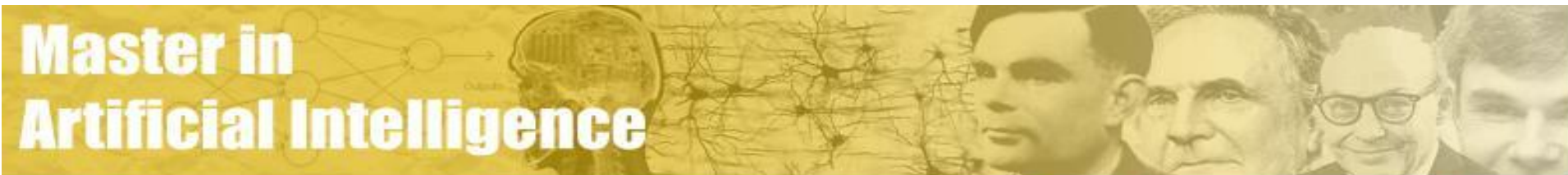


Statistical Models of Shape and Appearance for Face Matching

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Content

- Overview
- Statistical Shape Models
- Active Shape Models
- Statistical Appearance Models
- Active Appearance Models
- Comparison : ASM vs AAM
- Conclusion

OVERVIEW

Computer Vision

- Goal
 - Image understanding
- Challenge
 - Deformability of objects
- Statistic model-based approach
 - Shape model
 - Appearance model
 - Model matching
 - Image interpretation

Deformable Models

- Capable of generating any plausible example of the class they represent
- Only capable of generating legal examples

STATISTICAL SHAPE MODELS

Shapes

- The shape of an object is represented by a set of n points (**landmark points**) in any dimension.
- Invariance under some transformations
 - In 2-3 dimension – translation, rotation, scaling
 - Called similarity transformation

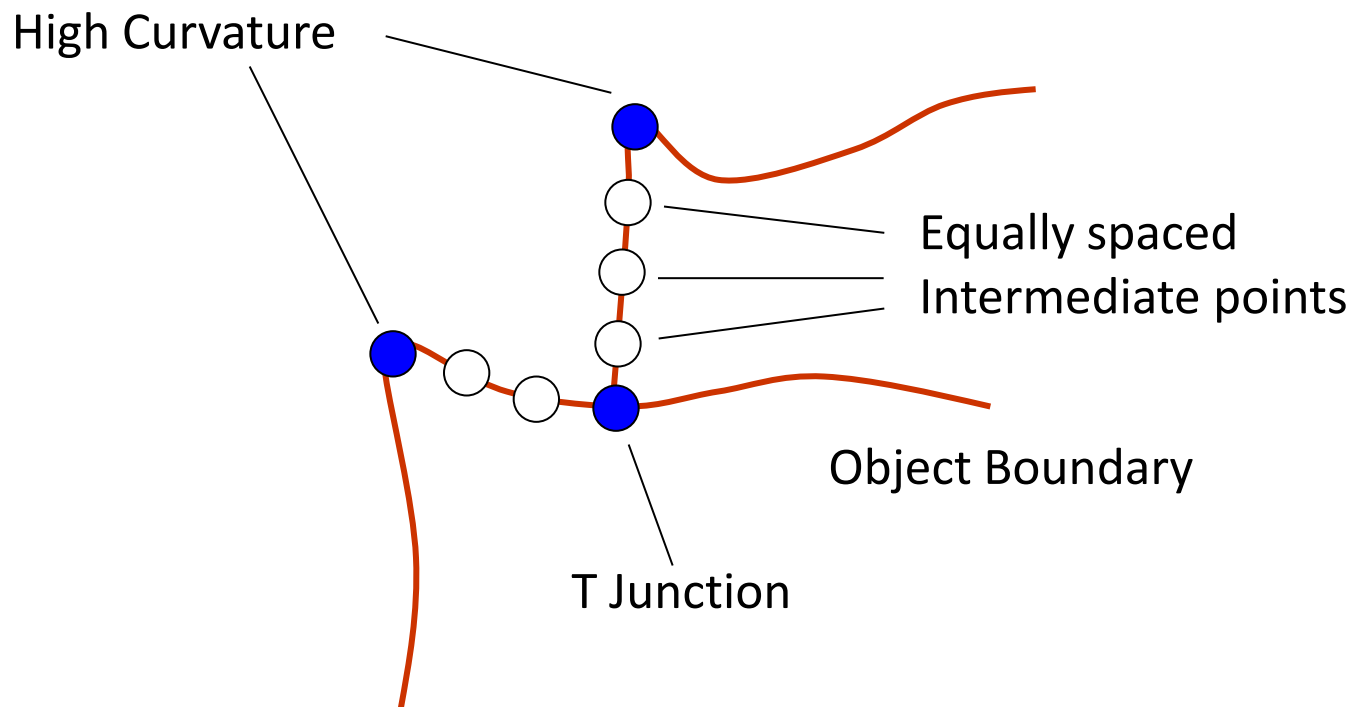


Hand-Annotated Training Set

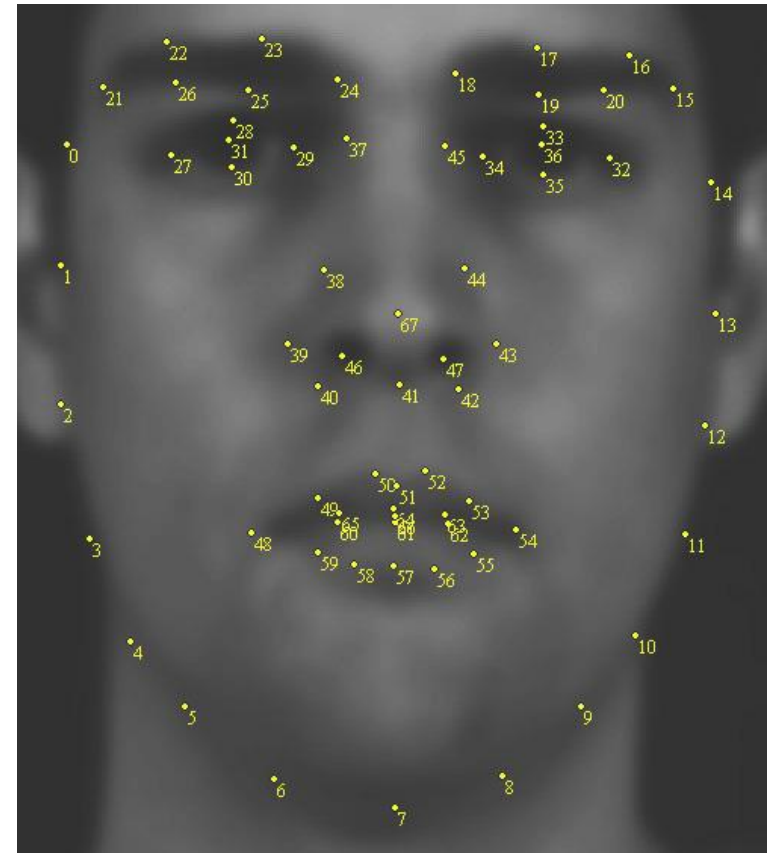
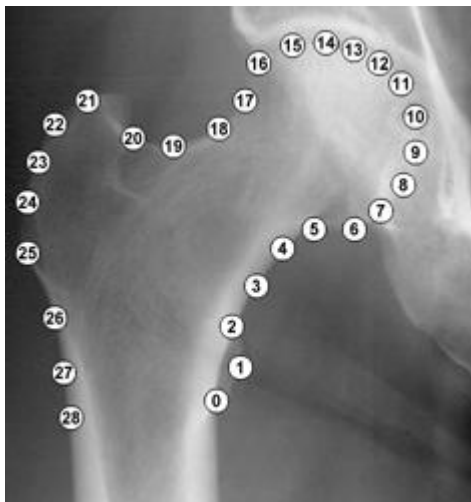
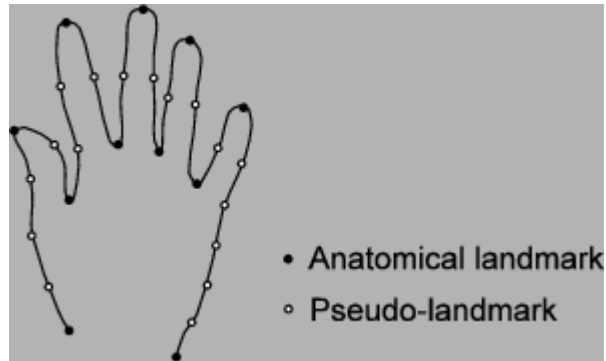
- The training set typically comes from hand annotation of a set of training images



Suitable Landmarks



Suitable Landmarks



Training Set of Shape Vectors

- A d -dim shape with n landmarks is represented by a vector with nd elements.
- In a 2D-image with n landmark points, a shape vector \mathbf{x} is

$$\mathbf{x} = (x_1, y_1, \dots, x_n, y_n)^T$$

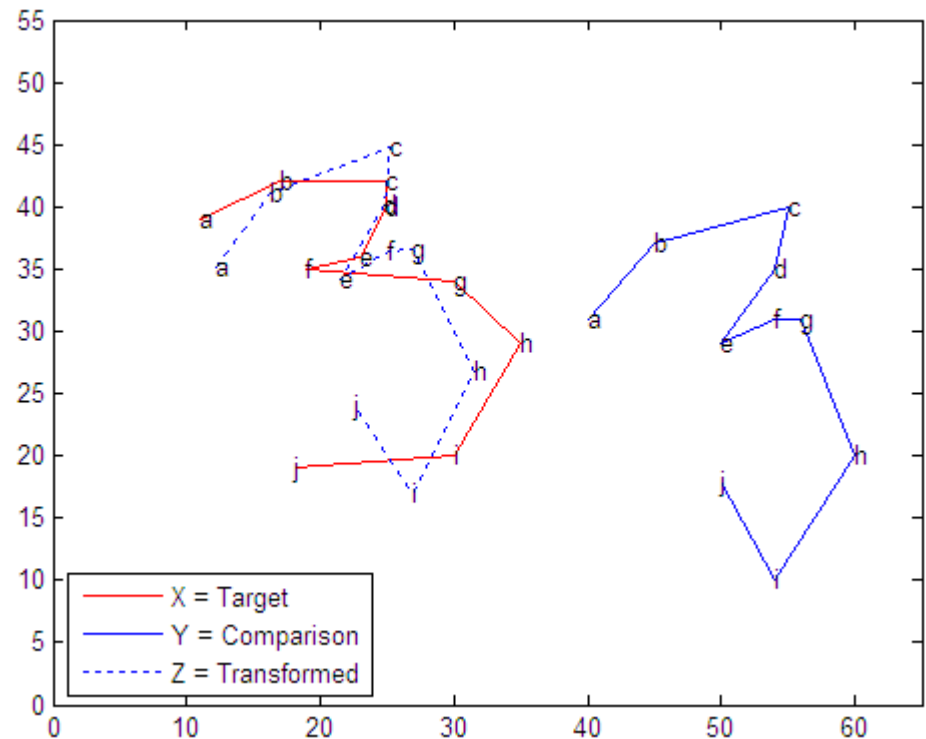
- The shape vectors in the training set should be in the same *coordinate frame*
 - Alignment of the training set is required

Aligning Shapes

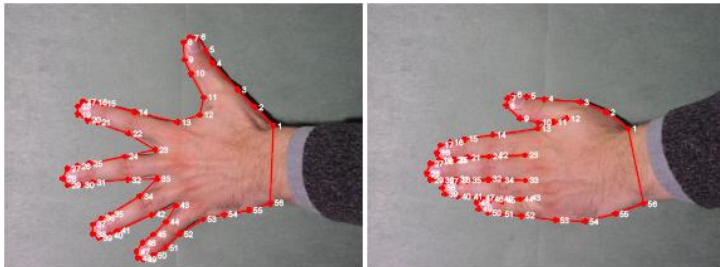
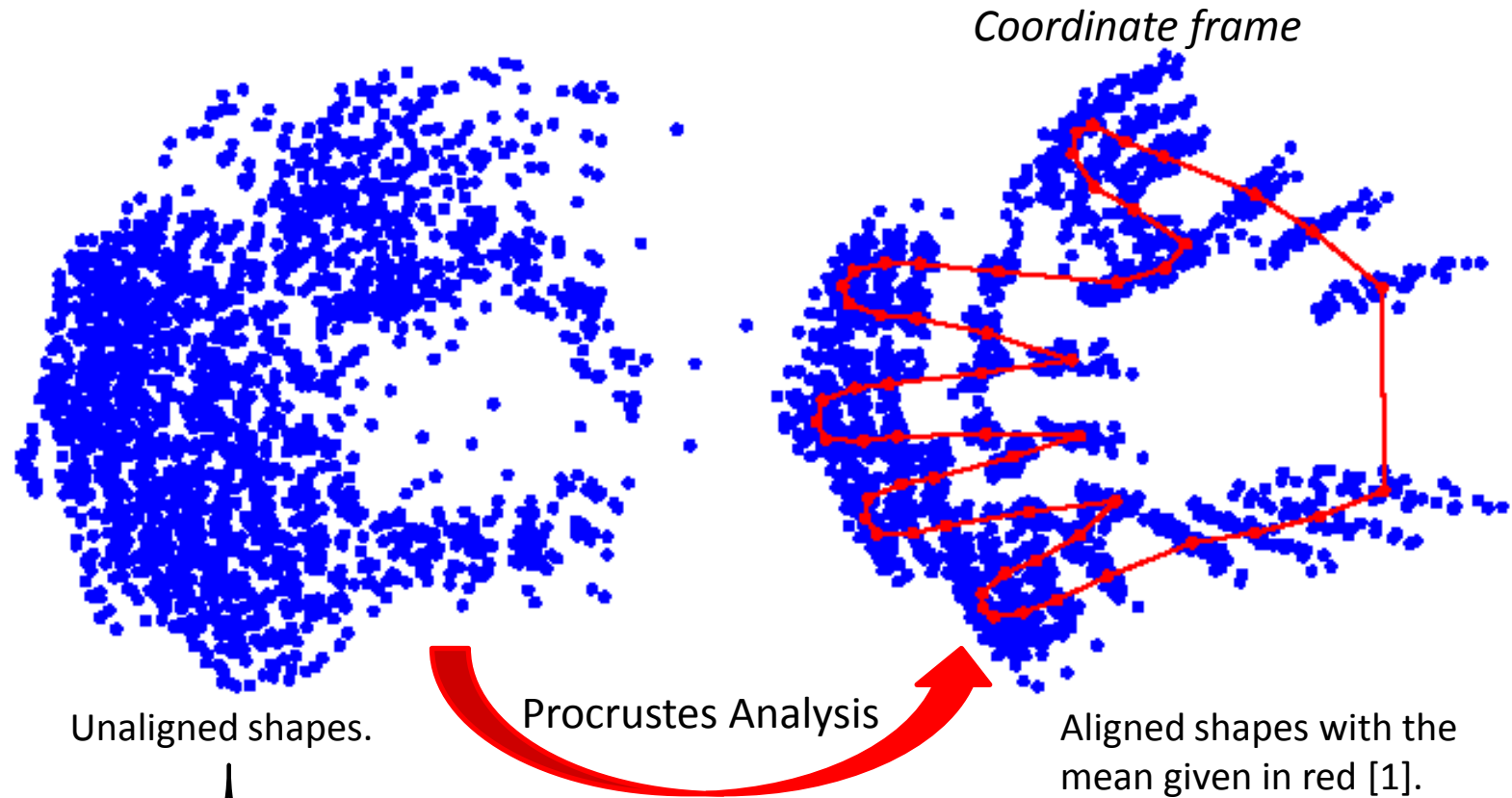
Procrustes Analysis

- Aligning Two Shapes:
- Find transformation T which minimizes

$$D = |\mathbf{x}_1 - T(\mathbf{x}_2)|^2$$



Aligning the Training Set



Generalized Procrustes Analysis

- Aligning a set of shapes
- Find the transformations T_i which minimize:

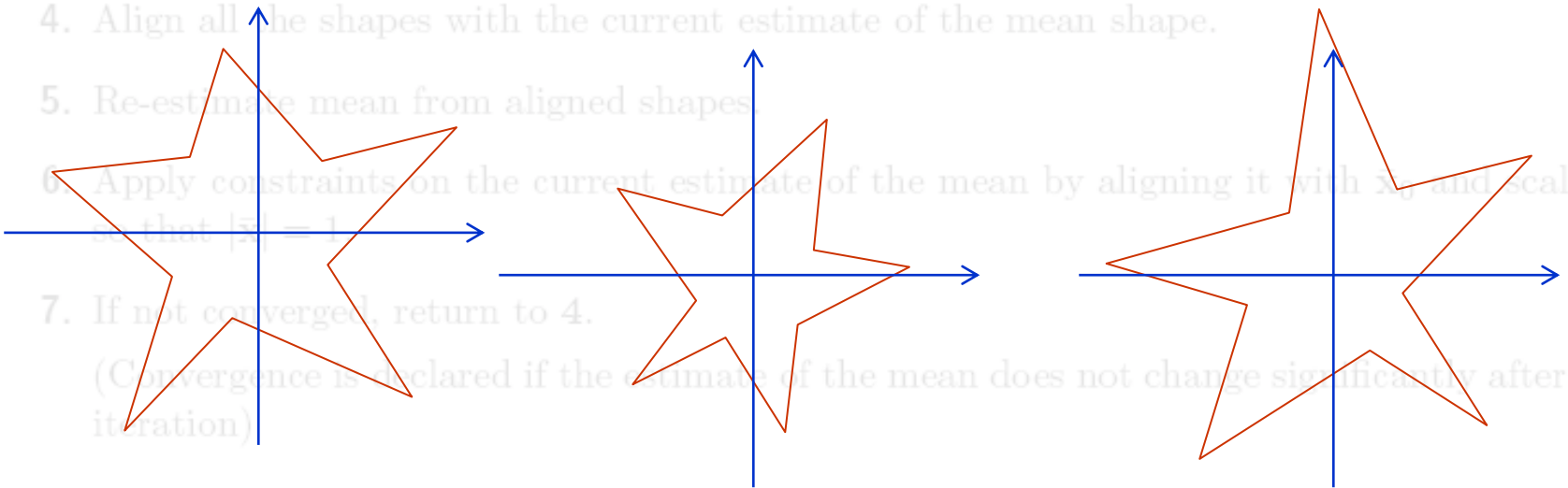
$$D = \sum |\bar{\mathbf{x}} - T_i(\mathbf{x}_i)|^2$$

Alignment: Iterative Approach

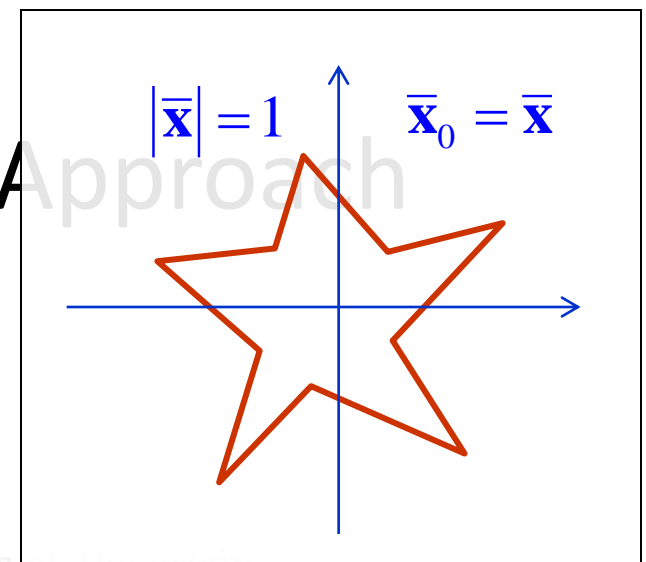
1. Translate each example so that its centre of gravity is at the origin.
2. Choose one example as an initial estimate of the mean shape and scale so that $|\bar{\mathbf{x}}| = 1$.
3. Record the first estimate as $\bar{\mathbf{x}}_0$ to define the default reference frame.
4. Align all the shapes with the current estimate of the mean shape.
5. Re-estimate mean from aligned shapes.
6. Apply constraints on the current estimate of the mean by aligning it with $\bar{\mathbf{x}}_0$ and scaling so that $|\bar{\mathbf{x}}| = 1$.
7. If not converged, return to 4.
(Convergence is declared if the estimate of the mean does not change significantly after an iteration)

Alignment : Iterative Approach

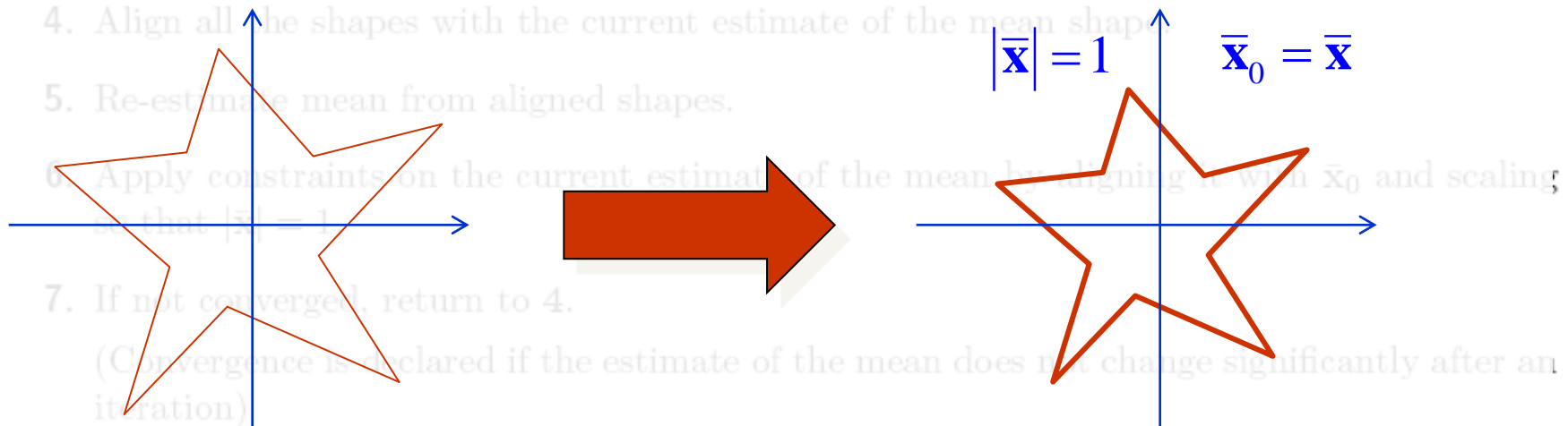
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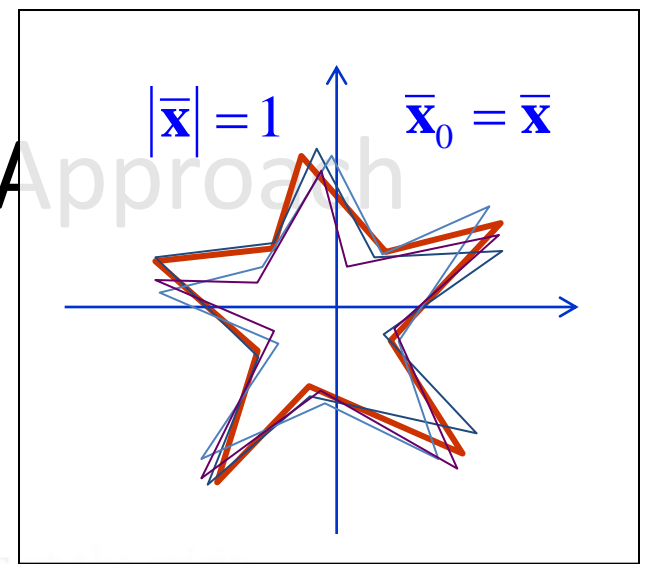
Alignment : Iterative Approach



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3. Record the first estimate as $\bar{\mathbf{x}}_0$ to define the default reference frame.

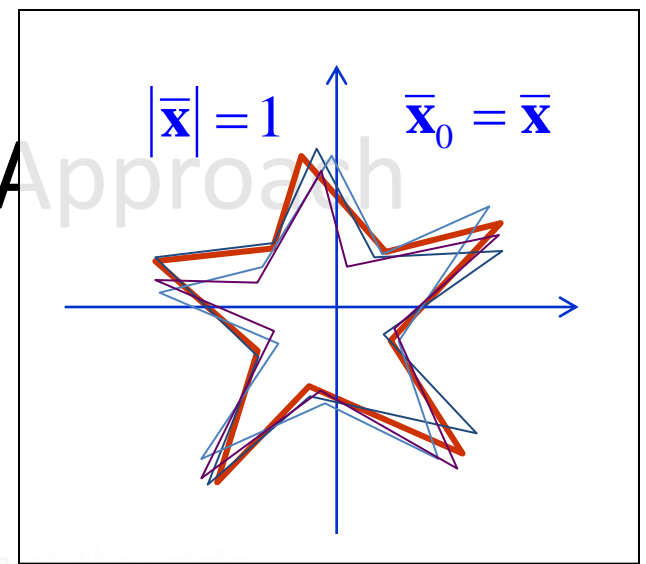


Alignment : Iterative Approach



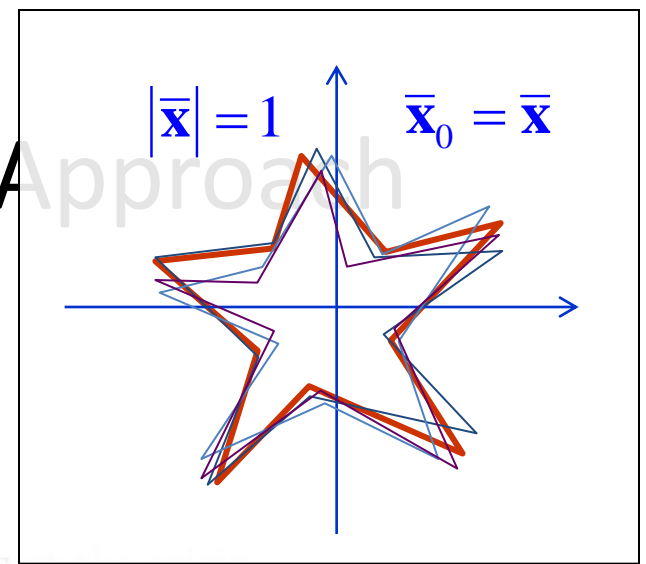
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Modeling Shape Variation

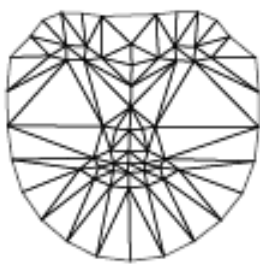
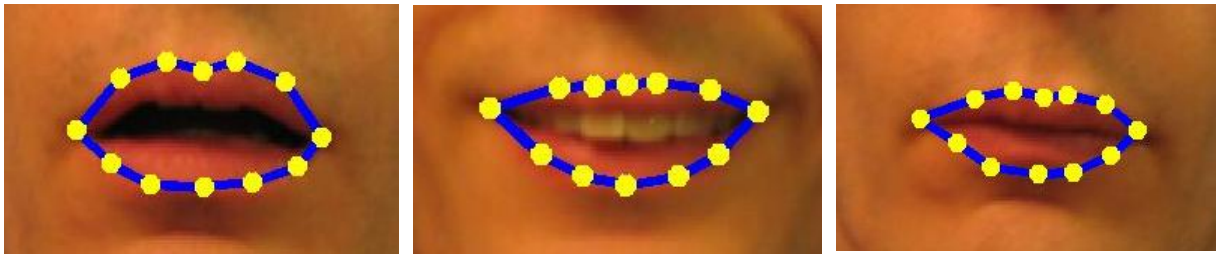
- Parametric Shape Model: **Point Distribution Model**

$$\mathbf{x} = M(\mathbf{b}) \quad \mathbf{b} : \text{parameter vector}$$

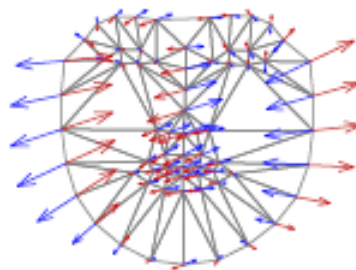
- Estimate the distribution of \mathbf{b}
 - Generating new shapes
 - Examining new shapes (plausibility)

PCA

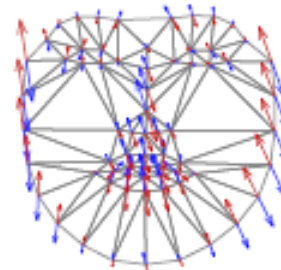
- Estimate variations with respect to the mean



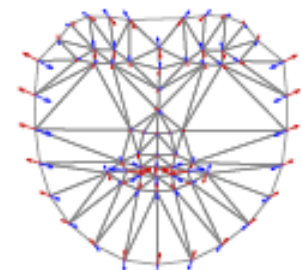
S_0



S_1

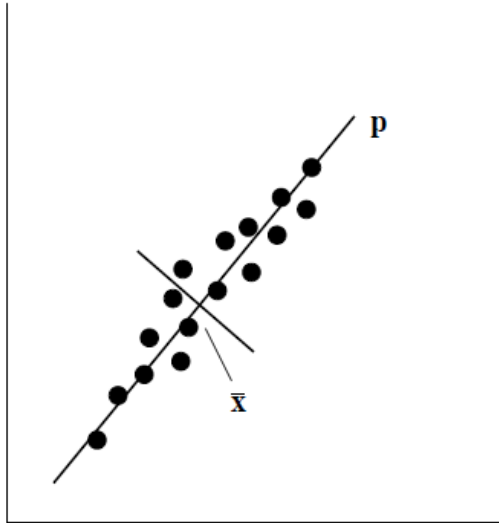


S_2

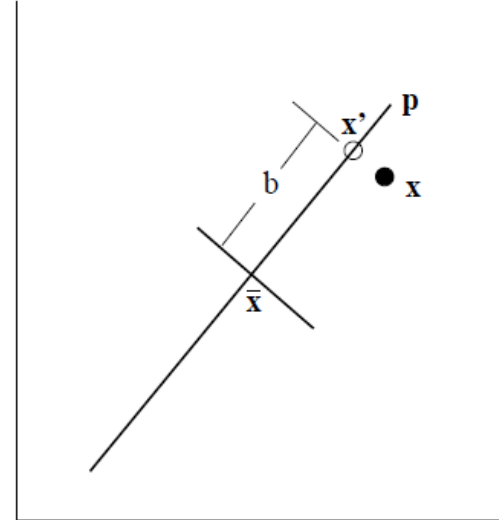


S_3

PCA



Applying a PCA to a set of 2D vectors.
 p is the principal axis.



Any point x can be approximated by the nearest point on the line, x' .

PCA

1. Compute the mean

$$\bar{\mathbf{x}} = \frac{1}{s} \sum_{i=1}^s \mathbf{x}_i$$

2. Compute the covariance matrix

$$\mathbf{S} = \frac{1}{s-1} \sum_{i=1}^s (\mathbf{x}_i - \bar{\mathbf{x}})(\mathbf{x}_i - \bar{\mathbf{x}})^T$$

3. Compute the eigenvectors, ϕ_i and corresponding eigenvalues λ_i of \mathbf{S} s.t. $\lambda_1 \geq \lambda_2 \geq \dots$

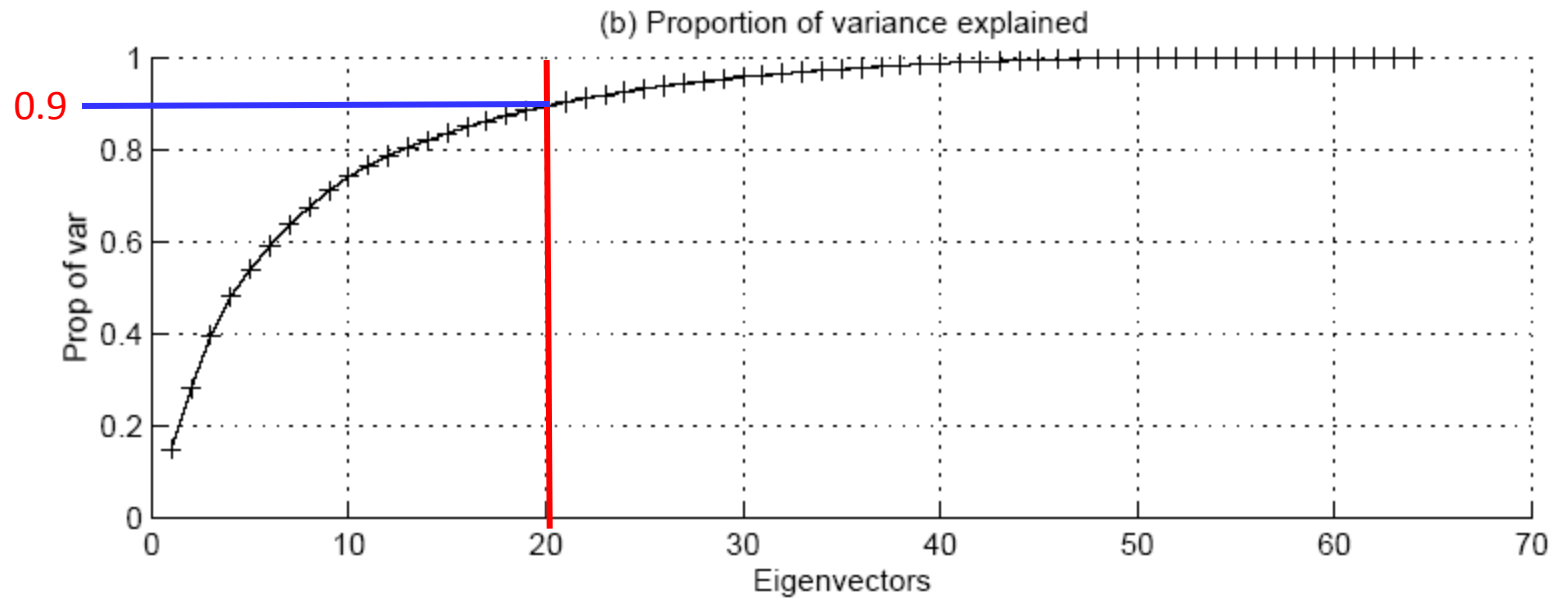
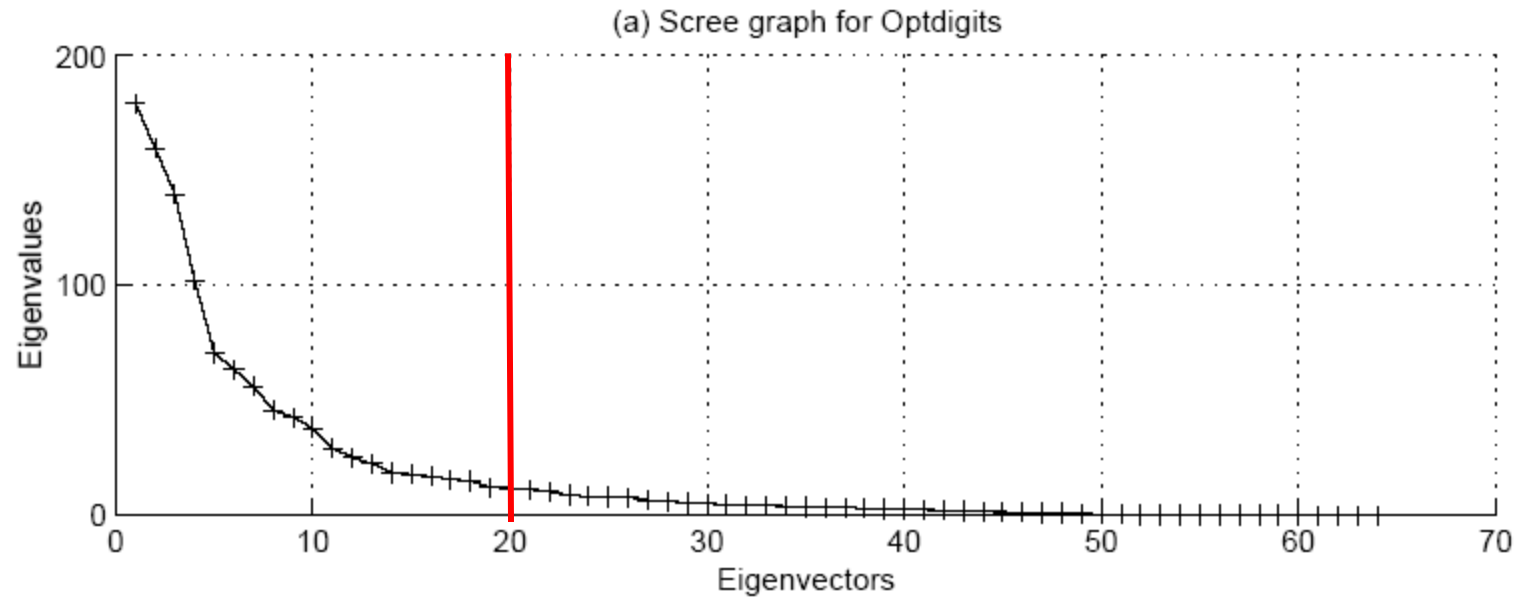
$$\Phi = [\phi_1 \mid \phi_2 \mid \dots \mid \phi_t]$$

Choice of Number of Modes ($t = ?$)

$$\Phi = [\phi_1 \mid \phi_2 \mid \cdots \mid \phi_t]$$

- Let f_v be the proportion of the total variation one wishes to explain (e.g., 98%)
- Total variance $V_T = \sum \lambda_i$ is the sum of all eigenvalues, assuming $\lambda_1 \geq \lambda_2 \geq \cdots \geq \lambda_T$
- Then, we can choose the smallest t s.t.

$$\sum_{i=1}^t \lambda_i \geq f_v$$

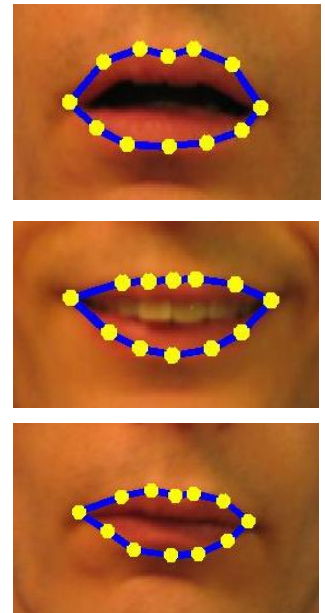


Shape Approximation

$$\Phi = [\phi_1 \mid \phi_2 \mid \cdots \mid \phi_t]$$

$$\mathbf{x} \approx \bar{\mathbf{x}} + \Phi \mathbf{b}$$

└──────────┬──────────┬──────────┐
a plausible shape mean shape parameter vector of
 deformable model



$$\mathbf{b} = \Phi^T (\mathbf{x} - \bar{\mathbf{x}})$$

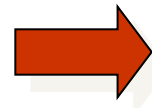
Shape Approximation

$$\Phi = [\phi_1 \mid \phi_2 \mid \cdots \mid \phi_t]$$

$$\mathbf{x} \approx \bar{\mathbf{x}} + \Phi \mathbf{b}$$

parameter vector of
deformable model

$$\mathbf{b} = \begin{bmatrix} b_1 \\ b_2 \\ \vdots \\ b_t \end{bmatrix} \text{ with } -3\sqrt{\lambda_i} \leq b_i \leq 3\sqrt{\lambda_i}$$



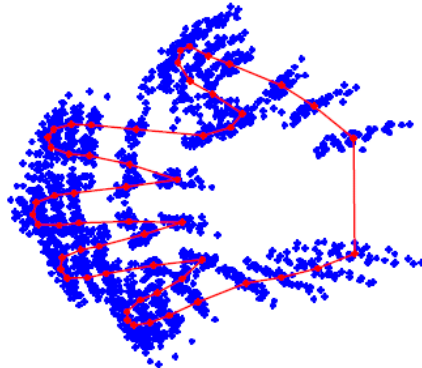
The generated shape is
similar to those in training
set (plausible).

Generating Plausible Shapes

$$\Phi = [\phi_1 \mid \phi_2 \mid \cdots \mid \phi_t]$$

$$\mathbf{x} = \bar{\mathbf{x}} + \underbrace{\Phi \mathbf{b}}$$

Variations are modeled as
linear combinations of eigenvectors



Generating Plausible Shapes

$$\Phi = [\phi_1 \mid \phi_2 \mid \cdots \mid \phi_t]$$

$$\mathbf{X} = \bar{\mathbf{X}} + \Phi \mathbf{b}$$

parameter vector of
deformable model

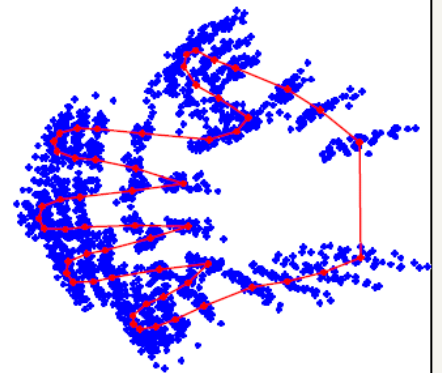
$$\mathbf{b} = \begin{bmatrix} b_1 \\ b_2 \\ \vdots \\ b_t \end{bmatrix}$$

Assumption :

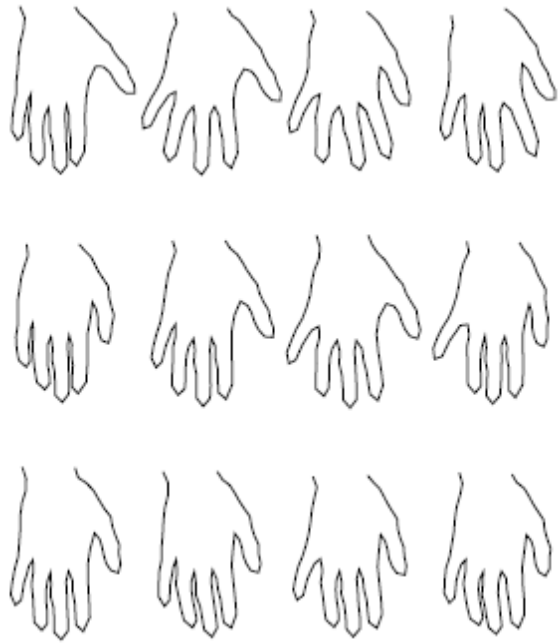
b_i 's are independent and Gaussian

Two options:

- Hard limits on independent b_i 's or
- Constrain \mathbf{b} in a hyperellipsoid



Examples of Shape Models

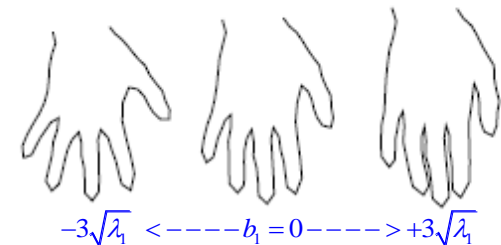


- Some members in the training set (18 hands)
- Each is represented by 72 landmark points

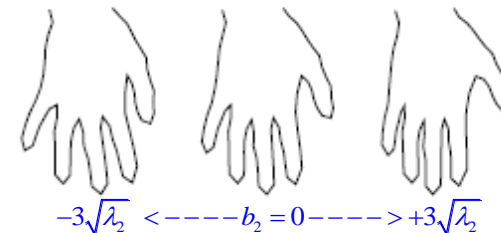
Examples of Shape Models



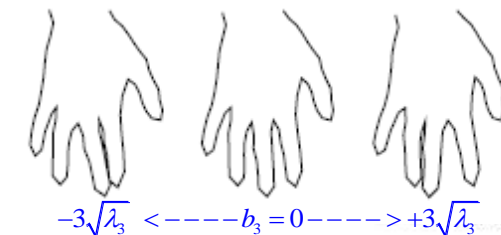
Mode 1



Mode 2



Mode 3



Examples of Shape Models



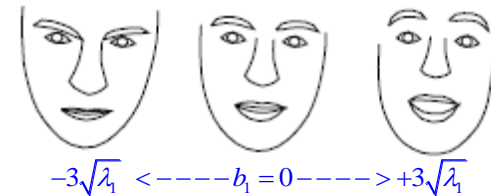
- Some members in the training set (300 faces)
- Each is represented by 133 landmark points



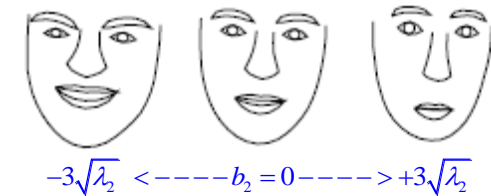
Examples of Shape Models



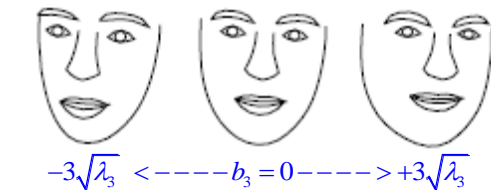
Mode 1



Mode 2



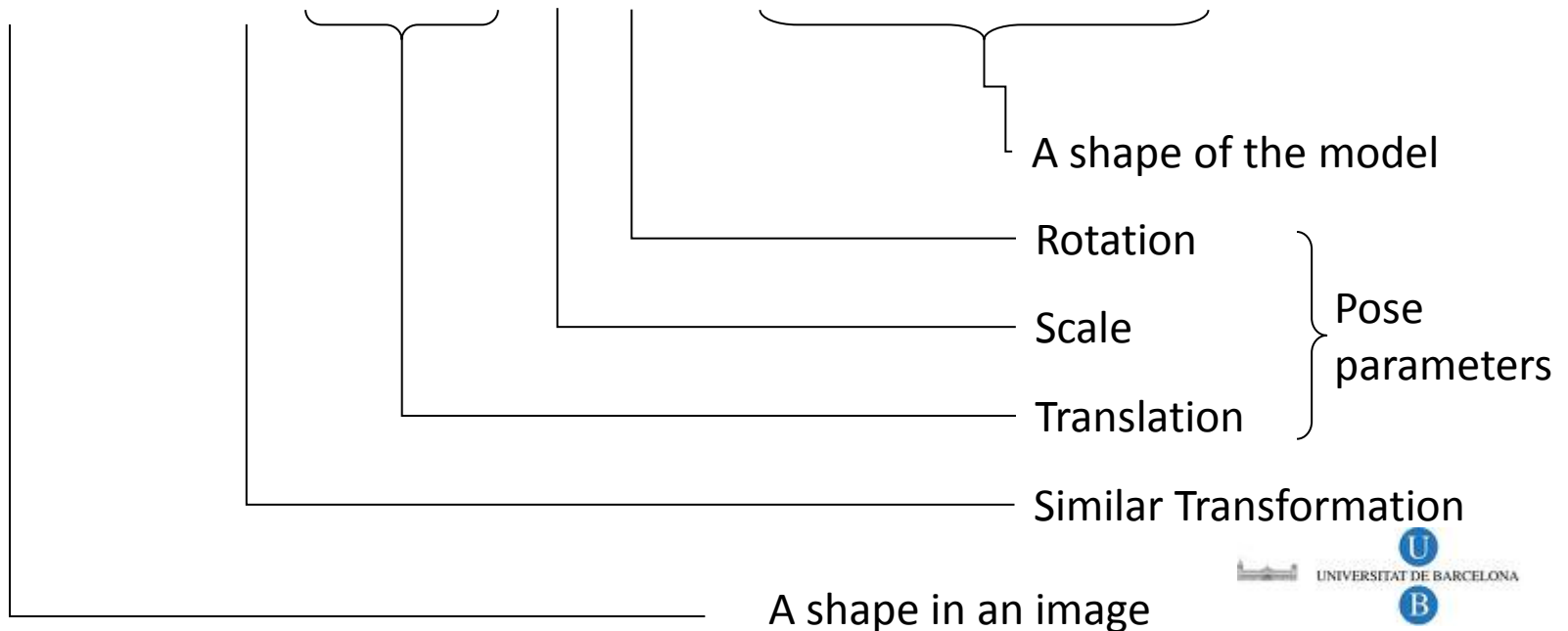
Mode 3



Similar Transformation

$$T_{X_t, Y_t, s, \theta} \begin{pmatrix} x \\ y \end{pmatrix} = \begin{pmatrix} X_t \\ Y_t \end{pmatrix} + \begin{pmatrix} s \cos \theta & s \sin \theta \\ -s \sin \theta & s \cos \theta \end{pmatrix} \begin{pmatrix} x \\ y \end{pmatrix}$$

$$\mathbf{x} = T_{X_t, Y_t, s, \theta} (\bar{\mathbf{x}} + \Phi \mathbf{b})$$



Fitting a Model to New Points in a Image

$$T_{X_t, Y_t, s, \theta} \begin{pmatrix} x \\ y \end{pmatrix} = \begin{pmatrix} X_t \\ Y_t \end{pmatrix} + \begin{pmatrix} s \cos \theta & s \sin \theta \\ -s \sin \theta & s \cos \theta \end{pmatrix} \begin{pmatrix} x \\ y \end{pmatrix}$$

$$\mathbf{x} = T_{X_t, Y_t, s, \theta} (\bar{\mathbf{x}} + \Phi \mathbf{b})$$

Given a set of new image points \mathbf{Y} , find \mathbf{b} and pose parameters so as to minimize:

$$\| Y - T_{X_t, Y_t, s, \theta} (\bar{\mathbf{x}} + \Phi \mathbf{b}) \|^2$$

Fitting a Model to New Points in a Image

$$\text{Minimize } \|Y - T_{X_t, Y_t, s, \theta}(\bar{x} + \Phi b)\|^2$$

1. Initialise the shape parameters, b , to zero
2. Generate the model instance $x = \bar{x} + \Phi b$
3. Find the pose parameters (X_t, Y_t, s, θ) which best map x to Y
4. Invert the pose parameters and use to project Y into the model co-ordinate frame:

$$y = T_{X_t, Y_t, s, \theta}^{-1}(Y)$$

5. Project y into the tangent plane to \bar{x} by scaling by $1/(y \cdot \bar{x})$.
6. Update the model parameters to match to y

$$b = \Phi^T(y - \bar{x})$$

7. Apply constraints on b
8. If not converged, return to step 2.

Fitting a Model to New Points in a Image

$$\text{Minimize } |Y - T_{X_t, Y_t, s, \theta}(\bar{x} + \Phi b)|^2$$

1. Initialize the shape parameters, b , to zero.
2. Generate the model instance $\bar{x} = x + \Phi b$
3. Find the pose parameters(X_t, Y_t, s, θ) which best map x to Y .
4. Invert the pose parameters and use to project Y into the model coordinate frame:

$$y = T_{X_t, Y_t, s, \theta}^{-1}(Y)$$

5. Scale y
6. Update the model parameters to match to y

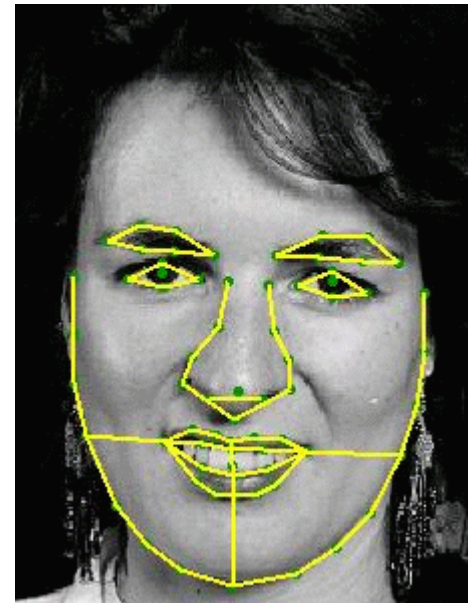
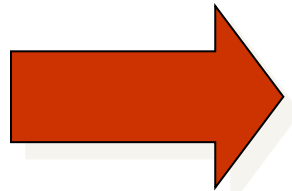
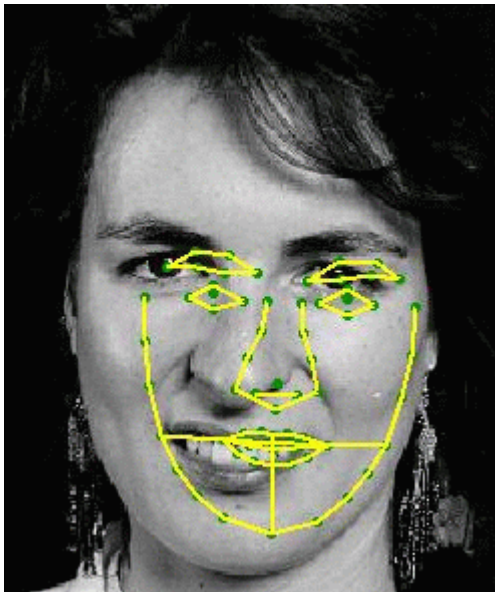
$$b = \Phi^T (y - \bar{x})$$

7. Apply constraints on b
8. If not converged, return to step 2.

ACTIVE SHAPE MODELS

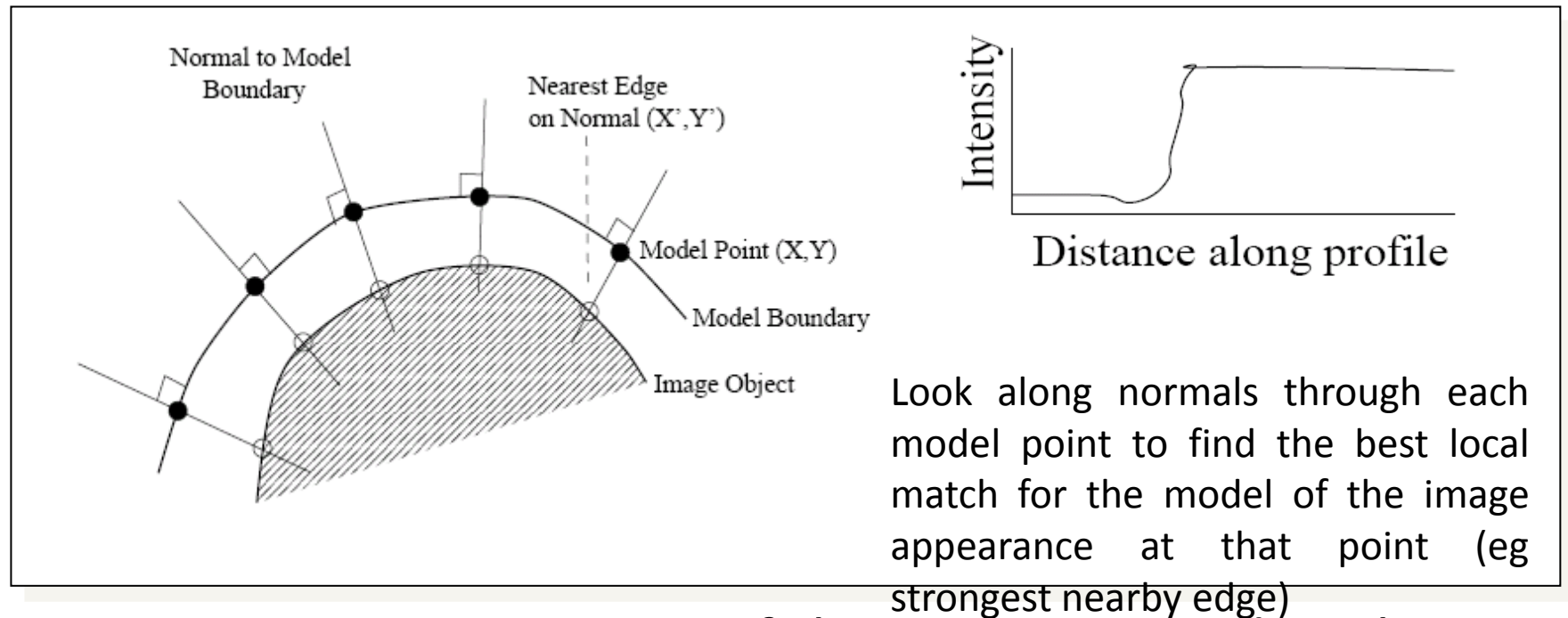
Goal

- Given a rough starting approximation,
- Fit an instance of a model to the image



Iterative Approach

- Iteratively improving the fit of the instance, \mathbf{X} , to an image proceeds as follows:
 1. Examine a region of the image around each point \mathbf{X}_i to find the best nearby match for the point \mathbf{X}_i'



1. Examine a region of the image around each point X_i to find the best nearby match for the point X_i'

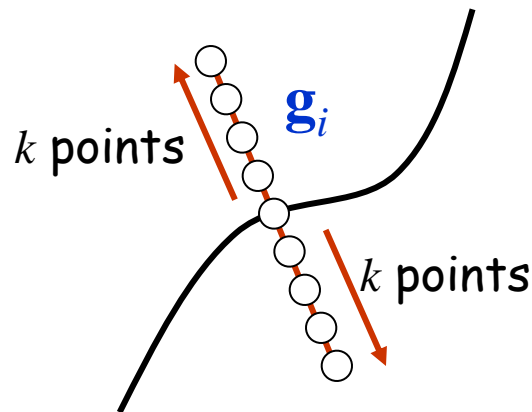
- The above method is applicable if model points are edges
- The best approach is to examine the local structures of model points (to be discussed)

Iterative Approach

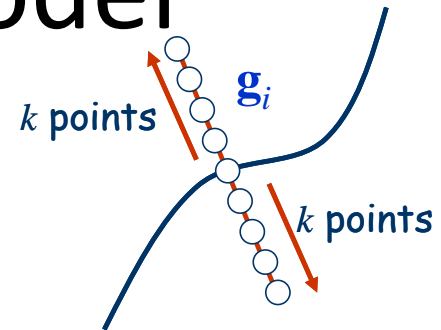
- Iteratively improving the fit of the instance, \mathbf{X} , to an image proceeds as follows:
 1. Examine a region of the image around each point \mathbf{X}_i to find the best nearby match for the point \mathbf{X}_i'
 2. Update the parameters $(X_t, Y_t, s, \theta, \mathbf{b})$ to best fit the new found points \mathbf{X}
 3. Repeat until convergence

Modeling Local Structure

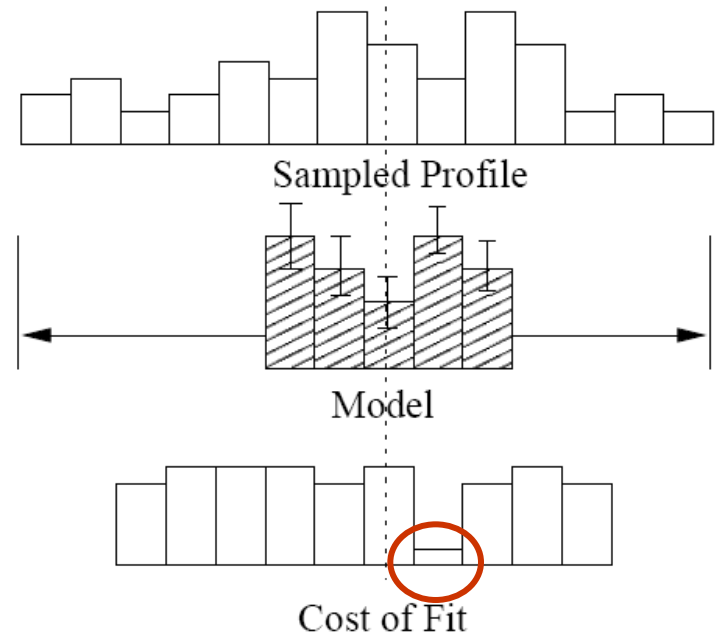
- Sample the derivative along a profile, k pixels on either side of a model point, to get a vector \mathbf{g}_i of the $2k+1$ points



Using Local Structure Model



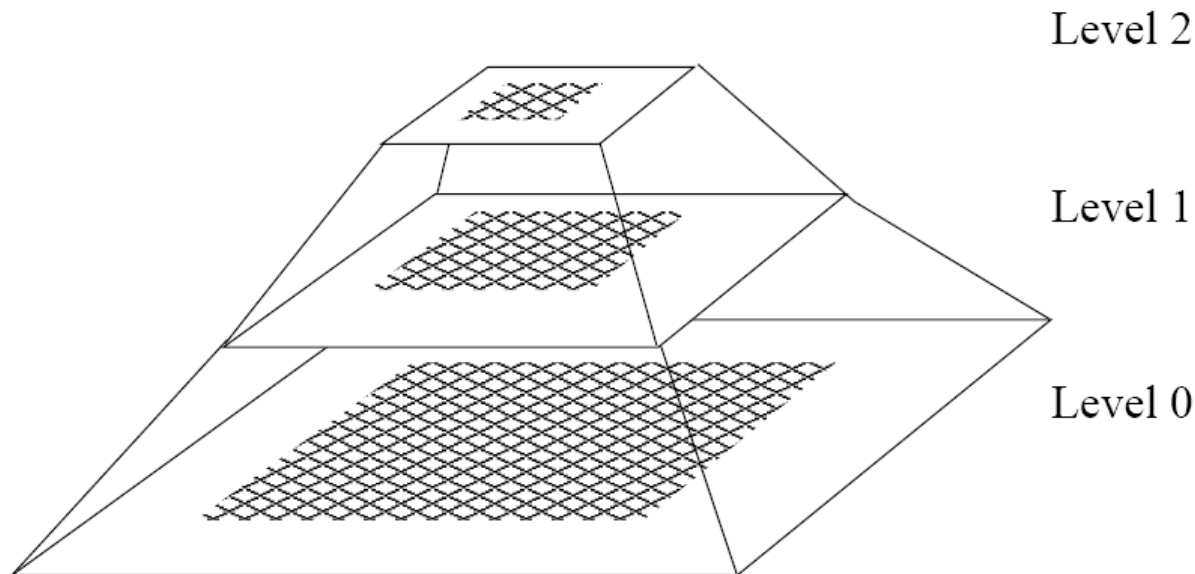
- Sample a profile m pixels either side of the current point ($m > k$)
- Test quality of fit at $2(m-k)+1$ positions
- Chose the one which gives the best match



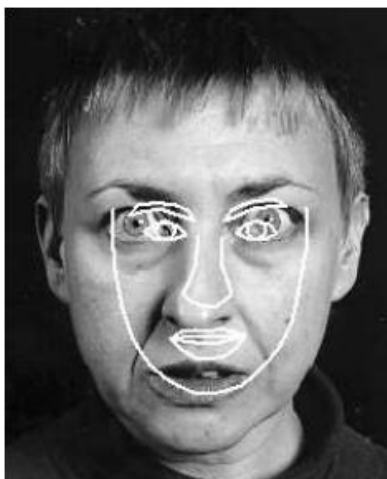
Statistical Models of Grey-Level Profiles

Performance improvement: Multi-resolution implementation
coarse-to-fine approach

- We start searching on a coarse level of a Gaussian image pyramid, and progressively refine.
- This leads to much faster, more accurate and more robust search.



Examples of Search



Initial



After 2 iterations



After 6 iterations



After 18 iterations

Examples of Search



Initial



After 2 iterations



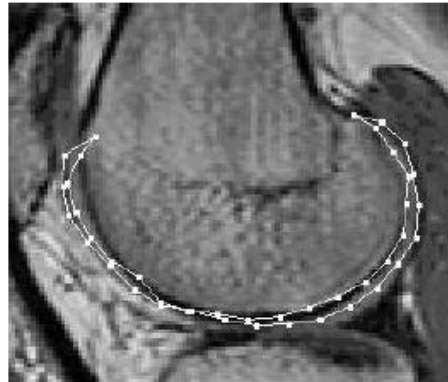
After 20 Iterations

Poor Starting Point

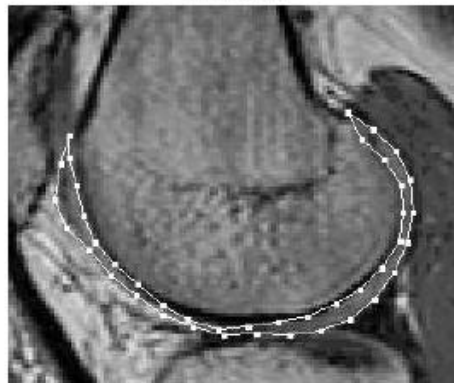
Examples of Search



Initial



After 1 iteration



After 6 iterations



After 14 iterations

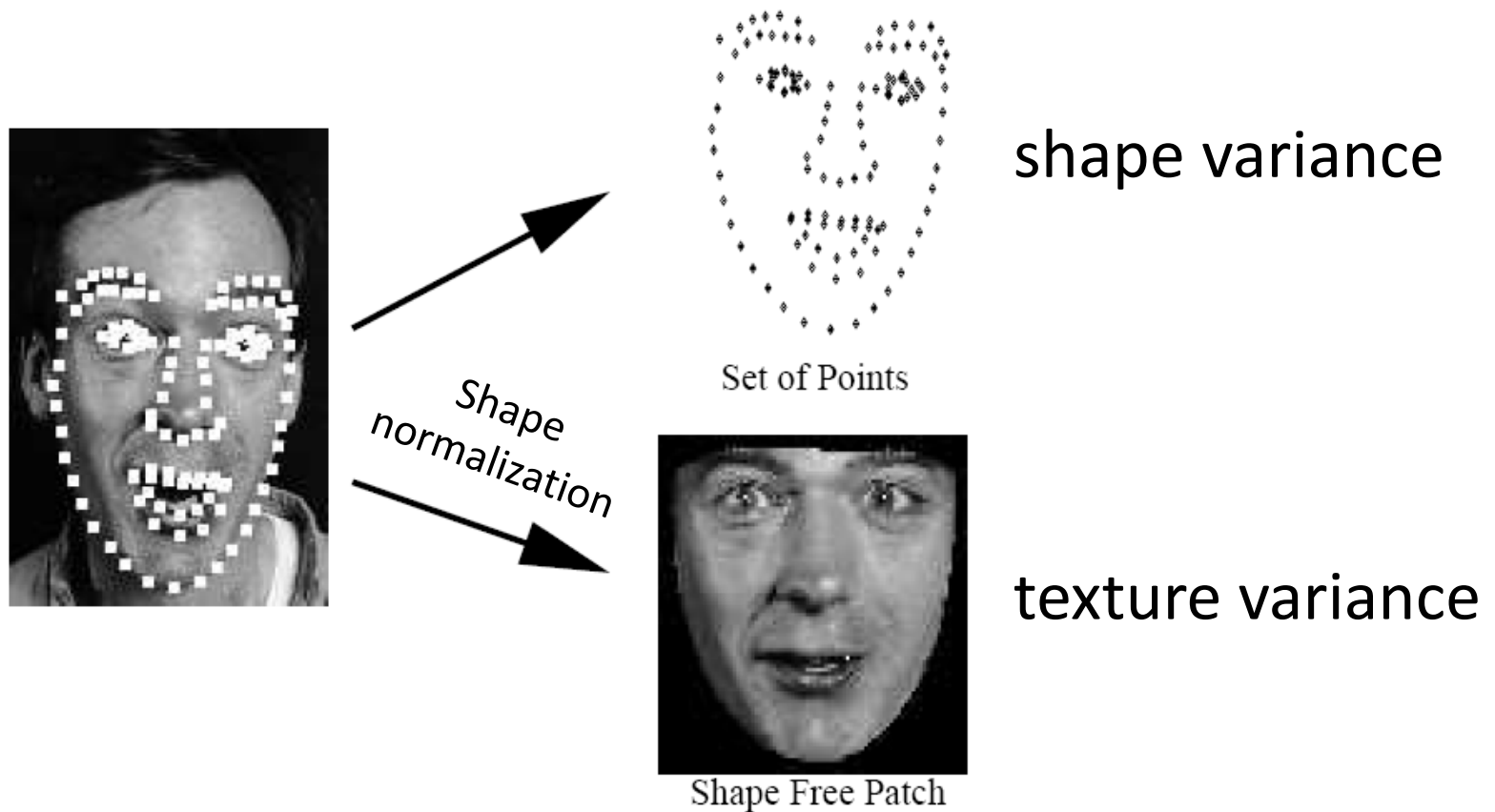
Search using ASM of
cartilage on an MR image of
the knee

STATISTICAL MODELS OF APPEARANCE

Appearance

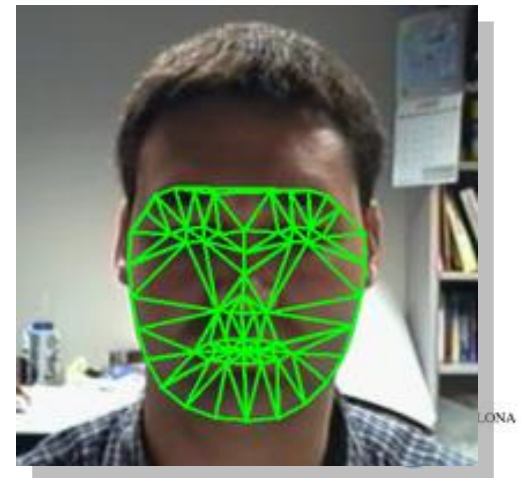
- Statistical Shape Model models the shape change of an object
- Construct a similar statistical model to represented the **intensity variation across a region**
- Use:
 - Shape
 - Texture
 - ‘Texture’ means pattern of intensities across an image patch.

Appearance Model



Shape Normalization

- Remove spurious texture variations due to shape differences
- Warp each image to match control points with the mean image
 - triangulation algorithm



PCA

After shape and intensity normalization, and by applying PCA to the normalised data we obtain a linear model:

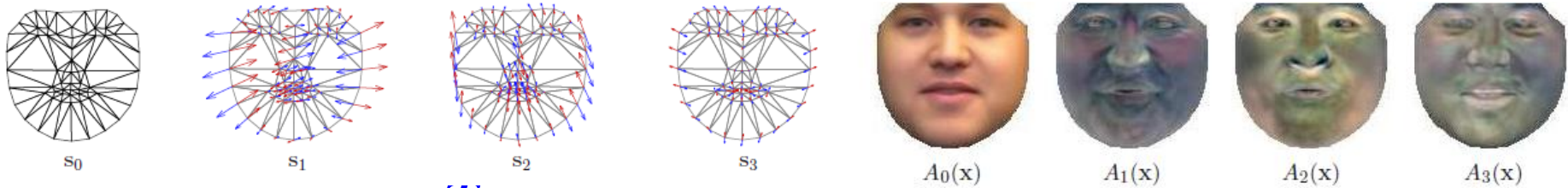
$$\mathbf{g} = \bar{\mathbf{g}} + \mathbf{P}_g \mathbf{b}_g$$

a set of grey-level parameters

a set of orthogonal *modes of variation*

mean normalized grey-level vector

Combined Appearance Model



$$\mathbf{b}_s = \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \quad \text{— Shape parameters}$$


$$\mathbf{b}_g = \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \quad \text{— Appearance parameters}$$

Since there may be correlations between the shape and texture variations, we apply a further PCA to the data as follows. For each example we generate the concatenated vector:

$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix}$$

Combined Appearance Models

A diagonal matrix of weights to accommodate the difference in units between the shape and grey models

$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix}$$


PCA for Combined Vectors

$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix} \rightarrow \mathbf{b} = \mathbf{P}_c \mathbf{c}$$

eigenvectors from
applying PCA on \mathbf{b} 's

appearance parameters
controlling both the **shape** and
grey-levels of the model

Shape & Grey-Level Reconstruction

$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix}$$

$$\begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix} = \mathbf{b} = \mathbf{P}_c \mathbf{c} = \begin{pmatrix} \mathbf{P}_{cs} \\ \mathbf{P}_{cg} \end{pmatrix} \mathbf{c}$$

$$\mathbf{x} = \bar{\mathbf{x}} + \mathbf{P}_s \mathbf{W}_s^{-1} \mathbf{P}_{cs} \mathbf{c} = \bar{\mathbf{x}} + \mathbf{Q}_s \mathbf{c}$$

$$\mathbf{g} = \bar{\mathbf{g}} + \mathbf{P}_g \mathbf{P}_{cg} \mathbf{c} = \bar{\mathbf{g}} + \mathbf{Q}_g \mathbf{c}$$

Appearance Reconstruction

Given appearance parameter \mathbf{c}

→ Generate shape-free gray-level image \mathbf{g}

→ warp \mathbf{g} to the shape described by \mathbf{x}

$$\mathbf{x} = \bar{\mathbf{x}} + \mathbf{P}_s \mathbf{W}_s^{-1} \mathbf{P}_{cs} \mathbf{c} = \bar{\mathbf{x}} + \mathbf{Q}_s \mathbf{c}$$

$$\mathbf{g} = \bar{\mathbf{g}} + \mathbf{P}_g \mathbf{P}_{cg} \mathbf{c} = \bar{\mathbf{g}} + \mathbf{Q}_g \mathbf{c}$$

Review:

Combined Appearance Models

How to obtain \mathbf{W}_s ?

a **diagonal** matrix of weights to accommodate the **difference in units** between the **shape** and **grey** models

$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix}$$

Choice of Shape Parameter Weights

- Method1 — Displace each element of \mathbf{b}_s from its optimum value and observe change in \mathbf{g} for each training example

– The RMS change gives elements in \mathbf{W}


The choice of \mathbf{W}_s is relatively insensitive

Intensity variation to the total shape variation

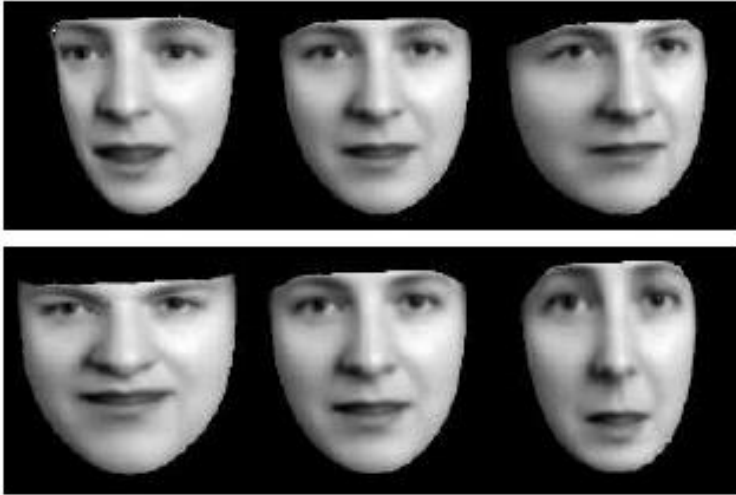
$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix}$$

Choice of Shape Parameter Weights

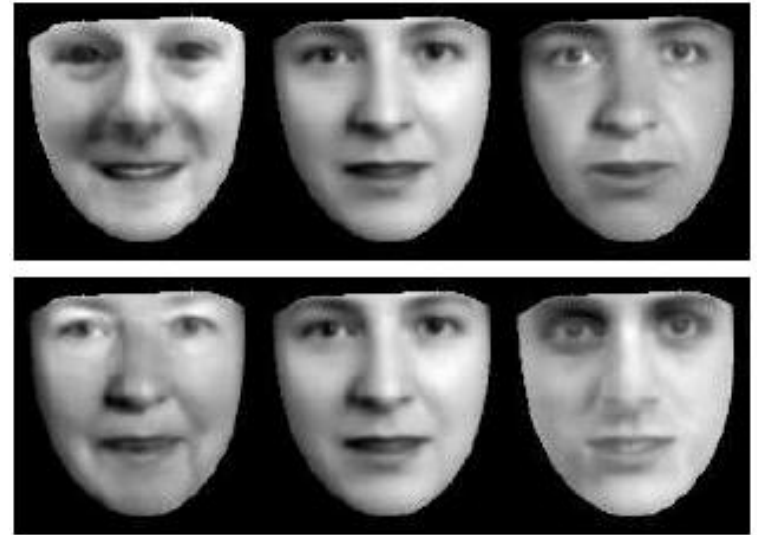
- Method1 — Displace each element of \mathbf{b}_s from its optimum value and observe change in \mathbf{g} for each training example
 - The RMS change gives elements in \mathbf{W}_s
- Method2 — $\mathbf{W}_s = r\mathbf{I}$ where r^2 is the ratio of the total intensity variation to the total shape variation

$$\mathbf{b} = \begin{pmatrix} \mathbf{W}_s \mathbf{b}_s \\ \mathbf{b}_g \end{pmatrix} = \begin{pmatrix} \mathbf{W}_s \mathbf{P}_s^T (\mathbf{x} - \bar{\mathbf{x}}) \\ \mathbf{P}_g^T (\mathbf{g} - \bar{\mathbf{g}}) \end{pmatrix}$$


Example: Facial Appearance Model

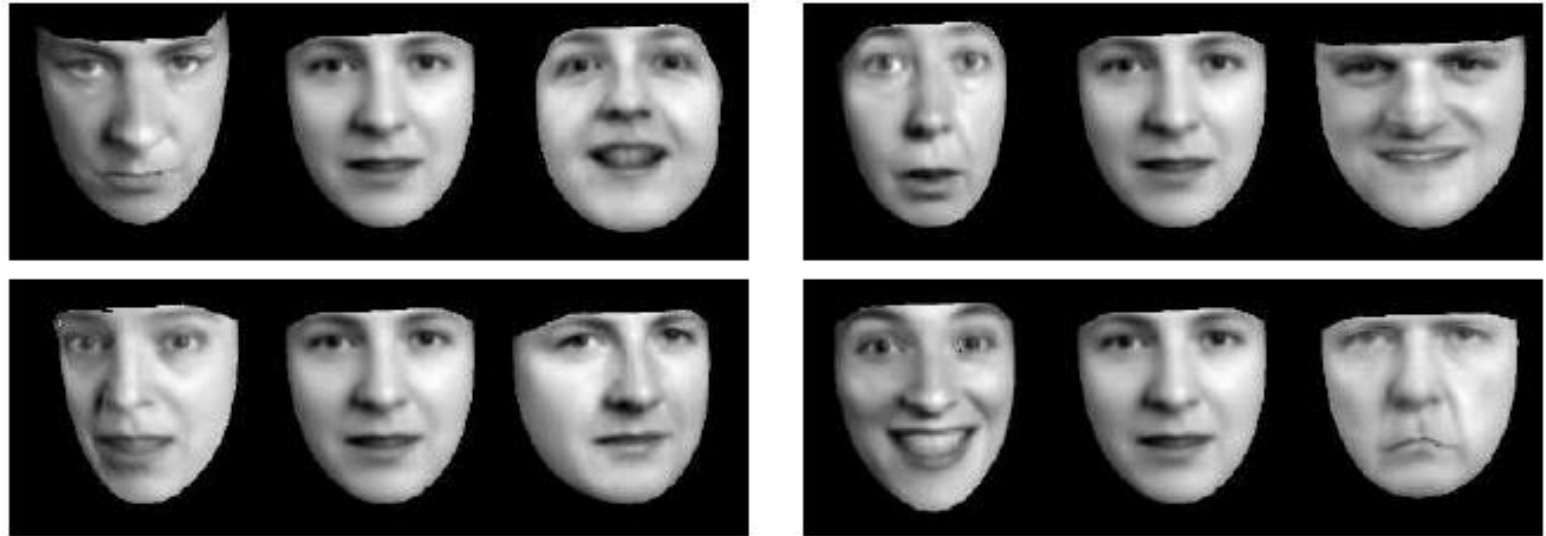


First two modes of
shape variation (± 3 sd)



First two modes of grey-
level variation (± 3 sd)

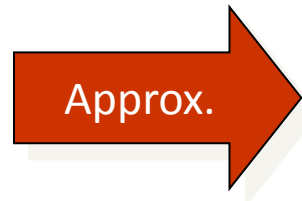
Example: Facial Appearance Model



First four modes of appearance variation (± 3 sd)

Approximating a New Example

Given a new image, labeled with a set of landmarks, to generate an approximation with the model.



Approximating a New Example

Given a new image, labelled with a set of landmarks, to generate an approximation with the model.

- Obtain \mathbf{b}_s and \mathbf{b}_g
- Obtain \mathbf{b}
- Obtain \mathbf{c}

$$\mathbf{x} = \bar{\mathbf{x}} + \mathbf{P}_s \mathbf{W}_s^{-1} \mathbf{P}_{cs} \mathbf{c}$$

- Apply

$$\mathbf{g} = \bar{\mathbf{g}} + \mathbf{P}_g \mathbf{P}_{cg} \mathbf{c}$$

- Inverting gray level normalization by $\mathbf{g}_{im} = \alpha \mathbf{g} + \beta \mathbf{1}$
- Applying pose to the points
- Projecting the gray level vector to the image



ACTIVE APPEARANCE MODELS

Disadvantages of ASM

- Only uses shape constraints (together with some information about the image structure near the landmarks) for search.
- Incapable of generating photo-realistic **synthetic image**

Goal of AAM

- Given a rough starting approximation of an appearance model, to fit it within an image



Using an Iterative Model Refinement.

Examples of AAM Search



Reconstruction (left) and original (right) given original landmark points

Examples of AAM Search



Initial

2 its

8 its

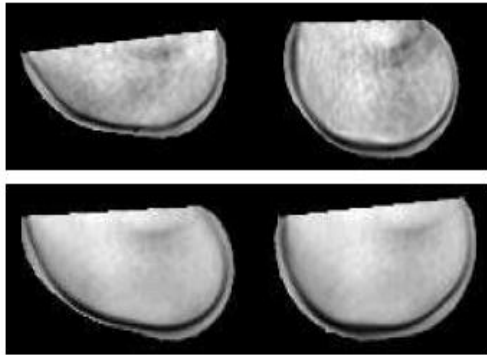
14 its

20 its

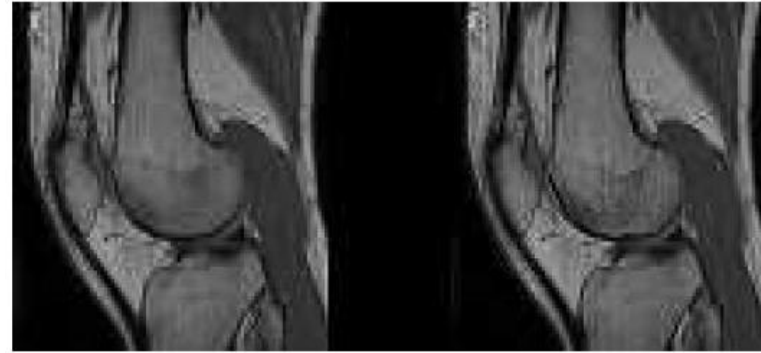
converged

Multi-Resolution search from displaced position

Examples of AAM Search



First two modes of
appearance variation of
knee model



Best fit of knee model to new
image given landmarks

Examples of AAM Search



Multi-Resolution search from displaced position

COMPARISON : ASM VS AAM

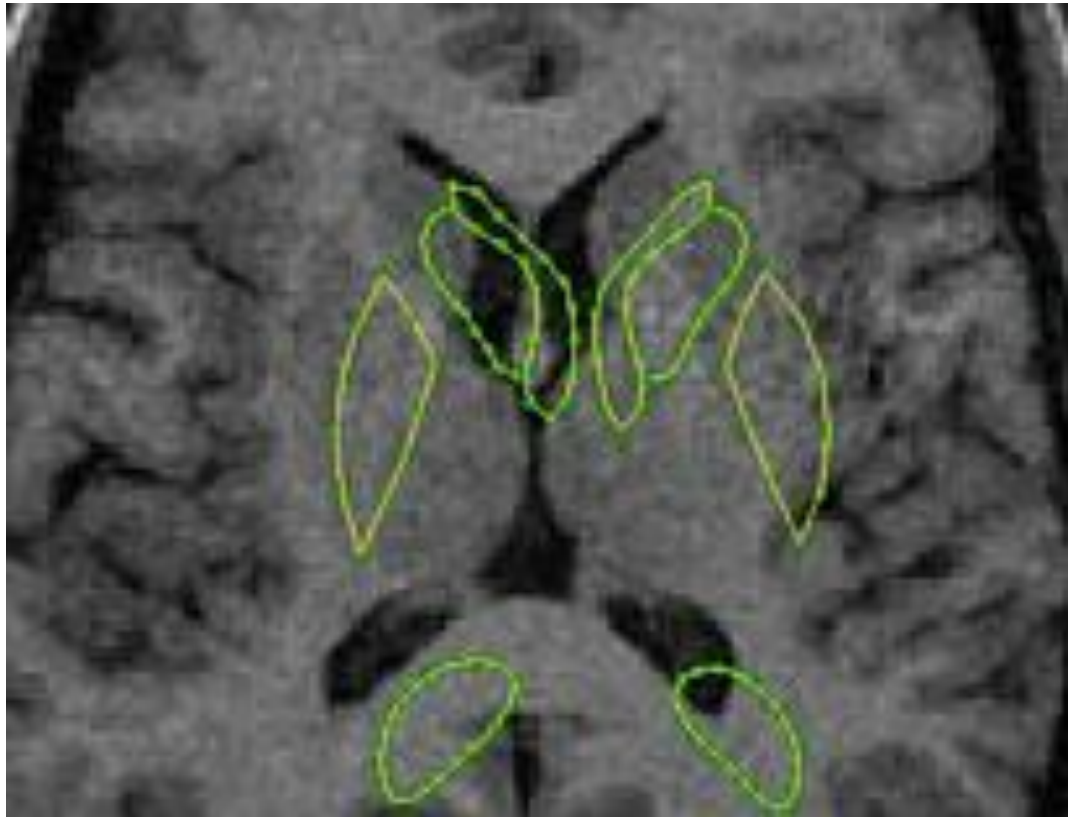
Key Differences

- ASM only uses models of the image texture in the **small** regions around each landmark point
- ASM searches **around** current position, , typically along profiles normal to the boundary.
- ASM seeks to minimize the distance between **model points** and corresponding **image points**
- AAM uses a model of appearance of the **whole** region
- AAM only samples the image **under** current position
- AAM seeks to minimize the difference of the **synthesized image** and **target image**

Experiment Data

- Two data sets :
 - 72 brain slices, 133 landmark points
- Training data set
 - Brain : 400, leave-one-brain-experiments

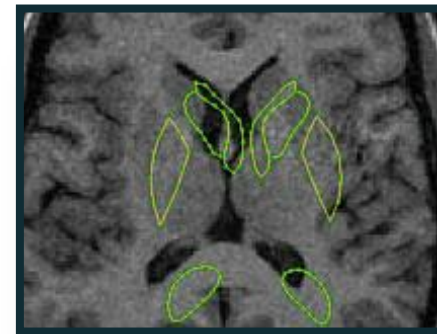
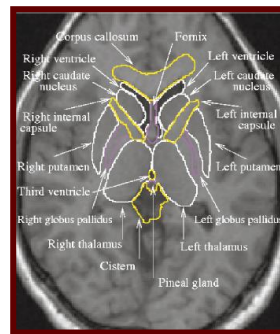
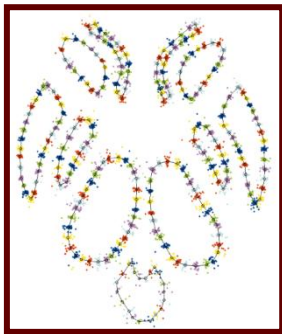
Segmentation of Brain Structures in MRI



http://personalpages.manchester.ac.uk/staff/timothy.f.cootes/Models/brain_search.html

Image Interpretation with AAM

- When a labeled model is fitted to an image to be interpreted, it automatically gets labeled just by transfer:



Conclusion

- ASM searches around the current location, along profiles, so one would expect them to have larger capture range
- ASM takes only the shape into account
- AAM can work well with a much smaller number of landmarks as compared to ASM

References

- [1] Mikkel B. Stegmann and David Delgado Gomez. *A Brief Introduction to Statistical Shape Analysis*, Technical University of Denmark, Lyngby, 2002.
 - [2] Matthew James Francis Cairns. *An Investigation into the use of 3D Computer Graphics for Forensic Facial Reconstruction*, Glasgow University, 2000.
 - [3] T. F. Cootes and C. J. Taylor *Statistical Models of Appearance for Computer Vision. Report.*
 - [4] Iain Matthews and Simon Baker, *Active Appearance Models Revisited*. IJCV 2004.
- http://aimm02.cse.ttu.edu.tw/class_2009_1/PR/Lecture%208/Statistical%20Models%20of%20Appearance%20for%20Computer%20Vision.ppt.

Matlab Codes for ASM and AAM

1. <http://www.mathworks.com/matlabcentral/fileexchange/32704-icaam-inverse-compositional-active-appearance-models> (Used in the practicum)
2. <http://www.isbe.man.ac.uk/val/asmtk/ASMInfoSheet.html> (p-files)
3. <http://www.mathworks.com/matlabcentral/fileexchange/26706-active-shape-model-asm-and-active-appearance-model-aam> (No face training images included)
4. <http://www.cs.sfu.ca/~hamarneh/software/asm/> (No training images included)

C++ codes

1. <https://github.com/kylemcdonald/FaceTracker> (OpenCV library)
2. <http://www.milbo.users.sonic.net/stasm/> (OpenCV library)
3. http://www.isbe.man.ac.uk/~bim/software/am_tools_doc/index.html (VXL library)
4. <http://humansensing.cs.cmu.edu/intraface/> (Matlab/C++)

Statistical Models of Shape and Appearance for Face Matching

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