On the Delay Limited Secrecy Capacity of Fading Channels

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Abstract—In this paper, the delay limited secrecy capacity of the flat fading channel is investigated under two different assumptions on the available transmitter channel state information (CSI). The first scenario assumes perfect prior knowledge of both the main and eavesdropper channel gains. Here, upper and lower bounds on the secure delay limited capacity are derived and shown to be tight in the high signal-to-noise ratio (SNR) regime (for a wide class of channel distributions). In the second scenario, only the main channel CSI is assumed to be available at the transmitter. Remarkably, under this assumption, we establish the achievability of non-zero secure rate (for a wide class of channel distributions) under a strict delay constraint. In the two cases, our achievability arguments are based on a novel two-stage approach that overcomes the secrecy outage phenomenon observed in earlier works.

I. INTRODUCTION

In many applications, there is a delay constraint on the data to be transmitted via a wireless link. These applications range from the most basic voice communication to the more demanding multimedia streaming. However, due to its broadcast nature, the wireless channel is vulnerable to eavesdropping and other security threats. Therefore, it is of critical importance to find techniques to combat these security attacks while satisfying the delay limitation imposed by the Quality of Service (QoS) constraints. This motivates our analysis of the fundamental information theoretic limits of secure transmission over fading channels subject to strict deadlines.

Recent works on information theoretic security have been largely motivated by Wyner’s wire-tap channel model [1]. In his seminal work, Wyner proved the achievability of non-zero secrecy capacity, assuming that the wiretap channel is a degraded version of the main one, by exploiting the noise to create an advantage for the legitimate receiver. The effect of fading on the secrecy capacity was further studied in [2] in the ergodic setting. The main insight offered by this work is that one can opportunistically exploit the fading to achieve a non-zero secrecy capacity even if the eavesdropper channel is better than the legitimate receiver channel, on the average.

Delay limited transmission over fading channels has been well studied in different network settings and using various traffic models. For example, in [3], the delay limited capacity notion was introduced and the optimal power control policies were characterized in several interesting scenarios. In [4], the strict delay limitation of [3] was relaxed by allowing for buffering the packets at the transmitter. In this setup, the asymptotic behavior of the power-delay trade-off curve was characterized yielding valuable insights on the structure of the optimal resource allocation strategies [4]. More recently, the scheduling problem of data transmission over a finite delay horizon assuming perfect CSI was considered in [5]. Our work can be viewed as a generalization of [3] where a secrecy constraint is imposed on the problem. The extension to the bursty traffic scenario is currently under investigation.

The delay limited transmission of secure data over fading channels was considered previously in [8]. In this work, the authors attempted to send the secure information using binning techniques inspired by the wiretap channel results. The drawback of this approach is that it fails to secure the information in the particular instants where the eavesdropper channel gain is larger than that of the main channel resulting in the so-called secrecy outage phenomenon (as defined in [8]). Unfortunately, in the delay limited setting, the secrecy outage cannot be made to vanish by increasing the block length leading to the conclusion that the delay limited rate achieved by this approach is equal to zero for most channel distributions of interest [8]. This obstacle is overcome by our two-stage approach. Here, the delay sensitive data of the current block is secured via Vernam’s one time pad approach [6], which was proved to achieve perfect secrecy by Shannon [7], where the legitimate nodes agree on the private key during the previous blocks. Since the key packets are not delay sensitive, the two nodes can share the key by distributing its bits over many fading realizations to capitalize on the ergodic behavior of the channel. Through the appropriate rate allocation, the key bits can be superimposed on the delay sensitive data packets so that they can be used for securing future packets. This is referred as key renewal process in the sequel. This process requires an initialization phase to share the key needed for securing the first data packets. However, the loss in the secrecy entailed by the initialization overhead vanishes in the asymptotic limit of a large number of data packets. Our analytical results establish the asymptotic optimality, with high SNR, of this novel approach in the scenario where both the

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main and eavesdropper channel gains are known \textit{a-priori} at the transmitter (for a wide class of channel distributions). When only the main channel CSI is available, this approach is shown to achieve a \textit{non-zero constant} secrecy rate for a wide class of quasi-static channels (i.e., the class of invertible channels\cite{3}).

The rest of the paper is organized as follows. Section II details the system model and the notations used throughout the rest of the paper. In Section III, our main results for both the full and main CSI cases are obtained. Finally, Section IV concludes the paper.

II. SYSTEM MODEL

The system model is as shown in Figure 1. A source node (Alice) communicates with a destination node (Bob) over a fading channel in the presence of an eavesdropper (Eve). We adopt a block fading model, in which the channel is assumed to be constant during a coherence interval and changes randomly from an interval to another according to a bounded continuous distribution. Also the coherent intervals are assumed to be large enough to allow for the use of random coding techniques.

During any coherence symbol interval \( i \), the signals received at the destination and the eavesdropper are given by

\[
y(i) = g_m(i)x(i) + w_m(i),
\]

and

\[
z(i) = g_e(i)x(i) + w_e(i),
\]

where \( x(i) \) is the transmitted symbol, \( g_m(i) \) and \( g_e(i) \) are the main channel and the eavesdropper channel gains respectively, \( w_m(i) \) and \( w_e(i) \) are the i.i.d. additive white complex gaussian noise with unit variance at the legitimate receiver and the eavesdropper, respectively. We denote the power gains of the fading channels for the main and eavesdropper channels by

\[ h_m(i) = |g_m(i)|^2 \quad \text{and} \quad h_e(i) = |g_e(i)|^2, \]

respectively. We impose the long term average power constraint \( P \), i.e.,

\[
E[P(h)] \leq P,
\]

where \( P(h) \) is the power allocated for the channel state \( h = (h_m, h_e) \) and the expectation is over the channel gains.

The source wishes to send a message \( W \in \mathbb{W} = \{1,2,\cdots,M\} \) to the destination. In the following, our delay constraint is imposed by breaking our message into packets of equal sizes, where each one is encoded independently, transmitted in only one coherence block, and decoded by the main receiver at the end of this block. Accordingly, the total number of channel uses is partitioned into \( b \) super-blocks. Each super-block is divided into \( n_1 \) symbols, where \( n = b \cdot n_1 \) and \( n_1 \) denotes the length of coherence intervals. We will further represent a fading block with tuple \((m,l)\) such that \( m \in \{1,2,\cdots,b\} \) and \( l \in \{1,2,\cdots,a\} \).

We consider the problem of constructing \((M_1,n_1)\) codes (\( M = b \cdot M_1 \)) to transmit the message of the block \((m,l)\), \( W(m,l) \in \mathbb{W}_1 = \{1,2,\ldots,M_1\} \) to the receiver. Here, an \((M_1,n_1)\) code consists of the following elements: 1) a stochastic encoder \( f_n(.) \) at the source that maps the message \( w(m,l) \) to a codeword \( x^{n_1}(m,l) \in X^{n_1} \), and 2) a decoding function \( \phi : \mathcal{Y}^{n_1} \rightarrow \mathcal{W}_1 \) at the legitimate receiver, where \( n^* = (m-1)n_1 + n_1 \) denotes the total number received signal dimension at the receiver at the end of the block \((m,l)\). The average error probability of an \((M_1,n_1)\) code is defined as

\[
P_{e,n_1} = \frac{1}{M_1} \sum_{w \in \mathbb{W}_1} \Pr(\phi(y^{n^*}) \neq w | w \text{ was sent}),
\]

where \( y^{n^*} \) represents the total received signals at the legitimate receiver at the end of the block \((m,l)\). The equivocation rate \( R_e \) at the eavesdropper is defined as the entropy rate of the transmitted message conditioned on the available CSI and the channel outputs at the eavesdropper, i.e.,

\[
R_e \triangleq \frac{1}{n} H(W|Z^n, h_m^n, h_e^n),
\]

where \( h_m^n = \{h_m(1), \cdots, h_m(n)\} \) and \( h_e^n = \{h_e(1), \cdots, h_e(n)\} \) denote the channel power gains of the legitimate receiver and the eavesdropper in \( n \) symbol intervals, respectively. We consider only the perfect secrecy (in the sense of\cite{1}) which requires the equivocation rate \( R_e \) to be \( \epsilon \) close to the message rate. The delay limited perfect secrecy rate \( R_{s,d} \) is said to be achievable if for any \( \epsilon > 0 \), there exists a sequence of codes \( (2^{n_1 R_{s,d}}, n_1) \) such that for any \( n_1 \geq n_1(\epsilon) \), we have

\[
P_{e,n_1} \leq \epsilon,
\]

\[
R_e \geq R_{s,d} - \epsilon
\]

for any fading block \((m,l)\).

Finally, we give some notational remarks. We denote the delay limited secrecy rate and capacity as \( R_{s,d}^{(F)} \) and \( C_{s,d}^{(F)} \) for the full CSI case (both \( g_m \) and \( g_e \) are known \textit{a-priori} at the transmitter). We respectively use the notation \( R_{s,d}^{(M)} \) and \( C_{s,d}^{(M)} \) for the main CSI case (only \( g_m \) is known \textit{a-priori} at the transmitter). We denote \([x]^+ = \max\{x,0\}\). And, we remark that the expectations are with respect to channel gains throughout the sequel.

III. MAIN RESULTS

A. Full CSI Scenario

First, we give a simple upper bound on the delay limited secrecy capacity that will be used later to establish the optimality of the proposed approach in the high SNR regime.

\textit{Theorem 1}: The delay-limited secrecy capacity when both \( g_m \) and \( g_e \) are available at the transmitter, \( C_{s,d}^{(F)} \), is upper
bounded by

\[ C_{s,d}^{(F)} \leq \max_{P(h), q(h)} \min_{s,d} \{ R_s^{(F)}, R_d^{(F)} \}, \tag{5} \]

where \( R_s^{(F)} \) and \( R_d^{(F)} \) are given as follows.

\[
R_s^{(F)} = \mathbb{E}[\log(1 + P(h)h_m) - \log(1 + P(h)h_e)]^+, \\
R_d^{(F)} = \min_h \log(1 + P(h)h_m)
\]

Proof: For a given power allocation scheme \( P(h) \), we have

\[ R_{s,d}^{(F)} \leq R_s^{(F)}, \tag{6} \]

for any achievable delay limited secrecy rate \( R_{s,d}^{(F)} \), since imposing delay constraint can only degrade the performance. We also have, for a given \( P(h) \),

\[ R_s^{(F)} \leq R_d^{(F)}, \tag{7} \]

since imposing secrecy constraint cannot increase the achievable rate. Then, combining (6) and (7), and maximizing over \( P(h) \), we obtain

\[ R_{s,d}^{(F)} \leq \max_{P(h)} \min_{s,d} \{ R_s^{(F)}, R_d^{(F)} \}, \tag{8} \]

for any achievable delay-limited secrecy rate \( R_{s,d}^{(F)} \), which proves our result.

The following result establishes a lower bound on the delay limited secrecy capacity using our novel two-stage approach. The key idea is to share a private key between Alice and Bob, without being constrained by the delay limitation. Then, this key is used to secure the delay sensitive data to overcome the secrecy outage phenomenon. In the steady state, the key renewal process takes place by superimposing the key on the delay sensitive traffic. More precisely, as outlined in the proof, the delay sensitive traffic (secured by the previous key) serves as a randomization signal in the binning scheme used to secure the current key. Finally, since \( h_e \) is known a-priori at the transmitter, one can further increase the delay limited secrecy rate by dedicating a portion of the secure rate to the delay sensitive traffic (controlled by the function \( q(h) \) in the following theorem).

**Theorem 2:** The delay-limited secrecy capacity in the full CSI scenario is lower bounded as follows.

\[ C_{s,d}^{(F)} \geq R_{s,d}^{(F)} = \max_{P(h), q(h)} \min_{h} \{ R_s^{(F)}(h) + R_o(h) \}, \tag{9} \]

where

\[
R_s^{(F)}(h) = R_s(h) - R_o(h), \\
R_s(h) = [\log(1 + P(h)h_m) - \log(1 + P(h)h_e)]^+, \\
R_o(h) = [\log(1 + P(h)h_m) - \log(1 + P(h)g(h))]^+,
\]

such that \( q(h) \) is an arbitrary chosen function satisfying \( q(h) \geq h_e \ \forall \ h_e \) and \( R_o \) is chosen to satisfy the followings.

\[
\mathbb{E}[R_o(h)] \leq \mathbb{E}[R_s^{(F)}(h)] \\
R_o(h) \leq \min_{h} \{ \log(1 + P(h)h_m), \log(1 + P(h)h_e) \} \tag{10}
\]

Sketch of the Proof: In our scheme, we require Alice to transmit a delay constrained data message and a key to Bob. The key is used to encrypt data and thus should be secured from Eve. A given message \( w \in \{1, 2, \ldots, 2^{(mR_o(h))} \} \) is transmitted by sending \( b \) data packets of equal length, each represented by \( D(m,l) \), where each packet is encoded independently and sent with rate \( R_{s,d}^{(F)} \) during the corresponding block of the channel. We further divide a packet to be transmitted at block \((m,l)\) into two parts \( D_1(m,l) \) and \( D_2(m,l) \). The first part of data packet is transmitted along with the generated key using the one-time pad scheme, whereas the second part is transmitted as a secret message. We use a separation strategy similar to \cite{9} by sending public and private messages simultaneously. But, in contrast to \cite{9}, we here have the fading channel as the resource from Alice to Bob and Eve and exploit it to secure the key, and hence, the message. We now describe the initial key generation and key renewal. For the very first \( a \) blocks (the super-block \( m = 1 \)), we transmit the key, \( K(1) \), from Alice to Bob securely. Utilizing the ergodicity of the channel, we can transmit a key of length \( a n_1 \mathbb{E}[R_s^{(F)}(h)] \) bits \cite{2}. Then, for any super-block \( m \), we will use the key \( K(m - 1) \) for the one time pad, and also generate a new key \( K(m) \) for the use in the next super-block. For any given block \((m,l)\), we use the \( n_2 \) \( R_o(h) \) remaining bits of the key \( K(m - 1) \) and denote the corresponding bits as \( K(m,l) \). These bits are used in a one-time pad scheme to construct \( D_2(m,l) = D_1(m,l) \oplus K(m,l) \). The encrypted bits are then mapped to a message \( w_1(m,l) \in \{1, 2, \ldots, 2^{(n_1R_s^{(F)}(h))}\} \) which carries the corresponding data \( D_2(m,l) \) and the key message \( w_k(m,l) \in \{1, 2, \ldots, 2^{(n_1R_s^{(F)}(h))}\} \). These latter messages will allow us to generate the key \( K(m) \) of the super block \( m \).

Since \( b \to \infty, a \to \infty, n_1 \to \infty \), it can be easily shown that the rates \( R_o(h), R_s^{(F)}(h), \) and \( R_d^{(F)}(h) \) are achievable within a given block. Furthermore, the average key rate, \( \mathbb{E}[R_s^{(F)}(h)] \), is achievable within any super-block (see, e.g., \cite{2}).

We finally argue that the equivocation rate at the eavesdropper can be made arbitrarily close to the message rate with the proposed scheme. Here, we consider equivocation computation per block, which will imply the equivocation computation for the overall message. For a given block \((m,l)\), the security of \( w_1(m,l) \) follows from the one-time pad encryption (as the key is secured from the eavesdropper \cite{7}) and the security of \( w_2(m,l) \) follows from the wire-tap channel result along with the secure rate choice \( R_s^{(F)}(h) \) and \( R_o(h) \) \cite{1}. We note that during the first super-block \( w_1(1,l) \) is not encrypted. However, this will not affect the overall secrecy of the data as \( b \to \infty \). Hence, the equivocation rate can be made close to the message rate as \( b \to \infty, a \to \infty \), and \( n_1 \to \infty \).

The achievable rate is then minimized over \( h \) to satisfy the delay limitation and then maximized over all power control policies and functions \( q(h) \) (used to allocate rate for \( w_2 \)). This proves the desired result.
The final step in this section is to prove the asymptotic optimality of the proposed security scheme in the high SNR regime. The following result establishes this objective by showing that the upper and lower bounds of Theorems 1 and 2 match in this asymptotic scenario.

**Lemma 3:** In an asymptotic regime of high SNR, i.e., \( P \to \infty \), the delay limited secrecy capacity is given by

\[
\lim_{P \to \infty} C_{s,d}^{(P)} = \mathbb{E}_{h_m > h_e} \left[ \log \left( \frac{h_m}{h_e} \right) \right],
\]

assuming that \( \mathbb{E} \left[ \frac{1}{\min(h_e, h_m)} \right] \) is finite. Moreover, the capacity is achieved by the proposed one-time pad encryption scheme coupled with the key renewal process.

**Proof:** We only need to consider the lower bound since the right hand side of (11) is the ergodic secrecy capacity in the high SNR regime, which is by definition an upper bound on the delay limited secrecy capacity. To this end, we set \( q(h) = h_e \) resulting in \( R_s(h) = 0 \). Furthermore, we let \( P(h) = \frac{1}{\min(h_e, h_m)} \), where \( c \) is a constant, which is chosen according to the average power constraint. The achievable rate expression in the high SNR regime is then given by

\[
\lim_{P \to \infty} R_s(h) = \lim_{P \to \infty} \min_{h} R_s(h),
\]

(12)

where \( R_s(h) \) is chosen to satisfy

\[
\mathbb{E}[R_s(h)] \leq \mathbb{E}[\log(1 + P(h) h_m) - \log(1 + P(h) h_e)]^+
\]

\[
R_s(h) \leq \log(1 + c)
\]

As \( P \to \infty \), it is easy to see that \( c \to \infty \) since \( \mathbb{E} \left[ \frac{1}{\min(h_e, h_m)} \right] \) is finite, implying that the second constraint in (13) is loose. Also, it is easy to see that the first constraint converges to the right hand side of the lemma. Then, by choosing \( R_s(h) = \mathbb{E}_{h_m > h_e} \left[ \log \left( \frac{h_m}{h_e} \right) \right] \), both constraints of (13) are satisfied and our result is proved.

The above claim is validated numerically in Fig. 2, where Chi-square distribution of degree \( n = 4 \) is used for the statistics of channel gains of the legitimate receiver and the eavesdropper (the gains are assumed to be independent). In our simulation, we set \( q(h) = h_e \) (hence \( R_s = 0 \)) and use channel inversion power control policy for the achievable rate. Remarkably, even with the suboptimal choice of \( q(h) \) and \( P(h) \), lower and upper bounds coincides at the high SNR regime.

**B. Only Main Channel CSI Scenario**

In this section we assume that only the legitimate receiver CSI is available at the transmitter. First, we have the following upper bound.

**Theorem 4:** The delay-limited secrecy capacity when only the legitimate receiver channel state is available at the transmitter, \( C_{s,d}^{(M)} \), is upper bounded by

\[
C_{s,d}^{(M)} \leq \max_{P(h_m)} \min \left\{ R_s^{(M)}, R_d^{(M)} \right\},
\]

(14)

where \( R_s^{(M)} \) and \( R_d^{(M)} \) are given as follows.

\[
R_s^{(M)} = \mathbb{E} \left[ \log(1 + P(h_m) h_m) - \log(1 + P(h_m) h_e) \right]^+
\]

\[
R_d^{(M)} = \min_{h_m} \log(1 + P(h_m) h_m)
\]

**Proof:** The proof follows the same argument as that of Theorem 1 with the power control policy \( P(h_m) \).

The achievability scheme in this scenario is different from the previous scenario in two key aspects: 1) the lack of knowledge about \( h_e \) forces us to secure the whole delay sensitive traffic with the one time pad approach (i.e., setting the rate of \( w_2 \) to zero) to overcome the secrecy outage phenomenon and 2) the binning scheme of the key renewal process must now operate on the level of the super-block to average-out the fluctuations in \( h_e \). On the other hand, the delay sensitive packet must be decoded after each block which makes it more challenging to use it as a randomization for hiding the key. The achievable rate reported in the following result is obtained by superimposing the binning scheme used in [2], to achieve the ergodic secrecy rate for the key, on the delay limited traffic (secured by the key bits sent in the previous super-blocks).

**Theorem 5:** The delay-limited secrecy capacity in the only main CSI scenario is lower bounded as follows.

\[
C_{s,d}^{(M)} \geq R_{s,d}^{(M)} = \max_{P(h_m)} \min \left\{ R_s^{(M)}, R_d^{(M)} \right\},
\]

(15)

where \( R_s \) and \( R_d^{(M)} \) are given as follows.

\[
R_s = \mathbb{E} \left[ \log(1 + P(h_m) h_m) - \log(1 + P(h_m) h_e) \right]^+
\]

\[
R_d^{(M)} = \min_{h_m} \log(1 + P(h_m) h_m)
\]

**Sketch of the Proof:** First, fix a power control policy \( P(h_m) \). We then divide the channel uses into super-blocks and further divide each super-block into blocks as done in the proof of Theorem 2. In this scenario, we utilize the achievable secure rate within a block only for the key generation. That is,
data is transmitted using only the one-time pad encryption in contrast to the scheme used in Theorem 2. More specifically, the key is decoded at the end of each super-block whereas the data packets are still decoded block by block using the key sent in the previous super-block.

A given message $w \in \{1, 2, \ldots, 2^{|R_s^{(M)}|}\}$ is divided into $b$ data packets, each represented by $D(m,l)$, where each packet is sent with rate $R_s^{(M)}$ during the corresponding block of the channel. The data packet $D(m,l)$ is transmitted along with the generated key using the one-time pad scheme. Initial key generation and key renewal is similar to the scheme in Theorem 2. For any super-block $m$, we use the key $K(m-1)$ for the one-time pad, and also generate a new key $K(m)$ for the use in the next super-block.

For any given block $(m,l)$, we use the $n_1 R_s^{(M)}$ remaining bits from the key $K(m-1)$ and denote corresponding bits as $\tilde{K}(m,l)$, where we set $K(0) = \emptyset$. These bits are used in a one-time pad scheme to construct $D_s(m,l) = D(m,l) \oplus \tilde{K}(m,l)$. The encrypted bits are then mapped to a message $w(m,l) \in \{1, 2, \ldots, 2^{n_1 R_s^{(M)}}\}$. At this point, we choose the rate of this message to satisfy $R_s^{(M)} \leq R_d^{(M)}$ to allow a fixed rate transmission for every fading state, i.e., to satisfy the delay limitation. For the key renewal process, the binning scheme is constructed as in the achievable scheme used in [2]. The output bits are then grouped in blocks with rates given by $\log(1 + P(h_m)h_{m,l}) - R_s^{(M)}$. We then choose those bits with the $R_s^{(M)}$ reserved for the encrypted data packet and encode them using a capacity achieving codebook (for the main channel). Each codeword is decoded at the end of the block releasing the delay sensitive packet. In order to decode the key bits, on the other hand, one must wait till the end of the binning codeword (i.e., a super-block). Following the argument given in [2], one can see that the following key rate can be achieved with perfect secrecy (as $b \to \infty$, $a \to \infty$, and $n_1 \to \infty$).

$$R_{s} = E[\log (1 + P(h_m)h_{m,l}) - R_s^{(M)} - \log(1 + P(h_m)h_{s,d})].$$

Therefore, if $R_s^{(M)}$ is chosen as in the theorem, there will be enough key bits to encrypt the message of the following block. Similar to Theorem 2 the un-encrypted messages during the very first block becomes negligible as $b \to \infty$, and the secrecy requirement can be satisfied. The achievable rate is then maximized over all power control policies satisfying the average power constraint to obtain the desired result.

Interestingly, one can easily verify that for a wide class of invertible channels (i.e., $E\left(\frac{1}{h_{m,l}}\right)$ is finite), the rate $R_s^{(M)}$ is non-zero. Numerical results are provided in Fig. 3, where Chi-square distribution of degree $n_1 = 4$ is used for the channel gains. Here, channel inversion power control policy is used for both the upper and lower bounds. The non-zero delay limited rate is evident in the figure.

**IV. CONCLUSION**

We have studied the delay-limited secrecy capacity of the slow-fading channel under different assumptions on the CSI at the transmitter. Our achievability arguments are based on a novel two-stage scheme that allows for overcoming the secrecy outage phenomenon for a wide class of channels. The scheme is based on sharing a delay tolerant private key, using random binning, and then using the key to encrypt the delay sensitive packets in a one-time pad format. For the full CSI case, our scheme is further shown to be asymptotically optimal, i.e., high SNR regime, for many relevant channel distributions. When only the main channel CSI is available, the two-stage scheme achieves a non-zero secure rate, under a strict delay constraint, for invertible channels. Finally, one can easily identify avenues for future works; three of them are: 1) obtaining sharp capacity results for finite values of SNR, 2) characterizing the optimal power control policies, and 3) extending the framework to bursty traffic by allowing for buffer delays.

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