# Mismatched Shaping Schemes for Bit-Interleaved Coded Modulation 

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#### Abstract

We consider bit-interleaved coded modulation (BICM) schemes where, instead of the true bit or symbol probabilities and the constellation used at the transmitter, the decoder uses arbitrary probabilities or reference constellations. We study the corresponding low- and high- signal-to-noise-ratio regimes and show that even in the presence of this extra sources of mismatch, BICM has a negligible penalty with respect to coded modulation.


## I. Introduction

Bit-Interleaved Coded Modulation (BICM) was introduced by Zehavi [1] as a pragmatic coding scheme for combining coding and modulation to achieve high spectral efficiency. It was later extensively studied by Caire et al. [2] under the assumption of infinite depth interleaving, where it is argued that the system essentially behaves as a set of parallel independent memoryless binary-input output-symmetric channels.

In a recent work by Martinez et al. [3], [4], the BICM decoder has been cast as a mismatched decoder [5], [6]. The model is extended to account for shaping in [7], i.e., the bit or symbol probabilities are optimized. The restriction of infinite depth interleaving was lifted with this mismatched decoder framework and the generalized mutual information (GMI) is used to measure the achievable rates. When the classical BICM decoder as in [4], [7] is used, the mismatch solely comes from the assumption of independent bit metrics. It was found in [7], [8] that for the AWGN channel, this mismatch can be mostly recovered by shaping, virtually closing the gap that made BICM suboptimal compared to coded modulation (CM) in terms of information rates. In particular, in the low signal-tonoise ratio (SNR) regime, BICM with shaping becomes firstand second-order optimal [7], [8].

In this paper, we take a closer look at shaping and the BICM mismatched decoder. In particular, we consider a generalized BICM decoder where one decodes using arbitrary bit or symbol probabilities and reference constellations instead of the true ones that used at the transmitter. The resulting additional source of mismatch might reduce the complexity of the decoder of BICM shaping schemes in [7]. We also

[^0]analytically study the behavior of this doubly-mismatched decoder in the low SNR regime, and show that our scheme can be made first- and second-order optimal. Finally, we also provide a framework for studying the behavior of BICM GMI in the high SNR regime, more specifically, in the saturation region.

## II. Channel Model and Code Ensembles

## A. Channel Model

We consider transmission of information with a block code of length $N$ and rate $R$. At the transmitter, a message m is mapped into a codeword $\boldsymbol{x}(\mathrm{m})=\left(x_{1}(\mathrm{~m}), \ldots, x_{N}(\mathrm{~m})\right)$, where $x_{k}(\mathrm{~m}) \in \mathcal{X}$, and $\mathcal{X}$ is the channel input alphabet. Let $M \triangleq$ $|\mathcal{X}|$ and $m \triangleq \log _{2}(M)$ denotes the cardinality of $\mathcal{X}$ and the number of bits per symbol, respectively.

The output $\boldsymbol{y}=\left(y_{1}, \ldots, y_{N}\right)$ is a random transformation of the input with transition probability distribution $P_{\boldsymbol{Y} \mid \boldsymbol{X}}(\boldsymbol{y} \mid \boldsymbol{x})$. We assume memoryless channels, therefore

$$
\begin{equation*}
P_{\boldsymbol{Y} \mid \boldsymbol{X}}(\boldsymbol{y} \mid \boldsymbol{x})=\prod_{k=1}^{N} P_{Y \mid X}\left(y_{k} \mid x_{k}\right) \tag{1}
\end{equation*}
$$

where $P_{Y \mid X}(y \mid x)$ is the channel transition probability, and $X, Y$ denote the underlying random variables taking values on the input and output alphabet $\mathcal{X}, \mathcal{Y}$.

The decoder decides on the estimate of the message $\widehat{\mathrm{m}}$ according to a decoding metric $q(\boldsymbol{x}, \boldsymbol{y})$. We assume a maximum metric decoder given by

$$
\begin{equation*}
\widehat{\mathrm{m}}=\underset{\mathrm{m}}{\arg \max } q(\boldsymbol{x}(\mathrm{~m}), \boldsymbol{y})=\underset{\mathrm{m}}{\arg \max } \prod_{k=1}^{N} q\left(x_{k}(\mathrm{~m}), y_{k}\right) \tag{2}
\end{equation*}
$$

When the metric $q(x, y)$ is a strictly increasing bijective function of $P_{Y \mid X}(y \mid x)$, the decoder will always select the maximum a posteriori (MAP) codeword. Otherwise, we have a mismatched decoder [5], [6].

## B. Coded Modulation (CM)

The random coding ensemble corresponding to CM has channel inputs selected i.i.d. from $\mathcal{X}$ according to a probability distribution $P_{X}(x)$. The CM decoder employs the MAP metric. The largest information rate that can be achieved with CM under the constraint $x \in \mathcal{X}$ is

$$
\begin{equation*}
\mathrm{C}^{\mathrm{cm}}=\sup _{P_{X}} I(X ; Y) . \tag{3}
\end{equation*}
$$

## C. Bit-Interleaved Coded Modulation (BICM)

In a BICM scheme, the codewords are obtained as the serial concatenation of a binary codeword of length $n=$ $m N$, a bit-level interleaver ${ }^{1}$, and a binary labeling function $\mu:\{0,1\}^{m} \rightarrow \mathcal{X}$ which takes blocks of $m$ bits and maps the $m$ bits to signal constellation symbols $x$, such that $x_{k}=\mu\left(b_{(k-1) m+1}, \ldots, b_{k m}\right), k=1, \ldots, N$. We denote the inverse labeling function by $b_{j}: \mathcal{X} \rightarrow\{0,1\}$, so that $b_{j}(x)$ is the $j$-th bit in the binary label of modulation symbol $x$, for $j=1, \ldots, m$. With slight abuse of notation, we let $B_{1}, \ldots, B_{m}$ and $b_{1}, \ldots, b_{m}$ denote the random variables and their corresponding realizations of the bits in a given label position $j=1, \ldots, m$. In this paper, we consider the case where the modulation symbols $x$ are used with probabilities

$$
\begin{equation*}
P_{X}^{\mathrm{bicm}}(x)=\prod_{j=1}^{m} P_{B_{j}}\left(b_{j}(x)\right), \tag{4}
\end{equation*}
$$

where $P_{B_{j}}(b)$ is the probability of the $j$ th bit being equal to $b$. Finally, we denote the probability of symbols with bit $b$ in the $j$-th position of the label by $P_{X \mid B_{j}}(x \mid b)$. By construction, $P_{X \mid B_{j}}(x \mid b)$ is zero if $b_{j}(x)=b$.

The main difference between CM and BICM is at the decoder end. The BICM decoder treats each of the $m$ bits in a symbol as independent, yielding

$$
\begin{equation*}
q(x, y)=\prod_{j=1}^{m} q_{j}\left(b_{j}(x), y\right) \tag{5}
\end{equation*}
$$

where the $j$ th bit decoding metric $q_{j}(b, y)$ is given by

$$
\begin{equation*}
q_{j}(b, y)=\sum_{x^{\prime} \in \hat{\mathcal{X}}} P_{Y \mid X}\left(y \mid x^{\prime}\right) Q_{X \mid B_{j}}\left(x^{\prime} \mid b\right) \tag{6}
\end{equation*}
$$

where $\hat{\mathcal{X}}$ and $Q_{X \mid B_{j}}(x \mid b)$ respectively denote the specific reference constellation and the symbol probabilities used for decoding at the receiver, that is not necessarily those used at the transmitter, i.e., $\mathcal{X}$ and $P_{X \mid B_{j}}(x \mid b)$. Mapping is also considered on $\hat{\mathcal{X}}$. We denote the reference inverse labeling function at the decoder by $\hat{b}_{j}: \hat{\mathcal{X}} \rightarrow\{0,1\}$. For the cases we considered, $Q_{X \mid B_{j}}(x \mid b)$ is non-zero only when $\hat{b}_{j}(x)=b$.

## III. Achievable Rates

The largest achievable rate with mismatched decoding is not known in general. However, the GMI has been shown to be the largest achievable rate with i.i.d. codebooks [5], [6]. For BICM with fixed input symbol probability mass function (pmf) $P_{X}^{\text {bicm }}(x)$ the GMI is given by [7]

$$
\begin{equation*}
I_{\mathrm{bicm}}\left(P_{X}^{\mathrm{bicm}}\right)=\sup _{s>0} I_{\mathrm{bicm}}\left(s, P_{X}^{\mathrm{bicm}}\right), \tag{7}
\end{equation*}
$$

with

$$
\begin{equation*}
I_{\mathrm{bicm}}\left(s, P_{X}^{\mathrm{bicm}}\right)=\sum_{j=1}^{m} \mathbb{E}\left[\log \frac{q_{j}(B, Y)^{s}}{\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) q_{j}\left(b^{\prime}, Y\right)^{s}}\right] \tag{8}
\end{equation*}
$$

[^1]TABLE I

| BICM SCHEMES OF INTEREST |  |  |  |
| :--- | :---: | :---: | :---: |
| Schemes | $P_{X}^{\text {bicm }}(x)$ | $\hat{\mathcal{X}}$ | $Q_{X \mid B_{j}}(x \mid b)$ |
| $\mathrm{BICM}_{0}$ | $\frac{1}{M}$ | $\mathcal{X}$ | $P_{X \mid B_{j}}(x)$ |
| $\mathrm{BICM}_{1}$ | optimized | $\mathcal{X}$ | $P_{X \mid B_{j}}(x)$ |
| $\mathrm{BICM}_{2}$ | optimized | $\overline{\mathcal{X}}$ | $\frac{2}{M} \mathbb{1}\left\{\hat{b}_{j}(x)=b\right\}$ |
| $\mathrm{BICM}_{3}$ | optimized | $\mathcal{X}$ | $\frac{2}{M} \mathbb{1}\left\{\hat{b}_{j}(x)=b\right\}$ |

$\mathbb{1}\{\cdot\}$ denotes the indicator function.
where the expectation is carried out according to $P_{B_{j}, Y \mid B_{j}}$.
Since Eq. (8) gives an achievable rate for the distribution $P_{X}^{\text {bicm }}$, one can find the input bit distribution with largest GMI, resulting in probabilistic shaping, by solving

$$
\begin{equation*}
\mathrm{C}^{\mathrm{bicm}}=\sup _{\substack{s>0 \\ P_{X}^{\text {bicm }}}} I_{\mathrm{bicm}}\left(s, P_{X}^{\mathrm{bicm}}\right) . \tag{9}
\end{equation*}
$$

Note that maximization over $P_{X}^{\mathrm{bicm}}(x)$ is equivalent to maximization over $P_{B_{1}}(b), \ldots, P_{B_{m}}(b)$.

Due to the non-convex, non-concave nature of the BICM GMI, there is no simple algorithmic way to find the suboptimal values of $s$ and $P_{X}^{\text {bicm }}$. For discrete memoryless channels, we derived a Blahut-Arimoto type of algorithm that finds the optimal $P_{X}^{\text {bicm }}(x)$ for fixed $s$ and guarantees local optimality [9]. As $I_{\mathrm{bicm}}^{X}\left(s, P_{X}^{\text {bicm }}\right)$ is a concave function of $s$, one can also optimize over $s$ without resorting to exhaustive search.

## IV. The AWGN Channel

In this section, we focus on BICM for the AWGN channel, and study both low- and high-SNR regimes.

## A. Channel Model and Achievable Rate

We consider transmission over the complex ( $\mathcal{X} \subset \mathbb{C}, \mathcal{Y}=$ $\mathbb{C}$ ) AWGN channel for which

$$
\begin{equation*}
y_{k}=\sqrt{\operatorname{snr}} x_{k}+z_{k} \quad k=1, \ldots, N \tag{10}
\end{equation*}
$$

where $z_{k}$ are realizations of an i.i.d. circularly symmetric complex Gaussian random variable with zero mean and unit variance, and snr is the average SNR. Codewords are subject to a power constraint $\frac{1}{N} \sum_{k=1}^{N}\left|x_{k}\right|^{2}=1$. In the presence of a power constraint, the largest achievable rate with i.i.d. codebooks is now

$$
\begin{equation*}
\mathrm{C}^{\text {bicm }}(\mathrm{snr})=\sup _{P_{X}^{\text {bicm }}: \mathbb{E}_{P_{X}^{\text {bicm }}}\left[|X|^{2}\right]=1} I_{\mathrm{bicm}}(\mathrm{snr}) \tag{11}
\end{equation*}
$$

where

$$
\begin{equation*}
I_{\mathrm{bicm}}(\mathrm{snr})=\sum_{j=1}^{m} \mathbb{E}_{P_{B_{j}, X \mid B_{j}}, Z}\left[f_{j}\left(\rho, X, B_{j}, s\right)\right] \tag{12}
\end{equation*}
$$

where $\rho \triangleq \sqrt{\text { snr }}$ and

$$
\begin{align*}
& f_{j}(\rho, x, b, s) \triangleq \\
& \log \frac{\left(\sum_{x^{\prime} \in \hat{\mathcal{X}}} e^{-\left|\rho\left(x-x^{\prime}\right)+z\right|^{2}} Q_{X \mid B_{j}}\left(x^{\prime} \mid b\right)\right)^{s}}{\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right)\left(\sum_{x^{\prime} \in \hat{\mathcal{X}}} e^{-\left|\rho\left(x-x^{\prime}\right)+z\right|^{2}} Q_{X \mid B_{j}}\left(x^{\prime} \mid b^{\prime}\right)\right)^{s}} . \tag{13}
\end{align*}
$$

We have omitted the dependence of $I_{\mathrm{bicm}}(\mathrm{snr})$ on $s, P_{X}^{\mathrm{bicm}}$ for the simplicity of the notation.

Though one can specify $\hat{\mathcal{X}}$ and $Q_{X \mid B_{j}}(x \mid b)$ arbitrarily, we limit our interest to the schemes shown in Table I where $\overline{\mathcal{X}}$ satisfies

$$
\begin{equation*}
\sum_{x \in \overline{\mathcal{X}}} \frac{1}{M}|x|^{2}=1 \tag{14}
\end{equation*}
$$

In summary, $\mathrm{BICM}_{0}$ is classical BICM with equiprobable symbols, BICM $_{1}$ is BICM with optimized symbol probabilities solving (11). In $\mathrm{BICM}_{2}$ and $\mathrm{BICM}_{3}$, the symbol probabilities at the transmitter are optimized based on a mismatched receiver that assumes equiprobable symbols. The main difference between $\mathrm{BICM}_{2}$ and $\mathrm{BICM}_{3}$ is that $\mathrm{BICM}_{3}$ knows the energy of the transmitted constellation (hence the reference constellation is exactly $\mathcal{X}$ ), while $\mathrm{BICM}_{2}$ does not (hence the reference constellation and the transmitted constellation are mismatched).

Figure 1 shows the performance comparison among the four BICM schemes featured in Table I. The capacity of CM is also shown for reference. The results illustrate that the mismatched symbol pmf $Q_{X \mid B_{j}}(x \mid b)$ and/or mismatched constellation $\hat{\mathcal{X}}$ are efficiently compensated by shaping at low SNR. On the other hand, in the mid-to-high range of SNR, $\mathrm{BICM}_{2}$ performs only slightly better than $\mathrm{BICM}_{0}$. We also observe that as soon as the reference constellation matches the transmit constellation (As in $\mathrm{BICM}_{3}$ ) while keeping equiprobable symbol probabilities at the decoder, the gap can be recovered almost in full.

## B. Low-SNR Regime

The GMI of BICM at mid-to-high-SNR can only be evaluated by numerical experiments. On the other hand, at low SNR, the GMI can be analyzed in closed form. The GMI admits a Taylor expansion series in terms of snr,

$$
\begin{equation*}
I_{\mathrm{bicm}}(\mathrm{snr})=c_{1} \mathrm{snr}+c_{2} \mathrm{snr}^{2}+\mathrm{o}\left(\mathrm{snr}^{2}\right) \tag{15}
\end{equation*}
$$



Fig. 1. Comparison of $\mathrm{C}^{\text {bicm }}$ among different BICM schemes with 8PAM modulation with Gray labeling. Schemes are shown as in Table I.

A scheme is said to be first- and second-order optimal if $c_{1}=1$ and $c_{2}=-\frac{1}{2}[10]$.

The low-snr performance of BICM was studied in [11], where expressions of $c_{1}$ and $c_{2}$ were given for general mapping rules and equiprobable signaling with the classical BICM decoder (5). The result was exploited in [7] to show that BICM with Gray labeling and shaping is first- and secondorder optimal in the wideband regime. To generalize the result in [11] and to determine how the multiple sources of mismatch introduced in this paper affect $c_{1}$ and $c_{2}$, we start directly with the expression of $I_{\text {bicm }}$ (snr) defined in Eq. (12). For simplicity, we use natural logarithms. In order to find $c_{1}$ and $c_{2}$, we need the second- and forth-order derivatives of $f_{j}(\rho, x, b, s)$ with respect to $\rho$, respectively.

The first-order derivative of $f_{j}(\rho, x, b, s)$ with respect to $\rho$ is given by [9]

$$
\begin{align*}
& f_{j}^{\prime}(\rho, x, b, s)=\frac{-s \alpha_{j}(\rho, x, z, b)}{\beta_{j}(\rho, x, z, b)} \\
& \quad+\frac{\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) s \beta_{j}^{s-1}\left(\rho, x, z, b^{\prime}\right) \alpha_{j}\left(\rho, x, z, b^{\prime}\right)}{\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) \beta_{j}^{s}\left(\rho, x, z, b^{\prime}\right)} \tag{16}
\end{align*}
$$

$$
\begin{align*}
f_{j}^{\prime \prime}(\rho, x, b, s) & =\frac{s \lambda_{j}(\rho, x, z, b) \beta_{j}(\rho, x, z, b)-s \alpha_{j}^{2}(\rho, x, z, b)}{\beta_{j}^{2}(\rho, x, z, b)}+\left(\frac{\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) s \beta_{j}^{s-1}\left(\rho, x, z, b^{\prime}\right) \alpha_{j}\left(\rho, x, z, b^{\prime}\right)}{\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) \beta_{j}^{s}\left(\rho, x, z, b^{\prime}\right)}\right)^{2} \\
& -\frac{\left(\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) \beta_{j}^{s}\left(\rho, x, z, b^{\prime}\right)\right)\left(\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right)\left(s^{2}-s\right) \beta_{j}^{s-2}\left(\rho, x, z, b^{\prime}\right) \alpha_{j}^{2}\left(\rho, x, z, b^{\prime}\right)\right)}{\left(\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) \beta_{j}^{s}\left(\rho, x, z, b^{\prime}\right)\right)^{2}} \\
& -\frac{\left(\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) \beta_{j}^{s}\left(\rho, x, z, b^{\prime}\right)\right)\left(\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) s \beta_{j}^{s-1}\left(\rho, x, z, b^{\prime}\right) \lambda_{j}\left(\rho, x, z, b^{\prime}\right)\right)}{\left(\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) \beta_{j}^{s}\left(\rho, x, z, b^{\prime}\right)\right)^{2}} \tag{21}
\end{align*}
$$

where,

$$
\begin{equation*}
\alpha_{j}(\rho, x, z, b) \triangleq \sum_{x^{\prime} \in \hat{\mathcal{X}}} e^{-\left|\rho\left(x-x^{\prime}\right)+z\right|^{2}} Q_{X \mid B_{j}}\left(x^{\prime} \mid b\right) \gamma\left(\rho, x^{\prime}, x, z\right) \tag{17}
\end{equation*}
$$

$\beta_{j}(\rho, x, z, b) \triangleq \sum_{x^{\prime} \in \hat{\mathcal{X}}} e^{-\left|\rho\left(x-x^{\prime}\right)+z\right|^{2}} Q_{X \mid B_{j}}\left(x^{\prime} \mid b\right)$,
$\gamma\left(\rho, x^{\prime}, x, z\right) \triangleq 2 z_{r}\left(x_{r}-x_{r}^{\prime}\right)+2 z_{i}\left(x_{i}-x_{i}^{\prime}\right)+2 \rho \kappa\left(x, x^{\prime}\right)$,

$$
\begin{equation*}
\kappa\left(x, x^{\prime}\right) \triangleq-2\left|x-x^{\prime}\right|^{2} \tag{19}
\end{equation*}
$$

$x_{r}, x_{i}$ and $z_{r}, z_{i}$ denote the real and imaginary parts of $x$ and $z$ respectively. The second-order derivative of $f_{j}(\rho, x, b, s)$ with respect to $\rho$ is given in Eq. (21) at the bottom of the previous page, with

$$
\begin{align*}
& \lambda_{j}(\rho, x, z, b) \triangleq \sum_{x^{\prime} \in \hat{\mathcal{X}}} e^{-\left|\rho\left(x-x^{\prime}\right)+z\right|^{2}} Q_{X \mid B_{j}}\left(x^{\prime} \mid b\right) \\
& \quad \times\left(\gamma\left(\rho, x^{\prime}, x, z\right)^{2}+\kappa\left(x, x^{\prime}\right)\right) \tag{22}
\end{align*}
$$

Expanding eq. (12) using Taylor series with eqs. (13)-(22) and letting $\rho \rightarrow 0$ we have that for general, constellations (both transmitted and reference), input pmfs (both transmitted and reference), mapping and value of $s$

$$
\begin{equation*}
c_{1}=a_{1} s^{2}-a_{2}\left(s^{2}-s\right)-a_{3} s \tag{23}
\end{equation*}
$$

where

$$
\begin{align*}
& a_{1} \triangleq \sum_{j=1}^{m} \mathbb{E}_{P_{X}}\left[\left|X-\mathbb{E}_{P_{B_{j}} Q_{X \mid B_{j}}}[X]\right|^{2}\right],  \tag{24}\\
& a_{2} \triangleq \sum_{j=1}^{m} \mathbb{E}_{P_{X}, P_{B_{j}}}\left[\left|X-\mathbb{E}_{Q_{X \mid B_{j}}}[X]\right|^{2}\right],  \tag{25}\\
& a_{3} \triangleq \sum_{j=1}^{m} \mathbb{E}_{P_{B_{j}, X \mid B_{j}}}\left[\left|X-\mathbb{E}_{Q_{X \mid B_{j}}}[X]\right|^{2}\right] . \tag{26}
\end{align*}
$$

By maximizing $c_{1}$ over $s$ we find that

$$
\begin{equation*}
c_{1}^{*}=-\frac{\left(a_{2}-a_{3}\right)^{2}}{4\left(a_{1}-a_{2}\right)} \tag{27}
\end{equation*}
$$

In order to find $c_{2}$ in expansion (15), we need the fourthorder derivative of $f_{j}(\rho, x, b, s)$ with respect to $\rho$. Due to page limitations, the derivation and expression of $c_{2}$ are omitted. For $\mathrm{BICM}_{0}$, our expressions of $c_{1}$ (23) and $c_{2}$ recover the respective expressions provided in [11].

Figure 2 shows $\mathrm{C}^{\text {bicm }}$ and the corresponding wideband regime expansion (15) for $4 \mathrm{BICM}_{3}$ configurations (one with optimal and 3 with randomly picked values of $s$ and bit probabilities). The results confirm the accuracy of our wideband regime analysis of the general BICM schemes.

## C. High-SNR Regime

Both mutual information and GMI are upper bounded by $H(X)$, the input entropy. Furthermore, for high SNR the equivocation $H(X \mid Y)$ tends to zero, and therefore, the mutual information of CM saturates at $H(X)$, making equiprobable inputs optimal at high SNR. In this section, we analyze the


Fig. 2. BICM performance in the wideband regime. 4 different BICM configurations with Gray labeling are considered. $P_{B}^{*}$ and $s^{*}$ denote the optimal bit probabilities and $s$. For 64QAM, we assume symmetry between in-phase and quadrature, i.e., $P_{B_{1}}(0)=P_{B_{4}}(0), P_{B_{2}}(0)=P_{B_{5}}(0)$, $P_{B_{3}}(0)=P_{B_{6}}(0)$.
high-SNR regime of the BICM schemes described previously. In particular, we will pay particular attention to $\mathrm{BICM}_{2}$, where the reference constellation is different from the transmitted one. To do this, we rewrite the expression of $I_{\mathrm{bicm}}(\mathrm{snr})$ in (11) as

$$
\begin{equation*}
I_{\mathrm{bicm}}(\mathrm{snr})=H(X)-\hat{H}_{\mathrm{snr}}(X \mid Y), \tag{28}
\end{equation*}
$$

where we isolated the snr-dependent term, $\hat{H}_{\text {snr }}(X \mid Y)$,

$$
\begin{align*}
& \hat{H}_{\mathrm{snr}}(X \mid Y) \triangleq \\
& -\sum_{j=1}^{m} \mathbb{E}_{P_{B_{j}, X \mid B_{j}, Z}}\left[\log \left(P_{B_{j}}(B)\right)+f_{j}(\rho, X, B, s)\right] . \tag{29}
\end{align*}
$$

We now focus on the high-SNR behavior of $\hat{H}_{\text {snr }}(X \mid Y)$. When snr $\rightarrow \infty$, for fixed $b$ and $y$ (or $x$ ), the channel tends to a noiseless channel, and the limiting value of the log term in (29) can be calculated as

$$
\begin{align*}
& \lim _{\operatorname{snr} \rightarrow \infty} f_{j}(\rho, x, b, s)= \\
& \quad \log \frac{Q_{X \mid B_{j}}\left(\hat{x}_{j, b}(x) \mid b\right)^{s} e^{-s\left|x-\hat{x}_{j, b}(x)\right|^{2}}}{\left.\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) Q_{X \mid B_{j}}\left(\hat{x}_{j, b^{\prime}}(x) \mid b^{\prime}\right)\right)^{s} e^{-s\left|x-\hat{x}_{j, b^{\prime}}(x)\right|^{2}}} \tag{30}
\end{align*}
$$

where

$$
\begin{equation*}
\hat{x}_{j, b}(x) \triangleq \underset{x^{\prime} \in \hat{\mathcal{X}}, b_{j}\left(x^{\prime}\right)=b}{\arg \min }\left|x-x^{\prime}\right|^{2} . \tag{31}
\end{equation*}
$$

When snr $\rightarrow \infty$, the term $\hat{H}_{\text {snr }}(X \mid Y)$ in (29) converges to (32) at the bottom of the page. This characterizes the saturating value of the GMI for high SNR for a general reference constellation. In particular, for schemes with equal transmit and reference constellation, i.e., $\hat{\mathcal{X}}=\mathcal{X}$, Eq. (30) tends to 0 at high SNR, hence Eq. (32) also tends to 0 at high SNR,


Fig. 3. High SNR analysis of different $\mathrm{BICM}_{2}-8 \mathrm{PAM}$ schemes with Gray labeling. The decoding reference constellation $\mathcal{X}=\overline{\mathcal{X}}$ satisfies (14) for all schemes. The solid line corresponds to $\mathrm{BICM}_{2}$. The thick solid line corresponds to fixing $P_{B_{1}}(0)=0.5, P_{B_{2}}(0)=1, P_{B_{3}}(0)=0.5$ maximizing $s$. The dotted line corresponds to fixing $P_{B_{2}}(0)=1, P_{B_{3}}(0)=1$ and maximizing $P_{B_{1}}(0), s$. The dashed line corresponds to fixing $P_{B_{2}}(0)=1$ and maximizing $P_{B_{1}}(0), P_{B_{3}}(0), s$. The dash-dotted line corresponds to fixing $P_{B_{2}}(0)=0$ and maximizing $P_{B_{1}}(0), P_{B_{3}}(0), s$. The horizontal lines plot $\sup _{s} \lim _{\mathrm{snr} \rightarrow \infty}\left(H(X)-\hat{H}_{\mathrm{snr}}(X \mid Y)\right)$, and indicates the saturating value of the GMI for snr $\rightarrow \infty$.
and $I_{\text {bicm }}(\mathrm{snr})$ saturates at $H(X)$. However, when $\hat{\mathcal{X}} \neq \mathcal{X}$, Eq. (30) may not be 0 , and $I_{\text {bicm }}$ (snr) in Eq. (28) does not necessarily converge to $H(X)$.

Using Hölder's inequality, one can easily verify that $\lim _{\text {snr } \rightarrow \infty} \hat{H}_{\text {snr }}(X \mid Y)$ is a convex function of $s$. Hence, simple numerical methods can be used to optimize Eq. (28) for fixed $P_{X}^{\text {bicm }}(x)$. Optimization over $P_{X}^{\text {bicm }}(x)$ can then be performed through exhaustive search.

Figure 3 shows numerical evidence of the above analysis. In particular, we consider 8-PAM, with $\hat{\mathcal{X}}=\overline{\mathcal{X}}$. As we can see, in some cases, the resulting GMI does not saturate at the integer bits, but rather to the values predicted by (32). We can interpret the GMI for $\mathrm{BICM}_{2}$ (thin solid line) as the envelope of all
possible GMI values with a fixed input distribution. It turns out that this interpretation also gives an accurate estimation of the irregular behavior of $\mathrm{BICM}_{2}$ for $\frac{E_{\mathrm{b}}}{N_{\mathrm{o}}}$ ranging from 0 to 2 dB .

## V. Conclusion

We have studied the performance in terms of achievable rates of BICM with mismatched shaping strategies. We have considered schemes where the decoder employs a reference constellation that assumes that the symbols have been used with equal probability and we have studied both low- and high-SNR regimes. We have seen that the loss of this scheme with respect to a fully optimized BICM scheme is marginal at low SNR. In the case the decoder uses the same constellation as the transmitter while still assuming equiprobable symbols, the loss is negligible in all the range of SNRs.

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$$
\begin{equation*}
\lim _{\operatorname{snr} \rightarrow \infty} \hat{H}_{\mathrm{snr}}(X \mid Y)=-\sum_{j=1}^{m} \sum_{b=0}^{1} P_{B_{j}}(b) \sum_{x \in \mathcal{X}} P_{X \mid B_{j}}(x) \log \frac{P_{B_{j}}(b) Q_{X \mid B_{j}}\left(\hat{x}_{j, b}(x) \mid b\right)^{s} e^{-s\left|x-\hat{x}_{j, b}(x)\right|^{2}}}{\left.\sum_{b^{\prime}=0}^{1} P_{B_{j}}\left(b^{\prime}\right) Q_{X \mid B_{j}}\left(\hat{x}_{j, b^{\prime}}(x) \mid b^{\prime}\right)\right)^{s} e^{-s\left|x-\hat{x}_{j, b^{\prime}}(x)\right|^{2}}} \tag{32}
\end{equation*}
$$


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[^1]:    ${ }^{1}$ This interleaver can be safely ignored in our analysis as it has been absorbed in the description of the random coding ensemble.

