

Deep Convolutional Neural Network for Fingerprint Pattern Classification

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Abstract

Fingerprints are broadly categorized into five pattern class types. Fingerprint pattern classification is useful for quick exclusions and therefore reducing the search space by allowing for search and comparison only within same pattern class type. Fingerprint pattern classification can be done by visual examination of shape and characteristics of regions of a fingerprint; or using classification algorithms such as neural networks or K-nearest neighbors that are trained to recognize some specified patterns. To our knowledge, all of the current fingerprint pattern classification algorithms require some processing of fingerprint images to extract features, for example, estimate orientation flow and detect singularities. In this paper, we present deep learning approach for automated fingerprint pattern type classification without explicit characterization of fingerprint or any feature extraction. This method uses deep convolutional neural network as feature extractor and a Support Vector Machine as classifier. Our results show that the proposed approach outperforms the state-of-the-art approaches, achieving 98.61% accuracy on NIST SD14 and 100% accuracy on NIST SD4.

1. Introduction

Fingerprints are ridge and valley patterns presented on the surface of human fingertips. Fingerprints are used to recognize humans for applications such as verifying an identity claim (*i.e.*, one-to-one search to unlock a smartphone, for example), or identification (*i.e.*, one-to-many search to find a suspect of a crime, for instance). Typically, to query a fingerprint, a system needs to search and compare the query print with the fingerprints stored in its reference (or enrolled) database. The size of a reference database can be from thousands to hundreds of millions of subjects, depending on the application. For example, the Aadhaar project in India has enrolled 111,98,29,743 persons as of February 18, 2017 [2]. As the size of the database grows, the number of comparisons to be made for identification purposes grow, so does the computation time. To mitigate this problem, most fingerprint recognition algorithms

first classify a fingerprint into a basic pattern type class and then perform fingerprint matching within fingerprints of that type. The major five fingerprint pattern types used today are an extension of the three pattern types (whorl, loop, and arch) introduced by Henry Faulds (Henry classification system [11]) and Sir Francis Galton [9] in late 19th century. These five pattern types are: arch, left loop, right loop, tented arch and whorl, see Figure 1. The Fingerprint Source Book [1] defines each of these patterns as follows: Arch is a pattern type in which the friction ridges enter on one side of the impression and flow, or tend to flow, out the other side with a rise or wave in the center. Tented arch is a pattern type that possesses either an angle, an upthrust, or two of the three basic characteristics of the loop. Loop is a pattern type in which one or more friction ridges enter upon one side, recurve, touch or pass an imaginary line between delta and core and flow out, or tend to flow out, on the same side the friction ridges entered. Loops can be left slant loops (or left loops), in which the pattern flows to the left in the impression; or right slant loops (right loops), in which the pattern flows to the right in the impression. Whorl is a fingerprint pattern type that consists of one or more friction ridges that make, or tends to make, a complete circuit, with two deltas, between which, when an imaginary line is drawn, at least one recurving friction ridge within the inner pattern area is cut or touched.

Fingerprints collected in real world do not rigidly follow these definitions. In fact, many fingerprints can be classified into multiple pattern types at the same time due to ambiguity in their ridge flow and shapes. Nonetheless, as mentioned above, to manage the computation load, large scale fingerprint identification algorithms employ multi-stage matching whose first step is often filtering based on fingerprint pattern type.¹ As such the accuracy of the fingerprint classification algorithm largely influences the identification accuracy. An error in finger pattern classification will propagate throughout the system, and ultimately result in an recognition error. Challenges in fingerprint pattern classification include: 1) quality of fingerprints, character-

¹Some of more recent fingerprint classification algorithms use continuous classifications instead of discrete classes. These continuous spectrums are beyond the scope of this paper because of their non-intuitive and proprietary nature as they are developed for a dedicated recognition algorithm.

izing poor quality images are particularly difficult, 2) small inter-class dissimilarity and small intra-class similarity, for example, tented arch and loop may look similar; 3) ambiguities in some pattern class labels, some fingerprints can be classified into multiple classes, or different classes by different fingerprint experts.

In this paper we propose an automated fingerprint pattern classification that unlike previous finger pattern classifiers, does not require feature extraction. Specifically, we trained a deep convolutional neural network (deep ConvNet) to take a fingerprint image as an input and classify it into one of the five pattern class types of a) Arch; b) Tented Arch; c) Left Loop; d) Right Loop; or e) Whorl.

The rest of the paper is organized as follows. Section 2 overviews previous work. Section 3 details our technical approach. We describe our experimental set up, data and results in Section 4. Finally, we conclude in Section 5 and present our suggested way forward.

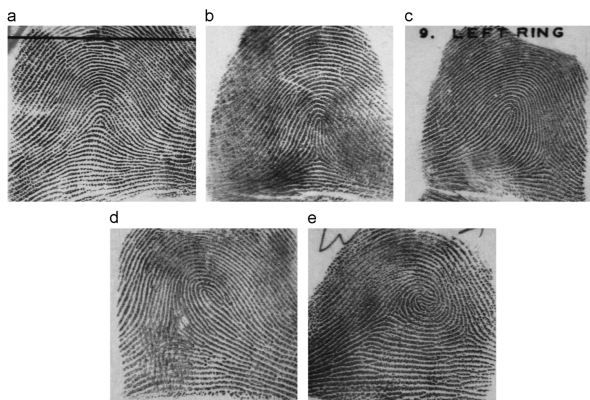


Figure 1: Examples of fingerprint classes[6]: (a) Arch, (b) Tented Arch, (c) Left Loop, and (d) Right Loop. Because arch and tented arch look similar and account for only a small portion in human, most often they are combined into one class.

2. Previous work

Fingerprint pattern classification is a well studied field and there are many works reported in literatures. An overview of some related work follows. Karu and Jain [13] presented a rule-based classifier based on extracting singular points. Fitz and Green [8] used a Hexagonal Fourier Transform to classify fingerprints into whorls, loops and arches. Jain *et al.* [12] used a bank of Gabor filters to compute a feature vector (FingerCode) and then used a K-nearest neighbor classifier and a set of neural networks to classify a feature vector into one of the five fingerprint pattern classes. Cappelli *et al.* [7] partitioned a fingerprint directional image into “homogeneous” connected regions ac-

cording to the fingerprint topology, resulting in a synthetic representation which is then used as a basis for the classification. Bernard *et al.* [5] used the Kohonen topologic map for fingerprint pattern classification. Kai Cao *et al.* [6] proposed to extract fingerprint orientation feature and used a hierarchical classifier for classification. Ruxin Wang *et al.* [19] also used orientation filed as features.

Previous works mostly consist of singularity points (core and delta) detection or extracting features such as ridge and orientation flow, or using human markups (or handcrafted features) as the basis for pattern type classification. Therefore, the accuracy of these methods depends on the goodness (or utility) of the selected features and the precision of the feature extraction portion of the pattern classification algorithms. Both are sensitive to the noise and the variations of the gray-scale level of the input image. Using handcrafted features can improve performance. However, in addition to being burdensome and time consuming, accuracy of handcrafted features cannot be guaranteed due to the existence of noise and poor image quality. Their repeatability and reproducibility cannot be guaranteed either, due to inter- and intra-examiners variations [18]. Our approach differs from the previous works in the sense that we use fingerprint images instead of features as input. Convolutional neural network (CNN) has the capability of learning features and it can be directly applied on raw images. CNN exhibits powerful classification capability in many areas[15][17]. Different from common CNN-based approach, we employ a Support Vector Machine (SVM) on top of deep ConvNet as classifier for prediction.

3. Methodology

Figure2 illustrates our technical approach. The top row shows the steps of the training process. First, training images are preprocessed using data augmentation techniques to increase data diversity. The augmented data are fed into deep ConvNet for training. The trained deep ConvNet then serves as a feature extractor for a SVM which uses the deep features from the trained deep ConvNet as input, and is trained to classify the pattern type. During the testing, shown in the bottom row of Figure2, testing images are fed into the trained deep ConvNet for deep features extraction. These intermediate deep features are used as input features to the trained SVM. The output of the SVM is our final pattern class prediction.

3.1. Deep ConvNet Architecture

Our proposed network architecture (Figure 4) is based on deep residual network proposed by Kaiming He *et al.* [10]. Deep residual network has been proven to outperform other deep plain networks because it addresses the degradation problem by reformulating the layers as learning residual functions instead of learning unreferenced functions. Ta-

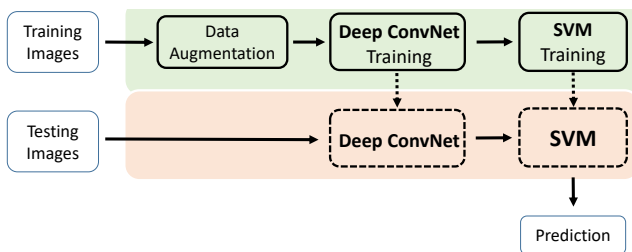


Figure 2: Overview of proposed approach.

ble1 summarizes the details of our network. The input size of our deep ConvNet is 512×512 and the number of channels is 1. The first two layers of our network are convolutional layers which has $96 \ 7 \times 7$ filters and the stride is 2. The third layer has $64 \ 7 \times 7$ filters and the stride is 2. *conv4*, *conv5*, *conv6* and *conv7* are composed of residual building blocks. Specifically, there is a max pooling layer before *conv4*. The parameters inside the brackets specify the residual building block size. The multiplier after bracket specifies the multiplicity of the that block in that layer. More details and explanations regarding network architecture can be found in [10]. The global pooling layer in *conv8* generates 1×1 , 2048 output and the last layer uses $5 \ 1 \times 1$ filters to generate the final prediction. The number of parameters of proposed deep ConvNet is 24.26 million. We use Relu[16] as intermediate activation function.

The novelty of our network is that we use 512×512 as network input size. This preserves the detail of fingerprint information to the extent possible. However, the larger the size of input images, the larger the computational cost. We empirically searched for the optimal input image size and we found that the performance drops as the size gets smaller, and it drops significantly for images smaller than 224×224 – as shown in Figure3, down-sampling the images to 224×224 , results in loss of information content of prints and reduces the clarity of ridge details and deltas and cores. Therefore we decided against significant down sampling. We also ruled out cropping or segmenting the fingerprint portion of an image, that is removing background and non-fingerprint portion of images to get smaller images, because of its requiring to employ a segmentation algorithm and reliance on the accuracy of the segmentation algorithm – recall that one of our objective has been to avoid fingerprint processing and characterization. After careful visual inspection of fingerprint images of different sizes, we decided to use 512×512 pixels as input size for the following reasons. First, sufficient fingerprint detail is preserved at this size. Second, it is a reasonable size for rolled fingerprints. Finally, it is the original image size of one of the datasets we used, which is NIST SD4. To remedy the huge computational cost and high memory usage during the

training, we added *conv1* and *conv2* with stride 2 to down-sample the input images. As shown in Table.1, after *conv2*, the feature map size is 128×128 , 96. So, the spatial size is reduced (from 512×512 to 128×128) and spatial information is stored in the increased channels (from 1 to 96).

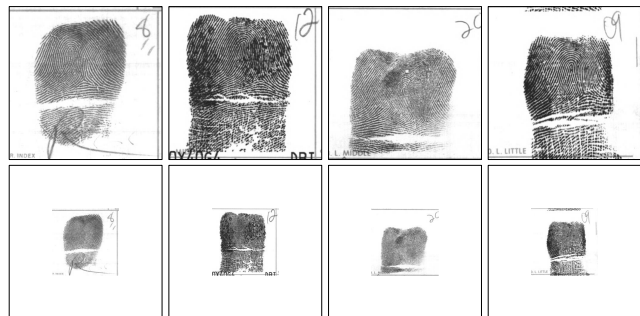
Figure 3: Example images from NIST SD14 with different spatial sizes. The top row images are 512×512 and the bottom row are 224×224 . Ridges of top images are more distinguishable than that of bottom images.

Table 1: Detail of proposed deep ConvNet. The format is inspired by [10]

Layer	detail	Output size
conv1	7×7 , 96, stride=2	256×256 , 96
conv2	7×7 , 96, stride=2	128×128 , 96
conv3	7×7 , 64, stride=2	64×64 , 64
conv4_x	3×3 max pooling	16×16 , 256
	$\begin{pmatrix} 1 \times 1, 64 \\ 3 \times 3, 64 \\ 1 \times 1, 256 \end{pmatrix} \times 3$	
conv5_x	$\begin{pmatrix} 1 \times 1, 128 \\ 3 \times 3, 128 \\ 1 \times 1, 512 \end{pmatrix} \times 4$	8×8 , 256
conv6_x	$\begin{pmatrix} 1 \times 1, 256 \\ 3 \times 3, 256 \\ 1 \times 1, 1024 \end{pmatrix} \times 6$	4×4 , 1024
conv7_x	$\begin{pmatrix} 1 \times 1, 512 \\ 3 \times 3, 512 \\ 1 \times 1, 2048 \end{pmatrix} \times 3$	4×4 , 2048
conv8	global pooling	1×1 , 5
	1×1 , 5	

3.2. Data Augmentation

Fingerprint images exhibit a wide range of location, rotation, brightness and contrast. To enhance the generalization ability of our ConvNet, we adopt data augmentation techniques to increase the data diversity.

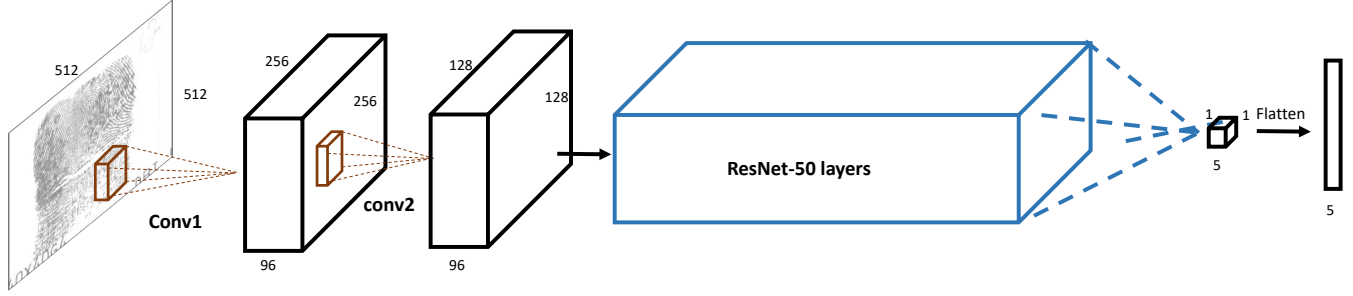


Figure 4: Architecture of proposed CNN.

To augment training dataset, we applied below augmentation techniques:

1. Random Cropping. The input images are first resized to 532×532 . We randomly cropped a 512×512 region from the resized images.
2. Random Rotation. We randomly rotate the input images by ω degrees where $\omega \sim \text{uniform}(-30^\circ, 30^\circ)$.
3. Random Brightness. Random brightness change is performed on the input images. The gray scale of the input images I are change to $I + \delta$ where δ is sampled from $\text{uniform}(-50, 50)$.
4. Random Contrast. We randomly change the contrast of images. The contrast factor is sampled from $\text{uniform}(0.4, 1.6)$.

Some of the augmented images are shown in Figure.5. Note that the augmented images are only used during training deep ConvNet. In testing stage, we use original images as input.

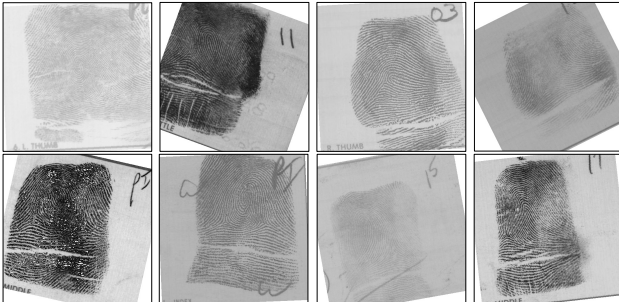


Figure 5: Examples of augmented NIST SD14 fingerprint images. These generated images are used as training data.

3.3. SVM

We examined two scenarios: the deep ConvNet is trained for feature extraction and classification and another scenario where the deep ConvNet only serves as a feature extractor and a non-linear SVM is trained as classifier. For the latter case, the kernel is radial basis function(RBF). The gamma of RBF kernel is set to be $\frac{1}{n}$ where n is the feature dimensionality. The penalty for error term C is set to be 1.0. We use the output of conv7_x as features. Therefore, each sample is represented by a feature vector $x \in \mathbb{R}^d$ where $d = 4 * 4 * 2048 = 32768$. The output of SVM is the predicted label \hat{y} indicating one of the fingerprint pattern class types.

4. Experiments

4.1. Dataset

We used NIST Special Database 4 [4] and NIST Special Database 14 [3] for our experiments.

NIST SD4 contains 2000 8-bit gray scale fingerprint image pairs, a total of 4000 images. Each fingerprint pair consists of two different rollings of the same finger. The size of each image is 512×512 pixels and each image is classified using one of the five following classes: Arch, Left or Right loops, Tented Arch, or Whorl. The database is evenly distributed over each of the five mentioned classifications with 400 fingerprint pairs (800 images) from each class.

NIST SD14 contains 27000 8-bit gray scale fingerprint image pairs, a total of 54000 images. There are 2700 subjects in this dataset and each subject has 10 fingerprint pairs. The size of each image is 768×832 . To fit in our network (see Section 3.1), we centrally crop each image into a 768×768 pixels image and then resize it into 512×512 pixels using bilinear interpolation. Each image is classified using the five finger pattern types mentioned above by professional fingerprint examiners. Table 2 shows the distribution of fingerprint pattern classes. The distribution of classes are supposed to approximate the natural horizontal distribution of the five pattern type classes. We can see that

unlike NIST SD4, arch and tented arch samples are only a small portion of NIST SD14.

Table 2: Fingerprint Pattern Class Distribution of NIST SD14.

Arch	Left Loop	Right Loop	Tented Arch	Whorl
3.6%	31.9%	30.5%	3.2%	30.8%

4.2. Experimental Setup

We used a i7-5930K desktop with 32GB memory and a Nvidia GTX TITAN X GPU for experiments. We used Tensorflow 1.0.1 as the deep learning library and Adaptive Moment Estimation(Adam[14]) as the optimization algorithm. The learning rate is 0.0001. We also used ℓ_2 regularization with 0.0001 weight decay rate. The batch size is 32. We ran two sets of experiments using NIST SD4 and NIST SD14. Each experiment is trained for 20k steps.

For the NIST SD14 experiment, we used images of the 80% of the subjects for training, a total of 2160 subjects, 43200 images. Among these 43200 images, 36 of them have labels other than the 5 classes mentioned above. These 36 images were discarded. Images from the remaining 20% of the subjects are used for testing, a total of 10800 images. 9 of these images were discarded due to the same reason above.

For the NIST SD4 experiment, we adopted two evaluation protocols. The first protocol is cross-sample, where we used the first samples of each fingerprint pair for training and the second samples for testing. This is the same protocol used by previous works reported in the literature, and therefore allows for a more relevant comparison of our results with related works. The second protocol is cross-finger, where we used images of 50% of the fingers for training and the other 50% for testing. This ensures images of the same finger does not exist in the training and testing sets at the same time. To improve the performance for the NIST SD4, we used NIST SD14 data to train the model, that is, the training data comprises of 50% of NIST SD 4 and 100% of NIST SD 14 images.

The following sections, report classification accuracy for 5-class fingerprint pattern type classification for two cases: a) SVM is trained as a classifier using deep features generated by our trained ConvNet, and b) ConvNet is used as the classifier. Additionally, we evaluated the performance of the SVM on 4-class fingerprint classification where arch and tented arch classes are combined. 4-class classification is also reported in other studies.

4.3. NIST SD14 results

Table3 summarizes our results for NIST SD14 images. ConvNet and SVM achieve similar accuracy (0.9861) for 5-

class pattern type classification. However, ConvNet seems to perform slightly better in terms of average precision, recall rate and F1 score. Performance of the SVM classifier is slightly improved when arch and tented arch are combined into one class (4-class classification), achieving accuracy of 0.9875. The confusion matrices for the 5-class classification are shown in Figures 6a and 6b. Figure 7a shows similar results for the 4-class classification. Despite the unbalanced distribution of fingerprint pattern class types, as indicated by the small number of images of arch and tented arch pattern type compared to other pattern classes, our approach achieves high accuracy. The lowest precision (0.959) and recall (0.950) rates are observed for tented arch. We believe this is due to lack of sufficient training samples as well as possible label ambiguity. Figure 7a shows improved precision and recall rates (0.98), suggesting combining arch and tented arch classes can eliminate some cases of mis-classifications.

Table 3: Experiment results for NIST SD14. Columns 4, 5 and 6 report the average precision, recall and F1 score for all predicted classes.

method	# of classes	accuracy	average precision	average recall	average F1 score
ConvNet	5	0.9861	0.9843	0.9793	0.9817
SVM	5	0.9861	0.9822	0.9781	0.9801
SVM	4	0.9875	0.9869	0.9867	0.9868

Figure8 shows some examples of mis-classification cases for the NIST SD14.

4.4. NIST SD4 Result

Table4 summarizes our results for NIST SD4 images. We make three observations from Table4. First, for both protocols, the SVM performs better than ConvNet not only in accuracy but also in average precision, recall rate and F1 score. In cross-sample protocol, the accuracy of 5-class SVM is 0.9275, which is 0.006 higher than 5-class ConvNet. In cross-finger protocol, the accuracy of 5-class SVM is 0.912, 0.014 higher than 5-class ConvNet. Our second observation is that cross-finger protocol shows lower performance compared to cross-sample. For 5-class ConvNet, the accuracy drops 0.023. SVM shows smaller performance drops: for 5-class SVM, the accuracy is 0.015 lower, and for 4-class SVM, the accuracy drops 0.011. The performance drop is small though, indicating the generalization ability of our proposed method. Thirdly, as we observed and discussed with NIST SD 14 results, the accuracy is improved when tented arch and arch classes are combined into one-class. The accuracy of 4-class SVM is 0.022 higher than 5-class SVM in cross-sample and 0.027 higher in cross-finger. This indicates some mis-classification errors can be eliminated by combining arch and tented arch classes.

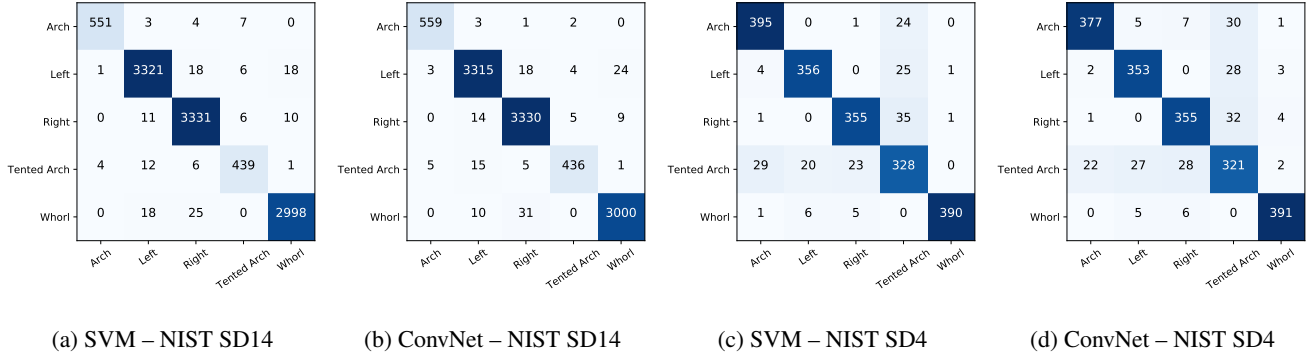


Figure 6: Confusion Matrices for 5-class classification

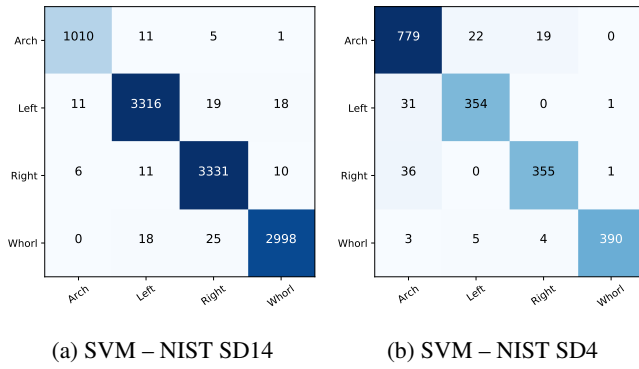


Figure 7: Confusion Matrices for 4-class classification

Figure 6c and Figure 6d show confusion matrices for 5-class classification using cross-finger protocol. Figure 7b shows similar results for 4-class classification and cross-finger protocol. Similar to NIST SD 14 results, tented arch gives the lowest precision (91.8%) and lowest precision rate (94.0%) among five classes. About 17% of the NIST SD 4 images have two class labels. Because of the ambiguity in class types, the images were assigned primary and secondary pattern class types. Previous work used performance criteria such that classification into either primary or secondary class being counted as a correct classification. We followed similar performance criteria. The training procedure remains the same as before where we use only the primary pattern class labels for training. In testing stage, for the 17% of the samples with more than one class label, as long as the prediction matches one of the labels the test sample is considered as a correct classification. Results tabulated in Table 5 shows a significant performance gain. Our proposed ConvNet achieves 0.9535 accuracy for cross-sample protocol, which is 0.032 higher than before. And 0.945 accuracy, for cross-finger protocol, which is 0.046 higher than before. The proposed 5-class and 4-class SVMs achieve 100% accuracy for both cross-finger

and cross-sample protocols.

Table 4: Experiment results for NIST SD4. Columns 4, 5 and 6 report the average precision, recall and F1 score for all predicted classes.

method	# of classes	accuracy	average precision	average recall	average F1 score
Cross-Sample					
ConvNet	5	0.9215	0.9225	0.9215	0.9217
SVM	5	0.9275	0.9325	0.9275	0.9288
SVM	4	0.9495	0.9576	0.9459	0.9514
Cross-Finger					
ConvNet	5	0.8985	0.8991	0.8986	0.8987
SVM	5	0.9120	0.9132	0.9117	0.9123
SVM	4	0.9390	0.9452	0.9357	0.9403

Table 5: Experiment results for NIST SD4 with two labels.

method	# of classes	accuracy	protocol
ConvNet	5	0.9535	cross-sample
SVM	5	1.0	cross-sample
SVM	4	1.0	cross-sample
[6]	5	0.959	cross-sample
[6]	4	0.972	cross-sample
[19]	4	0.980	not-specified
ConvNet	5	0.945	cross-finger
SVM	5	1.0	cross-finger
SVM	4	1.0	cross-finger

4.5. Discussion

Experiment results indicate that our proposed method can successfully perform fingerprint pattern class type classification on raw fingerprint images without any feature extraction, and, to the best of our knowledge, achieves better results than previously reported work. Using Deep ConvNet as a feature extractor and train a SVM on top of the



Figure 8: Examples of mis-classification cases for NIST SD14. Each example is labeled with *Prediction(Ground Truth)*

ConvNet can bring further performance gain compared to a standalone Deep ConvNet. Tented arch and arch pattern class types contribute the most error rate among the five classes. Combining arch and tented arch classes into one improves performance. Allowing more than one class assignment for the ambiguous cases result in further improvements.

5. Conclusion and Future Work

We presented a deep learning approach for automated fingerprint pattern type classification. We designed a deep ConvNet based on residual network. To preserve as much fingerprint details as possible, the input image is designed to be 512×512 pixels and we used two early convolutional layers to reduce the computational cost. We did data augmentation to improve data diversity. The deep ConvNet serves as a feature extractor and a SVM is trained as the final classifier. Experiment results show that our proposed method achieves high accuracy comparable to, or slightly better than, the state-of-the-art approaches. Furthermore, our method uses raw images as input and therefore does not require any explicit feature extraction.

We did not report reliability (or uncertainty) associated with accuracy of our method. We will include that as part of our future work by using different sampling of test and train sets. We would like to have tested our method on a larger datasets, but we were limited by the availability of ground-truth pattern class labels. We are seeking solutions for that. Also, as part of future work, we like to examine the robustness of our method particularly when dealing with images of poor quality. Other future works include using more advanced deep networks and ensemble techniques to fuse multiple classifiers.

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