

# A Qualitative Impairment in Face Perception in Alzheimer's Disease: Evidence from a Reduced Face Inversion Effect

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**Abstract.** Prevalent face recognition difficulties in Alzheimer's disease (AD) have typically been attributed to the underlying episodic and semantic memory impairment. The aim of the current study was to determine if AD patients are also impaired at the perceptual level for faces, more specifically at extracting a visual representation of an individual face. To address this question, we investigated the matching of simultaneously presented individual faces and of other nonface familiar shapes (cars), at both upright and inverted orientation, in a group of mild AD patients and in a group of healthy older controls matched for age and education. AD patients showed a reduced inversion effect (i.e., larger performance for upright than inverted stimuli) for faces, but not for cars, both in terms of error rates and response times. While healthy participants showed a much larger decrease in performance for faces than for cars with inversion, the inversion effect did not differ significantly for faces and cars in AD. This abnormal inversion effect for faces was observed in a large subset of individual patients with AD. These results suggest that AD patients have deficits in higher-level visual processes, more specifically at perceiving individual faces, a function that relies on holistic representations specific to upright face stimuli. These deficits, combined with their memory impairment, may contribute to the difficulties in recognizing familiar people that are often reported in patients suffering from the disease and by their caregivers.

**Keywords:** Alzheimer's disease, face inversion effect, face recognition, vision, visuo-perceptual processing

## INTRODUCTION

Alzheimer's disease (AD) accounts for approximately 60% of all dementia cases and is by far the most prevalent form of dementia. Considering the

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36 general aging of the population and the fact that age is  
37 the greatest risk factor for AD, the expected number  
38 of cases is going to double between 2020 and 2040  
39 [1]. Consequently, there is an important need to bet-  
40 ter understand the nature of the cognitive symptoms  
41 that occur in the disease. Ultimately, this may lead to  
42 the development of specific cognitive interventions  
43 aimed at remediating the difficulties experienced by  
44 individuals living with AD.

45 AD is typically characterized by memory problems  
46 [2]. However, one of the most striking symptoms of  
47 AD is the failure to recognize familiar people [3, 4],  
48 a function that relies heavily on visual inputs, espe-  
49 cially the persons' faces, rather than auditory inputs  
50 (i.e., voices). In AD, the impaired ability to recognize  
51 familiar persons has typically been attributed to the  
52 underlying memory impairment [5]. Indeed, deficits  
53 in both anterograde episodic memory of faces [6, 7]  
54 and retrograde semantic memory of famous persons  
55 [8–10] are present in AD and are thought to account  
56 for the difficulties in recognizing familiar faces.

57 In addition to their memory impairment, however,  
58 deficits in visual tasks are also commonly reported  
59 in AD [11]. For instance, individuals suffering from  
60 AD have difficulties in color and depth perception  
61 [11], visuospatial organization [12], control of visual  
62 attention [13] and in visual search tasks with sim-  
63 ple stimuli [14]. These low-level visual deficits occur  
64 independently of memory problems in AD [15] and  
65 may result from the concentration of neuropathology  
66 in the visual cortex [16].

67 A number of studies have also found deficits at  
68 processing pictures of unfamiliar faces. One line  
69 of evidence comes from studies that have demon-  
70 strated difficulties in the categorization of facial  
71 emotions in AD [17–22]. Another line of evidence  
72 involves studies that have shown deficits in the pro-  
73 cessing of non-emotional features of faces such as  
74 age estimation [23] and mental rotation of faces  
75 [24]. AD patients also show poorer accuracy at the  
76 Benton Facial Recognition Test (BFRT) [25], a test  
77 which requires matching unfamiliar faces simultane-  
78 ously presented under identical and different views  
79 [26–28], this impairment being observed even when  
80 visual contrast has been increased [29].

81 However, even when unfamiliar faces are used  
82 in simple matching tasks minimizing memory pro-  
83 cesses, there is no evidence that AD patients' de-  
84 ficits at such tasks reflect an impairment that  
85 is specific to faces, i.e., which would not concern  
86 other visual shapes. Most importantly, such explicit  
87 matching tasks require attention, complex stimulus

88 comparison, and decision processes. Hence, reduced  
89 performance at such tasks does not provide unam-  
90 biguous evidence that AD patients are impaired at the  
91 *perceptual* level for faces, i.e., that they are impaired  
92 at building a *visual representation* of an individual  
93 face (irrespective its long-term familiarity).

94 One way to address these important issues is to  
95 compare AD patients' processing of simultaneously  
96 presented individual faces to other nonface familiar  
97 shapes, at both upright and inverted orientation. Start-  
98 ing with Yin [30], many studies have shown that the  
99 processing of individual faces is much more severely  
100 impaired by picture-plane inversion than the process-  
101 ing of other objects [31–43]: this effect has been  
102 coined the Face Inversion Effect (FIE) [30, 43, 44 for  
103 review]. Although the original study of Yin [30] and  
104 others [42] relied on old/new paradigms involving an  
105 important memory component, studies have shown a  
106 large decrease of performance for inverted unfam-  
107 ilar faces in delayed or even simultaneous matching  
108 tasks with unfamiliar faces (e.g., [32, 33, 40, 45–53]),  
109 suggesting that the source of the FIE lies at the per-  
110 ceptual level [48, 54, 55]: the visual representation of  
111 an individual face, irrespective of its long-term fam-  
112 ilarity, appears to be qualitatively different for upright  
113 and inverted faces.

114 Given these well-established findings in the typi-  
115 cal population, the FIE offers a unique opportunity  
116 to test whether, in addition to their memory impair-  
117 ment, AD patients have deficits in higher-level visual  
118 processes such as the perception of individual faces.  
119 This is the main goal of the present study. In addition,  
120 providing that the answer to this question is positive,  
121 we were also interested to test whether such impair-  
122 ments may possibly account in part for the commonly  
123 reported difficulties of patients in recognizing fam-  
124 ilar persons. Such findings would shed light on the  
125 nature of the face processing impairment in AD.

## 126 MATERIALS AND METHODS

### 127 *Participants*

128 Two groups of participants took part in the study:  
129 25 mild AD patients and 23 healthy elderly controls  
130 (HE). All participants gave written consent before  
131 participation, and the research protocol was approved  
132 by the Research Ethics Board of the Institut Universi-  
133 taire de Gériatrie de Montréal (IUGM) and the Centre  
134 Hospitalier Universitaire de Montréal (CHUM).

135 The twenty-five persons (15 women and 10 men)  
136 who received a diagnosis of AD were referred by

137 the Cognition clinic of the IUGM and CHUM. Diag-  
 138 nosis of AD complied with the National Institute  
 139 of Neurological and Communicative Disorders and  
 140 Stroke and the Alzheimer's Disease and Related Dis-  
 141 orders Association (NINCDS-ADRDA) criteria [56].  
 142 All patients were in a mild stage of the disease [57]  
 143 (see Table 1 for details). AD patients completed a  
 144 neuropsychological assessment, results of which are  
 145 presented in Table 1. In addition, 23 HE (13 women  
 146 and 10 men) participated in the study. They were  
 147 recruited from a pool of volunteer participants at  
 148 the CRIUGM. All HE showed normal performance  
 149 on neuropsychological tests (see Table 1). As part  
 150 of the neuropsychological assessment, one HE did  
 151 not complete the Stroop Test. In addition, one AD  
 152 patient did not complete the Stroop Test; another did  
 153 not complete the Stroop Test and the Trail Making  
 154 Test; finally, one AD patient was only able to com-  
 155 plete the Mini-Mental State Examination, the Benton  
 156 Line Orientation Test, and the Visual Object and  
 157 Space Perception subtests as part of the neuropsy-  
 158 chological assessment. These patients were not able  
 159 to complete all neuropsychological assessment due  
 160 to fatigue/lack of motivation. HE and AD partici-  
 161 pants were matched for age and level of education. We  
 162 excluded HE and AD participants who had a presence  
 163 or history of neurological disorder (excluding AD),  
 164 psychiatric disorder, closed-head injury, a history of  
 165 alcoholism, substance abuse, or general anesthesia in  
 166 the past 12 months, an untreated medical or metabolic  
 167 condition with a potential impact on cognition, uncor-  
 168 rected hearing or vision impairment, as well as eye  
 169 diseases such as age-related macular degeneration  
 170 and cataracts.

### 171 *Neuropsychological assessment*

172 Both groups underwent a general neuropsycholog-  
 173 ical assessment, which included standard measures  
 174 of memory, language, attention, executive functions,  
 175 visuoconstructional, visuoperceptual, and visuospa-  
 176 tial skills. Episodic memory was assessed with the  
 177 RL/RI 16 [58], a verbal free and cued recall test  
 178 of single words widely used in the French speak-  
 179 ing population. Visual memory was tested using the  
 180 immediate and delayed recall conditions of the Rey  
 181 complex figure [59], as well as the immediate and  
 182 delayed conditions of the DMS48 [60], a visual  
 183 recognition memory test. Language was assessed  
 184 with the DO80 picture naming test [61], lexical flu-  
 185 ency (letter P), and categorical fluency (animals) [62].  
 186 Executive functions were measured using the Trail

187 Making Test A and B [63] and the Victoria Stroop  
 188 Test [64]. Short term/working memory was assessed  
 189 using the forward and backward digit span subtest  
 190 of the Wechsler Memory Scale-III [65]. Visuocon-  
 191 structional skills were measured with the copy of  
 192 Rey-Osterrieth figure [59]. Visual perceptual skills  
 193 were assessed using the Shape detection, Silhouettes,  
 194 Object decision, and Cubes subtests of the Visual  
 195 Object and Space Perception battery [66]. In addi-  
 196 tion, basic-level face recognition abilities were tested  
 197 using the BFRT [25]. Finally, visuospatial skills were  
 198 assessed with the Benton Line Orientation Test [67].  
 199 Results are presented in Table 1.

### 200 *Stimuli*

201 In the current study, 36 Caucasian unfamiliar indi-  
 202 viduals (18 women/18 men) presented in both frontal  
 203 (top) and 3/4 views (45° angle, bottom) were used  
 204 (see Experiment 3 in [33]). These photographs were  
 205 processed to remove any external cues (such as hair  
 206 and ears). Thirty-six pictures of cars presented in an  
 207 upright position in frontal and 3/4 views were also  
 208 used as part of the stimuli and designed in an identi-  
 209 cal way. Many previous studies have used pictures of  
 210 cars to isolate the FIE [30, 33, 40, 68]. Pictures of cars  
 211 were used because they are familiar objects having  
 212 multiple parts (e.g., headlights, mirrors, windshield,  
 213 etc.) like faces (e.g., eyes, nose, mouth). The stim-  
 214 uli were about  $7.1^\circ \times 5.7^\circ$  for faces and  $5 \times 7.8^\circ$  for  
 215 cars. Pictures of cars were taken in Belgium 20 years  
 216 ago (1996) and are mostly photographs of European  
 217 and Japanese car models unknown to the participants,  
 218 with car logos removed. All pictures were presented  
 219 in shades of gray on a white background. From these  
 220 pictures, 144 displays/trials were created. Each dis-  
 221 play consisted of three stimuli from the same category  
 222 (faces or cars), one presented at the center of the upper  
 223 half of the screen, and two horizontally-aligned stim-  
 224 uli presented in the lower half of the screen (left and  
 225 right) (see Fig. 1 for example). The gender was always  
 226 the same for distractor and target faces. Each stimu-  
 227 lus in the upper half of the screen was presented in a  
 228 frontal view while the two stimuli in the lower half  
 229 were presented in a 3/4 view. One of the two stim-  
 230 uli presented in the bottom half of each trial matched  
 231 the stimulus presented in the upper half, while the  
 232 other stimulus presented in the bottom half was dif-  
 233 ferent, but could be the same stimulus shown in the  
 234 center of the upper half of the screen in another trial.  
 235 In addition, the exact same displays of faces and cars  
 236 were presented upside-down, meaning that each face

Table 1  
Neuropsychological results of participants

	Control Mean (S.D.) [Range]	AD Mean (S.D.) [Range]	<i>p</i> value for group effect
<b>Demographic data</b>			
Age	77.82 (6.4) [65–87]	77.07 (7.62) [54–85]	n.s.
Education	14.23 (2.9) [9–20]	12.71 (3.8) [6–20]	n.s.
<b>General cognitive functioning</b>			
MMSE	28.76 (1.1) [26–30]	25.17 (2.5) [20–29]	<i>p</i> < 0.01
<b>Memory</b>			
RL/RI 16			
Immediate free recall of a word list (16)	8.40 (2.3) [4–13]	2.55 (1.8) [0–6]	<i>p</i> < 0.01
Immediate total recall of a word list (16)	14.40 (2.4) [7–16]	6.5 (2.6) [2–11]	<i>p</i> < 0.01
Delayed free recall of a word list (16)	12.24 (2.9) [3–16]	1.36 (1.5) [0–5]	<i>p</i> < 0.01
Delayed total recall of a word list (16)	15.56 (1.3) [10–16]	6.50 (3.3) [0–12]	<i>p</i> < 0.01
<b>Visual memory</b>			
DMS48 Set 1	95.15 (5.1) [83–100]	76.17 (13.5) [50–98]	<i>p</i> < 0.01
DMS48 Set 2	93.52 (5.9) [83–100]	72.30 (14.0) [48–96]	<i>p</i> < 0.01
Rey–Osterrieth immediate recall (36)	14.80 (7.5) [4–30]	4.20 (4.2) [0–13]	<i>p</i> < 0.01
Rey–Osterrieth delayed recall (36)	13.64 (7.1) [4–28]	3.78 (4.5) [0–14]	<i>p</i> < 0.01
<b>Executive function/working memory</b>			
Stroop–Victoria Test			
Part A	51.80 (10.0) [42–85]	61.62 (18.1) [34–101]	<i>p</i> = 0.03
Part B	82.64 (16.0) [57–101]	113.57 (36.2) [70–192]	<i>p</i> < 0.01
Part C (interference)	138.44 (27.3) [91–177]	219.81 (82.8) [121–392]	<i>p</i> < 0.01
Digit span forward	6.52 (1.4) [4–9]	6.14 (1.0) [4–8]	n.s.
Digit span backward	5.04 (1.49) [3–8]	4.18 (1.1) [2–6]	<i>p</i> = 0.03
Trail Making Test			
Part A	50.20 (21.20) [17–113]	69.90 (23.4) [32–111]	<i>p</i> < 0.01
Part B	103.92 (36.20) [54–183]	248.81 (204.0) [72–919]	<i>p</i> < 0.01
<b>Language</b>			
DO80	78.85 (1.7) [75–80]	74.39 (4.5) [63–80]	<i>p</i> < 0.01
Verbal fluency “P” in 2 min	23.96 (7.7) [11–42]	14.78 (4.6) [6–25]	<i>p</i> < 0.01
Category fluency “animals” in 2 min	26.36 (4.9) [19–35]	16.52 (4.6) [7–26]	<i>p</i> < 0.01
<b>Visuoperceptual, visuoconstructional and visuospatial abilities</b>			
Visual object and space perception battery			
Shape detection	19.69 (0.6) [18–20]	19.61 (0.6) [18–20]	n.s.
Silhouette	19.00 (3.9) [10–27]	15.43 (3.8) [7–22]	<i>p</i> < 0.01
Object decision	16.85 (1.9) [13–20]	15.48 (3.5) [4–20]	n.s.
Cube	9.31 (0.84) [7–10]	7.87 (2.6) [0–10]	<i>p</i> < 0.01
Rey–Osterrieth figure – copy (36)	31.04 (6.2) [24.5–36]	26.83 (7.2) [12.5–36]	<i>p</i> < 0.01
Benton line orientation test (30)	23.96 (4.4) [14–30]	20.14 (4.6) [11–29]	<i>p</i> < 0.01
Benton facial recognition test	45.58 (3.1) [39–51]	44.0 (4.0) [37–51]	n.s.

237 or car in the trial was shown in an inverted position.  
 238 In total, there were 36 trials of upright cars, 36 of  
 239 inverted cars, 36 of upright faces, and 36 of inverted  
 240 faces.

#### 241 Procedure

242 The task was programmed with the E-Prime  
 243 software (version 2.0.10.353). In this experiment,  
 244 displays of faces and cars were presented to each par-  
 245 ticipant on the computer screen. Participants had to  
 246 select which of the two stimuli presented in the lower  
 247 half of the screen matched the stimulus presented in  
 248 the upper half of the screen. They were instructed to  
 249 respond as accurately yet as fast as possible. Each  
 250 display made of the three stimuli remained on the

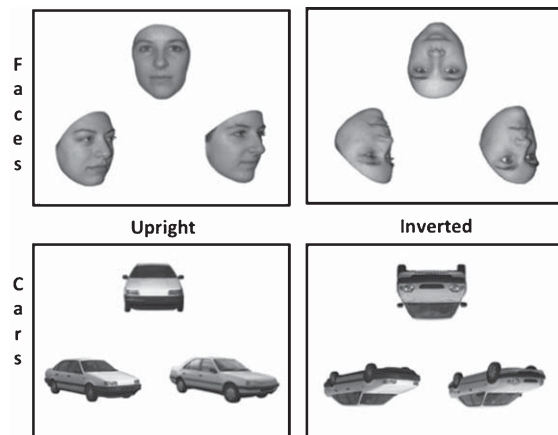


Fig. 1. Examples of different displays/trials of stimuli.

251 screen until the participant provided an answer by  
 252 pressing one of the two response keys on the key-  
 253 board. The participant had to press the *S* button if  
 254 the corresponding stimulus was on the bottom left-  
 255 hand side of the screen, and the *L* button if it was  
 256 on the right-hand side. Stimulus displays (i.e., one  
 257 trial) were separated by 1,000 ms. The experiment  
 258 was divided into 3 blocks containing 12 trials of each  
 259 category (upright cars, inverted cars, upright faces,  
 260 and inverted faces) presented at random. The exper-  
 261 iment began with a practice session consisting of 6  
 262 trials of upright and inverted faces, followed by the  
 263 144 trials of the experiment.

### 264 *Statistical analyses*

265 Statistical analyses were conducted with IBM  
 266 SPSS Version 21.0 (Statistical Package for the Social  
 267 Sciences). Practice trials were not included in the  
 268 analyses.

269 The mean error rates (ER) and the mean response  
 270 times (RT) were calculated for each condition and  
 271 for each participant. RT were only used for success-  
 272 ful trials and if RT did not exceed 1.96 standard  
 273 deviations below or above a participant's own mean.  
 274 Outliers were then replaced by the participant's mean  
 275 RT (across all conditions), accounting for 5.5% of the  
 276 data [69, 70].

277 In regard to ER, we first verified whether scores  
 278 exceeded 3.29 standard deviations above the mean  
 279 and SD of all participants, which was not the case  
 280 [71]. We also verified the normality of our vari-  
 281 ables according to Kline's criteria [72]. Only ER  
 282 for inverted cars in HE exhibited abnormal kurtosis.  
 283 However, as there were no participants with extreme  
 284 scores on this variable, the distribution of this variable  
 285 was not modified.

286 Inversion costs ratios (ICR) were also computed  
 287 for ER and RT using the following formula for faces  
 288 and for cars: ER or RT difference between upright and  
 289 inverted condition divided by the sum of ER or RT of  
 290 both conditions, respectively. A negative ICR indi-  
 291 cates that a participant performed more accurately  
 292 with upright pictures than with inverted pictures and  
 293 a positive ICR indicates the opposite pattern. ICR  
 294 were used as a way to compare more accurately the  
 295 difference between HE and AD patients by compar-  
 296 ing the IE to its own condition and allowing it to  
 297 be expressed in terms of a similar amplitude across  
 298 individuals (speed/accuracy ratio, reduced speed of  
 299 processing in AD, etc.). Also, by first comparing the  
 300 participants with themselves, we can reduce the sta-

301 tistical bias that may be induced by a greater variance  
 302 in AD.

303 Analysis of variance for repeated measures  
 304 (ANOVA) was performed separately for non-  
 305 transformed data and ICR on both ER and RT.  
 306 Mauchly's test for sphericity was conducted for  
 307 each ANOVA to assess the homogeneity of vari-  
 308 ance and the analyses did not reveal any significant  
 309 effect. Therefore, the ANOVAs were not corrected.  
 310 ANOVAs on non-transformed data were run with  
 311 *Group* (Controls versus AD patients) as between  
 312 subjects and *Category* (Cars versus Faces) and *Ori-*  
 313 *entation* (Upright versus Inverted) as within subjects.  
 314 ANOVAs on ICR were run with *Group* as between  
 315 subjects and *Category* as within subjects.

316 Significant three-way interactions for non-  
 317 transformed data were subsequently analyzed by  
 318 running separated ANOVAs for each group with *Cat-*  
 319 *egory* and *Orientation* as within subjects. Planned  
 320 *t* tests between upright cars and inverted cars,  
 321 between upright faces and inverted faces, between  
 322 upright cars and upright faces, and between inverted  
 323 cars and inverted faces were used as *post-hoc*  
 324 analysis to decompose significant interactions on  
 325 non-transformed data and on ICR.

326 Finally, ICR were used to compute z scores for  
 327 each AD patient compared to HE for cars and faces on  
 328 both ER and RT according to this formula: (HEmean  
 329 – ADratio)/HEsd with HEmean and HEsd reflecting  
 330 the mean and standard deviation of the HE group for  
 331 a given ICR and ADratio the specific value of a given  
 332 AD patient for the given ICR.

333 A  $p < 0.05$  was used as a significant threshold for  
 334 all analyses.

335 A correlation analysis was also conducted between  
 336 the ICR on ER for cars and faces and the different  
 337 neuropsychological scores in the AD group and in  
 338 the HE group in order to better understand the rela-  
 339 tions between performance on the task and specific  
 340 cognitive processes. Due to the exploratory nature of  
 341 this analysis, the threshold for significance was not  
 342 corrected for multiple comparisons. The results are  
 343 thus discussed accordingly.

## 344 **RESULTS**

345 The mean accuracy rates and correct RTs are illus-  
 346 trated in Fig. 2A and B, respectively.

### 347 *Error rates (ER)*

348 There were significant main effects of all fac-  
 349 tors: *Group* ( $F(1, 46) = 11.68, p < 0.05, \eta_g^2 = 0.14$ )

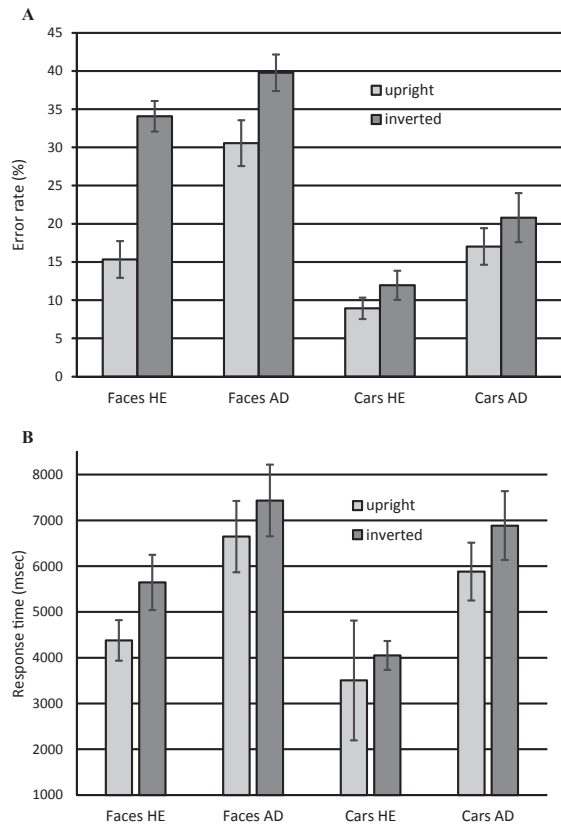


Fig. 2. Mean error rates (A) and mean response time (B) of healthy elderly controls (HE) and Alzheimer's disease (AD) participants across conditions (standard errors corrected for within participant design).

Category ( $F(1, 46) = 142.47, p < 0.05, \eta_g^2 = 0.30$ ), and Orientation ( $F(1, 46) = 74.78, p < 0.05, \eta_g^2 = 0.12$ ), these effects being qualified by significant interactions between Orientation and Group ( $F(1, 46) = 4.82, p < 0.05, \eta_g^2 = 0.01$ ), as well as between Orientation and Category ( $F(1, 46) = 16.59, p < 0.05, \eta_g^2 = 0.05$ ). Most importantly, the three-way interaction between Category, Orientation, and Group was significant ( $F(1, 46) = 4.07, p < 0.05, \eta_g^2 = 0.01$ ) (all other effects,  $F < 1$ ). This interaction, which was due to the much larger face inversion effect in HE participants (18.63% for faces versus 3.03% for cars) as compared to AD participants (9.22% versus 3.77%), was decomposed by running separate ANOVAs for each group.

For HE, there was a main effect of Category ( $F(1, 22) = 64.47, p < 0.05, \eta_g^2 = 0.37$ ) and of Orientation ( $F(1, 22) = 61.73, p < 0.05, \eta_g^2 = 0.25$ ) and the Category by Orientation interaction was also significant ( $F(1, 22) = 27.92, p < 0.05, \eta_g^2 = 0.15$ ),

reflecting the much larger decrease in performance for faces than cars with inversion, even if there was a decrease in performance with inversion for both cars ( $t(22) = 2.39, p < 0.05$ ) and faces ( $t(22) = 7.26, p < 0.05$ ).

For AD patients, there was a main effect of Category ( $F(1, 22) = 78.03, p < 0.05, \eta_g^2 = 0.26$ ); cars were significantly better processed than faces, and a main effect of Orientation ( $F(1, 22) = 20.92, p < 0.05, \eta_g^2 = 0.05$ ), whereby upright stimuli were better processed than inverted stimuli. However, the inversion effect did not differ significantly for faces and cars (i.e., non-significant interaction between Category and Orientation ( $F(1, 22) = 1.81, p = 0.19$ )). It should be noted that even in the inverted faces condition, which was the more difficult condition, AD patients performed well above chance level ( $t(24) = 4.20, p < 0.01$ ; patients' percentage error against 50% chance to choose the correct response).

#### Response times (RT)

In regard to RT, there was a main effect of Group ( $F(1, 46) = 7.82, p < 0.05, \eta_g^2 = 0.13$ ), Category ( $F(1, 46) = 21.57, p < 0.05, \eta_g^2 = 0.02$ ) and Orientation ( $F(1, 46) = 34.31, p < 0.05, \eta_g^2 = 0.02$ ), qualified by a significant three-way interaction between Group, Category, and Orientation ( $F(1, 46) = 4.15, p < 0.05, \eta_g^2 = 0$ ). All other interactions were not significant ( $F < 1$ ). The three-way interaction was due to the much larger face inversion effect in HE participants (1,266.43 ms for faces versus 545.03 ms for cars) as compared to AD participants (1,003.68 ms versus 788.36 ms, respectively). This interaction was decomposed by running an ANOVA in both groups separately.

For HE, there was a main effect of Category ( $F(1, 22) = 23.68, p < 0.05, \eta_g^2 = 0.09$ ) and Orientation ( $F(1, 22) = 32.33, p < 0.05, \eta_g^2 = 0.05$ ), qualified by a significant interaction between Category and Orientation ( $F(1, 22) = 6.42, p < 0.05, \eta_g^2 = 0.01$ ), due to the relatively larger increase of RT with inversion for faces ( $t(22) = 4.43, p < 0.05$ ) than cars ( $t(22) = 5.60, p < 0.05$ ).

For AD patients, the main effect of Category was significant ( $F(1, 24) = 4.57, p < 0.05, \eta_g^2 = 0.01$ ) revealing that faces were processed more slowly. The main effect of Orientation ( $F(1, 24) = 12.27, p < 0.05, \eta_g^2 = 0.02$ ) was also significant indicating the upright stimuli were processed more quickly. Contrary to the HE group, however, the Category by Orientation

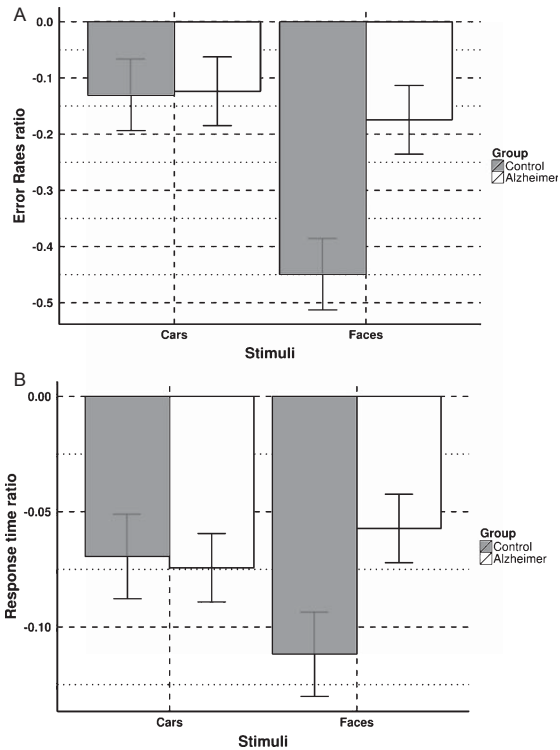


Fig. 3. Mean inversion cost ratios (ICR) for error rates (ER) (A) and response times (RT) (B) in Alzheimer's disease (AD) and healthy elderly controls (HE) participants (standard errors corrected for within participant design).

interaction was not significant ( $F < 1$ ), indicating that the inversion effect did not differ for faces and cars in AD (Supplementary Figure 1).

#### Inversion cost ratio (ICR) analyses

Since AD patients made many more mistakes and were much slower than normal controls, we also computed an inversion cost ratio (see methods) to normalize for general performance and speed. These inversion cost ratios are illustrated for the categories and groups in Fig. 3.

#### Error rates (ER)

The main effect of *Group* showed a non-significant trend ( $F(1, 46) = 3.74, p = 0.06, \eta_g^2 = 0.05$ ) and the main effect of *Category* was significant ( $F(1, 46) = 8.35, p < 0.05, \eta_g^2 = 0.07$ ), these effects being qualified by the significant interaction between *Group* and *Category* ( $F(1, 46) = 4.66, p < 0.05, \eta_g^2 = 0.04$ ). To better understand this interaction, planned *t* tests were performed for each category with group as the

grouping variable. For cars, there was no significant difference between AD patients and HE ( $t(44) = 0.07, p = 0.95$ ), whereas the ratio was significantly higher in HE ( $-0.45$ ) than in AD ( $-0.17$ ) for faces ( $t(40) = 3.37, p < 0.05$ ).

This pattern of results was confirmed by a z-score analysis on ICR. AD patients were relatively evenly distributed around the performance of HE participants for cars (13 AD patients above 0) whereas only three AD patients were above the HE's performance for faces. In other words, almost all AD patients presented a diminished FIE compared to HE.

#### Response times (RT)

The main effect of *Group* was not significant ( $F(1, 46) = 1.50, p = 0.23$ ) nor was the main effect of *Category* ( $F < 1$ ). However, the *Group* by *Category* interaction showed a non-significant trend ( $F(1, 46) = 3.20, p = 0.08, \eta_g^2 = 0.03$ ). Due to our *a priori* hypothesis and the trend for the interaction, this interaction was further explored with planned *t* tests for each category with *Group* as the grouping variable.

As for ER, there was no significant difference between groups in ICR for cars,  $t(45) = 0.27, p = 0.79$ . In line with error rate measures, the ICR, however, was higher for faces in the HE group ( $-0.11$ ) compared to the AD group ( $-0.06$ ) ( $t(45) = 1.70, p < 0.05$ ).

This pattern of results was once again observed by the z-score analysis on ICR. AD patients were relatively evenly distributed around the performance of HE participants for cars (14 AD patients above 0) whereas only five AD patients were above the HE's performance for faces. As for ER, most of the AD patients presented a diminished FIE compared to HE.

#### Correlation analysis

Pearson coefficients were computed to assess the relationship between the ICR on ER for cars and faces and neuropsychological tests in the AD group. A significant correlation was found between the ICR on ER for faces and performance on the Benton Facial Recognition Test ( $r = -0.48, p < 0.05$ ), copy of the Rey Figure ( $r = -0.50, p < 0.05$ ), recognition of words in the RL/RI 16 ( $r = -0.50, p < 0.05$ ), and word-color interference in the Stroop test ( $r = -0.53, p < 0.05$ ). All other correlations with neuropsychological tests were non-significant. Concerning cars, a significant correlation was found between the ICR on ER and performance on the Benton Line Orientation Test ( $r = -0.44, p < 0.05$ ). The same correlations were also

486 computed in the control group. A significant correla- 535  
487 tion was found between the ICR on ER for faces and 536  
488 performance on recognition of words in the RL/RI 537  
489 16 ( $r=0.43$ ,  $p<0.05$ ). All other correlations with 538  
490 neuropsychological tests were non-significant. Con- 539  
491 cerning pictures of cars, a significant correlation was 540  
492 found between the ICR on ER and performance on 541  
493 the Trail Making Test part A ( $r=0.43$ ,  $p<0.05$ ). 542

## 494 DISCUSSION 543

495 This study aimed to investigate if AD patients 544  
496 are specifically impaired at face perception. We 545  
497 addressed this question by comparing the match- 546  
498 ing/discrimination of simultaneously presented indi- 547  
499 vidual faces to other nonface familiar shapes, at both 548  
500 upright and inverted orientation. Most interestingly, 549  
501 AD patients had a reduced FIE both in terms of 550  
502 error rates and response times. Healthy participants 551  
503 showed a much larger decrease in performance for 552  
504 faces than for cars with inversion, while in AD the 553  
505 inversion effect did not differ significantly for faces 554  
506 and cars. 555

507 It is important to note that AD patients generally 556  
508 made more mistakes and were slowed down in all 557  
509 conditions tested in the study. In this respect, their 558  
510 impairment was not specific to (upright) faces. Even 559  
511 a simultaneous matching task such as the task used 560  
512 here involves many processes (attention, decision 561  
513 making, motor response, etc.) contributing to perfor- 562  
514 mance, so that any impairment at this task cannot 563  
515 be attributed unambiguously to perceptual processes. 564  
516 Since AD patients have a lower general cognitive 565  
517 functioning than typical participants, this factor may 566  
518 well account for the general increase of error rates and 567  
519 RTs in the different conditions. However, a strength 568  
520 of the present study is that these general processes 569  
521 are neutralized by comparing the different conditions, 570  
522 in order to isolate the specific processes involved 571  
523 in upright face perception. Moreover, the reduced 572  
524 FIE in AD cannot be accounted for in terms of 573  
525 a floor effect. AD patients' accuracy rates are low 574  
526 for upright faces (69%) but they remain well above 575  
527 chance for inverted faces (61%), indicating that there 576  
528 was still room for further decreases. Moreover, the 577  
529 FIE was also reduced when measures in correct RTs 578  
530 in AD patients. Therefore, the significant interactions 579  
531 between object categories, orientation, and the two 580  
532 groups tested suggest that, in addition to their general 581  
533 difficulties and slowing down at performing behav- 582  
534 ioral tasks requiring matching complex visual stimuli, 583

AD patients present with a specific impairment at 535  
building a visual representation of an (upright) indi- 536  
vidual face. 537

538 Face inversion deficits have been previously doc- 539  
540 umented in other clinical populations, most notably 541  
542 patients suffering from acquired prosopagnosia, who 543  
544 show an absence or reduced face inversion effect [32, 545  
546 33, 73–76]. Persons with unmedicated schizophrenia 547  
548 have also been documented to show lower FIE than 549  
550 controls [77], and a reduction of the FIE has also 551  
552 sometimes been reported in neurodevelopmental dis- 553  
554 orders such as autism, Down syndrome, and Williams 554  
555 syndrome [78] although the vast majority of stud- 556  
557 ies investigating the FIE in autism spectrum disorder 557  
558 have concluded for a typical effect, despite lower 558  
559 overall performance and general cognitive function- 559  
560 ing [79]. To our knowledge, however, no prior study 560  
561 has shown a reduced FIE in AD. The current study 561  
562 provides new insights into the nature of the face 562  
563 processing difficulties encountered in AD and may 563  
564 explain, at least to a certain extent, some of the dif- 564  
565 ficulties patients have in recognizing and identifying 565  
566 familiar and famous persons. Difficulties in recogniz- 566  
567 ing familiar persons in AD are more often attributed 567  
568 to memory loss. Although AD patients undoubt- 568  
569 edly show significant memory difficulties which may 569  
570 impair their ability to recognize recently-encountered 570  
571 individuals (episodic memory) as well as previously 571  
572 familiar and famous individuals (semantic memory), 572  
573 the results of this study suggest that even in the mild 573  
574 stage of the disease, patients also present with deficits 574  
575 in higher level visuo-perceptual processes required to 575  
576 process faces. It is worth pointing out that facial skills 576  
577 are rarely assessed in clinical practice, although these 577  
578 skills are critical in the lives of persons with AD. 578  
579 Indeed patients need to recognize familiar persons in 579  
580 various contexts and be able to distinguish familiar 580  
581 from unfamiliar individuals. The development of new 581  
582 clinical tools that allow assessing various aspects of 582  
583 visuo-perceptual face processes may thus be particu- 583  
584 larly relevant and useful to clinicians. 584

585 Interestingly, AD patients in the current study were 585  
586 not impaired on the BFRT. The BFRT is a commonly 586  
587 used clinical tool used to test the ability of an individ- 587  
588 ual to match faces presented in identical and different 588  
589 perspectives. These results contrast with other studies 589  
590 that have shown significant differences between HE 590  
591 and AD participants on this test [26–28]. The absence 591  
592 of impairment on the BFRT in our AD group may 592  
593 have different explanations. First of all, AD patients 593  
594 in the current study were in a mild stage of the disease, 594  
595 while previous studies included patients in a more 595  
596



587 advanced stage [27]. Second, as in most studies we  
588 did not measure response times for the BFRT. How-  
589 ever, there is evidence that this variable is important  
590 in assessing face matching ability using the BFRT,  
591 since some patients with acquired prosopagnosia can  
592 achieve reasonable scores at this test if they are given  
593 unlimited time [74]. Therefore, if we had measured  
594 RT it is possible that we may have obtained sig-  
595 nificantly slower RT in AD relative to HE on the  
596 BFRT despite not finding a significant difference in  
597 accuracy.

598 Despite the lack of difference between AD and  
599 healthy controls on accuracy rates at the BFRT,  
600 performance on the BFRT was significantly and  
601 specifically correlated with the ICR for faces in AD  
602 patients: the weaker the performance at the BFRT, the  
603 lower the FIE. This suggests that processes involved  
604 in the BFRT and the face inversion test are related,  
605 but that the face inversion test used here is more sen-  
606 sitive in detecting face perception difficulties in mild  
607 AD.

608 In the current study, AD patients showed a specific  
609 significant decrement in matching/discriminating  
610 upright faces relative to inverted faces and nonface  
611 shapes. There is overwhelming evidence that the pro-  
612 cessing of upright faces differ from other types of  
613 stimuli—including inverted faces—since it involves  
614 fine-grained holistic representations: the multiple  
615 parts of an individual face are perceived as integrated,  
616 or as a single unit, rather than as separate represen-  
617 tations [44, 45, 80–83]. Our original data suggest  
618 that this process may be partly compromised in AD  
619 patients, who may rely to a greater extent on analyti-  
620 cal (i.e., par-by-part) processes in order to recognize  
621 faces (i.e., relying to a greater extent on isolated fea-  
622 tures such as the eyes, the nose and the mouth). A  
623 deficit in forming individualized, integrated represen-  
624 tations of faces based on their local features may in  
625 turn impede the identification of faces.

626 At the neuroanatomical level, one possible expla-  
627 nation for the difficulties in face perception observed  
628 in AD patients in the current study is that regions  
629 specifically associated with face perception may be  
630 affected during the course of the disease. An  
631 important region involved in face processing is the  
632 fusiform face area [84], located in the lateral sec-  
633 tion of the posterior/middle fusiform gyrus, with a  
634 right hemispheric dominance. This region is sensi-  
635 tive to differences between individual faces (e.g., [85,  
636 86]) and shows a large inversion effect (i.e., reduc-  
637 tion of release from adaptation to presentation of the  
638 same face when it is presented upside-down) [87–89].

639 One study, which used functional magnetic reso-  
640 nance imaging (fMRI) during a face-matching task,  
641 detected a weaker correlation between activation of  
642 the right and left fusiform gyrus in patients with mild  
643 cognitive impairment (MCI, considered to be a pro-  
644 dromal stage of AD) and healthy controls [90]. This  
645 suggests that the fusiform gyrus is less activated in  
646 MCI during the task, even though there was no dif-  
647 ference in behavioral performance between the two  
648 groups in that study [90]. Another fMRI study showed  
649 that the patterns of activation in the right fusiform  
650 face area and right occipital face area, a face-selective  
651 area of the lateral part of the inferior occipital gyrus  
652 that is also critically involved in individualization  
653 of faces [85, 86, 89], were abnormal in MCI [91].  
654 In fact, these regions were activated more strongly  
655 in response to scrambled faces versus real faces,  
656 showing a pattern opposite to that of controls partici-  
657 pants. Interestingly, the authors explained this pattern  
658 by suggesting that the holistic processing controlled  
659 by these regions was impaired in MCI [91]. More  
660 recently, a meta-analysis of gray matter volume in  
661 AD detected that AD individuals, unlike HE, usually  
662 have right fusiform gyrus atrophy [92]. Difficulties in  
663 recognizing faces for AD also seem consistent with  
664 studies showing that the N170, an early ERP com-  
665 ponent that is larger to faces than objects [93] and  
666 sensitive to individual face repetition (see [94] for  
667 review), is of reduced amplitude in AD [95, 96]. Thus,  
668 these alterations in face-selective brain regions and  
669 scalp electrophysiological responses could possibly  
670 subtend the behavioral face perception deficit that we  
671 report in AD.

672 Finally, some limitations need to be mentioned in  
673 the current study. Although we showed a reduced FIE  
674 in AD patients, the study did not include a question-  
675 naire to assess face recognition difficulties of patients  
676 in everyday life situations (e.g., [97]). Therefore, it is  
677 difficult to determine if the reduced FIE is actually  
678 related to real-life difficulties in AD patients (even  
679 though we assume this is the case), and whether there  
680 is a given FIE cut-off beyond which face recognition  
681 difficulties become apparent and have a functional  
682 impact on the lives of patients. Future studies should  
683 address this question in order to better understand  
684 the functional impact of face-processing difficulties  
685 in the everyday life of AD patients. Finally, the corre-  
686 lation analyses carried out in the current study were  
687 exploratory in nature and for this reason were not cor-  
688 rected for multiple comparisons. Therefore they need  
689 to be considered as preliminary results and will need  
690 to be further supported in future studies.

In conclusion, results of the present study suggest that, in addition to their memory impairment, AD patients have deficits in higher-level visual processes, more specifically at the level of the perception of individual faces. Future studies should help at better characterizing and pinpointing the nature of the face recognition deficits in this clinical population. Finally, future functional and structural neuroimaging studies should investigate the neural correlates of this reduced face inversion effect in AD.

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## SUPPLEMENTARY MATERIAL

The supplementary material is available in the electronic version of this article: <http://dx.doi.org/10.3233/JAD-151027>.

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