

# 10301/601 Homework 1 (Written)

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TOTAL POINTS

**68 / 70**

QUESTION 1

1 Latex Bonus Point 1 / 0

✓ + 1 pts Correct-- this has been added separately  
and will appear on your grade summary  
+ 0 pts Incorrect

3.2 1 / 1

✓ - 0 pts Correct

QUESTION 2

Course Policies 7 pts

2.1 1 / 1

✓ - 0 pts Correct

3.4 1 / 1

✓ - 0 pts Correct: A

2.2 1 / 1

✓ - 0 pts Correct

3.6 1 / 1

✓ - 0 pts Correct: B

2.3 1 / 1

✓ - 0 pts Correct

3.7 1 / 1

✓ - 0 pts Correct: D

2.4 1 / 1

✓ - 0 pts Correct: A, B, C, D

3.8 1 / 1

✓ - 0 pts Correct: C

2.5 1 / 1

✓ - 0 pts Correct

3.9 1 / 1

✓ - 0 pts Correct: C

2.6 1 / 1

✓ - 0 pts Correct

3.10 1 / 1

✓ - 0 pts Correct: D

2.7 1 / 1

✓ - 0 pts Correct

3.11 1 / 1

✓ - 0 pts Correct: A and B

QUESTION 3

Probability and Statistics 23 pts

3.1 1 / 1

✓ - 0 pts Correct

3.12 2 / 2

✓ - 0 pts Correct (N/A)

3.13 2 / 2

✓ - 0 pts Correct (0)

3.14 0 / 2		5.1 1 / 1	
✓ - 2 pts Incorrect		✓ - 0 pts Correct, D	
3.15 2 / 2		5.2 1 / 1	
✓ - 0 pts Correct: C		✓ - 0 pts Correct, B	
3.16 1 / 1		5.3 2 / 2	
✓ - 0 pts Correct: A		✓ - 0 pts Correct, A, B	
3.17 0.4 / 0.4		5.4 2 / 2	
✓ - 0 pts Correct: A		✓ - 0 pts Correct, D	
3.18 0.4 / 0.4		5.5 1 / 1	
✓ - 0 pts Correct: B		✓ - 0 pts Correct, True	
3.19 0.4 / 0.4		5.6 2 / 2	
✓ - 0 pts Correct: D		✓ - 0 pts Correct, B	
3.20 0.4 / 0.4		5.7 2 / 2	
✓ - 0 pts Correct: E		✓ - 0 pts Correct, C	
3.21 0.4 / 0.4		5.8 2 / 2	
✓ - 0 pts Correct: C		✓ - 0 pts Correct, B	
QUESTION 4		QUESTION 6	
<b>Calculus</b> 8 pts		<b>Geometry</b> 5 pts	
4.1 2 / 2		6.1 2 / 2	
✓ - 0 pts Correct: $\$-\frac{14}{3}\$$		✓ - 0 pts Correct, B	
4.2 2 / 2		6.2 0 / 1	
✓ - 0 pts Correct: C		✓ - 1 pts Incorrect/Blank	
4.3 2 / 2		6.3 2 / 2	
✓ - 0 pts Correct: B		✓ - 0 pts Correct, A	
4.4 2 / 2		QUESTION 7	
✓ - 0 pts Correct: A		<b>CS Fundamentals</b> 14 pts	
QUESTION 5		7.1 1 / 1	
<b>Vectors and Matrices</b> 13 pts		✓ - 0 pts Correct: C	

7.2 1 / 1

✓ - 0 pts Correct: A

7.3 2 / 2

✓ - 0 pts Correct: 12

7.4 1 / 1

✓ - 0 pts Correct: 1,2,3,5,6,4,7,8,9,10

7.5 1 / 1

✓ - 0 pts Correct: 1,2,7,3,4,8,5,6,9,10

7.6 0.5 / 0.5

✓ - 0 pts Correct: node.val == key

7.7 0.5 / 0.5

✓ - 0 pts Correct

7.8 0.5 / 0.5

✓ - 0 pts Correct

7.9 0.5 / 0.5

✓ - 0 pts Correct

7.10 2 / 2

✓ - 0 pts Correct

7.11 2 / 2

✓ - 0 pts Correct

7.12 2 / 2

✓ - 0 pts Correct

QUESTION 8

8 Collaboration 0 / 0

✓ - 0 pts Correct

QUESTION 9

9 Template Alignment 0 / 0

✓ - 0 pts Aligned

# HOMEWORK 1: BACKGROUND

10-301/10-601 Introduction to Machine Learning (Spring 2022)

<http://www.cs.cmu.edu/~mgormley/courses/10601/>

OUT: Wednesday, January 19th

DUE: Wednesday, January 26th

TAs: Sana, Abhi, Sami, Zachary, Brendon, Mukund

## START HERE: Instructions

- **Collaboration policy:** Collaboration on solving the homework is allowed, after you have thought about the problems on your own. It is also OK to get clarification (but not solutions) from books or online resources, again after you have thought about the problems on your own. There are two requirements: first, cite your collaborators fully and completely (e.g., “Jane explained to me what is asked in Question 2.1”). Second, write your solution *independently*: close the book and all of your notes, and send collaborators out of the room, so that the solution comes from you only. See the Academic Integrity Section on the course site for more information: <http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html#7-academic-integrity-policies>
- **Late Submission Policy:** See the late submission policy here: <http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html#late-homework-policy>
- **Submitting your work:**
  - **Programming:** You will submit your code for programming questions on the homework to Gradescope (<https://gradescope.com>). After uploading your code, our grading scripts will autograde your assignment by running your program on a virtual machine (VM). When you are developing, check that the version number of the programming language environment (e.g. Python 3.9.6) and versions of permitted libraries (e.g. numpy 1.21.2 and scipy 1.7.1) match those used on Gradescope. You have a **total of 10 Gradescope programming submissions**. Use them wisely. In order to not waste code submissions, we recommend debugging your implementation on your local machine (or the linux servers) and making sure your code is running correctly first before any Gradescope coding submission. **The above is true for future assignments, but this one allows unlimited submissions.**
  - **Written:** For written problems such as short answer, multiple choice, derivations, proofs, or plots, we will be using Gradescope (<https://gradescope.com/>). Please use the provided template. Submissions can be handwritten onto the template, but should be labeled and clearly legible. If your writing is not legible, you will not be awarded marks. Alternatively, submissions can be written in LaTeX. Regrade requests can be made, however this gives the TA the opportunity to regrade your entire paper, meaning if additional mistakes are found then points will be deducted. Each derivation/proof should be completed on a separate page. For short answer questions you **should not** include your work in your solution. If you include your work in your solutions, your assignment may not be graded correctly by our AI assisted grader. **For this assignment only, if you answer at least 90% of the written questions correctly, you get full marks on the written portion of this assignment. For this assignment only, we will offer two**

**rounds of grading.** The first round of grading will happen immediately following the due date specified above. We will then release your grades to you and if you got less than 90% on the written questions, you will be allowed to submit once again by a second due date. The exact due date for the second round will be announced after we release the first round grades.

- **Materials:** The data that you will need in order to complete this assignment is posted along with the writeup and template on the course website.
- The L<sup>A</sup>T<sub>E</sub>Xtemplate for this assignment is available [here](#).

For multiple choice or select all that apply questions, shade in the box or circle in the template document corresponding to the correct answer(s) for each of the questions. For L<sup>A</sup>T<sub>E</sub>X users, replace \choice with \CorrectChoice to obtain a shaded box/circle, and don't change anything else.

## Instructions for Specific Problem Types

For “Select One” questions, please fill in the appropriate bubble completely:

**Select One:** Who taught this course?

- Matt Gormley
- Marie Curie
- Noam Chomsky

If you need to change your answer, you may cross out the previous answer and bubble in the new answer:

**Select One:** Who taught this course?

- Matt Gormley
- Marie Curie
- Noam Chomsky

For “Select all that apply” questions, please fill in all appropriate squares completely:

**Select all that apply:** Which are scientists?

- Stephen Hawking
- Albert Einstein
- Isaac Newton
- None of the above

Again, if you need to change your answer, you may cross out the previous answer(s) and bubble in the new answer(s):

**Select all that apply:** Which are scientists?

- Stephen Hawking
- Albert Einstein
- Isaac Newton
- I don't know

For questions where you must fill in a blank, please make sure your final answer is fully included in the given space. You may cross out answers or parts of answers, but the final answer must still be within the given space.

**Fill in the blank:** What is the course number?

10-601

10-~~7~~601

# 1 Programming: Majority Vote Classifier [30 Points]

## 1.1 Introduction

In this homework you have to choose Python as your programming language. Submitting code for more than one language may result in undefined behavior.

The goal of this assignment is to ensure that you:

1. Have a way to edit and test your code (i.e. a text editor and compiler/interpreter)
2. Are familiar with submitting to Gradescope
3. Are familiar with file I/O and standard output in the language of your choice

**Warning:** This handout assumes that you are using a unix command prompt (with `zsh`, `bash`, `csh` or similar). Windows commands may differ slightly.

## 1.2 Majority Vote Classifier

### 1.2.1 Algorithm

This assignment requires you to implement a Majority Vote Classifier. Your algorithm should calculate the most common label in the data, "predict" that label for each given point in the dataset, and calculate the error rate for the classifier's predictions. You may assume that the output class label is always binary.

The training procedure should store the label used for prediction at test time. In the case of a tie, output the value that comes *last* alphabetically. At test time, each example should be passed through the classifier. Its predicted label becomes the label most commonly occurring in the train set.

*Looking ahead:* This simple algorithm acts as a small component of the Decision *Tree* that you will implement in the next homework assignment. We hope that you will employ best practices when coding so that you can re-use your own code here in the next assignment. A Majority Vote Classifier is simply a decision tree of depth zero (it predicts a class label for the input instance based on the most commonly occurring label present in the data).

### 1.2.2 The Datasets

**Materials** Download the zip file from course website, which contains all the data that you will need in order to complete this assignment.

**Datasets** The handout contains three datasets. Each one contains attributes and labels and is already split into training and testing data. The first row of each `.tsv` file contains the name of each attribute, and *the class label is always the last column*.

1. **politician:** The first task is to predict whether a US politician is a member of the Democrat or Republican party, based on their past voting history. Attributes (aka. features) are short descriptions of bills that were voted on, such as `Aid_to_nicaraguan_contras` or `Duty_free_exports`. Values are given as '`y`' for yes votes and '`n`' for no votes. The training data is in `politicians_train.tsv`, and the test data in `politicians_test.tsv`.
2. **education:** The second task is to predict the final *grade* (A, not A) for high school students. The attributes (covariates, predictors) are student grades on 5 multiple choice assignments *M1* through *M5*, 4 programming assignments *P1* through *P4*, and the final exam *F*. The training data is in `education_train.tsv`, and the test data in `education_test.tsv`.

The handout zip file also contains the predictions and metrics from a reference implementation of a Majority

Vote Classifier for the **politician** and **education** datasets (see subfolder *example\_output*). You can check your own output against these to see if your implementation is correct.<sup>1</sup>

**Note:** For simplicity, all attributes are discretized into just two categories. This applies to all the datasets in the handout, as well as the additional datasets on which we will evaluate your Majority Vote Classifier.

### 1.2.3 Command Line Arguments

The autograder runs and evaluates the output from the files generated, using the following command:

```
$ python majority_vote.py [args...]
```

Where above [args...] is a placeholder for five command-line arguments: <train input> <test input> <train out> <test out> <metrics out>. These arguments are described in detail below:

1. <train input>: path to the training input .tsv file
2. <test input>: path to the test input .tsv file
3. <train out>: path of output .labels file to which the predictions on the *training* data should be written
4. <test out>: path of output .labels file to which the predictions on the *test* data should be written
5. <metrics out>: path of the output .txt file to which metrics such as train and test error should be written

As an example, the following command line would run your program on the politicians dataset. The train predictions would be written to `pol_train.labels`, the test predictions to `pol_test.labels`, and the metrics to `pol_metrics.txt`.

```
$ python majority_vote.py politicians_train.tsv politicians_test.tsv \
    pol_train.labels pol_test.labels pol_metrics.txt
```

### 1.2.4 Output: Labels Files

Your program should write two output .labels files containing the predictions of your model on training data (<train out>) and test data (<test out>). Each should contain the predicted labels for each example printed on a new line. Use ‘\n’ to create a new line.

Your labels should exactly match those of a reference majority vote classifier implementation—this will be checked by the autograder by running your program and evaluating your output file against the reference solution.

**Note:** You should output your predicted labels using the same string identifiers as the original training data: e.g., for the politicians dataset you should output democrat/republican and for the education dataset you should output A/notA. The first few lines of an example output file is given below for the politician dataset:

```
democrat
democrat
```

---

<sup>1</sup>Yes, you read that correctly: we are giving you the correct answers.

```
democrat
democrat
democrat
democrat
democrat
...

```

### 1.2.5 Output: Metrics File

Generate another file where you should report the training error and testing error. This file should be written to the path specified by the command line argument <metrics out>. Your reported numbers should be within 0.01 of the reference solution. You do not need to round your reported numbers! The Autograder will automatically incorporate the right tolerance for float comparisons. The file should be formatted as follows:

```
error(train): 0.442953
error(test): 0.506024
```

## 1.3 Command Line Arguments

In this and future programming assignments, we will use command line arguments to run your programs with different parameters. Below, we provide some simple examples for how to do this in Python. In the examples below, suppose your program takes two arguments: an input file and an output file.

Python:

```
import sys

if __name__ == '__main__':
    infile = sys.argv[1]
    outfile = sys.argv[2]
    print("The input file is: %s" % (infile))
    print("The output file is: %s" % (outfile))
```

## 1.4 Code Submission

You must submit a file named `majority_vote.py`. The autograder is case sensitive. You must submit this file to the corresponding homework link on Gradescope.

Note: For this assignment, you may make arbitrarily many submissions to the autograder before the deadline, but only your last submission will be graded.

# Written Questions (71 points)

## 1 Latex Bonus Point (1 points)

1. (1 point) **Select one:** Did you use Latex for the entire written portion of this homework?

Yes

No

## 2 Course Policies (7 points)

This section covers important course policies that every student should know and understand. These questions MUST be finished in order for the whole homework to be considered for grading.

1. (1 point) **Select one:** Assignment turned in late without prior approval will incur a daily penalty. How much is the penalty? Up to 1 day: \_\_\_ Up to 2 day: \_\_\_ Up to 3 day: \_\_\_ Up to 4 day: \_\_\_
- 5%, 10%, 15%, 20%
- 10%, 20%, 30%, 40%
- 25%, 50%, 75%, 100%
- 20%, 40%, 60%, 80%**
2. (1 point) **Select one:** How many grace days do you have in total for all homework? Can you combine grace days with late days to extend a homework submission deadline by more than 4 days?
- As many as I want; Of course!
- 6; No
- 6; Yes
- 8; No**
- 8; Yes
3. (1 point) **Select all that apply:** Seeking help from other students in understanding course materials needed to solve homework problems is ALLOWED under which of the following conditions?
- Any written notes are taken on an impermanent surface (e.g. whiteboard, chalkboard) and discarded before writing up one's solution alone.**
  - Learning is facilitated not circumvented; i.e., the purpose of seeking help is to learn and understand the problem instead of merely getting an answer**
  - Help both given and received is reported in collaboration questions in the homework**
  - The student updates his/her collaborative questions even if it is after submitting their own assignment**
  - None of the above

4. (1 point) **Select all that apply:** Which of the following is (are) strictly forbidden in solving and submitting homework?

- Searching on the internet for solutions or sample codes**
- Consulting people outside this class who have seen or solved the problem before**
- Turning in someone else's homework**
- Using anyone else's, or allowing other classmates to use your computer or Gradescope account in connection with this course**
- None of the above

5. (1 point) **Select one:** If you solved your assignment completely on your own, you can skip the collaboration questions at the end of each homework.

- True
- False

6. (1 point) **Select all that apply:** What is (are) the consequence(s) of being caught cheating in this course?

**First time:**

- Failure of the course
- AIV report to university authorities**
- Negative 100% on the assignment**

**Second time:**

- Failure of the course**
- AIV report to university authorities**
- Negative 100% on the assignment

7. (1 point) **Select one:** Assume a difficult situation arises in the middle of the semester (e.g. medical, personal etc.) that might prevent you from submitting assignments on time or working as well as you would like. What should you do?

- Email the education associates (EAs) for the course, your college liaison, and advisor (being sure to include the latter two in the case of a medical emergency) early so they can point you to the available resources on campus and make necessary arrangements**
- Do not speak to the course staff, try to finish the class, reach out to the course staff in the end of the semester explaining your special situation

### 3 Probability and Statistics (23 points)

Use the following data to answer questions 1-2. Consider data created by flipping a coin five times  $S = [1, 1, 0, 1, 1]$ , where 1 denotes that the coin turned up heads and 0 denotes that it turned up tails.

1. (1 point) **Select one:** What is the probability of observing any combination of this data (4 heads and 1 tails), assuming it was generated by flipping a coin X with an unequal probability of heads (1) and tails (0), where the distribution is  $P(X = 1) = 0.75$ ,  $P(X = 0) = 0.25$ ?

✓  $\frac{405}{1024}$

○  $\frac{1}{32}$

○  $\frac{324}{1024}$

○  $\frac{81}{1024}$

2. (1 point) Note that the probability of this data sample would be greater if the value of  $P(X = 1)$  was not 0.75, but instead some other value. What is the value of  $P(X = 1)$  that maximizes the probability of the sample  $S$ ? Provide your answer as a fraction.

Your Answer

4/5

3. (1 point) **Select one:** For events  $A$  and  $B$ , where  $A \cap B$  indicates  $A$  AND  $B$ , and  $A \cup B$  indicates  $A$  OR  $B$ ,

$$P(A \cap B) = P(A) + P(B) - P(A \cup B)$$

✓ True

○ False

4. (1 point) **Select one:** For events  $A$  and  $B$ ,

$$P(A_1 \cap A_2 \cap A_3) = P(A_3|A_2 \cap A_1)P(A_2|A_1)P(A_1)$$

✓ True

○ False

5. (2 points) **Select one:** Whether your car is wet in the morning ( $W$ ) is dependent on whether it rained last night ( $R$ ) or not, however other factors may have lead to your car being wet. The following are probabilities of such events:

$$P(R) = 0.4$$

$$P(W|R) = 0.8$$

$$P(W|\neg R) = 0.2$$

What is the probability that your car is wet in the morning?

0.64

0.56

**0.44**

0.4

**Use the following information to answer questions 6-7.** Consider the following joint probability table where both X and Y are binary variables:

X	Y	Probability
0	0	0.1
0	1	0.4
1	0	0.2
1	1	0.3

6. (1 point) **Select one:** What is  $P(X = 1|Y = 1)$ ?

$\frac{2}{3}$

$\frac{3}{7}$

$\frac{4}{5}$

$\frac{3}{5}$

7. (1 point) **Select one:** What is  $P(Y = 0)$ ?

0.2

0.6

0.5

**0.3**

**Use the following information to answer questions 8-10.** Let  $X$  be a random variable with expected value  $E[X] = 1$  and variance  $Var[X] = 2$ .

8. (1 point) **Select one:** What is  $E[6X]$ ?

- 1
- 3
- 6
- 36

9. (1 point) **Select one:** What is  $Var[2X]$ ?

- 1
- 4
- 8
- 16

10. (1 point) **Select one:** What is  $Var[2X - 3]$ ?

- 3
- 4
- 5
- 8

**Use the following information to answer questions 11-14:** Let A, B, and C be random variables with discrete probability distributions. Consider the following two joint probability tables: one relating A and B, and the other relating B and C.

$A \setminus B$	$b_1$	$b_2$	$b_3$
$a_1$	0.1	0.05	0.15
$a_2$	0.1	0.05	0.3
$a_3$	0.05	0.15	0.05

$B \setminus C$	$c_1$	$c_2$	$c_3$	$c_4$
$b_1$	0.02	0.14	0.06	0.03
$b_2$	0.03	0.05	0	0.17
$b_3$	0.35	0.04	0	0.11

11. (1 point) **Select all that apply:** Which of the following statements are necessarily **false**? Note  $X \perp\!\!\!\perp Y$  indicates that random variable X is independent of random variable Y.

- A  $\perp\!\!\!\perp$  B
- B  $\perp\!\!\!\perp$  C
- A  $\perp\!\!\!\perp$  C
- None of the above.

12. (2 points) What is  $P(B = b_1 | A = a_2, C = c_4)$ ? If this value cannot be computed, write N/A.

Your Answer
NA

13. (2 points) What is  $P(B = b_2 | A = a_3, C = c_3)$ ? If this value cannot be computed, write N/A.

Your Answer
0

14. (2 points) **Select one:** True or False:  $\sum_{i=1}^3 P(B = b_i | C = c_1) = \sum_{j=1}^4 P(C = c_j | B = b_1)$

- True
- False

15. (2 points) **Select one:** Consider two random variables  $X, Y$ . Assume that we have  $P(X = x) = \frac{1}{2^x}$  for  $x \in \mathbb{Z}_{\geq 1}$  (integers greater than or equal to 1) and  $P(Y = y | X = x) = \frac{1}{n}$  for  $y \in \{1, 2, \dots, n\}$ . Assume  $n$  is a fixed positive integer constant. What is  $\mathbb{E}[Y]$ ?

- $\sum_{y=1}^n y \frac{1}{2^y}$
- $\sum_{y=1}^n y \frac{5}{3^y}$
- $\sum_{y=1}^n \frac{y}{n}$
- $\sum_{y=1}^n y$

16. (1 point) **Select one:** What is the mean, variance and entropy of a Bernoulli ( $p$ ) random variable?

- $p, p(1-p), -(1-p)\log(1-p) - p\log(p)$
- $p(1-p), p, -(1-p)\log(1-p) - p\log(p)$
- $p, p(1-p), \log(1-p) - p\log(p)$
- The entropy of a Bernoulli variable is not defined.

17. (2 points) Please match the probability density function of the random variable X to its corresponding distribution name.

- A)  $\text{prob}(X = x) = \frac{1}{\sqrt{(2\pi)^d |\Sigma|}} \exp(-\frac{1}{2}(x - \mu)^T \Sigma^{-1} (x - \mu))$
- B)  $\text{prob}(X = x) = \lambda e^{-\lambda x}$  when  $x \geq 0$ ; 0 otherwise
- C)  $\text{prob}(X = x) = \binom{n}{x} p^x (1-p)^{n-x}$
- D)  $\text{prob}(X = x) = \frac{1}{b-a}$  when  $a \leq x \leq b$ ; 0 otherwise
- E)  $\text{prob}(X = x) = p^x (1-p)^{1-x}$

Multivariate Gaussian:

Your Answer
A

Exponential:

Your Answer
B

Uniform:

Your Answer
D

Bernoulli:

Your Answer
E

Binomial:

Your Answer
C

## 4 Calculus (8 points)

1. (2 points) Evaluate the derivative of  $y$  with respect to  $x$ , where  $y = \ln(\frac{4}{x^3} - x^2)$  at  $x = 1$ .

Your Answer

-14/3

2. (2 points) **Select one:** Find the partial derivative of  $y$  with respect to  $x$ , where  $y = 3x^2 \sin(z)e^{-x}$

- $3x \sin(z)e^{-x}(2 + x)$
- $-6x \sin(z)e^{-x}$
- $3x \sin(z)e^{-x}(2 - x)$
- $6x \cos(z)e^{-x}$

3. (2 points) **Select one:** For the function  $f(x) = 4x^3 - 5x^2 - 2x$  the value  $x = -\frac{1}{6}$  sets the derivative to be 0. Additionally, the second order derivative of  $f(x)$  at  $x = -\frac{1}{6}$  is negative. What can you say about  $f(x)$  at the point  $x = -\frac{1}{6}$ :

- a local minimum
- a local maximum
- a local minimum or a local maximum
- None of the above

4. (2 points) **Select one:** Suppose that  $f(\mathbf{x}|\boldsymbol{\theta}) = \mathbf{x}^T \boldsymbol{\theta}$ , where  $\mathbf{x}, \boldsymbol{\theta} \in \mathbb{R}^n$ . The function  $g(\boldsymbol{\theta})$  is defined as  $g(\boldsymbol{\theta}) = (f(\mathbf{x}^{(1)}|\boldsymbol{\theta}) - y^{(1)})^2$  for  $\mathbf{x}^{(1)} \in \mathbb{R}^n$  and  $y^{(1)} \in \mathbb{R}$ . What is the function type of  $g(\boldsymbol{\theta})$ :

- $g : \mathbb{R}^n \rightarrow \mathbb{R}$
- $g : \mathbb{R} \rightarrow \mathbb{R}$
- $g : \mathbb{R} \rightarrow \mathbb{R}^n$
- $g : (\mathbb{R}^n \times \mathbb{R}^n) \rightarrow \mathbb{R}$

## 5 Vectors and Matrices (13 points)

1. (1 point) **Select one:** Consider the matrix  $\mathbf{X}$  and the vectors  $\mathbf{y}$  and  $\mathbf{z}$  below:  $\mathbf{X} = \begin{bmatrix} 1 & 4 \\ 2 & 6 \end{bmatrix}$ ,  $\mathbf{y} = \begin{bmatrix} 2 \\ 1 \end{bmatrix}$ ,  $\mathbf{z} = \begin{bmatrix} 4 \\ 3 \end{bmatrix}$ . What is the inner product of the vectors  $\mathbf{y}$  and  $\mathbf{z}$ ? (this is also sometimes called the dot product)

$\begin{bmatrix} 8 & 6 \\ 4 & 3 \end{bmatrix}$

10

$\begin{bmatrix} 8 \\ 3 \end{bmatrix}$

11

2. (1 point) **Select one:** Using the same values for  $\mathbf{X}$ ,  $\mathbf{y}$ , and  $\mathbf{z}$  as above, what is the product of  $\mathbf{X}\mathbf{y}$ ?

$\begin{bmatrix} 10 \\ 2 \end{bmatrix}$

$\begin{bmatrix} 6 \\ 10 \end{bmatrix}$

$\begin{bmatrix} 7 \\ 11 \end{bmatrix}$

$\begin{bmatrix} 14 \\ 22 \end{bmatrix}$

3. (2 points) **Select all that apply:** Consider  $\mathbf{u} = \begin{bmatrix} 1 \\ 2 \\ 3 \end{bmatrix}$  and  $\mathbf{V} = \begin{bmatrix} 0 & 7 \\ 4 & 5 \\ -1 & 0 \end{bmatrix}$ . Which of these are valid operations?

$\mathbf{u}^T \mathbf{V}$

$\mathbf{V}^T \mathbf{u}$

$\mathbf{u} \mathbf{V}$

$\mathbf{V} \mathbf{V}$

None of the above

4. (2 points) **Select one:** For the matrices  $\mathbf{A} = \begin{bmatrix} 2 & 1 & 4 \\ -3 & 2 & 0 \\ 1 & 3 & -2 \end{bmatrix}$  and  $\mathbf{B} = \begin{bmatrix} 3 & 4 & 5 \\ 3 & -1 & 3 \\ 1 & 3 & -2 \end{bmatrix}$  What is the product  $\mathbf{AB}$ ?

$\begin{bmatrix} 13 & 19 & 5 \\ -3 & -14 & -9 \\ 4 & -4 & 18 \end{bmatrix}$

$\begin{bmatrix} 13 & 19 & 28 \\ 19 & 9 & -7 \\ -10 & -2 & 13 \end{bmatrix}$

$\begin{bmatrix} 20 & -20 & -28 \\ 3 & -14 & 9 \\ 3 & 2 & 13 \end{bmatrix}$

$\begin{bmatrix} 13 & 19 & 5 \\ -3 & -14 & -9 \\ 10 & -5 & 18 \end{bmatrix}$

5. (1 point) **True or False:** The matrix  $\mathbf{A}$  from the previous question has an inverse?

**True**

False

6. (2 points) **Select one:** Consider two vectors  $\mathbf{x} = \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix}$  and  $\mathbf{y} = \begin{bmatrix} y_1 \\ y_2 \\ y_3 \end{bmatrix}$ , let  $z = \mathbf{x}^T \mathbf{y}$ . What is  $\frac{\partial z}{\partial y_2}$ ?

$y_2$

$x_2$

$\mathbf{x}$

$\mathbf{y}$

7. (2 points) **Select one:** Given matrix  $\mathbf{X} = \begin{bmatrix} 3 & 4 & 2 \\ 1 & 6 & 2 \\ 1 & 4 & 4 \end{bmatrix}$  and the column vector  $\mathbf{y} = \begin{bmatrix} -6 \\ 1 \\ 1 \end{bmatrix}$ , what is the eigenvalue of  $\mathbf{X}$  associated with  $\mathbf{y}$ ? (Recall an eigenvector of a matrix  $\mathbf{A} \in \mathcal{R}^{n \times n}$  is a nonzero vector  $\mathbf{v} \in \mathcal{R}^n$  such that  $\mathbf{Av} = \lambda \mathbf{v}$  where we call the scalar  $\lambda$  the associated eigenvalue for  $\mathbf{v}$ .)

-5

-3

2

1.5

8. (2 points) **Select one:** Preparing for his linear algebra final, Joe is finding eigenvectors and eigenvalues for different matrices. Joe finds out that some matrix A (not given) has eigenvalues 4 and 5. To find the associated eigenvectors for eigenvalue 4, he then solves the equation  $\mathbf{Av} = 4\mathbf{v}$  and finds two solutions,  $\begin{bmatrix} 3 \\ 117 \\ 9 \end{bmatrix}$  and  $\begin{bmatrix} 1 \\ 39 \\ 3 \end{bmatrix}$ . He concludes that these vectors are the eigenvectors corresponding to the eigenvalue of 4. Which statement regarding his solution is true?

- The solution must be wrong because there cannot be multiple eigenvectors corresponding to a single eigenvalue.
- The solution must be wrong because the eigenvectors are linearly dependent.**
- The solution is correct because there may be multiple eigenvectors corresponding to an eigenvalue, and eigenvectors of a matrix are linearly dependent.
- The solution is correct because both vectors are solutions to  $\mathbf{Av} = 4\mathbf{v}$ .

## 6 Geometry (5 points)

1. (2 points) **Select one:** What relationship does the vector  $\mathbf{w}$  share with the line  $\mathbf{w}^T \mathbf{x} + b = 0$ ? (assume  $\mathbf{x}$  and  $\mathbf{w}$  are both two dimensional column vectors, and  $\mathbf{w}^T$  indicates the transpose of the column vector  $\mathbf{w}$ .)

- parallel
- orthogonal
- depends on the value of  $b$

2. (1 point) **Select one:** With reference to the above question, select the statement which best explains why  $\mathbf{w}$  and  $\mathbf{w}^T \mathbf{x} + b = 0$  share the above relationship.

- The inner product  $\mathbf{w}^T(\mathbf{x}' - \mathbf{x}'')$ , where  $\mathbf{x}'$  and  $\mathbf{x}''$  are two points on the line  $\mathbf{w}^T \mathbf{x} + b = 0$ , is 0
- The inner product  $\mathbf{w}^T(\mathbf{x}' - \mathbf{x}'')$ , where  $\mathbf{x}'$  and  $\mathbf{x}''$  are two points on the line  $\mathbf{w}^T \mathbf{x} + b = 0$ , is 1
- The inner product  $\mathbf{w}^T(\mathbf{x}' - \mathbf{x}'')$ , where  $\mathbf{x}'$  and  $\mathbf{x}''$  are two points on the line  $\mathbf{w}^T \mathbf{x} + b = 0$ , is  $b$

3. (2 points) **Select one:** What is the distance from the origin to the line  $\mathbf{w}^T \mathbf{x} + b = 0$ ?

(In the following answers,  $\lambda$  is some constant)

- $\frac{|b|}{\|\mathbf{w}\|}$
- $\frac{|b|}{\mathbf{w}^T \mathbf{w}} \mathbf{w}$
- $\frac{2\lambda}{\mathbf{w}b}$
- $\frac{\|\mathbf{w}\|}{|b|}$

## 7 CS Foundations (14 points)

1. (1 point) **Select one:** If  $f(n) = \ln(n)$  and  $g(n) = \log_3(n)$  which of the following are true?

$f(n) \in O(g(n))$

$g(n) \in O(f(n))$

**Both**

Neither

2. (1 point) **Select one:** If  $f(n) = n^{10}$  and  $g(n) = 10^n$  which of the following are true?

$f(n) \in O(g(n))$

$g(n) \in O(f(n))$

Both

Neither



fig/BritiansRoyalFamily.jpg

Figure 1: Britain's Royal Family

3. (2 points) **Select one:** Using the tree shown in Figure 1, how many nodes would depth-first-search visit in finding Mia Tindall (including her node)? Assuming we search left-to-right and top-down.

- 3
- 12
- 15
- 18



Figure 2: A Binary Tree with indexed nodes

4. (2 points) Figure 2 is a Binary Tree with indexed nodes. Assume root node is node 1. What is the node-visit order of **DFS** and **BFS** of the above Binary Tree?

A depth-first search (DFS) traversal of a binary tree starts with visiting the root node, and recursively searches down the left subtree (i.e., the tree rooted at the left node) before going to search the right subtree (i.e., the tree rooted at the right node) until the traversal is done.

Note: Alternatively, we can also look right subtree before left subtree too, for the question please consider left to right order!

A breadth-first search (BFS) traversal of a binary tree visits every node (assuming a left-to-right order) on a level (with the same distance to the root) before going to a lower level until the traversal is done.

The node-visit order of DFS is:

Your Answer

1,2,3,5,6,4,7,8,9,10

The node-visit order of BFS is:

Your Answer

1,2,7,3,4,8,5,6,9,10

5. (2 points) Fill in the blanks in the pseudo code for key search using recursive depth-first search (DFS) traversal. (*Note: Please put your answer in the boxes below, not on the lines.*)

```
class TreeNode:  
    def __init__(self, val):  
        self.val = val  
        self.leftNode = None  
        self.rightNode = None  
  
    # (a) the left/right node is denoted as  
    #      node.leftNode/node.rightNode  
    # (b) left/right node are of type TreeNode  
    # (c) the value of the node is denoted as node.val  
    # (d) recursive DFS to search for the node  
    #      with value key in a binary tree  
    # (e) the left node is assumed to be searched  
    #      before the right node  
  
def find_val(node, key):  
    if node is None:  
        return None  
  
    if (1):  
        return node  
  
    else:  
        result = (2)  
  
        if result is None:  
            result = (3)  
  
    return (4)
```

Your pseudo code for missing field (1):

Your Answer

node.val==key

Your pseudo code for missing field (2):

Your Answer

findval(node.leftNode, key)

Your pseudo code for missing field (3):

Your Answer

```
findval(node.rightNode, key)
```

Your pseudo code for missing field (4):

Your Answer

```
result
```

**Consider writing a recursive program to solve question 6:**

Lucas numbers are defined as:

$$L_n = \begin{cases} 2 & \text{if } n = 0 \\ 1 & \text{if } n = 1 \\ L_{n-1} + L_{n-2} & \text{if } n > 1 \end{cases}$$

6. (2 points) **Select one:** Which of the following is the numerical value for  $L_{32}$ ?

3010349

3524578

**4870847**

7881196

**Consider the following information to answer questions 7-8:**

Given the functions of computing a fibonacci number:

```
def fib_1(n):
    if n == 0 or n == 1:
        return 1
    return fib_1(n - 1) + fib_1(n - 2)

d = {}
d[0] = 1
d[1] = 1
def fib_2(n):
    if n in d.keys():
        return d[n]
    d[n] = fib_2(n - 1) + fib_2(n - 2)
    return d[n]
```

7. (2 points) **Select one:** Which of the following is the tightest upper bound on the time complexity of computing `fib_1(n)`?

- $O(n)$
- $O(n \log n)$
- $O(2^n)$
- $O(n!)$

8. (2 points) **Select one:** Which of the following is the tightest upper bound on the time complexity of computing `fib_2(n)`?

- $O(n)$
- $O(n \log n)$
- $O(2^n)$
- $O(n!)$

## 9 Collaboration Questions

After you have completed all other components of this assignment, report your answers to these questions regarding the collaboration policy. Details of the policy can be found [here](#).

1. Did you receive any help whatsoever from anyone in solving this assignment? If so, include full details.
2. Did you give any help whatsoever to anyone in solving this assignment? If so, include full details.
3. Did you find or come across code that implements any part of this assignment ? If so, include full details.

Your Answer

1. Yes. Emily Guo,Zun Wang and I discussed the theory behind independence of joint probabilities and linear independence of eigenvectors .
2. Yes. (Same as above)
3. No.