

STAT 453: Final Exam Study Bank

Exam Policy: Open-notes. NO ELECTRONICS / AI. Printed/handwritten notes allowed; no phones, laptops, tablets, smartwatches, calculators, earbuds, or AI tools; no internet or code execution.

1. True/False — 1 pt each

Statement	Answer (T / F)
1. Discriminative models parameterize and learn $p(y x)$ directly.	T
2. Generative models can sample new x values, but cannot estimate $p(y x)$.	F
3. Generative models are better at small sample sizes, while discriminative models are better at large sample sizes.	T
3. Because ReLU is two linear functions connected, models built with ReLU are always just linear models.	F
4. For generative models, a lower held-out negative log-likelihood (NLL) always implies better perceptual sample quality (e.g., FID).	F
5. Regularization (dropout, weight decay, early stopping) reduces overfitting by trading a bit of bias for lower variance.	T
6. Dropout is active during <i>evaluation</i> (test) mode.	F
7. The ReLU derivative is 0 for negative inputs.	T
8. Since the ReLU derivative is 0 for many values of pre-activation, many variants of the activation function have been developed to have non-zero slope everywhere.	T
9. Normalization doesn't matter for deep neural networks because there are many layers to make up for uncentered features.	F
10. BatchNorm uses running mean/variance at test time to normalize hidden activations.	T
11. Vanilla RNNs suffer from exploding / vanishing gradients because the reward signal must be back-propagated across many steps of multiplication.	T
12. LSTMs improve the exploding / vanishing gradient problem by having two parallel paths for cell state to be updated across steps of the sequence.	T
13. Vanilla RNNs use self-attention for long-range dependencies.	F

Statement (cont.)	Answer (T / F)
14. Because GANs train two coupled models (the discriminator and generator), they tend to be easier to train and less sensitive to hyper-parameter choice than VAEs.	F
15. LLM “pre-training” is based on likelihood of tokens, not truthfulness of response.	T
16. LLM “post-training” uses reward signals that may be very distant from the predictions, leading to heavy reliance on reinforcement learning solutions.	T
17. Reinforcement Learning from Human Feedback (RLHF) almost always reduces hallucination rates because humans value and can evaluate truthfulness.	F
18. The <i>variational</i> in Variational AutoEncoders refers to making multiple predictions per input.	F
19. The VAE ELBO includes a KL-divergence term that pushes $q_\phi(z x)$ toward the prior $p(z)$.	T
20. In DDPMs (diffusion models), the forward process is fixed Gaussian noising; the reverse process is learned.	T
21. Dropping a sensitive feature like ‘race’ from training features guarantees race-invariant predictions from a trained neural network.	F
22. CNNs provide rotation invariance by default without any augmentation or specialized layers.	F
23. Early stopping acts like an implicit regularizer (ridge-like in linear settings).	T
24. Deep learning models tend to be initialized toward more complicated functions, and learn over time to represent simpler functions.	F
25. The choice between discriminative and generative modeling depends on assumptions and prior knowledge (data regime, misspecification risk), not a universal rule.	T
26. The “Attention Is All You Need” paper showed that you do not need transformers, convolutions, or recurrences to build the best deep learning models.	F

2. **Matching – 2 pts each.** Each property is used **exactly once**. Write the **number** of the matching property next to each **algorithm / concept**.

Properties

1. Uses learned *keys* and *queries* to unlock *values* that define weighting.
2. Converges on separable data with a mistake bound depending on the margin.
3. Uses a smooth, differentiable activation that provides usable gradients, enabling gradient-descent training instead of discrete mistake updates.
4. Uses fully parallel sequence processing via attention, allowing direct content-based interactions between any two positions without recurrence.
5. Reduces overconfidence by assigning small probability mass to non-true classes; often improves calibration.
6. Normalizes layer activations using mini-batch statistics and learned scale/shift parameters.
7. Randomly masks activations during training; use inference-time scaling to match expected activations.
8. For a single example, $\nabla_z \ell = \hat{p} - y$ (predicted probs minus one-hot target).
9. Represents prediction penalty under a Normal (Gaussian) distribution of uncertainty.
10. Mitigates exploding gradients by limiting a parameter or gradient norm.

Algorithm / Concept	Property (Number)
1. Rosenblatt's Perceptron with Threshold activation	2
2. Rosenblatt's Perceptron with Sigmoid activation	3
3. Transformer architecture	4
4. Label smoothing	5
5. Batch Normalization	6
6. Dropout	7
7. Softmax + cross-entropy gradient	8
8. Gradient clipping	10
9. Self-attention	1
10. Squared-error loss	9

Multiple Choice – 3 points each subquestion**3. Neural Net History**

- (a) **Rosenblatt's Perceptron.** Which statement is most accurate?
- A. The perceptron converges on any dataset if you train long enough.
 - B. The perceptron implements a nonlinear decision boundary via a sigmoid.
 - C. The perceptron converges on *linearly separable* data; it cannot represent XOR with a single layer.
 - D. The perceptron was introduced alongside backpropagation.
- (b) **Perceptron limitations (Minsky & Papert, 1969).** What was the core critique of Minsky and Papert?
- A. Neural networks cannot be trained with gradient descent.
 - B. Single-layer networks cannot represent certain simple functions (e.g., parity/XOR) without hidden units.
 - C. Multi-layer networks are less expressive than linear models.
 - D. Neural networks require exponential data for linear problems.
- (c) **Logistic regression / sigmoid units (1970s–1980s).** Which statement best distinguishes them from the original perceptron?
- A. Logistic regression uses zero–one loss; perceptron uses cross-entropy.
 - B. Logistic regression/sigmoid neurons optimize a smooth log-likelihood (cross-entropy), enabling gradient-based learning and probabilistic outputs.
 - C. Logistic regression requires labels in $\{-1, +1\}$; perceptron uses $\{0, 1\}$.
 - D. Sigmoid units eliminate the need for hidden layers.
- (d) **Chronology.** Which ordering is *earliest → latest*?
- A. PCA → LeNet → ResNet → Transformer
 - B. Transformer → ResNet → LeNet → PCA
 - C. ResNet → PCA → Transformer → LeNet
 - D. LeNet → PCA → Transformer → ResNet

4. Statistical View of Deep Learning

- (a) **Gradient descent and MLE.** Which statement best explains the connection between MLE and gradient descent?
- A. Gradient descent on any loss is equivalent to MLE.
 - B.** Minimizing the *negative log-likelihood* with (stochastic) gradient descent performs maximum likelihood estimation.
 - C. MLE requires closed-form solutions, so gradient descent is unrelated.
 - D. SGD is biased, so it cannot optimize likelihood-based objectives.
- (b) **Regularization \leftrightarrow MAP.** Which pairing is conceptually correct?
- A.** L2 weight penalty corresponds to a zero-mean Gaussian prior; L1 corresponds to a zero-mean Laplace prior.
 - B. L2 corresponds to a Laplace prior; L1 corresponds to a Gaussian prior.
 - C. Any penalty corresponds to a uniform prior.
 - D. Regularization only changes optimization speed, not the underlying statistical objective.
- (c) **Data augmentation.** What statistical view best captures augmentation?
- A. It increases the number of parameters to fit invariances explicitly.
 - B.** It encodes prior knowledge about $p(y | x)$ as invariances/equivariances, effectively performing MAP estimation.
 - C. It replaces likelihood with a margin loss, so it is non-probabilistic.
 - D. It guarantees calibration by smoothing logits at test time.
- (d) **Early stopping.** Which explanation of early stopping is most accurate?
- A. Early stopping reduces bias by allowing the model to fit noise.
 - B.** Early stopping limits the optimizer from fitting high-frequency/noise components; in linear settings it behaves like ridge (Tikhonov) regularization, improving the bias-variance trade-off.
 - C. Early stopping only changes training time and has no statistical effect.
 - D. Early stopping is equivalent to using a Laplace prior on the parameters.

5. Optimization of Deep Models

- (a) **Why first-order (concept).** Which is the *best* explanation for why deep learning predominantly uses first-order methods (SGD/Adam) rather than second-order (Newton/quasi-Newton) methods?
- A. Most loss functions are convex, so second-order are not needed.
 - B. Computing/storing/inverting (or even multiplying by) Hessians in high dimensions is prohibitively expensive.
 - C. First-order methods tend to converge in fewer iterations (epochs) than second-order methods.
 - D. GPUs cannot compute matrix–vector products with curvature information.
- (b) **Adam vs. SGD-momentum (practice).** Which comparison is most reasonable?
- A. Adam typically excels with sparse/noisy gradients and faster initial convergence; SGD with momentum often yields stronger final generalization when tuned.
 - B. Adam always converges faster and generalizes better than SGD.
 - C. SGD with momentum is strictly better for all NLP tasks.
 - D. Both are equivalent if the learning rate is the same.
- (c) **Warmup & schedules.** Why do large models (e.g., Transformers) often use LR warmup followed by a decay schedule (cosine/linear)?
- A. Warmup guarantees global optimality by avoiding saddle points.
 - B. Early steps stabilize training when parameters/normalization stats are poorly scaled; later decay trades speed for stability and generalization once near a good region.
 - C. Decay increases the effective batch size without changing hardware.
 - D. Warmup is only needed when using SGD but not Adam/AdamW.
- (d) **Gradient clipping.** Which statement is most accurate?
- A. Gradient clipping makes the loss strictly convex, guaranteeing convergence.
 - B. Clipping limits update magnitude to mitigate *exploding* gradients without changing the objective.
 - C. Clipping primarily fixes *vanishing* gradients by amplifying small derivatives.
 - D. Clipping works only with SGD and is incompatible with Adam/AdamW.

6. Normalization and Initialization

- (a) **BatchNorm at test time.** Which statement is correct?
- A. BN recomputes per-batch mean/variance on each single test example.
 - B.** BN uses running (moving) estimates of mean/variance accumulated during training, with learned γ, β .
 - C. BN freezes weights and disables affine parameters at test time.
 - D. BN is identical to LayerNorm at test time.
- (b) **Small-batch finetuning.** Suppose you have a very small batch size (≤ 4). Which practice is *most* appropriate?
- A. Keep BN in training mode so running stats continue to adapt on tiny batches.
 - B.** Freeze BN (eval mode using stored running stats) or replace with GroupNorm/LayerNorm to avoid noisy batch statistics.
 - C. Increase learning rate so BN statistics track faster.
 - D. Remove all normalization layers; initialization alone will suffice for stability.

7. Discriminative vs. Generative Models

- (a) Which statement best characterizes *discriminative* vs. *generative* models?
- A.** Discriminative models learn $p(y | x)$; generative models learn $p(x, y)$ (or $p(x | y)p(y)$).
 - B. Discriminative models learn $p(x)$; generative models learn $p(y | x)$.
 - C. Discriminative models simulate data; generative models cannot.
 - D. Discriminative models require stronger distributional assumptions than generative models.
- (b) Which pair is a correct example of (discriminative, generative), respectively?
- A.** (Logistic regression, Naïve Bayes)
 - B. (K-means, Softmax regression)
 - C. (PCA, Kernel SVM)
 - D. (GAN, Linear SVM)
- (c) In the low-data regime, which model often achieves lower error sooner *and why*?
- A.** Naïve Bayes, due to stronger modeling assumptions that reduce variance.
 - B. Logistic regression, because it has strictly fewer parameters than Naïve Bayes.
 - C. Logistic regression, because MLE is unbiased for all sample sizes.
 - D. Naïve Bayes, because it maximizes the margin between classes.

(d) Which trade-off most directly explains the previous answer?

- A Bias-variance trade-off.
- B Exploration-exploitation trade-off.
- C Precision-recall trade-off.
- D Depth-width trade-off.

8. Practical Scenarios

(a) **Video age-up filter (architecture).** You need a filter that makes people in a *video* look 50 years older while preserving identity and temporal consistency. Which setup is most appropriate?

- A An image-only style transfer network applied frame-by-frame with no temporal constraints.
- B A conditional ResNet classifier fine-tuned to predict age and then “invert” its logits to edit pixels.
- C A conditional generative model (e.g., conditional diffusion or cGAN) with a *video-aware* backbone (3D U-Net / temporal attention) and identity/temporal consistency losses.
- D A k-means clustering of pixel colors followed by histogram equalization.

(b) **Video age-up training (data/objective).** Paired “same person now vs. +50 years later” videos are *not* available. What is a reasonable training strategy?

- A Supervised L2 loss between input and target frames using random elderly stock footage as targets.
- B Unpaired translation or conditional generation with age conditioning (e.g., latent diffusion with age embeddings) plus identity loss (face-embedding consistency) and temporal consistency losses (e.g., optical flow / warping).
- C Train a face detector and use its bounding boxes as the supervision signal for aging.
- D Freeze a pre-trained classifier and fine-tune only BatchNorm statistics on elderly data.

(c) **Invariant predictions.** Stakeholders want predictions of a model to be *invariant to race*. You have access to race data, and you suspect proxies (variables correlated with race) exist in X . Which approach best targets the goal of having a predictive model invariant to race?

- A Drop the race column from X and proceed normally.
- B In-processing *adversarial debiasing*: learn representations/predictions while an adversary (via gradient reversal) tries to recover race from the representation or logits; update to remove recoverable race signal.

- C. Post-processing: calibrate probabilities on a validation set without using race.
 - D. Over-sample the minority racial group until classes are balanced.
- (d) **Auditing via a GAN-style adversary.** You trained with adversarial debiasing. How can you *test* if race information still leaks from the learned representation $h(x)$ using only concepts covered in class?
- A. Compute overall ROC–AUC; if high, leakage is impossible.
 - B. Train a small *auxiliary discriminator* to predict race from $h(x)$ on a held-out set; high accuracy indicates residual leakage (mirrors the GAN discriminator idea).
 - C. Apply temperature scaling on logits until race cannot be predicted.
 - D. Add more weight decay and re-train the main model.

9. Diffusion Models

- (a) What is the core idea behind diffusion (score-based) generative models?
- A. Define a fixed forward noising process that gradually destroys structure, then *learn the reverse denoising process* (often by predicting noise or the score $\nabla_x \log q(x_t)$) to iteratively transform Gaussian noise back into data samples.
 - B. Train a discriminator to classify real vs. fake images and update a generator to fool it in a single step.
 - C. Autoregressively predict the next token/pixel given the previous ones to sample in one left-to-right pass.
 - D. Encode data to a latent with a deterministic encoder and decode it back by minimizing only reconstruction loss.
- (b) **Forward and reverse processes — choose one.** Which statement best describes the DDPM formulation?
- A. A fixed forward *Gaussian* Markov chain adds noise with schedule $\{\beta_t\}$ (so $q(x_t|x_0) = \mathcal{N}(\sqrt{\bar{\alpha}_t}x_0, (1 - \bar{\alpha}_t)I)$), and a learned reverse process models $p_\theta(x_{t-1}|x_t)$ —often by predicting the added noise $\epsilon_\theta(x_t, t)$ to form the mean.
 - B. The forward process is learned, while the reverse is a known linear-Gaussian kernel requiring no training.
 - C. Both forward and reverse processes are deterministic; noise is used only for data augmentation.
 - D. The reverse conditional $p_\theta(x_{t-1}|x_t)$ is independent of timestep t once training converges.
- (c) **Why predict noise ϵ instead of x_0 directly?**

- A. It yields a better-conditioned training signal across timesteps and aligns with denoising score matching (learning the score of $q(x_t)$).
- B. It removes the need for a variance schedule and makes sampling deterministic.
- C. It halves the number of sampling steps required at inference.
- D. It guarantees lower FID than any x_0 -prediction parameterization for fixed compute.

10. CNNs

- (a) **Convolutions vs. fully-connected.** Which is *not* a core benefit of convolutions for images?
- A. Parameter sharing across spatial locations
- B. Translation equivariance
- C. Local receptive fields
- D. Guaranteed rotation invariance without data augmentation
- (b) **Receptive field.** Which change generally *increases* the effective receptive field *without* adding parameters?
- A. Increasing kernel size from 3×3 to 5×5
- B. Using dilation (atrous) in convolutions
- C. Adding a 1×1 convolution
- D. Removing striding
- (c) **Padding/stride.** A 3×3 conv with stride 2 and “valid” padding on a 32×32 feature map (assume just 1 input channel) outputs:
- A. 32×32
- B. 16×16
- C. 15×15
- D. 14×14

11. Autoencoders & Variational Autoencoders (VAEs)

- (a) **Bottleneck.** Which statement best explains the purpose of a “bottleneck” (low-dimensional z) in standard autoencoders?
- To guarantee perfect reconstruction on any dataset.
 - To make the decoder linear so training is convex.
 - To prevent a trivial identity mapping and force the model to learn a compressed, informative representation that generalizes.
 - To eliminate the need for regularization or early stopping.
- (b) **Vanilla AE vs. VAE.** Which description is most accurate?
- Both use a deterministic encoder $z = f_\phi(x)$ and minimize only pixel MSE.
 - A vanilla AE learns a deterministic code and minimizes reconstruction loss; a VAE posits a *probabilistic* encoder $q_\phi(z|x)$ and decoder $p_\theta(x|z)$ with a prior $p(z)$, trained by maximizing an ELBO (reconstruction term + KL to the prior).
 - A VAE removes the decoder and replaces it with a discriminator.
 - The only difference is that VAEs always use larger latent dimensionality.
- (c) **ELBO (objective).** Which is the standard ELBO for a VAE with prior $p(z)$, decoder $p_\theta(x|z)$, and encoder $q_\phi(z|x)$?
- $\mathbb{E}_{p_{\text{data}}(x)} [\log p_\theta(x)]$
 - $\mathbb{E}_{q_\phi(z)} [\log p_\theta(x|z)] - \text{KL}(q_\phi(z) \| p(z))$
 - $\mathbb{E}_{q_\phi(z|x)} [\log p_\theta(x|z)] - \text{KL}(q_\phi(z|x) \| p(z))$
 - $-\text{KL}(p_\theta(x|z) \| q_\phi(z|x))$
- (d) **Posterior collapse — choose one.** Which intervention is most appropriate when $q_\phi(z|x)$ ignores x (the decoder does all the work)?
- Apply *KL annealing / warm-up*, gradually increasing the KL weight so the encoder carries information before matching the prior strongly.
 - Increase β (β -VAE with $\beta > 1$) to push $q_\phi(z|x)$ toward the prior more aggressively.
 - Make the decoder more expressive and the encoder weaker to ease optimization.
 - Increase decoder capacity and remove input noise/dropout to improve reconstruction fidelity.

12. Sequence Models: RNNs → Attention

(a) **Limitation of vanilla RNNs on long sequences.** Which statement best captures the limitation and how attention addresses it?

- A. RNNs overfit small datasets; attention reduces parameters via weight sharing.
- B. RNNs cannot model sequences longer than 512; attention extends the maximum length.
- C. RNNs suffer vanishing/attenuated gradients over long dependencies; attention creates direct, weighted connections between distant tokens and enables parallel computation.
- D. RNNs require teacher forcing; attention removes exposure bias entirely.

(b) **Scaled dot-product attention.** Which option gives the correct formula and role of the $1/\sqrt{d_k}$ factor?

- A. $\text{softmax}(QK^\top)V$; the scale increases gradient magnitude for faster training.
- B. $\text{softmax}\left(\frac{QK^\top}{\sqrt{d_k}}\right)V$; the scale keeps logits in a reasonable range as d_k grows, stabilizing the softmax and its gradients.
- C. $\text{softmax}\left(\frac{KV^\top}{\sqrt{d_k}}\right)Q$; the scale prevents overfitting by shrinking parameters.
- D. $\text{softmax}\left(\frac{QK}{d_k}\right)V$; the scale normalizes by sequence length.

(c) **Scaling to LLMs — choose one.** Which set of architectural features best explains Transformer scalability?

- A. Residual (skip) connections, multi-head attention, and layer normalization.
- B. Batch Normalization in every sublayer, multi-head attention, and residual connections.
- C. Residual connections, sparse MoE, and layer normalization were all part of the original Transformer blocks.
- D. Multi-head attention alone; normalization and residuals are not needed for deep scaling.

13. GANs

- (a) **Vanilla GAN objective (Goodfellow et al., 2014).** Which expression is the correct minimax objective?

- A. $\min_G \max_D \left[\mathbb{E}_{x \sim p_{\text{data}}} \log D(x) + \mathbb{E}_{z \sim p(z)} \log (1 - D(G(z))) \right]$
- B. $\min_G \mathbb{E}_{z \sim p(z)} [-\log D(G(z))]$
- C. $\min_G \max_D \left[\mathbb{E}_{x \sim p_{\text{data}}} D(x) - \mathbb{E}_{z \sim p(z)} D(G(z)) \right]$
- D. $\min_G \max_D \left[\|\phi(x) - \phi(G(z))\|_2^2 \right]$

- (b) **Failures and mitigations.** Which pairing is *most* correct?

- A. Mode collapse \rightarrow mini-batch discrimination or feature matching can encourage sample diversity.
- B. Vanishing generator gradients \rightarrow use the minimax (saturating) loss $\log(1 - D(G(z)))$ for G .
- C. Lipschitz issues \rightarrow remove all normalization layers from both G and D to stabilize dynamics.
- D. Overpowerful discriminator early \rightarrow increase D updates per G step and remove label smoothing.

- (c) In the *non-saturating* GAN formulation, which generator objective is used to mitigate vanishing gradients early in training?

- A. $\min_G \mathbb{E}_{z \sim p(z)} [-\log D(G(z))]$
- B. $\min_G \mathbb{E}_{z \sim p(z)} [\log(1 - D(G(z)))]$
- C. $\min_G \mathbb{E}_{z \sim p(z)} [-D(G(z))]$
- D. $\min_G \|\mathbb{E}_{x \sim p_{\text{data}}} \phi(x) - \mathbb{E}_z \phi(G(z))\|_2^2$

14. LLM Pretraining and Tokenization

- (a) **Objective.** What is the standard unsupervised pretraining objective for decoder-only LLMs?
- A. Masked language modeling (random token masking)
 - B. Next-sentence prediction
 - C. Next-token prediction with causal masking, trained by cross-entropy (MLE)
 - D. Denoising autoencoding of shuffled spans only
- (b) **Why subword tokenization?**
- A. It guarantees perfect word segmentation for all languages.
 - B. It balances vocabulary size and sequence length, handles rare/novel words by composing from frequent subunits, and captures morphemes.
 - C. It eliminates the need for embeddings.
 - D. It makes training objective convex.
- (c) **Training stability/efficiency.** Which practice bundle is most appropriate for large-scale pretraining?
- A. Learning-rate warmup then decay schedule (e.g., cosine), mixed-precision training (FP16/BF16), and gradient clipping.
 - B. Large constant learning rate with no decay, full precision only, and no clipping.
 - C. Warmup only (no decay), switch to full precision for stability, and increase batch size aggressively without tuning LR.
 - D. Cosine decay only (no warmup), disable clipping, and use per-parameter learning rates instead of a schedule.

15. LLM

- (a) **Motivation.** Why use parameter-efficient fine-tuning (PEFT) methods like LoRA/adapters?
- A. They avoid backpropagation entirely
 - B. They reduce trainable parameters and memory/IO, enabling finetuning large models on modest hardware
 - C. They improve zero-shot accuracy without any finetuning data
 - D. They permanently change the base model weights during training
- (b) **LoRA vs. full finetune.** Which statement is accurate?
- A. LoRA inserts trainable low-rank matrices into certain weight paths; at inference these can be merged with base weights
 - B. LoRA adds full-rank matrices to every layer norm
 - C. LoRA requires updating all original parameters with a smaller learning rate
 - D. LoRA prevents multi-task finetuning because adapters cannot be swapped
- (c) **SFT vs. RLHF.** Which description is most accurate?
- A. SFT learns from preference comparisons; RLHF learns from labeled input–output pairs.
 - B. Both SFT and RLHF optimize the same cross-entropy on the same data.
 - C. SFT fine-tunes on paired demonstrations (inputs → target outputs); RLHF optimizes a policy using a learned reward model fit to human preferences.
 - D. RLHF is just weight decay applied after SFT.
- (d) **Shift risk & evaluation.** Which pairing correctly states a risk under distribution shift *and* a reasonable evaluation?
- A. Risk: catastrophic forgetting; Eval: measure bits-per-byte on the pre-training corpus.
 - B. Risk: reward hacking/specification gaming; Eval: held-out domain preference tests and red-teaming for unintended behaviors.
 - C. Risk: memorize users' prompts; Eval: increase context window.
 - D. Risk: mode collapse; Eval: FID on image samples.

Short Answer – 5 points each**16. Discriminative vs. Generative**

- (a) You train logistic regression for $p_\theta(y | x)$ and a Naïve Bayes model with class-conditional Gaussians. In the low-data regime, which would you expect to reach lower error sooner and why?
- (b) For deep generative models, does the above argument still hold? Why or why not?