# Lecture 7

# Neural Network

Machine Learning





### First stage

- In 1943, McCulloch and Pitts proposed the first neural model, i.e., M-P neuron model, and proved in principle that the artificial neural network can calculate any arithmetic and logical function.
- In 1958, Rosenblatt proposed Perceptron and its learning rule In 1960, Widrow and Hoff proposed Adaline and the Least Mean Square (LMS)
- algorithm
- In 1969, Minsky and Papert published the book 《Perceptrons》, which pointed out that single-layer neural network cannot solve non-linear problems, and it is unknown whether it is possible to train multiple-layer networks. This conclusion directly pushed neural network research into an "ice age"





### First stage - Perceptrons, 1958



#### Rosenblatt

#### Machine Learning



November, 1958

#### **Psychological Review**

THEODORE M. NEWCOMB, Editor University of Michigan

#### CONTENTS

Herbert Sidney Langfeld: 1879-1958CARBOLL C. PRATT 321
Psychological Structure and Psychological Activity HELEN PEAK 325
Basic Issues in Perceptual Theory
A Concept-Formation Approach to Attitude Acquisition
Symptoms and Symptom Substitution Aunexy J. YATES 371
Transfer of Training and Its Relation to Perceptual Learning and RecognitionJAMES M. VANDERFLAS 375

The Perceptron: A Probabilistic Model for Information Storage and Organization in the Brain. ......F. ROSENBLATT 386

> This is the last issue of Volume 65. Title page and index for the volume appear herein.

PUBLISHED BIMONTHLY BY THE AMERICAN PSYCHOLOGICAL ASSOCIATION, INC.







First stage - Perceptrons, 1958



#### Machine Learning





# Neural network history First stage - Minsky and Papert, Perceptrons, 1969

Perceptrons: an introduction to computational geometry is a book written by Marvin Minsky and Seymour Papert and published in 1969. An edition with handwritten corrections and additions was released in the early 1970s. An expanded edition was further published in 1988 after the revival of neural networks, containing a chapter dedicated to counter the criticisms made of it in the 1980s.

The main subject of the book is the perceptron, a type of artificial neural network developed in the late 1950s and early 1960s. The book was dedicated to psychologist Frank Rosenblatt, who in 1957 had published the first model of a "Perceptron".<sup>[1]</sup> Rosenblatt and Minsky knew each other since adolescence, having studied with a one-year difference at the Bronx High School of Science.<sup>[2]</sup> They became at one point central figures of a debate inside the AI research community, and are known to have promoted loud discussions in conferences, yet remained friendly.<sup>[3]</sup>

This book is the center of a long-standing controversy in the study of artificial intelligence. It is claimed that pessimistic predictions made by the authors were responsible for a change in the direction of research in AI, concentrating efforts on so-called "symbolic" systems, a line of research that petered out and contributed to the so-called Al winter of the 1980s, when Al's promise was not realized.<sup>[4]</sup>

The crux of *Perceptrons* is a number of mathematical proofs which acknowledge some of the perceptrons' strengths while also showing major limitations.<sup>[3]</sup> The most important one is related to the computation of some predicates, such as the XOR function, and also the important connectedness predicate. The problem of connectedness is illustrated at the awkwardly colored cover of the book, intended to show how humans themselves have difficulties in computing this predicate.<sup>[5]</sup> One reviewer, Earl Hunt, noted that the XOR function is difficult for humans to acquire as well during concept learning experiments.<sup>[6]</sup>

#### Machine Learning

#### Perceptrons: an introduction to computational geometry

Author	Marvin Minsky, Seymour Papert
Publication date	1969
ISBN	0 262 13043 2





### Second stage

- and optimized computing power, i.e., the Hopfield network
- reinvented
- Carlifornia (ICNN)
- and full of tricks. Neural networks enter another winter.

# In 1982, the physicist Hopfield proposed a recursive network with associative memory

In 1986, Rumelhart et.al. published the PDP book 《Parallel Distributed Processing: Explorations in the Microstructures of Cognition》, in which the BP algorithm was

In 1987, IEEE holds the first international conference on neural networks in San Diego,

In the early 1990s, statistical learning theory and SVM have emerged, while neural networks were suffering from the lacking of theories, heavily relying on trial-and-error







Fig. 2. Architecture of LeNet-5, a Convolutional Neural Network, here for digits recognition. Each plane is a feature map, i.e. a set of units whose weights are constrained to be identical.

Demos:

Machine Learning

#### http://yann.lecun.com/exdb/lenet/index.html





### Neural Information Processing Systems 2000

### Neural Information Processing Systems, is the premier conference on machine learning. Evolved from an interdisciplinary conference to a machine learning conference.

### For the 2000 conference:

Machine Learning





### Third stage

- CNN model
- various fields Images & Video

flick Google You Tube

In 2006, Hinton proposed the Deep Belief Network (DBN), which makes the optimization of deep models relative easy through "pre-training+fine-tuning" • In 2012, the Hinton team participated in the ImageNet competition and won the championship of the year with a score of 10% over the second place using the

With the advent of the cloud computing and big data era, computing power has greatly improved, making deep learning models have achieved great success in



Text & Language

WIKIPEDIA The Free Encyclopedia

**REUTERS** Associated Press Speech & Audio







### Third stage - AlexNet Krizhevsky, Sutskever, and Hinton, NeurIPS 2012



AlexNet consists of **5 Convolutional Layers** and **3 Fully Connected Layers**.

Alex Krizhevsky, Ilya Sutskever, Geoffrey E. Hinton. ImageNet Classification with Deep Convolutional Neural Networks. NIPS 2012. Citations till April 7, 2024: 127789

Machine Learning

Spring Semester





### Third stage - AlexNet Krizhevsky, Sutskever, and Hinton, NeurIPS 2012



Spring Semester

Machine Learning









on ImageNet is presented in Fig. 4.

Kaiming He et. al. Deep Residual Learning for Image Recognition. CVPR 2015. Citations till April 7, 2024: 212268

Machine Learning

Figure 1. Training error (left) and test error (right) on CIFAR-10 with 20-layer and 56-layer "plain" networks. The deeper network has higher training error, and thus test error. Similar phenomena







### ResNet



Figure 2. Residual learning: a building block.

$$\mathbf{y} = \mathcal{F}(\mathbf{x}, \{W_i\}) + W_s \mathbf{x}.$$

$$\mathcal{F} = W_2 \sigma(W_1 \mathbf{x})$$

- σ denotes ReLU
- *W<sub>s</sub>* is only used when matching dimensions

Machine Learning





Spring Semester





### Transformer



#### Ashish Vaswani et. al. Attention Is All You Need. NIPS 2017. Citations till April 7, 2024: 115657

#### Machine Learning







### Attention Visualization



#### Machine Learning





Spring Semester



### Neuron Model

### Definitions of neural networks

"Neural networks are massively parallel interconnected networks of simple elements and their hierarchical organizations which are intended to interact with the objects of the real world in the same way as biological nervous systems do" [Kohonen, 1988]

- neural networks research
- in the above definition
- Biological neural networks: the neurons, when "excited", send will send neurotransmitters to other neurons.

• In the context of machine leaning, neural networks refer to "neural networks learning", or in other words, the intersection of machine learning research and

• The basic element of neural networks is neuron, which is the "simple element"

neurotransmitters to interconnected neurons to change their electric potentials. When the electric potential exceeds a threshold, the neuron is activated, and it







### M-P Neuron Model [McCulloch and Pitts, 1943]

- Input: receive input signals from neurons
- Process: The weighted sum of received signals is compared against the threshold
- Output: the output signal is produced by the activation function





#### Warren S. McCulloch (1898-1969)

Walter Pitts (1923-1969)



Fig. 5.1: The M-P neuron model.

Spring Semester





### Activation Function

- input value to "o" (non-excited) and "1" (excited).
- the sigmoid function instead.



Fig. 5.2: Typical neuron activation functions.

#### Machine Learning

# • The ideal activation function is the step function, which maps the

• The step function are discontinuous and non-smooth, we often use





### Activation Function



#### Machine Learning

Spring Semester

### Vanishing Gradient?





### Perceptron

(threshold logic unit)

Perceptron can easily implement "A

• "AND"  $x_1 \wedge x_2$ : letting  $w_1 = w_2 =$  $y = f(1 \cdot x_1 + 1 \cdot x_2 - 2)$ , and y • "OR"  $x_1 \vee x_2$ : letting  $w_1 = w_2$  $y = f(1 \cdot x_1 + 1 \cdot x_2 - 0.5)$ , and y • "Not"  $\neg x_1$ : letting  $w_1 = -0.6, w_2$  $y = f(-0.6 \cdot x_1 + 0 \cdot x_2 + 0.5), \quad y = 0$ 

### Perceptron is a binary classifier consisting of two layers of neurons. The input layer receives signals and transmits them to the output M-P neuron

AND", "OR" and "NOT"  
= 1, 
$$\theta = 2$$
  
 $y = 1$  iff  $x_1 = x_2 = 1$   
= 1,  $\theta = 0.5$ , then  
= 1 iff  $x_1 = 1$  or  $x_2 = 1$ .  
 $y_2 = 0, \theta = -0.5$ , then  
when  $x_1 = 1$  and  $y = 1$  when  $x_1 = 0$ 

Spring Semester





### Perceptron

#### Perceptron solving the "AND", "OR" and "Not" problems



non-linearly separable problem.

Machine Learning

Fig. 5.4: "AND", "OR" and "NOT" are linearly separable problems. "XOR" is a

Spring Semester





### Perceptron Perceptron solving the "AND", "OR" and "Not" problems



Machine Learning





### Multi-layer Network

- The learning ability of perceptrons
- The learning process is guaranteed to converge for linear separable problems; otherwise fluctuation will happen. [Minsky and Papert, 1969]
- The learning ability of one-layer perceptrons is rather weak, which can only solve linear separable problems.
- In fact, the "AND", "OR" and "NOT" problems are all linear separable problems and the learning process is guaranteed to converge to an appropriate weight vector. However, perceptrons cannot solve nonlinearly separable problems like "XOR".







Multi-layer Network

• A two-layer perceptron that solves the "XOR" problem.



### • The neuron layer between the input and output layer is known as the hidden layer, which has activation functions as the output layer.







### Multi-layer Network

- neurons in the next layer.
- Forward: the input layer receives external signals, the hidden and output layers process (output) the signals.
- Learning: learning from data to adjust the "connection weights" and "thresholds".
- Multi-layer networks: neural networks with hidden layer(s)

### Definition: the neurons in each layer are fully connected with the



Spring Semester







## Deep learning



#### Machine Learning





$$heta^* = rgmin_{ heta}$$

#### Machine Learning

 $in \sum_{i=1}^{N} \mathcal{L}(f_{\theta}(\mathbf{x}^{(i)}), \mathbf{y}^{(i)})$  $J(\theta)$ 





 $J(\theta)$ 



#### Machine Learning





 $\theta^{t+1} = \theta^t$ 

learning rate

#### Machine Learning

One iteration of gradient descent:

$$t - \eta_t \frac{\partial J(\theta)}{\partial \theta} \Big|_{\theta = \theta^t}$$





#### For large N, computing J in every iteration can be expensive

Machine Learning











## Stochastic gradient descent (SGD)

- Want to minimize overall loss function **J**, which is sum of individual losses over each example.
- In Stochastic gradient descent, compute gradient on sub-set (batch) of data. If batchsize=1 then  $\theta$  is updated after each example. If batchsize=N (full set) then this is standard gradient descent.
- Gradient direction is noisy, relative to average over all examples (standard gradient descent).
- Advantages
- Faster: approximate total gradient with small sample
- Implicit regularizer
- Disadvantages
  - High variance, unstable updates

#### Machine Learning







## Computation in a neural net Linear layer



#### Machine Learning









### Computation in a neural net Linear layer



Machine Learning







### Computation in a neural net Linear layer Output Input representation representation $\mathbf{X}$ Wi $z_j$

Machine Learning









### Computation in a neural net "Perceptron"



Machine Learning









### Example: linear classification with a perceptron



z



#### Machine Learning

$$= \mathbf{x}^T \mathbf{w} + b$$

y = g(z)

y3  $\mathbf{2}$ 0 -20  $x_1$ 

One layer neural net (perceptron) can perform linear classification!








$$\mathbf{w}^*, b^* = \operatorname*{arg\,min}_{\mathbf{w}, b} \sum_{i=1}^N \mathcal{L}(g(z^{(i)}), y^{(i)})$$

Spring Semester







Non-differentiable non-linearity



















- Bounded between [-1,+1]
- Saturation for large +/- inputs
- Gradients go to zero (vanishing gradients)
- Outputs centered at 0
- tanh(z) = 2 sigmoid(2z) 1
- Derivative of tanh:  $1 tanh(z)^2$









- Interpretation as firing rate of neuron
- Bounded between [0,1]
- Saturation for large +/- inputs
- Gradients go to zero
- Outputs centered at 0.5 (poor conditioning)
- Not used in practice





- Unbounded output (on positive side)
- Efficient to implement:  $\frac{\partial g}{\partial z} = \begin{cases} 0, & \text{if } z < 0\\ 1, & \text{if } z \ge 0 \end{cases}$
- Also seems to help convergence (see 6x speedup vs tanh in [Krizhevsky et al.])
- Drawback: if strongly in negative region, unit is dead forever (no gradient).
- Default choice: widely used in current models.

Computation in a neural net — non-linearity





- where  $\alpha$  is small (e.g. 0.02)
- Efficient to implement:  $\frac{\partial g}{\partial z} = \begin{cases} -a, & \text{if } z < 0\\ 1, & \text{if } z \ge 0 \end{cases}$
- Also known as probabilistic ReLU (PReLU)
- Has non-zero gradients everywhere (unlike) ReLU)
- α can also be learned (see Kaiming He et al. 2015).

Computation in a neural net — non-linearity







# Stacking layers - Multi-layer Perceptron (MLP)

Input representation

Intermediate representation



### Machine Learning

- Output representation

 $\mathbf{W}_{2_i}$ 

 $b_{2_{j}}$ 

"hidden units" Ζ, 

У

- = "pre-activation hidden layer"  $\mathbf{Z}$
- h = "post-activation hidden layer"





# Stacking layers - fully connected layers

Input representation

Intermediate Output representation representation



 $heta = \{\mathbf{W}_1, \dots, \mathbf{W}_L, \mathbf{b}_1, \dots$ 

Machine Learning

$$= g(\mathbf{W}_2\mathbf{h} + \mathbf{b}_2)$$







## Input representation

## Intermediate representation



 $\theta = \{\mathbf{W}_1, \ldots, \mathbf{W}_L, \mathbf{b}_1, \ldots, \mathbf{b}_L\}$ 

Machine Learning

Output representation

> positive negative

Spring Semester





## Input representation

## Intermediate representation



 $\theta = \{\mathbf{W}_1, \ldots, \mathbf{W}_L, \mathbf{b}_1, \ldots, \mathbf{b}_L\}$ 

Machine Learning

Spring Semester

Output representation

> positive negative







## Input representation

## Intermediate representation



### Machine Learning

Output representation

> positive negative





## Input representation

## Intermediate representation



### Machine Learning

Output representation

# positive negative

$$=g(\mathbf{W}_{2}\mathbf{h}+\mathbf{b}_{2})$$















# Example: linear classification with a perceptron



z



 $z = \mathbf{x}^T \mathbf{w} + b$ y = g(z)

y

2 0 2 One layer neural net (perceptron) can perform linear classification!









 $h_1$ 





### Machine Learning

# Example: nonlinear classification with a deep net net

 $\mathbf{z} = \mathbf{W}_1 \mathbf{x} + \mathbf{b}_1$  $\mathbf{h} = g(\mathbf{z})$ 

$$z_3 = \mathbf{W}_2 \mathbf{h} + b_2$$
$$y = 1(z_3 > 0)$$



Spring Semester





# Representational power

# I layer? Linear decision surface.

- 2+ layers? In theory, can represent any function. Assuming non-trivial non-linearity.
  - Bengio 2009,
    - http://www.iro.umontreal.ca/~bengioy/papers/ftml.pdf
  - Bengio, Courville, Goodfellow book http://www.deeplearningbook.org/contents/mlp.html
  - □ Simple proof by M. Neilsen http://neuralnetworksanddeeplearning.com/chap4.html
  - D. Mackay book

http://www.inference.phy.cam.ac.uk/mackay/itprnn/ps/482.491.pdf

## But issue is efficiency: very wide two layers vs narrow deep model? In practice, more layers helps.









Spring Semester

















## Ground truth label

## "clown fish"

## $Loss \rightarrow error$









## Ground truth label

## "clown fish"

## 







# Ground truth label "grizzly bear" large Loss







Spring Semester

Probability of the observed data under the model

$$H(\mathbf{y}, \hat{\mathbf{y}}) = -\sum_{k=1}^{K} y_k \log \hat{y}_k$$









# Loss Function

### **Intuitively Understanding the Cross Entropy**

## **Intuitively Understanding** the KL divergence

KL is not symmetric

$$D_{KL}(P||Q) = \sum_{i} P(i)$$

Machine Learning



$$\log \frac{P(i)}{Q(i)}$$

$$p_1 \log \frac{p_1}{q_1} + \frac{p_2 \log \frac{p_2}{q_2}}{q_2}$$







Spring Semester



















### Spring Semester







## Each layer is a representation of the data

Machine Learning











# Everything is a tensor



Tensor processing with batch size = 3:



Machine Learning

Spring Semester

 $\mathbf{z} = \mathbf{W}_1 \mathbf{x} + \mathbf{b}_1$  $\mathbf{h} = g(\mathbf{z})$  $z_3 = \mathbf{W}_2 \mathbf{h} + b_2$  $y = 1(z_3 > 0)$ 





# Regularizing deep nets

Deep nets have millions of parameters!

On many datasets, it is easy to overfit — we may have more free parameters than data points to constrain them.

How can we prevent the network from overfitting?

- 1. Fewer neurons, fewer layers
- Weight decay and other regularizers 2.
- 3. Normalization layers







# Recall: regularized least squares



# $R(\theta) = \lambda \|\theta\|_2^2 \longleftarrow$

Machine Learning

Only use polynomial terms if you really need them! Most terms should be zero

ridge regression, a.k.a., Tikhonov regularization





# Regularizing the weights in a neural net

 $\theta^* = \arg\min_{\theta} \sum_{i=1}^{\infty} \mathcal{L}(f_{\theta}(\mathbf{x}^{(i)}), \mathbf{y}^{(i)}) + R(\theta)$ 

 $R(\mathbf{W}) = \lambda \|\mathbf{W}\|_2^2$  weight decay

"We prefer to keep weights small."

Machine Learning









# Normalization layers



Machine Learning

Spring Semester





# Normalization layers



Machine Learning




# Normalization layers



Machine Learning





# Normalization layers



Machine Learning







# Normalization layers

Keep track of mean and variance of a unit (or a population of units) over time.

Standardize unit activations by subtracting mean and dividing by variance.

Squashes units into a **standard range**, avoiding overflow.

Also achieves **invariance** to mean and variance of the training signal.

Both these properties reduce the effective capacity of the model, i.e. regularize the model.

Machine Learning







- Deep nets transform datapoints, layer by layer
- Each layer is a different *representation* of the data
- We call these representations **embeddings**







## Two different ways to represent a function



### Machine Learning







## Two different ways to represent a function



#### Machine Learning







## Data transformations for a variety of neural net layers





#### Machine Learning











 $\mathbf{x}_{\texttt{in}}$  $\mathbf{x}_{\texttt{out}}$ 











### Machine Learning







### Layer 1 representation

- structure, construction •
- covering •
- commodity, trade good, good
- conveyance, transport
- invertebrate
- bird •
- hunting dog ٠

Machine Learning



- [DeCAF, Donahue, Jia, et al. 2013]
- [Visualization technique : t-sne, van der Maaten & Hinton, 2008]





