

1 Generative modelling

Learn  $p_{\text{model}} \approx p_{\text{data}}$ , sample from  $p_{\text{model}}$ .

- Explicit density:
  - Approximate:
    - \* Variational: VAE, Diffusion
    - \* Markov Chain: Boltzmann machine
  - Tractable:
    - \* Autoregressive: FVSBN/NADE/MADE, Pixel(C/R)NN, WaveNet/TCN, Autor. Transf.,
    - \* Normalizing Flows
- Implicit density:
  - Direct: Generative Adversarial Networks
  - MC: Generative Stochastic Networks

Autoencoder:  $X \rightarrow Z \rightarrow X$ ,  $g \circ f \approx \text{id}$ ,  $f$  and  $g$  are NNs. Optimal linear autoencoder is PCA. Undercomplete:  $|Z| < |X|$ , else overcomplete. Overcomp. is for denoising, inpainting. Latent space should be continuous and interpolable. Autoencoder spaces are neither, so they are only good for reconstruction.

2 Variational AutoEncoder (VAE)

Sample  $z$  from prior  $p_\theta(z)$ , to decode use conditional  $p_\theta(x|z)$  defined by a NN.

$D_{\text{KL}}(P||Q) := \int_x p(x) \log \frac{p(x)}{q(x)} dx$ : KL divergence, measure similarity of prob. distr.  $D_{\text{KL}}(P||Q) \neq D_{\text{KL}}(Q||P)$ ,  $D_{\text{KL}}(P||Q) \geq 0$  Likelihood  $p_\theta(x) = \int_z p_\theta(x|z)p_\theta(z)dz$  is hard to max., let enc. NN be  $q_\phi(z|x)$ ,  $\log p_\theta(x^i) = \mathbb{E}_z [\log p_\theta(x^i|z)] - D_{\text{KL}}(q_\phi(z|x^i)||p_\theta(z)) + D_{\text{KL}}(q_\phi(z|x^i)||p_\theta(z|x^i))$ . Red is intractable, use  $\geq 0$  to ignore it; Orange is reconstruction loss, clusters similar samples; Purple makes posterior close to prior, adds cont. and interp. Orange - Purple is ELBO, maximize it.

$x \xrightarrow{\text{enc}} \mu_{z|x}, \Sigma_{z|x} \xrightarrow{\text{sample}} z \xrightarrow{\text{dec}} \mu_{x|z}, \Sigma_{x|z} \xrightarrow{\text{sample}} \hat{x}$  Backprop through sample by reparametr.:  $z = \mu + \sigma \epsilon$ . For inference, use  $\mu$  directly. Disentanglement: features should correspond to distinct factors of variation. Can be done with semi-supervised learning by making  $z$  conditionally independent of given features  $y$ .

2.1  $\beta$ -VAE  $\max_{\theta, \phi} \mathbb{E}_x [\mathbb{E}_{z \sim q_\phi} \log p_\theta(x|z)]$  to disentangle s.t.  $D_{\text{KL}}(q_\phi(z|x)||p_\theta(z)) < \delta$ , with KKT: max Orange -  $\beta$ Purple.

3 Autoregressive generative models

Autoregression: use data from the same input variable at previous time steps Discriminative:  $P(Y|X)$ , generative:  $P(X,Y)$ , maybe with  $Y$  missing. Sequence models are

generative: from  $x_i \dots x_{i+k}$  predict  $x_{i+k+1}$ . Tabular approach:  $p(\mathbf{x}) = \prod_i p(x_i | \mathbf{x}_{<i})$ , needs  $2^{i-1}$  params. Independence assumption is too strong. Let  $p_{\theta_i}(x_i | \mathbf{x}_{<i}) = \text{Bern}(f_i(\mathbf{x}_{<i}))$ , where  $f_i$  is a NN. Fully Visible Sigmoid Belief Networks:  $f_i = \sigma(\alpha_0^{(i)} + \alpha^{(i)} \mathbf{x}_{<i}^T)$ , complexity  $n^2$ , but model is linear.

Neural Autoregressive Density Estimator: add hidden layer.  $\mathbf{h}_i = \sigma(\mathbf{b} + \mathbf{W}_{\cdot, <i} \mathbf{x}_{<i})$ ,  $\hat{x}_i = \sigma(c_i + \mathbf{V}_i \cdot \mathbf{h}_i)$ . Order of  $\mathbf{x}$  can be arbitrary but fixed. Train by max log-likelihood in  $O(TD)$ , can use 2nd order optimizers, can use teacher forcing: feed GT as previous output.

Extensions: Convolutional; Real-valued: conditionals by mixture of gaussians; Order-less and deep: one DNN predicts  $p(x_k | x_{i_1} \dots x_{i_j})$ .

Masked Autoencoder Distribution Estimator: mask out weights s.t. no information flows from  $x_d \dots$  to  $\hat{x}_d$ . Large hidden layers needed. Trains as fast as autoencoders, but sampling needs  $D$  forward passes.

PixelRNN: generate pixels from corner, dependency on previous pixels is by RNN (LSTM). PixelCNN: also from corner, but condition by CNN over context region (perceptive field)  $\Rightarrow$  parallelize. For conditionals use masked convolutions. Channels: model R from context, G from R + cont., B from G + R + cont. Training is parallel, but inference is sequential  $\Rightarrow$  slow. Use conv. stacks to mask correctly.

NLL is a natural metric for autoreg. models, hard to evaluate others.

WaveNet: audio is high-dimensional. Use dilated convolutions to increase perceptive field with multiple layers.

AR does not work for high res images/video, convert the images into a series of tokens with an AE: Vector-quantized VAE. The codebook

is a set of vectors.  $x \xrightarrow{\text{enc}} z \xrightarrow{\text{codebook}} z_q \xrightarrow{\text{dec}} \hat{x}$ . We can run an AR model in the latent space.

3.1 Attention  $\mathbf{x}_t$  is a convex combination of the past steps, with access to all past steps. For  $X \in \mathbb{R}^{T \times D}$ :  $K = XW_K$ ,  $V = XW_V$ ,  $Q = XW_Q$ . Check pairwise similarity between query and keys via dot product: let attention weights be  $\alpha = \text{Softmax}(QK^T/\sqrt{D})$ ,  $\alpha \in \mathbb{R}^{1 \times T}$ . Adding mask  $M$  to avoid looking into the future:

$$X = \text{Softmax} \left( \frac{(XW_Q)(XW_K)^T}{\sqrt{D}} + M \right) (XW_V)$$

Multi-head attn. splits  $W$  into  $h$  heads, then concatenates them. Positional encoding injects information about the position of the token. Attn. is  $O(T^2D)$ .

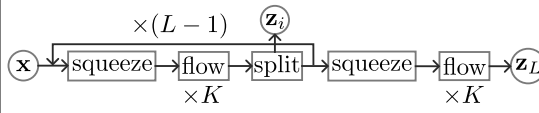
4 Normalizing Flows

VAEs don't have a tractable likelihood, AR models have no latent space. Want both. Change of variable for  $x = f(z)$ :  $p_x(x) = p_z(f^{-1}(x)) \left| \det \frac{\partial f^{-1}(x)}{\partial x} \right| = p_z(f^{-1}(x)) \left| \det \frac{\partial f(z)}{\partial z} \right|^{-1}$ . Map  $Z \rightarrow X$  with a deterministic invertible  $f_\theta$ . This can be a NN, but computing the determinant is  $O(n^3)$ . If the Jacobian is triangular, the determinant is  $O(n)$ . To do this, add a coupling layer:

$$\begin{pmatrix} y^A \\ y^B \end{pmatrix} = \begin{pmatrix} h(x^A, \beta(x^B)) \\ x^B \end{pmatrix}, \text{ where } \beta \text{ is any model, and } h \text{ is elementwise.}$$

$$\begin{pmatrix} x^A \\ x^B \end{pmatrix} = \begin{pmatrix} h^{-1}(y^A, \beta(y^B)) \\ y^B \end{pmatrix}, J = \begin{pmatrix} h' & h'\beta' \\ 0 & 1 \end{pmatrix}$$

Stack these for expressivity,  $f = f_k \circ \dots \circ f_1$ .  $p_x(x) = p_z(f^{-1}(x)) \prod_k \left| \det \frac{\partial f_k^{-1}(x)}{\partial x} \right|$ . Sample  $z \sim p_z$  and get  $x = f(z)$ .



- Squeeze: reshape, increase chan.
  - ActNorm: batchnorm with init. s.t. output  $\sim \mathcal{N}(0, I)$  for first minibatch.  $y_{i,j} = \mathbf{s} \odot \mathbf{x}_{i,j} + \mathbf{b}$ ,  $\mathbf{x}_{i,j} = (y_{i,j} - \mathbf{b})/\mathbf{s}$ ,  $\log \det = H \cdot W \cdot \sum_i \log |\mathbf{s}_i|$ : linear.
  - $1 \times 1$  conv: permutation along channel dim. Init  $\mathbf{W}$  as rand. orthogonal  $\in \mathbb{R}^{C \times C}$  with  $\det \mathbf{W} = 1$ .  $\log \det = H \cdot W \cdot \log |\det \mathbf{W}|$ :  $O(C^3)$ . Faster:  $\mathbf{W} := \mathbf{P}(\mathbf{L} + \text{diag}(\mathbf{s}))$ , where  $\mathbf{P}$  is a random fixed permut. matrix,  $\mathbf{L}$  is lower triang. with 1s on diag.,  $\mathbf{U}$  is upper triang. with 0s on diag.,  $\mathbf{s}$  is a vector. Then  $\log \det = \sum_i \log |\mathbf{s}_i|$ :  $O(C)$
- Conditional coupling: add parameter  $\mathbf{w}$  to  $\beta$ . SRFlow: use flows to generate many high-res images from a low-res one. Adds affine injector between conv. and coupling layers.  $\mathbf{h}^{n+1} = \exp(\beta_{\theta,s}^n(\mathbf{u})) \cdot \mathbf{h}^n + \beta_{\theta,b}(\mathbf{u})$ ,  $\mathbf{h}^n = \exp(-\beta_{\theta,s}^n(\mathbf{u})) \cdot (\mathbf{h}^{n+1} - \beta_{\theta,b}^n(\mathbf{u}))$ ,  $\log \det = \sum_{i,j,k} \beta_{\theta,s}^n(\mathbf{u}_{i,j,k})$ .

StyleFlow: Take StyleGAN and replace the network  $\mathbf{z} \rightarrow \mathbf{w}$  (aux. latent space) with a normalizing flow conditioned on attributes.

C-Flow: condition on other normalizing flows: multimodal flows. Encode original image  $\mathbf{x}_B^1$ :  $\mathbf{z}_B^1 = f_\phi^{-1}(\mathbf{x}_B^1 | \mathbf{x}_A^1)$ ; encode extra info (image, segm. map, etc.)  $\mathbf{x}_A^2$ :  $\mathbf{z}_A^2 = g_\theta^{-1}(\mathbf{x}_A^2)$ ; generate new image  $\mathbf{x}_B^2$ :  $\mathbf{x}_B^2 = f_\phi(\mathbf{z}_B^1 | \mathbf{z}_A^2)$ .

Flows are expensive for training and low res. The latent distr. of a flow needn't be  $\mathcal{N}$ .

5 Generative Adversarial Networks (GANs)

Log-likelihood is not a good metric. We can have high likelihood with poor quality by mixing in noise and not losing much likelihood; or low likelihood with good quality by remembering input data and having sharp peaks there.

Generator  $G : \mathbb{R}^Q \rightarrow \mathbb{R}^D$  maps noise  $z$  to data, discriminator  $D : \mathbb{R}^D \rightarrow [0, 1]$  tries to decide if data is real or fake, receiving both gen. outputs and training data. Train  $D$  for  $k$  steps for each step of  $G$ .

Training GANs is a min-max process, which are hard to optimize.  $V(G, D) = \mathbb{E}_{\mathbf{x} \sim p_d} \log(D(\mathbf{x})) + \mathbb{E}_{\hat{\mathbf{x}} \sim p_m} \log(1 - D(\hat{\mathbf{x}}))$

For  $G$  the opt.  $D^* = p_d(\mathbf{x})/(p_d(\mathbf{x}) + p_m(\mathbf{x}))$ . Jensen-Shannon divergence (symmetric):  $D_{\text{JS}}(p||q) = \frac{1}{2} D_{\text{KL}}(p||\frac{p+q}{2}) + \frac{1}{2} D_{\text{KL}}(q||\frac{p+q}{2})$ . Global minimum of  $D_{\text{JS}}(p_d||p_m)$  is the glob. min. of  $V(G, D)$  and  $V(G, D^*) = -\log(4)$ .

If  $G$  and  $D$  have enough capacity, at each update step  $D$  reaches  $D^*$  and  $p_m$  improves  $V(p_m, D^*) \propto \sup_D \int p_m(\mathbf{x}) \log(-D(\mathbf{x})) d\mathbf{x}$ , then  $p_m \rightarrow p_d$  by convexity of  $V(p_m, D^*)$  wrt.  $p_m$ . These assumptions are too strong.

If  $D$  is too strong,  $G$  has near zero gradients and doesn't learn ( $\log'(1 - D(G(z))) \approx 0$ ). Use gradient ascent on  $\log(D(G(z)))$  instead.

Model collapse:  $G$  only produces one sample or one class of samples. Solution: unrolling - use  $k$  previous  $D$  for each  $G$  update.

DCGAN: pool  $\rightarrow$  strided convolution, batchnorm, no FC, ReLU for  $G$ , LeakyReLU for  $D$ .

Wasserstein GAN: different loss, gradients don't vanish. Adding gradient penalty for  $D$  stabilizes training. Hierarchical GAN: generate low-res image, then high-res during training. StyleGAN: learn intermediate latent space  $\mathcal{W}$  with FCs, batchnorm with scale and mean from  $\mathcal{W}$ , add noise at each layer.

**GAN inversion:** find  $z$  s.t.  $G(z) \approx x \Rightarrow$  manipulate images in latent space, inpainting. If  $G$  predicts image and segmentation mask, we can use inversion to predict mask for any image, even outside the training distribution.

**5.1 3D GANs** 3D GAN: voxels instead of pixels. PlatonicGAN: 2D input, 3D output differentially rendered back to 2D for D.

HoloGAN: 3D GAN + 2D superresolution GAN  
GRAF: radiance fields more effic. than voxels  
GIRAFFE: GRAF + 2D conv. upscale  
EG3D: use 3 2D images from StyleGAN for features, project each 3D point to tri-planes.

**5.2 Image Translation** E.g. sketch  $X \rightarrow$  image  $Y$ . Pix2Pix:  $G : X \rightarrow Y, D : X, Y \rightarrow [0, 1]$ . GAN loss +  $L_1$  loss between sketch and image. Needs pairs for training.

CycleGAN: unpaired. Two GANs  $F : X \rightarrow Y, G : Y \rightarrow X$ , cycle-consistency loss  $F \circ G \approx \text{id}; G \circ F \approx \text{id}$  plus GAN losses for  $F$  and  $G$ .

BicycleGAN: add noise input.

Vid2vid: video translation.

### 6 Diffusion models

High quality generations, better diversity, more stable/scalable.

Diffusion (forward) step  $q$ : adds noise to  $\mathbf{x}_t$  (not learned). Denoising (reverse) step  $p_\theta$ : removes noise from  $\mathbf{x}_t$  (learned).

$$q(\mathbf{x}_t \mid \mathbf{x}_{t-1}) = \mathcal{N}(\sqrt{1 - \beta} \mathbf{x}_{t-1}, \beta \mathbf{I})$$

$$p_\theta(\mathbf{x}_{t-1} \mid \mathbf{x}_t) = \mathcal{N}(\mu_\theta(\mathbf{x}_t, t), \sigma_t^2 \mathbf{I})$$

$\beta_t$  is the variance schedule (monotone  $\uparrow$ ). Let  $\alpha_t \coloneqq 1 - \beta_t, \bar{\alpha}_t \coloneqq \prod \alpha_i$ , then  $q(\mathbf{x}_t \mid \mathbf{x}_0) = \mathcal{N}(\sqrt{\bar{\alpha}_t} \mathbf{x}_0, (1 - \bar{\alpha}_t) \mathbf{I}) \Rightarrow \mathbf{x}_t = \sqrt{\bar{\alpha}_t} \mathbf{x}_0 + \sqrt{1 - \bar{\alpha}_t} \epsilon$ . Denoising is not tractable naively:  $q(\mathbf{x}_{t-1} \mid \mathbf{x}_t) = q(\mathbf{x}_t \mid \mathbf{x}_{t-1})q(\mathbf{x}_{t-1})/q(\mathbf{x}_t)$ ,  $q(\mathbf{x}_t) = \int q(\mathbf{x}_t \mid \mathbf{x}_0)q(\mathbf{x}_0) d\mathbf{x}_0$ .

Conditioning on  $\mathbf{x}_0$  we get a Gaussian. Learn model  $p_\theta(\mathbf{x}_{t-1} \mid \mathbf{x}_t) \approx q(\mathbf{x}_{t-1} \mid \mathbf{x}_t, \mathbf{x}_0)$  by predicting the mean.

$$\begin{aligned} \log p(\mathbf{x}_0) &\geq \mathbb{E}_{q(\mathbf{x}_{1:T} \mid \mathbf{x}_0)} \log \left( \frac{p(\mathbf{x}_{0:T})}{q(\mathbf{x}_{1:T} \mid \mathbf{x}_0)} \right) = \\ &\mathbb{E}_{q(\mathbf{x}_1 \mid \mathbf{x}_0)} \log p_\theta(\mathbf{x}_0 \mid \mathbf{x}_1) - D_{\text{KL}}(q(\mathbf{x}_T \mid \mathbf{x}_0) \parallel p(\mathbf{x}_T)) - \\ &\sum_{t=2}^T \mathbb{E}_{q(\mathbf{x}_t \mid \mathbf{x}_0)} D_{\text{KL}}(q(\mathbf{x}_{t-1} \mid \mathbf{x}_t, \mathbf{x}_0) \parallel p_\theta(\mathbf{x}_{t-1} \mid \mathbf{x}_t)), \end{aligned}$$

where **orange** and **purple** are the same as in VAEs, and **blue** are the extra loss functions. In a sense VAEs are 1-step diffusion models.

$t$ -th denoising is just  $\arg \min_\theta \frac{1}{2\sigma_q^2(t)} \|\mu_\theta - \mu_q\|_2^2$ , so we want  $\mu_\theta(\mathbf{x}_t, t) \approx \mu_q(\mathbf{x}_t, \mathbf{x}_0)$ .  $\mu_q(\mathbf{x}_t, \mathbf{x}_0)$  can be written as  $\frac{1}{\sqrt{\alpha_t}} \mathbf{x}_t - \frac{1 - \alpha_t}{\sqrt{1 - \alpha_t} \sqrt{\alpha_t}} \epsilon_0$ , and

$\mu_\theta(\mathbf{x}_t, t) = \frac{1}{\sqrt{\alpha_t}} \mathbf{x}_t - \frac{1 - \alpha_t}{\sqrt{1 - \alpha_t} \sqrt{\alpha_t}} \hat{\epsilon}_\theta(\mathbf{x}_t, t)$ , so the NN learns to predict the added noise.

Training:  $\text{img } \mathbf{x}_0, t \sim \text{Unif}(1 \dots T), \epsilon \sim \mathcal{N}(0, \mathbf{I})$ ,

GD on  $\nabla_\theta \|\epsilon - \epsilon_\theta(\sqrt{\alpha_t} \mathbf{x}_0 + \sqrt{1 - \alpha_t} \epsilon, t)\|^2$ .

Sampling:  $\mathbf{x}_T \sim \mathcal{N}(0, \mathbf{I})$ , for  $t = T$  downto 1:  $\mathbf{z} \sim \mathcal{N}(0, \mathbf{I})$  if  $t > 1$  else  $\mathbf{z} = 0$ ;

$$\mathbf{x}_{t-1} = \frac{1}{\sqrt{\alpha_t}} (\mathbf{x}_t - \frac{1 - \alpha_t}{\sqrt{1 - \alpha_t}} \epsilon_\theta(\mathbf{x}_t, t)) + \sigma_t \mathbf{z}.$$

$\sigma_t^2 = \beta_t$  in practice.  $t$  can be continuous.

**6.1 Conditional generation** Add input  $y$  to the model.

**ControlNet:** don't retrain model, add layers that add something to block outputs.

**Guidance:** mix predictions of a conditional and unconditional model, because conditional models are not diverse.

**6.2 Latent diffusion models** High-res images are expensive to model. Predict in latent space, decode with a decoder.

### 7 Reinforcement learning

Environment is a Markov Decision Process: states  $S$ , actions  $A$ , reward  $r : S \times A \rightarrow \mathbb{R}$ , transition  $p : S \times A \rightarrow S$ , initial  $s_0 \in S$ , discount factor  $\gamma$ .  $r$  and  $p$  are deterministic, can be a distribution. Learn policy  $\pi : S \rightarrow A$ . Value  $V_\pi : S \rightarrow \mathbb{R}$ , the reward from  $s$  under  $\pi$ . **Bellman eq.:**  $G_t \coloneqq \sum_{k=0}^\infty \gamma^k R_{t+k+1}, v_\pi(s) \coloneqq \mathbb{E}_\pi[G_t \mid S_t = s] = \mathbb{E}_\pi[R_{t+1} + \gamma G_{t+1} \mid S_t = s] = \sum_a \pi(a \mid s) \sum_{s'} \sum_r p(s', r \mid s, a) [r + \gamma \mathbb{E}_\pi[G_{t+1} \mid S_{t+1} = s']] = \sum_a \pi(a \mid s) \sum_{s', r} p(s', r \mid s, a) [r + \gamma v_\pi(s')]$ . Can be solved via dynamic programming (needs knowledge of  $p$ ), Monte-Carlo or Temporal Difference learning.

**7.1 Dynamic programming** Value iteration: compute optimal  $v_*$ , then  $\pi_*$ .

Policy iteration: compute  $v_\pi$  and  $\pi$  together.

For any  $V_\pi$  the greedy policy (optimal) is  $\pi'(s) = \arg \max_{a \in A} (r(s, a) + \gamma V_\pi(p(s, a)))$ .

**Bellman optimality:**  $v_*(s) = \max_a q_*(s, a) = \max_a \sum_{s', r} p(s', r \mid s, a) [r + \gamma v_*(s')] \Rightarrow$  update step:  $V_{\text{new}}^*(s) = \max_{a \in A} (r(s, a) + \gamma V_{\text{old}}^*(s'))$ , when  $V_{\text{old}}^* = V_{\text{new}}^*$ , we have optimal policy.

Converges in finite steps, more efficient than policy iteration. But needs knowledge of  $p$ , iterates over all states and  $\mathcal{O}(|S|)$  memory.

**7.2 Monte Carlo sampling** Sample trajectories, estimate  $v_\pi$  by averaging returns. Doesn't need full  $p$ , is unbiased, but high variance, exploration/exploitation dilemma, may not reach term. state.

**7.3 Temporal Difference learning** For each  $s \rightarrow s'$  by action  $a$  update:  $\Delta V(s) = r(s, a) + \gamma V(s') - V(s)$ .  **$\epsilon$ -greedy policy:** with prob.  $\epsilon$  choose random action, else greedy.

**7.4 Q-learning**  $Q$ -value f.:  $q_\pi(s, a) \coloneqq \mathbb{E}_\pi[G_t \mid S_t = s, A_t = a]$ .

**SARSA** (on-policy): For each  $S \rightarrow S'$  by action  $A$  update:  $\Delta Q(S, A) = r(S, A) + \gamma Q(S', A') - Q(S, A), Q(S, A) += \alpha \Delta Q(S, A), \alpha$  is LR.

**Q-learning** (off-policy/offline):  $\Delta Q(S, A) = R_{t+1} + \gamma \max_a Q(S', a) - Q(S, A)$

All these approaches do not approximate values of states that have not been visited.

**7.5 Deep Q-learning** Use NN to predict  $Q$ -values. Loss is  $(R + \gamma \max_{a'} Q_\theta(S', a') - Q_\theta(S, A))^2$ , backprop only through  $Q_\theta(S, A)$ . Store history in replay buffer, sample from it for training  $\Rightarrow$  no correlation in samples.

**7.6 Deep Q-networks** Encode state to low dimensionality with NN.

**7.7 Policy gradients**  $Q$ -learning does not handle continuous action spaces. Learn a policy directly instead,  $\pi(a_t \mid s_t) = \mathcal{N}(\mu_t, \sigma_t^2 \mid s_t)$ . Sample trajectories:  $p(\tau) = p(s_1, a_1, \dots, s_T, a_T) = p(s_1) \prod \pi(a_t \mid s_t) p(s_{t+1} \mid a_t, s_t)$ . This is on-policy. Eval:  $J(\theta) \coloneqq \mathbb{E}_{\tau \sim p_\theta(\tau)} [\sum_t \gamma^t r(s_t, a_t)]$ . To optimize, need to compute  $\mathbb{E}$  (see proofs).

**REINFORCE:** MC sampling of  $\tau$ . To reduce variance, subtract baseline  $b(s_t)$  from reward.

**7.8 Actor-Critic**  $\nabla_\theta J(\theta) = \frac{1}{N} \sum_i \sum_t \nabla \log \pi_\theta(a_t^i \mid s_t^i) (r(s_t^i, a_t^i) + \gamma V(s_{t+1}^i) - V(s_t^i))$ .  $\pi$  = actor,  $V$  = critic.

**7.9 Motion synthesis** **Data-driven:** bad perf. out of distribution, needs expensive mocap.

**DeepMimic:** RL to imitate reference motions while satisfying task objectives.

**SFV:** use pose estimation: videos  $\rightarrow$  train data.

### 8 Neural Implicit Representations

Voxels/volum. primitives are inefficient (cubic complexity). Meshes have limited granularity and have self-intersections. **Implicit representation:**  $S = \{x \mid f(x) = 0\}$ . Usually represented as signed distance function values on a grid. But this is again cubic. By UAT, approx.  $f$  with NN. **Occupancy networks:** predict probability that point is inside the shape. **DeepSDF:** predict SDF. Both conditioned on input (2D image, class, etc.). Continuous, any topology/resolution, memory-efficient. NFs can model other properties (color, force, etc.).

**8.1 Learning 3D Implicit Shapes** **Inference:** to get a mesh, sample points, predict occupancy/SDF, use marching cubes.

**8.1.1 From watertight meshes** Sample points in space, compute GT occupancy/SDF, CE loss.

**8.1.2 From point clouds** Only have samples on the surface. Weak supervision: loss =  $|f_\theta(x_i)|^2 + \lambda \mathbb{E}_x (\|\nabla_x f_\theta(x)\| - 1)^2$ , edge points should have  $\|\nabla f\| \approx 1$  by def. of SDF,  $f \approx 0$ .

**8.1.3 From images** Need differentiable rendering 3D  $\rightarrow$  2D. **Differentiable Volumetric Rendering:** for a point conditioned on encoded image, predict occupancy  $f(x)$  and RGB color  $c(x)$ . **Forward:** for a pixel, raymarch and root find  $\hat{p} : f(\hat{p}) = 0$  with secant. Set pixel color to  $c(\hat{p})$ . **Backward:** see proofs.

### 8.2 Neural Radiance Fields (NeRF)

$(x, y, z, \theta, \phi) \xrightarrow{\text{NN}} (r, g, b, \sigma)$ . Density is predicted before adding view direction  $\theta, \phi$ , then one layer for color. **Forward:** shoot ray, sample points along it and blend:  $\alpha \coloneqq 1 - \exp(-\sigma_i \delta_i), \delta_i \coloneqq t_{i+1} - t_i, T_i \coloneqq \prod_{j=1}^{i-1} (1 - \alpha_j)$ , color is  $c = \sum_i T_i \alpha_i c_i$ . Optimized on many views of the scene. Can handle transparency/thin structure, but worse geometry. Needs many (50+) views for training, slow rendering for high res, only models static scenes.

**8.2.1 Positional Encoding for High Frequency Details** Replace  $x, y, z$  with positional encoding or random Fourier features. Adds fine details.

**8.2.2 NeRF from sparse views** Regularize geometry and color.

**8.2.3 Fast NeRF render. and train.** Replace deep MLPs with learn. feature hash table + small MLP. For  $x$  interp. features between corners.

**8.3 3D Gaussian Splatting** **Alternative parametr.:** Find a cover of object with primitives, predict inside. Or sphere clouds. Both ineff. for thin structures. Ellipsoids are better. Initialize point cloud randomly or with an approx. reconstruction. Each point has a 3D Gaussian. Use camera params. to project ("splat") Gaussians to 2D and differentially render them. Adaptive density control moves/clones/merges points.

Rasterization: for each pixel sort Gaussians by depth, opacity  $\alpha = o \cdot \exp(-0.5(x - \mu')^\top \Sigma'^{-1} (x - \mu'))$ , rest same as NeRF.

### 9 Parametric body models

**9.1 Pictorial structure** Unary terms and pairwise terms between them with springs.

9.2 Deep features    Direct regression: predict joint coordinates with refinement.  
Heatmaps: predict probability for each pixel, maybe Gaussian. Can do stages sequentially.

10 Proofs

**Policy gradients**  $J(\theta) = \mathbb{E}_{\tau \sim p(\tau)}[r(\tau)] = \int p(\tau)r(\tau)d\tau$ .  
 $\nabla_{\theta}J(\theta) = \int \nabla_{\theta}p(\tau)r(\tau)d\tau = \int p(\tau)\nabla_{\theta} \log p(\tau)r(\tau)d\tau = \mathbb{E}_{\tau \sim p(\tau)}[\nabla_{\theta} \log p(\tau)r(\tau)] = \mathbb{E}_{\tau \sim p(\tau)}[\nabla_{\theta} \log p(\tau)r(\tau)]$ .  
 $\log p(\tau) = \log[p(s_1) \prod \pi_{\theta}(a_t \mid s_t)p(s_{t+1} \mid a_t, s_t)] = 0 + \sum_t \log \pi_{\theta}(a_t \mid s_t) + 0$   
 $\nabla_{\theta}J(\theta) = \mathbb{E}_{\tau \sim p(\tau)}[(\sum_t \nabla \log p_{\theta}(a_t^i \mid s_t^i))(\sum_t \gamma^t r(s_t^i, a_t^i))]$ : **max likelihood**, **trajectory reward** scales the gradient.

**Implicit differentiation**  $\frac{dy}{dx}$  of  $x^2 + y^2 = 1$ :  
 $\frac{d}{dx}(x^2 + y^2) = \frac{d}{dx}(1) \Rightarrow \frac{d}{dx}x^2 + \frac{d}{dx}y^2 = 0 \Rightarrow 2x + (\frac{d}{dy}y^2)\frac{dy}{dx} = 0$   
 $\Rightarrow 2x + 2y\frac{dy}{dx} = 0 \Rightarrow \frac{dy}{dx} = -\frac{x}{y}$

**DVR Backward pass**  $\frac{\partial L}{\partial \theta} = \sum_u \frac{\partial L}{\partial \mathbf{i}_u} \cdot \frac{\partial \mathbf{i}_u}{\partial \theta} \mid \frac{\partial \mathbf{i}_u}{\partial \theta} = \frac{\partial c_{\theta}(\hat{\mathbf{p}})}{\partial \theta} + \frac{\partial t_{\theta}(\hat{\mathbf{p}})}{\partial \hat{\mathbf{p}}} \cdot \frac{\partial \hat{\mathbf{p}}}{\partial \theta}$ .  
Ray  $\hat{\mathbf{p}} = r_0 + \hat{d}\mathbf{w}$ ,  $r_0$  is camera pos.,  $\mathbf{w}$  is ray dir.,  $\hat{d}$  is ray dist.  
Implicit def.:  $f_{\theta}(\hat{\mathbf{p}}) = \tau$ . Diff.:  $\frac{\partial f_{\theta}(\hat{\mathbf{p}})}{\partial \theta} + \frac{\partial f_{\theta}(\hat{\mathbf{p}})}{\partial \hat{\mathbf{p}}} \cdot \frac{\partial \hat{\mathbf{p}}}{\partial \theta} = 0 \Rightarrow \frac{\partial f_{\theta}(\hat{\mathbf{p}})}{\partial \theta} + \frac{\partial f_{\theta}(\hat{\mathbf{p}})}{\partial \hat{\mathbf{p}}} \cdot \mathbf{w} \frac{\partial \hat{d}}{\partial \theta} = 0 \Rightarrow \frac{\partial \hat{\mathbf{p}}}{\partial \theta} = \mathbf{w} \frac{\partial \hat{d}}{\partial \theta} = -\mathbf{w}(\frac{\partial f_{\theta}(\hat{\mathbf{p}})}{\partial \hat{\mathbf{p}}} \cdot \mathbf{w})^{-1} \frac{\partial f_{\theta}(\hat{\mathbf{p}})}{\partial \theta}$

11 Appendix

**Secant Method** Line  $(x_0, f(x_0)) \rightarrow (x_1, f(x_1))$ , approx.:  $y = \frac{f(x_1)-f(x_0)}{x_1-x_0}(x-x_1) + f(x_1)$ ,  $y = 0$  at  $x_2 = x_1 - f(x_1)\frac{x_1-x_0}{f(x_1)-f(x_0)}$ .  
Approximates Newton's method without derivatives.