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## 线性调频-伪码卷积性复合信号 MCRLB 推导

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**摘要:** 线性调频-伪码卷积性复合信号是一种新型低截获概率信号, 在雷达与微小探测器中具有广泛应用, 侦察其参数具有重要意义。文章推导了高斯环境下复合信号的修正克拉美-罗下限(MCRLB), 估计参数向量由幅度、载频、调制斜率和码宽组成, 多余参数为码与初相。结论表明, MCRLB 与多余参数无关, 且在估计参数向量确定的条件下, 对数形式表示的 MCRLB 与信噪比成线性关系。

**关键词:** 伪码; 线性调频; 卷积; 修正克拉美-罗下限

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## Derivation of modified CRLB of convolution signal combined LFM and PRBC

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**Abstract:** The hybrid waveform combined Linear Frequency Modulated and Pseudo-Random Binary phase Code(LFM-PRBC) is a new type of low probability intercept signal, which is widely adopted in radars and small detectors. It is significant to estimate the parameters of the hybrid waveform. This paper develops the Modified Cramer-Rao Lower Bound(MCRLB) for the modulation parameters of this signal with Gaussian noise. The modulation parameters considered are signal amplitude, carrier frequency, modulation slope and code width, and the nuisance parameters are codes and initial phase. Conclusions indicate that MCRLB is independent with nuisance parameters, and MCRLB in logarithmic form is linear with the Signal to Noise Ratio(SNR) when the vectors of estimated parameters are determined.

**Key words:** Pseudo-Random Binary phase Code; Linear Frequency Modulation; convolution; Modified Cramer-Rao Lower Bound

线性调频(LFM)和伪随机码调相信号是雷达中广泛采用的两类脉冲压缩信号。LFM信号一般具有较宽带宽, 雷达接收机对回波信号多普勒频移不敏感, 但脉压过后会产生正比于多普勒频移的时延<sup>[1]</sup>。伪随机码调相信号具有“图钉形”的模糊函数, 低截获概率性较好, 但是当回波信号与雷达接收机多普勒频移失谐, 脉冲压缩会有较大损失。徐庆等人将两类信号进行卷积性复合<sup>[2-3]</sup>, 证明复合信号兼具了伪随机码调相和载波调频信号的优点, 复合信号对多普勒频移不敏感, 模糊函数更具“图钉形”, 且频谱无零点, 可通过改变加权形式, 实现临近距离的强弱目标分辨。目前这种复合信号已被用于雷达和微小型探测器中, 研究伪码-线性调频卷积性复合信号(LFM-PRBC)参数估计具有重要的意义。

目前已有不少文献研究了线性调频和伪随机码调相复合信号参数估计<sup>[4-6]</sup>, 但是文献[2-3]中所述连续波卷积复合体制模型参数估计算法还未见报道。本文根据 Fulvio Gini 等人提出的向量修正克拉美-罗下限理论<sup>[7]</sup>, 研究了连续波卷积复合体制模型信号幅度、载频、调制斜率和码宽参数估计下限问题, 多余参数伪码与初相。

### 1 信号模型

将线性调频信号与二相编码信号卷积复合, 便得到了 LFM-PRBC<sup>[2-3]</sup>。该复合信号在码元宽度内线性调频, 码元间进行二相编码调制。引信中, 伪随机码应用较为广泛, 在此考虑线性调频信号和伪随机码进行卷积性复合。

信号模型为:

$$s[n] = s(\mathbf{v}; \boldsymbol{\theta}) = A \sum_{m=0}^{P-1} c_m g(m, N) \cos \left\{ 2\pi \left[ f_0(n-mN) + 0.5k(n-mN)^2 \right] + \varphi_0 \right\} = A \sum_{m=0}^{P-1} c_m g(m, N) \cos \alpha \quad (1)$$

式中：\$A\$ 为信号幅度；\$f\_0\$ 为起始频率；\$k\$ 为线性调频调制斜率；\$c\_m\$ 为二相调制信息，\$c\_m \in \{-1, 1\}\$；\$\varphi\_0\$ 为初始相位，服从 \$0 \sim 2\pi\$ 均匀分布，且与 \$c\_m\$ 独立；\$N\$ 为码元宽度，\$P\$ 为码元个数，有 \$n \in [0, NP-1]\$；待估参数 \$\boldsymbol{\theta} = [A f\_0 k N]^T\$，多余参数为 \$\mathbf{v} = [\varphi\_0 c\_m]^T\$；\$\alpha = 2\pi [f\_0(n-mN) + 0.5k(n-mN)^2] + \varphi\_0\$。且

$$g(m, N) = \begin{cases} 1, & n \in [mN, (m+1)N-1] \\ 0, & \text{others} \end{cases} \quad (2)$$

接收信号为：

$$x[n] = s[n] + w[n] \quad (3)$$

其中，\$w(n) \sim N(0, \sigma^2)\$。

## 2 MCRLB 推导

根据假设，\$w(n)\$ 服从正态分布，故接收信号条件概率密度函数为<sup>[8]</sup>：

$$p_{x|v}(x | \mathbf{v}; \boldsymbol{\theta}) = F \exp \left\{ -\frac{1}{2\sigma^2} \sum_{n=0}^{NP-1} (x[n] - s(\boldsymbol{\theta}; \mathbf{v}))^2 \right\} \quad (4)$$

且修正 Fisher 矩阵为<sup>[6]</sup>：

$$[\mathbf{I}_M(\boldsymbol{\theta})]_{ij} = -E_{x,v} \left\{ \frac{\partial^2 \ln p_{x|v}(x | \mathbf{v}; \boldsymbol{\theta})}{\partial \theta_i \partial \theta_j} \right\} = E_v \left\{ [\mathbf{I}(\mathbf{v}; \boldsymbol{\theta})]_{ij} \right\} \quad (5)$$

故可看出，求 MCRLB 是首先假设多余参数向量 \$\mathbf{v}\$ 为已知确定参数，据此求出传统意义上的 Fisher 矩阵 \$\mathbf{I}(\mathbf{v}; \boldsymbol{\theta})\$，然后按照 \$\mathbf{v}\$ 求平均，即得 \$\mathbf{I}\_M(\boldsymbol{\theta})\$。

高斯噪声条件下，Fisher 矩阵为：

$$[\mathbf{I}(\mathbf{v}; \boldsymbol{\theta})]_{ij} = \frac{1}{\sigma^2} \sum_{n=0}^{NP-1} \frac{\partial s[\mathbf{v}; \boldsymbol{\theta}]}{\partial \theta_i} \frac{\partial s[\mathbf{v}; \boldsymbol{\theta}]}{\partial \theta_j} \quad (6)$$

下面首先求出 \$\partial s[\mathbf{v}; \boldsymbol{\theta}] / \partial \theta\_i\$，由式(1)可得：

$$\frac{\partial s[\mathbf{v}; \boldsymbol{\theta}]}{\partial A} = \sum_{m=0}^{P-1} c_m g(m, N) \cos \alpha \quad (7)$$

$$\frac{\partial s[\mathbf{v}; \boldsymbol{\theta}]}{\partial f_0} = -2\pi A \sum_{m=0}^{P-1} (n-mN) c_m g(m, N) \sin \alpha \quad (8)$$

$$\frac{\partial s[\mathbf{v}; \boldsymbol{\theta}]}{\partial k} = -\pi A (n-mN)^2 \sum_{m=0}^{P-1} c_m g(m, N) \sin \alpha \quad (9)$$

$$\begin{aligned} \frac{\partial s[\mathbf{v}; \boldsymbol{\theta}]}{\partial T} &= A \sum_{m=0}^{P-1} c_m \frac{\partial g(m, N)}{\partial N} \cos \alpha + 2\pi A \sum_{m=0}^{P-1} c_m g(m, N) [mf_0 + mk(n-mN)] \sin \alpha = \\ & 2\pi A \sum_{m=0}^{P-1} c_m g(m, N) [mf_0 + mk(n-mT)] \sin \alpha \end{aligned} \quad (10)$$

根据式(5)，对相应的 Fisher 矩阵元素按照 \$\mathbf{v}\$ 对 \$\varphi\_0, c\_m\$ 分别作平均，可得 \$\mathbf{I}\_M(\boldsymbol{\theta})\$。先定义信噪比为 \$\eta = A^2 / (2\sigma^2)\$，则：

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{11} &= \frac{1}{\sigma^2} E_v \left\{ \sum_{n=0}^{NP-1} \left( \sum_{m=0}^{P-1} c_m g(m, N) \cos \alpha \right)^2 \right\} = \frac{1}{\sigma^2} E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} \sum_{l=0}^{P-1} c_m c_l g(m, N) g(l, N) \cos \alpha \cos \alpha \right\} = \\ & \frac{1}{\sigma^2} E_{\varphi_0} \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} E_{c_m} \left\{ c_m^2 \right\} g^2(m, N) \cos^2 \alpha \right\} = \frac{1}{\sigma^2} E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{NP-1} g^2(m, N) \cos^2 \alpha \right\} = \frac{1}{\sigma^2} E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=m-1}^m \cos^2 \alpha \right\} = \\ & \frac{1}{\sigma^2} E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^N \cos^2 \alpha \right\} = \frac{1}{\sigma^2} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^N E_{\varphi_0} \left\{ \frac{1 + \cos 2\alpha_0}{2} \right\} \right\} = \frac{NP}{2\sigma^2} \end{aligned} \quad (11)$$

式中：\$E\_{\varphi} \{ \cos 2\alpha\_0 \} = 0\$；\$E\_{c\_m} \{ c\_m^2 \} = 1\$；\$\alpha|\_l = 2\pi [f\_0(n-lN) + 0.5k(n-lN)^2] + \varphi\_0\$。

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{12} &= \frac{2\pi A}{\sigma^2} E_v \left\{ -\sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} (n-mN) c_m^2 g^2(m, N) \frac{1}{2} \sin 2\alpha \right\} = \\ & -\frac{\pi A}{\sigma^2} \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} E_{c_m} \{c_m^2\} (n-mT) g^2(n-mT) E_{\varphi_0} \{ \sin 2\alpha \} = 0 \end{aligned} \quad (12)$$

$$[\mathbf{I}_M(\boldsymbol{\theta})]_{13} = \frac{\pi A}{\sigma^2} E_v \left\{ -\sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} (n-mT)^2 c_m^2 g^2(m, N) \frac{1}{2} \sin 2\alpha \right\} = 0 \quad (13)$$

$$[\mathbf{I}_M(\boldsymbol{\theta})]_{14} = \frac{2\pi}{\sigma^2} A E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} c_m^2 g^2(m, N) [mf_0 + mk(n-mT)] \frac{1}{2} \sin 2\alpha \right\} = 0 \quad (14)$$

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{22} &= 8\pi^2 \eta E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} c_m^2 (n-mN)^2 g^2(m, N) \sin^2 \alpha \right\} = \\ 8\pi^2 \eta E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} n^2 \sin^2 \alpha \right\} &= 8\pi^2 \eta \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} \frac{1}{2} n^2 = \frac{2\pi^2 A^2 N(N-1)(2N-1)P}{3} \eta \end{aligned} \quad (15)$$

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{23} &= 4\pi^2 \eta E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} c_m^2 (n-mN)^3 g^2(m, N) \sin^2 \alpha \right\} = \\ 4\pi^2 \eta E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} n^3 \sin^2 \alpha \right\} &= \frac{\pi^2 N^2 (N-1)^2 P}{2} \eta \end{aligned} \quad (16)$$

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{24} &= 8\pi^2 \eta E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} (n-mT) c_m^2 g^2(m, N) [mf_0 + mk(n-mT)] \sin^2 \alpha \right\} = \\ 8\pi^2 \eta E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} (mf_0 n + mkn^2) \sin^2 \alpha \right\} &= \frac{\pi^2 P(P-1)N(N-1)(3f_0 + k(2N-1))}{3} \eta \end{aligned} \quad (17)$$

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{33} &= 2\pi^2 \eta E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} c_m^2 (n-mT)^4 g^2(m, N) \sin^2 \alpha \right\} = \\ 2\pi^2 \eta E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} n^4 \sin^2 \alpha \right\} &= 2\pi^2 \eta \sum_{m=0}^{P-1} \frac{N(N-1)(2N-1)(3N^2 - 3N - 1)}{60} = \\ \frac{\pi^2 N(N-1)(2N-1)(3N^2 - 3N - 1)P}{30} & \eta \end{aligned} \quad (18)$$

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{34} &= -4\pi^2 \eta E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} c_m^2 (n-mT)^2 g^2(m, N) [mf_0 + mk(n-mT)] \sin^2 \alpha \right\} = \\ -4\pi^2 \eta E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} (mf_0 n^2 + mkn^3) \sin^2 \alpha \right\} &= -4\pi^2 \eta \sum_{m=0}^{P-1} \left( mf_0 \frac{N(N-1)(2N-1)}{12} + mk \frac{N^2(N-1)^2}{8} \right) = \\ -\frac{2(2N-1)f_0 + 3N(N-1)k}{12} \pi^2 P(P-1)N(N-1)\eta & \end{aligned} \quad (19)$$

$$\begin{aligned} [\mathbf{I}_M(\boldsymbol{\theta})]_{44} &= 8\pi^2 \eta E_v \left\{ \sum_{n=0}^{NP-1} \sum_{m=0}^{P-1} c_m^2 g^2(m, N) [mf_0 + mk(n-mT)]^2 \sin^2 \alpha \right\} = \\ 8\pi^2 \eta E_{\varphi_0} \left\{ \sum_{m=0}^{P-1} \sum_{n=0}^{N-1} m^2 (f_0 + kn)^2 \sin^2 \alpha \right\} &= 4\pi^2 \eta \sum_{m=0}^{P-1} m^2 \sum_{n=0}^{N-1} (f_0^2 + k^2 n^2 + 2f_0 kn) = \\ \frac{6f_0^2 N + N(N-1)k[6f_0 + (2N-1)k]}{9} \pi^2 P(P-1)(2P-1)\eta & \end{aligned} \quad (20)$$

由于  $\mathbf{I}_M(\boldsymbol{\theta})$  为对称矩阵, 故  $\mathbf{I}_M(\boldsymbol{\theta})$  元素已全部求出。由式(11)~式(20)可知,  $\mathbf{I}_M(\boldsymbol{\theta})$  与信噪比、样本数、待估信号参数等因素有关, 与码、初相等多余参数无关。将  $\mathbf{I}_M(\boldsymbol{\theta})$  求逆, 取主对角线元素可得 MCRLB。经计算, 逆矩阵也为对称矩阵, 且其上对角元素为:

$$[\mathbf{I}_M(\boldsymbol{\theta})^{-1}]_{11} = \frac{A}{\eta PN} \quad (21)$$

$$[\mathbf{I}_M(\boldsymbol{\theta})^{-1}]_{12} = 0 \quad (22)$$

$$[\mathbf{I}_M(\boldsymbol{\theta})^{-1}]_{13} = 0 \quad (23)$$

$$[\mathbf{I}_M(\boldsymbol{\theta})^{-1}]_{14} = 0 \quad (24)$$

$$\left[ \mathbf{I}_M(\boldsymbol{\theta})^{-1} \right]_{22} = \frac{(2P-1)(2N-1)(3N^2-3N-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{270(N-1)TB} - \frac{(P-1)[2(2N-1)f_0 + 3N(N-1)K]^2}{144TB} \quad (25)$$

$$\left[ \mathbf{I}_M(\boldsymbol{\theta})^{-1} \right]_{23} = -\frac{(P-1)(3f_0 + K(2N-1))[2(2N-1)f_0 + 3N(N-1)K]}{36TB} - \frac{N(N-1)(2P-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{18(N-1)TB} \quad (26)$$

$$\left[ \mathbf{I}_M(\boldsymbol{\theta})^{-1} \right]_{24} = -\frac{N(N-1)[2(2N-1)f_0 + 3N(N-1)K]}{24TB} - \frac{(2N-1)(3N^2-3N-1)[3f_0 + K(2N-1)]}{90TB} \quad (27)$$

$$\left[ \mathbf{I}_M(\boldsymbol{\theta})^{-1} \right]_{33} = \frac{2A^2(2N-1)(2P-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{27(N-1)TB} - \frac{(P-1)[3f_0 + K(2N-1)]^2}{9TB} \quad (28)$$

$$\left[ \mathbf{I}_M(\boldsymbol{\theta})^{-1} \right]_{34} = \frac{N(N-1)[3f_0 + K(2N-1)]}{6TB} + \frac{A^2(2N-1)[2(2N-1)f_0 + 3N(N-1)K]}{18TB} \quad (29)$$

$$\left[ \mathbf{I}_M(\boldsymbol{\theta})^{-1} \right]_{44} = \frac{A^2(2N-1)^2(3N^2-3N-1)}{45TB(P-1)} - \frac{N^2(N-1)^2}{4TB(P-1)} \quad (30)$$

式中  $T = \pi^2 N(N-1)P\eta$ ,

$$B = \frac{A^2(2N-1)^2(3N^2-3N-1)(2P-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{405(N-1)} - \frac{N(N-1)(P-1)(3f_0 + K(2N-1))[2(2N-1)f_0 + 3N(N-1)K]}{36} - \frac{(2N-1)(P-1)(3N^2-3N-1)(3f_0 + K(2N-1))^2}{36} - \frac{A^2(2N-1)(P-1)[2(2N-1)f_0 + 3N(N-1)K]^2}{216} - \frac{N^2(N-1)(2P-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{36}$$

故对数形式的 MCRLB 可表示为：

$$\text{var}\{\hat{A}\} = \log\left[\mathbf{I}_M(\boldsymbol{\theta})^{-1}\right]_{11} = \log\frac{A}{PN} - \log\eta \quad (31)$$

$$\text{var}\{\hat{f}_0\} = \log\left[\mathbf{I}_M(\boldsymbol{\theta})^{-1}\right]_{22} = \log\left\{\frac{(2P-1)(2N-1)(3N^2-3N-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{270N(N-1)^2 B\pi^2 P} - \frac{(P-1)[(4N-2)f_0 + 3N(N-1)K]^2}{144B\pi^2 N(N-1)P}\right\} - \log\eta \quad (32)$$

$$\text{var}\{\hat{k}\} = \log\left[\mathbf{I}_M(\boldsymbol{\theta})^{-1}\right]_{33} = \log\left\{\frac{2A^2(2N-1)(2P-1)[6f_0^2 + (N-1)K(6f_0 + (2N-1)K)]}{27N(N-1)^2 B\pi^2 P} - \frac{(P-1)[3f_0 + K(2N-1)]^2}{9B\pi^2 N(N-1)P}\right\} - \log\eta \quad (33)$$

$$\text{var}\{\hat{N}\} = \log\left[\mathbf{I}_M(\boldsymbol{\theta})^{-1}\right]_{44} = \log\left\{\frac{A^2(2N-1)^2(3N^2-3N-1)}{45B(P-1)\pi^2 N(N-1)P} - \frac{N^2(N-1)^2}{4BP(P-1)\pi^2 N(N-1)}\right\} - \log\eta \quad (34)$$

在假设除信噪比  $\eta$  的其他参数一定时,  $\mathbf{I}_M(\boldsymbol{\theta})$  的逆与  $\eta$  成反比, 即各参数 MCRLB 与  $\eta$  成反比。如果采用对数表示, 则 MCRLB 与  $\log\eta$  成线性关系。

### 3 仿真实验及应用方式

为了给出 MCRLB 能达到的下限, 仿真中, 采样率为 100 MHz, 起始频率为 5 MHz, 带宽为 20 MHz, 调制斜率为  $4 \times 10^{13}$  Hz/s, 信号幅度为 10 V, 码元个数为 20, 码宽为 50 个采样点, 信噪比取值范围为  $-40$  dB~ $0$  dB。MCRLB 在此以归一化均方根误差表示, 即:

$$NRMSE = \log \frac{\sqrt{\text{var}(\hat{\theta}_i)}}{\theta_i} \quad (35)$$

图 1 给出了结果。可见, 由于纵坐标是用对数表示的, 各  $NRMSE$  随着信噪比线性降低。在实际工程应用中, 如果需要估计幅度、载频、调制斜率和码宽, 且码与初相未知, 则可直接应用本文结论; 如果已知幅度、载频、调制斜率和码宽中某些参数, 且码与初相未知, 需要估计其他参数, 则可只计算 Fisher 矩阵对应未知参数项, 求逆即可得出对应下限。

### 4 结论

本文推导的 MCRLB 可以为线性调频-伪码卷积性复合信号参数估计算法提供理论下限。结果表明, 参数估计精度与信噪比、样本数、待估信号参数等因素有关。在待估信号参数一定情况下, 以对数形式表示的 MCRLB 与信噪比成线性关系。在雷达引信中, 还可采用四相或者更高阶相位编码与线性调频信号复合, 高阶调相复合对 MCRLB 的影响是作者下一步的主要工作。

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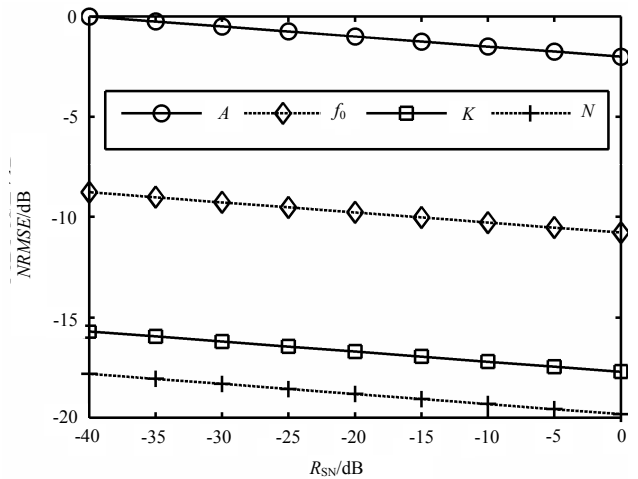


Fig.1 Lower bound of the estimated parameters  
图1 参数估计理论下限