

# Convolutional Networks for CAPTCHA Recognition

## I. Definition

### Project Overview

The CAPTCHA Recognition is inspired by the MNIST/SVHN datasets and the hatefulness of annoying step before logging in or browsing pages. Although this step is for security concern, it is actually not helpful since the spirit of Machine Learning. Lots of websites, including government's sites, still use the CAPTCHAs. This project will reveal that even beginner as I can easily solve CAPTCHAs quickly. It is not only easy for machine to solve, but it annoys human users a lot. Based on the study: "How Good are Humans at Solving CAPTCHAs? A Large Scale Evaluation", it revealed that it is more effective for an attacker to use Mechanical Turk to solve captchas than an underground service.

### Problem Statement

This problem is a classification of letters by computer vision. Use amounts of CAPTCHAs with various letters' fonts as input data. By Convolutional Networks, the CAPTCHAs images can't be correctly predicted. Because the images are formed by numbers 0~9 and letters A~Z, the expected output will be the text of 0~9 and A~Z.

### Metrics

I use the accuracy and ROC curve to measure the performance of my models. Based on the characteristics of this problem, the score of accuracy must be high. After all, in real scenario, there is no partial right. The ROC curve is to evaluate the true positive rate versus false positive rate.

## II. Analysis

### Data Preprocessing and Visualization

The CAPTCHAs data samples are from the <https://captcha.com/captcha-examples.html>. A quantity of samples is 9,000. Every image is formatted with 72x24 pixels and the backgrounds are all white. From an example below, the pixels grouping of white are all the same value, but the black areas are distributed with different values. These characteristics don't affect our following analysis. However, the joint between 'W' and 'J' will be problematic, since the model may consider them as one letter.

There is a simple solution with this problem. We can use the ratio of width versus height to filter this kind of feature. If the ratio is larger than a specific value, we can divide the width into half. Furthermore, the position of numbers and letters are almost at the center of images. Although the vertical position of each number or letter is not the same, the max height and max width of each number or letter are all the same. I can use the characteristic mentioned above to recognize and split the letters.

After I browsed whole datasets, I can sort images into five classes, all letters, all numbers, one number three letters, two numbers two letters and three numbers one letter. The amount of five classes images are almost random and all letters are capital. Except for all numbers and all letters, the sequence of letters and numbers are also random and there are no signs of dominant class; therefore, I can just randomly split the datasets into training/validation/testing.

```
In [93]: from IPython.display import Image
display(
    #Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\2A5R.PNG'),
    Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\XWJE.PNG')
)
```



```
In [91]: import matplotlib.pyplot as plt
```

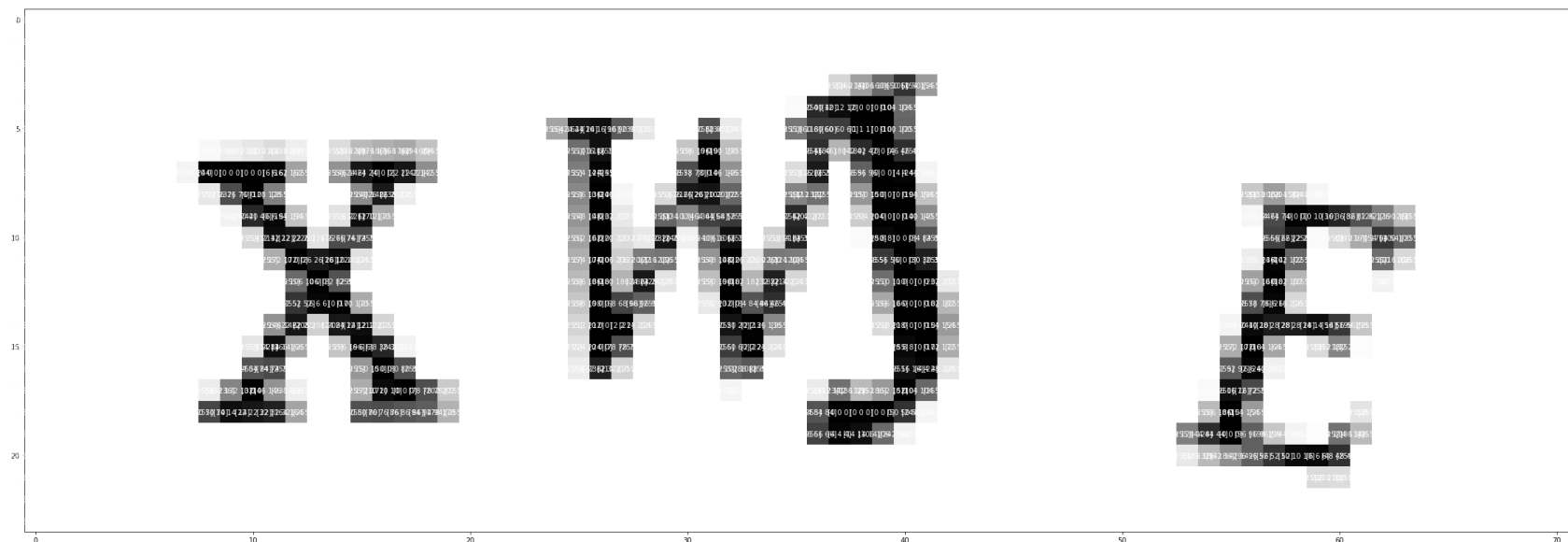
```

%matplotlib inline
import matplotlib.cm as cm
import numpy as np
from PIL import Image
import cv2

image = cv2.imread('C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\XWJE.PNG')
print (image.shape)
print (image.dtype)
fig = plt.figure(figsize = (40,40))
ax = fig.add_subplot(1,1,1)
ax.imshow(image, cmap='gray')
width= image.shape[0]
height = image.shape[1]
thresh = image.max()
print (thresh)
for x in range(width):
    for y in range(height):
        ax.annotate(str(np.round(image[x][y],2)), xy=(y,x),horizontalalignment='center',verticalalignment='center',color='white' if image[x][y].any() < thresh else 'black')

(24, 72, 3)
uint8
255

```



## Algorithms and Techniques

The algorithms I used is CNN and MLP(the benchmark model). I will explain each layer as follow:

### Convolutional layer:

The Convolutional Neural Network(CNN) is structured from Convolutional layer at the first layer. What is Convolutional layer? We can imagine the flash light highlight the left-up corner area of the images pixels. The flash light is called "filter" and the highlight area is called "receptive field". The operation is as below. The filter is a numpy array of weights values and The receptive field is also numpy array. The filter will slide from left-up to right-bottom. Each step dot the weights with pixels to map a new feature. These steps are all summed up then we have new feature map.

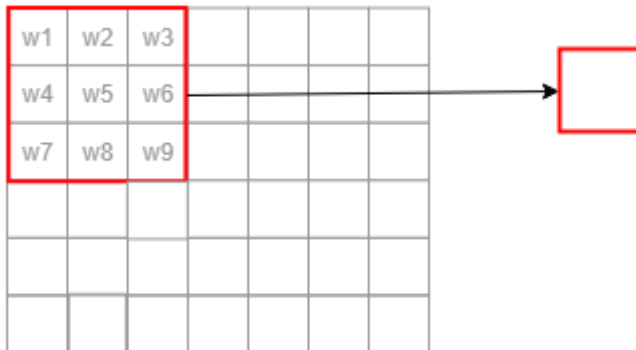
### Fully Connected Layer:

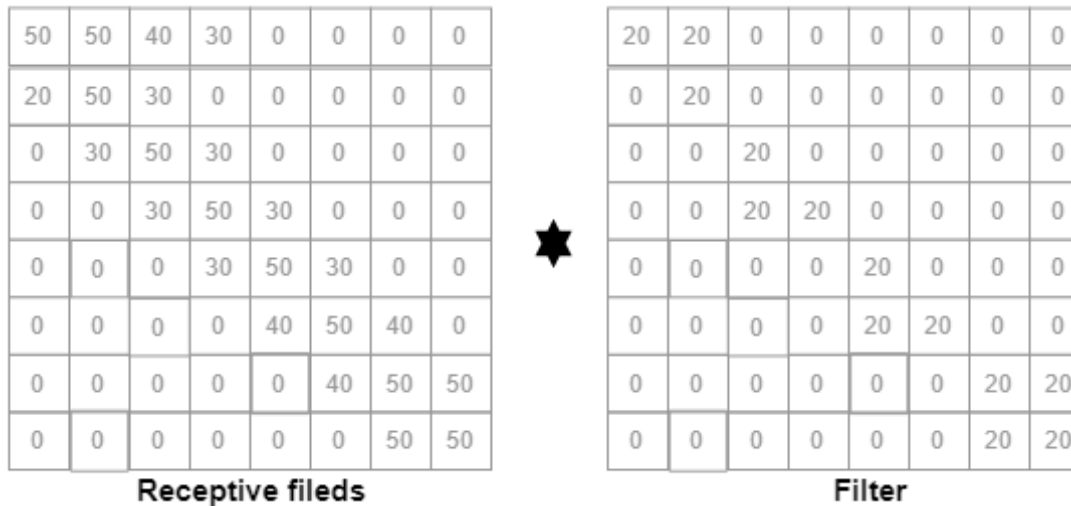
The MLP model is mainly constructed by Fully Connected Layers. we can imagine the filter size is equal the image size. This layer basically takes an N dimensional input images and outputs N dimensional feature map.

### Dropout Layer:

The dropout layer in neural networks is used to deal with the problem of overfitting, the idea is to drop out a random activation set in that layer. it make sure the network is not too fit to trainig dataset.

```
In [104]: from keras.models import Model
from keras.layers import Input, Dense, Conv2D, Dropout, MaxPooling2D
display(
Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\CNN.png'),
Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\CNN1.png')
)
```

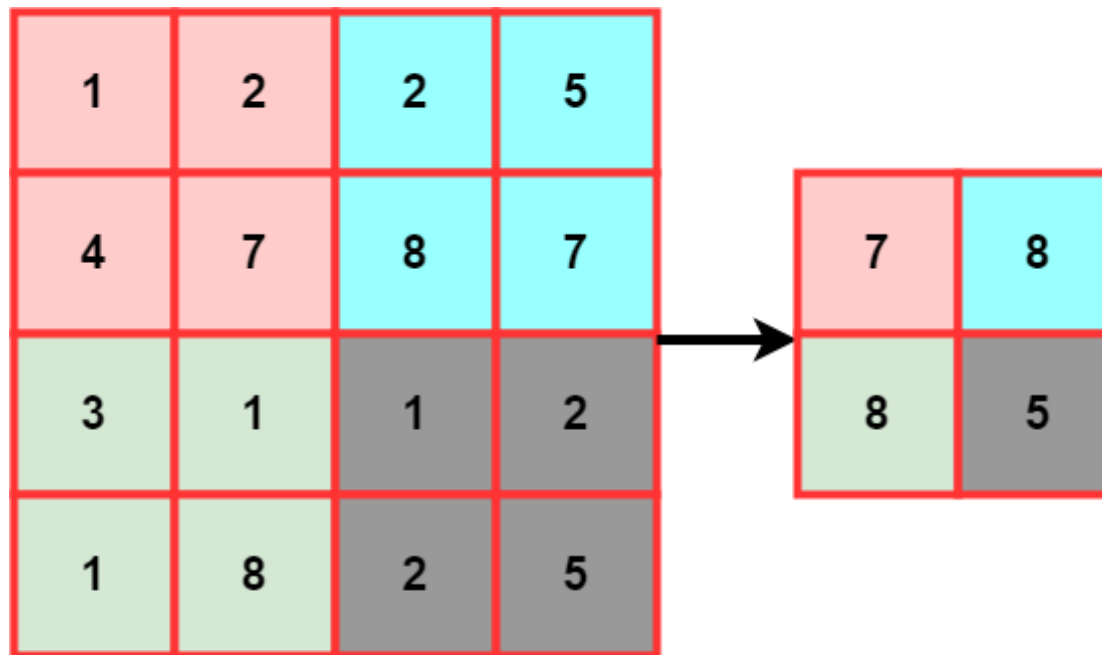




### MaxPooling Layer:

The idea of MaxPooling layer is simple. As we know the specific feature in the original input volume and get a feature map from the convolutional layer. the relative relation between each pixel location is important than the actual location, so it takes a filter with size 2x2 normally and a stride of the same length. Then it applies to the input volume and outputs the maximum number in every subregion that the filter convolves around as below schematic. This layer can reduce the spatial dimension of the input volume and also control overfitting.

```
In [103]: display(
            Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\MaxPool.png')
        )
```



MaxPooling layer

### III. Methodology

#### Data Preprocessing

At the data preprocessing, I use the OpenCV package to deal with my image datasets. First of all, the CPATCHAs images look like gray scale; however, I still convert images to gray scale for safety concern:

```
import cv2
image = cv2.imread(image_file)
image = cv2.cvtColor(image, cv2.COLOR_BGR2GRAY)
```

Because there are still different intense black as Analysis discussed, I need to convert the images to pure black and white.

```
thresh = cv2.threshold(image, 0, 255, cv2.THRESH_BINARY_INV |  
cv2.THRESH_OTSU)[1]
```

After the conversion, it will be easier to find the contours of images. However, as mentioned above, there are joints between letters, so the ratio of width and length of each contour must be examined. If the the ratio is large than 1.25, the contour may contain two letter. Then the width of this contour will be cut to split into half. each letter will be append into a list of "each\_letter\_region".

```
contours = cv2.findContours(thresh.copy(), cv2.RETR_EXTERNAL, cv2.CHAIN_APPROX  
X_SIMPLE)
```

```
each_letter_region = []  
for contour in contours:  
    (x, y, w, h) = cv2.boundingRect(contour)  
    if w / h > 1.25:  
        half_w = int(w / 2)  
        each_letter_region.append((x, y, half_w, h))  
        each_letter_region.append((x + half_w, y, half_w, h))  
    else:  
        each_letter_region.append((x, y, w, h))
```

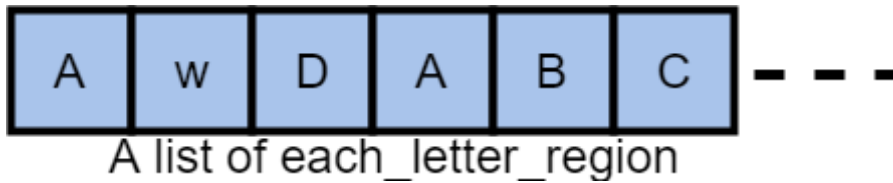
After all letters are split, sort the list of each\_letter\_region based on the x coordinate to make sure left-to-right, so we match the right image with the right letter.

```
each_letter_region = sorted(each_letter_region, key=lambda x: x[0])
```

Finally, save each letter into one image and put same letter into same file. For example the "M" letter as below.



```
In [128]: display(  
    Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\list.png'),  
    Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\M.png')  
)
```



M	M	M	M	M	M	M	M	M	M
000001	000002	000003	000004	000005	000006	000007	000008	000009	000010
M	M	M	M	M	M	M	M	M	M
000011	000012	000013	000014	000015	000016	000017	000018	000019	000020
M	M	M	M	M	M	M	M	M	M
000021	000022	000023	000024	000025	000026	000027	000028	000029	000030
M	M	M	M	M	M	M	M	M	M
000031	000032	000033	000034	000035	000036	000037	000038	000039	000040
M	M	M	M	M	M	M	M	M	M
000041	000042	000043	000044	000045	000046	000047	000048	000049	000050
M	M	M	M	M	M	M	M	M	M
000051	000052	000053	000054	000055	000056	000057	000058	000059	000060
M	M	M	M	M	M	M	M	M	M
000061	000062	000063	000064	000065	000066	000067	000068	000069	000070
M	M	M	M	M	M	M	M	M	M
000071	000072	000073	000074	000075	000076	000077	000078	000079	000080
M	M	M	M	M	M	M	M	M	M
000081	000082	000083	000084	000085	000086	000087	000088	000089	000090
M	M	M	M	M	M	M	M	M	M
000091	000092	000093	000094	000095	000096	000097	000098	000099	000100

## Implementation

I use the Keras to implement my model. For flexible concern, I don't use Sequential Model as usual. I use Model class API to construct both MLP and CNN architectures. Therefore, as mentioned above, I import the core layers I will use in architectures:

```
from keras.models import Model
from keras.layers import Input, Flatten, Dense, Conv2D, Dropout, MaxPooling2D
```

## The benchmark model MLP:

For computation efficiency, as mentioned above, my input volume resize to (25,25,1) and flatten the input size:

```
inp = Input(shape=(25,25,1))
flat = Flatten()(inp)
```

Because the simple complexity of images and the images are preprocessed, I use two fully connected layers with two dropout layers for overfitting prevention. The activation function are ReLU function  $f(x) = \max(0, x)$ , the dimensionality of the output space are 1000 and 512.

```
Dense1 = Dense(1000, activation='relu')(flat)
Drop1 = Dropout(0.2)(Dense1)
Dense2 = Dense(512, activation='relu')(Drop1)
Drop2 = Dropout(0.2)(Dense2)
```

The output layer is still fully connected layer with activation function softmax  $\sigma(\mathbf{z})_j = \frac{e^{z_j}}{\sum_{k=1}^K e^{z_k}}$

```
Dense3 = Dense(32, activation='softmax')(Drop2)
model = Model(inp, Dense3)
```

## The CNN model:

The CNN model I used is constructed by two convolutional layers with two maxpooling layers, and then flatten to one fully connected layer. Firstly, as same as MLP model:

```
inp = Input(shape=(25,25,1))
```

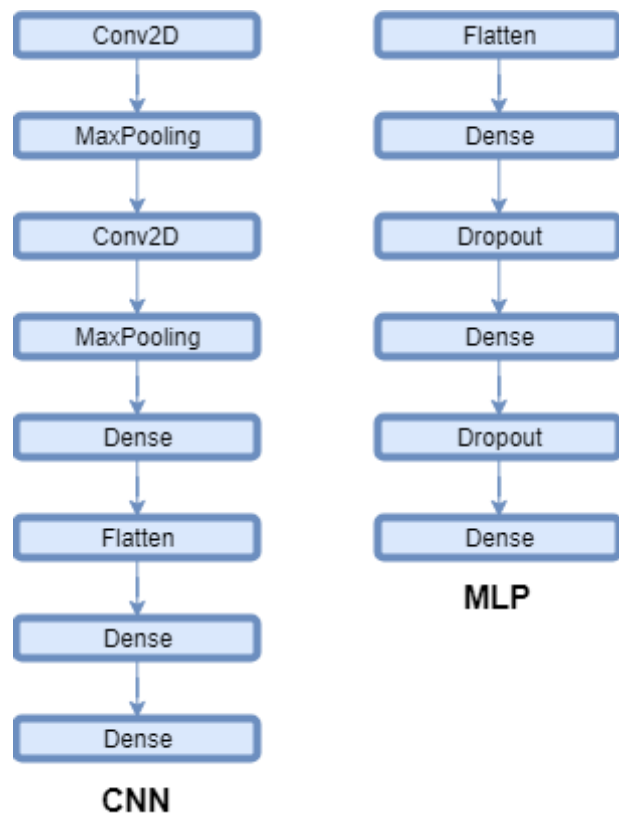
Then, for convolution layers, the parameter padding is "same", which mean that the output as same as the input. The activation function is also the ReLU like MLP above. For the maxpooling layer, the parameters of pool\_size and strides are (2,2) as usual.

```
conv1 = Conv2D(20, (5, 5), padding="same", activation="relu")(inp)
maxpool1 = MaxPooling2D(pool_size=(2, 2), strides=(2, 2))(conv1)
conv2 = Conv2D(50, (5, 5), padding="same", activation="relu")(maxpool1)
maxpool2 = MaxPooling2D(pool_size=(2, 2), strides=(2, 2))(conv2)
```

At the last layer, I expect the outputs distribution of probability of each class. Therefore, I use the Flatten layer to convert the tridimensional tensor into a monodimensional tensor (a vector). Then use two fully connected layers like MLP above. The output activation function is also Softmax, because I want to the distribution of probability of each class.

```
flat = Flatten()(maxpool2)
dense1 = Dense(500, activation="relu")(flat)
dense2 = Dense(32, activation="softmax")(dense1)
model = Model(inp, dense2)
```

```
In [29]: Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\flow diagram (6).png')
```



## IV. Results

### Model Evaluation and Validation

Firstly, from the parameters of MLP and CNN, we can find that total parameters of the MLP are more than the total parameters of the CNN. However, the training times of 5 epochs between them, the MLP is 7.25 mins and the CNN is 17.03 mins. At view of computation efficiency, the process times of the CNN is indeed consumable than the MLP. But, we can see the prediction accuracy between them as below. the CNN is more accurate than the MLP. Compare to loss, the conversion of the CNN is quicker than the MLP. If we prolong the training epochs

of the MLP to 10 steps, we can observe that the loss function is hard to converge, and the accuracy is not improved much.

After training, we save the model parameters and grab some CAPTCHAs from web to see the results. From the result, we can find that the prediction is almost correct. The CNN and MLP models both predict the correct answer.

```
In [135]: from keras.models import load_model
MODEL_FILENAME_CNN = "C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\CAPTCHA\\solving_captchas\\captcha_model_CNN.hdf5"
MODEL_FILENAME_MLP = "C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\CAPTCHA\\solving_captchas\\captcha_model_MLP.hdf5"
model_CNN = load_model(MODEL_FILENAME_CNN)
model_MLP = load_model(MODEL_FILENAME_MLP)
print ("MLP Model")
model_MLP.summary()
print ("\n\nCNN Model")
model_CNN.summary()
```

MLP Model

Layer (type)	Output Shape	Param #
=====		
input_2 (InputLayer)	(None, 25, 25, 1)	0
flatten_2 (Flatten)	(None, 625)	0
dense_3 (Dense)	(None, 1000)	626000
dropout_1 (Dropout)	(None, 1000)	0
dense_4 (Dense)	(None, 512)	512512
dropout_2 (Dropout)	(None, 512)	0

```
dense_5 (Dense)          (None, 32)          16416
=====
Total params: 1,154,928
Trainable params: 1,154,928
Non-trainable params: 0
```

---

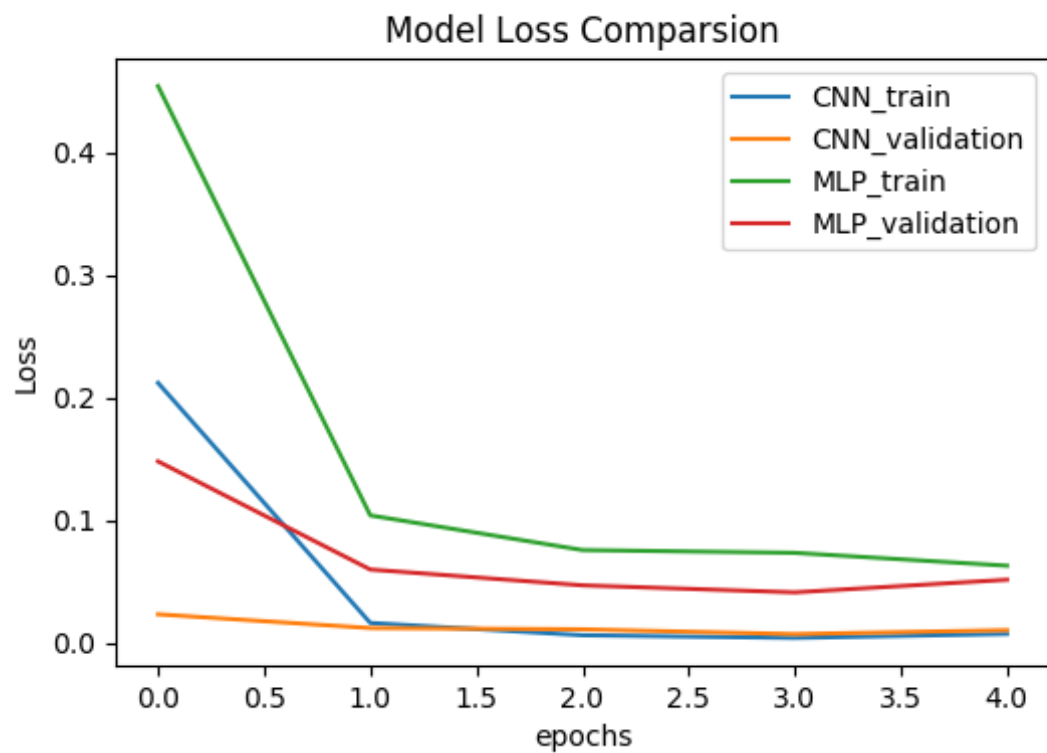
CNN Model

Layer (type)	Output Shape	Param #
input_1 (InputLayer)	(None, 25, 25, 1)	0
conv2d_1 (Conv2D)	(None, 25, 25, 20)	520
max_pooling2d_1 (MaxPooling2D)	(None, 12, 12, 20)	0
conv2d_2 (Conv2D)	(None, 12, 12, 50)	25050
max_pooling2d_2 (MaxPooling2D)	(None, 6, 6, 50)	0
flatten_1 (Flatten)	(None, 1800)	0
dense_1 (Dense)	(None, 500)	900500
dense_2 (Dense)	(None, 32)	16032

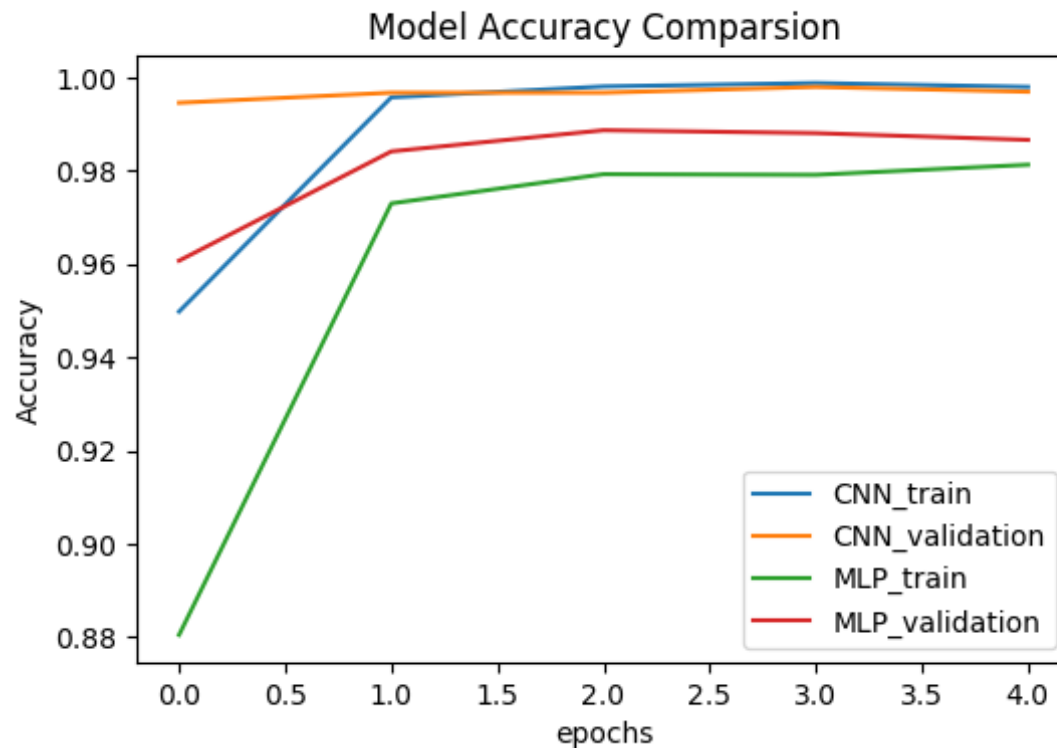
```
=====
Total params: 942,102
Trainable params: 942,102
Non-trainable params: 0
```

---

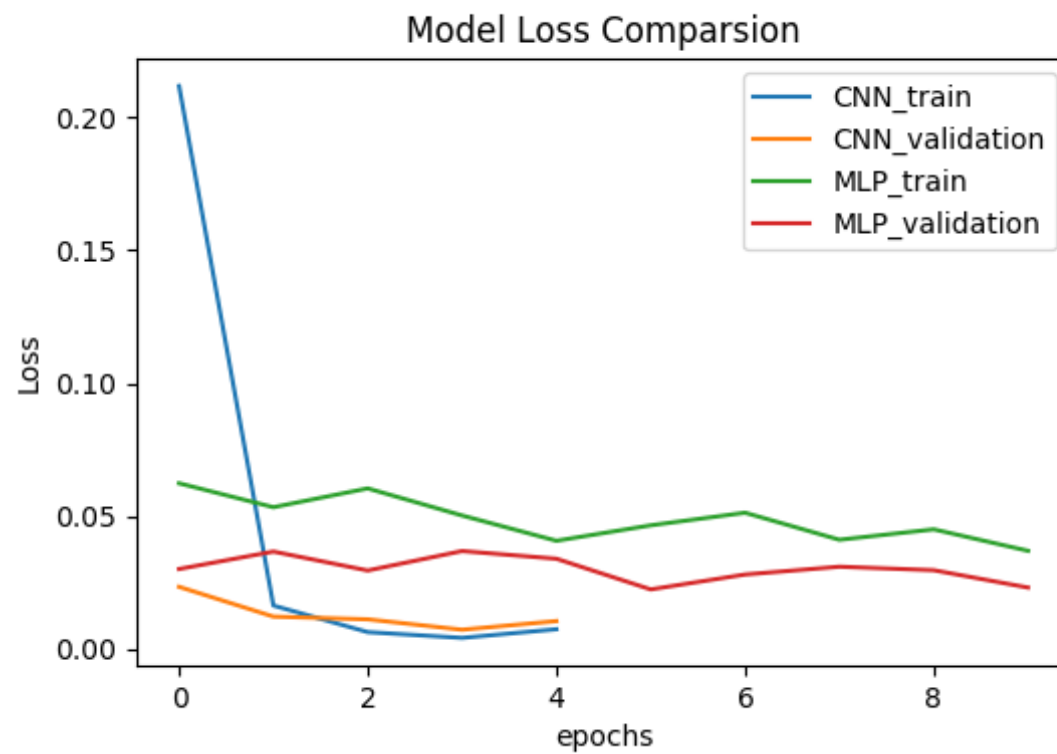
In [134]:

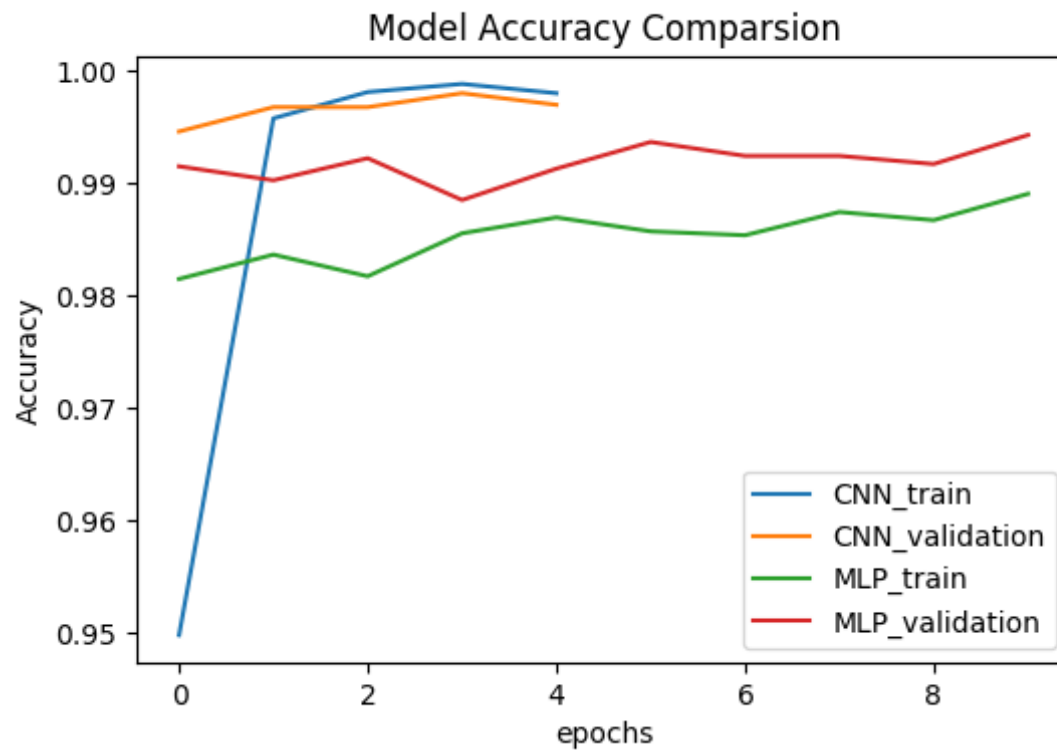




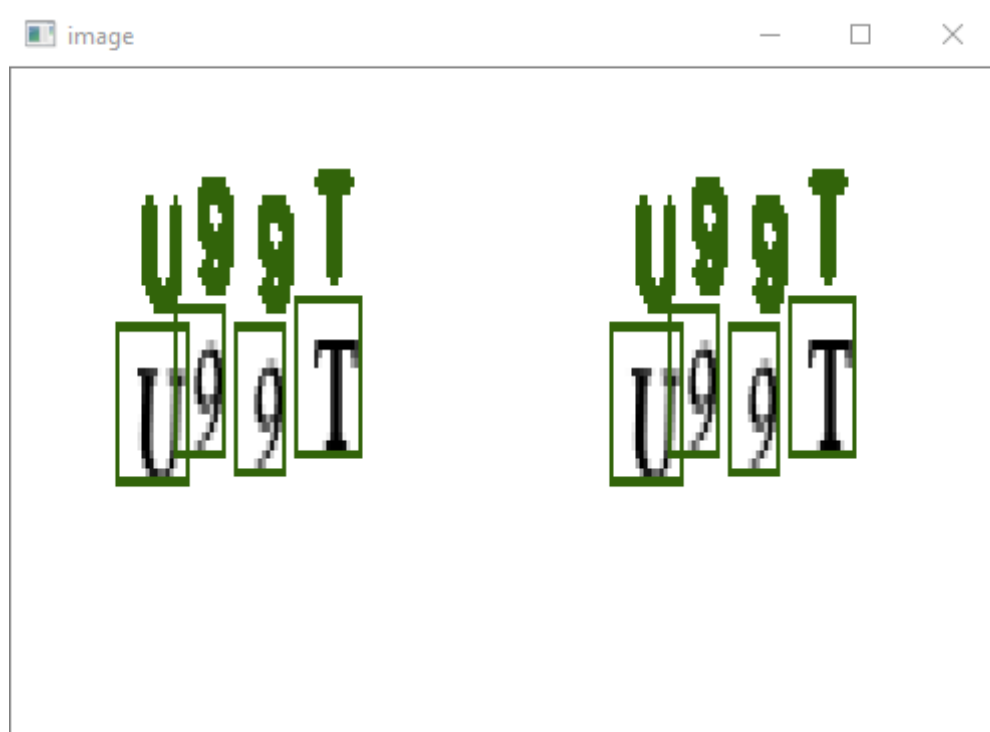


```
In [136]: display(  
    Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\CAPTCHA\\solving_captchas\\loss.png'),  
    Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\CAPTCHA\\solving_captchas\\acc.png')  
)
```





```
In [141]: display(
            Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\result.png'),
            Image(filename = 'C:\\Users\\MLUSER\\Documents\\GitHub\\Udacity\\machine-learning-master\\projects\\capstone\\result1.png')
        )
```





## V. Conclusion

We can observe that the CNN Model is more robust than the MLP. We can conclude several reasons at following:

- The accuracy of the CNN Model is more accurate than the MLP Model; However, from validation view, the prediction results of the MLP and the CNN almost the same. If we plot some black dot in the background of CAPTCHAs image, The models I constructed have difficulty to identify the letters and segment, so there is a lot of space to improve my algorithms. However, based on research of Elie Bursztien et al[1]. The human ability of the segmentation outperform than the computers. If the background clutter consists of shapes similar to letter shapes, and the letters are connected by this clutter, the segmentation becomes nearly impossible with current software. Hence, my statement at the beginning of my proposal is vulnerable. The CAPTCHAs can focus on segmentation to enforce the defense.

**Before submitting your proposal, ask yourself. . .**

- Does the proposal you have written follow a well-organized structure similar to that of the project template?
- Is each section (particularly **Solution Statement** and **Project Design**) written in a clear, concise and specific fashion? Are there any ambiguous terms or phrases that need clarification?
- Would the intended audience of your project be able to understand your proposal?
- Have you properly proofread your proposal to assure there are minimal grammatical and spelling mistakes?
- Are all the resources used for this project correctly cited and referenced?