

D

Δ

Θ

R

Μ

4

WORLD INTELLECTUAL PROPERTY ORGANIZATION International Bureau



JTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification ⁶ :		(11	I) International Publication Number: WO 96/15620		
H04N 1/41	A1	(43	3) International Publication Date: 23 May 1996 (23.05.96)		
(21) International Application Number: PCT/CA95/00635 (22) International Filing Date: 8 November 1995 (08.11.95)		35	(81) Designated States: CA, JP, US, European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).		
(30) Priority Data: 9422738.6 10 November 1994 (10.11.9	94) (GВ	Published With international search report. Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.		
(71) Applicant (for all designated States except US): T NESE UNIVERSITY OF HONG KONG [GB/0 search Administration Office, Room 226, Pi Chiu Shatin, New Territories (HK).	HE Cl GB]; I Buildi	HI- Re- ng,			
(71)(72) Applicant and Inventor: WU, Xiaolin [CA/CA] Windemere Road, London, Ontario N5X 3T9 (CA]; 17; 6 A).	583			
 (72) Inventor; and (75) Inventor/Applicant (for US only): MEMON, Nasir 128 Buena Vista Drive, Dekalb, IL 60115 (US). 	· [IN/U	S];			
 (74) Agent: MANNING, Gavin, N.; Oyen Wiggs Green 480 - 601 West Cordova Street, Vancouver, Britis bia V6B 1G1 (CA). 	& Muta sh Colu	ala, im-			
(54) Title: CONTEXT-BASED, ADAPTIVE, LOSSLES	S IMA	GE (CODEC		
12 HINARY HODE? NO	GEN & Q		14 TERNARY LIZATION TIZATION 18 24 14 CODER		
GRADIENT- ADJUSTED PREDICTION UDUBLE BUFFER GRADIENT- BUFFER BUFFER					
	26- <u>è</u>	ER	ROR DELING HISTOGRAM SHARPENING 16		
	<u> </u>		ENTROPY CODER STREAM		
(57) Abstract			1)		
An encoding/decoding method is provided for lossl tone images, graphics, multimedia images of mixed text, g and binary mode are identified on a pixel-by-pixel basis employed involving mostly integer arithmetic and simple techniques are suitable for sequential and progressive tran	less (re graphic (12). I e logic ismissio	versi s and n co in a on, al	ble) compression of digital pictures of all types, including continuous- d photographs, binary documents and drawings. Continuous-tone mode ntinuous-tone mode, context modeling and prediction (20, 22, 26) are conceptually sophisticated scheme. Both the encoding and decoding lthough different specific algorithms may be employed for the different and decoder have the same time and space complexities.		

Find authenticated court documents without watermarks at docketalarm.com.

FOR THE PURPOSES OF INFORMATION ONLY

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

.

AT	Austria	GB
AU	Australia	GE
BB	Barbados	GN
BE	Belgium	GR
BF	Burkina Faso	HU
BG	Bulgaria	IE
BJ	Benin	IT
BR	Brazil	JP
BY	Belarus	KE
CA	Canada	KG
CF	Central African Republic	КР
CG	Congo	
СН	Switzerland	KR
CI	Côte d'Ivoire	KZ
CM	Cameroon	LI
CN	China	LK
CS	Czechoslovakia	LU
CZ	Czech Republic	LV
DE	Germany	MC
DK	Denmark	MD
ES	Spain	MG
FI	Finland	ML
FR	France	MN
GA	Gabon	

DOCKE.

A

Α

United Kingdom	MR	Mauritania
Georgia	MW	Malawi
Guinea	NE	Niger
Greece	NL	Netherlands
Hungary	NO	Norway
Ireland	NZ	New Zealand
Italy	PL	Poland
Japan	РТ	Portugal
Кепуа	RO	Romania
Kyrgystan	RU	Russian Federation
Democratic People's Republic	SD	Sudan
of Korea	SE	Sweden
Republic of Korea	SI	Slovenia
Kazakhstan	SK	Slovakia
Liechtenstein	SN	Senegal
Sri Lanka	TD	Chad
Luxembourg	TG	Togo
Latvia	ТJ	Tajikistan
Monaco	TT	Trinidad and Tobago
Republic of Moldova	UA	Ukraine
Madagascar	US	United States of America
Mali	UZ	Uzbekistan
Mongolia	VN	Viet Nam

R M Find authenticated court documents without watermarks at <u>docketalarm.com</u>.

WO 96/15620

PCT/CA95/00635

1

CONTEXT-BASED, ADAPTIVE, LOSSLESS IMAGE CODEC

CLAIM OF PRIORITY

The present application claims partial priority of British Provisional Patent Application Serial No. 9422738-6 filed 10 November 1994.

10

25

DOCKE'

5

BACKGROUND OF THE INVENTION

With rapidly-advancing computer, telecommunication, and digital imaging technologies, there is an astronomical amount of image data for a wide range of applications such as
education, entertainment, medical imaging, space exploration, electronic publishing, visual arts, etc. This rapid growth of image data puts punishing burdens on computer storage and visual communication bandwidth. Thus image compression becomes a pressing technical challenge in visual
communications and computing, without which it will be

difficult to build, deploy, and use cost-effective multimedia information systems.

Lossless compression is a form of compression where an image can be reconstructed without any loss of information. Lossless image compression is required by medical imaging, satellite/aerial imaging, image archiving, preservation of precious art work and documents, the press, or any applications demanding ultra high image fidelity. Furthermore, lossless image coding is the necessary last step

- 30 of many lossy image compression systems, such as lossless compression of codeword indices in vector quantization (VQ), and lossless compression of transform coefficients in Discrete Cosine Transform (DCT) and wavelet/subband-based coding.
- There exists a large body of literature on lossless 35 image compression algorithms and systems, such as the IBM Q-coder, and JPEG lossless coder. Among notable patents and publications are the US patents and research publications

DOCKET

4,463,342 1984 IBM. 4,749,983 07/1988 Langdon. 4,969,204 11/1989 Melnychuck et al. 5,050,230 09/1990 Jones et al. Universal Modeling and Coding -- J. Rissanen and G. Langdon, 5 1981, IEEE, vol. IT-27. A Universal Data Compression System -- J. Rissanen, 1983, IEEE, vol. IT-29. Parameter Reduction and Context Selection for Compression of the Gray-Scale Images -- S. Todd, G. Langdon, and J. Rissanen, 10 1985, IBM J. Res. & Develop., vol. 29. Comparing the Lossless Image Compression Standards and Universal Context Modelling -- R. Arps, M. Weinberger, T. Truong, and J. Rissanen, Proc. of the Picture Coding Symposium, Sacramento, September 1994. 15 On the JPEG Model for Lossless Image Compression --G. Langdon, A. Gulati, and E. Seiler, Proc. of 1992 Data Compression Conf. New Methods for lossless Image Compression Using Arithmetic Coding -- P. Howard and J. Vitter, 1992, Info. Proc. & Manag., 20 vol. 28. The currently achievable lossless compression ratio is still modest, being typically from 1.5:1 to 2.5:1. For instance, in contrast to the success of JPEG's lossy

2

25 compression standard, the current JPEG's lossless compression standard has sufficiently poor coding efficiency that it is seldom used in practice.

In 1994, ISO and JPEG solicited for proposals for the next international standard for lossless image compression. The present invention is a result of the inventors' response to the ISO solicitation. The lead inventor Xiaolin Wu, developed a context-based, adaptive, lossless image coding and decoding technique (herein CALIC). Among nine proposals that were submitted to ISO for its

35 initial evaluation as candidates for the lossless image compression standard in 1995, the present CALIC system ranked first according to a criterion that accounts for both coding efficiency and algorithm simplicity.

PCT/CA95/00635

WO 96/15620

5

10

15

3

Known prior art on lossless compression of continuous-tone images is based on the principle of predictive An image is traversed, and pixels are encoded in a coding. fixed order, typically in raster scan sequence. Previously encoded pixels that are known to both the encoder and the decoder are used to predict the upcoming pixels. The prediction errors rather than the pixels themselves are entropy encoded by Huffman or like arithmetic coding. The original image is reconstructed by adding the error term back to the prediction value. The predictive coding works because the histogram of the errors is much more concentrated (heavily biased toward 0) than the histogram of the pixel values, resulting in a significantly smaller zero-order entropy for the former than for the latter. Among numerous prediction schemes in the literature, the simplest type is a fixed linear predictor such as those used under the current lossless JPEG standard.

A linear predictor can be optimized on an

- image-by-image or even block-by-block basis via linear regression. However, such an optimization is expensive and brings only modest improvement in coding efficiency. Moreover the performance of linear predictors is not robust in the areas of edges. Adaptive, non-linear predictor- can adjust parameters according to the local edge strengths and orientations, if edges exist. The adjustment of predictor
- 25 orientations, if edges exist. The adjustment of predictor parameters can be made very efficient since it is based on local information.

Historically, lossless image compression inherited the theoretical framework and methodology of text compression.

30

DOCKE.

Statistical modeling of the source being compressed plays a central role in any data compression systems. Suppose that we encode a finite source $x_1, x_2, ..., x_n$ sequentially. The optimal code length of the sequence in bits is then

$$-\log \prod_{i=0}^{n-1} p(x_{i+1} | x_i, \dots, x_1), \qquad (1)$$

35 given the assignments of conditional probabilities. Arithmetic coding can approach this code length of the source.

DOCKET



Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time** alerts and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.

