

计算机科学与技术学院神经网络与深度学习课程实验报告

实验题目：循环神经网络		学号：201600301304
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实验目的：利用莎士比亚数据集，基于 numpy 实现循环神经网络（RNN）的前向计算与方向传播（bptt），并测试 softmax 函数的参数，查看效果。并基于分布生成不同的文本。尝试找到 rnn 的决定的参数

实验软件和硬件环境：操作系统 mac os，内存 16GB，编译器 pycharm

实验原理和方法：

一. RNN 的前向计算

1. rnn 单元

对于序列 t 的计算，已知输入 $x(t)$ 与上一个状态 $s(t-1)$ ，对 t 下状态与生成的概率分布计算如下

$$h_t = \tanh(W_{xh}x_t + W_{hh}h_{t-1} + b_h)$$

$$y_t = W_{hy}h_t + b_y$$

$$p_t = \text{softmax}(y_t)$$

2. rnn 单元的初始状态

对于最初的状态 $h(0)$ ，令其为零向量，在后续的 encoder-decoder 模型中 encoder 得到的结果作为 decoder 的初始状态从而继续生成序列

3. 误差计算

我们使用交叉熵 loss，对 onehot 的 target，计算的 loss 如下

$$\text{loss} = \sum_{t=1}^n \text{target}_t \log(p_t)$$

二. RNN 的误差反向传播（bptt）

1. Rnn 单元

我们在得到整个序列后（长度为 lenght ），从末尾开始反向传播，对各层输入的求导计算如下

$$\frac{d\text{loss}}{dy_t} = y_t - \text{target}_t$$

$$\frac{d\text{loss}}{dh_t} = \frac{d\text{loss}}{dy_t} \cdot \frac{dy_t}{dh_t} + \frac{dh_{t+1}}{dh_t} = W_{hy}^T (y_t - \text{target}_t) + dh_{\text{next}_t}$$

$$\frac{d\text{loss}}{dh_t^{\text{raw}}} = \frac{d\text{loss}}{dh_t} \odot (1 - h_t \odot h_t)$$

在一个序列中对所有参数的求导如下

$$\frac{dloss}{db_y} = \sum_{t=1}^n \frac{dloss}{dy_t}$$

$$\frac{dloss}{dW_{hy}} = \sum_{t=1}^n \frac{dloss}{dy_t} \cdot h_t^T$$

$$\frac{dloss}{db_h} = \sum_{t=1}^n \frac{dloss}{dh_t^{raw}}$$

$$\frac{dloss}{dW_{xh}} = \sum_{t=1}^n \frac{dloss}{dh_t^{raw}} \cdot x_t^T$$

$$\frac{dloss}{dW_{hh}} = \sum_{t=1}^n \frac{dloss}{dh_t^{raw}} \cdot h_{t-1}^T$$

2. rnn 初始

从末尾求导时 dhnext 为 0 向量

3. 参数更新（梯度下降）

$$param := param - \eta \nabla param$$

三. Softmax 层

1. Softmax (normal)

为了保证计算精度，进行标准化处理，对求导无影响

$$y_t = y_t - \max(y_t)$$

然后得到 softmax

$$p_{ti} = \frac{e^{y_{ti}}}{\sum_{j=1}^m e^{y_{ij}}}$$

2. Softmax (temperature)

加入参数 temperature，对随机生成的依赖的概率分布进行方差的调整

$$y_t = \frac{y_t - \max(y_t)}{\tau}$$

调整适当的参数可以得到更好的效果，同时反向传播只需要除以该系数

3. Gumbel softmax

在计算 softmax 层时，进行如下调整

$$y_t = y_t - \max(y_t)$$

$$g_t = \frac{(-y_t - e^{-y_t})}{\tau}$$

$$p_t = \text{softmax}(g_t)$$

对于反向传播，改进如下

$$\frac{dloss}{dg_t} = p_t - target_t$$

$$\frac{dg_t}{dy_t} = -I_1 + e^{-y_t}$$

$$\frac{dloss}{dy_t} = (p_t - target_t) \odot (-I_1 + e^{-y_t})$$

实验步骤：（不要求罗列完整源代码）

1 . 补全代码

```

"""
Minimal character-level Vanilla RNN model. Written by Andrej Karpathy (@karpathy)
BSD License
"""

import numpy as np

# data I/O
data = open('shakespeare_train.txt', 'r').read() # should be simple plain text file
chars = list(set(data)) # your code # 得到输入文件中所有字符种类
data_size, vocab_size = len(data), len(chars) # your code ##统计文件字符数和字符种类数
print ('data has %d characters, %d unique.' % (data_size, vocab_size))
char_to_ix = {ch:id for id,ch in enumerate(chars)} # your code # 构成从字母到数字的映射
ix_to_char = {id:ch for id,ch in enumerate(chars)} # your code # 构成数字到字母的映射


# hyperparameters
hidden_size = 100 # size of hidden layer of neurons
seq_length = 25 # number of steps to unroll the RNN for
learning_rate = 1e-1

# model parameters 初始化参数
Wxh = np.random.randn(hidden_size, vocab_size)*0.01 # input to hidden
Whh = np.random.randn(hidden_size, hidden_size)*0.01 # hidden to hidden
Why = np.random.randn(vocab_size, hidden_size)*0.01 # hidden to output
bh = np.zeros((hidden_size, 1)) # hidden bias
by = np.zeros((vocab_size, 1)) # output bias

def lossFun(inputs, targets, hprev, temp=1):
    """
    inputs, targets are both list of integers.
    hprev is Hx1 array of initial hidden state
    returns the loss, gradients on model parameters, and last hidden state
    """
    xs, hs, ys, ps = {}, {}, {}, {}
    hs[-1] = np.copy(hprev)

```

```

loss = 0
# forward pass
for t in range(len(inputs)):
    #encode inputs to 1-hot embedding, size(xs)=(len(input), vocab_size)
    xs[t] = np.zeros((vocab_size, 1)) #your code# # encode in 1-of-k representation 1-hot-encoding
    xs[t][inputs[t]] = 1 #your code# # encode in 1-of-k representation 1-hot-encoding
    #forward

    #hs[t] 是 t 时刻的 hidden state, active function = np.tanh(z), z = Wx*x_t+Wh*hs_(t-1) + bh, 即本时刻输入
    #层+一时刻个隐含层作为 Z
    hs[t] = np.tanh(np.dot(Wxh, xs[t]) + np.dot(Whh, hs[t-1]) + bh) #your code# # hidden state

    #ys[t] = w*hs[t]+by
    ys[t] = np.dot(Why, hs[t]) + by #your code# # unnormalized log probabilities for next chars
    #softmax(ys)
    ys[t] = (ys[t] - np.max(ys[t], axis=0)) / temp
    ps[t] = np.exp(ys[t]) / np.sum(np.exp(ys[t]), axis=0) #your code# # probabilities for next chars
    #计算 loss = cross_entropy ()
    loss += -np.log(ps[t][targets[t]]) #your code# # softmax (cross-entropy loss)
# backward pass: compute gradients going backwards
#初始化梯度
dWxh, dWhh, dWhy = np.zeros_like(Wxh), np.zeros_like(Whh), np.zeros_like(Why)
dbh, dby = np.zeros_like(bh), np.zeros_like(by)
dhnext = np.zeros_like(hs[0])

for t in reversed(range(len(inputs))):
    #dy 是 softmax 层求导, cross_entropy softmax 求导 aj-yi, yi 为 one-hot 标签, aj 为 softmax 之后第 j 个神经元输出,
    #详情请见 https://blog.csdn.net/u014313009/article/details/51045303
    dy = np.copy(ps[t]) #your code#
    dy[targets[t]] -= 1 #your code# # backprop into y.
    dy = dy / temp
    #反向传播, 求 Why 与 by 的导数

    dWhy += np.dot(dy, hs[t].T) #your code#
    dby += dy #your code#
    #反向传播到 hidden state 请参考 https://blog.csdn.net/wjc1182511338/article/details/79191099 完成, 其中 dh
    #处反向传播的梯度外需加上 dhnext
    dh = np.dot(Why.T, dy) + dhnext #your code# # backprop into h

    dhraw = dh * (1 - hs[t] * hs[t]) #your code# # backprop through tanh nonlinearity
    dbh += dhraw #your code#
    dWxh += np.dot(dhraw, xs[t].T) #your code#
    dWhh += np.dot(dhraw, hs[t-1].T) #your code#
    dhnext = np.dot(Whh.T, dhraw) #your code#

```

```

for dparam in [dWxh, dWhh, dWhy, dbh, dby]:
    np.clip(dparam, -5, 5, out=dparam) # clip to mitigate exploding gradients
return loss, dWxh, dWhh, dWhy, dbh, dby, hs[len(inputs)-1]

def sample(h, seed_ix, n, temp=1):
    """
    sample a sequence of integers from the model
    h is memory state, seed_ix is seed letter for first time step
    """
    x = np.zeros((vocab_size, 1))
    x[seed_ix] = 1
    ixes = []
    for t in range(n):
        h = np.tanh(np.dot(Wxh, x) + np.dot(Whh, h) + bh)
        y = np.dot(Why, h) + by
        y = (y - np.max(y, axis=0)) / temp
        p = np.exp(y) / np.sum(np.exp(y))
        ix = np.random.choice(range(vocab_size), p=p.ravel())
        x = np.zeros((vocab_size, 1))
        x[ix] = 1
        ixes.append(ix)
    return ixes

n, p = 0, 0
mWxh, mWhh, mWhy = np.zeros_like(Wxh), np.zeros_like(Whh), np.zeros_like(Why)
mbh, mby = np.zeros_like(bh), np.zeros_like(by) # memory variables for Adagrad
smooth_loss = -np.log(1.0/vocab_size)*seq_length # loss at iteration 0
tempereture = 2
while True:
    # prepare inputs (we're sweeping from left to right in steps seq_length long)
    if p+seq_length+1 >= len(data) or n == 0:
        hprev = np.zeros((hidden_size,1)) # reset RNN memory
        p = 0 # go from start of data
        inputs = [char_to_ix[ch] for ch in data[p:p+seq_length]]
        targets = [char_to_ix[ch] for ch in data[p+1:p+seq_length+1]]

    # sample from the model now and then
    if n % 100 == 0:
        sample_ix = sample(hprev, inputs[0], 200, temp=tempereture)
        txt = ''.join(ix_to_char[ix] for ix in sample_ix)
        print ('-----\n %s \n-----' % (txt, ))

    # forward seq_length characters through the net and fetch gradient
    loss, dWxh, dWhh, dWhy, dbh, dby, hprev = lossFun(inputs, targets, hprev, temp=tempereture)

```

```

smooth_loss = smooth_loss * 0.999 + loss * 0.001
if n % 100 == 0: print ('iter %d, loss: %f' % (n, smooth_loss)) # print progress)

# perform parameter update with Adagrad
for param, dparam, mem in zip([Wxh, Whh, Why, bh, by],
                               [dWxh, dWhh, dWhy, dbh, dby],
                               [mWxh, mWhh, mWhy, mbh, mby]):
    mem += dparam * dparam
    param += -learning_rate * dparam / np.sqrt(mem + 1e-8) # adagrad update

p += seq_length # move data pointer
n += 1 # iteration counter

```

2. 加入 temperature (代码见上), gumbel softmax (代码如下)

```

"""
Minimal character-level Vanilla RNN model. Written by Andrej Karpathy (@karpathy)
BSD License
"""

import numpy as np

# data I/O
data = open('shakespeare_train.txt', 'r').read() # should be simple plain text file
chars = list(set(data)) # your code# # 得到输入文件中所有字符种类
data_size, vocab_size = len(data), len(chars) # your code##统计文件字符数和字符种类数
print('data has %d characters, %d unique.' % (data_size, vocab_size))
char_to_ix = {ch: id for id, ch in enumerate(chars)} # your code# #构成从字母到数字的映射
ix_to_char = {id: ch for id, ch in enumerate(chars)} # your code# #构成数字到字母的映射

# hyperparameters
hidden_size = 100 # size of hidden layer of neurons
seq_length = 25 # number of steps to unroll the RNN for
learning_rate = 1e-1

# model parameters 初始化参数
Wxh = np.random.randn(hidden_size, vocab_size) * 0.01 # input to hidden
Whh = np.random.randn(hidden_size, hidden_size) * 0.01 # hidden to hidden
Why = np.random.randn(vocab_size, hidden_size) * 0.01 # hidden to output
bh = np.zeros((hidden_size, 1)) # hidden bias
by = np.zeros((vocab_size, 1)) # output bias

def lossFun(inputs, targets, hprev, temp=1):
    """
    inputs, targets are both list of integers.

```

```

hprev is Hx1 array of initial hidden state
returns the loss, gradients on model parameters, and last hidden state
"""
xs, hs, ys, ps, gs = {}, {}, {}, {}, {}
hs[-1] = np.copy(hprev)
loss = 0
# forward pass
for t in range(len(inputs)):
    # encode inputs to 1-hot embedding, size(xs)=(len(input), vocab_size)
    xs[t] = np.zeros((vocab_size, 1)) # your code# # encode in 1-of-k representation 1-hot-encoding
    xs[t][inputs[t]] = 1 # your code# # encode in 1-of-k representation 1-hot-encoding
    # forward

    # hs[t] 是 t 时刻的 hidden state, active function = np.tanh(z),  $z = Wx \cdot x_t + Wh \cdot hs_{(t-1)} + bh$ , 即本时刻
    # 输入层+一时刻个隐含层作为 Z
    hs[t] = np.tanh(np.dot(Wxh, xs[t]) + np.dot(Whh, hs[t - 1]) + bh) # your code# # hidden state

    #  $ys[t] = w \cdot hs[t] + by$ 
    ys[t] = np.dot(Why, hs[t]) + by # your code# # unnormalized log probabilities for next chars
    # softmax(ys)
    ys[t] = ys[t] - np.max(ys[t], axis=0)
    gs[t] = (-ys[t] - np.exp(ys[t])) / temp

    ps[t] = np.exp(gs[t]) / np.sum(np.exp(gs[t]), axis=0) # your code# # probabilities for next chars
    # 计算 loss = cross_entropy ()
    loss += -np.log(ps[t][targets[t]]) # your code# # softmax (cross-entropy loss)
# backward pass: compute gradients going backwards
# 初始化梯度
dWxh, dWhh, dWhy = np.zeros_like(Wxh), np.zeros_like(Whh), np.zeros_like(Why)
dbh, dby = np.zeros_like(bh), np.zeros_like(by)
dhnext = np.zeros_like(hs[0])

for t in reversed(range(len(inputs))):
    # dy 是 softmax 层求导, cross_entropy softmax 求导  $aj - yi$ ,  $yi$  为 one-hot 标签,  $aj$  为 softmax 之后第 j 个神经元输出, 详情请见 https://blog.csdn.net/u014313009/article/details/51045303

    dg = np.copy(ps[t]) # your code#
    dg[targets[t]] -= 1 # your code# # backprop into y.
    dy = dg * (-1 + np.exp(ys[t]))
    dy = dy / temp
    # 反向传播, 求 Why 与 by 的导数

    dWhy += np.dot(dy, hs[t].T) # your code#
    dby += dy # your code#

```

反向传播到hidden state 请参考<https://blog.csdn.net/wjc1182511338/article/details/79191099> 完成, 其中 dh 处反向传播的梯度外需加上 dhnext

```
dh = np.dot(Why.T, dy) + dhnext # your code# # backprop into h

dhraw = dh * (1 - hs[t] * hs[t]) # your code# # backprop through tanh nonlinearity
dbh += dhraw # your code#
dWxh += np.dot(dhraw, xs[t].T) # your code#
dWhh += np.dot(dhraw, hs[t - 1].T) # your code#
dhnext = np.dot(Whh.T, dhraw) # your code#
for dparam in [dWxh, dWhh, dWhy, dbh, dby]:
    np.clip(dparam, -5, 5, out=dparam) # clip to mitigate exploding gradients
return loss, dWxh, dWhh, dWhy, dbh, dby, hs[len(inputs) - 1]
```

```
def sample(h, seed_ix, n, temp=1):
    """
    sample a sequence of integers from the model
    h is memory state, seed_ix is seed letter for first time step
    """
    x = np.zeros((vocab_size, 1))
    x[seed_ix] = 1
    ixes = []
    for t in range(n):
        h = np.tanh(np.dot(Wxh, x) + np.dot(Whh, h) + bh)
        y = np.dot(Why, h) + by
        y = (y - np.max(y, axis=0))
        g = (-y - np.exp(y)) / temp
        p = np.exp(g) / np.sum(np.exp(g))
        ix = np.random.choice(range(vocab_size), p=p.ravel())
        x = np.zeros((vocab_size, 1))
        x[ix] = 1
        ixes.append(ix)
    return ixes
```

```
n, p = 0, 0
mWxh, mWhh, mWhy = np.zeros_like(Wxh), np.zeros_like(Whh), np.zeros_like(Why)
mbh, mby = np.zeros_like(bh), np.zeros_like(by) # memory variables for Adagrad
smooth_loss = -np.log(1.0 / vocab_size) * seq_length # loss at iteration 0
tempereture = 10
while True:
    # prepare inputs (we're sweeping from left to right in steps seq_length long)
    if p + seq_length + 1 >= len(data) or n == 0:
        hprev = np.zeros((hidden_size, 1)) # reset RNN memory
```

```
def decoder(h, seed_ix, n, temp=1):
    x = np.zeros((vocab_size, 1))
    x[seed_ix] = 1
    ixes = []
    for t in range(n):
        h = np.tanh(np.dot(Wxh, x) + np.dot(Whh, h) + bh)
        y = np.dot(Why, h) + by
        y = (y - np.max(y, axis=0)) / temp
        p = np.exp(y) / np.sum(np.exp(y))
        ix = np.random.choice(range(vocab_size), p=p.ravel())
        x = np.zeros((vocab_size, 1))
        x[ix] = 1
        ixes.append(ix)
    return ixes
```

```
def encoder(h, inputs):
    for t in range(len(inputs)):
        x = np.zeros((vocab_size, 1))
        x[inputs[t]] = 1
        h = np.tanh(np.dot(Wxh, x) + np.dot(Whh, h) + bh)
    return h
```

```
hidden_size = 250
```

```
def sample():
    data = str(open('samples.txt', 'rb').read())
    inputs = [char_to_ix[str.encode(seg)] for seg in data if str.encode(seg) in char_to_ix.keys()]
    h = np.zeros((hidden_size, 1))
    h = encoder(h, inputs)
    s = decoder(h, inputs[-1], 400, temp=1)
    txt = ''.join(bytes.decode(ix_to_char[ix]) for ix in s)
    print(data + '\n' + txt)
```

```
def test1():
    sample1 = 'test of an apple:'
    inputs = [char_to_ix[str.encode(seg)] for seg in sample1 if str.encode(seg) in char_to_ix.keys()]
    h = np.zeros((hidden_size, 1))
    h = encoder(h, inputs)

    a1 = np.zeros_like(h)
    index1 = np.where(np.abs(h) > 0.5)
    a1[index1] = index1[0]
```

```

#s = decoder(h, inputs[-1], 1, temp=1)

temp = 1
x = np.zeros((vocab_size, 1))
x[inputs[-1]] = 1
h = np.tanh(np.dot(Wxh, x) + np.dot(Whh, h) + bh)
y = np.dot(Why, h) + by
y = (y - np.max(y, axis=0)) / temp
p = np.exp(y) / np.sum(np.exp(y))
ix = np.random.choice(range(vocab_size), p=p.ravel())

a2 = np.zeros_like(h)
index2 = np.where(np.abs(h) > 0.5)
a2[index2] = 1

a3 = np.zeros_like(h)
index3 = np.where(np.abs(p) > 0.5)
a3[index3] = 1

print(a1)
print(a2)
print(a3)

x = np.zeros((vocab_size, 1))
x[ix] = 1

txt = ''.join(bytes.decode(ix_to_char[ix]))
print(sample1 + txt)

for i in range(1):
    sample()
    test1()

```

4 . 分析参数的影响（代码见上）

结论分析与体会：

temperature=1

data has 268330 characters, 62 unique.

```

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YlKuE?. cILbNBdj-CSjb:KdMaIG&AHT;Cp jvY;nkMDr j lwe'yJnajnwEgxAA. s!vx:sQsarJ?IEA&c l rty. zACUgYvTv
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iter 50000, loss: 50.806486

temperature=2

data has 268330 characters, 62 unique.

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&uuzlgRFfJsKLptc
FfHwogDOiMvEs!utvl-peaZi K&n&NWa
RYbOTQJdqldDLzT ItcHp;i!tC!iuBbL-UeOVSzNVomDmWizylxzSIN

iter 0, loss: 103.178357

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CORBTINNY RUCEnF HAGHARUT:
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iter 20000, loss: 48.271210

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QUETI MTfICA?

ALES:

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iter 30000, loss: 46.931193

or trange:

Wymen: l wals.

VARERRIIN:

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Thoud it a wat sirs

iter 40000, loss: 46.218963

d one fortorg.

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iter 50000, loss: 45.382919

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iter 60000, loss: 45.292573

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iter 70000, loss: 43.784209

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iter 80000, loss: 42.621180

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CORIOLANUS:

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iter 90000, loss: 42.605550

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iter 100000, loss: 42.330884

使用 temperature=0.5 或者 5 效果都不好, 单词过密集或者稀疏

使用 temperature=5, gumbel softmax

data has 268330 characters, 62 unique.

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iter 0, loss: 103.178359

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iter 2000, loss: 84.865416

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iter 4000, loss: 79.712833

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iter 5000, loss: 74.047421

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iter 6000, loss: 69.857624

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iter 7000, loss: 67.555595

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iter 8000, loss: 65.573995

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iter 9000, loss: 64.443023

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iter 10000, loss: 62.771993

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iter 11000, loss: 62.246022

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iter 12000, loss: 61.286255

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iter 13000, loss: 60.484777

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iter 14000, loss: 59.502488

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iter 15000, loss: 58.811436

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iter 16000, loss: 58.553343

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iter 17000, loss: 58.902108

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iter 18000, loss: 58.734752

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iter 19000, loss: 58.083578

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iter 20000, loss: 57.934835

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iter 21000, loss: 57.385240

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iter 22000, loss: 57.473343

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ESY:

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iter 23000, loss: 57.238224

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CoRNNTUE::

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CUBOSHUUll:

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iter 24000, loss: 56.604612

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iter 25000, loss: 55.637220

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算法收敛速度较好

使用 sample 生成文档

使用 encoder-decoder 结构生成的文档如下

irst incitly dist of guwer ollome to thee voite, es you she! hands.

MENENIUS:

I geon, with dity with it him how ed so have doldeus?

CAUCIUS:

The so cowar to hits dat: thes! in, now toke love.

CORI

irsham!

ages! Who shere Ede,

To preed as o shall detwake it to gups your.

MENENIUS:

Hes, the in.

CORIOLANUS:

The say a kees,

Deaven ager he,

And out, my a Cixice?--'ll and mabt Mase,

More merse.

VI

irst Conbed you fle

Cor sane, on;

I: and caem as on owat me love,

Thy for will foldingain be sun dik, hil this or have show wounk

VOLIAIA RCININI:

There my che sold to-'dttand thee nepe,

Ohy on pees

own were proy:

Got to want Avell wow you peakn denole good hours matfusrate,

Ay, rets!

Murgen:

As thill:
No l shales
be Vooth.

BRUTUS:
So clore and mell hand 'Tis: a
Tay trotseils liper!; my so! in moro?

SICINIUS:
Ot ulfonbuser stifonices be noisur an thy for ewis:
Wear:
Of thy he whis consfee Rawowar sene, the ust's to of hath he Rome. That him?
Hro your gatuon a be dedaous you vathor of than

经过多次测试可见效果较好

关于权重的影响问题

将 x 、 h 、 p 大于 0.5 的部分找到，其之间的参数为主要作用的参数，我们得到的响应值如下

[illegible]

0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0.]

将其中部分相乘，得到的权重矩阵的 mask 就是主要作用的 weight 的 mask

更有趣的现象

发现无论前文的文本是什么类型，：后出现空格与换行的概率都很大，证明“：”符号生成的 h 有着更高的权重，以至于前文的状态 h 并没有太多作用

就实验过程中遇到和出现的问题，你是如何解决和处理的，自拟 1—3 道问答题：

1. 读取数据问题：以 bytes 读入解决
 2. 反向传播计算未计算 dhnext
 3. 分布由于未对 y 标准化出现精度损失问题
 4. 调整合适的 temperature
-