

# Advanced Machine Learning

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## 1 Exercise 1

Give an example of a finite hypothesis class  $H$  with  $\text{VCdim}(H) = 2021$ . Justify your choice.

Solution:

We will prove a more general fact, namely that the infinite class of all homogeneous linear halfspaces classifiers in  $\mathbb{R}^d$  has a VC dimension of  $d$ . Denote this class by  $H_d$ ,  $d \in \mathbb{N}_{>0}$ .

$$H_d = \{h_w : \mathbb{R}^d \rightarrow \{-1, 1\} | w \in \mathbb{R}^d\}, \text{ where } h_w(x) = \begin{cases} 1, & \text{if } w^T * x \geq 0 \\ -1, & \text{if } w^T * x < 0 \end{cases}$$

We will then choose only a finite subset from  $H_{2021}$  that contains exactly  $2^{2021}$  functions from  $H$  to solve the exercise.

There are 2 steps to complete the proof:

i) Find a set of  $d$  points in  $\mathbb{R}^d$  that can be shattered by  $H_d$ . We can choose the set  $S$  of standard unit vectors  $S = \{e_0, \dots, e_{d-1}\}$ . Arranging these points in a matrix form (each row represents the coordinates of a point), call it  $A$ , we have that  $A = I_{2021}$ , so we need to find  $2^d$  column vectors  $Y = \{y_0, \dots, y_{2^d-1}\}$  such that each entry is either positive or negative (it does not matter which numbers are as long as these vectors are not equals when applying the sign

function:  $\text{sign}(x) = \begin{cases} 1, & \text{if } x \geq 0 \\ -1, & \text{if } x < 0 \end{cases}$ ), as well as  $2^d$  column vectors  $w_0, \dots, w_{2^d-1} \in$

$\mathbb{R}^d$  such that  $Aw_i = y_i, i \in \{0, \dots, 2^d - 1\}$ . But since  $A = I_{2021}$  and  $h_w(A) = \text{sign}(Aw) \rightarrow h_w(A) = \text{sign}(w)$ , for all  $w \in \mathbb{R}^d$ , we can just choose  $w_i = y_i \in \{-1, 1\}^d$ . This shows that these  $d$  points are shattered by  $H_d$ .

ii) Prove that no set of  $d + 1$  points in  $\mathbb{R}^d$  can be shattered by  $H_d$ . Again, order each point as a row in a matrix called  $A$ . Since there are  $d + 1$ , it means that at least one row is a linear combination of the others. WLOG, assume  $r_d = a_0 r_0 + \dots + a_{d-1} r_{d-1}, a_i \in \mathbb{R}$ , with  $|a_0| + \dots + |a_{d-1}| \neq 0$ . Then,

$$Aw = \begin{bmatrix} r_0 w \\ r_1 w \\ \vdots \\ r_{d-1} w \\ a_0 r_0 w + \dots + a_{d-1} r_{d-1} w \end{bmatrix}. \text{ In this case, the labeling } Y = \begin{bmatrix} \text{sign}(a_0) \\ \text{sign}(a_1) \\ \vdots \\ \text{sign}(a_{d-1}) \\ -1 \end{bmatrix}$$

would not be possible, since the first  $d$  conditions from  $Y$  imply that  $a_0 r_0 w + \dots + a_{d-1} r_{d-1} w \geq 0$ , or equivalently  $\text{sign}(a_0 r_0 w + \dots + a_{d-1} r_{d-1} w) = 1$  (each term of the summation is positive). This means that the set cannot be shattered by  $H$ .

For our case: Since we are extracting a subset  $H_{small}$  from the  $H_{2021}$ , we know that  $\text{VCdim}(H_{small}) \leq \text{VCdim}(H_{2021}) = 2021$  (1). It remains to select 2021 points  $S = \{e_0, \dots, e_{2020}\}$  consisting of the standard unit vectors and order them as before in a matrix  $A = I_{2021}$  (each row represent a point from

the set we are trying to shatter) and  $H_{small} = \{h_w \in H_{2021} | w \in \left\{ \begin{bmatrix} \pm 1 \\ \pm 1 \\ \vdots \\ \pm 1 \end{bmatrix} \right\} =$

$\{-1, 1\}^{2021}$  (finite, since it has exactly  $2^{2021}$  classifiers). Since the set of pos-

sible labels is  $L = \left\{ \begin{bmatrix} \pm 1 \\ \pm 1 \\ \vdots \\ \pm 1 \end{bmatrix} \right\}$ ,  $A = I_{2021}$  and  $h_w(A) = \text{sign}(Aw) \rightarrow h_w(A) =$

$\text{sign}(w)$ , for all  $w \in \mathbb{R}^d$ , and  $w$  ranges from  $\{-1, 1\}^{2021}$  we obtain  $H_{small}$  shatters the points that  $A$  represents, resulting that  $\text{VCdim}(H_{small}) \geq 2021$  (2). Combining (1) and (2) gives us  $\text{VCdim}(H_{small}) = 2021$ , as desired.

Another example: One could choose any finite set  $|X| = 2021$  and define  $H = \{f | f \in \{0, 1\}^X\}$  the set of all possible functions  $f : X \rightarrow \{0, 1\}$  (obviously,  $|H| = 2^X$  which is finite). Now, since  $X$  is shattered by  $H$  by definition (containing all the possible mappings), and since  $X$  is the domain of these functions (no larger set can be chosen), it follows that  $\text{VCdim}(H) = 2021$ , as required. If we want the domain to be infinite as well, just add an infinite number of points and extend each  $f \in H$  to label these new points as 0. Of course,  $|X| = 2021$  is still shattered by  $H$ , but no set that contains any new points can be shattered (as there is no  $f \in H$  that will label them as 1). Again, it follows that  $\text{VCdim}(H) = 2021$ .

## 2 Exercise 2

Consider  $H_{balls}$  to be the set of all balls in  $\mathbb{R}^2$ :  $H_{balls} = \{B(x, r), x \in \mathbb{R}^2, r \geq 0\}$ , where  $B(x, r) = \{y \in \mathbb{R}^2 | \|y - x\|_2 \leq r\}$ . As mentioned in the lecture, we can also view  $H_{balls}$  as the set of indicator functions of the balls  $B(x, r)$  in the plane:  $H_{balls} = \{h_{x,r} : \mathbb{R}^2 \rightarrow \{0, 1\}, h_{x,r} = 1_{B(x,r)}, x \in \mathbb{R}^2, r > 0\}$ . Can you give an example of a set  $A$  in  $\mathbb{R}^2$  of size 4 that is shattered by  $H_{balls}$ ? Give such an example or justify why you cannot find a set  $A$  of size 4 shattered by  $H_{balls}$ .

Solution:

We will prove that there are no four points that could be shattered by  $H_{balls}$ . We distinguish multiple cases:

i) If all the points are collinear (suppose the order  $A, B, C, D$  from left to right), then the labelling  $[A, B, C, D] = [1, 0, 0, 1]$  cannot be achieved. (If 2 points are

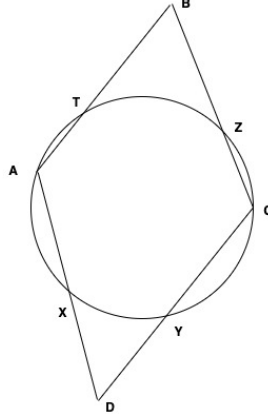
inside a circle, then the entire segment is inside the circle, and this forces  $B, D$  to be labelled with 1 as well).

ii) Exactly three points are collinear. Suppose  $A, B, C$  (in this order from left to right) are the collinear ones, then again for them we cannot have the labelling  $[A, B, C, D] = [1, 0, 1, 0]$  (the same as before, since  $A$  and  $C$  should be inside a circle, then  $B$  which is inside  $[A, C]$  should be inside the circle containing  $A$  and  $C$  as well).

iii) No three points are collinear. We split this into two cases:

iii.1) The convex hull is the triangle  $\triangle ABC$  and  $D$  is inside them. In this case the labelling  $[A, B, C, D] = [1, 1, 1, 0]$  cannot be obtained (Since if three points are inside a circle, then the entire triangle they form - possibly degenerated to a segment - is inside the circle. This forces  $D$  to be inside the triangle as well, so its label must be 1).

iii.2) The convex hull is a convex quadrilateral  $ABCD$ . Since  $\sphericalangle A + \sphericalangle B + \sphericalangle C + \sphericalangle D = 360^\circ$ , at least one of the pairs  $(\sphericalangle A, \sphericalangle C), (\sphericalangle B, \sphericalangle D)$  have the sum  $\leq 180^\circ$ . WLOG, assume this pair is  $(\sphericalangle A, \sphericalangle C)$ , and thus we have  $\sphericalangle A + \sphericalangle C \leq 180^\circ, \sphericalangle B + \sphericalangle D \geq 180^\circ$ . If there is a circle that manages to enclose  $A$  and  $C$  and let  $B, D$  outside (the  $[A, B, C, D] = [1, 0, 1, 0]$  case), then we can find obtain a smaller circle (the same circle if it already has the two points on its boundary) included in the previous one that contains  $A$  and  $C$  on its boundary(\*). In this case, since we did not add any new points (we constructed a smaller circle that has on its boundary the points  $A$  and  $C$ , circle that is inside the larger one - the one that labelled with 1  $A, C$  and with 0  $B, D$  -), it must be the case that  $B$  and  $D$  are outside the smaller circle as well, but this would force  $\sphericalangle B + \sphericalangle D < 180^\circ$  (using the formula of an exterior angle = one half of the absolute difference of the arcs it creates), a contradiction with our assumption. Thus, at least one labelling between  $[1, 0, 1, 0]$  and  $[0, 1, 0, 1]$  is not possible, so the four points cannot be shattered by  $H_{balls}$



In conclusion, there are no four points that can be shattered by  $H_{balls}$ .

Extra: It can be easily proved that  $VCdim(H_{balls}) = 3$  by considering a set of any non-collinear 3 points. This set can indeed be shattered by  $H_{balls}$

(\*) Proof: Let  $A, B$  be two points strictly inside circle  $C$ . Let any circle that passes through  $A, B$  intersect circle  $C$  in 2 points  $X, Y$  (just choose a point  $X$  outside the circle and consider the circumscribed circle). Consider  $\{H\} = XY \cap AB$  and let  $T$  be one of the two contact points of the tangent lines through  $H$  to circle  $C$ . It is a known result in geometry that the circle  $HAB$  is internally tangent to  $C$ , so we found a smaller circle  $HAB$ , that passes through  $A, B$  and is enclosed by circle  $C$ .

Observation: A question might arise if one point is already on the boundary of circle  $C$ , but the other is not. But in this case, we could simply enlarge the radius at an  $1 + \epsilon$  rate such that the two points now are strictly inside the new circle, and the other two points are still outside. In fact, we could use any radius  $r' \in [r_{initial}, \min(|OB|, |OD|))$ , where  $O$  is the center of the said circle. Then, we can easily apply (\*).

### 3 Exercise 3

Let  $X = \mathbb{R}^2$  and consider  $H_\alpha$  the set of concepts defined by the area inside a right triangle  $ABC$  with the two catheti  $AB$  and  $AC$  parallel to the axes ( $Ox$  and  $Oy$ ) and with  $AB/AC = \alpha$  (fixed constant  $> 0$ ). Consider the realizability assumption. Show that the class  $H_\alpha$  can be  $(\epsilon, \delta)$  PAC learned by giving an algorithm  $A$  and determining an upper bound on the sample complexity  $m_H(\epsilon, \delta)$  such that the definition of PAC - learnability is satisfied.

Solution:

Informally,  $H$  is the set of similar triangles obtained from the base triangle denoted by the points  $X = (0, 0), Y = (\alpha, 0), Z = (0, 1)$  by allowing the following operations: rescale and translation.

An informal description of the algorithm  $A$ : For each point  $P \in S$  that is labelled as 1, generate the parallel lines through it to the sides of  $\triangle XYZ$ . Iterating through all the points, we obtain 3 sets of lines:

$$\begin{aligned} L_{XY} &= \{d | \exists P \in S \text{ with label}(P) = 1, P \in d, d \parallel XY\} \\ L_{XZ} &= \{d | \exists P \in S \text{ with label}(P) = 1, P \in d, d \parallel XZ\} \\ L_{YZ} &= \{d | \exists P \in S \text{ with label}(P) = 1, P \in d, d \parallel YZ\} \end{aligned}$$

From  $L_{XY}$  choose  $d_{XY}$  that is the 'downmost', from  $L_{XZ}$  choose  $d_{XZ}$  that is the 'leftmost' and from  $L_{YZ}$  choose  $d_{YZ}$  that is 'rightmost'. (If we were to write the equation of these lines, we would notice that the elements of each set differs by a constant factor, so choose the lines with the lowest constant for  $d_{XY}, d_{XZ}$  and the line with the biggest constant for  $d_{YZ}$ . Assume equation of a line is in the form  $y = ax + b$ . Here  $b$  is the constant factor we are looking for). Our algorithm will return the triangle that is at the intersection of the  $d_{XY}, d_{XZ}, d_{YZ}$ , which is similar to the  $\triangle XYZ$  (because  $d_{XY}, d_{XZ}, d_{YZ}$  are parallel with the lines of the  $\triangle XYZ$ , it follows that this triangle is indeed in  $H$ ). If there are no points labelled as 1, return any triangle that does not contain any points from  $S$ . Obviously,  $L_S(h_S) = 0$ .

In order to prove that  $H$  is PAC-learnable, do the following: Suppose the points in the plane display a distribution  $D$  (fixed), labelled by a function  $h^* = \triangle ABC \in H$  (realizability setup). For the following steps, fix the  $\epsilon, \delta > 0$ . In our particular case, all the positive points must be inside  $\triangle ABC$ , while the others outside of it. An important observation of our algorithm is that it can only generate false negatives. Let  $A(S) = \triangle ABC_{predicted} \subseteq \triangle ABC$  be the triangle predicted by our algorithm. Consider  $R = \triangle ABC \setminus \triangle ABC_{predicted}$ . We distinguish 2 cases:

i)  $P[X \in ABC] < \epsilon$ . In this case,  $L_{D, h^*}(h_S) = P[X \in R] \leq P[X \in \triangle ABC] \leq \epsilon$ , so  $P_{S \sim D^m}[L_{D, h^*}(h_S) \leq \epsilon] = 1 \rightarrow P_{S \sim D^m}[L_{D, h^*}(h_S) > \epsilon] = 0 < e^{-m\epsilon}$ ,  $m \geq 0$

ii)  $P[X \in ABC] \geq \epsilon$ . Consider the three regions  $R_1, R_2, R_3$  defined in Figure 1 (they do exist because of  $P[X \in ABC] \geq \epsilon$ ) such that  $P[X \in R_1] = P[X \in R_2] = P[X \in R_3] = \frac{\epsilon}{3}$  (Draw parallel lines to the sides of the  $h^* = \triangle ABC$  until we find the optimal positions). We have two cases to analyze:

ii.1)  $\triangle ABC_{predicted} \cap R_i \neq \emptyset$ , for all  $i \in \{1, 2, 3\}$ . This means that  $\triangle ABC_{predicted}$  intersect all the three regions, so  $L_{D, h^*}(h_S) = P[X \in R] \leq P[X \in R_1 \cup R_2 \cup R_3] \leq P[X \in R_1] + P[X \in R_2] + P[X \in R_3] = \frac{\epsilon}{3} + \frac{\epsilon}{3} + \frac{\epsilon}{3} = \epsilon$ , so  $P_{S \sim D^m}[L_{D, h^*}(h_S) \leq \epsilon] = 1 \rightarrow P_{S \sim D^m}[L_{D, h^*}(h_S) > \epsilon] = 0 < e^{-m\epsilon}$ ,  $m \geq 0$

ii.2) Let  $A_i$  be the event that  $\triangle ABC_{predicted} \cap R_i = \emptyset$ , for  $i$  in  $\{1, 2, 3\}$ . Then,  $P[L_{D,h^*}(h_S) > \epsilon] \leq P[A_1 \cup A_2 \cup A_3] \leq P[A_1] + P[A_2] + P[A_3]$  Now,  $P[A_i] = P[S \cap R_i = \emptyset]$  (the probability of not sampling  $m$  elements from region  $i$ , which has  $p = \frac{\epsilon}{3}$ )  $\leq (1 - \frac{\epsilon}{3})^m$ . Combining these inequalities, we obtain  $P[L_{D,h^*}(h_S) > \epsilon] \leq 3 * (1 - \frac{\epsilon}{3})^m < 3e^{-\frac{\epsilon m}{3}}$  ( $e^x > x + 1$ ). By forcing  $3e^{-\frac{\epsilon m}{3}} \leq \delta \rightarrow m_H(\epsilon, \delta) = \lceil \frac{3}{\epsilon} \ln \frac{3}{\delta} \rceil$ . The runtime complexity is linear in  $m_H$  (up to a constant factor imposed by the dimension  $d = 2$ ).

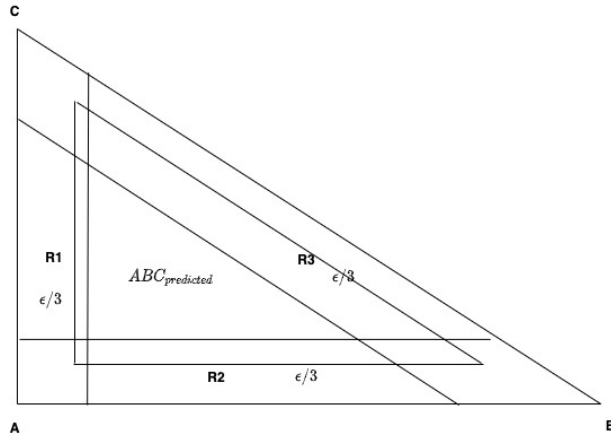


Figure 1. Splitting concept triangle into regions.

## 4 Exercise 4

Consider  $H$  to be the class of all centered in origin sphere classifiers in the 3D space. A centered in origin sphere classifier in the 3D space is a classifier  $h_r$  that assigns the value 1 to a point if and only if it is inside the sphere with radius  $r > 0$  and center given by the origin  $O(0, 0, 0)$ . Consider the realizability assumption.

- Show that the class  $H$  can be  $(\epsilon, \delta)$  PAC learned by giving an algorithm  $A$  and determining an upper bound on the sample complexity  $m_H(\epsilon, \delta)$  such that the definition of PAC-learnability is satisfied.
- compute  $VCdim(H)$ .

Solution:

An informal description of the algorithm  $A$ : the tightest sphere centered in origin that encapsulates all the points that are labelled as 1, or if there are no such points, a sphere centered in origin that leaves all the negative points

outside of it: choose the radius equal to half the minimum distance of all the points to the origin.

Formally, let  $S = \{(P_1, \text{label}_1), \dots, (P_m, \text{label}_m)\}$  be the samples given to our algorithm A. Choose  $r = \max(\{|OP_i| | (P_i, \text{label}_i) \in S \text{ such that } \text{label}_i = 1, \text{ for } i \in \{1, \dots, m\}\})$ . If there are no points labelled as 1, let  $r_{\min} = \min(\{|OP_i| | (P_i, \text{label}_i) \in S \text{ such that } \text{label}_i = 0, \text{ for } i \in \{1, \dots, m\}\})$  and return  $r = \frac{r_{\min}}{2}$ . (Because we are in the realizability conditions, we now that we cannot have  $r_{\min} = 0$ , otherwise no sphere from  $H$  can be the real labelling function).

In order to prove that  $H$  is PAC-learnable, do the following: Suppose the points in the place display a distribution  $D$  (fixed), labelled by a function  $h^* \in H$  (realizability setup). For the following steps, fix the  $\epsilon, \delta > 0$ . In our particular case, this implies that there is a radius  $r_{\text{true}}$  such that the sphere centered in the origin having the radius  $r_{\text{true}}$  correctly classify any possible subset of  $\mathbb{R}^3$ . Let  $r_{\text{predicted}}$  be the radius predicted by our algorithm A.

Consider  $r_- = \inf(\{r | P[X \in \text{Sphere}(O, r_{\text{true}}) \setminus \text{Sphere}(O, r)] < \epsilon, r_{\text{true}} \geq r \geq 0\})$  (the lowest radius  $r$  such that the probability of choosing a point  $P \in \text{Sphere}(O, r_{\text{true}}) \setminus \text{Sphere}(O, r)$  is less than  $\epsilon$ ).

If  $r_- = 0$ , it follows that  $P[X \in \text{Sphere}(O, r_{\text{true}})] \leq \epsilon$ , and since errors can be made only in the region  $R = \text{Sphere}(O, r_{\text{true}}) \setminus \text{Sphere}(O, r_{\text{predicted}})$  (false negatives), we have  $L_{D, h^*}(h_S) = P[X \in R] \leq P[X \in \text{Sphere}(O, r_{\text{true}})] \leq \epsilon$ , so  $P_{S \sim D^m}[L_{D, h^*}(h_S) \leq \epsilon] = 1 \rightarrow P_{S \sim D^m}[L_{D, h^*}(h_S) > \epsilon] = 0 < e^{-m\epsilon}$ ,  $m \geq 0$

If  $r_- > 0$ , then we have  $P[L_{D, h^*}(h_S) > \epsilon] = \{P[X \in \text{Sphere}(O, r_{\text{true}}) \setminus \text{Sphere}(O, r_{\text{predicted}})] > \epsilon\} \leq P[r_{\text{predicted}} \leq r_-] \leq P[OP_i \leq r_-, \text{ where } \text{label}_i = 1, i \in \{1, \dots, m\}] = \prod_{i=1}^m P[OP_i \leq r_-] = \prod_{i=1}^m (1 - P[r_{\text{true}} \geq OP_i \geq r_-]) \leq (1 - \epsilon)^m < e^{-m\epsilon}$ . Letting  $\delta > e^{-m\epsilon} \rightarrow m_H(\epsilon, \delta) = \lceil \frac{1}{\epsilon} \ln \frac{1}{\delta} \rceil$ . The runtime complexity is linear in  $m_H$  (up to a constant factor because of the dimension  $d=3$ ).

b) We will prove that  $\text{VCdim}(H)=1$ . In order to do this, there are two steps involved:

i) Find a set consisting of a single point  $S = \{P\}$  in  $\mathbb{R}^3$  that is shattered by  $H$ . Let  $P = (1, 0, 0)$ . For the label 0, choose any  $r_0 < 1$ . Since  $|OP| = 1 > r_0$ , this would imply  $P$  is outside the sphere centered in origin  $O$  with radius  $r_0$ , so its label will be 0, as desired. Similarly, for the label 1 choose any  $r_1 > 1$ . But in this case,  $|OP| = 1 < r_1$  and then  $P$  lies inside the sphere centered in origin  $O$  with radius  $r_1$ , so its label will be 1.

ii) Prove that no set of two points  $S = \{A, B\}$  can be shattered by  $H$ . There are two cases involved:

ii.1)  $|OA| = |OB|$ . This means that A and B will have the same label no matter the choice of  $r$ , so the labeling  $[0, 1]$  cannot be achieved.

ii.2)  $|OA| < |OB|$ . In this case, the labelling  $[A, B] = [0, 1]$  cannot be achieved. Indeed, since A will be inside any centered sphere containing B, it must be the case that  $h_r(B) = 1 \rightarrow h_r(A) = 1$ , so  $[A, B] = [0, 1]$  cannot occur.

Combining the last two arguments, it follows that  $\text{VCdim}(H) = 1$ .

## 5 Exercise 5

Let  $H = \{h_\theta : \mathbb{R} \rightarrow \{0, 1\}, h_\theta(x) = 1_{[\theta, \theta+1] \cup [\theta+2, \infty)}, \theta \in \mathbb{R}\}$ . Compute  $\text{VCdim}(H)$ .

Solution:

We will prove that  $\text{VCdim}(H) = 3$ .

i) For any 4 points  $a_1 < a_2 < a_3 < a_4$ , the labelling  $[1, 0, 1, 0]$  cannot be achieved by a classifier in  $H$ .

Proof: Suppose that exists  $h_\theta \in H$  that can generate the previous labelling. Since  $h(a_1) = 1$ , it must be the case that  $a_1$  lies either inside  $[\theta, \theta + 1]$  or  $[\theta + 2, \infty)$ . The last case fails as that would imply all the remaining points will be labelled as 1, since all of them are greater than  $a_1$ . So we will focus on the first case, namely  $a_1 \in [\theta, \theta + 1]$ . Since the only region that could label a point 0 on the right of  $a_1$  is the region  $(\theta + 1, \theta + 2)$ , we need that  $a_2 \in (\theta + 1, \theta + 2)$ . But then, since  $h_\theta(a_3) = 1$ , and the only region on the right of  $a_2$  that could give label 1 is  $[\theta + 2, \infty)$ , it must be the case that  $a_3 \in [\theta + 2, \infty)$ . Finally, since all the points on the right of  $a_3$  will be labelled as 1, we cannot have  $h_\theta(a_4) = 0$ , a contradiction. In conclusion, there are no set of four points that could be shattered by  $H$ .

ii) Let  $S = \{a_0 = 0, a_1 = 0.6, a_2 = 1.3\}$ . We distinguish eight cases:

- 1)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [0, 0, 0]$ . Choose  $\theta = 1.4 \rightarrow 1_{[1.4, 2.4] \cup [3.4, \infty)}$
- 2)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [0, 0, 1]$ . Choose  $\theta = 1.2 \rightarrow 1_{[1.2, 2.2] \cup [3.2, \infty)}$
- 3)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [0, 1, 0]$ . Choose  $\theta = 0.2 \rightarrow 1_{[0.2, 1.2] \cup [2.2, \infty)}$
- 4)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [0, 1, 1]$ . Choose  $\theta = 0.5 \rightarrow 1_{[0.5, 1.5] \cup [2.5, \infty)}$
- 5)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [1, 0, 0]$ . Choose  $\theta = -0.5 \rightarrow 1_{[-0.5, 0.5] \cup [1.5, \infty)}$
- 6)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [1, 0, 1]$ . Choose  $\theta = -0.8 \rightarrow 1_{[-0.8, 0.2] \cup [1.2, \infty)}$



7)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [1, 1, 0]$ . Choose  $\theta = -0.1 \rightarrow 1_{[-0.1, 0.9]} \cup [1.9, \infty)$

8)  $[\text{label}(a_0), \text{label}(a_1), \text{label}(a_2)] = [1, 1, 1]$ . Choose  $\theta = -2.1 \rightarrow 1_{[-2.1, -1.1]} \cup [-0.1, \infty)$

According to the last eight cases, it follows that the set  $S$  is shattered by  $H$ , and since no set of four points can be shattered by  $H$ , it implies that  $\text{VCdim}(H) = 3$ .

## 6 Exercise 6

Let  $X$  be an instance and consider  $H \subseteq \{0, 1\}^X$  a hypothesis space with finite VC dimension. For each  $x \in X$ , we consider the function  $z_x : H \rightarrow \{0, 1\}$  such that  $z_x(h) = h(x)$  for each  $h \in H$ . Let  $Z = \{z_x : H \rightarrow \{0, 1\}, x \in X\}$ . Prove that  $\text{VCdim}(Z) < 2^{\text{VCdim}(H)+1}$ .

Solution:

We will approach this problem by assuming the contrary and proving that this gives us a contradiction. Let's assume that  $\text{VCdim}(Z) \geq 2^{\text{VCdim}(H)+1}$ , and let  $d = \text{VCdim}(H)$ . In this case, there exists a subset  $S \subseteq H$  with  $|S| = \text{VCdim}(Z) \geq 2^{d+1}$  that is shattered by  $Z$ . From that subset, extract a smaller subset  $A = \{h_1, \dots, h_{2^{d+1}}\} \subseteq S$ , such that  $|A| = 2^{d+1}$  (this can be always done, as shattering a set implies that every subset can be shattered as well). This implies that for each possible labelling  $L \in \{0, 1\}^{2^{d+1}}$ ,  $\exists z_{x_L} \in Z$  such that  $z_{x_L}(A) = \{z_{x_L}(h_1), \dots, z_{x_L}(h_{2^{d+1}})\} = \{h_1(x_L), \dots, h_{2^{d+1}}(x_L)\} = L$ . Of course, the mapping  $L \rightarrow x_L$  is injective. Let  $M \in \{0, 1\}^{d+1 \times 2^{d+1}}$  be the matrix that has as the  $i^{\text{th}}$  column the binary representation of  $i$ , from top (least significant bit) to bottom (most significant bit) (0-indexes). Now, since each row of this matrix can be viewed as a possible labelling in  $\{0, 1\}^{2^{d+1}}$ , just get the corresponding  $L = r_i \rightarrow x_{r_i}$  (A problem that might occur is that if there exists two rows in  $M$  that are equals, but this cannot be the case. If this would hold, say that  $r_i = r_j$ , then this would imply that the numbers generated per column would always have bit  $i$  and bit  $j$  equal, which cannot hold since each column denote the binary representation of its position in matrix  $M$ ).

$$\begin{bmatrix} h_1(x_{r_0}) & h_2(x_{r_0}) & \dots & h_{2^{d+1}}(x_{r_0}) \\ h_1(x_{r_1}) & h_2(x_{r_1}) & \dots & h_{2^{d+1}}(x_{r_1}) \\ \vdots & \vdots & \ddots & \vdots \\ h_1(x_{r_d}) & h_2(x_{r_d}) & \dots & h_{2^{d+1}}(x_{r_d}) \end{bmatrix} = [\text{binary}(0) \quad \text{binary}(1) \quad \dots \quad \text{binary}(2^{d+1} - 1)]$$

But this last equation proves that the set  $S = \{x_{r_0}, \dots, x_{r_d}\}$  is shattered by  $H$ , and since  $|S| = d + 1$ , it implies that  $\text{VCdim}(H) \geq d + 1$ , a contradiction with our hypothesis that assumed  $\text{VCdim}(H) = d$ . The desired conclusion follows.