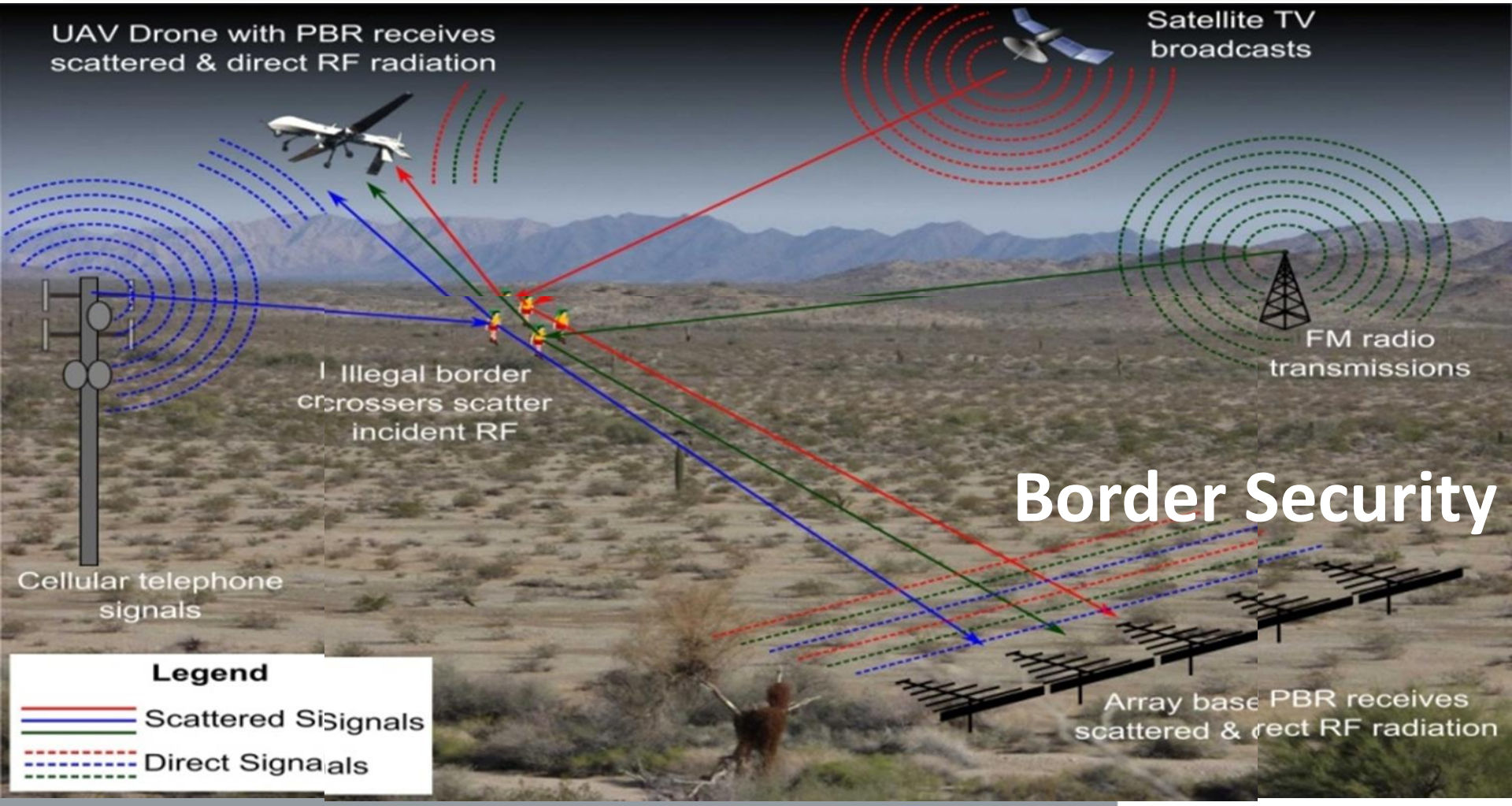
## SIGNAL OF OPPORTUNITY

*Using someone else's signal for a different function/task/mission*  
*It is not your transmitter, but it is your own receiver*

## SYSTEM OF OPPORTUNITY

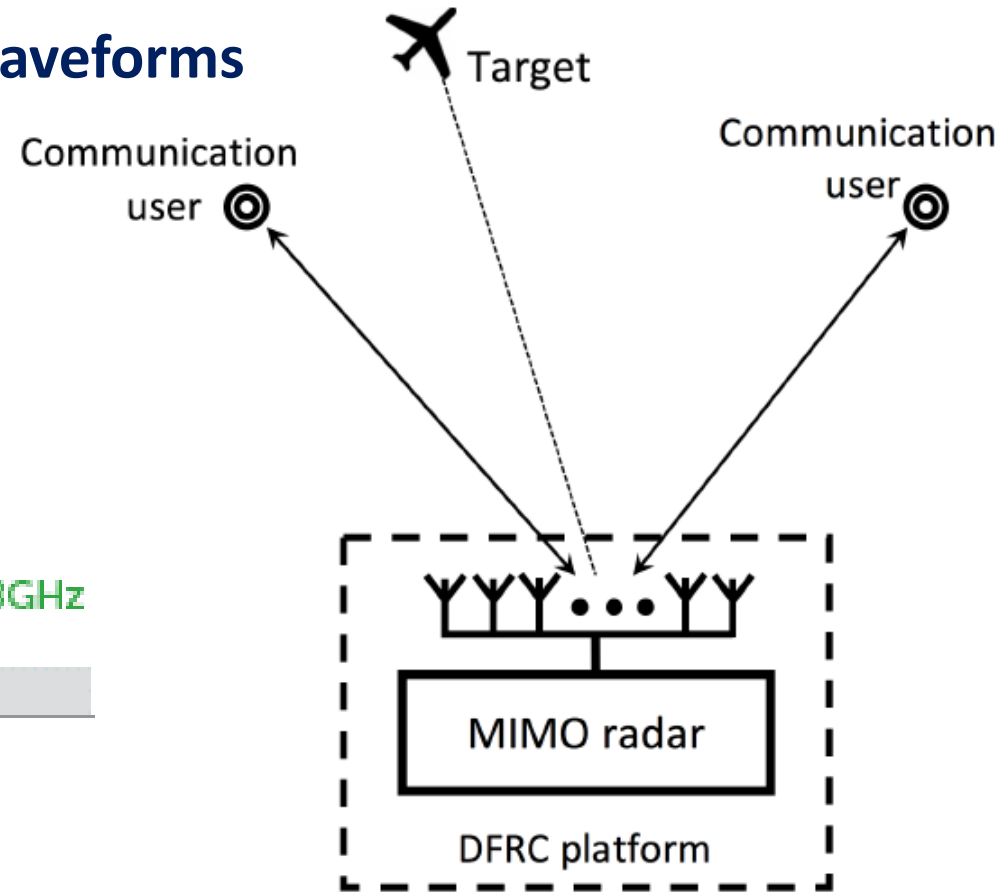
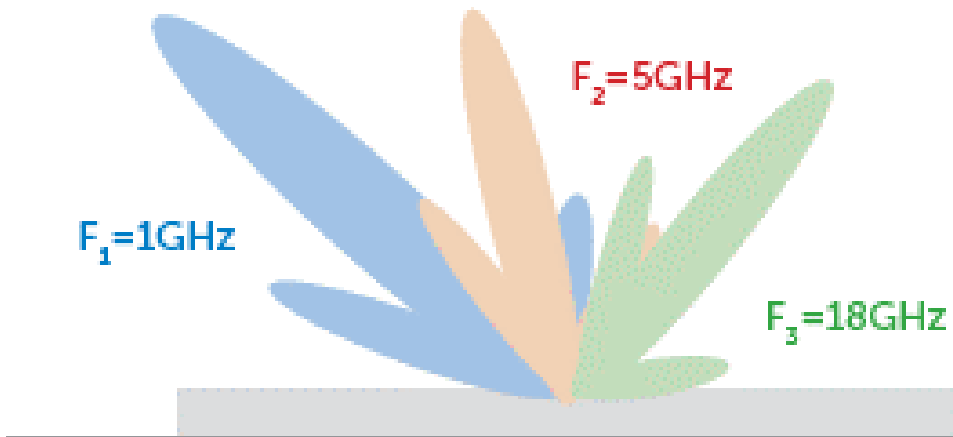
*Using someone else's system for a different function/task/mission*  
*You are a "Guest" on the transmitter, but it is your own receiver*

# Signal of Opportunity- Passive Radar



# System of Opportunity

## Modulating or scaling the radar waveforms





# DFCR System

## Communications dictates

- Array Configuration
- Beamformer
- Carrier frequency
- Frequency bandwidth
- Signal waveform
- Power
- Modulation
- Antennas

*Radar Receiver uses Communications as Signals of Opportunities*

# DFRC System

## Radar dictates

- Beamformer,
- Array structure,
- Frequency bandwidth
- Signal waveform
- Power
- Antennas
- Coherent Processing Interval
- MIMO configuration

*Communications Receiver uses Radar as System of Opportunity*

# Dual Function Radar Communications System (DFRC)

## *Primary: Radar*

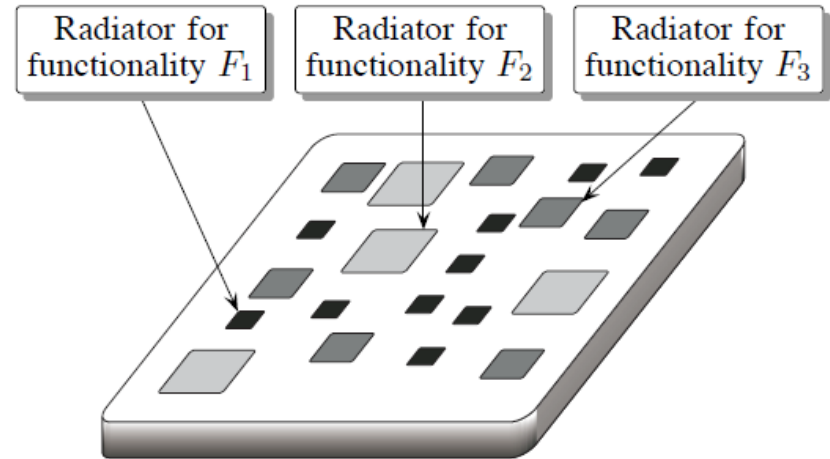
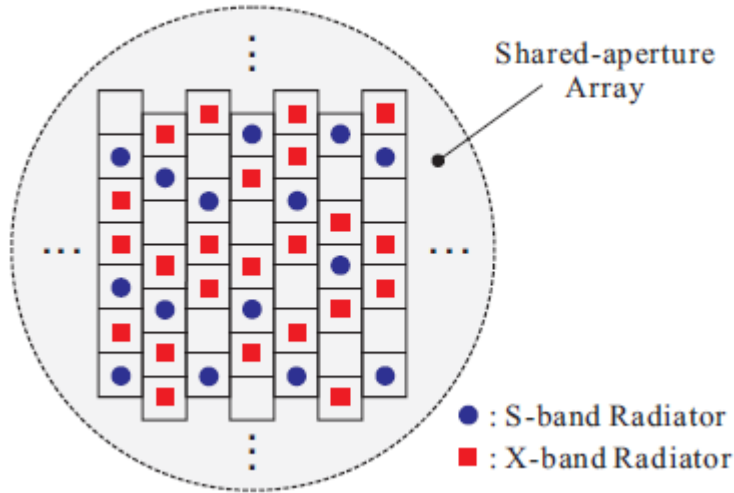
## *Secondary: Communications*

- Identical signals, same frequency and bandwidth, and a common antenna array are used for both radar and communication operations
- Radar function remains the same over the entire processing interval
- Secondary Communications Function:
  - Embeds a sequence of binary data  $b_1, \dots, b_K$  during each radar pulse
  - Should not disturb the primary function of the joint system

# DFRC System General Objectives

- Establishing dual system functionality, allowing radar to house voice and data transmission and reception.
- Developing novel signaling schemes for embedding information into the radar pulsed emissions, which, in most cases, is blind to the primary radar operation.
- Considering different transmit and receive antenna configurations, including MIMO radars, achieving high data rate communications by combining amplitude and phase-shift keying modulations with waveform-diversity, while satisfying an overall power constraint

# Aperture Co-design



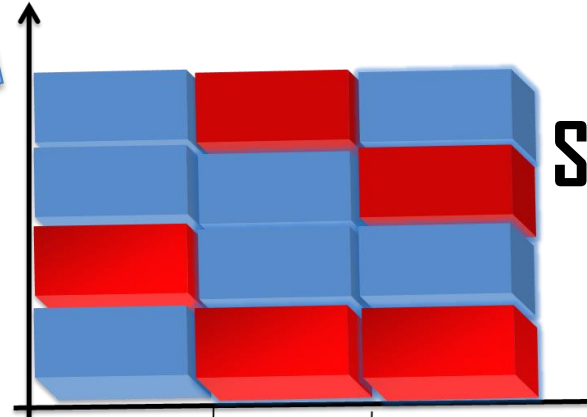
## Shared Aperture

- Different Frequencies
- Different Bandwidths
- Different Polarizations
- Different Transmit/Receive

Analogous

frequency

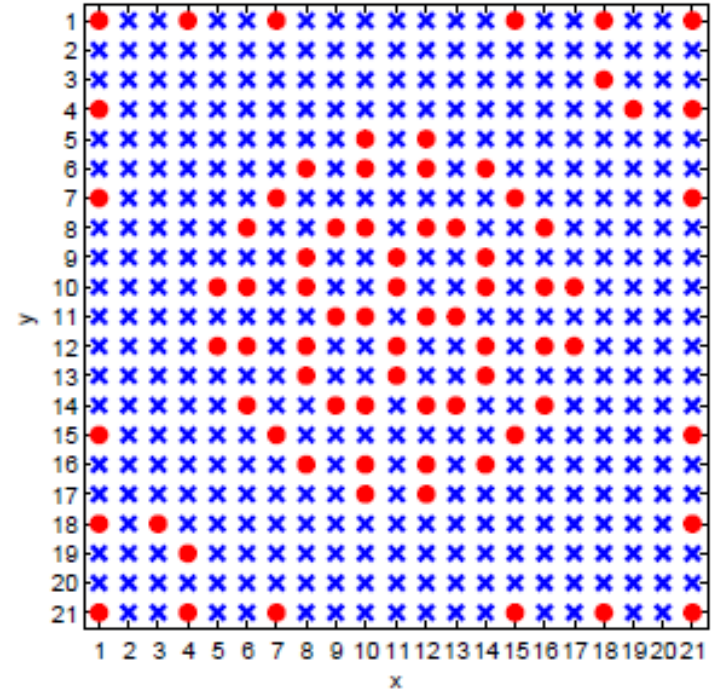
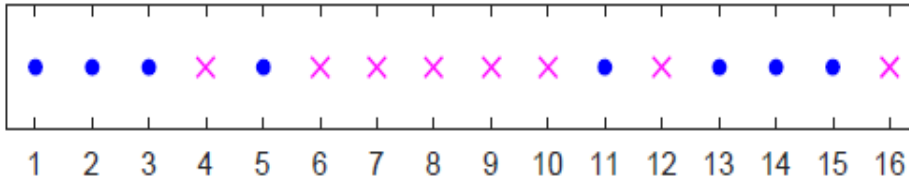
An arrow labeled 'Analogous' points from the 'Shared Aperture' section towards the 'Shared Spectrum' diagram.



## Shared Spectrum

# Sparse Arrays

- They change



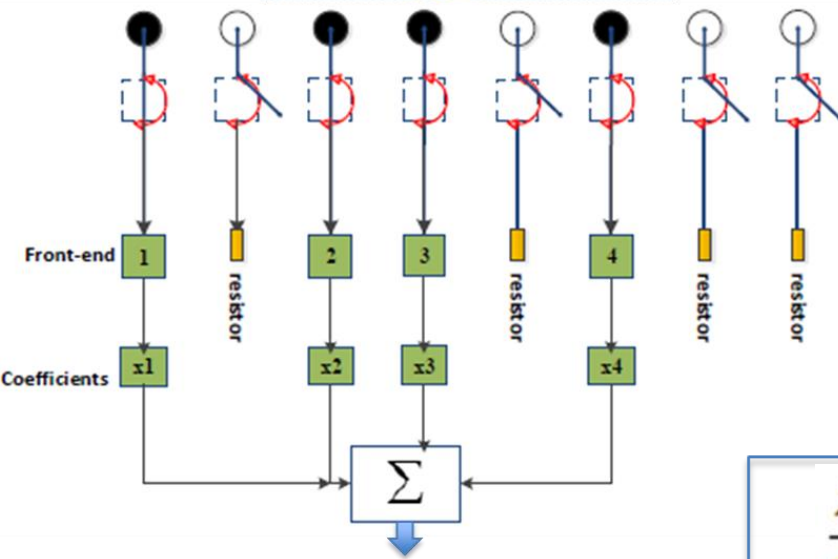
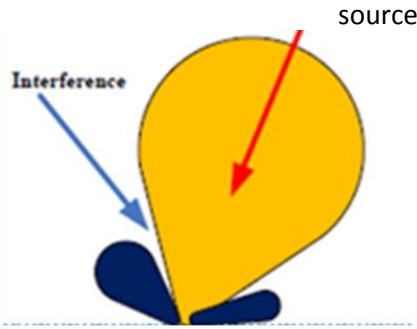
## Criteria

*SNR, SINR, DOA*

# MaxSINR Beamformers

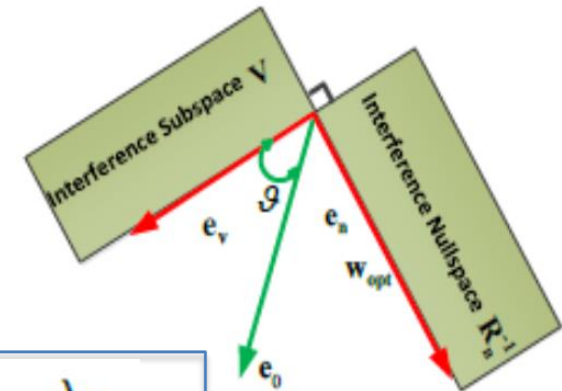
*Array Thinning*  
*Antenna Selections*  
*Array Reconfiguration*

Changes Covariance Matrix  
Changes Eigenvalues/Vectors



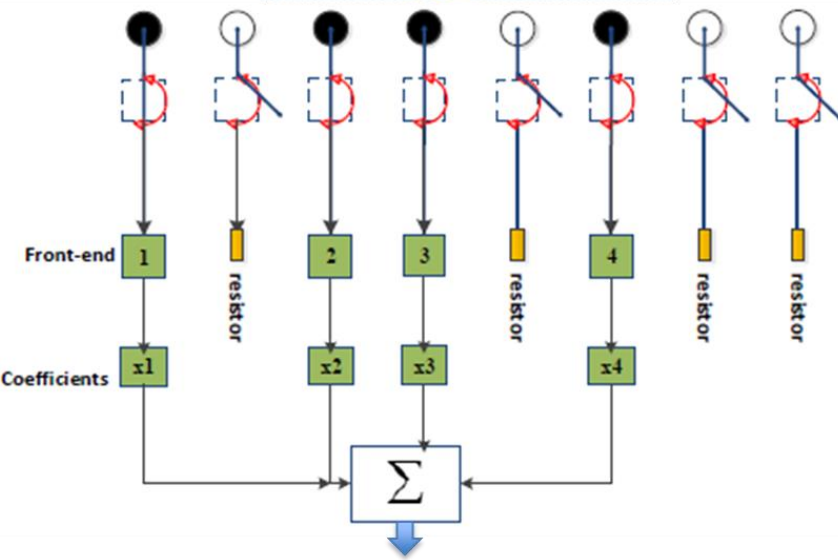
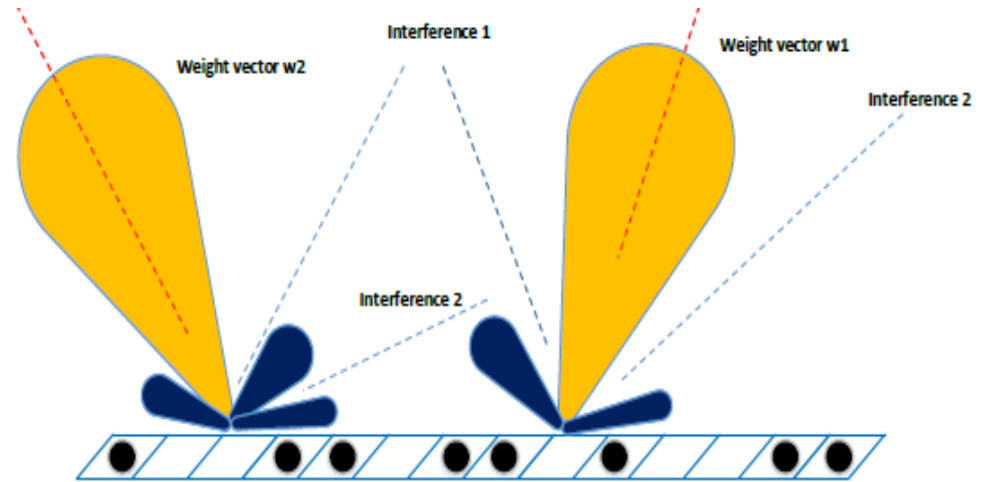
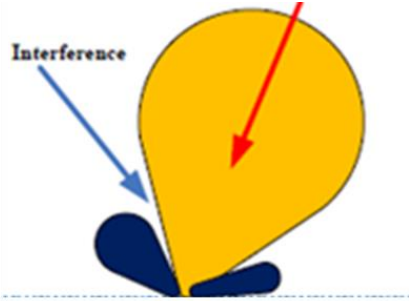
Single Beamformer

$$\begin{aligned} \max_z \quad & \text{SINR}_{oi} \\ \text{s.t.} \quad & \mathbf{1}_N^T \mathbf{z} = K \\ & 0 \leq z \leq 1 \end{aligned}$$



$$\frac{\lambda_0}{\sigma_n^2} (1 - |\alpha|^2) \leq \text{SINR}_{opt} \leq \frac{\lambda_0}{\sigma_n^2}$$

# MaxSINR Beamformers



Multiple Beamformers

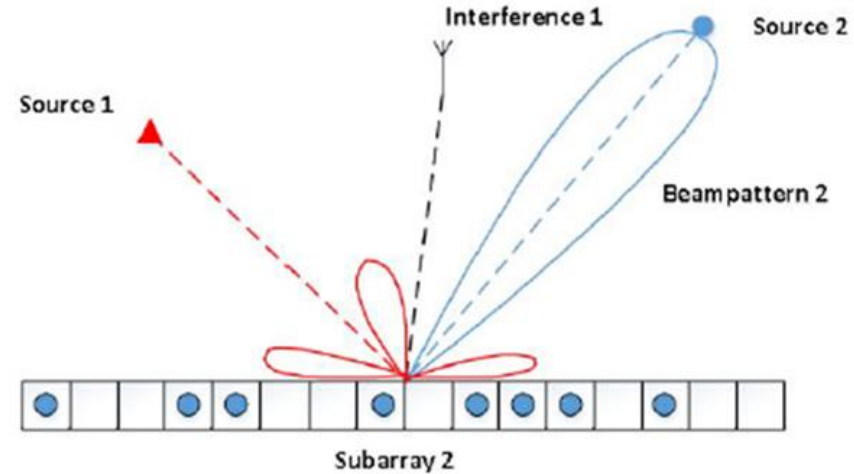
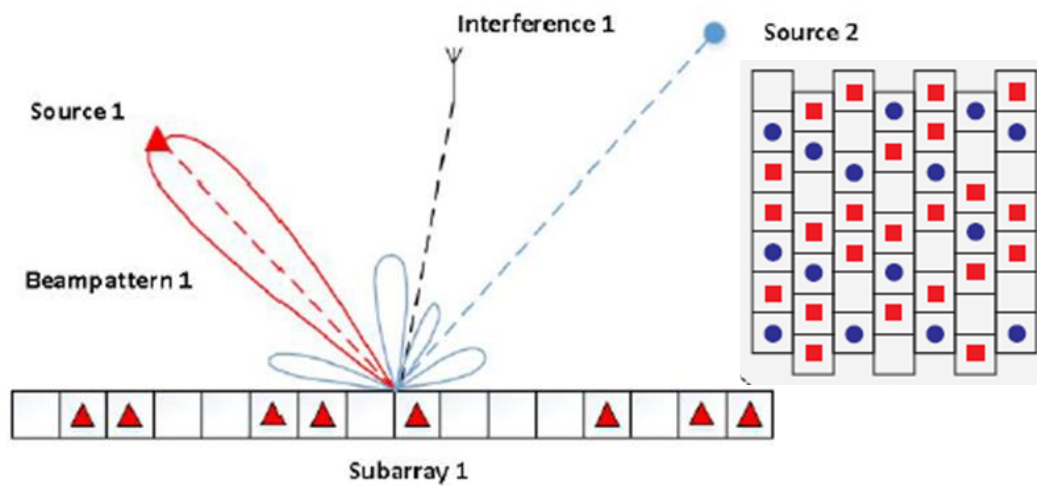
Single Beamformer

Different sets of weights,  
but the same optimum sparse array  
Use Capon beamformer for each

*Analogous to multiple frequencies*



# Shared Aperture



$$\max_{\substack{\mathbf{z}_1, \dots, \mathbf{z}_P \\ K_1, \dots, K_P}} \sum_{i=L+1}^P \text{SINR}_i$$

$$\text{s.t. } \text{SINR}_l \geq \gamma_l^*, l = 1, \dots, L$$

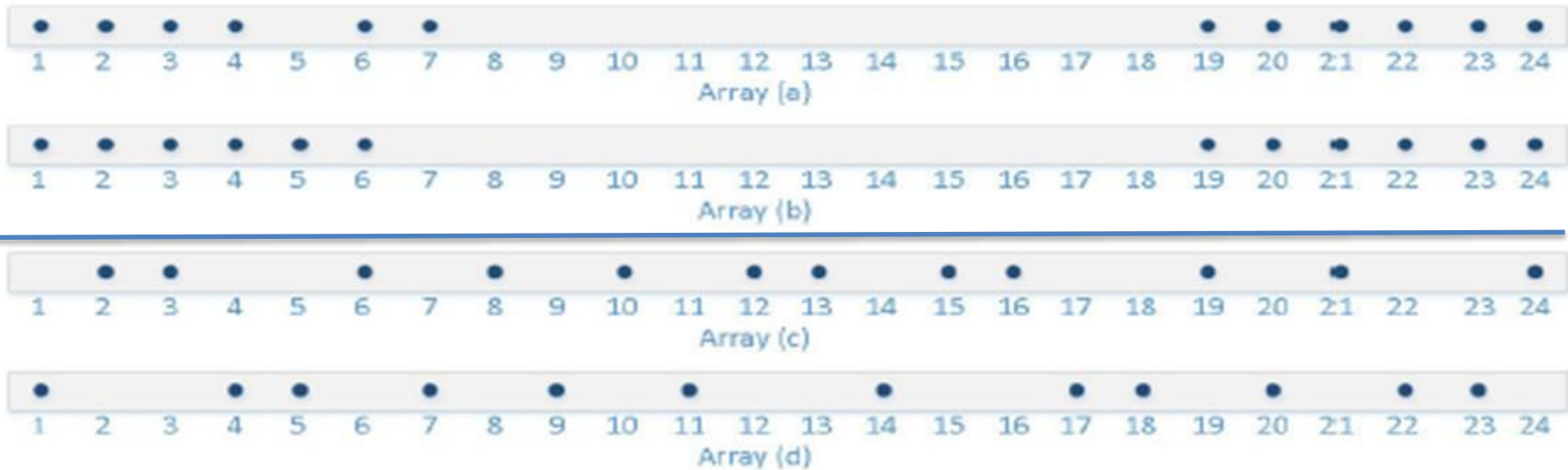
$$\mathbf{1}_N^T \mathbf{z}_i = K_i, \forall i$$

$$\mathbf{z}_i \in \{0, 1\}^N, \forall i$$

*Multi-Mission*  
*Multi-Task*  
*Multi-Function*

# Example

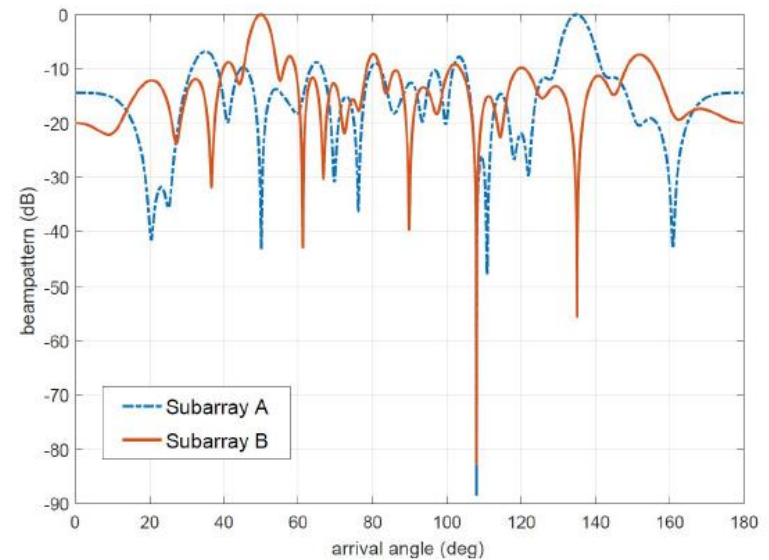
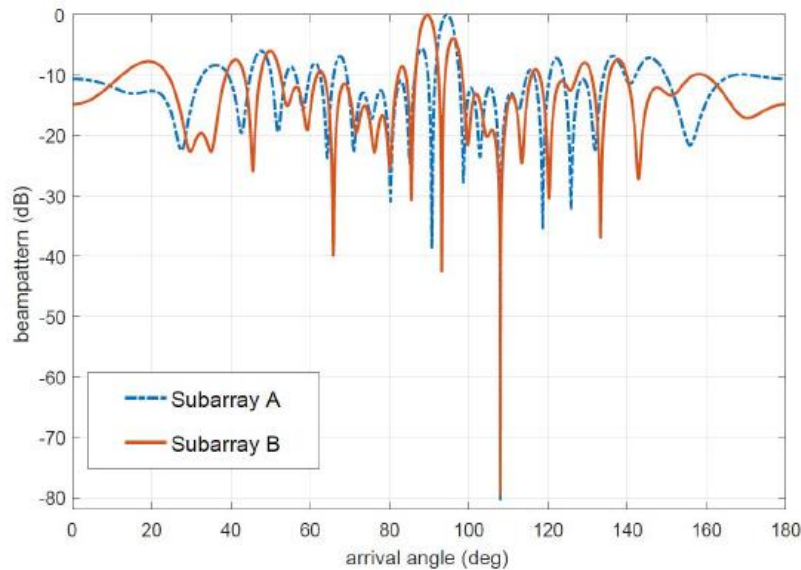
- 2 Sources at SNR=0 dB, INR=20 dB



Weakly correlated Sources

# SINR Comparison

	Joint opt.(Eq.(14))	Separate opt.(Eq.(17))
$SINR_{oA}, \phi_A = 93^\circ$	7.5068	9.2781
$SINR_{oB}, \phi_B = 91^\circ$	7.9369	9.3065
$SINR_{oA}, \phi_B = 135^\circ$	10.7526	10.7743
$SINR_{oB}, \phi_B = 50^\circ$	10.7426	10.7730



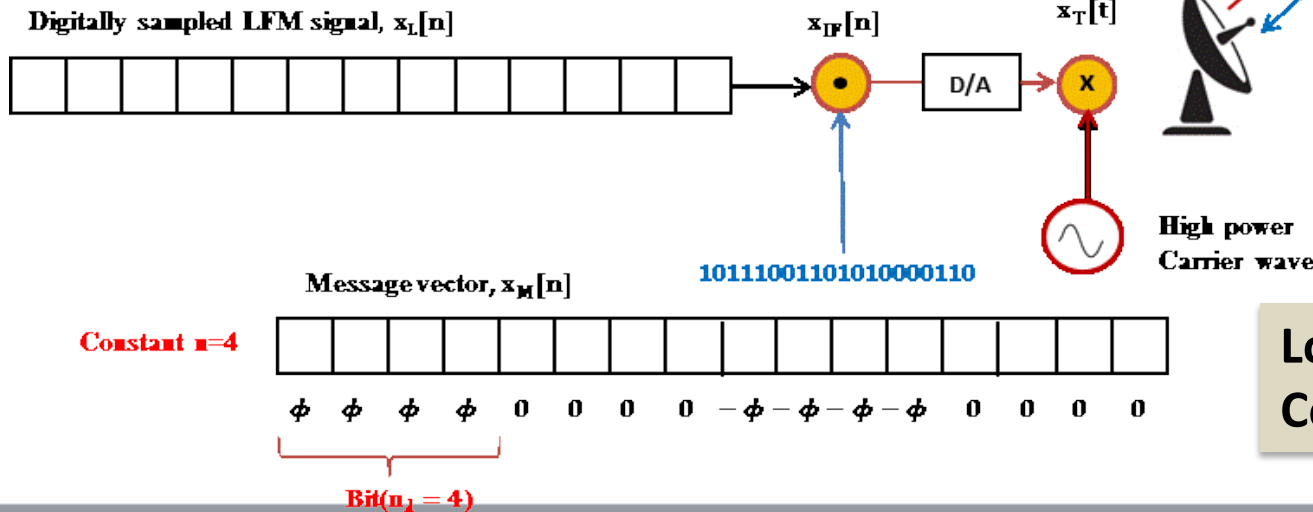
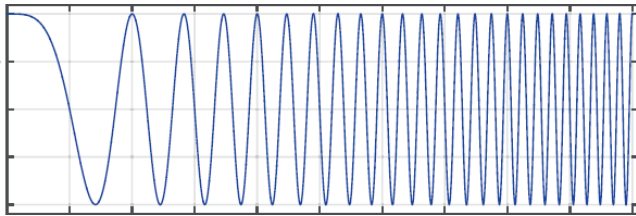
# Co-Design -Same Antennas Shared Bandwidth

## Embedding through modulation over fast time

- Using the radar signal, comprised of a radar pulse, as the carrier and the communications message as the modulating signal
- Communications receiver removes radar signal before demodulation
- Radar receiver may or may not remove communications signal before target detection

# Co-Design - Same Antennas Shared Bandwidth

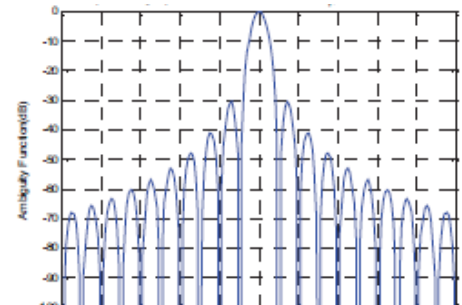
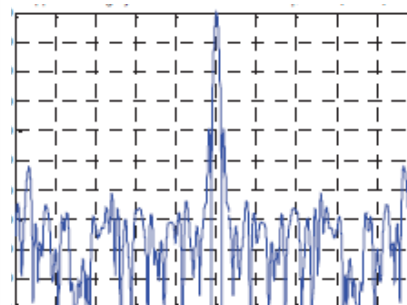
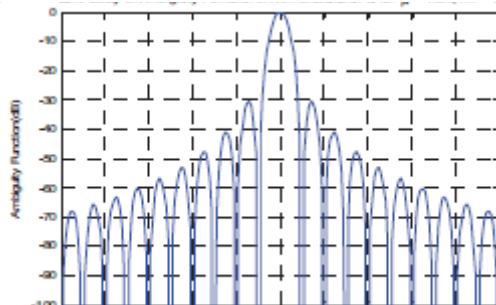
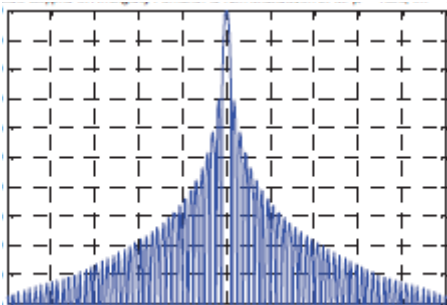
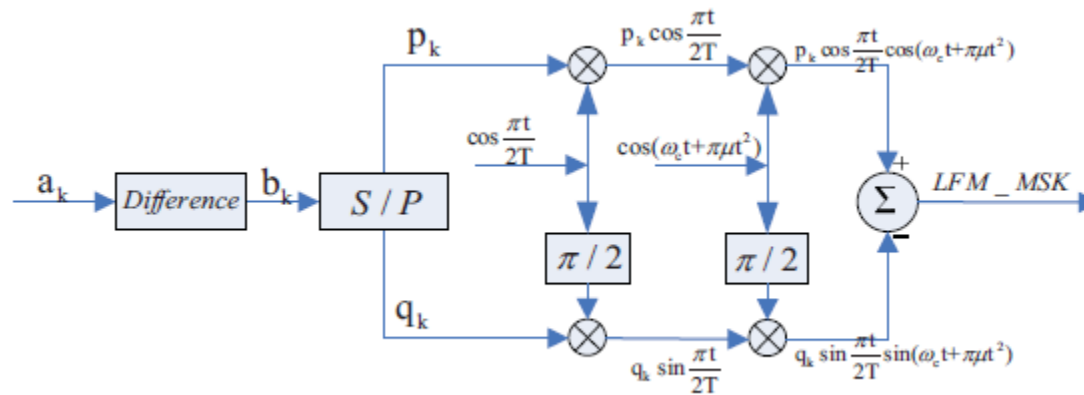
- Sample LFM and embed BFSK with reduced phase angle



Locating Aircraft and  
Communication with pilot

# Co-Design - Same Antennas Shared Bandwidth

- Embedding MSK through modulation

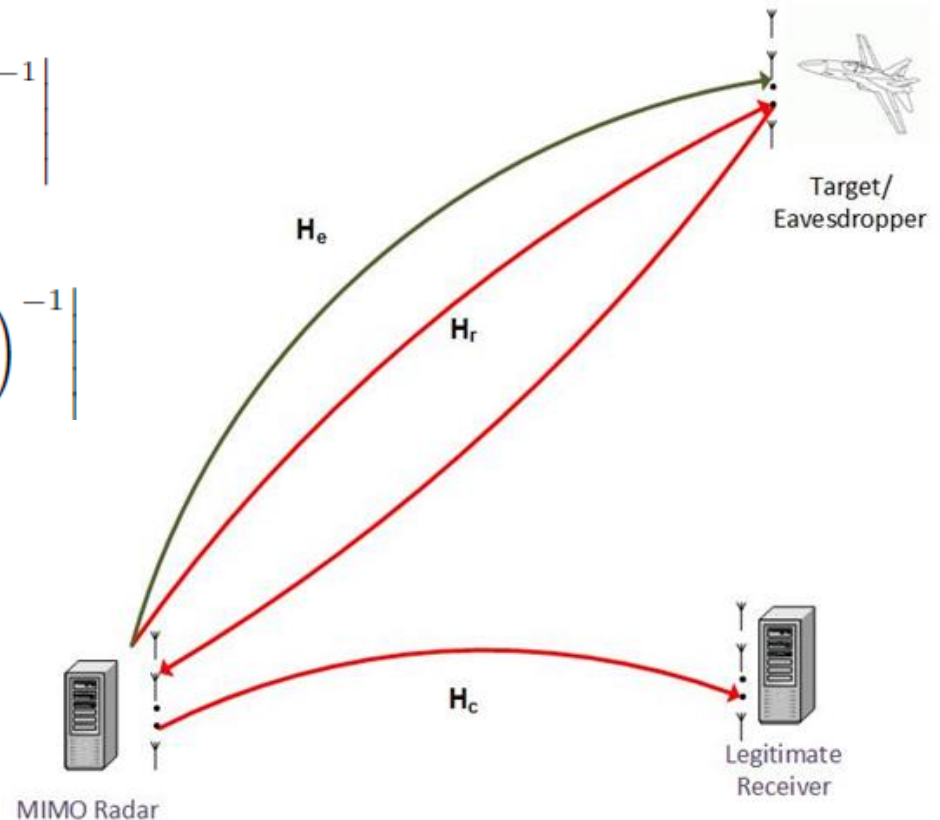


# Secrecy Rate Optimizations for DFRC

$$R_c = \log \left| \mathbf{I} + (\mathbf{H}_c \mathbf{W}_1 \mathbf{H}_c^H) \left( \frac{\mathbf{H}_c \mathbf{W}_2 \mathbf{H}_c^H}{L_m} + \sigma_c^2 \right)^{-1} \right|$$

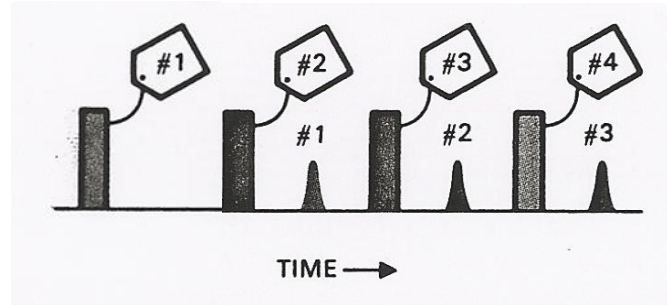
$$R_e = \log \left| \mathbf{I} + (\mathbf{H}_e \mathbf{W}_1 \mathbf{H}_e^H) \left( \frac{\mathbf{H}_e \mathbf{W}_2 \mathbf{H}_e^H}{L_m} + \sigma_e^2 \right)^{-1} \right|$$

$$SR = [R_c - R_e]^+$$



# Embedding-Modulation Over Slow-Time

- A dictionary of  $2^K$  orthogonal waveforms employed  
 $\{b_1, \dots, b_K\} \Leftrightarrow D_{WD} = \{s_1(t), \dots, s_{2^K}\}$



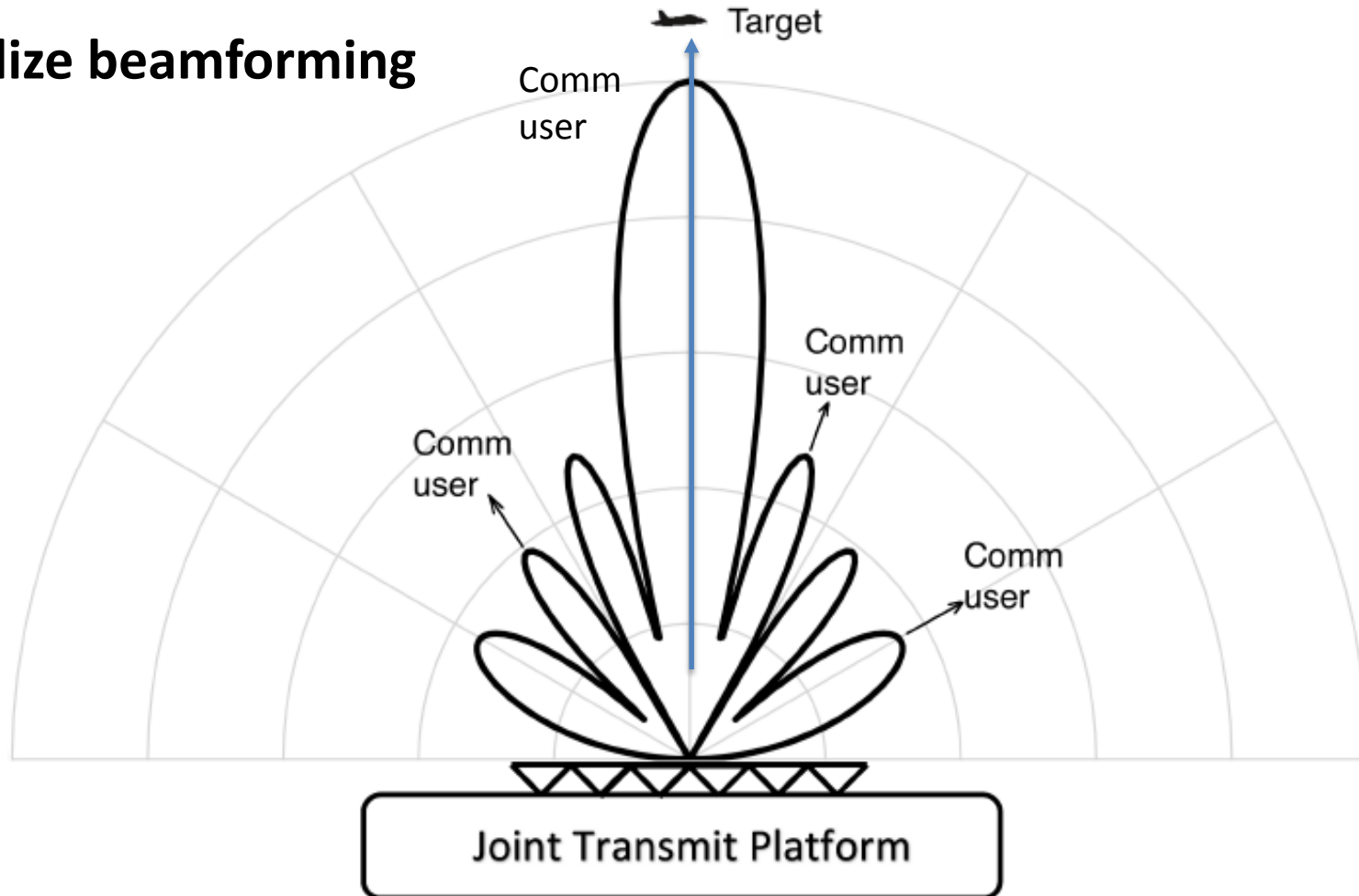
- During each radar pulse, one of the waveforms is transmitted
- Communication receiver detects the received waveform and decodes the corresponding binary information
- Limitations:  
 Low bit rate -      Symbol rate=Pulse rate

S. D. Blunt et. al., "Embedding information into radar emissions via waveform implementation," *Int. Waveform Diversity and Design Conf.*, 2010.



# High Data Rate Non-Fast-Time Modulations

Utilize beamforming



# Sidelobe AM Based Signaling

- To embed  $K$  bits, a constellation of size  $2^K$  is employed

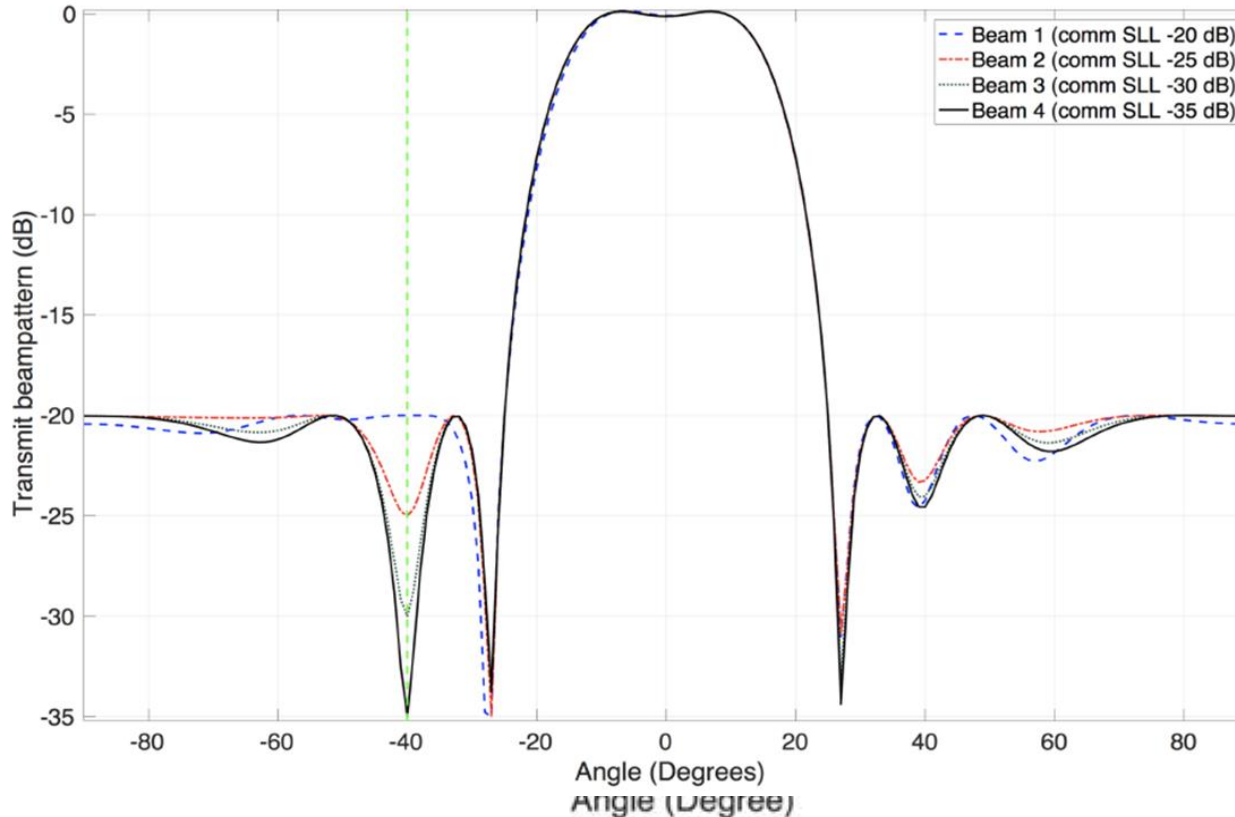
$$\{b_1, \dots, b_K\} \Leftrightarrow D_{AM} = \{\Delta_1, \dots, \Delta_{2^K}\}$$

- Each symbol  $\Delta_k, k = 1, \dots, 2^K$  is represented by a specific SLL
- Communication receiver detects the SLL and deciphers the associated symbol

J. Euziere et. al., “Dual function radar communication time-modulated array,” *Int. Radar Conf.*, 2014.

# ASK Signaling

M=10, four sidelobe levels  $-20$  dB,  $-25$  dB,  $-30$  dB, and  $-35$  dB,



*Switching beams is as fast as pulse repetition frequency*

# Amplitude Shift-Keying Based DFRC

## Basic Idea:

- Stationary main radar beam; variable SLLs

$$\min_{\mathbf{u}_k} \max_{\theta_i} \left| e^{j\varphi(\theta_i)} - \mathbf{u}_k^H \mathbf{a}(\theta_i) \right|, \quad \theta_i \in \Theta, \quad i = 1, \dots, I$$

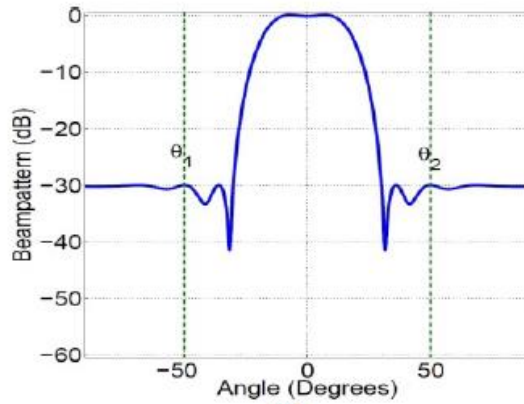
$$\text{subject to } \left| \mathbf{u}_k^H \mathbf{a}(\theta_p) \right| \leq \varepsilon, \quad \theta_p \in \bar{\Theta}, \quad p = 1, \dots, P,$$

$$\mathbf{u}_k^H \mathbf{a}(\theta_c) = \Delta_k,$$

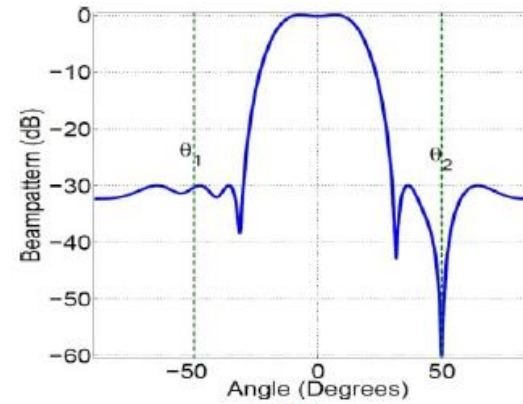
$$\min_{\mathbf{u}_k} \max_{\theta} \left| \mathbf{w}_0^H \mathbf{a}(\theta) - \mathbf{u}_k^H \mathbf{a}(\theta) \right|, \quad \forall \theta \in [-\pi, \pi]$$

$$\mathbf{u}_k^H \mathbf{a}(\theta_c) = \Delta_k.$$

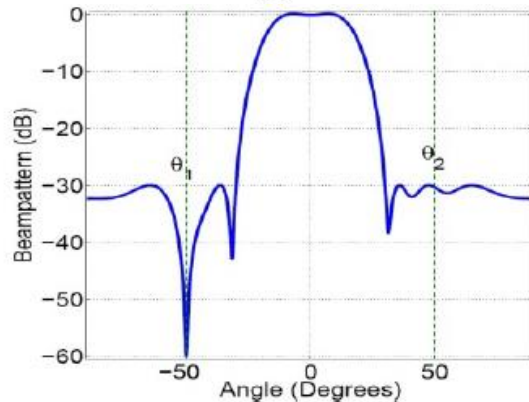
A. Hassanien, M. Amin, Y. Zhang, F. Ahmad “Dual-function radar-communications: Information embedding using sidelobe control and waveform diversity,” *IEEE TSP*, Apr. 2016.



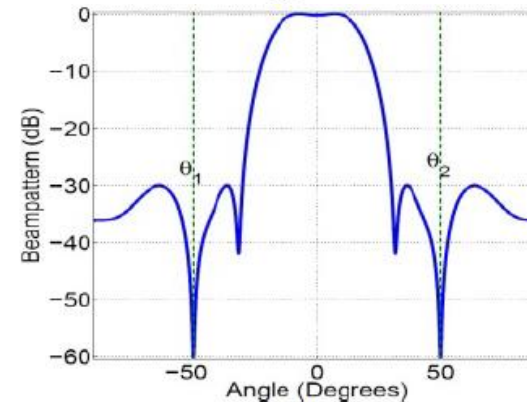
(a)



(b)



(c)



(d)

*Number of beams increases with number of users*

# Sidelobe Signaling

AM constellation of size  $K = 2^Q$ , denoted as  $\mathbb{D}_{\text{AM}} = \{\Delta_1, \dots, \Delta_K\}$ .

$$\Delta_1 > \Delta_2 > \dots > \Delta_K$$

Transmitted signal  $\mathbf{s}(t; \tau) = \mathbf{u}_k^* \phi(t)$

At communication receiver  $y_{\text{com}}(t; \tau) = \alpha_{\text{ch}}(\tau) (\mathbf{u}_k^H \mathbf{a}(\theta_c)) \phi(t) + n(t; \tau)$ ,  
 $= \alpha_{\text{ch}}(\tau) \Delta_k \phi(t) + n(t; \tau)$ ,

$$y_{\text{com}}(\tau) = \int_{T_D} y_{\text{com}}(t; \tau) \phi^*(t) dt = \alpha_{\text{ch}}(\tau) \Delta_k + n(\tau).$$

$$\hat{\Delta}(\tau) = \begin{cases} \Delta_1, & \eta_{\text{AM}}(\tau) \geq T_1, \\ \Delta_2, & T_2 \leq \eta_{\text{AM}}(\tau) < T_1, \\ \vdots & \\ \Delta_K, & \eta_{\text{AM}}(\tau) < T_{K-1}. \end{cases}$$

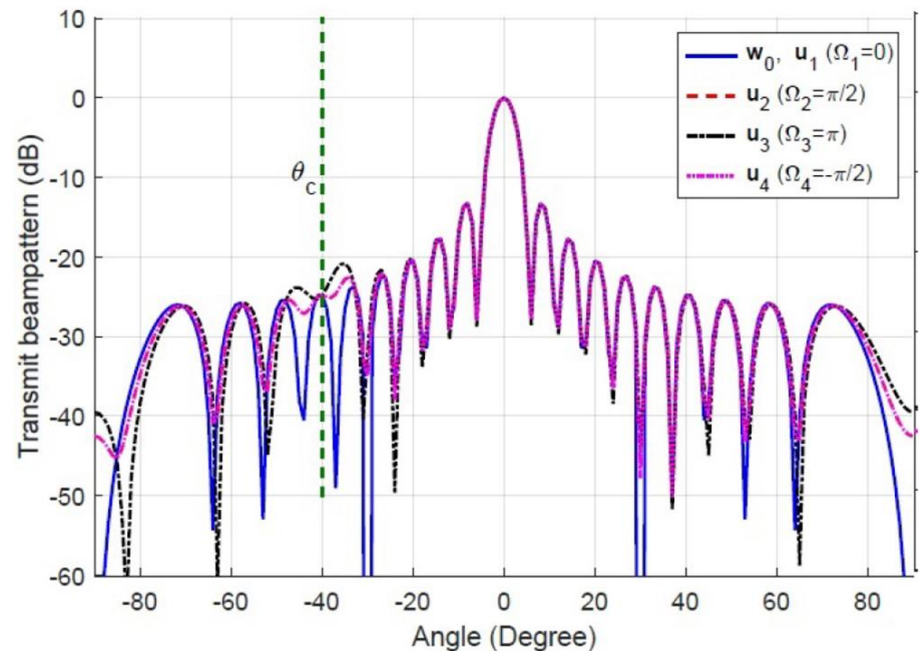
*Communication receiver cannot be in the main beam*

# Beampattern Synthesis with Phase Control

$$\mathbf{v}_k, k = 1, \dots, K \quad \Omega_k = \angle(\mathbf{v}_k^H \mathbf{a}(\theta_c)), \quad \mathbb{D}_{\text{PM}} = \{\Omega_1, \dots, \Omega_K\}$$

$$\min_{\mathbf{v}_k} \left\| \mathbf{w}_0 - \mathbf{v}_k \right\| \quad \text{subject to} \quad \mathbf{v}_k^H \mathbf{a}(\theta_c) = G_0 e^{-j\Omega_k}, \quad k = 1, \dots, K,$$

$$G_0 = |\mathbf{w}_0^H \mathbf{a}(\theta_c)|$$



# Transmit Radiation Pattern Invariance

Start with a principal transmit beamforming weight vector

- Consider the polynomial  $f(z)$  of order  $2M-2$

$$f(z) \triangleq \overbrace{(w_1 + w_2 z + w_3 z^2 + \dots + w_M z^{M-1})}^{\text{First term}} \times \overbrace{(w_1^* + w_2^* z^{-1} + w_3^* z^{-2} + \dots + w_M^* z^{-M+1})}^{\text{Second term}}$$

- The transmit radiation pattern can be represented as

$$|\mathbf{w}^H \mathbf{a}(\theta)|^2 = f(e^{-j\pi \sin(\theta)})$$

- If  $r$  is a root of the first term, then  $1/r^*$  is a root of the second term!



# Transmit Radiation Pattern Invariance

- $f(z)$  can be decomposed as

$$f(z) = \prod_{i=1}^{M-1} (z - r_i) \prod_{i=1}^{M-1} (z^{-1} - r_i^*)$$

- $2^{M-1}$  different combinations can be constructed!

$$\mathbf{W}_{\text{pop}} = \{\mathbf{w}, \mathbf{w}_1, \dots, \mathbf{w}_{2^{M-1}-1}\}$$

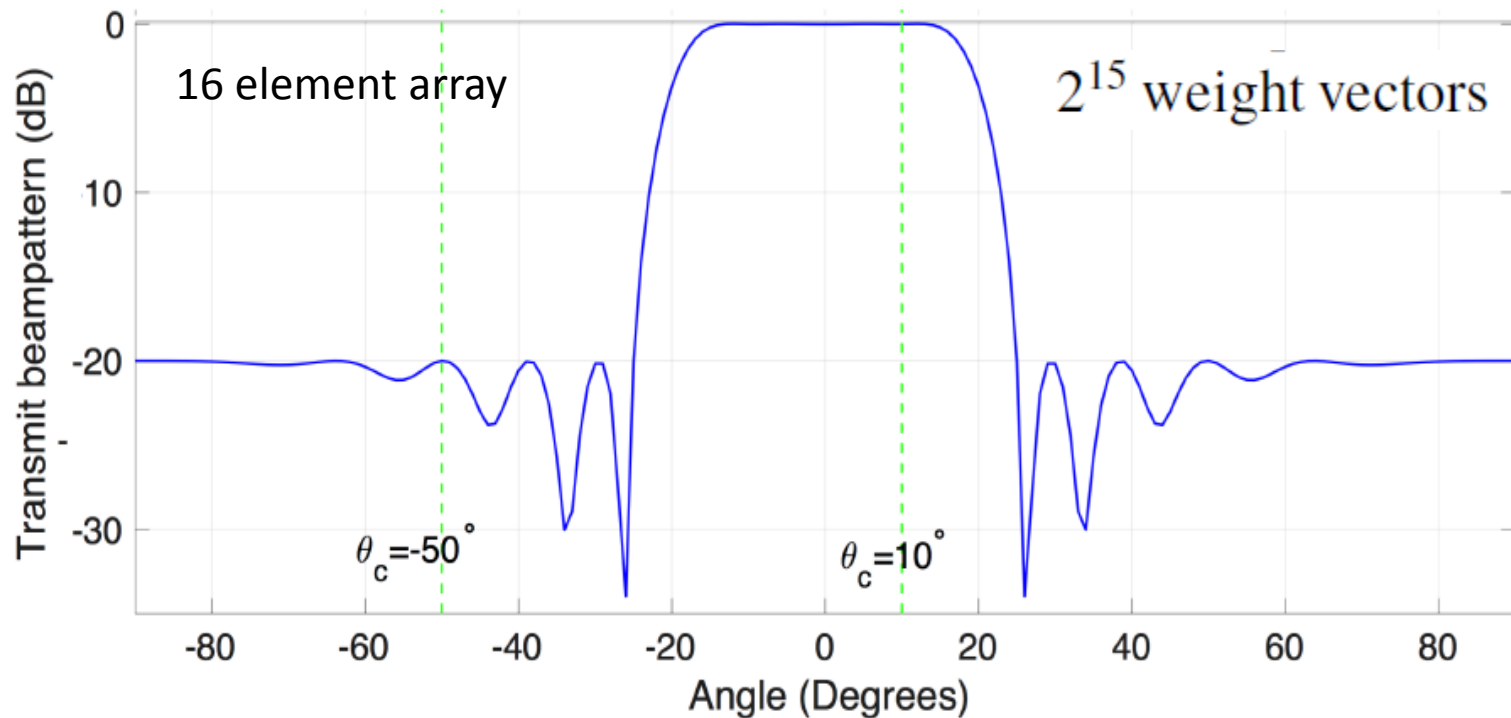
- All generated weight vectors have same transmit radiation pattern

$$\min_{\mathbf{v}_k \in \mathbf{W}} \left| \angle(\mathbf{v}_k^H \mathbf{a}(\theta_c) - \Omega_k) \right|, \quad k = 1, \dots, K.$$

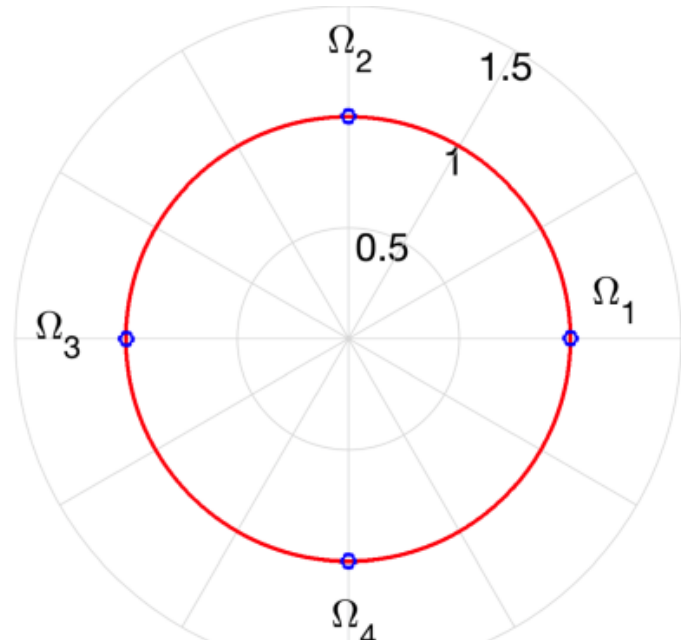
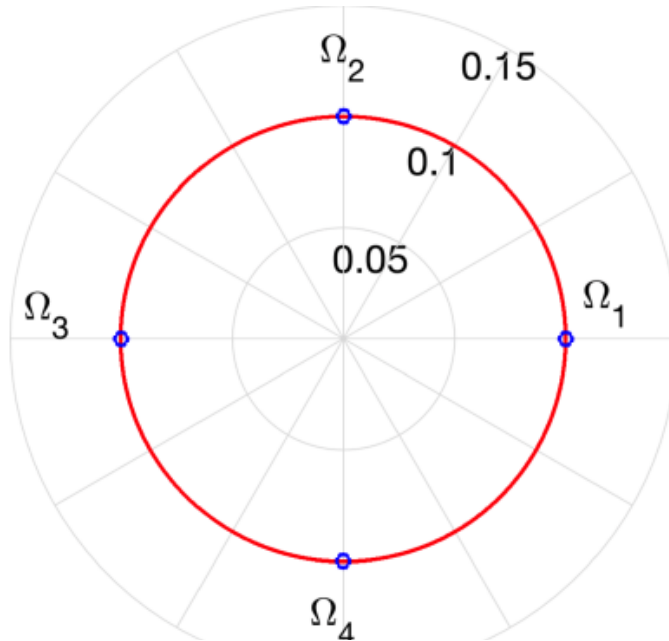
# Example- 16 Element Array

$$\min_{\mathbf{w}_0} \max_{\theta_i} |1 - \mathbf{w}_0^H \mathbf{a}(\theta)|, \theta \in [-10^\circ, 10^\circ]$$

$$\text{subject to } |\mathbf{w}_0^H \mathbf{a}(\theta)| \leq 0.1, \theta \in [-90^\circ, -25^\circ] \cup [25^\circ, 90^\circ].$$



# Example

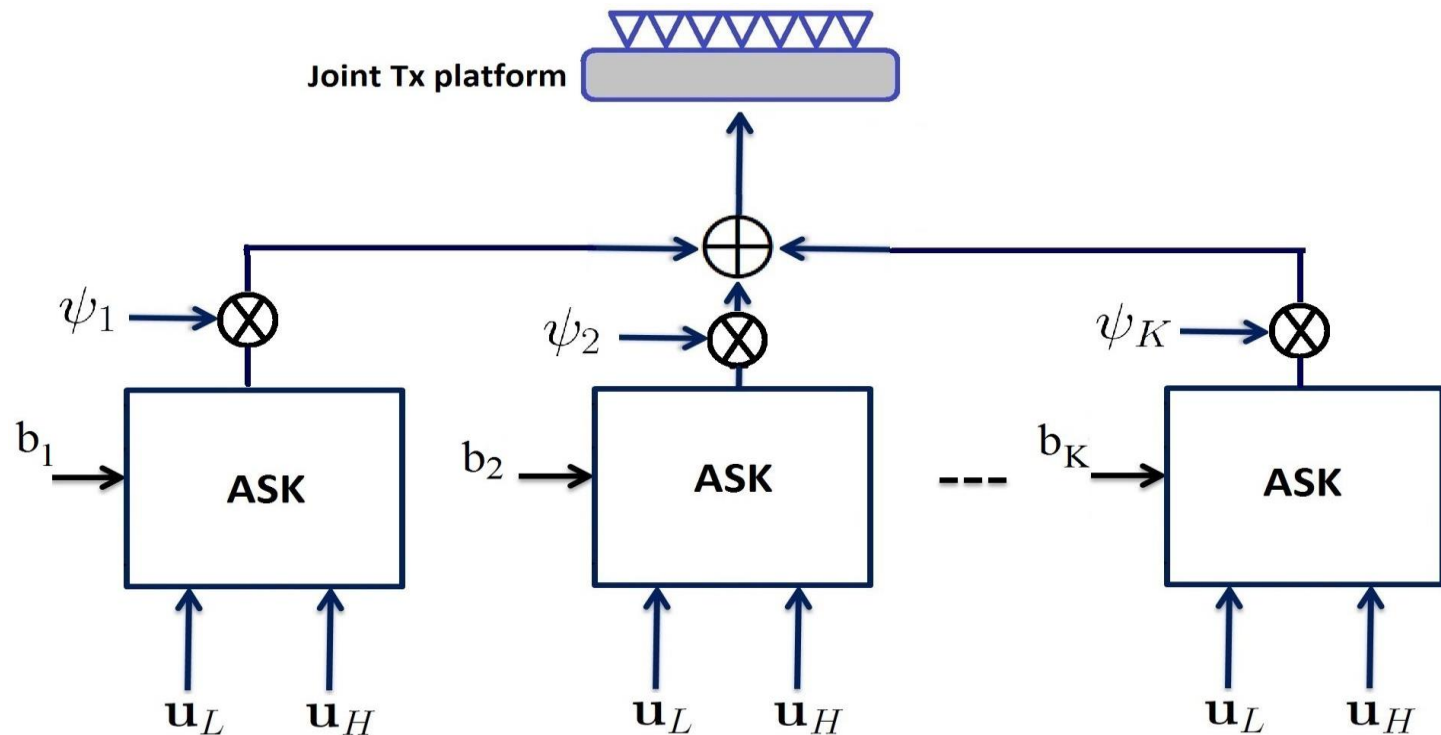


(a) Magnitude versus phase for  $2^{15}$  weight vectors (red colored dots) and  $K = 4$  chosen vectors (blue colored circles) towards the communication direction  $\theta_c = -40^\circ$ ; (b) Magnitude versus phase for  $2^{15}$  weight vectors (red colored dots) and  $K = 4$  chosen vectors (blue colored circles) towards the communication direction  $\theta_c = 10^\circ$ .

# Multi Waveform ASK Signaling

Decompose the radar signal into

$\psi_1, \dots, \psi_K$ :  $K$  orthogonal waveforms (subbands)



# Multi Waveform ASK Signaling

Leaving the transmitter  $s_{\text{ASK}}(t; \tau) = \frac{1}{\sqrt{K_w}} \sum_{k=1}^{K_w} (b_k(\tau) \mathbf{u}_L^* + \bar{b}_k(\tau) \mathbf{u}_H^*) \psi_k(t),$

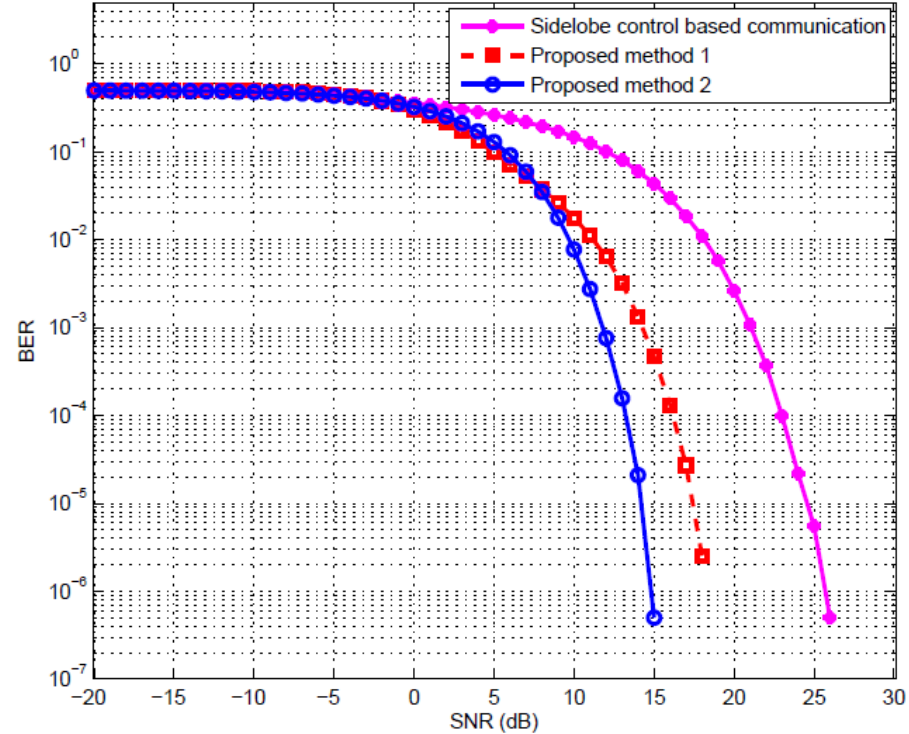
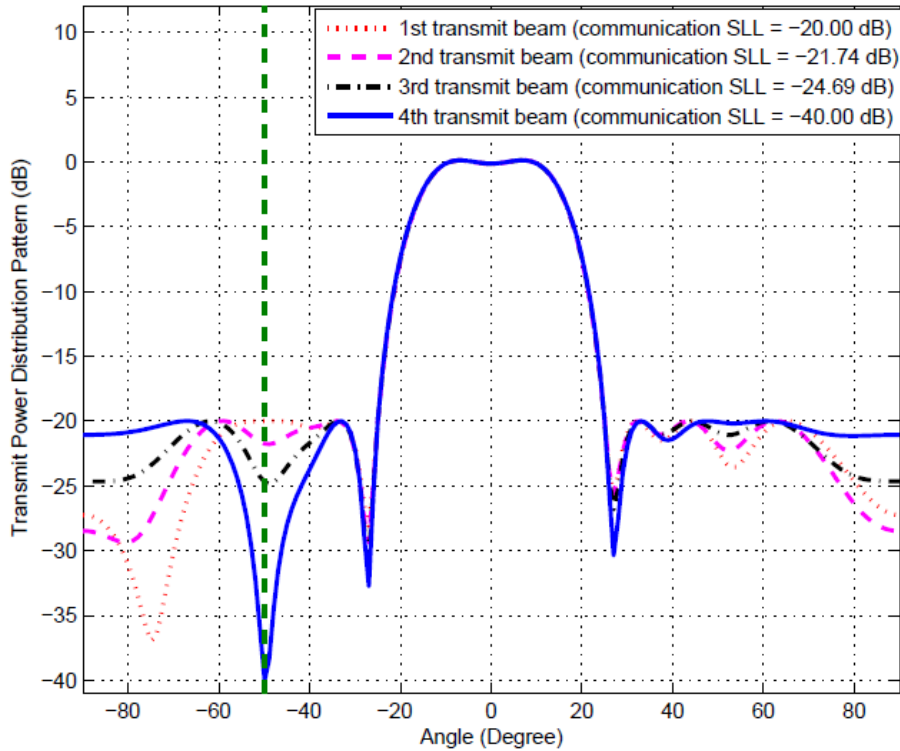
At the communications receiver

$$y_{\text{ASK}}(t; \tau) = \frac{\alpha_{\text{ch}}}{\sqrt{K_w}} \sum_{k=1}^{K_w} (b_k(\tau) \mathbf{u}_L^H \mathbf{a}(\theta_c) + \bar{b}_k(\tau) \mathbf{u}_H^H \mathbf{a}(\theta_c)) \psi_k(t) + n(t; \tau)$$

$$= \frac{\alpha_{\text{ch}}}{\sqrt{K_w}} \sum_{k=1}^{K_w} (b_k(\tau) \Delta_L + \bar{b}_k(\tau) \Delta_H) \psi_k(t) + n(t; \tau).$$

$$y_k(\tau) = \int_{T_p} y_{\text{ASK}}(t; \tau) \psi_k^*(t) dt = \begin{cases} \frac{\alpha_{\text{ch}}}{\sqrt{K_w}} \Delta_H + n_k, & b_k(\tau) = 0, \\ \frac{\alpha_{\text{ch}}}{\sqrt{K_w}} \Delta_L + n_k, & b_k(\tau) = 1, \end{cases} \quad \hat{b}_k(\tau) = \begin{cases} 0, \\ 1, \end{cases} T_0$$

# Example



# A Dual-Function MIMO Radar-Communications System

- A new method for information embedding into the emission of MIMO radar
- Each waveform carries an independent phase symbol leading to high data rate
- Fully Transparent to the radar
- Uniform communications performance across the spatial dimension

# MIMO Radar Signal Model

- Consider a dual-function system with  $M$  colocated transmit antennas
- Let  $\phi_m(t), m = 1, \dots, M$  be  $M$  orthogonal waveforms
- Assume that  $Q$  targets are located in the far-field, the received signal is

$$\mathbf{x}(t, \tau) = \sum_{q=1}^Q \alpha_q(\tau) [\mathbf{a}^T(\theta_q) \Phi(t)] \mathbf{b}(\theta_q) + \mathbf{n}(t, \tau)$$

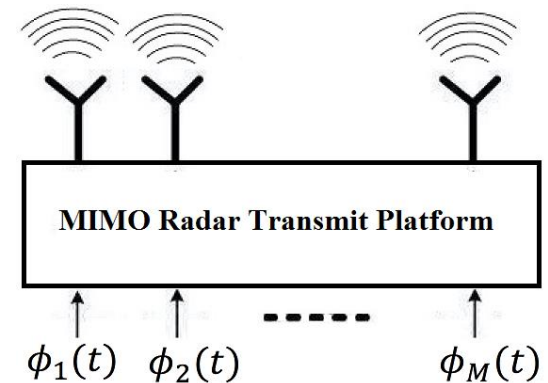
$\tau$ : Pulse number

$\theta_q, \alpha_q$ : Direction and reflection coefficient of the  $q$ -th target

$\mathbf{a}(\theta), \mathbf{b}(\theta)$ : Steering vectors of transmit and receive arrays

$\Phi(t) = [\phi_1(t), \dots, \phi_M(t)]^T$ : Vector of orthogonal waveforms

$\mathbf{n}(t, \tau)$ : Vector of AWGN



MIMO radar



# MIMO Radar Signal Model (Cont'd)

## Output Signal after Matched-Filtering:

- Matched-filtering the received signals to the orthogonal waveforms yields the  $MN \times 1$  extended virtual data

$$\begin{aligned} \mathbf{y}(\tau) &= \text{vec} \left( \int_{T_0} \mathbf{x}(t, \tau) \mathbf{\Phi}^H(t) dt \right) \\ &= \sum_{q=1}^Q \alpha_q(\tau) [\mathbf{a}(\theta_q) \otimes \mathbf{b}(\theta_q)] + \tilde{\mathbf{n}}(\tau) \end{aligned}$$

- The noise term simplifies to

$$\tilde{\mathbf{n}}(\tau) = \text{vec} \left( \int_{T_0} \mathbf{n}(t, \tau) \mathbf{\Phi}^H(t) dt \right)$$

- Noise statistics remain the same

# MIMO Radar with Phase Rotation

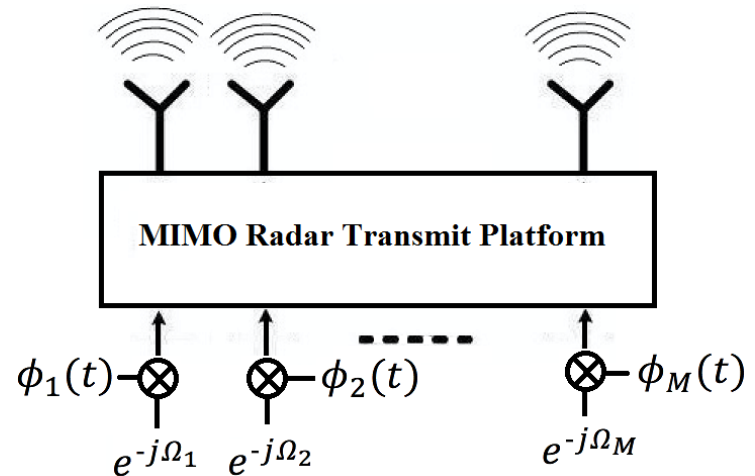
- Let  $\boldsymbol{\Omega} = [e^{-j\Omega_1}, \dots, e^{-j\Omega_M}]$  be  $M \times 1$  vector of phase rotations
- Consider the vector phase-rotated orthogonal waveforms

$$\boldsymbol{\Psi}(t) = \boldsymbol{\Pi}\boldsymbol{\Phi}(t)$$

$\boldsymbol{\Pi} = \text{diag}(\boldsymbol{\Omega})$ : Diagonal phase-shift matrix

- Note: The phase rotated waveforms preserve orthogonality

$$\boldsymbol{\Psi}(t)\boldsymbol{\Psi}^H(t) = \boldsymbol{\Pi}\boldsymbol{\Phi}(t)\boldsymbol{\Phi}^H(t)\boldsymbol{\Pi}^H = \mathbf{I}_M$$



MIMO radar with phase rotation

**Scaling in lieu of Modulations**

# MIMO Radar with Phase Rotation

- Vector of received signals

$$\tilde{\mathbf{x}}(t, \tau) = \sum_{q=1}^Q \alpha_q(\tau) [\mathbf{a}^T(\theta_q) \mathbf{\Psi}(t)] \mathbf{b}(\theta_q) + \mathbf{n}(t, \tau)$$

- Matched-filtering to  $\mathbf{\Psi}(t)$  yields

$$\begin{aligned} \tilde{\mathbf{y}}(\tau) &= \text{vec} \left( \int_{T_0} \tilde{\mathbf{x}}(t, \tau) \mathbf{\Phi}^H(t) \mathbf{\Pi}^H dt \right) \\ &= \sum_{q=1}^Q \alpha_q(\tau) [\mathbf{a}(\theta_q) \otimes \mathbf{b}(\theta_q)] + \tilde{\mathbf{n}}(\tau). \end{aligned}$$

- The AWGN term becomes

$$\tilde{\mathbf{n}}(\tau) = [\text{diag}(\mathbf{\Omega}^*) \otimes \mathbf{I}_N] \tilde{\mathbf{n}}(\tau)$$

Note: AWGN statistics remain the same

- MIMO radar with Phase rotation yields same signal at matched-filter output

# Proposed Information Embedding

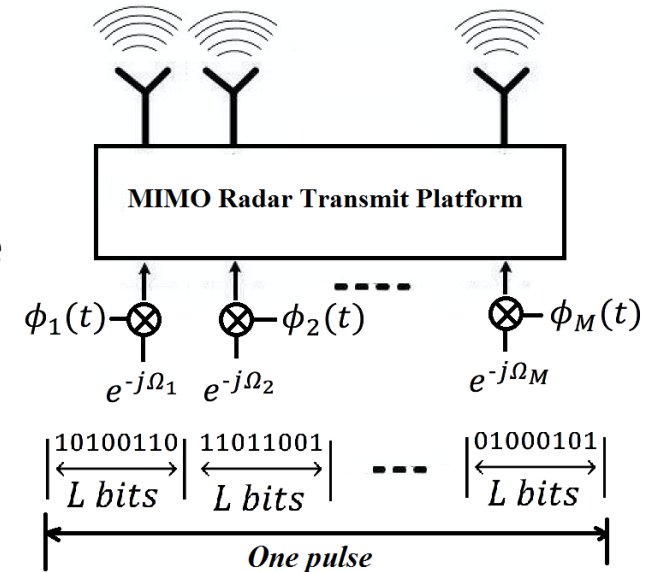
- The phase rotations  $\Omega_m, m = 1, \dots, M$  are used as communications symbols
- Each phase symbol represents 'L' bits of binary data
- The symbols from a pre-defined constellation of size K, e.g.,

$$\mathbb{D}_{\text{PSK}} = \left\{ 0, \frac{2\pi}{K}, \dots, \frac{(K-1)2\pi}{K} \right\}$$

- The number of bits per symbol  $L = \log_2 K$

$$\text{Bits/pulse} = ML = M \log_2 K$$

$$\text{Data rate} = ML \times \text{pulse repetition frequency}$$



Dual-function MIMO radar-communication

# Communications Receiver

## Matched-Filter

- Assume that the waveforms are known at the communications receiver
- Matched-filtering the received signal to  $\phi_m(t)$  yields

$$y_m(\tau) = \int_{T_0} r(t) \phi_m^*(t) dt$$

$$= \alpha_{\text{ch}} \mathbf{a}_{[m]} e^{j\Omega_m(\tau)} + w_m(\tau), \quad m = 1, \dots, M$$

$\mathbf{a}_{[m]} = e^{-j2\pi d_m \sin \theta_c}$ :  $m$ -th entry of transmit array steering vector

$w_m(\tau) = \int w(t, \tau) \phi^*(t) dt$ : Additive noise

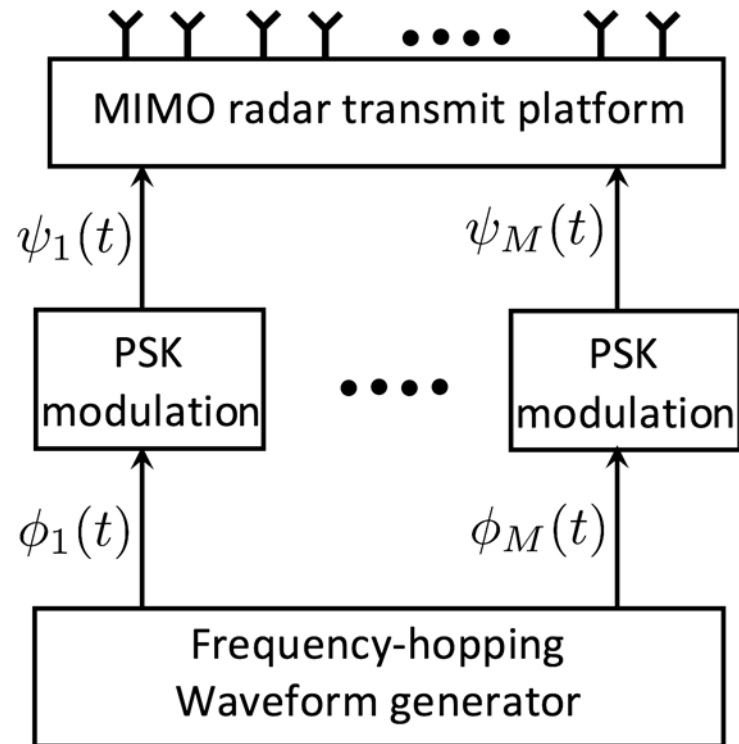
- The output of the  $m$ -th matched filter is a phase-shifted and noisy version of the  $m$ -th entry of the steering vector  $\mathbf{a}(\theta_c)$
- In radar applications with a high PRF, such as in X-band radar, a data rate in the range of Mbps can be easily achieved

# Frequency-Hopping Radar

$$\phi_m(t) = \sum_{q=1}^Q e^{j2\pi c_{m,q}\Delta f t} u(t - \Delta t), \quad m = 1, \dots, M$$

$$\psi_m(t) = \sum_{q=1}^Q e^{j\Omega_{m,q}} e^{j2\pi c_{m,q}\Delta f t} u(t - \Delta t)$$

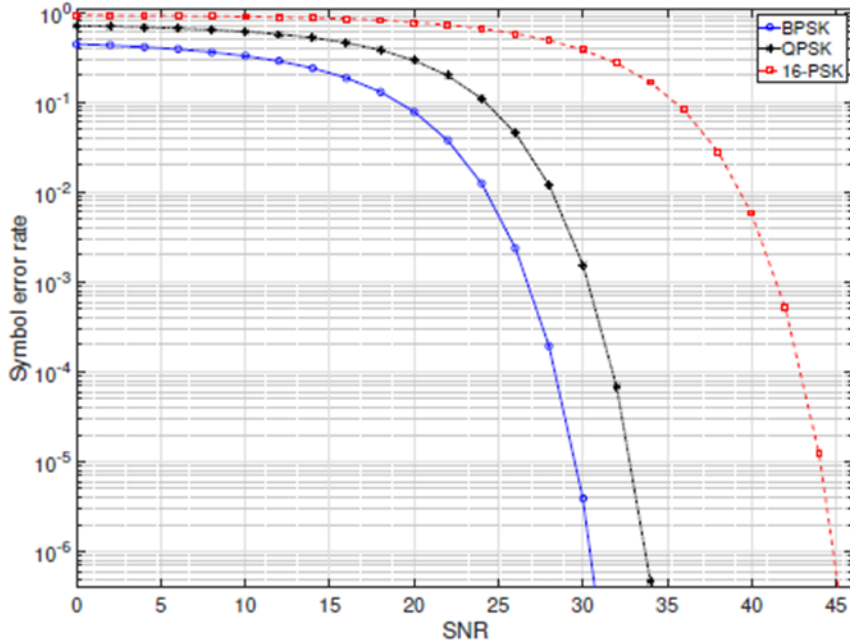
- Higher Data Rate
- Multiply by the length of FH code Q



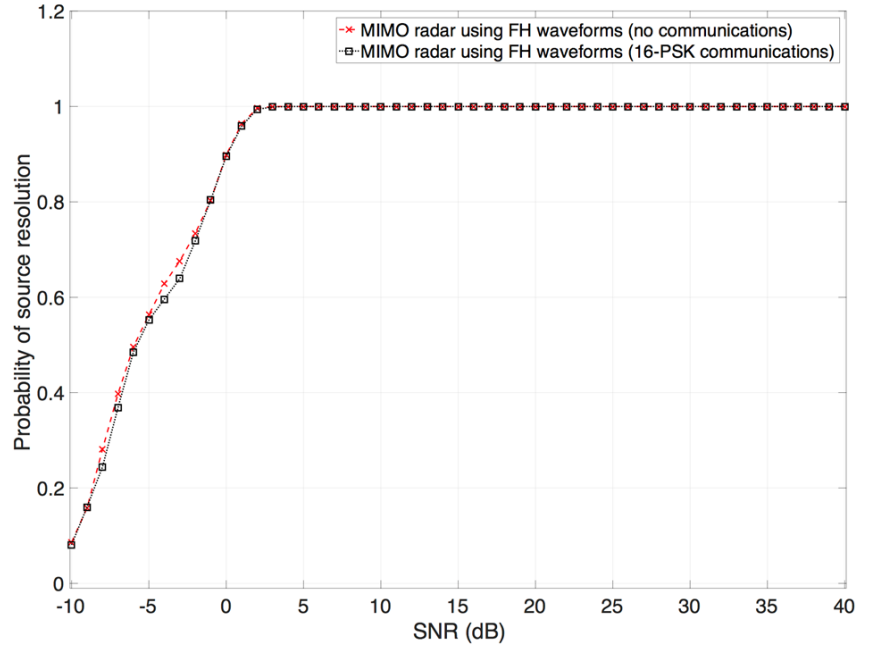
# X-band Radar Example

- Carrier Frequency- 8.2 GHz
- Bandwidth-500 MHz
- Sampling frequency- 1 GHz
- Pulse repetition Interval- 10 micro-sec
- Frequency Step- 10 MHz
- Time step- 1 micro-sec
- Number of antennas-16
  
- $R=32, 64, 128$  for BFSK, QPSK, and 16-PSK

# Radar/Communications



BER  
Source at 0 degree



MIMO-ESPRIT  
Sources at 2 and 4 degrees



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# Conclusions

- *Signal embedding is achieved through slow-time modulation, fast-time modulations, and scaling of radar waveforms.*
- *Proposed method permits information delivering towards arbitrary directions*
- *The communication process is inherently transparent to the primary radar operation of the dual-function system*
- *introduction of an RF system based on a shared frequency bandwidth and antenna aperture allows for integrated command and control systems and integrated sensor management*
- *Co-design and System-of-Opportunity provide the capability of simultaneous transmitting and receiving signals at multiple frequencies, reconfiguring the antenna beam patterns and polarization*