

AN ALGORITHM FOR TRACKING MULTIPLE WIDEBAND CYCLOSTATIONARY SOURCES

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ABSTRACT

In this paper, a new algorithm is presented for signal selective Direction of Arrival (DOA) tracking of multiple moving sources emitting narrowband or wideband cyclostationary signals. The most current array outputs are used to update the DOAs recursively and no data association is needed in this algorithm. Furthermore, by exploiting cyclostationarity, interference and noise are suppressed. Thus only sources of interest are tracked. The effectiveness of this new algorithm is demonstrated by simulations.

1. INTRODUCTION

Direction of Arrival (DOA) tracking of multiple moving sources has been of interest for decades due to its wide applications such as surveillance in military applications and air traffic control in civilian applications. An obvious method of DOA tracking is to find DOAs by an existing DOA estimation algorithm for each time frame, during which the directions are assumed to be fixed, then to associate each of the newly estimated DOAs to those of the old ones in order to keep tracking the DOA changes and the source movement. A key problem of this method is the computational complexity of correctly assigning the estimated DOAs to their corresponding sources, or data association. Recently, some DOA tracking algorithms which do not require data association have been proposed, such as [1–4]. [1] tracks the source movement by using the most current array output. DOA changes for each time frame, rather than new DOAs, are estimated by solving a Least Squares (LS) problem. [2] improves the performance of [1] by employing a source movement model. It updates the predicted DOAs, and refines the DOA estimates through a Kalman filter. [3] updates the DOA estimates for each time frame by solving a

Maximum Likelihood (ML) problem of the most current array output. This approach also employs a source movement model and refines the DOA estimates through a Kalman filter as in [2]. [4] introduces Multiple Target States (MTS) to describe the target motion, and the DOA tracking is implemented through updating the MTS by maximizing the likelihood function of the array output. Whether by LS or ML method, whether using Kalman filter or not, all these algorithms implement the DOA tracking in a way that the order of the estimated DOAs for different time or time frame is maintained, thus data association is avoided. Note that all these methods assume the signals being narrowband stationary and the noise being white Gaussian.

Recently, a statistical property, cyclostationarity, which many types of man-made signals in communications such as BPSK, FSK, AM exhibit, has been exploited in DOA estimation [5–7]. By exploiting cyclostationarity, interference and noise that do not share the same cycle frequency as the desired signals or do not exhibit cyclostationarity can be suppressed, thus the performance of DOA estimation is improved, especially when the DOA of interference is close to the DOA of a desired signal. Similarly, cyclostationarity could also be exploited to suppress the interference and noise, thus to improve performance of DOA tracking. However, little work can be found on signal selective DOA tracking, or, exploiting cyclostationarity of the signals in DOA tracking except [8, 9], where the signals are assumed to be narrowband cyclostationary. Although there exists some algorithms for tracking multiple wideband targets such as [10, 11], these methods do not exploit cyclostationarity of the signals.

In this paper, we propose a new signal selective DOA tracking algorithm for multiple moving sources by exploiting cyclostationarity of the signals. Unlike [8, 9], in our algorithm, the signals emitted by the moving sources can be narrowband or wideband cyclostationary. Our algorithm assumes that the DOAs in each time frame are fixed and

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tracks the DOA changes from the last time frame to the current time frame by exploiting the difference of the averaged cyclic cross correlation of the array output. First, DOA tracking is initiated by applying once the DOA estimation method: averaged cyclic MUSIC (ACM) [7]. Then DOA changes for each time frame are estimated by finding the minimum solution to a cost function. To avoid inconsistent solutions when the DOAs are crossing, we assume that the sources are moving at constant speeds thus the DOA changes for two adjacent time frames are almost the same. Similar to [1–4], our signal selective DOA tracking algorithm does not require data association.

2. DATA MODEL

Consider the tracking problem by a Uniform Linear Array (ULA) of size N with intersensor spacing d . I moving sources are assumed to generate I signals with cycle frequency α . These signals are considered as Signal of Interest (SOI). Other signals from other moving sources which do not exhibit cyclostationarity or have different cycle frequencies are considered as interference. Noise is assumed to be stationary. The signal received by the n th antenna in the array is

$$x_n(t) = \sum_{i=1}^I s_i(t + (n-1)\Delta_i(t)) e^{j2\pi f_0(n-1)\Delta_i(t)} + \eta_n(t) \quad (1)$$

where $s_i(t)$ is the complex baseband signal of the i th SOI induced at the first antenna, $\eta_n(t)$ is the interference and noise induced at the n th antenna, f_0 is the carrier frequency, and $\Delta_i(t) = d \sin \theta_i(t)/c$ is the time delay between two adjacent antennas. Here $\theta_i(t)$ is the impinging direction of the i th SOI at time t , and c is the propagation speed.

Now assume that the DOAs of the sources change little during a time frame T , i.e., $\theta_i(t)$ or $\Delta_i(t)$ are constant during the k th time frame $[(k-1)T, kT]$, where $k = 1, \dots, K$. The total tracking time is assumed to be KT seconds. Then we have $\Delta_i(k) = d \sin \theta_i(k)/c$ for the k th time frame. Note that (1) imposes no restriction on the signal bandwidth.

We define the following vectors and matrices which shall be used later in this paper.

$$\mathbf{s}(t) = [s_1(t) \ \dots \ s_I(t)]^T \quad (2)$$

$$\mathbf{x}(t) = [x_1(t) \ \dots \ x_N(t)]^T \quad (3)$$

$$\mathbf{A}(f, k) = [\mathbf{a}_1(f, k), \ \dots \ \mathbf{a}_I(f, k)] \quad (4)$$

$$\mathbf{a}_i(f, k) = [1, \ e^{j2\pi f \Delta_i(k)}, \ \dots, \ e^{j2\pi f(N-1)\Delta_i(k)}]^T \quad (5)$$

where $[\cdot]^T$ denotes matrix transpose, and $\mathbf{s}(t)$ is the source

signal vector, $\mathbf{x}(t)$ is the received signal vector, $\mathbf{A}(f, k)$ is the steering matrix evaluated at the frequency f for the k th time frame, and $\mathbf{a}_i(f, k)$ is the steering vector for the i th SOI evaluated at f for the k th time frame.

3. TRACKING ALGORITHM

For the k th time frame, calculate the cross cyclic correlation of $x_1(t)$ and $x_n(t)$, where $x_n(t)$ is the signal received at the n th antenna. By varying n from 2 to N , we can obtain $N-1$ such cross cyclic correlations as

$$\begin{aligned} r_{x_1 x_n}^\alpha(\tau, k) &= \int_k x_1(t + \frac{\tau}{2}) x_n^*(t - \frac{\tau}{2}) e^{-j2\pi\alpha t} dt \\ &= \int_k \sum_{p=1}^I s_p(t + \frac{\tau}{2}) \sum_{i=1}^I s_i^*(t - \frac{\tau}{2} + (n-1)\Delta_i(k)) \\ &\quad \cdot e^{-j2\pi f_0(n-1)\Delta_i(k)} e^{-j2\pi\alpha t} dt \\ &= \sum_{i=1}^I \sum_{p=1}^I \int_k s_p(t + \frac{\tau}{2}) s_i^*(t - \frac{\tau}{2} + (n-1)\Delta_i(k)) \\ &\quad \cdot e^{-j2\pi\alpha t} e^{-j2\pi f_0(n-1)\Delta_i(k)} dt \\ &= \sum_{i=1}^I \left[\sum_{p=1}^I r_{s_p s_i}^\alpha(\tau - (n-1)\Delta_i(k), k) \right] \\ &\quad \cdot e^{-j2\pi(f_0 - \frac{\alpha}{2})(n-1)\Delta_i(k)} \end{aligned} \quad (6)$$

where $[\cdot]^*$ denotes complex conjugate and \int_k denotes integral from $(k-1)T$ to kT . Since evaluation of cyclic correlation will only retain those SOI, interference and noise are suppressed in the above equation. Also in the above equation, the shift property of cyclic correlation is applied, i.e., if $y_1(t) = x_1(t+T)$ and $y_2(t) = x_2(t+T)$, then $r_{y_1 y_2}^\alpha(\tau) = r_{x_1 x_2}^\alpha(\tau) e^{j2\pi\alpha T}$. Note that the cross correlation $r_{x_1 x_n}^\alpha(\tau, k)$ is a function of $\Delta_i(k)$. To simplify this function, we can average $r_{x_1 x_n}^\alpha(\tau, k)$ over the time delay τ , and obtain the averaged cyclic correlation between $x_1(t)$ and $x_n(t)$ at the k th time frame as

$$\langle r_{x_1 x_n}^\alpha(k) \rangle_\tau = \sum_{i=1}^I \left[\sum_{p=1}^I \langle r_{s_p s_i}^\alpha(k) \rangle_\tau \right] e^{-j2\pi(f_0 - \frac{\alpha}{2})(n-1)\Delta_i(k)} \quad (7)$$

where $\langle r_{s_p s_i}^\alpha(k) \rangle_\tau$ is the averaged cyclic correlation of $s_p(t)$ and $s_i(t)$ at the k th time frame. $\langle \cdot \rangle_\tau$ is used to denote averaging over τ . If the duration of a time frame is long enough, $\langle r_{s_p s_i}^\alpha(k) \rangle_\tau$ can be assumed to be independent of k . Therefore, we drop k , and define

$$E_i = \sum_{p=1}^I \langle r_{s_p s_i}^\alpha \rangle_\tau \quad (8)$$

Also define

$$g_n(\theta) = e^{-j2\pi(f_0 - \frac{\alpha}{2})(n-1)d \sin \theta / c} \quad (9)$$

Then, (7) can be written as

$$\langle r_{x_1 x_n}^\alpha(k) \rangle_\tau = \sum_{i=1}^I E_i g_n(\theta_i(k)) \quad (10)$$

To derive our algorithm, we need to know E_i . Therefore, let us illustrate how to estimate E_i which can be done during initialization.

First, we apply the signal selective DOA estimation algorithm ACM [7] to estimate the initial DOAs. The number of sources emitting SOI are assumed to be known or estimated by the MDL criteria [12]. Note that ACM works for both narrowband and wideband signals. Below is a summary of this algorithm.

1. Compute the cyclic correlation matrix $\mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(\tau, 1)$ during the first time frame by

$$\mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(\tau, 1) = \int_1 \mathbf{x}(t + \tau/2) \mathbf{x}^H(t - \tau/2) e^{-j2\pi\alpha t} dt$$

where $[\cdot]^H$ denotes Hermitian transpose and \int_1 denotes integral from 0 to T .

2. Average $\mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(\tau, 1)$ over τ to obtain the averaged cyclic correlation matrix of $\mathbf{x}(t)$ for the first time frame, i.e., $\langle \mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(1) \rangle_\tau$.
3. Apply the Singular Value Decomposition (SVD) to $\langle \mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(1) \rangle_\tau$ to estimate all the DOAs of SOI for the first time frame, i.e., $\theta_i(1)$, where $i = 1, \dots, I$.

Now we can estimate E_i . From [7], we have

$$\langle \mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(1) \rangle_\tau = \mathbf{A}(f_0 + \alpha/2, 1) \langle \mathbf{R}_{\mathbf{s}\mathbf{s}}^\alpha(1) \rangle_\tau \mathbf{A}^H(f_0 - \alpha/2, 1) \quad (11)$$

where \mathbf{A} is defined in (4), $\langle \mathbf{R}_{\mathbf{s}\mathbf{s}}^\alpha(1) \rangle_\tau$ is the averaged cyclic correlation matrix of $\mathbf{s}(t)$ for the first time frame, which can be estimated by, based on (11),

$$\langle \mathbf{R}_{\mathbf{s}\mathbf{s}}^\alpha(1) \rangle_\tau = \mathbf{A}(f_0 + \alpha/2, 1)^\dagger \langle \mathbf{R}_{\mathbf{x}\mathbf{x}}^\alpha(1) \rangle_\tau \mathbf{A}^H(f_0 - \alpha/2, 1)^\dagger \quad (12)$$

where $[\cdot]^\dagger$ denotes pseudo inverse. If the duration of the time frame is long enough, $\langle \mathbf{R}_{\mathbf{s}\mathbf{s}}^\alpha(1) \rangle_\tau$ can be viewed as an estimate of $\langle \mathbf{R}_{\mathbf{s}\mathbf{s}}^\alpha \rangle_\tau$. Obviously, the (p, i) th element of $\langle \mathbf{R}_{\mathbf{s}\mathbf{s}}^\alpha \rangle_\tau$ is $\langle r_{s_p s_i}^\alpha \rangle_\tau$. Therefore an estimate of E_i as in (8) is obtained.

The tracking algorithm can be developed as follows. For iteration k , or for the k th time frame, compute $\langle r_{x_1 x_n}^\alpha(k) \rangle_\tau$,

for $n = 2, \dots, N$. Now instead of estimating $\theta_i(k)$ anew, we update it by

$$\theta_i(k) = \theta_i(k-1) + \tilde{\theta}_i(k) \quad (13)$$

where $\theta_i(k-1)$ is assumed to be estimated up to the $(k-1)$ th iteration. Since $\theta_i(1)$ has been estimated in the initial step, $\theta_i(k)$ can be obtained if $\tilde{\theta}_i(k)$ can be computed for all k . Now assume that $\tilde{\theta}_i(k)$ is small, using Taylor expansion, dropping the terms of higher orders, we obtain

$$g_n(\theta_i(k)) = g_n(\theta_i(k-1)) + \frac{\partial g_n(\theta)}{\partial \theta} \Big|_{\theta=\theta_i(k-1)} \tilde{\theta}_i(k) \quad (14)$$

where

$$\begin{aligned} \frac{\partial g_n(\theta)}{\partial \theta} \Big|_{\theta=\theta_i(k-1)} \\ = \left[-j2\pi(f_0 - \frac{\alpha}{2})(n-1) \frac{d \cos \theta_i(k-1)}{c} \right] g_n(\theta_i(k-1)) \end{aligned} \quad (15)$$

Using (10) and (14), we obtain

$$\begin{aligned} \langle r_{x_1 x_n}^\alpha(k) \rangle_\tau \\ = \sum_{i=1}^I E_i g_n(\theta_i(k-1)) + \sum_{i=1}^I E_i \frac{\partial g_n(\theta)}{\partial \theta} \Big|_{\theta=\theta_i(k-1)} \tilde{\theta}_i(k) \\ = \langle r_{x_1 x_n}^\alpha(k-1) \rangle_\tau + \sum_{i=1}^I c_{n,i}(k-1) \tilde{\theta}_i(k) \end{aligned} \quad (16)$$

where

$$c_{n,i}(k-1) = E_i \frac{\partial g_n(\theta)}{\partial \theta} \Big|_{\theta=\theta_i(k-1)} \quad (17)$$

Let

$$\tilde{\mathbf{r}}_n(k) = \langle r_{x_1 x_n}^\alpha(k) \rangle_\tau - \langle r_{x_1 x_n}^\alpha(k-1) \rangle_\tau \quad (18)$$

Then, from (16), $\tilde{\mathbf{r}}_n(k)$ can be written as

$$\tilde{\mathbf{r}}_n(k) = [c_{n,1}(k-1), \dots, c_{n,I}(k-1)] \tilde{\Theta}(k) \quad (19)$$

where

$$\tilde{\Theta}(k) = [\tilde{\theta}_1(k), \dots, \tilde{\theta}_I(k)]^T \quad (20)$$

Stack $\tilde{\mathbf{r}}_n(k)$ for $n = 2, \dots, N$, we obtain

$$\tilde{\mathbf{r}}(k) = [\tilde{\mathbf{r}}_2(k), \dots, \tilde{\mathbf{r}}_N(k)]^T = \mathbf{C}(k-1) \tilde{\Theta}(k) \quad (21)$$

Here $\mathbf{C}(k-1)$ is an $(N-1)$ by I matrix whose $(n-1, i)$ th element is $c_{n,i}(k-1)$ as in (17). $\mathbf{C}(k-1)$ is known since E_i is estimated during initialization, and DOAs at the $(k-1)$ th time frame are assumed to be updated through our recursive algorithm. Therefore, $\tilde{\Theta}(k)$, or the DOA changes can be

estimated by solving the LS problem of (21), and the DOAs at the k th time frame are updated using (13).

One problem of the above method occurs when two or more DOAs are crossing at the $(k-1)$ th time frame. In this case, $\mathbf{C}(k-1)$ in (21) will be rank deficient, and the solution of $\tilde{\Theta}(k)$ may become unreliable. To overcome this problem, we further assume that the sources are moving at constant speeds, thus the DOA changes for two adjacent time frames are almost the same, i.e.,

$$\tilde{\Theta}(k) \approx \tilde{\Theta}(k-1) \quad (22)$$

Now define a revised LS cost function

$$\begin{aligned} f(\tilde{\Theta}(k)) &= \left[\mathbf{C}(k-1)\tilde{\Theta}(k) - \tilde{\mathbf{r}}(k) \right]^H \left[\mathbf{C}(k-1)\tilde{\Theta}(k) - \tilde{\mathbf{r}}(k) \right] + \\ &\quad \left[\tilde{\Theta}(k) - \tilde{\Theta}(k-1) \right]^H \Lambda(k) \left[\tilde{\Theta}(k) - \tilde{\Theta}(k-1) \right] \end{aligned} \quad (23)$$

The first term of this cost function reflects the LS criterion of equation (21), and the second term reflects the assumption (22). Here $\Lambda(k)$ is an I by I diagonal matrix whose i th element is $\lambda_i(k)$. The value of $\lambda_i(k)$ can be chosen by the designer to further optimize performance.

Now the $\tilde{\Theta}(k)$ which minimizes the cost function (23) is the estimated DOA changes for the k th time frame. The solution to this is

$$\begin{aligned} \tilde{\Theta}(k) &= \left[\mathbf{C}^H(k-1)\mathbf{C}(k-1) + \Lambda(k) \right]^{-1} \\ &\quad \left[\mathbf{C}^H(k-1)\tilde{\mathbf{r}}(k) + \Lambda(k)\tilde{\Theta}(k-1) \right] \end{aligned} \quad (24)$$

The role of $\Lambda(k)$ is clear from (24). When $\mathbf{C}(k-1)$ is rank deficient at DOA crossing, $\Lambda(k)$ in (24) provides regularization effect to the solution $\tilde{\Theta}(k)$. Normally, entries of $\Lambda(k)$ should be small positive numbers. In our simulation, we choose $\lambda_i(k)$ equal to $1/5 \sim 1/2$ of the i th diagonal element of $\mathbf{C}^H(k-1)\mathbf{C}(k-1)$.

Below is a summary of our signal selective tracking algorithm.

1. At time interval $[0, T]$, i.e., $k = 1$
 - a. Apply ACM [7] to estimate $\Theta(1) = [\theta_1(1), \dots, \theta_I(1)]^T$. $\langle r_{x_1 x_n}^\alpha(1) \rangle_\tau$ can also be obtained during this procedure.
 - b. Estimate E_i from (12) and then (8).
 - c. Set $\tilde{\Theta}(1)$ to 0 or a small value.
2. At time interval $[(k-1)T, kT]$, for $k = 2, \dots, K$
 - a. Estimate $\mathbf{C}(k-1)$, whose $(n-1, i)$ th element is $c_{n,i}(k-1)$ as in (17), for $n = 2, \dots, N$, $i = 1, \dots, I$

- b. Estimate $\langle r_{x_1 x_n}^\alpha(k) \rangle_\tau$ from the data samples collected in this time interval, and then obtain $\tilde{\mathbf{r}}(k)$ whose $(n-1)$ th element is as in (18), for $n = 2, \dots, N$.
- c. Estimate $\tilde{\Theta}(k)$ from (24).
- d. Obtain $\Theta(k) = \Theta(k-1) + \tilde{\Theta}(k)$

Note that when calculating the cross cyclic correlation $r_{x_1 x_n}^\alpha(\tau, k)$ as in (6), no assumption is made that $s_p(t)$ and $s_i(t)$ are cyclically uncorrelated. Therefore, our recursive algorithm works even when the sources are cyclically correlated, or coherent. The only modification needed in such a situation is the initialization. We need some technique such as Spatial Smoothing (SS) [13, 14] to decorrelate the coherent sources in order to estimate the initial DOAs and $\langle r_{s_p s_i}^\alpha \rangle_\tau$.

4. SIMULATIONS

The following simulation is carried out to illustrate our signal selective tracking algorithm. Three sources are assumed to emit three wideband BPSK signals with raised cosine pulse shaping. Two of them are SOI with baud rate 20 MHz and carrier frequency 100 MHz. The other is interference with baud rate 6 MHz and carrier frequency 80 MHz. Furthermore the two SOI are coherent. A ULA with 7 antennas are used. The subarray size is 6 for SS during initialization. The duration of the time frame is 0.5 second. The Signal to Noise Ratio (SNR) of one SOI is 1 dB lower than the other. The SNR of the interference is 5 dB lower than the higher powered SOI. Now three tests are carried out with the SNR of the higher powered SOI as 5 dB, 10 dB and 15 dB. The results are shown in Fig. 1, Fig. 2 and Fig. 3, respectively. It can be seen that our algorithm can suppress the interference and track the DOA changes of coherent wideband cyclostationary signals successfully even when the DOAs are crossing.

5. REFERENCES

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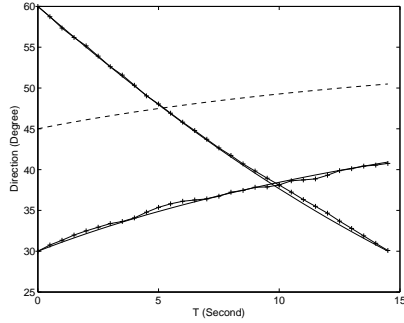


Fig. 1. DOA tracking for two SOI with one interference. — actual tracks of the SOI, — * — estimated tracks, — — track of the interference, SNR of the higher powered SOI: 5 dB.

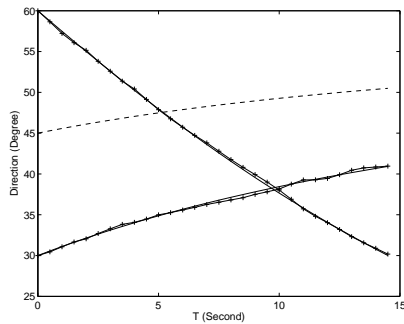


Fig. 2. DOA tracking for two SOI with one interference. — actual tracks of the SOI, — * — estimated tracks, — — track of the interference, SNR of the higher powered SOI: 10 dB.

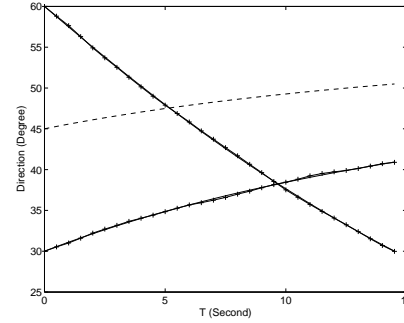


Fig. 3. DOA tracking for two SOI with one interference. — actual tracks of the SOI, — * — estimated tracks, — — track of the interference, SNR of the higher powered SOI: 15 dB.

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