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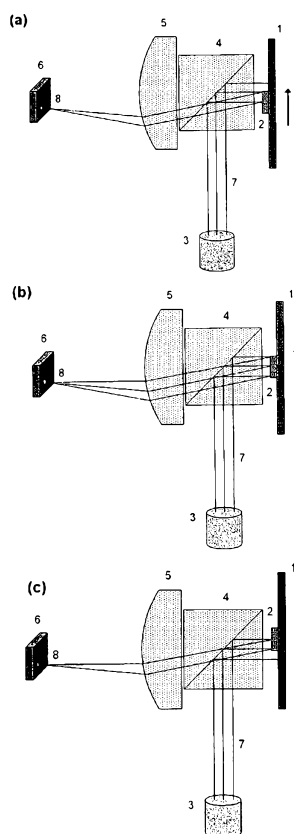
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(54) Title: METHOD AND APPARATUS FOR OPTICALLY READING INFORMATION

(54) Bezeichnung: VERFAHREN UND VORRICHTUNG ZUM OPTISCHEN AUSLESEN VON INFORMATIONEN



(57) Abstract: The present invention relates to a novel information carrier on which information items are stored in the form of holographic diffraction structures. The information carrier according to the invention can be read by means of a manual passage through a reading apparatus. The present invention relates further to an apparatus which can be used to read an information carrier according to the invention.

(57) Zusammenfassung: Die vorliegende Erfindung betrifft einen neuartigen Informationsträger, auf dem Informationen in Form von holographischen Beugungsstrukturen gespeichert sind. Der erfindungsgemäße Informationsträger kann durch manuellen Durchzug durch eine Auslesevorrichtung ausgelesen werden. Die vorliegende Erfindung betrifft ferner eine Vorrichtung, mit der ein erfindungsgemäßer Informationsträger ausgelesen werden kann.

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**Veröffentlicht:**

— mit internationalem Recherchenbericht

— vor Ablauf der für Änderungen der Ansprüche geltenden Frist; Veröffentlichung wird wiederholt, falls Änderungen eintreffen

Zur Erklärung der Zweibuchstaben-Codes und der anderen Abkürzungen wird auf die Erklärungen ("Guidance Notes on Codes and Abbreviations") am Anfang jeder regulären Ausgabe der PCT-Gazette verwiesen.

**Method and apparatus for optically reading information**

The present invention relates to a novel type of information carrier, on which information is stored in the form of diffraction structures. The information carrier  
5 according to the invention can be read by being drawn manually through a reading device.

Plastic cards as information carriers are ubiquitous nowadays. As a consequence of increasing data processing by machine, a person typically has a series of plastic cards  
10 with which he can authenticate himself. Examples which may be mentioned are company identity cards, medical insurance cards, credit, Eurocheque and debit cards.

Particularly widespread is the ID-1 format, which is characterized in the ISO/IEC 7810 Standard ("credit card format"). It has a convenient size and can be  
15 accommodated in purses. There are many card readers which are based on this format.

Machine-readable information can be stored on plastic cards in various ways. For instance, optically in the form of optically readable letters (OCR = Optical Character  
20 Recognition), bar or matrix codes, magnetically in a magnetic strip or electronically in a chip. However, the aforementioned storage methods only permit the storage of a few bytes (OCR) to kilobytes (chip). The greatest storage capacity in plastic cards is achieved nowadays by optical memory cards.

25 In WO8808120 (A1) and EP0231351 (A1), optical memory cards are described in which data is exposed photographically into a silver halide film which is applied to the plastic cards. The data can be written and read with a laser. In WO 8808120 (A1), a device is described with which the film can be written and read. The data is present digitally in the form of data points. The data points exhibit a different  
30 reflectance as compared with the surroundings and in this way can be read with the aid of a laser beam and a photodetector.

The disadvantage with the card and the card reader described is that the card must be positioned exactly with respect to read beam and detector in order to be able to read the data. In order to read out the individual data points one after another, the card must also be moved in relation to read beam and detector in such a way that the read beam strikes the data points accurately. This requires a complex card reader having a high positioning accuracy. Moreover, the data density on the card is restricted to the dimension of the positioning accuracy during reading. If the data points are present more densely than the positioning accuracy of the read beam, the individual data points can no longer be detected.

When bar code or magnetic strip cards are used, it is possible to draw the card through a card guide in order to read it. The data are read as the card is drawn through manually. Mechanical positioning of the read head in relation to the card is not necessary.

Such a draw-through system for magnetic strip cards is described, for example, in US 5128524 (A1).

The implementation of a manual card draw-through system for reading data which are stored on plastic cards is possible in the case of magnetic strips and bar codes, since the data density (quantity of bytes per unit area) is so low that the positioning of the storage medium in relation to the read head is tolerant with respect to the changes which occur during the manual card guidance.

In the optical memory cards described above, the data structures are smaller. Manual positioning of the card in relation to the read head is therefore generally no longer possible.

However, it would be desirable to be able to read optical memory cards having a higher storage capacity than is usual in the case of magnetic strip or bar code cards with the aid of a card draw-through system that can be operated manually.

The present invention seeks to provide an optical memory card which can be read with the aid of a card draw-through system that can be operated manually.

In one aspect there is provided a system for data transmission comprising at least one flat  
5 information carrier, which contains data stored in the form of Fourier holograms which are arranged along a line, and at least one reading device comprising a light source for producing a read beam, Fourier optics, a photodetector, wherein a guide device, which restricts the movement of the information carrier as it is drawn manually through the reading device in two spatial dimensions while the information carrier is moved manually  
10 in the third spatial direction in relation to the read beam and to the photodetector during reading of the Fourier holograms.

In accordance with another aspect there is provided a use of the system according to a first aspect for authentication or for access control.

15

In a further aspect there is provided a method for data transmission which comprises (a) storing the data in the form of Fourier holograms along a line on a flat information carrier, in particular a plastic card, and (b) manually moving the information carrier through a device comprising a light source for producing a read beam, Fourier optics, a photodetector  
20 and a guide device, which aligns the information carrier in relation to the read beam and to the photodetector during the movement through the device, and successively reading a plurality of Fourier holograms in this way.

In particular, the optical memory cards according to the invention can be read as they are  
25 drawn manually through a card guide, although the structures which represent the data in the storage medium are smaller than the positioning accuracy as the card is drawn through manually.

Furthermore, the optical memory cards according to the invention have a higher storage  
30 capacity than the memory cards known from the prior art.

This is achieved by means of information carriers, in particular optical memory cards, on which data are stored in the form of Fourier holograms. Such information carriers form a first subject of the present invention.

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In one embodiment, the information (data) to be read is present in the form of Fourier holograms on a flat information carrier, for example a plastic card.

- 5 Suitable storage media for the hologram are all materials which are conventional and known to those skilled in the art in which a flat surface can be produced. Examples of this are polymers, metals, papers, textiles, coatings, stoneware and so on, into which the holographic structures are introduced by means of embossing, etching, photolithography, granolithography, abrasion or cutting. Composite materials, which are formed by
- 10 combination of the above-mentioned materials, are also conceivable.

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One example of this is polymer films to which a metal film is applied. In the case of photosensitive materials or composite materials with photosensitive components, the holographic structures can also be introduced by using light (silver halide film, film made of photo-addressable polymer and so on).

5

A flat information carrier is understood to be an information carrier which has a radius of curvature which is substantially larger than the information carrier itself. Such a flat information carrier is, for example, a credit card which has been bent in the purse such that it has a radius of curvature of 3 m, while the card itself is only about 8 cm long and about 5 cm wide.

10

The storage medium for the hologram can in this case both be part of the information carrier itself and also merely firmly connected to the information carrier.

- 15 The holograms can be read in reflection or transmission. They are preferably read in reflection. To this end, a light-reflecting surface is required, to which the hologram is applied or into which the hologram is introduced.

The information carrier should preferably be smooth, that is to say the roughness should be less than the holographic structures. The roughness can be determined, for example, by means of feeler methods (measuring instrument: KLA Tencor Alpha Step 500; measuring method: MM-40001). The surface roughness is preferably less than  $R_a = 10$  micrometres.

20

- 25 The data to be stored holographically are preferably present as a two-dimensional distribution of lightness values. One example which may be mentioned is the data matrix code which is specified in ISO/IEC 16022.

In the case of storing such data as a Fourier hologram, the physical lightness distribution of the object is encoded in the Fourier hologram in the form of angles. This is illustrated schematically in Figure 1: During the irradiation of the Fourier hologram (2) with a collimated laser beam (7), the light beams are diffracted at different angles at the hologram.

30



Fourier holograms are known and their properties are described, for example, in P. Hariharan, Basics of Holography, Cambridge University Press, 2002, pages 8 to 10.

5

With the aid of Fourier optics, the angles can be led back into location information again (Figure 1 and Figure 2): The beams diffracted at the same angle are focused at a point by the Fourier lens (5). The beams diffracted at different angles are focused at different points by the Fourier lens.

10

The points can be imaged on a detector, for example a camera, and can thus be processed further electronically.

One important property of the Fourier holograms in combination with Fourier optics is that the points imaged on the detector are not displaced if the hologram is displaced at right angles to the incident laser beam. Only the intensity of the image on the detector changes. This is illustrated in Figure 2: If the Fourier hologram (2) is moved through the reader (7), an image appears on the detector as soon as the read beam strikes the hologram partly. The intensity (brightness) of the image rises until the read beam is irradiating the entire hologram and then decreases to zero again until the read beam is no longer illuminating the hologram.

Surprisingly, it has been established that this effect can be used to read information which is stored on a flat information carrier in the form of Fourier holograms while the information carrier is being displaced in relation to an incident laser beam, that is to say, for example, is being moved manually through a guide.

If the hologram is registered only partially by the read spot, then the image is less bright and less sharp than if the entire hologram is registered by the read spot. From this, it could easily be concluded that it is particularly beneficial to configure the read spot to be larger than the hologram in order that, during the reading process, as many regions of the hologram as possible are always registered by the read spot. However, this is not the case. If the read spot is larger than the hologram, then parts of the

information carrier which have no hologram are also always illuminated. As a result, in general fewer light beams are deflected at the hologram, so that the brightness decreases. In addition, scattering effects as a result of irradiating the information carrier outside the hologram lead to increased background noise on the detector.

5

Surprisingly, it has been found that the imaging properties during irradiation of the hologram are particularly good if the read spot is smaller than the hologram. The read spot is particularly preferably 0.9 to 0.1 times as large as the hologram.

10 Particularly good imaging properties are achieved if a plurality of holograms having the same content is placed directly on one another to form a larger hologram. Particularly preferably, 2 to 9 holograms with the same content are placed directly on one another and therefore form an enlarged hologram.

15 The geometry of the Fourier holograms is preferably matched to the profile of the read spot. Conventional lasers as a source of the read beam produce a circular or elliptical read spot, in which the intensity decreases from the inside towards the outside.

20 Particularly good images are obtained if four holograms with the same content are assembled to form a larger hologram, of which only a central circular or elliptical region which is somewhat larger than the read spot is applied to the information carrier, as illustrated in Fig. 4: Fig 4(a) shows a Fourier hologram. This is quadrupled in Fig. 4(b), the four identical holograms being arranged in the form of a  
25 rectangle. In Fig. 4(c) the enlarged hologram is cut in such a way that the hologram has the shape of the read spot. For the purpose of better illustration, in Fig. 4 the individual holograms are provided with a black frame, which, however, does not actually occur.

30 The size of the holograms is preferably 0.1 to 5 mm in diameter.

A further subject of the present invention is a device for reading the optical memory cards according to the invention.

Such a device comprises a light source for a read beam, Fourier optics, a photodetector and a guide device which aligns the information carrier in relation to the read beam and to the photodetector during the movement during the reading operation, in particular when being drawn manually through the device. The guide restricts the movement of the information carrier in two spatial dimensions, while the information carrier is moved in the third spatial direction. The information carrier is, for example, moved manually through the guide and in the process is illuminated with a light beam. The light beam is diffracted at the Fourier hologram of the information carrier, and the diffracted beams are imaged with the aid of Fourier optics onto a detector, where the optical signal is transformed into an electronic signal.

By using the device according to the invention, the optical memory cards according to the invention can be read in transmission and/or reflection.

One example of an embodiment of such a device, with which memory cards can be read in reflection, is illustrated in Figure 3. It comprises two guide rails (10 and 11), between which the information carrier (1) is moved manually. One of the guide rails (10 here) has a roller (12), which is mounted with a pressure spring (13) and presses the information carrier (1) against the other rail (11 here) as it is drawn through manually. The roller is tilted slightly, so that an information carrier is pressed downwards automatically as it is drawn through. Therefore, as it is drawn through manually, the information carrier is pressed both against a rail (11 here) and also against the base of the guide. Therefore, two of the three possible spatial directions are restricted. The information carrier is moved in the third spatial direction, parallel to the guide rails 10 and 11.

In the process, it sweeps over the read beam (7), which is incident through a hole (16) in one of the guide rails (11 here). The hole (16) is arranged at the level of the hologram (2) on the information carrier (1). At the same height, a groove (15) is preferably milled in the rail which faces the hologram and in which the hole is

located, the said groove preventing a hologram located on the information carrier from being gradually scratched as it is drawn repeatedly through the guide.

5 A detector (14) is preferably inserted into the guide and detects whether an information carrier is being moved through the guide. For instance, use can be made of a forked light barrier, whose light beam is interrupted by the information carrier. The interruption of the light beam from the light barrier can be used as a trigger for the read beam (3) and the detector (camera) (6). As soon as the light barrier is interrupted, the read beam is switched on and the image on the camera is evaluated.

10

It is also possible to switch the camera on with a defined time delay in relation to the read beam.

It is likewise possible to use a plurality of light barriers.

15

It is also possible for a plurality of holograms to be read one after another. The holograms are then arranged on the information carrier at one level, along a line (9) in the storage medium (17).

20 In the event that a plurality of holograms, which are arranged along a line, is used on an information carrier, it is conceivable, in addition to the holograms, also to insert markings into the information carrier and/or the storage medium, which markings function as a trigger for the camera and/or the read beam. In this way, it is easily possible to signal to the camera when a new hologram is being imaged.

25

Furthermore, the use of the aforementioned device as a card reader for information carriers in the form of plastic cards of all types (bank cards, credit cards, identity cards, etc.) is also the subject of the present invention.

30 A further subject of the present invention is a method for data transmission which comprises (a) storing the data in the form of at least one Fourier hologram on a flat information carrier, for example a plastic card, and (b) moving the information carrier through a device comprising Fourier optics, a photodetector and a guide

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device, which aligns the information carrier in relation to the read beam and to the photodetector during the movement through the device, and reading the stored data in this way. The movement of the information carrier through the device during the reading operation is preferably carried out by drawing it through manually.

5

A further subject of the present invention is a system for data transmission comprising at least one flat information carrier, for example a plastic card, which contains data stored in the form of at least one Fourier hologram, and at least one reading device comprising Fourier optics, a photodetector and a guide device, which aligns the information carrier in relation to the read beam and to the photodetector during the reading operation, in particular as it is drawn manually through the device.

10

Such a system can be used for a large number of applications, for example for the authentication of persons or goods or access control to buildings or rooms.

15

Throughout this specification and the claims which follow, unless the context requires otherwise, the word "comprise", and variations such as "comprises" or "comprising", will be understood to imply the inclusion of a stated integer or step or group of integers or steps but not the exclusion of any other integer or step or group of integers or steps.

20

The reference in this specification to any prior publication (or information derived from it), or to any matter which is known, is not, and should not be taken as an acknowledgment or admission or any form of suggestion that that prior publication (or information derived from it) or known matter forms part of the common general knowledge in the field of endeavour to which this specification relates.

25

**Designations relating to the figures**

- 1 Information carrier (plastic card)
- 2 Fourier hologram
- 3 Light source with collimation optics
- 4 Beam splitter
- 5 Fourier lens
- 6 Detector (camera)
- 7 Collimated light beam (read beam)
- 8 Image on the camera
- 9 Line along which holograms can be stored
- 10 Guide rail 1
- 11 Guide rail 2
- 12 Roller
- 13 Pressure spring
- 14 Detector (forked light barrier)
- 15 Groove
- 16 Hole for read beam
- 17 Storage medium

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The claims defining the present invention are as follows:

1. System for data transmission comprising at least one flat information carrier, which contains data stored in the form of Fourier holograms which are arranged along a line, and at least one reading device comprising a light source for producing a read beam, Fourier optics, a photodetector, wherein a guide device, which restricts the movement of the information carrier as it is drawn manually through the reading device in two spatial dimensions while the information carrier is moved manually in the third spatial direction in relation to the read beam and to the photodetector during reading of the Fourier holograms.
2. Use of the system according to claim 1 for authentication or for access control.
3. Method for data transmission which comprises (a) storing the data in the form of Fourier holograms along a line on a flat information carrier, in particular a plastic card, and (b) manually moving the information carrier through a device comprising a light source for producing a read beam, Fourier optics, a photodetector and a guide device, which aligns the information carrier in relation to the read beam and to the photodetector during the movement through the device, and successively reading a plurality of Fourier holograms in this way.
4. Method according to claim 3, wherein the spot produced when the read beam meets a Fourier hologram is smaller than the Fourier hologram.
5. Method according to claims 3 or 4, wherein a plurality of identical Fourier holograms are combined to form a larger hologram.
6. Method according to one of claims 3 to 5, wherein markings are applied to the information carrier which are used as a trigger signal for the read beam and/or the

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detector.

7. System for data transmission substantially as hereinbefore described with reference to the accompanying drawings.
8. Method for data transmission substantially as hereinbefore described with reference to the accompanying drawings.



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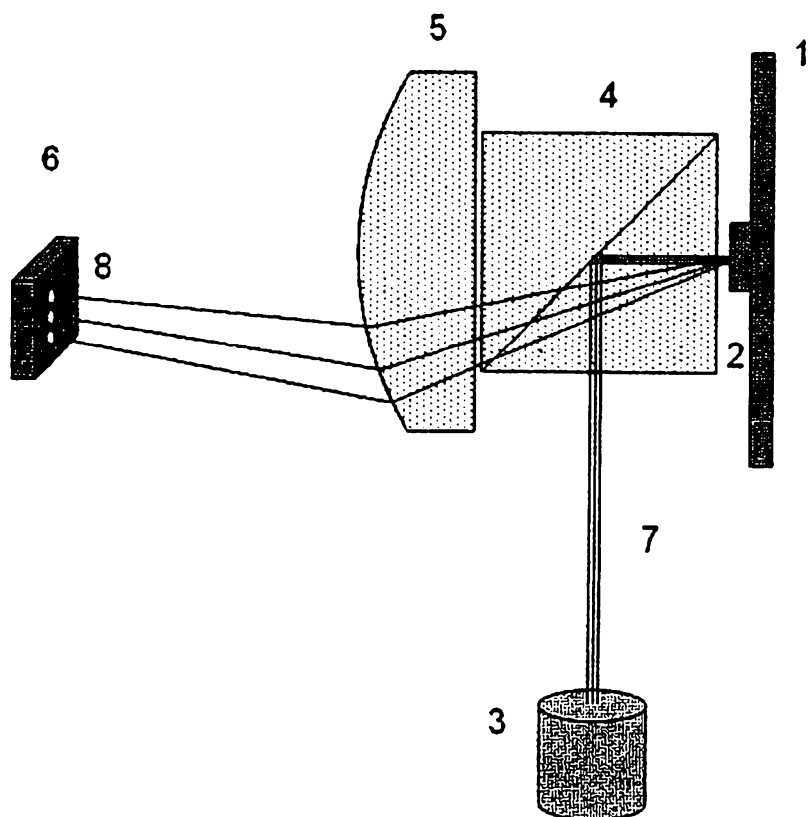
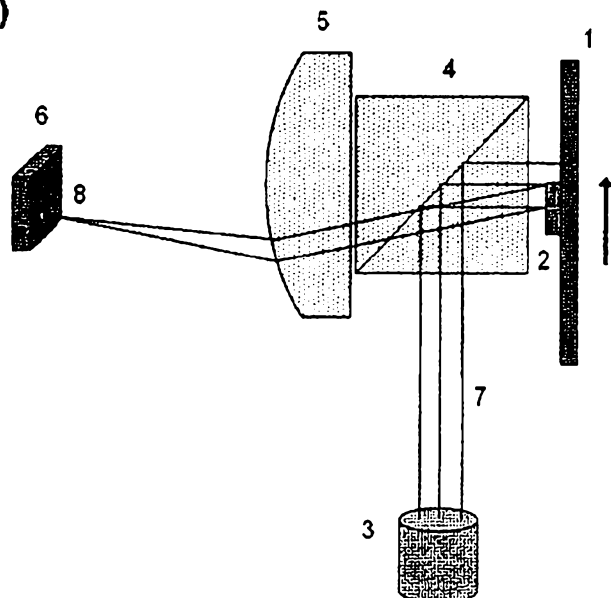


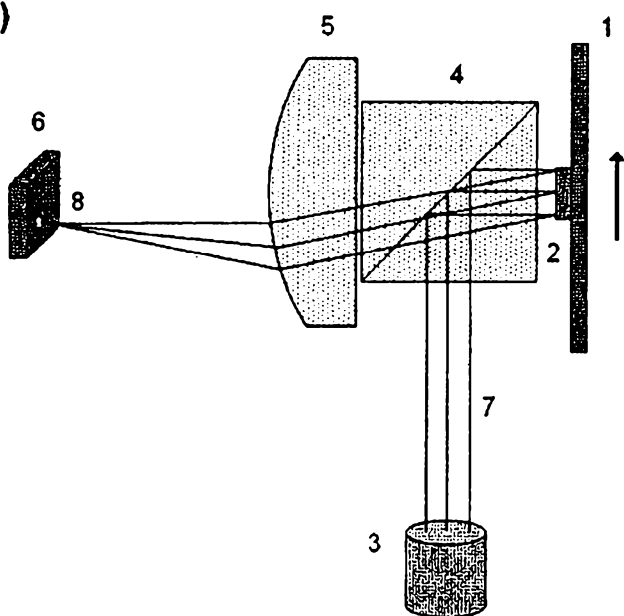
Fig. 1

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(a)



(b)



- 3/4 -

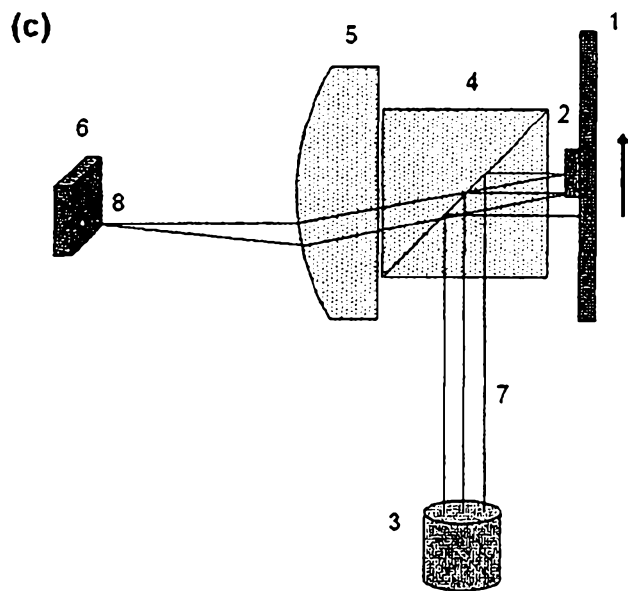


Fig. 2

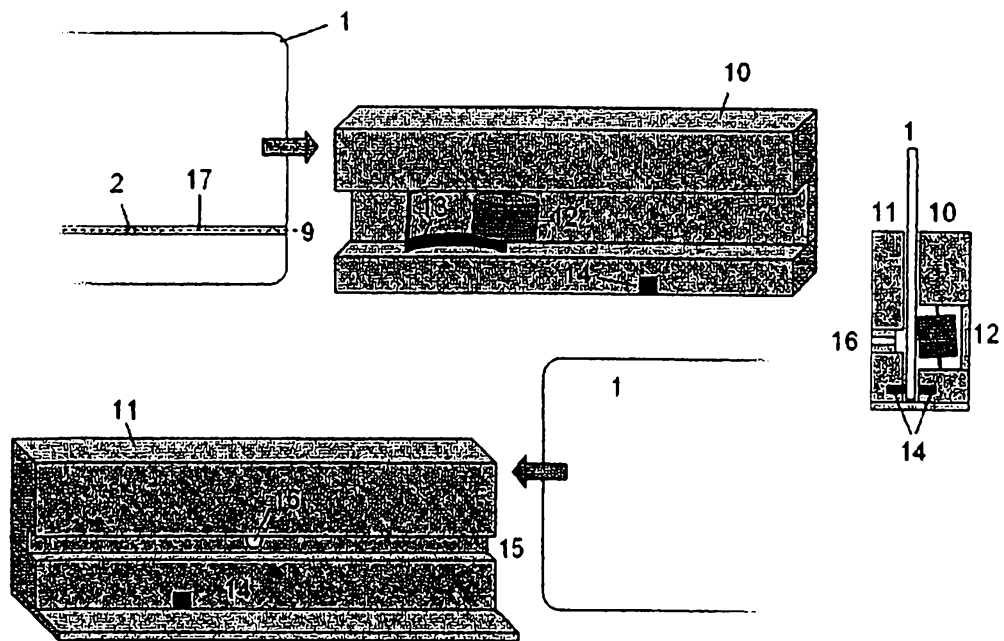
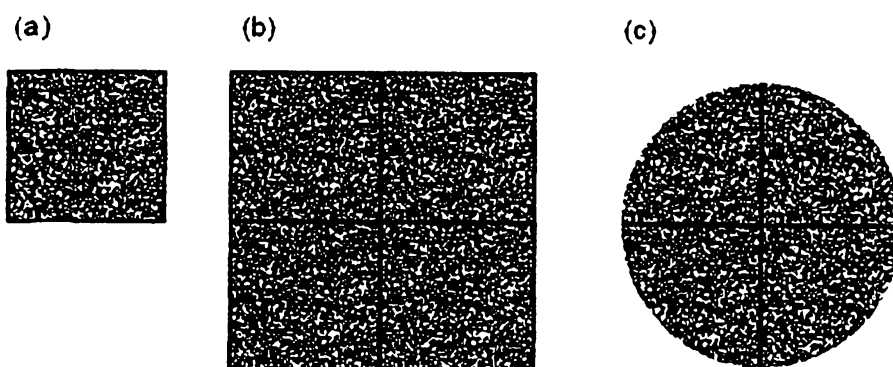


Fig. 3

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**Fig. 4**