

# Self-Similarity-Based Compression of Point Clouds, with Application to Ray Tracing

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## Abstract

*Many real-world, scanned surfaces contain repetitive structures, like bumps, ridges, creases, and so on. We present a compression technique that exploits self-similarity within a point-sampled surface. Our method replaces similar surface patches with an instance of a representative patch. We use a concise shape descriptor to identify and cluster similar patches. Decoding is achieved through simple instancing of the representative patches. Encoding is efficient, and can be applied to large datasets consisting of millions of points. Moreover, our technique offers random access to the compressed data, making it applicable to ray tracing, and easily allows for storing additional point attributes, like normals.*

Categories and Subject Descriptors (according to ACM CCS): I.3.5 [Computer Graphics]: Computational geometry and object modeling - Curve, surface, solid and object representations; E.4 [Data]: Coding and information theory - Data compaction and compression

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## 1. Introduction

With the increasing capability of 3D data scanning devices, point set surfaces are increasingly popular. The amount of acquired geometric information gives rise to an equally growing demand for data that needs a compressed representation to be stored, transmitted, processed and rendered efficiently. Even though using points lessens storage requirements (connectivity information is not needed), compression of massive models is still required to facilitate efficient rendering [RL00, KSW05, HMHB06, YLM06].

We present a compression technique that is particularly useful in the context of rendering massive datasets. In particular, we focus on ray tracing, as its performance is less dependent on scene complexity compared to forward rendering algorithms based on rasterization or splatting [Wal04]. The size of datasets we are interested in may exceed main memory. As a result, performance sporadically and unexpectedly stalls when data is needed that still resides on

disk [PKG97, YLM06]. Our compression reduces the size of such a dataset in order to fit in main memory.

Research on geometry compression, including point clouds, has mainly focused on high compression rates so far. Most of the existing point cloud compression strategies perform decoding in a streaming or sequential fashion, which is suitable for rasterization-based display algorithms, and also enables progressive transmission (e.g. [BWK02, KSW05]). On the other hand, little attention has been given to the property of random accessibility [KCL06], which enables decoding a local part of the compressed data without having to decode the full dataset. This is similar to audio and video compression [MPFL96], where the data stream has to be reconstructed from any given point in time. The random access property is essential in combination with ray tracing, as point information has to be queried locally [HMHB06].

We introduce a compression technique based on geometric self-similarity. Many real-world surfaces consist of repetitive patterns and similar structures, such as creases, ridges, bumps, smooth parts, etc. A similar assumption was also used in a recent image processing algorithm [BM05]. Also, the typically uniform sampling rate of scanned objects con-

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tributes to self-similarity. To exploit repetitiveness, we segment the object into well-chosen patches and we cluster patches that “look alike”. Similar patches can then be represented by a single patch. Finally, the decoding process simply boils down to instancing. This can be viewed as an extension to the idea of *vector quantization* [LBG80]. The main difficulty is to efficiently describe and search these similar patches in the huge data set. Therefore we introduce a compact geometric patch descriptor, which will guide the clustering process. An important feature of our compression scheme is that it easily affords random access, which makes ray tracing possible without the need of a full decoding step.

Our method is designed for compressing real-world surfaces, ideally with a uniform sampling rate, like those obtained from a laser scanner. Its performance is dependent on the degree of geometric self-similarity, and assumes that the point cloud represents a 2D surface (as opposed to a 3D scatter plot, for instance).

## 2. Related Work

**Compression:** We restrict our discussion to point cloud compression. A good overview of recent mesh compression techniques is given by Alliez and Gotsman [AG05]. In the QSplat framework [RL00], compactness is achieved by quantizing the offsets in each hierarchy node using a fixed length bit string. Botsch et al. [BWK02] propose to quantize points onto an integer lattice, and represent them in a sparsely populated octree. Gandois et al. [GD02] propose a similar coding technique, but employ a kD-tree instead. Huang et al. [HPKG06] and Schnabel et al. [SK06] discuss an improved octree-based coder by incorporating prediction. Fleishman et al. [FCOAS03] using Moving Least Squares (MLS) in conjunction with progressive coding. Waschbüsch et al. [WGE\*04] proposed multi-resolution predictive coding. Krüger et al. [KSW05] quantize onto a 3D hexagonal grid. The model is sliced into 2D contours which are coded linearly as the trajectory throughout the hexagonal grid, and can be decoded efficiently on graphics hardware. Gumhold et al. [GKIS05] and later Merry et al. [MMG06] use an approach based on spanning trees to sequentially encode points. Ochotta et al. [OS04] partition points into near-planar segments in which the surface is regularly resampled and stored as a height field. Each height field is compressed using wavelets. Our technique also segments the surface, but we replace similar patches by a single representative patch.

Unfortunately, previous techniques do not allow random accessibility, needed for ray tracing (see Section 1), without decompressing the full dataset in main memory. Predictive coding approaches [WGE\*04, KSW05, GKIS05, MMG06] always rely on previous points in the sequence during decompression. The techniques based on hierarchical spatial subdivision [RL00, BWK02, GD02, HPKG06, SK06] also require to decode the full set because the trees do not contain pointers anymore to reduce memory footprint.

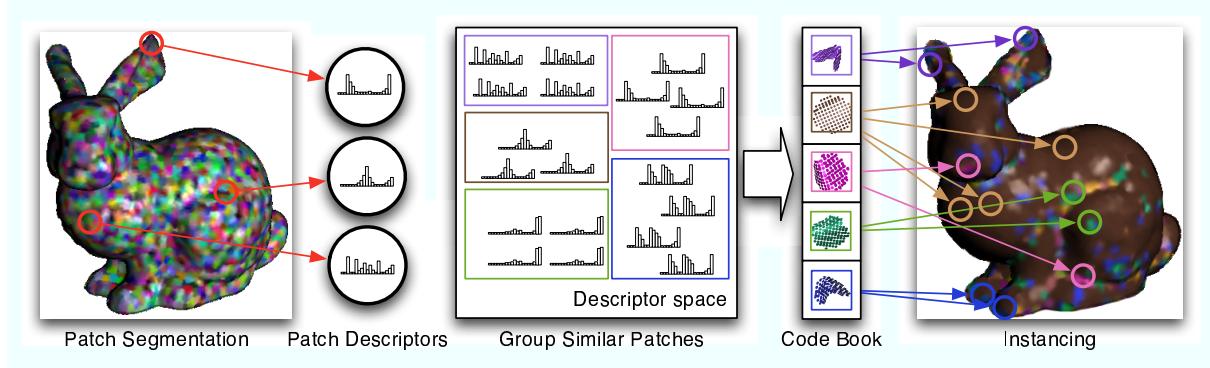
To our knowledge the only point cloud compression tech-

nique that allows random accessibility is the Quantized kD-tree [HMHB06]. It achieves compression by quantizing the splitting planes of a kD-tree which contains the data set. However, the Quantized kD-tree only stores positions, whereas our technique can easily compress additional attributes like normals.

**Ray Tracing:** Most of the work in ray tracing is focused on displaying triangle meshes. A discussion of these methods is beyond the scope of this paper and we refer to Wald’s Ph.D thesis for an overview [Wal04]. Several authors have proposed methods to compute intersections with a point-sampled surface. Key in ray tracing points is to “fill in the gaps” between points. This can be done either based on heuristics [SJ00], or using a formal surface definition. The latter is usually realized using Moving Least Squares (MLS) [Lev03, AA03], which locally fits a high order polynomial surface to the points. Simple variants of MLS can be very efficient [AA04, AKP\*05, WS05, HMHB06]. We will also use an MLS-based surface intersection in our implementation.

Ray tracing extremely complex scenes can be realized through out-of-core techniques, i.e., by dynamically loading required parts of the dataset into main memory. To this end, Pharr et al. [PKGH97] and later Wald et al. [WDS04] developed an efficient technique that caches scene parts in main memory. Level-of-detail (LOD) techniques are also useful to speed up ray tracing massive data sets. Sung et al. [YLM06] use an LOD representation to reduce memory access. Even though these schemes are efficient, in the end disk access is still required, and stalls are unavoidable. Like the Quantized kD-tree [HMHB06], our compression scheme can further alleviate such problems by significantly reducing the memory footprint.

**Shape Matching:** Our algorithm establishes similarities between patches using techniques inspired by shape matching. Shape matching is a well studied problem, with applications to surface registration [BM92] and 3D model retrieval [F\*03]. Two shapes can be compared directly using their geometry, e.g., using the Hausdorff distance. This turns out to be expensive if many shapes need to be compared. Researchers have therefore developed more concise geometric descriptors, which can be computed efficiently on a per-shape basis, and compared afterward using a suitable norm. The simplest descriptors measure geometry-related statistics, such as moments [PR92], normal distributions [Hor84], and histograms of pairwise distances [AKKS99, OFCD02]. More elaborate descriptors automatically ignore the difference in rotation [F\*03], and explicitly analyze topology [HSKK01]. An important difference with existing work is that we do not wish to match entire surfaces, but only small surface patches. The topology of a patch is much simpler than typical full 3D models. We already achieve successful results with using a relatively simple descriptor based on the normal distribution of a patch [Hor84].



**Figure 1:** Overview of the compression scheme: we construct equally-sized patches (illustrated as different colors) and compute a shape descriptor for each patch. Next, we group patches with similar descriptors, pick a representative patch within each group and store it in a code book. Finally, we replace all patches by a reference to their corresponding representative patch.

### 3. Overview

We give a short high-level overview of our compression technique (see Figure 1), before going on to the detailed description.

The key idea is to exploit the typical repetitiveness of real-world surfaces, like recurring smooth parts, bumps, ridges, etc. To this end, we divide the surface into *patches*, and replace each one by a reference to an entry in a concise list of representative patches. We obtain patches by segmenting the surface. This segmentation favors patches that are equally-sized, which makes the comparison more meaningful. Also, patches are encouraged to lie on salient geometric features, in order to improve the likelihood of finding a similar and well-aligned match.

Similar patches are then clustered in order to form a compact code book, in the same spirit as vector quantization [LBG80]. We create clusters by selecting a representative patch, and adding all similar candidates. Unsuitable candidates are re-clustered. We repeat this process on the remainder of the patches until all belong to a cluster. Finally, each representative patch will form an entry (or word) in the code book, while replacing all cluster members by a reference to this entry. The clustering process requires a means of comparing patches against each other for measuring similarity. Comparison should be implemented efficiently, in order to deal with large datasets. Patches consist of a small set of points, which could be compared using the Hausdorff distance, for instance. However, this is cumbersome and slow, and it is not clear how to use this distance measure in conjunction with an efficient nearest neighbor acceleration structure. We therefore compute a simple statistical shape descriptor for each patch, which essentially translates the patch to a representative vector that can be compared directly. We also take care in aligning the patches. First, we normalize the orientation of each patch before clustering.

Once a patch has been assigned to a cluster, we further refine alignment using a surface registration algorithm [BM92].

### 4. Self-Similarity-Based Compression

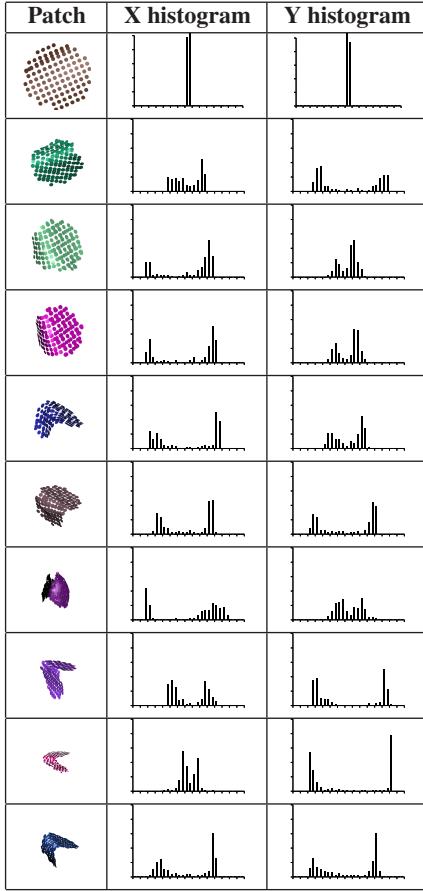
In this section we discuss every phase of the algorithm in more detail. We first segment the surface to obtain patches, we compute patch descriptors, and cluster them to construct the code book.

#### 4.1. Patch Creation

Patch creation is driven by a simple segmentation strategy, which respects two objectives:

1. **Equal size, convexity and isotropy** The matching process becomes more meaningful if patches have equal area, are similarly shaped (i.e. round), and have no holes. For instance, it does not make sense to compare a silvery patch to a round one, since they cannot be replaced by each other in the first place.
2. **Feature Attraction** Two patches may contain the same geometric feature (e.g., ridges and bumps), but the feature itself may not necessarily be aligned with respect to the patch centers. We therefore encourage patch centers to lie on salient features.

We now define each patch  $P_k$  with center  $c_k$  as the subset of points that lie within a sphere of radius  $R$ . Given a well-chosen radius and patch centers  $c_k$ , we can meet objective (1). We want to minimize overlap on one hand, but also ensure a tight packing. We must therefore find a set of evenly distributed  $c_k$ 's. More precisely, we optimize the  $c_k$ 's such that they lie at a fixed distance from their neighbors, and take radius  $R$  as this distance. To achieve this goal, we use Pauly et al.'s particle simulation technique [PGK02], which was originally developed for point cloud simplification. Their method starts with a random distribution of point samples on the point cloud (the  $c_k$ 's in our case), and subsequently applies repulsion Turk's repulsion algorithm [Tur92] to evenly spread them. Repulsion is an iterative procedure



**Figure 2:** Example patches with their corresponding descriptors, taken from the David model. Patch shapes range from flat to curved, and their different shapes are reflected by the histograms of the normals’ X and Y coordinate.

that pushes surface points within a specified radius away from each other, while constraining them to remain on the surface defined by the underlying point cloud [PGK02]. This process is repeated until convergence.

We extend this method further to meet objective (2). We alternate the repulsion iteration with a “feature attraction” step, which basically updates patch centers toward salient surface points:

$$c_k := \frac{1}{\sum_{p \in P_k} C_p} \sum_{p \in P_k} C_p p$$

Here, we perform a normalized weighted summation over all points  $p$  in patch  $P_k$ . Each weight  $C_p$  measures how “salient” point  $p$  is. Mean curvature is a viable candidate, which can be approximated well via local covariance analysis [PGK02]. However, for efficiency, we use a simple measure based on local normal variation. At each point  $p$ , we compute the standard deviation of the dot products  $n_p \cdot n_q$  with the normals from neighboring points  $q$ . See Figure 1 for an example of our segmentation.

## 4.2. Measuring Similarity Among Patches

Before we can group similar patches (see Section 4.3), we need a way to measure how similar they are to each other. The challenge in comparing two patches is to first make sure they are well-aligned. Next, we compute a concise patch descriptor, and discuss how these can be compared in a meaningful way.

### 4.2.1. Translation and Orientation Normalization

Before two patches can be compared, we need to discount any differences in translation and orientation. Scale and anisotropy [KFR04] are irrelevant, since patches are equally sized and isotropic. Translation can be easily disregarded by moving each patch so that its centroid lies at the origin. Orientation-invariant descriptors [KFR03, F\*03] exist, but they rely on a fairly complicated volumetric analysis using Spherical Harmonics. Instead, we estimate orientation separately, and rotate them to a canonical frame before comparison [SV01]. We will reuse the orientation information afterward as an initial guess for exact alignment (see Section 4.3).

In contrast to full 3D objects, a patch only represents a small part of a surface. It looks like a distorted disk (see Figure 2), and is often flat. General shapes can be aligned using Principal Component Analysis [SV01]. However, this technique is less meaningful on isotropic and flat shapes (like our patches), and does not work well in practice [KFR03, F\*03]. We use a simple but robust heuristic, which exploits the particular morphology of our patches’ shape. Since patches are usually close to flat, they all can be oriented such that their supporting planes coincide. To do so, we find a rotation that makes the mean patch normal aligned with the Z axis. However, this rotation is not unique, leaving us with one degree of freedom, i.e. the rotation around the Z-axis. We compute the spherical coordinates of each normal in the patch (with respect to the Z-axis and some freely chosen orthonormal X and Y axes), but only keep the azimuthal component  $\theta$ . The patch is then rotated around the Z-axis by  $-\theta_\mu$ , where  $\theta_\mu$  is the mean azimuthal angle  $\theta$  within the patch.

### 4.2.2. Computing and Comparing Descriptors

For efficiency reasons, we use a simple statistical descriptor. Inspired by Extended Gaussian Images [Hor84], we compute a histogram from a patch’s normal directions. Since patches are fairly flat, we do not have to compute a full spherical histogram, but only consider (upward) hemispherical directions. This allows for a simple 2D parameterization based on a normal’s X and Y coordinate, both conveniently bounded to  $[-1, 1]^2$ .

The similarity between two patches can then be evaluated using any distance measure suitable for histograms. We can classify such measures into *bin-by-bin* and *cross-bin* measures [RTG00]. Bin-by-bin techniques, like the Minikowski ( $L_N$ ), Kullback-Leibnner or Bhattacharyya distance [Bha43], only compare corresponding histogram bins, disregarding

information in nearby bins. In contrast, cross-bin techniques take into account non-corresponding bins as well, and are thus more powerful [RTG00]. A popular *cross-bin* measure is the Earth Mover’s Distance (EMD) [WPR85, RTG00], which computes the minimal cost for flowing “bin matter” from one histogram to form the other. Unfortunately, EMD requires solving the transportation problem [Hit41], which involves a costly optimization step. To retain efficiency, we will use the *match distance*, a simple cross-bin dissimilarity measurement designed for 1D histograms [SW83, WPR85]:

$$d(H, G) = \sum_i |\hat{H}_i - \hat{G}_i| \quad (1)$$

where  $\hat{H}_i = \sum_{j \leq i} H_j$  is the cumulative histogram of  $H$ , and similarly for histogram  $G$ . The match distance is defined as the  $L^1$  distance between their corresponding cumulative histograms, which can be computed very efficiently. For 1D histograms with an equal number of bins, this distance is in fact a special case of EMD [RTG00].

The match distance cannot be extended to multi-variate histograms, like the one we compute for the  $X$  and  $Y$  coordinate. We therefore compute two 1D histograms for each coordinate separately. This approximation turns out to work well in practice. A comprehensive visual example of the histograms is given in Figure 2. The  $X$  and  $Y$  histograms are converted to their cumulative version, and concatenated into a single descriptor vector. Finally, we can simply perform a comparison on this vector using the  $L_1$  distance, in conjunction with an efficient data structure like the kD-tree.

In practice we apply a nonlinear transformation to each coordinate, which “stretches” the range around 0. The tanh-function does a good job at this. This technique increases bin resolution near the origin, which is useful for capturing fine normal variations close to the  $Z$ -axis. This improves discrimination performance, since many normals tend to point upward.

Even though our normal-based descriptor [Hor84] may lack discriminative power, and was simplified to 1D histograms, it does a reasonable job. Patches that are wrongfully considered similar can still be discriminated later on in the registration step 4.3.

### 4.3. Code Book Generation

Similar patches are clustered and replaced by a reference to a representative patch. All representatives or code words are stored in the code book, as in standard vector quantization. The overhead of replacing the patch by a code word is the code book index (1 integer) and the patch orientation and translation (6 real values). Compression is achieved when the code book size and overhead are much smaller than the original patch set, which is usually the case.

Code book generation boils down to grouping similar items (patch descriptors) together, which can be seen as a clustering process. Various clustering algorithms exist, and

have been applied to vector quantization [LBG80, Llo82]. However, we will use a non-iterative greedy approach, which will give us some control over how representatives are chosen. We start off by selecting a representative patch  $P$ , and look for a set of all similar patches.  $P$  is put in the code book and we replace each similar patch by a reference to  $P$ , along with its orientation and translation. This process then continues until all patches have been replaced. We always select the patch  $P$  which has the smallest curvature in the pool of the remaining patches. This ensures that patches are always replaced by a conservative candidate, i.e. a smooth one. Replacing a slightly curved patch with smooth one is visually not as disturbing as replacing a smooth patch with slightly curved one. This way, the compression introduces over-smoothing instead of more salient artifacts.

The set of similar patches reduces to a nearest neighbor query in the space of descriptor vectors (see Section 4.2). To make this process tractable, we use a kd-tree that performs queries with the  $L_1$  norm. The radius of the query determines how many code words will be created.

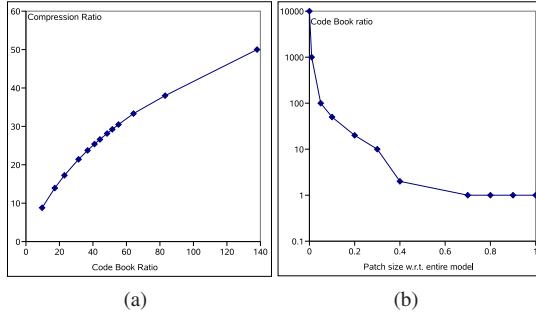
In each cluster, we need to compute the relative alignment of each patch, i.e. translation and rotation, with respect to its representative patch. This has already been accomplished partially, since all patches were already transformed to the canonical frame in the normalization process (Sec. 4.2.1). However, this was only an approximate estimate of alignment. We therefore refine the orientation and translation parameters via the Iterated Closest Point algorithm [CM92, RL01]. It usually only takes a couple of iterations to converge.

The descriptor does a reasonable job at assessing similarity. Unfortunately, it may happen that a patch is wrongfully assigned to a representative. We therefore measure error using MLS [Lev03, AA04] after the final alignment step. If the error exceeds a threshold, it is put back in the list of to-be-clustered patches.

### 5. Ray Tracing the Compressed Data

In principle, any point cloud ray tracing method which supports instancing, can be applied to our algorithm. Here, we describe an efficient algorithm inspired by Wald and Seidel’s kd-tree-based technique [WS05].

We start by building a kD-tree to perform ray-patch intersections, based on patches’ bounding spheres. Compared to ray tracing with the Quantized kD-tree, we can afford to apply the SAH heuristic, which offers more efficient intersection queries [WS05]. Once a candidate sphere has been found, we load the corresponding representative patch from the code book. Finally, we intersect the patch surface using MLS [AA03, AA04], taking into account its locally stored translation and rotation. As seen in Section 4.1, the patches overlap to avoid holes. To avoid seams, overlapping patches are blended together along the ray [OBA05]. More precisely, we compute intersections with every intersected patch, and



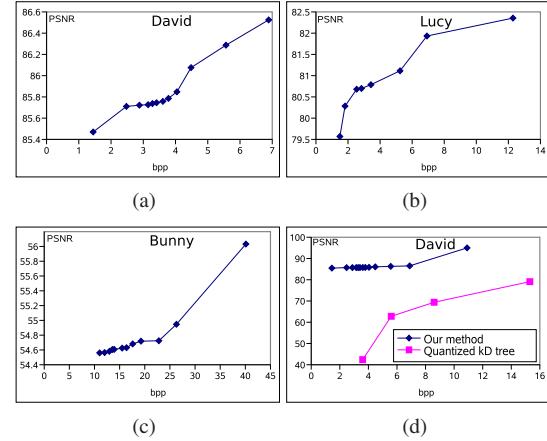
**Figure 3:** (a) plot of compression ratio vs. code book ratio for the David model. This plot indicates the overhead introduced by our method. (b) illustrates a theoretical plot of the maximum code book ratio vs. the patch size for a model. The plot is model dependent.

simply compute a normalized weighted summation of the intersections. Weights are defined using a simple Gaussian curve, based on the distance to the patch centers, with standard deviation equal to the patch radius.

## 6. Results

As suggested by Waschbuch et al. [WGE\*04] we use the *peak signal to noise ratio* (PSNR) to measure the loss of quality, given as  $20\log_{10} \frac{d_B}{\max(RMS(U,C), RMS(C,U))}$ .  $U$  is the original uncompressed point cloud and  $C$  the compressed point cloud,  $d_B$  is the bounding box diagonal of  $U$  and  $RMS$  is the symmetric root mean square distance. When taking the  $RMS$  as error measure, it is preferable to measure the  $RMS$  between the surfaces as the distance between discrete point-pairs (e.g. Hausdorff distance). This takes into account the difference of the sampling as well. An MLS error, on the other hand, only gives the distance between the surfaces, but ignores the underlying sampling, which plays an important role for point clouds [WGE\*04, SK06].

First, we show the difference between the compression ratio and the *code book ratio*. This is the ratio of the original number of patches vs. the number of patches in the code book. We can influence the code book ratio by changing the maximal search distance of the nearest neighbor query in the patch space. As shown in Figure 3(a), these two ratio's are not the same indicating the overhead introduced by our algorithm. This overhead is a natural result of the transformation information which is stored for each patch. The transformation overhead is inversely proportional to the number of patches. This means, patches should be as big as possible to reduce this overhead. However, using big patches results in very low patch compression ratios (see Figure 3(b)) because big patches can not be replaced as easily as small patches. We have tested our compression scheme on several models of the Stanford scanning repository: Bunny (32 K points), Night (11 M points), Lucy (14M points) and David (28 M points). In practice we take  $\frac{\#points}{10}$  patches for a small model like the Bunny, and  $\frac{\#points}{100}$  for big models like David.



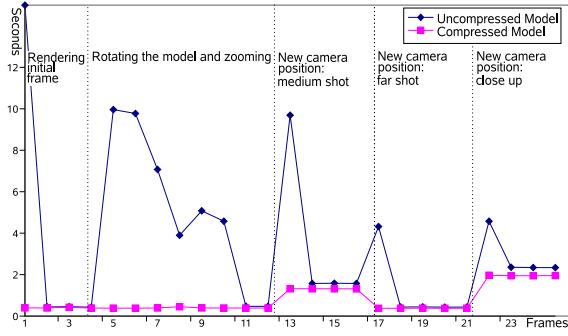
**Figure 4:** R-D curves of our compression scheme for (a) David (b) Lucy (c) and bunny. The normals are compressed with the same amount of bits. In Figure (d) we give an R-D comparison of our method vs. the quantized kd-Tree [HMHB06].

In Figure 4, the R-D (compression rate vs. distortion) curves are plotted for the David, the Lucy and the bunny model. In these figures, the horizontal axes and vertical axes give the position/normal coding bit rates and the corresponding PSNR values, respectively. The plots indicate that our algorithm has very good PSNR values for low bit rates for big data sets. Our technique performs not as well at compressing small models, like the bunny, because the transformation overhead dominates in that case.

In Figure 4(d) we compare with the quantized kd-tree [HMHB06], which also aims at random access compression. However, this comparison should not be overinterpreted. Quantization techniques [RL00, BWK02, KSW05] reduce real-valued information like coordinates to integers, and thus generally have a lower PSNR, even though visually they might still produce acceptable results. However, it is important to notice in Figure 4(d) that our technique seems to behave fairly well in terms of quality loss as the compression is increased.

A comprehensive visual example of different compression rates on the same model (David) is shown in Figure 6. The colors represent the used code book patches. Our technique always instances uncompressed data. It is therefore less sensitive to unnatural banding artifacts, as often seen with quantization-based methods [BWK02, KSW05]. Our technique was also tested on different models, see Figure 7 for some examples.

We compared the rendering times of a compressed and uncompressed David model. Since the uncompressed model could not fit entirely in main memory, disk access was needed during rendering, leading to performance stalls. On average the rendering times dropped 2 to 10 times when compared with the compressed one, see Figure 5. Most sig-



**Figure 5:** This plot shows the rendering time per frame in seconds for a prerecorded camera sequence for a compressed and an uncompressed model David model. The compressed model fitted in the main memory while the uncompressed did not fit into the main memory and required disk access during rendering, leading to a decreased performance. The peaks are caused by significant camera movements, and small rotations, in these cases large parts of the model needed to be loaded from disk into main memory.

nificant decreases were measured when the model was rotated, or when the camera switched to a new view.

The total processing time of our algorithm can be divided in two parts: the segmentation phase and the clustering phase. The first phase may take up to several hours until convergence, but its result can be reused to achieve different compression ratios. The clustering phase, on the other hand, already finishes in 30 minutes (David model). Note that this is measured on an unoptimized implementation.

## 7. Conclusion and Future Work

In this paper, we introduced a compression method for point sampled models. It exploits the repetitive structure often encountered in real-world, scanned surfaces. Our technique can be seen as an extension of vector quantization for the case of point clouds: the surface is divided into small patches, which are then clustered. Decompression is realized by instancing a representative patch of each cluster. A particular advantage of our approach is the ability of randomly accessing parts of the data without having to reconstruct the full model. It can therefore be used in conjunction with ray tracing [HMHB06].

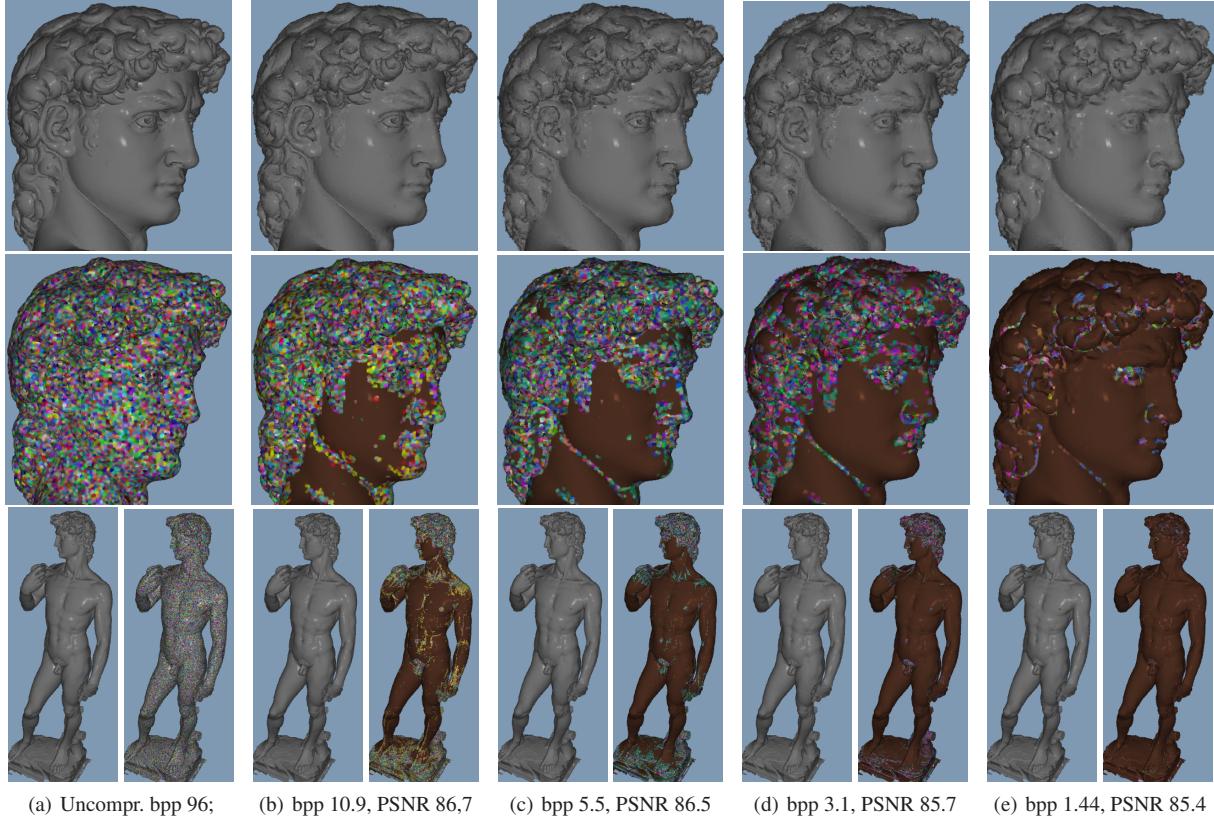
By decreasing the size of the patches, we trade compression ratio for an increased likelihood of finding suitable matches. So far, patches are all equally sized and fairly small (100 to 1000 points). We would like experiment with differently sized patches. We also plan to include additional point attributes in the algorithm, like colors and material parameters, and introduce Level-of-Detail [YLM06, HMHB06]. Finally, we wish to apply our method to forward rendering, by exploiting instanced rendering using graphics hardware.

## Acknowledgments

We thank the graphics group at Stanford University for sharing their 3D models. All authors acknowledge structural research funding at the Expertise center for Digital Media by the ERDF (European Regional Development Fund), the IBBT (Flemish Interdisciplinary institute for BroadBand Technology) and the Flemish government.

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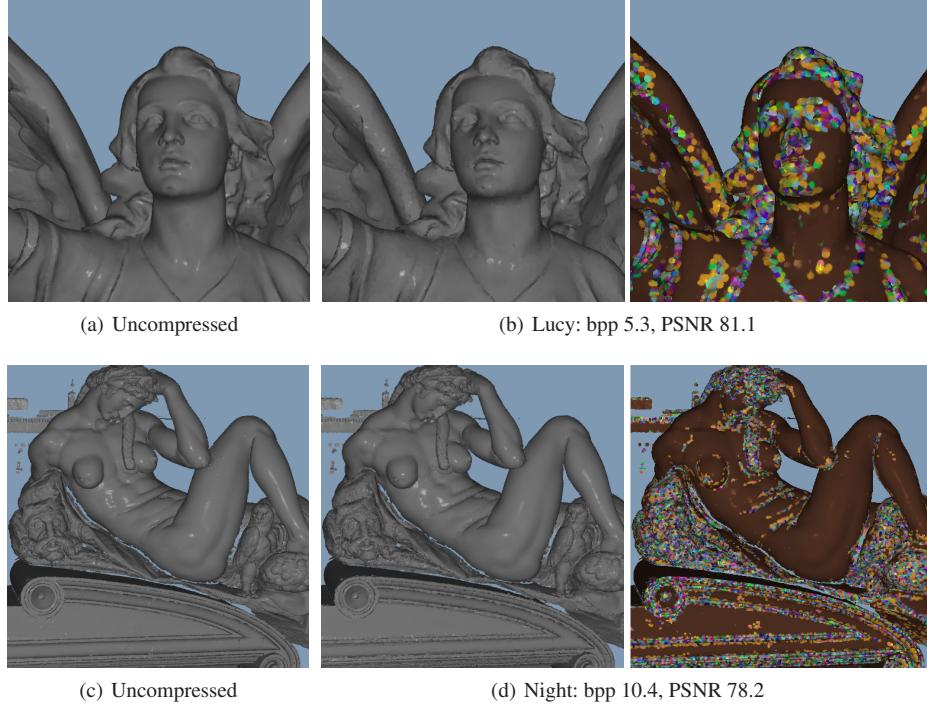
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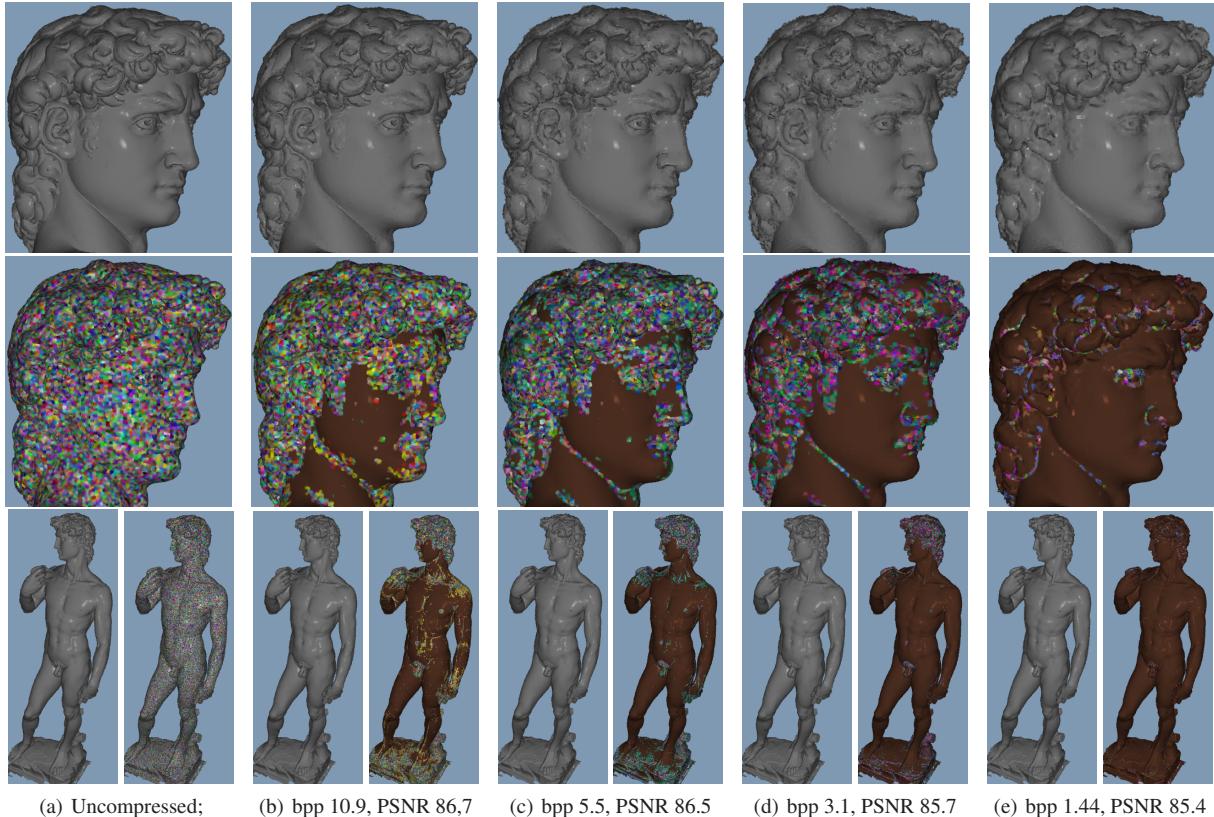
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**Figure 7:** For abbreviations see Figure 6. (a)(b) Lucy (14 M Points), (c)(d) Night (11 M points)

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