

FORM 8

COMMONWEALTH OF AUSTRALIA

PATENTS ACT 1952

DECLARATION IN SUPPORT OF AN APPLICATION FOR A PATENT

In support of an application made by BRENDAN DAVID COSTELLO

for a patent for an invention entitled: "METHOD AND APPARATUS FOR  
VERIFYING IDENTITY"

- I, BRENDAN DAVID COSTELLO of Meadow House, Sibton Road,  
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solemnly and sincerely declare as follows:

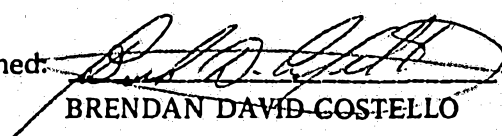
1. I am the applicant for the patent.
2. I am the actual inventor of the invention.
3. The basic applications as defined by Section 141 of the Act were made in  
my name

both in Great Britain on 7 May 1986 (Application Nos. 8611074 and 8611075)

4. The basic applications referred to in the preceding paragraph of this  
Declaration were the first applications made in a Convention country for  
protection in respect of the invention the subject of this application.

Declared at Peasenhall  
Suffolk UK this 27th day of July 1990.

Signed:

  
BRENDAN DAVID COSTELLO

GRIFFITH HACK & CO, GPO BOX 4164, SYDNEY, NSW, 2001  
AUSTRALIA

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**METHOD AND APPARATUS FOR VERIFYING IDENTITY**

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The term "coincident sequence" for a set of finger print characteristics is defined herein as being:

1. identity of the type of the finger print characteristic;
2. the relative location of that characteristic to the others in the group;
3. the orientation relative to the other characteristics in the group; and
4. the count of the ridges lying between any one characteristic and each and every other characteristic in the set.

**CLAIM**

6. A method for verifying the identity of a person relative to a record of topographically related permanent, natural, physical characteristics purporting to belong to a friction skin surface of that person, which method is

characterised in that it comprises comparing the coincident sequences as hereinbefore defined of at least six fingerprint characteristics observed on a finger of that person at the site of such identification with the said record at the site, which record carries information in machine readable form relating to the coincident sequences of characteristics of a fingerprint purporting to correspond to that of the finger being presented by the person at the site.

9. Apparatus for use in the method of any one of claims 1 to 7, which apparatus comprises: a means for scanning a finger of a person; a signal generating apparatus operatively associated with the scanning means and programmed to generate machine readable signals identifying the type, relative location and relative orientation of characteristics of the ridge pattern of that finger and the count of the number of ridges on direct imaginary lines drawn between each and every one of the characteristics located; means for scanning a record containing machine readable signals purporting to identifying the type, relative location, relative orientation and ridge counts for characteristics corresponding to those located during the scanning operation; signal processing means for receiving the signals from the record scanning operation and from the finger scanning operation signal generation means, which processing means is programmed to process the record and scanned finger signals so as to establish coincident sequences as hereinbefore defined in the recorded characteristics and in the characteristics located on the scanned finger; and means for comparing the signals identifying the characteristics in the said coincident sequences to establish the existence or otherwise of identity therebetween.



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(54) Title: METHOD AND APPARATUS FOR VERIFYING IDENTITY

(57) Abstract

This document contains the  
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Section 49 and is correct for  
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Method for verifying the identity of a person or for relating the identity of a person to a document or other thing presented by that person, which method comprises: (a) observing topographically related permanent natural physical characteristics on a person to provide a machine readable identification of the identity, relative orientation and relative location of a plurality of the observed characteristics; (b) comparing the observed characteristics with a machine readable record of the identification of the identity, relative orientation and relative location of the corresponding topographically related permanent natural physical characteristics purporting to belong to that person; (c) establishing the existence or otherwise of substantial identity between a plurality of the characteristics held in the record and those observed, the establishment of identity being based upon the identification, relative orientation and relative position of at least some of the characteristics; characterised in that the establishment of identity also includes: (i) selecting a first set of at least three of the characteristics, which may be the same or different, from the record and a second set of at least three of the characteristics, which may be the same or different, from the observed characteristics; (ii) counting the numbers of some other permanent natural physical feature lying between each of the characteristics with respect to each and every other member of that set for each of the first and second sets; and (iii) comparing the counts for each and every characteristic in a set with the corresponding counts for the other set to substantiate identity between the two sets.



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TITLE:METHOD AND APPARATUS FOR VERIFYING IDENTITY

The present invention relates to a method and apparatus for verifying the identity of a person, notably by correlating certain characteristics of the finger print of that person with a machine readable identification of the characteristics of that finger print carried by an object presented concurrently with the finger print at a locus or contained in a record available to the locus.

10 BACKGROUND TO THE INVENTION:

Credit cards and bank cheque cards as currently used by many millions of people carry information relating to the user in machine readable form, usually in the form of one or more magnetic stripes or other recording medium on or in the card carrying binary or other coded information thereon. This provides a simple method for identifying the account to which a transaction relating to that card is to be debitted. However, there is no means contained in the card for verifying that the person presenting the card is the true owner of the card, other than the signature of the card holder. Such a signature can readily be copied with sufficient accuracy to satisfy the cursory inspection usually given to such signatures at the location of use. It is thus possible for a thief to use a stolen card for a period of time as if he were the true owner thereof. Losses due to theft and fraud of credit cards currently runs at many millions of pounds per annum.

Many attempts have been made to personalise credit and other cards so that it is possible to verify that the person presenting the card is the true owner. Such proposals have in general required the incorporation of a secret code within the magnetic strip or some other medium carried by the card which the presenter has to identify correctly when

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using the card. For example, bank cards require the identification of a special number (the PIN number) before the card can be accepted. However, many users carry their PIN number written down on a cheque book or the like which  
5 they carry with their cheque card to act as an aide memoire, notably where they use more than one bank or credit card. When the card is stolen, the PIN number often becomes available to the thief and he can thus present the card as if he were the true owner. The more complex the PIN or  
10 other code to be identified, the greater the security against a thief randomly picking the correct code; but the more likely it is that the owner will carry some form of aide memoire. Furthermore, the use of a PIN number is only possible where the number can be verified on site when the  
15 card is presented. This effectively limits the use of the PIN number to locations either linked to the central location from which the PIN number was issued, for example to banks which are linked via a data transmission network or to locations having means for keying in data on the PIN  
20 number and verifying that against the card. Many locations, eg. retail stores or garages, do not have these facilities.

It has been proposed to use a photograph of the card user as a supplement to or in place of the PIN number on a card to  
25 increase the security thereof, but sophisticated photographic and other techniques have enabled acceptable forgeries to be produced readily. Furthermore, verification of the identity of the presenter's photograph is again often cursory.

30 It has also been proposed to incorporate coded information e.g. in binary coded form, about the person's fingerprint on the card and to compare this information with a corresponding record held in a data base. In one form of  
35 such a proposal, the whole of the fingerprint image is

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stored upon the card and when verification is required it is necessary to display both the presenter's fingerprint and the print extracted from the record on the card for visual comparison. In an attempt to mechanise the comparison of the fingerprint with the stored data, it has been proposed to store the data either on site at the location where identification is required or at a remote location which is accessed from the verification site. In the former case, the amount of data required to enable identification to be carried out means that records of only a few people can be stored on site. Where a remote data store is used, this can store data for a large number of people, but the verification time is then far longer than members of the public would accept and, again, the system is of use only at those locations which have access to the remote data base.

It has also been proposed to record only some of the data relating to the identity, orientation and position of certain characteristics of a person's fingerprint on the card and to compare that with the corresponding finger print presented by the user. Whilst this may reduce the amount of data required to be stored on the card, the accuracy of that method is stated by one source to be as low as 2%, making it unacceptable for many commercial operations unless it is supplemented by some other form of identity check carried out at the same time.

The need to relate the identity of a person to a document purporting to identify or relate to that person arises in a wide number of other circumstances, for example to control access to high security areas in buildings, at polling stations during elections, at immigration checks at air ports and the like, and in general at any location where a lock mechanism is used to prevent unauthorised access to a locus or use of a device. The need for a simple and

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accurate method for identifying or relating a person to a document or other object is thus widespread and of increasing importance. So far, despite all the previous proposals, no satisfactory solution to the problem has been  
5 proposed.

I have now devised a system by which the identity of a person can be rapidly and accurately verified or related to a document or other thing presented by that person, but  
10 which can be adapted for use wherever such relation or verification is required without the need for a complex and costly data base either on site or at a remote location. Furthermore, since the information used in the verification is based on physical characteristics of the person's body,  
15 notably the ridge pattern on his finger, the user does not have to carry any PIN number or other aide memoire.

SUMMARY OF THE INVENTION:

20 According to the present invention there is provided:

a method for verifying the identity of a person or animal relative to a record of topographically related permanent, natural, physical characteristics of the body of a person or animal, which record purports to belong to that person or animal, the record including at least four data packages, each data package comprising one or more machine readable codings relating to the type, orientation, and location of an individual one of the said characteristics, whereby the record contains data relating to at least four of the said characteristics, characterised in that:

A. the said data packages each include one or more machine readable codings relating to the separate counts of the number of some other permanent, natural, physical feature on the body lying on each of the imaginary lines extending between the characteristic to which that data package relates and each and every other characteristic in said at least four characteristics; and



B. the method comprises in any order, sequentially or concurrently the steps of:

a) observing, in any order, sequentially or concurrently topographically related permanent, natural, physical characteristics of the body of the person or animal;

b) assigning, in any order, sequentially or concurrently to each of selected individual observed characteristics a data package comprising machine readable codings relating to the type, orientation, and location of that observed characteristic and relating to the separate counts of the number of some other permanent, natural, physical feature on the body lying on each of the imaginary lines extending between that observed characteristic and each and every other characteristic in the said selected observed characteristics;

c) in any order, sequentially or concurrently electing at least four of the data packages from one of either of the record or the data packages relating to the observed characteristics;

d) in any order, sequentially or concurrently comparing the machine readable codings from the elected data packages with the machine readable codings of the data packages in the other of the record or the data packages relating to the observed characteristics; and

e) establishing the existence or otherwise of substantial identity between at least four of the elected data packages with data packages in the other of the record or the data packages relating to the observed characteristics.



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The method of the invention can be applied to a wide range of topographically related physical characteristics and features on the body of a person or an animal, for example the ridge patterns on the palm of the hand, on the toes and from the sole or heel of a foot. Thus, the invention can be used to provide means for identifying invalid or paraplegic persons who can not readily provide finger prints, or victims of malformation or accidents who do not possess hands or have lost fingers. However, the invention is of especial application in the use of finger print characteristics and features to provide a simple and secure method for identifying a person. For convenience the invention will be described hereinafter in terms of this preferred application.



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- Since the data required for operation of the method of the invention is usually less than that required in other systems, it is possible to hold all the necessary data in the magnetic stripes on a card or in a small memory chip, for example as used in the so called Smart card. There is therefore no need for a separate large data store and the system of the invention readily lends itself to use where on-the-spot identification and/or verification is required, for example at retail store, bank or garage cashpoints.
- 10 Since no image of the fingerprint can be recovered from the characteristics stored in the record, the psychological objection many users have to the concept of someone else holding their fingerprint record is overcome.
- 15 Thus, in a preferred method of the invention, the characteristics on a finger of a person are compared with the record purporting to be that of the corresponding finger of the person to determine substantial identity of a number of finger print characteristics and the ridge counts between
- 20 sets of those characteristics.

The term "permanent natural physical" is used herein in terms of the characteristics and features of a person to denote a feature of characteristic which is present from birth on the body of the person and remains present throughout the normal life of the person. The term does not include features which are of a transient or temporary nature or features which are introduced after birth. Thus, examples of permanent natural physical characteristics

30 include the interruptions in continuity of the ridges on a finger and the ridges themselves are permanent natural physical features. By way of contrast scars or creases in the skin are either not natural and/or not permanent.

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Finger prints are classified by the patterns of the ridges which occur on the skin covering the finger tip. These ridges are not continuous and break, branch or form loops or other interruptions which can readily be identified in a  
5 finger print. The most common of these interruptions are shown diagrammatically as A1 to A6 respectively in Figure 1 of the attached drawings. For convenience, the term "characteristic" will be used herein to denote singly and collectively the interruptions A1 to A6 as described above.  
10 The method of the invention can be applied using the identification and correlation of all of the above interruptions. However, it will usually be sufficient to identify the interruptions as either ridge ends or ridge bifurcations, the other interruptions being variations of  
15 these two basic characteristics. For convenience, the invention will be described hereinafter in terms of the use of this limited identification of the characteristics.

The skin on a finger from its tip to the first joint may  
20 carry a number, typically up to 80, of the characteristics. In the method of the invention a finger print is scanned to detect the characteristics present and to determine the identity, the relative position and relative orientation of those characteristics and also the number of ridges which  
25 occur between each and every one of a selected group of those characteristics.

The term "coincident sequence" for a set of finger print characteristics is defined herein as being:

- 30 1. identity of the type of the finger print characteristic;
2. the relative location of that characteristic to the others in the group;
3. the orientation relative to the other characteristics  
35 in the group; and

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4. the count of the ridges lying between any one characteristic and each and every other characteristic in the set.

5 For a coincident sequence to exist there must be at least four characteristics in the set being inspected; and preferably at least one characteristic in that set is different from the other characteristics in the set. Whilst the method of the invention can be applied to the location  
10 of a coincident sequence of four characteristics in both of the record and the observed finger print, it will be appreciated that the higher the number of coincident sequences required, the more positive will be the verification of identity between the two sets the smaller  
15 the error rate in making a positive identification. It is therefore preferred that from six to twenty, notably from eight to seventeen, characteristics in coincident sequence in each set should be required in making a positive identification using the method of the invention.

20

Thus, from a preferred aspect, the present invention provides a method for verifying the identity of a person or relating the identity of that person to a document or other thing presented by that person at a locus or held in a  
25 record available to the locus, which method comprises scanning the finger of the person at the locus to provide a machine readable identification of the identity, relative location and relative orientation of the characteristics in coincident sequence of the finger print of that person;  
30 comparing that identification with a machine readable record of the characteristics in coincident sequence from a finger print purporting to be that of that person which has been obtained beforehand and which is presented to the locus concurrently with the finger of the person either on the  
35 document or other thing or from a separate record so that

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the existence of identity of part of all of the coincident sequences of the observed characteristics of the presented finger and the record can be established. Preferably, the coincident sequence contains at least 8 characteristics to  
5 ensure that a unique correlation between the identification and the record is achieved.

The method of the invention can be applied to a wide range of types of record which are to be compared with the actual  
10 finger print of the presenter. Thus, the invention can be applied to a plastics or similar card for use in financial transactions, to a cheque, to pages of an identity document or passport which are presented by the user for verification or to identify the presenter to another. Alternatively, the  
15 record can be held in part of a mechanism which is to be actuated once the identity of the person has been verified. For example, the invention finds use in providing security locks for hotel bedrooms, offices or other locations where it is desired that only certain people should have access.  
20 In these cases the record of the finger print can be located in the lock mechanism so as to permit only accepted people to operate the lock mechanism. Alternatively, the mechanism can be linked to a remote memory/programming centre where the finger print characteristics of the user are encoded and  
25 stored for future use at the mechanism. For example, the characteristics can be encoded at the reception desk of a hotel when the user registers and that information used to encode the lock for his room. The lock mechanism has a scanner unit which observes the characteristics of a finger  
30 presented to it, transmits those to the memory/programming centre for verification and releases the lock once verification has been achieved or refers to its own encoded memory for the verification.

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For convenience, the present invention will be described hereinafter in terms of the use of a plastics card or the like to provide the record for comparison with the actual finger print characteristics in coincident sequence of the presenter in situ at the location where verification is to take place.

For the method of the invention, the record of the characteristics in coincident sequence of the user's finger print is first obtained in a machine readable form for inclusion in the record to be read at the locus at which the user is to present himself. This is usually done by scanning the designated finger of the person. The scanning can be carried out using a number of techniques, eg. optically using high intensity illumination and an array of photosensitive diodes as a camera to record the image or some other optical scanning device such as a laser scanner, to provide an image which can be processed electronically. The scanning device is coupled to an image processor, typically incorporating one or more microprocessors programmed to scan the image observed to identify finger print characteristics, to assign them a binary code identifying them and ascribing them a binary code identifying their position and orientation relative to other characteristics observed. The processor will also observe the ridge count between each and every one of the characteristics to build up the record of the coincident sequences within the record.

The record can be built up in a series of stages, as when the image processor tracks the line of each ridge by the scanning means to locate any characteristic on that ridge. Alternatively, the scanner identifies the characteristic and ascribe the relevant code to them for identity, orientation and

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subsequently establish a ridge count between the located characteristics. For the purposes of the record, it is not necessary that all the finger print be scanned and all characteristics be identified and coded. However, it is preferred that at least 10, and preferably 20 to 40, of the available characteristics be identified and encoded for the record to provide a sufficiently large record from which to compensate for dirt or blemishes in the finger print which is subsequently scanned or for malfunctions in the apparatus to ensure that sufficient valid characteristics can be available for comparison purposes during the verification process.

The record of the finger print characteristics in coincident sequence is preserved in any suitable form which can be readily stored and/or carried and presented by the user. Thus, the information can be stored as a series of electronic signals on a magnetic recording medium, as signals within a read only memory chip, which can be programmable, or as signals in an optically scanned medium carried on or in the card, eg. in holographic form or as a laser readable strip on the card. For convenience, the invention will be described hereinafter in terms of binary coded signals recorded on a magnetic medium, notably in the form of a strip of magnetic medium carrying the record thereon and integrated with the card.

In addition to the information about the characteristics of finger print of the person in coincident sequence, the record may also contain information about the person, eg. his name and address, bank account number and so on. If desired, the record can be formed in two or more sections, eg. with two separate magnetic strip areas on a card, so that the finger print information can be scanned separately from the other data.

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The record can be taken from any finger of the person, for example from the small finger of the left hand for one person, whilst another person can use the print from the middle finger of his right hand for creating the record.

- 5 It will also be appreciated that the record can carry information relating to more than one finger of the person so that he can select the alternative information if one of his fingers should not be available for scanning at the verification locus, as when the finger is bandaged.

100

- As indicated above, the apparatus for scanning the finger print to prepare the record can be selected from a wide range of suitable apparatus and many forms of such apparatus are available commercially, for example as the finger print
- 15 scanners in those methods which use only the spatial configuration of the finger print characteristics. Thus, the apparatus will typically comprise a finger rest having a translucent section through which the ridge pattern on the finger can be observed. The rest typically comprises a
- 20 generally circular cross-section channel into which the user places his selected finger. The channel preferably has an end stop to limit the extent of penetration of the finger axially along the channel so that approximately the same area of the finger will be scanned for each user.

25

- The ridge pattern on the finger in the channel is observed by a suitable sensor, eg. a camera or scanner, notably a photosensitive diode array. This can scan the ridge pattern from a fixed point or, more preferably, can traverse around
- 30 the axis of the finger to scan the ridge pattern from a range of angles. Alternatively, the characteristics of the finger print can be sensed using a pressure sensitive pad.

- The data provided from the sensor is processed to provided
- 35 the necessary binary coding of the characteristics and the

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ridge counts between them. This is achieved in known manner using conventional electronics circuitry and computer components, eg. to convert an initial visual image to suitable electronic signals for retention in the recording medium. Typically, the circuitry will cause the ridge pattern to be scanned to identify the desired characteristics, which may be stored in a read only memory for ease of identification, with the ridge count between each and every characteristic being computed as each new characteristic is located. Alternatively, information for each characteristic located can be encoded directly into the record to build up topographical information on the ridge characteristics. The ridge counts between each and every one of a selected group of the recorded characteristics can then be made as a second function once the data on the characteristics has been captured and encoded. The encoding is preferably done using an n-tuple algorithm or other system using conventional computer techniques.

The coding of the ridge characteristics and the ridge count between them is stored on the recording medium of the card using the card encoding equipment presently available commercially for this purpose. Thus, a magnetic stripe on a plastics card can have the binary coded information recorded on it as if that information were conventional account information as currently recorded on the magnetic stripe on the card.

As indicated above, it is not necessary for the full information about all characteristics on the finger to be encoded and recorded. In a preferred embodiment of the invention, establishing identity between coincident sequences in two to four sets of four characteristics each from the record and the observed finger will give satisfactory results for most applications. Thus, it is

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necessary to ensure that at least eight characteristics and their ridge counts are recorded on the card. This will, however, provide no margin of error in case the person's finger print should be damaged or masked by dirt, or allow  
5 for any malfunctions in scanning the presenter's finger when verification is carried out. It will therefore usually be desired to encode data for at least 10, and usually 20 to 40, of the characteristics present on the finger print being scanned.

10

The above method provides the data upon the card which forms the record against which the user will subsequently have to verify his finger print characteristics at the verification location. At this location, the finger print of the  
15 presenter will be scanned using a similar technique to that outlined above for preparing the encoded data for recording on the card. The data from this scanner is compared with the data held in the record to establish whether or not identity between a sufficient number of coincident sequences  
20 in the record and the finger being scanned to show that the two are from the same person. As indicated above, it is preferred that there should be at least 8 features from each of the record and the scanned finger which are in coincident sequence with one another.

25

The comparison between the record and the finger being scanned need not be carried out in a specified sequence, but can randomly locate characteristics common to the record and the scanned finger and then check whether those features are  
30 in coincident sequence with characteristics already identified as in coincident sequence so as progressively to build up the desired total of characteristics in coincident sequence. Alternatively, the comparison can be carried out in two stages. Firstly to establish identity of type,  
35 position and preferably orientation for at least 8

characteristics between the record and the finger being scanned. Where it is required that 8 characteristics are to be in coincident sequence, it will be preferred to identify 16 or more characteristics in this stage to provide a margin  
5 in case of dirt or damage to ridges preventing an accurate ridge count to be taken for some of the characteristics identified. From the characteristics that have been identified as the same for each of the record and the scanned finger, two or four sets of four characteristics  
10 each are selected from each of the record and the scanned finger, preferably one set from each quadrant of the finger print pattern. Ridge counts are then done for the characteristics of the finger being scanned between each and every characteristic within those sets and compared with the  
15 ridge counts for the record or vice versa. The ridge counts are preferably done firstly within each set and then from one set to another. In this way, the verification of the match between the record and the finger being scanned is carried out progressively and if there is a failure to  
20 achieve coincident sequencing due to dirt or a blemish on the finger being scanned, the match can be aborted at an early stage and a fresh match sequence initiated.

The reading of the record on the card and the scanning of  
25 the finger can be carried out in either order or simultaneously.

30 The data encoded onto the record and as handled during the scanning and comparison of the characteristics at the verification stage can be simple binary code information. However, in order to reduce the risk that unauthorised versions of the record might be made and/or forged versions  
35 of the card made, it is preferred to further encode the



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information to make it difficult for unauthorised use of the card encoder or the finger print scanner.

As indicated above, the scanning of the finger and the  
5 processing of the data therefrom to provide information on the coincident sequences in the characteristics observed during the scanning can be carried out using conventional equipment which can embody many of the features described above for the preparation of the record. The comparison of  
10 the record with the information from the scanning of the finger can be done using conventional computer techniques once the coincident sequences have been identified. Thus, the apparatus for use in the method of the invention will typically comprise a means for scanning a finger of a person  
15 to provide signals defining the identity, location and orientation of characteristics of the ridge pattern of that finger and to identify the presence of ridges between each and every one of the characteristics located; means for receiving signals from a record purporting to contain  
20 information on characteristics corresponding to those located on the scanned finger; and means for identifying coincident sequences in that record and the characteristics located on the scanned finger; and means for comparing the coincident sequences to establish identity therebetween.

25 From a particularly preferred aspect, the invention provides apparatus for verifying the identity of a person using the method of the invention which apparatus comprises a means for scanning a finger presented to it by that person at the  
30 locus at which an operation is to be carried out so as to provide information in machine readable form corresponding to the nature, location and orientation of the characteristics of the finger print observed and a ridge count between each and every one of a selected group of the  
35 observed characteristics; means for receiving a card or

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other means carrying a machine readable record of the finger print characteristic features purporting to be those of that person and for scanning the record carried by that card; means for comparing the information from the scanning means and the record so as to detect the presence of coincident sequences within at least some of the characteristics recorded in the card or the record and for establishing identity or not between those coincident sequences; and means for initiating the operation to be carried out.

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The invention also provides a card or other means carrying in machine readable form information identifying the characteristics of the ridge pattern of a finger of a person and identifying the type, relative location and relative orientation of those characteristics to one another and the count of the ridges in the finger print pattern of the person occurring between each and every one of a selected group of those characteristics.

20 The method and apparatus of the invention find widespread use wherever it is desired to verify the identity of a person to permit some operation to be carried out. Since the user presents a unique identifier to the apparatus (his actual finger print) and this is verified against a record of that identifier at the location of verification, not only does the method provide a high degree of security, but this is achieved by a simple means not requiring large data stores or visual inspection.

30 The invention finds use in reducing fraudulent and unauthorised use of credit and other cards to achieve goods and/or finance; to provide a personalised "key" to gain access to a location or to actuate a mechanism such as a car ignition switch or to unlock a door to a room; to provide a simple means for establishing that the carrier of a passport

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is the person referred to therein, thus facilitating immigration and other identity checks at frontiers or elsewhere.

5 The invention can be implemented by supplying the necessary finger and card scanning apparatus in place of the conventional card accepting apparatus used at present. However, some present apparatus already incorporates card scanning means, for example cash dispensers in banks or  
10 hotel card key systems. In this case that apparatus can be modified to operate the method of the invention by providing a finger scanning apparatus and comparator means and linking those into the existing apparatus. Since the verification can be carried out without the need for any separate data  
15 record, the invention can be used in almost any location and is not limited to use at those locations having access to information networks or data bases as with some current proposals.

#### 20 DESCRIPTION OF THE DRAWINGS:

Apparatus for use in the present invention will now be described by way of example with respect to the accompanying drawings in which:

25 Figure 1 is a diagrammatic representation of six characteristics used in classifying a finger print, together with examples of binary coding which can be used to describe such characteristics; Figure 2 is a schematic representation of an apparatus according to the invention; and Figure 3  
30 shows two finger print ridge patterns identifying some of the characteristics from Figure 1 thereon.

The apparatus for use in the invention comprises a device  
(1) with a read only memory (ROM) for scanning the finger of  
35 a person at the verification site. The ROM has programmed

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therein an image of each of the six ridge characteristics shown in Figure 1, together with an image of a typical ridge. The scanning device and ROM (1) combination are controlled by a processor (2). For the purpose of scanning  
5 a finger for the first time, the processor (2) will instruct the device (1) to scan the finger and by plotting the coordinates of the scanner at any instant during the scan will, when the ROM recognises one of the six ridge characteristics, assign a unique binary character  
10 combination for the recognised ridge characteristic, its direction and its coordinates.

On recognising a second ridge characteristic, the processor (2), via the device (1), will have information as to the  
15 number of ridges between the first recognised ridge characteristic and the second recognised ridge characteristic. The scanning process continues in this fashion until there is stored in the processor (2) a plurality of binary character combinations representing the  
20 fingerprint characteristics. Thus a digital record of the fingerprint characteristics, their direction and relationship to each other (coincident sequence) is generated. Typically anything from 40 to 80 recognisable ridge characteristics will be stored in the processor (2).

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To generate a strip material according to the invention, the processor (2) transfers, in a known fashion, the binary character combinations onto the strip material. Other information relating to the holder of the finger scanned by  
30 the device (1) may also be encoded onto the strip material.

The strip material may already be, or subsequently be, laminated with and/or attached to an identity card as hereinbefore referred to, to produce an identity card  
35 according to the invention.

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At the site of use, the identity card is inserted into a card or strip material reading device, via a card input (not shown), the information on the strip material being read by a second ROM. A finger of the user of the identity card is scanned by the device (1). The processor (2) will generate binary character combinations for the ridge characteristics, their direction and their coordinates and compare the combinations thus generated with the binary character combinations of the strip material. If sufficient ridge characteristics in the same coincident sequence that are found on the finger being scanned are also read from the strip material, then a positive correlation will result.

Depending on the type of correlation resulting from the comparison between the character combinations found on the strip material and those scanned by the scanner, a signal is sent from processor (2), for example, to one of three different indicators via a circuit (not shown) for converting the signal received from the processor (2) into another signal to light one of three indicators or display a signal on a suitable display (not shown). If the correlation is positive, then one of the indicators (for example) is lit. The lighted indicator may bear a legend or a colour to indicate to the recipient of the identity card that the presenter is the authorised user and permit a transaction to take place. The other two indicators may serve to indicate a negative or no correlation result. In the case of a negative correlation, no transaction takes place and one of the indicators is lit which indicates to the recipient that the presenter is not the authorised user of the card. In this instance, the unit can, if required, retain the card. In the case of no correlation the third indicator is lit and the user of the card may be requested to try again. A no correlation result may be obtained, for example, through a malfunction of the device, through a

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blurring of the scan because the finger is excessively dirty or the scanning surface plate or glass is dirty, or through damage to the identity cards memory device.

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THE CLAIMS DEFINING THE INVENTION ARE AS FOLLOWS:

1. A method for verifying the identity of a person or animal relative to a record of topographically related permanent, natural, physical characteristics of the body of a person or animal, which record purports to belong to that person or animal, the record including at least four data packages, each data package comprising one or more machine readable codings relating to the type, orientation, and location of an individual one of the said characteristics, whereby the record contains data relating to at least four of the said characteristics, characterised in that:

A. the said data packages each include one or more machine readable codings relating to the separate counts of the number of some other permanent, natural, physical feature on the body lying on each of the imaginary lines extending between the characteristic to which that data package relates and each and every other characteristic in said at least four characteristics; and

B. the method comprises in any order, sequentially or concurrently the steps of:

a) observing, in any order, sequentially or concurrently topographically related permanent, natural, physical characteristics of the body of the person or animal;

b) assigning, in any order, sequentially or concurrently to each of selected individual observed characteristics a data package comprising machine readable codings relating to the type, orientation, and location of that observed characteristic and relating to the separate counts of the number of some other permanent, natural, physical feature on the body lying on each of the imaginary lines extending between that observed characteristic and each and every



other characteristic in the said selected observed characteristics;

5 c) in any order, sequentially or concurrently electing at least four of the data packages from one of either of the record or the data packages relating to the observed characteristics;

10 d) in any order, sequentially or concurrently comparing the machine readable codings from the elected data packages with the machine readable codings of the data packages in the other of the record or the data packages relating to the observed characteristics; and

15 e) establishing the existence or otherwise of substantial identity between at least four of the elected data packages with data packages in the other of the record or the data packages relating to the observed characteristics.

2. A method as claimed in claim 1, characterised in that the characteristics are the characteristics of the finger print of a person and the features are the ridges of that finger print.

20 3. A method as claimed in claim 1, characterised in that the comparison in step d is done between the data packages relating to at least six characteristics on the body of the person.

25 4. A method as claimed in claim 1, characterised in that the comparison between the machine readable codings for the characteristics in the record and those for the observed characteristics is carried out by identifying characteristics which occur in both the recorded and observed characteristics as having substantially the same type, location and orientation and the counts of the said  
30



other permanent, natural, physical feature are done between those identified characteristics.

5 5. A method as claimed in claim 1, characterised in that the record is held in the form of binary coded information in a memory medium carried by a plastics card.

10 6. A method for verifying the identity of a person relative to a record of topographically related permanent, natural, physical characteristics purporting to belong to a friction skin surface of that person, which method is characterised in that it comprises comparing the coincident sequences as hereinbefore defined of at least six fingerprint characteristics observed on a finger of that person at the site of such identification with the said record at the site, which record carries information in machine readable form relating to the coincident sequences of characteristics of a fingerprint purporting to correspond to that of the finger being presented by the person at the site.

20 7. A method for verifying the identity of a person at a locus to enable an operation to be carried out when that identity has been verified, which method is characterised in that it comprises scanning a finger of the person at the locus to provide machine readable identification of the type, location and orientation of the characteristics of the fingerprint of that person and of the ridge counts between each and every one of at least four of the characteristics located during said scanning; comparing that identification with a machine readable record purporting to be that of that person's fingerprint which has been obtained before hand and which is presented by that person to the locus concurrently with his finger so that the existence of the same coincident sequences between at least four of the characteristics in the said



identification and in the record can be established; and permitting the operation to occur when such a coincident sequence has been established.

5 8. A method for preparing a record for use in the method of claim 1 characterised in that said data packages are obtained relating to a friction skin surface of a person and those data packages are applied to a recording medium to provide said record.

10 9. Apparatus for use in the method of any one of claims 1 to 7, which apparatus comprises: a means for scanning a finger of a person; a signal generating apparatus operatively associated with the scanning means and programmed to generate machine readable signals identifying the type, relative location and relative orientation of  
15 characteristics of the ridge pattern of that finger and the count of the number of ridges on direct imaginary lines drawn between each and every one of the characteristics located; means for scanning a record containing machine readable signals purporting to identifying the type,  
20 relative location, relative orientation and ridge counts for characteristics corresponding to those located during the scanning operation; signal processing means for receiving the signals from the record scanning operation and from the finger scanning operation signal generation means, which processing means is programmed to process the  
25 record and scanned finger signals so as to establish coincident sequences as hereinbefore defined in the recorded characteristics and in the characteristics located on the scanned finger; and means for comparing the signals  
30 identifying the characteristics in the said coincident sequences to establish the existence or otherwise of identity therebetween.



10. Apparatus for use in the method of any one of claims 1 to 7, which apparatus comprises:

a. a means for scanning a finger presented to it by a person at the locus at which an operation is to be carried out so as to generate signals in machine readable form identifying the type, relative location and relative orientation of the characteristics of the finger print located during the scanning operation and a ridge count along imaginary direct lines between each and every one of a selected group of the located characteristics;

b. means for receiving a card or other means carrying a record of machine readable signals relating to the type, relative location, relative orientation and ridge counts of characteristics purporting to be those of the finger print of that person and for scanning the signals of that record so as to generate a series of record signals;

c. means for receiving the machine readable signals from the scanning of the finger and of the record and for comparing the signals, which means is programmed to detect the presence of coincident sequences within at least some of the signals for the characteristics recorded in the record and the finger scanning signals and for establishing identity or not between those signals; and

d. means for generating a signal to initiate the operation to be carried out when identity of a required minimum number of the signals has been established.

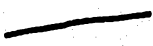
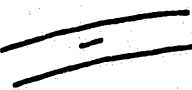
11. A method for verifying the identity of a person or animal relative to a record of topographically related permanent, natural, physical characteristics of the body of a person or animal, substantially as hereinbefore described with reference to any one embodiment shown in the accompanying drawings.

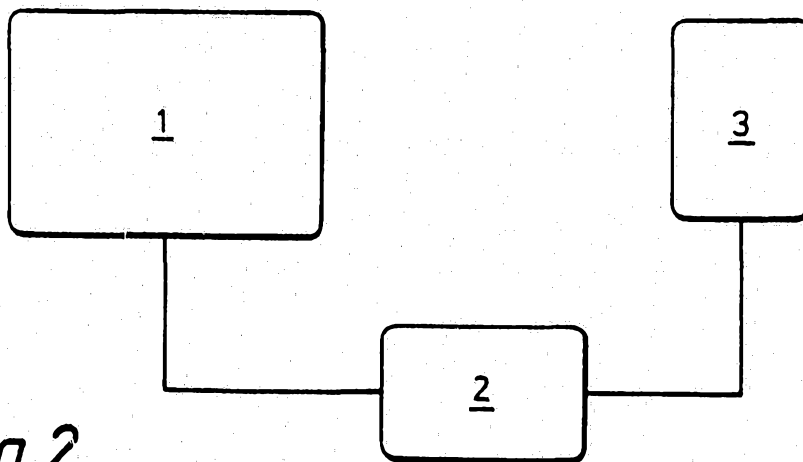
Dated this 14th day of August 1990.

BRENDAN DAVID COSTELLO  
By their Patent Attorneys  
GRIFFITH HACK & CO



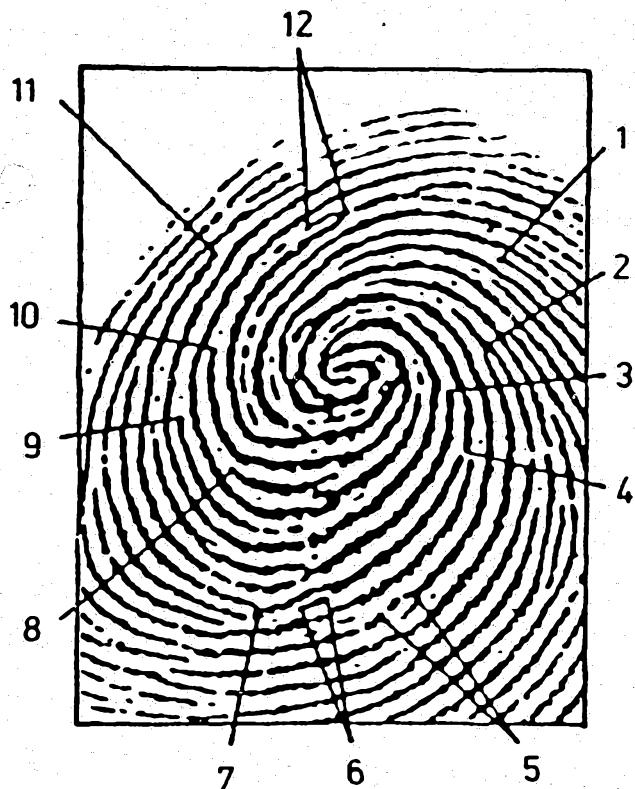
1/2

|    | CHARACTERISTIC<br>FEATURE                                                           | BINARY<br>CODING |
|----|-------------------------------------------------------------------------------------|------------------|
| A1 |    | 0010             |
| A2 |    | 0100             |
| A3 |    | 0101             |
| A4 |    | 0001             |
| A5 |   | 0011             |
| A6 |  | 0110             |

*Fig.1.**Fig.2.*

SUBSTITUTE SHEET

PHOTOGRAPHIC ENLARGEMENT OF  
FINGERMARK FOUND AT SCENE.



PHOTOGRAPHIC ENLARGEMENT OF  
LEFT THUMB IMPRESSION OF CULPRIT.

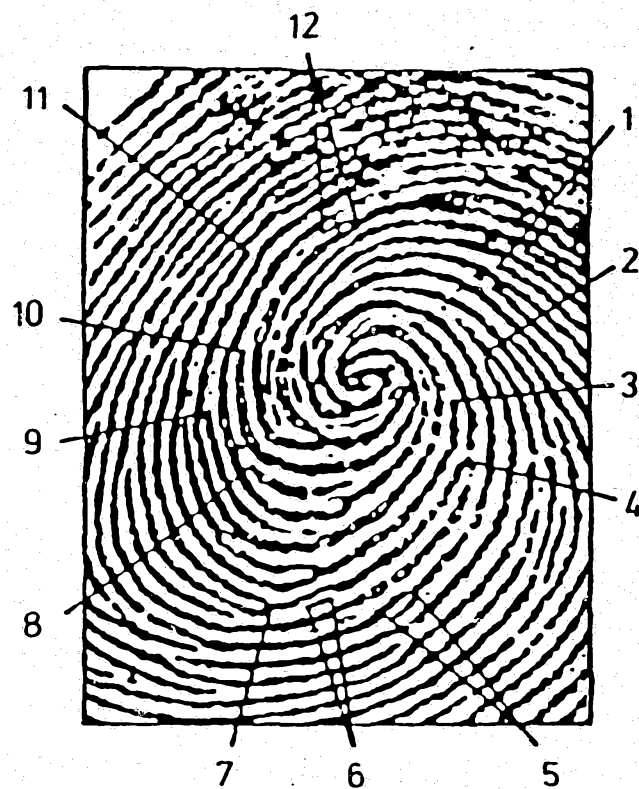


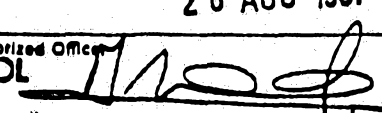
Fig. 3.

1. RIDGE ENDING TO THE LEFT.
2. RIDGE FORKING IN A DOWNWARD DIRECTION.
3. RIDGE ENDING UPWARDS.
4. RIDGE FORKING IN A DOWNWARD DIRECTION.
5. LAKE FORMATION.
6. SHORT INDEPENDENT RIDGE.

7. RIDGE FORKING TO THE LEFT.
8. RIDGE ENDING TO THE LEFT.
9. RIDGE ENDING UPWARD.
10. RIDGE ENDING UPWARD.
11. RIDGE ENDING UPWARD.
12. SPUR.

# INTERNATIONAL SEARCH REPORT

International Application No PCT/GB 87/00300

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                       |                                     |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|
| <b>I. CLASSIFICATION OF SUBJECT MATTER</b> (If several classification symbols apply, indicate all) <sup>6</sup>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                       |                                     |
| According to International Patent Classification (IPC) or to both National Classification and IPC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                       |                                     |
| IPC <sup>4</sup> : G 06 K 9/46; G 07 C 9/00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                       |                                     |
| <b>II. FIELDS SEARCHED</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                       |                                     |
| Minimum Documentation Searched <sup>7</sup>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                       |                                     |
| Classification System                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Classification Symbols                                                                                                                                |                                     |
| IPC <sup>4</sup>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | G 06 K 9/00                                                                                                                                           |                                     |
| Documentation Searched other than Minimum Documentation to the Extent that such Documents are included in the Fields Searched <sup>8</sup>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                       |                                     |
| <b>III. DOCUMENTS CONSIDERED TO BE RELEVANT<sup>9</sup></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                       |                                     |
| Category <sup>10</sup>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Citation of Document, <sup>11</sup> with indication, where appropriate, of the relevant passages <sup>12</sup>                                        | Relevant to Claim No. <sup>13</sup> |
| X                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | EP, A3, 0159037 (NEC CORP.)<br>23 October 1985<br>see figures 2-5; page 6, line 23 -<br>page 10, line 3; page 13, line 25 -<br>page 14, line 26<br>-- | 1-10                                |
| A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | GB, A, 2050026 (NEC CORP.)<br>31 December 1980<br>see the abstract<br>--                                                                              | 1,2,10                              |
| A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | FR, A, 2352348 (SOCIETE DE SERVICES<br>INFORMATIQUE) 16 December 1977<br><br>-----                                                                    |                                     |
| <p><sup>10</sup> Special categories of cited documents: <sup>10</sup></p> <p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier document but published on or after the international filing date</p> <p>"L" document which may throw doubt on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p> <p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance: the claimed invention cannot be considered novel or cannot be considered to involve an inventive step</p> <p>"Y" document of particular relevance: the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.</p> <p>"&amp;" document member of the same patent family</p> |                                                                                                                                                       |                                     |
| <b>IV. CERTIFICATION</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                       |                                     |
| Date of the Actual Completion of the International Search                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Date of Mailing of this International Search Report                                                                                                   |                                     |
| 21st July 1987                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 20 AUG 1987                                                                                                                                           |                                     |
| International Searching Authority                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Signature of Authorized Officer                                                                                                                       |                                     |
| EUROPEAN PATENT OFFICE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | M. VAN MOL                                                        |                                     |

ANNEX TO THE INTERNATIONAL SEARCH REPORT ON

INTERNATIONAL APPLICATION NO.

PCT/GB 87/00300 (SA 17085)

This Annex lists the patent family members relating to the patent documents cited in the above-mentioned international search report. The members are as contained in the European Patent Office EDP file on 04/08/87

The European Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

| Patent document<br>cited in search<br>report | Publication<br>date | Patent family<br>member(s) | Publication<br>date |
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|                                              |                     | JP-A- 60221880             | 06/11/85            |
|                                              |                     | JP-A- 60221881             | 06/11/85            |
|                                              |                     | JP-A- 60221882             | 06/11/85            |
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|                                              |                     | US-A- 4310827              | 12/01/82            |
| FR-A- 2352348                                | 16/12/77            | None                       |                     |

For more details about this annex :  
see Official Journal of the European Patent Office, No. 12/82