

# **More superimposition for contrast-modulated than luminance-modulated stimuli during binocular rivalry**

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## Abstract

Luminance-modulated noise (LM) and contrast-modulated noise (CM) gratings were presented with interocularly correlated, uncorrelated and anti-correlated binary noise to investigate their contributions to mixed percepts, specifically piecemeal and superimposition, during binocular rivalry. Stimuli were sine-wave gratings of 2c/deg presented within 2 deg circular apertures. The LM stimulus contrast was 0.1 and the CM stimulus modulation depth was 1.0, equating to approximately 5 and 7 times detection threshold, respectively. Twelve 45s trials, per noise configuration, were carried out. Fifteen participants with normal vision indicated via button presses whether an exclusive, piecemeal or superimposed percept was seen. For all noise conditions LM stimuli generated more exclusive visibility, and lower proportions of superimposition. CM stimuli led to greater proportions and longer periods of superimposition. For both stimulus types, correlated interocular noise generated more superimposition than did anti- or uncorrelated interocular noise. No significant effect of stimulus type (LM vs CM) or noise configuration (correlated, uncorrelated, anti-correlated) on piecemeal perception was found. Exclusive visibility was greater in proportion, and perceptual changes more numerous, during binocular rivalry for CM stimuli when interocular noise was not correlated. This suggests that mutual inhibition, initiated by non-correlated noise CM gratings, occurs between neurons processing luminance noise (first-order component), as well as those processing gratings (second-order component). Therefore, first- and second-order components can contribute to overall binocular rivalry responses. We suggest the addition of a new well to the current energy landscape model for binocular rivalry that takes superimposition into account.

**Keywords:** Binocular rivalry, piecemeal percepts, superimposition, interocular noise, second-order, first-order

## 1. Introduction

Binocular rivalry refers to visual competition that arises when different images are presented separately to each eye (e.g. Brascamp, Klink, & Levelt, 2015; Helmholtz, 1867; Levelt, 1965; Wheatstone, 1838). Visual stimuli such as gratings presented at orthogonal orientations, e.g. a horizontal grating to the left eye and a vertical grating to the right eye, generate perceptual alternations from one exclusively visible grating to the other. However, mixed states of both gratings in one percept can occur in the form of piecemeal rivalry in zones, so that a percept contains portions of each grating (e.g. Blake, O'Shea, & Mueller, 1992). Near contrast detection threshold, orthogonally orientated grating stimuli can appear to overlap, a percept referred to as a 'dichoptic plaid' (Liu, Tyler, & Schor, 1992) or 'superimposition' (e.g. Brascamp, van Ee, Noest, Jacobs, & van den Berg, 2006). If rivaling stimuli with very different spatial frequencies are presented, they can begin to superimpose and can be perceived in different depth planes (Yang, Rose, & Blake, 1992).

Piecemeal percepts are suggested to represent rivalry within small spatial zones throughout the visual field. They occur for larger stimuli, but have been described for stimulus sizes as small as 10 arcmin (Blake et al., 1992). Blake and collaborators (1992) designed a model in which rivalry develops via independent, adjacent, non-overlapping interacting retinal areas. Spatial concatenations of multiple zones in different exclusivity states were thought to result in piecemeal percepts during binocular rivalry. Whereas superimposition is thought to be an indicator of binocular fusion (Brascamp et al., 2006; Liu et al., 1992).

Whether an exclusive or a mixed percept occurs during binocular rivalry can depend on low-level stimulus characteristics (i.e. those initially processed in early stages of the visual cortex) such as size (e.g. Blake et al., 1992; Breese, 1899; O'Shea, Sims, & Govan, 1997), contrast (e.g. Bossink, Stalmeier, & De Weert, 1993; Brascamp, Klink, & Levelt, 2015; Levelt, 1965), orientation (e.g. Schor, 1977; Wade, 1974) and spatial frequency (e.g. Kitterle & Thomas, 1980; O'Shea, Sims, & Govan, 1997). The level of stimulus complexity also influences the course of binocular rivalry alternation (e.g. Alais & Melcher, 2007; Nguyen, Freeman, & Alais, 2003; but see also Kovács, Papathomas, Yang, & Feher, 1996). Gratings or circles are considered to have low complexity, whereas houses or faces are thought to be complex stimuli in this context, as they require more cognitive or semantic computation (see Lumer et al. (1998) but also Blake & Logothetis, 2002).

All of the studies described above used luminance-based or coloured gratings or objects (so-called first-order spatial stimuli), which are differentiated from their backgrounds by a change of mean luminance or colour. Contrast-modulated noise (CM) stimuli (i.e. a type of second-order stimulus) can be perceived even though they do not show variations of mean luminance across a stimulus but only variations in contrast (e.g. Chubb & Sperling, 1988; Landy & Graham, 2004; Mareschal & Baker, 1999; Schofield & Georgeson, 1999; Zhou & Baker, 1993). Results from a number of psychophysical studies (e.g. Chima, Formankiewicz, & Waugh, 2015; Hairol & Waugh, 2010; Schofield & Georgeson, 1999), an electrophysiological study (Calvert, Manahilov, Simpson, & Parker, 2005), a neuro-imaging study (Larsson, Landy, & Heeger, 2006), and neurophysiological studies in cats (Mareschal & Baker, 1998; Tanaka & Ohzawa, 2006) and macaques (An et al., 2014; Li et al., 2014) have led to suggestions that additional computation is necessary in order for second-order stimuli to be perceived, compared to first-order stimuli (e.g. Baker, 1999; Landy & Graham, 2004; Schofield & Georgeson, 1999). Results from studies on amblyopia and interocular suppression suggest that this extra computation occurs in an area that involves binocular neurons (Wong, Levi, & McGraw, 2001, 2005; Chima, Formankiewicz, & Waugh, 2016). Dynamics of binocular rivalry are affected by a number of stimulus attributes (as outlined above), but in the present study, we are specifically concerned with differences that arise as the result of using LM and CM stimuli whilst keeping all other stimulus properties the same. Any differences in the characteristics of rivalry should therefore reflect the different processing sites for the two stimulus types.

In a recent study, we investigated binocular rivalry characteristics for orthogonally orientated gratings created using sinusoidal modulations of luminance (L), luminance modulated noise (LM) and contrast modulated noise (CM) (Skerswetat, Formankiewicz, & Waugh, 2016). We demonstrated that even under comparable visibility levels (multiples above detection threshold), a greater proportion of “mixed” percepts was evident for rivalling CM, than LM stimuli. This result in normal vision provides further support for the suggestion that more binocular areas are engaged in the processing of CM, than LM stimuli. However, as noted above, “mixed” percepts likely consist of both piecemeal and superimposition.

The first aim of the current study is to quantify the proportions of piecemeal and superimposition that occur during binocular rivalry for LM and CM stimuli. If CM stimuli are first processed by units involved in binocular fusion (e.g. Chima et al., 2015; Hairol & Waugh,

2010a; Wong et al., 2001; Wong, Levi, & McGraw, 2005), then significantly greater proportions of superimposition would be found for CM, than for LM stimuli. The second aim of the current study is to investigate the effects that different interocular luminance noise correlations have on binocular rivalry characteristics. If rivalry is initiated when luminance information is extracted, both LM and CM rivalry dynamics should change in a similar way only when noise is not fully correlated.

## **2. Methods**

### **2.1 Participants**

Eight male and seven female participants with an average age of  $25.7 \pm 5.2$  years carried out the experiment. Three were experienced in binocular rivalry experiments. All except one participant (author J.S.) were naïve to the purpose of the study. All participants had normal or corrected-to-normal visual acuity of at least 6/6 and normal binocular vision as indicated by random-dot-stereopsis of at least 60 arcsec when measured with the Dutch Organization for Applied Scientific Research (TNO) stereo test (Lameris Ootech, Ede, Netherlands).

### **2.2 Stimuli**

All stimuli were presented in a circular aperture of 2 deg diameter and contained a 2c/deg sinusoidal grating. The left eye's stimulus contained a horizontal grating, and the right eye's, a vertical grating. LM gratings were created by adding dynamic two-dimensional binary noise with an amplitude of 0.2 to a sine-wave with luminance modulation of 0.1. The same noise amplitude was multiplied by the sine-wave to create the CM gratings with a modulation of 1.00. It is important to consider the visibility of stimuli used to generate binocular rivalry since luminance contrast (and therefore visibility) of first-order stimuli influences the course of rivalry (e.g. Brascamp et al., 2015; Levelt, 1965). In a previous study, we measured detection thresholds for CM and LM stimuli of the same size, spatial frequency as used in the current study (Skerswetat et al., 2016). Based on these detection thresholds (averaged across participants), for the modulations used in this experiment, the visibilities for the two types of

stimuli are similar, at  $7 \pm 1$  (standard error) times and  $5 \pm 1$  times for CM and LM stimuli, respectively.

The stimulus types can be mathematically described as follows.

Sinusoidal luminance-modulated (LM) grating:

$$l_0(x, y) = l_0[1 + nN(x, y) + l\sin(2\pi x f_x)]$$

Two-dimensional binary white noise added to a sinusoidal luminance grating.  $N$  is the binary noise at position  $(x, y)$  (either black (-1) or white (1)) and  $n$  is contrast of 0.2.

Sinusoidal contrast-modulated (CM) grating:

$$l_0(x, y) = l_0[1 + nN(x, y) + nN(x, y)m\sin(2\pi x f_x)]$$

Contrast modulation is  $m$ . The mathematical term  $nN(x, y)m\sin(2\pi x f_x)$  expresses the contrast-modulated grating that results from the multiplying random noise sample by a sinusoid (Calvert et al., 2005; Schofield & Georgeson, 1999).

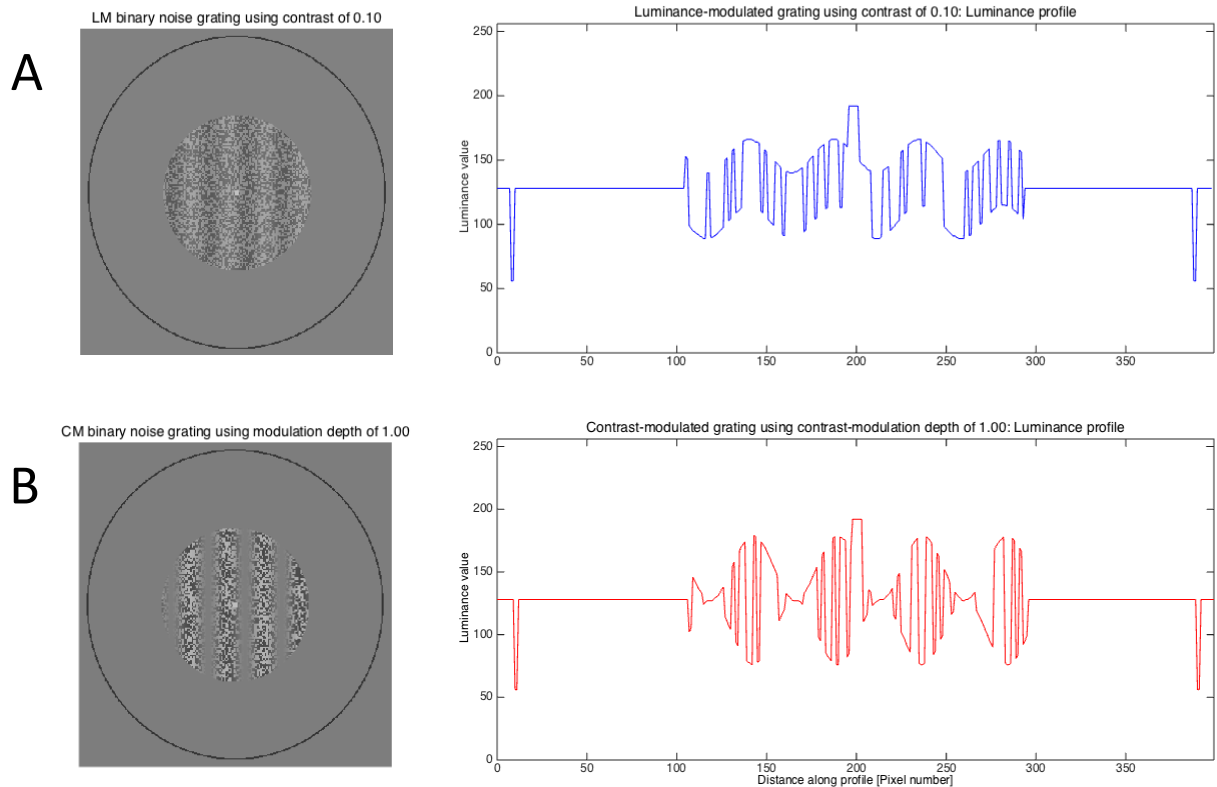


Figure 1: Illustration of vertical LM and CM gratings with luminance profiles taken through the centre of the stimulus. A) Luminance-modulated (LM) sinusoidal grating with contrast of 0.10 and added binary noise with a contrast of 0.20. B) Contrast-modulated (CM) sinusoidal

*grating modulating the binary noise carrier (modulation 1.00). Both stimuli were surrounded by a circular fusion lock (4 deg diameter) and contained a static fixation spot (6x6 pixels) in the centre with a luminance contrast of 0.20.*

Stimuli were presented on a grey background with a mean luminance of 48.55 cd/m<sup>2</sup>. The stimuli were viewed through a stereoscope. The optical distance from the participant's eyes through the mirrors to the monitor was 100 cm. The pixel size at this distance was 1.3 arcmin. A surrounding annulus with a diameter of 4 deg and a width of 2.6 arcmin (2 pixels) was used as a fusion lock (See Figure 1).

Three different noise configurations were used. 'Correlated noise' refers to noise checks that correspond interocularly in space, time and luminance. 'Anti-correlated noise' refers to noise checks that correspond interocularly in space and time, but with opposite luminance values. 'Uncorrelated noise' refers to noise checks that randomly correspond interocularly in space and time, thus, there is a 50 % chance that a particular check in one eye also corresponds in luminance with the same check in the other eye. At 100cm, each noise check subtended 2.6 arcmin (or 2x2 pixels).

To avoid any first-order artefacts in the second-order stimuli due to pixel clumping of static noise, dynamic noise was used (e.g. Ellemberg, Allen, & Hess, 2004; Georgeson & Schofield, 2016; Hairol & Waugh, 2010; Schofield & Georgeson, 1999, 2000; Zhou, Liu, Zhou, & Hess, 2014). Ten stimulus pages were created using the equations above, each with a different, random noise pattern. These ten pages were cycled in random order for the duration of the trial to generate dynamic noise. Each page was displayed for two monitor frames with the monitor running at 140 Hz. Consequently, the noise checks across the stimulus changed every 14.28ms in both stimuli.

## **2.3 Apparatus and monitor calibration**

The stimuli were presented on a Mitsubishi Diamond Pro 2070SB CRT Monitor with a resolution of 1027 x 769 pixels. Dell Precision 3500 hardware and Microsoft Windows XP

Professional (Version 2002) software were used to run the experiment and store the data. A customised MatLab program (Version R2010b) in combination with the Cambridge Research Systems Visual Stimulus Generator (ViSaGe) was used to create and present the stimuli.

Careful preparation prior to stimulus presentation and monitor calibration are essential for the investigations of second-order stimulus properties. Gamma correction was carried out, using a Cambridge Research Systems (CRS) ColorCal and software to produce lookup tables, to correct the monitor's inherent nonlinear luminance intensities. Prior to each experimental session, the monitor needed a warm-up time of 30 minutes to reach a consistent mean luminance level. Adjacent pixel non-linearity may confound a second-order signal with local first-order input (Klein, Hu, & Carney, 1996). Photometric measures for the luminance and contrast modulated stimuli were carefully checked. A four mirror stereoscope composed of optical components by OptoSigma (OptoSigma Corporation, California, USA) was used for stimulus presentation. The mirrors were carefully aligned prior to beginning the experiments to ensure that only one stimulus was visible to each eye.

## **2.4 Procedure**

The experiment followed the ethical principles of the Helsinki declaration of 1975. All participants were provided with written and verbal information about the project in advance and gave written informed consent before taking part. Participants were reimbursed at a minimal rate for time spent. Ethics approval to conduct the experiments on human participants was obtained from the Faculty of Science and Technology Research Ethics Panel (FST/FREP/12/327) at Anglia Ruskin University. All experiments were performed in a dark room. Participants sat on a comfortable chair and placed their heads in a chinrest. The stimuli were aligned by adjusting the position of a left and right nonious marker on the screen to ensure comfortable binocular viewing for each participant. The task for the participant was to press and hold various button configurations on a response box (Figure 2). The alternatives were, 1) only the horizontal grating (left eye's image) was visible, 2) only the vertical grating (right eye's image) was visible, 3) the percept contained portions of both stimuli (piecemeal), or 4) both stimuli appeared to completely overlap (superimposition). No button press, or any other button combination indicated invalid responses. Three experimental sessions were carried out, in which different noise configurations were used. Each session included 12 trials for LM and



12 trials for CM stimuli in randomised order. One trial lasted at least 45 s. Instructions and practice trials were given before formal data collection started. Breaks between trials were permitted if needed. A complete session lasted between 25 and 45 mins, depending on the breaks for each participant. For each participant, the three sessions were carried out on separate days.

## 2.5 Data analysis

The data were analysed to extract a number of rivalry parameters. Definitions of perceptual change categories are provided in Figure 2 and Table 1. Perceptual durations of exclusive visibility (sum of responses for the horizontal and the vertical grating), piecemeal and superimposed perception across 45 s and their respective mean durations were calculated. The last response of a trial was not included in these calculations as its duration would have been reduced by the termination of the trial at 45 s. When a percept did not occur during a trial (e.g. a participant never reported an exclusive visible horizontal percept), a duration of 0 s was used in calculating the mean across trials. Perceptual state results for 3 s intervals ('3-s-bins') across the trial duration were also calculated to investigate the effects of time on the course of rivalry.

As we used the same spatial frequency for both gratings, we did not expect that participants would perceive a superimposed mixed state with a depth impression (see Yang et al., 1992). Participants were asked orally whether they experienced that one grating was seen in front of the other during pilot sessions and training trials. No participant reported superimposition with depth impression. Fast changes of button presses could cause the recording of false perceptual states of very short durations. Hence, responses smaller than 180 ms were excluded. More details about the determination of this 'cut-off' time can be found in a previous publication (Skerswetat et al., 2016). A customized Matlab program was used to analyse the raw data generated from this study. Repeated measures ANOVAs with Greenhouse-Geisser correction and planned comparisons were also carried out using Statistica (Stat Soft, Int., U.S.A.).

Perceptual change category	Perceptual changes
Full flips	H <->V
Half flips	H <->P   V <->P

	H <->S   V <->S   P <->S
Reversion (total)	H ->P -> H   P ->H ->P V ->P ->V   P ->V ->P H ->S ->H   S ->H ->S V ->S ->V   S ->V ->S P ->S ->P   S ->P ->S
Within mixed reversion	P ->S ->P   S ->P ->S
Gradual (via piecemeal) flips	H <->P   V <->P   P <->S
Abrupt flips	Full flips   H <->S   V <->S

Table 1: Perceptual change categories and their respective responses. The perceptual states are indicated as follows: horizontal (H), vertical (V), piecemeal (P) and superimposed (S). The symbol <-> indicates flips between the indicated states whereas the symbol -> is used for all reversion types to indicate a change from one state to another.

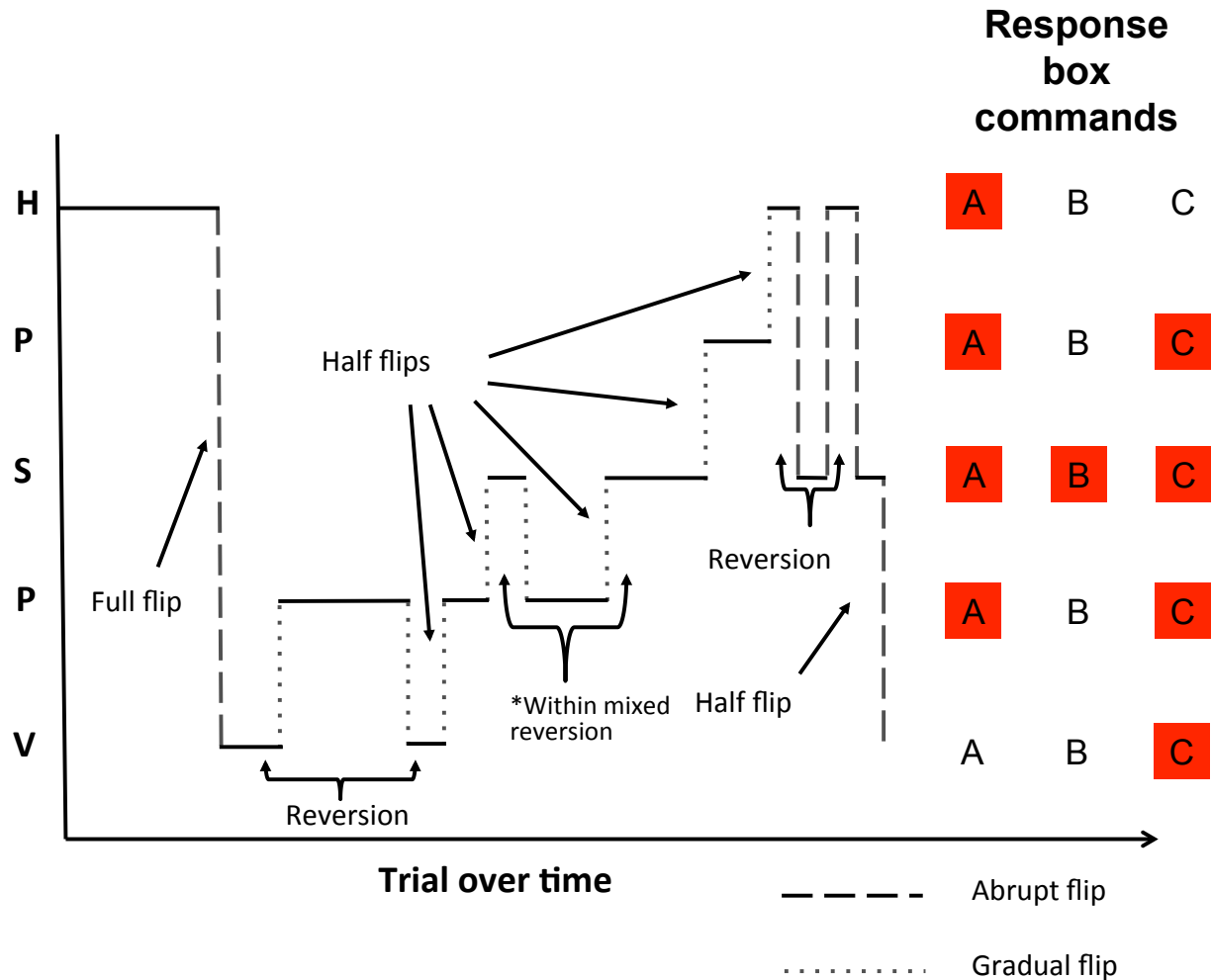


Figure 2: Illustration of a binocular rivalry sequence over time and description of the various perceptual change options. The y-axis shows the four response options: exclusive horizontal (H), exclusive vertical (V), piecemeal (P) and superimposed (S). The x-axis represents the trial

duration. The letters “A”, “B” and “C” marked in red on the right side of the illustration represent the corresponding response box buttons. Pressing the button labelled “A” on the response box signalled that an exclusive horizontal grating was perceived, “C”, that an exclusive vertical grating was perceived. Pressing both “A” and “C” referred to piecemeal percepts. Pressing buttons “A”, “B” and “C” together indicated that both gratings were perceived completely superimposed. The dashed lines represent abrupt flips and the dotted lines represent gradual flips.

### 2.5.1 Analysis of perceptual phase distributions

The distributions of the various perceptual phase durations were fit with a gamma distribution using Matlab (Version R2014b). For each condition and each participant, data was first normalized by dividing the phase durations by the relevant mean. These normalised data were then combined across participants. The perceptual phases are presented in the following form using a gamma distribution:

$$f(x|\alpha, \beta) = \frac{1}{\beta^\alpha \Gamma(\alpha)} x^{\alpha-1} e^{\frac{-x}{\beta}}; x > 0, \alpha > 0, \beta \geq 0$$

The gamma function is indicated with  $\Gamma(\alpha)$ , the “shape” parameter is  $\alpha$  and represents the skewness of the distribution, the “scale” parameter  $\beta$  scales the distribution along the abscissa and the number of perceptual events  $x$  (e.g. Levitt, 1965; O’Shea, Parker, La, & Alais, 2009; Veser, O’Shea, Schröger, Trujillo-Barreto, & Roeber, 2008). The coefficient of determination ( $R^2$ ) has been used in previous studies (e.g. Logothetis, Leopold, & Sheinberg, 1996; Lunghi & Burr, 2013; O’Shea et al., 2009) as an indicator of how well actual data fit a predicted model; the closer  $R^2$  is to 1, the better fit of the model to the actual data.

### 3. Results

Our aims were 1) to quantify the proportions of piecemeal and superimposition that occur during binocular rivalry for LM and CM stimuli, and 2) to investigate the effects that different interocular noise correlations have on binocular rivalry characteristics. To do this we analyse several aspects of binocular rivalry including proportions and mean durations of different perceptual states, rates of change in states, overall changes of rivalry across time and shapes of distributions of exclusive events.

#### 3.1 Perceptual states and mean durations

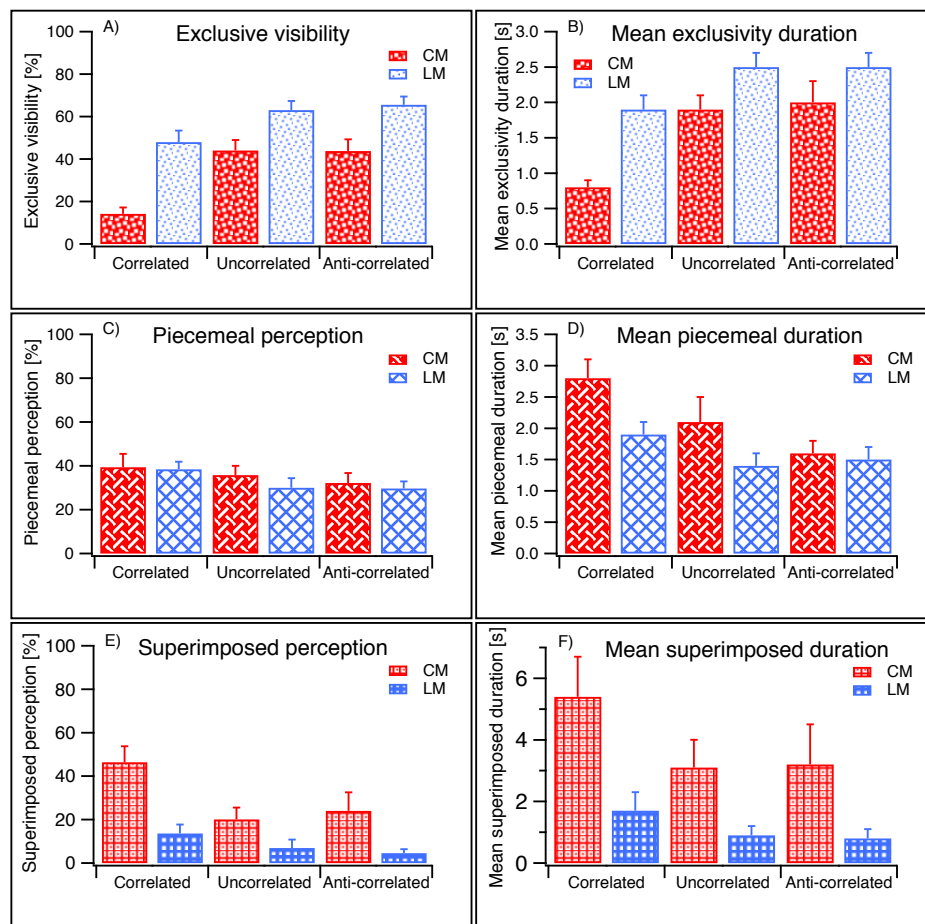


Figure 3: Results for the relative proportions of exclusive visibility (A), piecemeal perception (C) and superimposed perception (E) in a trial and their respective mean durations (B), (D) and (F) using interocularly correlated, uncorrelated and anti-correlated noise, averaged across trials and participants. The blue bars with small dots (A,B), mosaic-pattern (C,D) and

*grid pattern (E,F) represent percentages and mean durations of exclusive visibility, piecemeal perception and superimposition for LM stimuli. The red bars with big dots (A, B), patchwork pattern (C, D) and grids with dots (E, F) indicate percentages and mean durations of exclusive visibility, piecemeal perception and superimposition for CM stimuli. Error bars indicate + 1SEM.*

The proportions of trial time during which exclusive visibility, piecemeal and superimposed percepts were reported are depicted in Figure 3A, C and E, respectively. As our aim was to investigate the effects of stimulus type and noise configuration on the characteristics of binocular rivalry, we describe and statistically analyse the results for each percept separately.

The proportion of exclusive visibility ranges from  $14 \pm 3$  (SE) % for CM correlated noise stimuli to  $63 \pm 4$  % and  $66 \pm 4$  % for LM stimuli created using un- and anti-correlated noise, respectively. For both types, but especially for CM stimuli, exclusive visibility is greater for un- and anti-correlated than correlated noise. This differential effect of noise configuration on stimulus type is confirmed by a statistically interaction [ $F(1.9, 26.9) = 3.7, p < 0.05$ ]. All LM stimuli generate significantly more exclusive visibility than CM stimuli [ $p < 0.001$ , planned comparisons]. The differences in exclusive visibility are accompanied by significantly greater proportions of superimposition for CM (from  $20 \pm 5$  % for uncorrelated noise to  $46 \pm 7$  % for correlated noise) than for LM ( $4 \pm 2$  % to  $14 \pm 4$  %) stimuli [ $F(1,14) = 24.2, p < 0.001$ ]. The proportions of superimposition are also affected by noise correlation [ $F(1.7, 24.2) = 7.9, p < 0.01$ ] and are highest with correlated noise. The proportion of piecemeal perception is not significantly different for the two types of stimuli [ $F(1, 14) = 0.7, p > 0.05$ ] or three noise configurations [ $F(2.0, 27.3) = 1.9, p > 0.05$ ], ranging from  $30 \pm 4$  % to  $39 \pm 6$  %.

Figures 3 B, D and F show the mean percept durations. There was a reduction in mean exclusivity duration for both stimulus types as the noise became correlated but again, this effect was greater for CM than LM stimuli [ $F(1.9, 26.7) = 3.8, p < 0.05$ ]. The greater proportions of superimposition for CM than LM stimuli are due to the significantly longer mean durations [ $F(1, 14) = 15.2, p < 0.01$ ], which averaged across noise are  $3.9 \pm 1.2$  s for CM and  $1.2 \pm 0.4$  s for LM stimuli. CM stimuli also generate longer piecemeal durations compared to LM stimuli [ $F(1, 14) = 18.3, p < 0.01$ ]. Duration of superimposed and piecemeal percepts was also

affected by noise type [ $F(2.0, 27.3) = 3.9, p < 0.05$  for superimposed;  $F(1.5, 21.2) = 4.4, p < 0.05$  for piecemeal] and was longer with correlated than anti- and uncorrelated noise.

In summary, CM stimuli generate significantly more superimposition than LM stimuli regardless of the noise configuration. Correlated noise engages in shorter moments of exclusive visibility, but longer phases of superimposed and piecemeal perception for both LM and CM stimuli compared to anti- and uncorrelated noise configurations.

### 3.2 Perceptual changes and reversions

In this section, we compare the effects of stimulus type and noise configuration separately for each of the perceptual changes described in Figure 2 and Table 1.

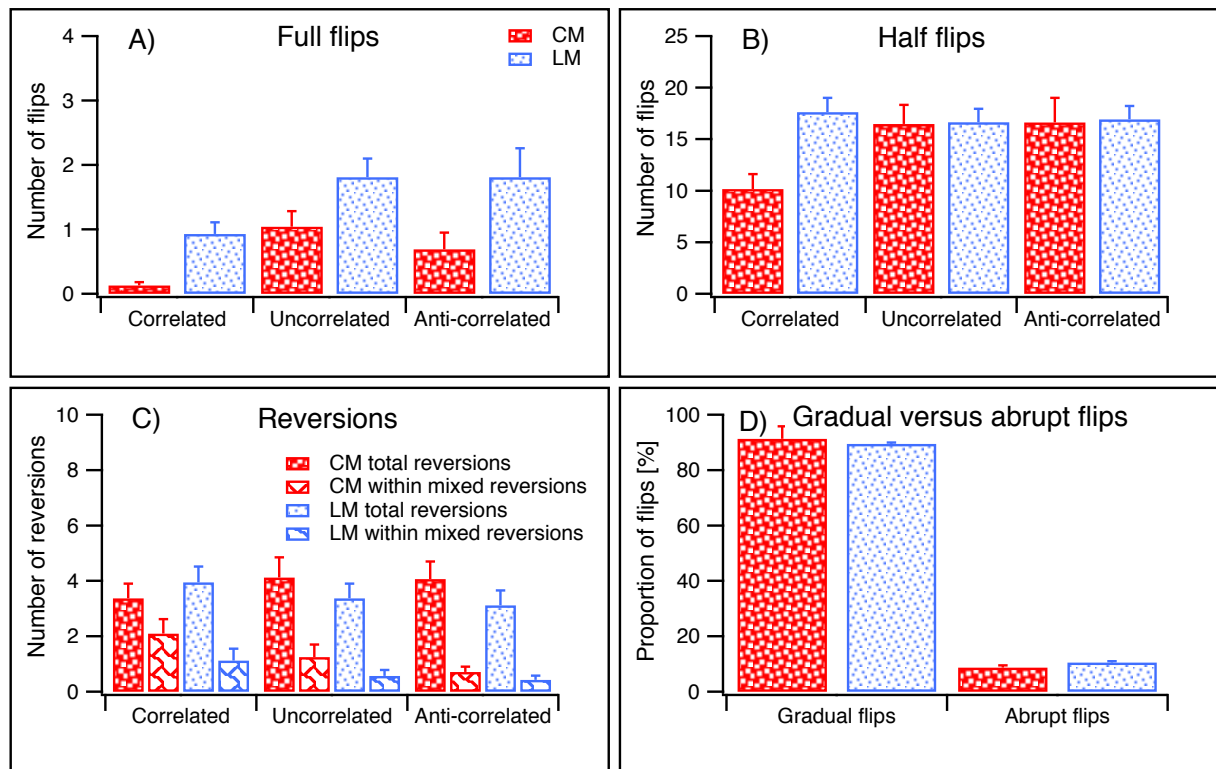


Figure 4: Results for number of full flips (A), half flips (B), reversions (C) using interocularly correlated, uncorrelated and anti-correlated noise, averaged across trials and participants. Note the different scale on the y-axes. Gradual versus abrupt flips (D) averaged across trials, participants and noise configurations. Red bars with big dots represent CM-stimuli, blue bars with small dots LM-stimuli. The scaled bars in graph C) are “within mixed reversions” between piecemeal and superimposition for CM and LM stimuli. Error bars indicate +1SEM.

Traditionally, binocular rivalry alternation has been described as a change of perception between two exclusive states (e.g. Breese, 1899; Levelt, 1965; O'Shea et al., 1997), which in the present study are referred to as full flips (Figure 4A). Full flips are thought to reflect changes in the balance of monocular neural activity (e.g. Blake, 1989). All LM stimuli engage in significantly more full flips than CM stimuli [ $F(1, 14) = 12.8, p < 0.01$ ]. The effect of noise configuration on full flips [ $F(2.0, 27.9) = 9.1, p < 0.01$ ] is due to fewer full flips for correlated noise compared to the other two noise configurations. Half flips always involve piecemeal or superimposition (see Table 1). Half flips are thought to reflect changes between different rivalry (exclusive and piecemeal) and fusion (superimposition), states.

A striking finding is the lower number of half flips for the correlated CM compared to all other conditions (Figure 4B). This interaction of stimulus type and noise configuration is statistically significant [ $F(1.2, 17.0) = 15.2, p < 0.01$ ] as is the difference between LM and CM stimuli under correlated noise configuration [ $p < 0.001$ , planned comparison].

During binocular rivalry, perceptual changes from an exclusive percept to a mixed state and back again are referred to as reversions (e.g. Brascamp et al., 2006; Mueller & Blake, 1989; Robertson, Kravitz, Freyberg, Baron-Cohen, & Baker, 2013). In the paradigm used for the current study, reversions within mixed perceptual states were computed and added to the total number of reversions (Figure 4C). In correlated noise, there were slightly more reversions with LM than CM stimuli, whereas the opposite pattern was observed with anti- and uncorrelated noise. This difference is confirmed by a significant interaction between stimulus type and noise [ $F(1.9, 26.1) = 5.9, p < 0.01$ ], but the only statistical significance in the number of reversions for LM and CM stimuli was for the anti-correlated noise [planned comparison,  $p < 0.05$ ]. To the knowledge of the authors, we present here for the first time results for reversions between piecemeal and superimposition (and vice versa). CM stimuli generate more within mixed reversions than LM stimuli [ $F(1, 14) = 8.3, p < 0.05$ ] and correlated noise conditions trigger more of those reversions than anti- and uncorrelated noise [ $F(1.8, 24.6) = 5.4, p < 0.05$ ]. We introduce gradual and abrupt flips as new perceptual change categories (see Figure 4D). For both stimulus types, the majority of perceptual changes are gradual (90 % for CM and 91 % for LM) rather than abrupt.

### 3.3 Results of perception across time

It is known that adaptation may change perception during rivalry across time (e.g. Hollins & Hudnell, 1980; Klink et al., 2010a, 2010b) for luminance-defined stimuli. We compared the effects of time on rivalry characteristics for LM versus CM stimuli. Figure 5 shows proportions of visual exclusivity, piecemeal and superimposition across 45s in 3s intervals for correlated, uncorrelated and anti-correlated noise, averaged across participants. Statistical analyses were performed separately for each perceptual state. Since a trial consists of fifteen ‘3-s-bins’, effects between single intervals might not be revealed as a main effect using an ANOVA. Hence, we also performed planned comparisons between single ‘3-s-bins’.



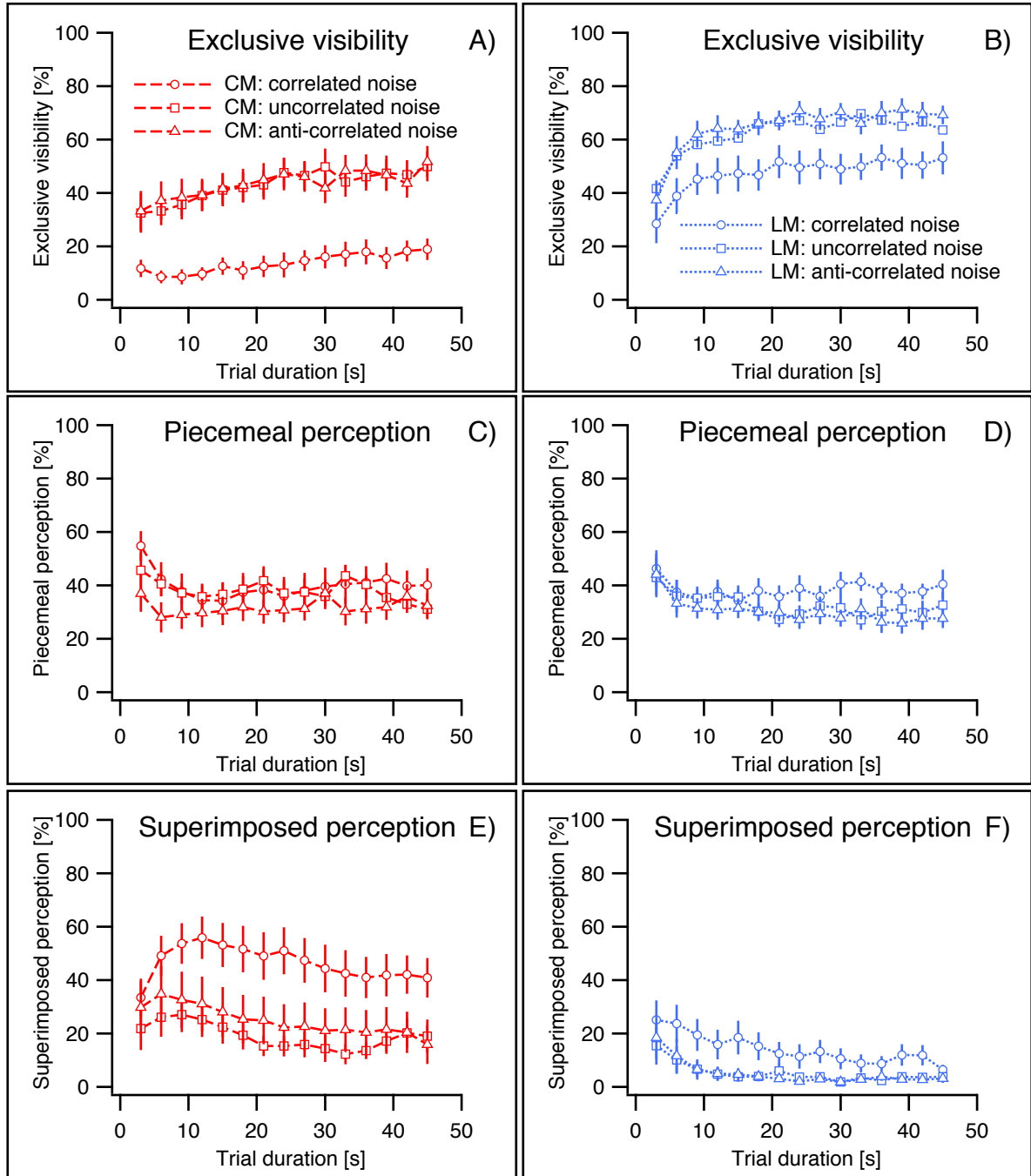


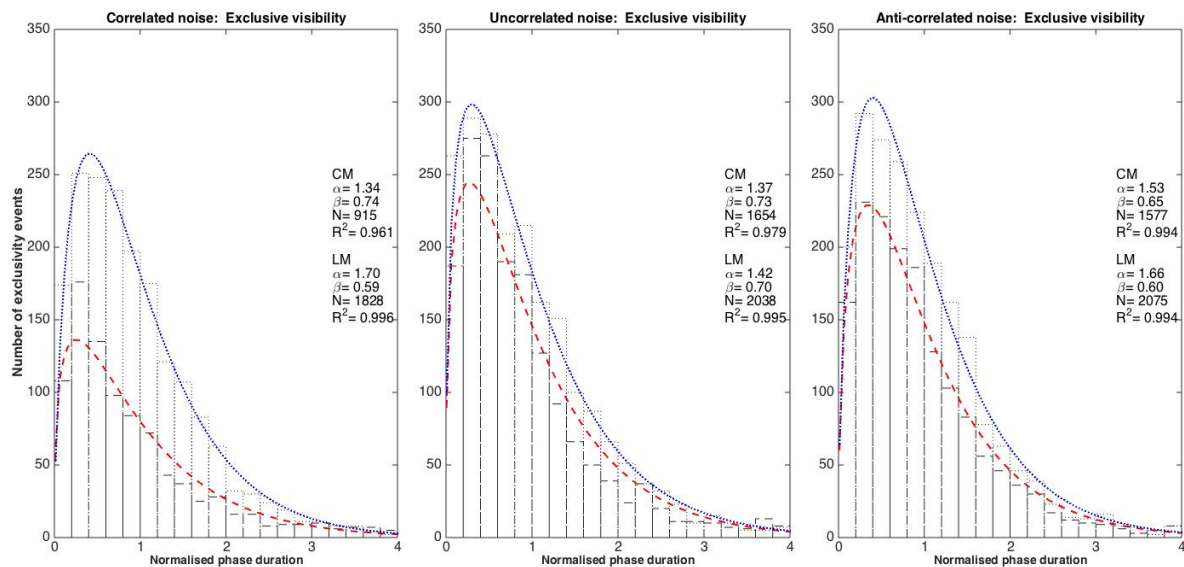
Figure 5: Proportions of perceptual states in 3 s intervals across the 45 s trial for CM (red dashed lines) and LM stimuli (blue dotted lines), and interocularly correlated (circles), uncorrelated (squares) and anti-correlated (triangles) noise. Error bars indicate  $\pm 1$  SEM.

The red and blue functions of Figure 5 represent the perceptual states across trial time for CM and LM stimuli, respectively. The proportion of exclusive visibility for CM correlated noise stimuli does not show a definite trend across time whereas it increases gradually for CM un- and anti-correlated noise stimuli. A steep increase is seen over the first few seconds for all LM

stimuli. Statistical analysis shows a significant interaction between stimulus type and time  $[F(5.4, 75.9)=3.9, p < 0.01]$ , but not between noise configuration and time  $[F(7.0, 98.5) = 0.78, p > 0.05]$ . Planned comparisons confirmed the trends observed in Figure 5A and B, i.e. there is a statistically significant [planned comparisons,  $p < 0.05$ ] increase in exclusive visibility from the first to the second, and from the second to the third ‘3 s bin’ for LM but not for CM stimuli.

The proportion of piecemeal perception reduces at the beginning of the trial for all stimuli. Although, overall there is no statistically significant main effect of time  $[F(1.8, 25.8)=3.0, p > 0.05]$ , the first and second 3 s intervals are significantly different [planned comparisons,  $p < 0.05$ ]. The trend across time for superimposition is different for LM and CM stimuli and this difference is confirmed by a statistically significant interaction between stimulus type and time  $[F(3.2, 44.7) = 4.0, p < 0.05]$ . Over the first 6 s of the trial, the proportion of perceptual superimposition grows significantly [planned comparison,  $p < 0.01$ ] from  $28 \pm 8$  to  $37 \pm 8$  % for CM stimuli, whereas LM stimuli’s perception decreased mildly but not significantly [planned comparison,  $p > 0.05$ ] from  $20 \pm 8$  % to  $15 \pm 6$  %.

### 3.4 Distribution of exclusively visible phases



*Figure 6: LM and CM phase distributions for exclusively visible percepts using interocularly correlated (left), uncorrelated (middle) and anti-correlated (right) noise. The x-axes depict normalised phase durations. The y-axes represent the number of perceptual events. The fitted gamma functions are shown together with parameters for LM (blue) and CM stimuli (red).*

Both CM and LM phase distributions for exclusive visibility for all noise configurations show a typical gamma-shape, which has been described as a hallmark of binocular rivalry (see Alais & Blake, 2005; Levelt, 1965, 1967). As shown in Figure 6, LM stimuli show greater peak values than CM stimuli. Also, interocularly correlated noise CM stimuli generate fewer exclusive events than all other stimulus type/noise configurations. The coefficient of determination, indicated by  $R^2$  values, is overall closer to 1 for LM compared to CM stimuli.

## **4. Discussion**

Our experiments have shown that under all noise configurations, but in particular for correlated noise, rivalrous CM stimuli engage in significantly less exclusive visibility and more superimposition than LM stimuli do. Interocular anti- or uncorrelated noise checks increase the amount of exclusive visibility compared to correlated noise especially for CM, but also for LM stimuli. Piecemeal perception was unaffected by changes of stimulus type and noise configuration (Figure 3). This study has also demonstrated that the use of LM stimuli triggers significantly more full and half flips than the use of CM stimuli (Figure 4) and that regardless of the stimulus type or interocular noise configuration, more gradual than abrupt flips occur (Figure 4). In the following sections, we will discuss the findings of the current study and use them to establish a framework that aims to address the differences between first- and second-order binocular rivalry.

### **4.1 Mixed states during first- and second-order binocular rivalry**

Previously, we reported that CM stimuli created with interocularly correlated noise generate many more mixed percepts (i.e. sum of superimposed and piecemeal percepts) than do LM stimuli (Skerswetat et al., 2016) when both are presented at comparable visibility levels. In the current study, we subdivided mixed states into “piecemeal” and “superimposed” perceptual

states. It has been suggested that piecemeal perception is rivalry in local zones (e.g. Blake et al., 1992) whereas superimposition indicates binocular fusion (e.g. Brascamp et al., 2006; Liu et al., 1992). Liu et al. (1992) suggested that non-oriented receptive fields may provide an underlying neuronal substrate for superimposition. However, Brascamp and collaborators (2006) showed that superimposition increases gradually as the stimulus contrast is reduced. If superimposition involves a separate mechanism, the transition from piecemeal perception to superimposition might be expected to be abrupt.

In the current study, we found significantly greater proportions of superimposition for CM than LM stimuli for all noise configurations, due to longer mean superimposed durations (Figure 3E and F). The trend of piecemeal perception across time is similar for LM and CM stimuli, in that there is a mild decrease over the first 6 s of a trial. However, the results for the two types of stimuli are different for superimposition: the proportion of superimposition increases at the beginning of the trial for CM stimuli, but decreases for LM stimuli. These results might be expected if superimposition has a more binocular processing site compared to piecemeal rivalry (Brascamp et al., 2006; Klink, Brascamp, Blake, & van Wezel, 2010; Klink, Brascamp, Blake, & Wezel, 2010a; Liu et al., 1992; but see also Blake et al., 1992 ) and if CM stimuli are initially processed in areas of the cortex, which receive greater binocular input than those processing LM stimuli (e.g. Hairol & Waugh, 2010; Skerswetat et al., 2016; Sukumar & Waugh, 2007; Wong, Levi, & McGraw, 2001).

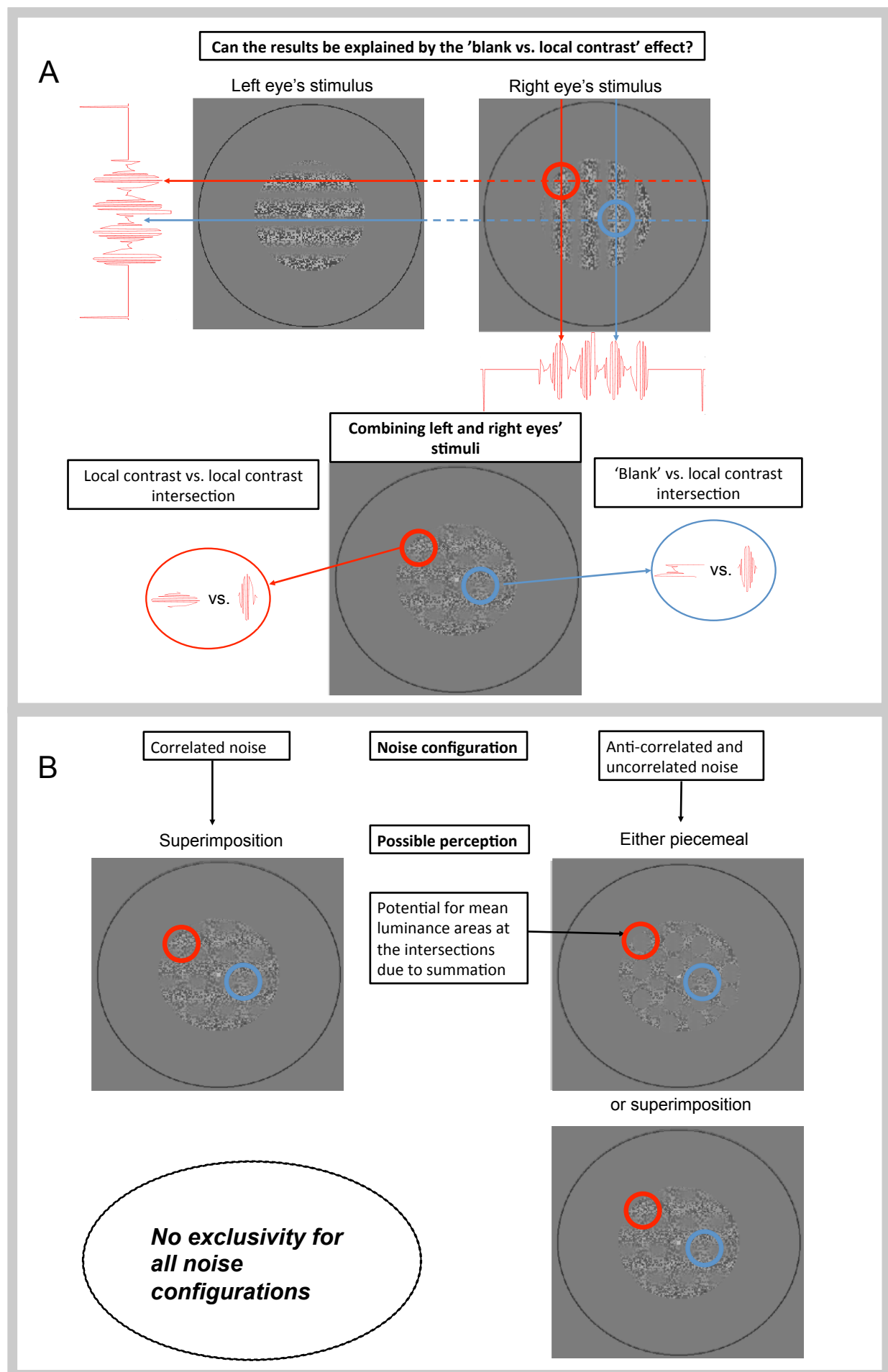


Figure 7: Scheme of an alternative hypothesis discussed in text. A) When the left and right eye's stimuli are combined, two local percepts are depicted: Intersections of local contrast regions (red circles) and intersections of regions close to mean luminance ('blank') vs. local contrast regions (blue circles). B) Three possible perceptual states that can arise with different noise correlations. Note that this hypothesis cannot explain the existence of exclusive percepts.

#### 4.2 Can the results be explained by the “blank vs. local contrast” effect?

An alternative explanation for our finding that higher proportions of superimposition are found for CM than LM stimuli, could be that for CM stimuli, local contrast-modulation areas in one eye, predominate over areas that are close to mean luminance in the other eye (see Figures 7A and B, blue circles). Whether a piecemeal percept or superimposition is reported would depend upon the regions of intersection where there is CM/CM combination (Figures 7A and B, red circles). For correlated noise, there would be no rivalry, so superimposition is likely to be reported (Figure 7B: left). The results of our study show a substantial proportion of superimposition (Figure 3E), but they also show a similar proportion of piecemeal (Figure 3C), which would not be expected by this alternative explanation.

For anti- and uncorrelated noise, if local rivalry occurs at the intersection, then superimposition or piecemeal could be reported (Figure 7B: right). If luminance averaging (summation) occurs at the intersection resulting in areas of mean luminance, piecemeal could be reported. In this case, the proportion of piecemeal perception should be higher for un- and anti-correlated than for correlated noise, but our results again do not support this (Figure 3C) as they show that proportions of piecemeal are roughly equal for all noise conditions.

If the pattern was interpreted as superimposition because of “filling-in” or local rivalry (resulting in some noise being perceived) at the intersections, then the same high proportion of superimposition should be reported for all noise conditions. However, our data (Figure 3E) show that the proportion of superimposition is greater for correlated, than anti- and uncorrelated noise. It is possible that rivalry at CM/CM intersections could lead to a pattern that is sometimes interpreted as superimposition and sometimes as piecemeal (Figure 7B: right). In this instance, the proportion of superimposition should be lower for anti- and uncorrelated noise than correlated noise. This is what we found (Figure 3E). However, this

reduction in the proportion of superimposition should be accompanied by an increase in the proportion of piecemeal, but it is not (Figure 3C).

For both LM and CM stimuli, a reduction in superimposition is accompanied by an increase in exclusivity for anti- and uncorrelated noise, compared to correlated noise. Exclusive visibility for CM stimuli would be very difficult to achieve if local contrast-modulation areas in one eye always predominated over areas that are close to mean luminance in the other eye. We report exclusive visibility with all types of noise conditions and both types of stimuli (Figure 3A). We showed that the exclusivity reported for correlated noise cannot be explained by stimulus fading (Skerswetat et al., 2016).

Thus, rather than this alternative explanation being true, the greater proportions of superimposition for CM stimuli are likely to be explained by binocular fusion.

#### **4.3 The effect of binary two-dimensional noise on the course of binocular rivalry**

Interocular noise configuration was varied in the current study. We used 1) correlated noise, i.e. noise checks corresponded in time, space and luminance, 2) anti-correlated noise, i.e. noise checks corresponded in time and space, but the luminance information was reversed and 3) uncorrelated noise, i.e. noise checks corresponded in time and space, but luminance values corresponded (correlated) or did not correspond (anti-correlated) with a chance of 50 %.

Other studies examining the effects of different interocular noise configurations on the perception of second-order stimuli have been carried out. It has been reported that stereopsis thresholds were not significantly different when one dimensional uncorrelated and correlated noise was used (Wilcox & Hess, 1996). The binocular summation of contrast detection thresholds for LM and CM sinusoidal gratings using correlated, uncorrelated and anti-correlated noise were also not significantly different (Georgeson & Schofield, 2016). Studies concerning the phase of binocularly combined LM and CM stimuli also showed no significant differences in results obtained with correlated, uncorrelated and anti-correlated noise configurations (Zhou, Georgeson, & Hess, 2014; Zhou, Liu, et al., 2014).

Our results show that binocular rivalry characteristics of CM stimuli are affected by the nature of interocular noise correlation. When noise is fully correlated, changes in exclusive visibility across time for CM stimuli are more gradual and reduced in magnitude compared to LM stimuli (Figure 5A). The lack of change over time for the CM correlated noise condition makes sense due to the greater magnitude of superimposition facilitated by fusion reducing the influence of adaptation on rivalry alternation. In the context of the CM filter-rectify-filter processing model, at the second stage, the envelope is filtered and either binocularly summed (superimposition) or suppressed (piecemeal perception or exclusive visibility). When noise is anti- or uncorrelated, greater proportions of exclusively visible percepts (Figure 3A) and greater numbers of full and half flips (Figure 4) are likely to be due to competing carrier information, which adds to the conflict of the competing envelopes.

#### **4.4 Distribution of exclusively visible phases**

The gamma distribution for CM stimuli using correlated noise showed much smaller peak values than all other exclusive visibility gamma phase distributions due to the lowest number of events. These results may support the suggestions of different processing mechanisms for first- and second-order stimuli (e.g. Chima et al., 2015; Schofield & Georgeson, 1999; Waugh, Lalor, & Hairol, 2009). We consider pure second-order rivalry to occur only in the correlated noise condition. Our results show gamma distributions with  $R^2$  values close to 1 for both exclusively visible CM and LM stimuli (Figure 6). The poorest fit occurred when CM stimuli were presented under correlated noise conditions, which is likely to be due to the low number of flips (Figure 4A).

#### **4.5 Addition of a third well to current energy landscape models of binocular rivalry dynamics**

The highlight of the current study is that CM stimuli generate significantly more superimposition than do LM stimuli. But how does this result fit into the current view of binocular rivalry? Double-well or energy landscape illustrations have been used to metaphorically describe the dynamics of perceptual alternations during binocular rivalry (e.g. Brascamp et al., 2006; Kang & Blake, 2011; Kim et al., 2006; Moreno-Bote et al., 2007; Rubén Moreno-Bote, Shpiro, Rinzel, & Rubin, 2010; Pastukhov & Braun, 2011; Seely & Chow, 2011). Well-established models describe a mediator-mechanism often called mutual or



reciprocal inhibition (e.g. Blake, 1989; Kang & Blake, 2011; Seely & Chow, 2011). The models are based on the assumption that different populations of neurons compete with each other during binocular rivalry. During phases of exclusive visibility, dominant neural populations are inhibiting neural populations of the other eye's stimulus completely, i.e., mutual inhibition. One idea is that neural adaptation weakens the dominant stimulus over time and decreases its suppressive impact on the suppressed stimulus until a point of equality, which leads to an abrupt change with short transient (mixed perceptual) phases (Blake, Tadin, Sobel, Raissian, & Chong, 2006; Kalarickal & Marshall, 2000; Laing & Chow, 2002; Lankheet, 2006; Lehky, 1988; Mueller, 1990; Seely & Chow, 2011; Wilson, 2003). This is illustrated in Figure 8A. The state potential changes as a result of adaptation and the perceptual state (red circle), moves between the two exclusive states (the two minima).

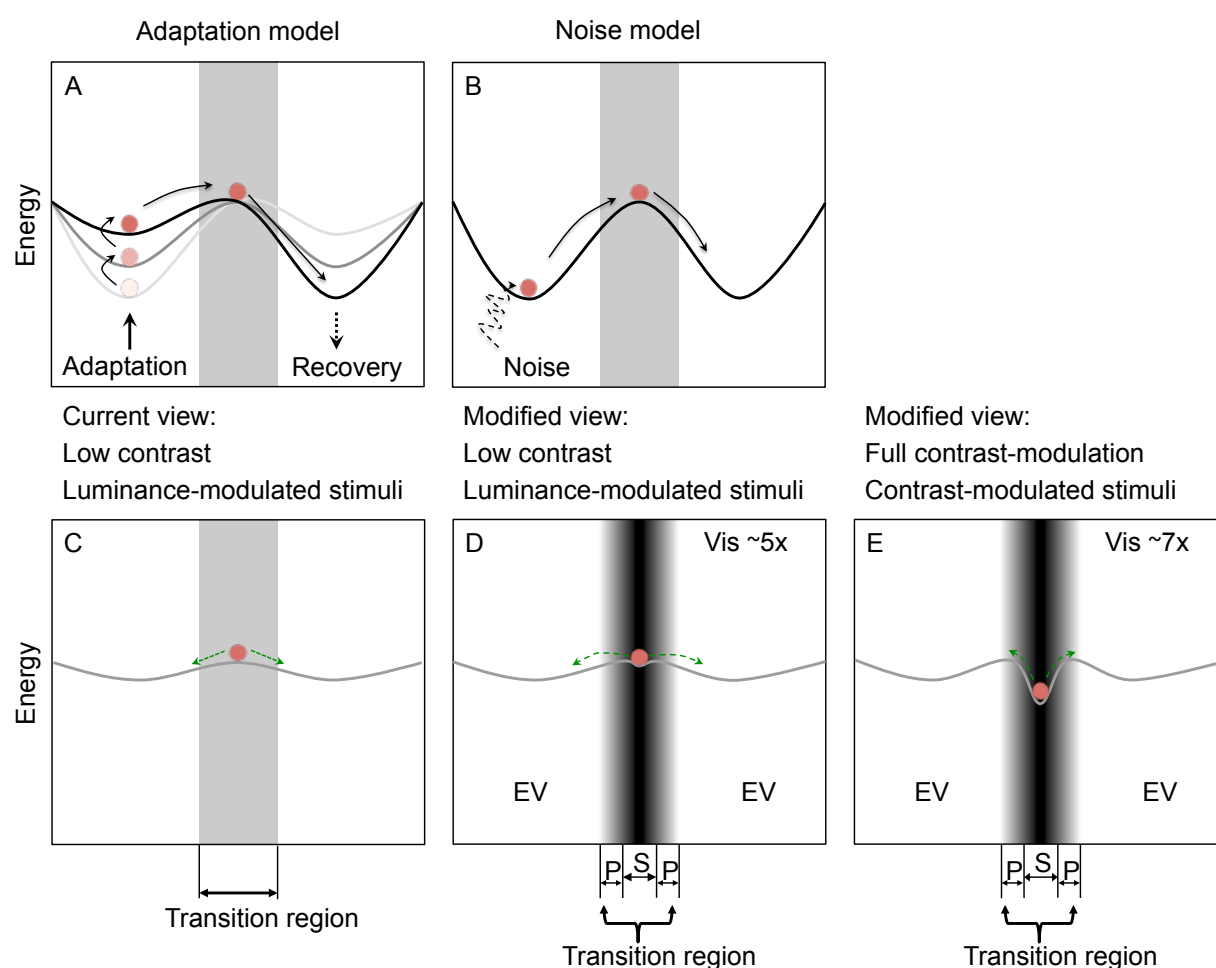
Alternatively, random intrinsic noise within the visual system could be the driving force for perceptual alternation (e.g. Brascamp et al., 2006; Kim et al., 2006; Rubén Moreno-Bote, Rinzel, & Rubin, 2007; Webber & Bressloff, 2013). The noise model is illustrated in Figure 8B, where the potential remains constant, but intrinsic noise triggers perceptual alternation between the two minima, i.e. the two exclusivity states.

The adaptation model also implies a rapid change between the two exclusive states, but the existence of reversions and mixed periods argues against this idea (Brascamp et al., 2006). Brascamp and collaborators suggested that intrinsic noise is a crucial factor necessary to describe the results of binocular rivalry under low contrast conditions (Figure 8C). The minima tend to be shallow and thus generate long mixed durations (e.g. Liu et al., 1992) when the perceptual state (red circle) reaches the associated flat transition region. Our findings of many more gradual than abrupt flips (Figure 4D) are in line with the idea of intrinsic noise as a predominant cause for perceptual alternation during binocular rivalry.

Both adaptation and noise models do not address the fact that reversions occur between piecemeal and superimposed percepts (Figure 4C). Therefore, we suggest in Figure 8D, adding piecemeal (P) and superimposition (S) within the transient region. The minimum of S, a new third well, within the transient region depends on various stimulus characteristics such as the stimulus type reported here (CM or LM), but also on other stimulus characteristics such as size (e.g. Blake et al., 1992; Breese, 1899; O'Shea, Sims, & Govan, 1997), contrast (e.g. Brascamp et al., 2015; Brascamp et al., 2006; Liu et al., 1992), orientation (Schor, 1977; Wade, 1974),

stimulus complexity (e.g. Alais & Melcher, 2007) and spatial frequency (e.g. O'Shea et al., 1997; Livingstone & Hubel, 1987).

The proposed addition of a third well can also address for the first time, binocular rivalry for CM stimuli (Figure 8E). The greater proportions of superimposition under comparable visibility levels (multiples of detection threshold) for CM stimuli is represented by a much deeper minimum of the S region than for the LM counterpart (Figure 8D).



*Figure 8: First- and second-order binocular rivalry states predicted using a double well potential model adapted from Brascamp et al. (2006) and Pastukhov & Braun (2011). The grey zones in the centre of the boxes A-C depict the transient or mixed perceptual region. The black wavy lines in the graphs A and B represent perceptual state potential; the minima of each potential represent exclusive visibility. The red circle represents the actual system (perceptual) state. A) Adaptation model: The landscape changes over time due to adaptation (upward pointing arrow) of the current perceptual state and the simultaneous recovery (downward pointing arrow) of the suppressed state. B) Noise model: The potential remains*

constant, however, intrinsic noise of the system (curved-dashed arrow) drives the red circle into the other state potential. C) Current view of binocular rivalry dynamics under low contrast conditions (see Brascamp et al., 2006; Pastukhov & Braun, 2011). The deterministic forces, due to intrinsic noise, are weak and the system state may develop in either direction (green dashed arrows). D) The gradation of grey levels to indicate different mixed states (piecemeal (P) to superimposition (S)) adds to the current view of first-order binocular rivalry (Brascamp et al., 2006). The minimum of S depends on various stimulus characteristics e.g. size, contrast, spatial frequency etc. Under the LM stimuli conditions of the current study, mixed perception occurred mainly in a piecemeal fashion, hence S minima level is relatively shallow compared to the CM stimuli condition illustrated in E) Using comparable visibility levels between CM and LM stimuli, the minimum of S is deeper for CM than for LM stimuli (Figure 3E)).

## 5. Conclusion

Regardless of noise configuration, CM stimuli generate fewer proportions of exclusivity and greater proportions of superimposition, than do LM stimuli. Interocular noise configuration affects binocular rivalry for both LM and CM stimuli. CM stimuli alternate less than LM stimuli as they trigger fewer full flips. Superimposition for CM stimuli develops differently over time, than for LM stimuli. The high proportions of superimposition for CM stimuli suggest that the envelope component is processed by neurons that compute initially binocular, rather than monocular, information. Orthogonally presented CM envelopes engage in stronger binocular rivalry if interocular carrier noise is not correlated. We propose the addition of a new well to the current qualitative energy landscape model for binocular rivalry alternation, to take our findings into account.

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