

ANDRÉ MIEDE  
A CLASSIC THESIS STYLE

# A CLASSIC THESIS STYLE

ANDRÉ MIEDE



An Homage to The Elements of Typographic Style

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André Miede: *A Classic Thesis Style*, An Homage to The Elements of Typographic  
Style, © October 2017

*Ohana* means family.  
Family means nobody gets left behind, or forgotten.  
— Lilo & Stitch

Dedicated to the loving memory of Rudolf Miede.  
1939–2005

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## ABSTRACT

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Short summary of the contents in English. . . a great guide by Kent Beck how to write good abstracts can be found here:

<https://plg.uwaterloo.ca/~migod/research/beckOOPSLA.html>

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## ZUSAMMENFASSUNG

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Kurze Zusammenfassung des Inhaltes in deutscher Sprache. . .

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## PUBLICATIONS

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This might come in handy for PhD theses: some ideas and figures have appeared previously in the following publications:

*Attention:* This requires a separate run of `bibtex` for your `refsection`, e.g., `ClassicThesis1-blx` for this file. You might also use `biber` as the backend for `biblatex`. See also <http://tex.stackexchange.com/questions/128196/problem-with-refsection>.

*This is just an  
early – and  
currently ugly –  
test!*

*We have seen that computer programming is an art,  
because it applies accumulated knowledge to the world,  
because it requires skill and ingenuity, and especially  
because it produces objects of beauty.*

— **knuth:1974** [**knuth:1974**]

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## ACKNOWLEDGMENTS

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Put your acknowledgments here.

Many thanks to everybody who already sent me a postcard!

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*Regarding LyX:* The LyX port was initially done by *Nicholas Mariette* in March 2009 and continued by *Ivo Pletikosić* in 2011. Thank you very much for your work and for the contributions to the original style.

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<sup>1</sup> Members of GuIT (Gruppo Italiano Utilizzatori di T<sub>E</sub>X e L<sup>A</sup>T<sub>E</sub>X)

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## ACRONYMS

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## INTRODUCTION

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We consider the problem of maximizing some notion of reward in a Markov decision process (MDP). Contrary to the usual case of maximizing the expected discounted reward, we focus on maximizing a risk-sensitive objective, which takes into account the variability of the reward and allows us to avoid catastrophic events. Risk-sensitivity has also recently been shown to capture the robustness to modeling errors [7] [more], providing us with further motivation. Risk-sensitivity can be modeled by replacing the risk-neutral expectation by an alternate risk-measure of the total discounted reward. In this work we consider risk-sensitive MDPs with a Conditional Value-at-Risk (CVaR) objective, a risk-measure which has been recently gaining popularity [cite] due to it's favorable computational properties [cite].

To do this, we utilize recent distributional Reinforcement Learning (RL) advances [4][8], that replace the usual Q-function by a distribution of the discounted reward, allowing us to gain more information about the structure of the return, which can be than utilized in maximizing an alternative objective.

### 1.1 MOTIVATION

#### 1.1.1 *xxx*

### 1.2 CONTRIBUTIONS

### 1.3 THESIS OUTLINE

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## PRELIMINARIES

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Let  $Z$  be a bounded-mean random variable, i.e.  $\mathbb{E}[|Z|] < \infty$ , with cumulative distribution function (c.d.f.)  $F(z) = \mathbb{P}(Z \leq z)$ . In this paper we interpret  $Z$  as a reward<sup>1</sup>. The value-at-risk (VaR) at confidence level  $\alpha \in (0, 1)$  is the  $\alpha$  quantile of  $Z$ , i.e.

$$\text{VaR}_\alpha(Z) = F^{-1}(\alpha) = \max \{z | F(z) \leq \alpha\} \quad (2.1)$$

We will use the notation  $\text{VaR}_\alpha(Z)$ ,  $F^{-1}(\alpha)$  interchangeably, often explicitly denoting the random variable of inverse c.d.f. as  $F_Z^{-1}(\alpha)$ .

### 2.0.1 Conditional Value-at-Risk

The conditional value-at-risk (CVaR) at confidence level  $\alpha \in (0, 1)$  is defined as:

$$\text{CVaR}_\alpha(Z) = \frac{1}{\alpha} \int_0^\alpha F_Z^{-1}(\beta) d\beta = \frac{1}{\alpha} \int_0^\alpha \text{VaR}_\beta(Z) d\beta \quad (2.2)$$

We will also use the following equivalent formulation from [17]:

$$\text{CVaR}_\alpha(Z) = \max_s \left\{ \frac{1}{\alpha} \mathbb{E}[(Z - s)^-] + s \right\} \quad (2.3)$$

where  $(x)^- = \min(x, 0)$  represents the negative part of  $x$ .

### 2.0.2 Markov Decision Processes

An MDP is a 5-tuple  $\mathcal{M} = (\mathcal{X}, \mathcal{A}, R, P, \gamma)$ , where  $\mathcal{X}$  and  $\mathcal{A}$  are the finite state and action spaces;  $R(x, a) \in [R_{\min}, R_{\max}]$  is a random variable representing the reward generated by being in state  $x$  and selecting action  $a$ ;  $P(\cdot | x, a)$  is the transition probability distribution;  $\gamma \in [0, 1)$  is a discount factor. We also assume we are given a starting state  $x_0$ .

A stationary (or markovian) policy is a mapping from states to actions  $\pi : \mathcal{X} \rightarrow \mathcal{A}$ .

---

<sup>1</sup> This is in accordance with reinforcement learning literature and opposed to risk-related literature.

We define the return  $Z^\pi(x_t)$  as a random variable representing the discounted reward along a trajectory generated by the MDP by following the policy  $\pi$ , starting at state  $x_t$

$$Z^\pi(x_t) = \sum_{t=0}^{\infty} \gamma^t R(x_t, \pi(x_t)) \quad (2.4)$$

We will sometimes omit the  $\pi$  superscript when the policy is clear from context.

### 2.0.3 Bellman equation

The Bellman equation is a recursive equation that defines the action-value function  $Q$ :

$$Q^\pi(x, a) = \mathbb{E} [Z^\pi(x, a)] = \mathbb{E} [Z^\pi(x, a)] \quad (2.5)$$

where the next state  $X'$  is sampled according to the MDP's transition probabilities.  
\*\*\*distributional\*\*\*

### 2.0.4 Problem formulation

The risk-sensitive problem we wish to adress for a given confidence level  $\alpha$  is as follows:

$$\max_{\pi} \text{CVaR}_{\alpha}(Z^\pi(x_0)) \quad (2.6)$$

### 2.0.5 Time-consistency

An important property of CVaR MDPs is that of time-consistency. \*\*\*Choose one definition, describe\*\*\* The notion of time consistency varies from author to author; in Shapiro [XXX] it is shown \*\*\*.

\*\*\* Policy gradient literature ignores the time consistency-issue, leading to locally optimal policies \*\*\* show that they can be worse than EXP \*\*\*.

## 2.1 REINFORCEMENT LEARNING

### 2.1.1 *rl*

### 2.1.2 *mdp*

### 2.1.3 *pi, vi, q-learning (?)*

### 2.1.4 *Distributional RL*

## 2.2 RISK-AVERSION

### 2.2.1 *general*

### 2.2.2 *var*

### 2.2.3 *cvar*

## 2.3 LITERATURE SURVEY

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## VALUE ITERATION WITH CVAR

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Chow et al. [7] have recently proposed an approximate value iteration algorithm for CVaR MDPs. This algorithm requires the computation of a linear program in each step of the value iteration procedure. We utilize a connection between the used  $\alpha\text{CVaR}_\alpha$  function and the quantile function and propose a linear-time algorithm that substitutes the LP computation, making the CVaR value iteration feasible for much larger MDPs. \*\*\*experiments\*\*\* The procedure also opens the door for a Q-learning variant of the algorithm.

### 3.1 CVAR BELLMAN EQUATION

### 3.2 EFFICIENT COMPUTATION

#### 3.2.1 CVaR Value Iteration

The results of [7] heavily rely on the CVaR decomposition theorem, which we show below

$$\begin{aligned}
 \text{CVaR}_\alpha(x, a) &= \min_{\xi} \sum_{x'} p(x, a, x') \xi(x') \text{CVaR}_{\xi\alpha}(x') \\
 \text{s.t.} \quad &\sum_{x'} p(x, a, x') \xi(x') = 1 \\
 &0 \leq \xi(x') \leq \frac{1}{\alpha}
 \end{aligned} \tag{3.1}$$

The theorem states that we can compute the  $\text{CVaR}_\alpha(x)$  as the minimal weighted combination of  $\text{CVaR}_\alpha(x')$  under a perturbed distribution. [7] extended this result to a dynamic programming formulation

$$\text{CVaR}_\alpha(x) = \max_a R(x, a) + \gamma \text{CVaR}_\alpha(x, a) \tag{3.2}$$

and showed that the VI procedure is a contraction and preserves the convexity of  $\alpha\text{CVaR}_\alpha$ . The fixed point of this contraction is then the exact CVaR value.

This algorithm is unfortunately unusable in practice, as the state-space is continuous in  $\alpha$ . The solution proposed in [7] is then to represent the convex  $\alpha\text{CVaR}_\alpha$  as a piecewise linear function.

\*\*\*I definition\*\*\*

The interpolated Bellman operator is then also a contraction and has a bounded error

$$\begin{aligned}
CVaR_\alpha(x, a) &= \min_{\xi} \sum_{x'} p(x, a, x') \frac{I_{x'}(\alpha \xi(x'))}{\alpha} \\
\text{s.t. } &\sum_{x'} p(x, a, x') \xi(x') = 1 \\
&0 \leq \xi(x') \leq \frac{1}{\alpha}
\end{aligned} \tag{3.3}$$

### 3.2.2 Quantile representation

We use the following two facts: firstly, any discrete distribution function has a piecewise linear  $\alpha CVaR_\alpha$  function [17]; secondly the  $\alpha CVaR_\alpha$  and the quantile function can be computed from each other by utilizing the relation

$$\frac{\partial}{\partial \alpha} \alpha CVaR_\alpha(Z) = \frac{\partial}{\partial \alpha} \int_0^\alpha VaR_\beta(Z) d\beta = VaR_\alpha(Z) \tag{3.4}$$

\*\*\*integration constant\*\*\*

We propose the following improvement: instead of using linear programming for the CVaR computation, we instead use the distributions represented by the  $\alpha CVaR_\alpha$  function.

The computation of CVaR of a discrete probability mixture is a linear-time process as we show bellow. The general steps of the computation are as follows

1. transform  $\alpha CVaR_\alpha$  of each possible state transition to a discrete probability distribution function
2. combine these to to a distribution representing the full state-action distribution
3. compute  $\alpha CVaR_\alpha$  for all atoms

### 3.2.3 Proof

## 3.3 VAR-BASED POLICY IMPROVEMENT

### 3.3.1 Policy Improvement

Recall the primal definition of CVaR (\*\*\*) . Our goal can then be rewritten as

$$\max_{\pi} CVaR_\alpha^\pi(Z) = \max_{\pi} \max_s \frac{1}{\alpha} \mathbb{E} [(Z^\pi - s)^-] + s \tag{3.5}$$

It also holds [XXX] that for the maximum, it holds  $s^* = VaR_\alpha$

$$CVaR_\alpha(Z) = \max_s \left\{ \frac{1}{\alpha} \mathbb{E} [(Z - s)^-] + s \right\} = \frac{1}{\alpha} \mathbb{E} [(Z - VaR_\alpha(Z))^-] + VaR_\alpha(Z)$$



(3.6)

The main idea of the algorithm 1, partially explored in [3], is as follows: If we knew the value  $s^*$  in the solution to equation (\*\*\*), we could simplify the problem to maximize only

$$\max_{\pi} CVaR_{\alpha}(Z) = \max_{\pi} \frac{1}{\alpha} \mathbb{E} [(Z^{\pi} - s^*)^{-}] + s^* \quad (3.7)$$

Given that we have access to the return distributions, we can improve the policy by simply choosing an action that maximizes CVaR in the first state  $a_0 = \arg \max_{\pi} CVaR_{\alpha}(Z^{\pi}(x_0))$ . We can then, as an approximation, set  $s = VaR_{\alpha}(Z(x_0))$  and then only maximize the simpler criterion

$$\max_{\pi} CVaR_{\alpha}(Z) = \max_{\pi} \frac{1}{\alpha} \mathbb{E} [(Z^{\pi} - s^*)^{-}] + s^* \quad (3.8)$$

The algorithm can be seen as coordinate ascent; in the first phase (when we compute CVaR) we maximize w.r.t.  $s$  while keeping  $\pi$  fixed; in the second phase we fix  $s$  and maximize w.r.t.  $\pi$ .

In the following theorem, we show that this indeed leads to a monotonic improvement over the previous policy.

**Theorem 1.** *Let  $\pi$  be a fixed policy,  $\alpha \in (0, 1]$ . By following policy  $\pi'$  from algorithm 1, we will improve  $CVaR_{\alpha}(Z)$  in expectation:*

$$CVaR_{\alpha}(Z^{\pi}) \leq CVaR_{\alpha}(Z^{\pi'})$$

*Proof.* Let  $s^*$  be a solution to eq 2.3. Then by optimizing  $\max_{\pi} \frac{1}{\alpha} \mathbb{E} [(Z - s^*)^{-}]$ , we will monotonely improve the optimization criterion 3.7.

$$CVaR_{\alpha}(Z^{\pi}) = \frac{1}{\alpha} \mathbb{E} [(Z^{\pi} - s^*)^{-}] + s^* \leq \max_{\pi'} \frac{1}{\alpha} \mathbb{E} [(Z^{\pi'} - s^*)^{-}] + s^*$$

Note the following facts:

$$Z_t = R_t + \gamma Z_{t+1} \quad (3.9)$$

$$\mathbb{E} [(Z_t - s)^{-}] = \mathbb{E} [(Z_t - s) \mathbb{1}(Z_t \leq s)] \quad (3.10)$$

$$\mathbb{E}[H(Z)] = \sum_i p_i \mathbb{E}[H(Z_i)] \quad (3.11)$$

The last equation holds if  $Z \sim p_i$  is a probability mixture for any function  $H$ .

We can rewrite the criterion as

$$\begin{aligned}
\mathbb{E} [(Z_t - s)^-] &= \mathbb{E} [(Z_t - s)\mathbb{1}(Z_t \leq s)] = \mathbb{E} \left[ (R_t + \gamma Z_{t+1} - s)\mathbb{1}(Z_{t+1} \leq \frac{s - R_t}{\gamma}) \right] \\
&= \sum_{x_{t+1}, r_t} P(x_{t+1}, r_t | x_t, a) \mathbb{E} \left[ (r_t + \gamma Z(x_{t+1}) - s)\mathbb{1}(Z(x_{t+1}) \leq \frac{s - r_t}{\gamma}) \right] \\
&= \sum_{x_{t+1}, r_t} P(x_{t+1}, r_t | x_t, a) \mathbb{E} \left[ \gamma \left( Z(x_{t+1}) - \frac{s - r_t}{\gamma} \right) \mathbb{1}(Z(x_{t+1}) \leq \frac{s - r_t}{\gamma}) \right] \\
&= \gamma \sum_{x_{t+1}, r_t} P(x_{t+1}, r_t | x_t, a) \mathbb{E} \left[ \left( Z(x_{t+1}) - \frac{s - r_t}{\gamma} \right) \mathbb{1}(Z(x_{t+1}) \leq \frac{s - r_t}{\gamma}) \right] \\
&= \gamma \sum_{x_{t+1}, r_t} P(x_{t+1}, r_t | x_t, a) \mathbb{E} \left[ \left( Z(x_{t+1}) - \frac{s - r_t}{\gamma} \right)^- \right]
\end{aligned} \tag{3.12}$$

Now let's say we sampled reward  $\hat{r}_t$  and state  $\hat{x}_{t+1}$ , we are still trying to find a policy  $\pi^*$  that maximizes

$$\begin{aligned}
\pi^* &= \arg \max_{\pi} \mathbb{E} [(Z_t - s)^- | \hat{x}_{t+1}, \hat{r}] \\
&= \arg \max_{\pi} \mathbb{E} \left[ \left( Z(\hat{x}_{t+1}) - \frac{s - \hat{r}_t}{\gamma} \right)^- \right]
\end{aligned} \tag{3.13}$$

Where we ignored the unsampled states (since these are not a function of  $\hat{x}_{t+1}$ ) and the multiplicative constant  $\gamma$  that will not affect the maximum argument.

At the starting state, we set  $s = s^*$ . At each following state we select an action according to equation 3.14. By induction we maximize the criterion ?? in each step.  $\square$

---

**Algorithm 1** VaR-based policy improvement

---

```

input  $\alpha, x_0, \gamma$ 
 $a = \arg \max_a CVaR_{\alpha}(Z(x_0, a))$ 
 $s = VaR_{\alpha}(Z(x_0, a))$ 
 $x_t, r_t = \text{envTransition}(x_0, a)$ 
while  $x_t$  is not terminal do
   $s = \frac{s - r_t}{\gamma}$ 
   $a = \arg \max_a \mathbb{E} [(Z(x_t, a) - s)^-]$ 
   $x_t, r_t = \text{envTransition}(x_t, a)$ 
end while

```

---

Note that the resulting policy is nonstationary, however we do not need an extended state-space to follow this policy, it is only necessary to remember our previous  $s$ .

### 3.3.2 Repeated policy improvement

This policy then could be evaluated again by the distributional Q-learning procedures, however we

## 3.4 EXPERIMENTS

3.4.1 *Cliffworld*3.4.2 *Atari?*

## 3.5 SUMMARY

3.6  $\xi$ -COMPUTATION

CVaR decomposition formulation (based on the dual):

$$\begin{aligned}
CVaR_\alpha(x, a) &= \min_{\xi} \sum_{x'} p(x, a, x') \xi(x') CVaR_{\xi\alpha}(x') \\
\text{s.t.} \quad &\sum_{x'} p(x, a, x') \xi(x') = 1 \\
&0 \leq \xi(x') \leq \frac{1}{\alpha}
\end{aligned} \tag{3.14}$$

**Theorem 2.** *Solution to minimization problem 3.15 can be computed without optimization by setting*

$$\xi(x') = \frac{F_{x'}(F_x^{-1}(\alpha))}{\alpha} \tag{3.15}$$

*Proof.* For simplification, we work only with two states:  $x'$  the actual sampled state and  $\bar{x}'$  representing the other states. The equation then simplifies to

$$\begin{aligned}
CVaR_\alpha(x, a) &= \min_{\xi} p\xi CVaR_{\xi\alpha}(x') + (1-p) \frac{1-p\xi}{1-p} CVaR_{\frac{1-p\xi}{1-p}\alpha}(\bar{x}') \\
&= \min_{\xi} p\xi CVaR_{\xi\alpha}(x') + (1-p\xi) CVaR_{\frac{1-p\xi}{1-p}\alpha}(\bar{x}')
\end{aligned} \tag{3.16}$$

To find the min we first find the first derivative<sup>1</sup> w.r.t.  $\xi$

$$\begin{aligned}
\frac{\partial CVaR_\alpha}{\partial \xi} &= pCVaR_{\xi\alpha} + p\xi \frac{\partial CVaR_{\alpha\xi}}{\partial \xi} - pCVaR_{\frac{1-p\xi}{1-p}\alpha} + (1-p\xi) \frac{\partial CVaR_{\frac{1-p\xi}{1-p}\alpha}}{\partial \xi} \\
&= pCVaR_{\xi\alpha} + p\xi \left[ \frac{1}{\xi} VaR_{\xi\alpha} - \frac{1}{\xi} CVaR_{\xi\alpha} \right] - pCVaR_{\frac{1-p\xi}{1-p}\alpha} + (1-p\xi) \left[ \frac{p}{1-p\xi} CVaR_{\frac{1-p\xi}{1-p}\alpha} - \frac{1}{1-p\xi} \right] \\
&= pCVaR_{\xi\alpha} + pVaR_{\xi\alpha} - pCVaR_{\xi\alpha} - pCVaR_{\xi\alpha} - pCVaR_{\frac{1-p\xi}{1-p}\alpha} + CVaR_{\frac{1-p\xi}{1-p}\alpha} - pVaR_{\frac{1-p\xi}{1-p}\alpha} \\
&= pVaR_{\xi\alpha} - pVaR_{\frac{1-p\xi}{1-p}\alpha}
\end{aligned} \tag{3.17}$$

---

<sup>1</sup> We used the following facts:

$$\frac{\partial CVaR_{\alpha\xi}}{\partial \xi} = \frac{1}{\xi} VaR_{\xi\alpha} - \frac{1}{\xi} CVaR_{\xi\alpha} \qquad \frac{\partial CVaR_{\frac{1-p\xi}{1-p}\alpha}}{\partial \xi} = \frac{p}{1-p\xi} CVaR_{\frac{1-p\xi}{1-p}\alpha} - \frac{p}{1-p\xi} VaR_{\frac{1-p\xi}{1-p}\alpha}$$

By setting the derivative to 0 (to find the min), we get

$$Var_{\xi\alpha}(x') = Var_{\frac{1-p\xi}{1-p}\alpha}(\bar{x}') \quad (3.18)$$

By inserting claim 3.16 into 3.19 we get the symmetrical claim

$$\frac{1-p\xi}{1-p} = \xi(\bar{x}') = \frac{F_{\bar{x}'}(F_x^{-1}(\alpha))}{\alpha} \quad (3.19)$$

We rewrite 3.17 as (assuming  $\xi$  is the minimum point)

$$\begin{aligned} \frac{1}{\alpha} \int_0^\alpha F_x^{-1}(t) dt &= p\xi \frac{1}{\xi\alpha} \int_0^{\xi\alpha} F_{x'}^{-1}(t) dt + (1-p\xi) \frac{1-p}{(1-p\xi)\alpha} \int_0^{\frac{1-p\xi}{1-p}\alpha} F_{\bar{x}'}^{-1}(t) dt \\ &= p \frac{1}{\alpha} \int_0^{\xi\alpha} F_{x'}^{-1}(t) dt + (1-p) \frac{1}{\alpha} \int_0^{\frac{1-p\xi}{1-p}\alpha} F_{\bar{x}'}^{-1}(t) dt \end{aligned} \quad (3.20)$$

This must also hold if we multiply both sides by  $\alpha$

$$\int_0^\alpha F_x^{-1}(t) dt = p \int_0^{\xi\alpha} F_{x'}^{-1}(t) dt + (1-p) \int_0^{\frac{1-p\xi}{1-p}\alpha} F_{\bar{x}'}^{-1}(t) dt \quad (3.21)$$

And we take derivations w.r.t.  $\alpha$  of both sides

$$F_x^{-1}(\alpha) = p\xi F_{x'}^{-1}(\xi\alpha) + (1-p\xi) F_{\bar{x}'}^{-1}\left(\frac{1-p\xi}{1-p}\alpha\right) \quad (3.22)$$

By inserting 3.16 we get

$$\begin{aligned} p\xi F_{x'}^{-1}(\xi\alpha) + (1-p)\xi_2 F_{\bar{x}'}^{-1}(\xi_2\alpha) &= p\xi F_{x'}^{-1}(F_{x'}(F_x^{-1}(\alpha))) + (1-p\xi) F_{\bar{x}'}^{-1}(F_{\bar{x}'}(F_x^{-1}(\alpha))) \\ &= p\xi F_x^{-1}(\alpha) + (1-p\xi) F_x^{-1}(\alpha) = F_x^{-1}(\alpha) \end{aligned} \quad (3.23)$$

We've shown that the proposed solution 3.16 satisfies the minimization constraint 3.19 (= is a minimal point) and satisfies the dual decomposition 3.15. (This has been shown only in the differentiated form )

□

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## Q-LEARNING WITH CVAR

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4.1 TODO

4.2 TODO

4.3 TODO

4.4 EXPERIMENTS

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## APPROXIMATE Q-LEARNING WITH CVAR

---

5.1 TODO

5.2 TODO

5.3 TODO

5.4 EXPERIMENTS

---

## CONCLUSION

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Bäuerle and Ott [3] Bellemare, Dabney, and Munos [4] Chow et al. [7] Dabney et al. [8] Garcia and Fernández [9] Majumdar and Pavone [13] Morimura et al. [14] Morimura et al. [15] Pflug and Pichler [16] Rockafellar and Uryasev [17] Rockafellar and Uryasev [18] Majumdar and Pavone [13] Leike et al. [12] Amodei et al. [1] Shapiro [19] Artzner et al. [2] Tamar et al. [21] Sutton and Barto [20] Watkins and Dayan [23] Bellman [5] Tsitsiklis [22] Boyd and Vandenberghe [6] Kreyszig [11] Koenker and Hallock [10]



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## INTRODUCTION

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This bundle for L<sup>A</sup>T<sub>E</sub>X has two goals:

1. Provide students with an easy-to-use template for their Master’s or PhD thesis. (Though it might also be used by other types of authors for reports, books, etc.)
2. Provide a classic, high-quality typographic style that is inspired by **bringhurst:2002**’s “*The Elements of Typographic Style*” [bringhurst:2002].

*A Classic Thesis  
Style version 4.4*

The bundle is configured to run with a *full* MiK<sub>T</sub>E<sub>X</sub> or T<sub>E</sub>XLive<sup>1</sup> installation right away and, therefore, it uses only freely available fonts. (Minion fans can easily adjust the style to their needs.)

People interested only in the nice style and not the whole bundle can now use the style stand-alone via the file `classicthesis.sty`. This works now also with “plain” L<sup>A</sup>T<sub>E</sub>X.

As of version 3.0, `classicthesis` can also be easily used with L<sup>y</sup>X<sup>2</sup> thanks to Nicholas Mariette and Ivo Pletikosić. The L<sup>y</sup>X version of this manual will contain more information on the details.

This should enable anyone with a basic knowledge of L<sup>A</sup>T<sub>E</sub>X 2<sub>ε</sub> or L<sup>y</sup>X to produce beautiful documents without too much effort. In the end, this is my overall goal: more beautiful documents, especially theses, as I am tired of seeing so many ugly ones.

The whole template and the used style is released under the GNU General Public License.

If you like the style then I would appreciate a postcard:

André Miede  
Detmolder Straße 32  
31737 Rinteln  
Germany

The postcards I received so far are available at:

<http://postcards.miede.de>

So far, many theses, some books, and several other publications have been typeset successfully with it. If you are interested in some typographic details behind it, enjoy Robert Bringhurst’s wonderful book.

*A well-balanced  
line width  
improves the  
legibility of the  
text. That’s what  
typography is all  
about, right?*

---

<sup>1</sup> See the file `LISTOFFILES` for needed packages. Furthermore, `classicthesis` works with most other distributions and, thus, with most systems L<sup>A</sup>T<sub>E</sub>X is available for.

<sup>2</sup> <http://www.lyx.org>



IMPORTANT NOTE: Some things of this style might look unusual at first glance, many people feel so in the beginning. However, all things are intentionally designed to be as they are, especially these:

- No bold fonts are used. Italics or spaced small caps do the job quite well.
- The size of the text body is intentionally shaped like it is. It supports both legibility and allows a reasonable amount of information to be on a page. And, no: the lines are not too short.
- The tables intentionally do not use vertical or double rules. See the documentation for the `booktabs` package for a nice discussion of this topic.<sup>3</sup>
- And last but not least, to provide the reader with a way easier access to page numbers in the table of contents, the page numbers are right behind the titles. Yes, they are *not* neatly aligned at the right side and they are *not* connected with dots that help the eye to bridge a distance that is not necessary. If you are still not convinced: is your reader interested in the page number or does she want to sum the numbers up?

Therefore, please do not break the beauty of the style by changing these things unless you really know what you are doing! Please.

YET ANOTHER IMPORTANT NOTE: Since `classicthesis`' first release in 2006, many things have changed in the  $\text{\LaTeX}$  world. Trying to keep up-to-date, `classicthesis` grew and evolved into many directions, trying to stay (some kind of) stable and be compatible with its port to  $\text{\LaTeX}$ . However, there are still many remains from older times in the code, many dirty workarounds here and there, and several other things I am absolutely not proud of (for example my unwise combination of KOMA and `titlesec` etc.).

Currently, I am looking into how to completely re-design and re-implement `classicthesis` making it easier to maintain and to use. As a general idea, `classicthesis.sty` should be developed and distributed separately from the template bundle itself. Excellent spin-offs such as `arsclassica` could also be integrated (with permission by their authors) as format configurations. Also, current trends of `microtype`, `fontspec`, etc. should be included as well. As I am not really into deep  $\text{\LaTeX}$  programming, I will reach out to the  $\text{\LaTeX}$  community for their expertise and help.

*An outlook into  
the future of  
classicthesis.*

## A.1 ORGANIZATION

A very important factor for successful thesis writing is the organization of the material. This template suggests a structure as the following:

- `Chapters/` is where all the “real” content goes in separate files such as `Chapter01.tex` etc.
- `FrontBackMatter/` is where all the stuff goes that surrounds the “real” content, such as the acknowledgments, dedication, etc.

*You can use these  
margins for  
summaries of the  
text body...*

<sup>3</sup> To be found online at <http://mirror.ctan.org/macros/latex/contrib/booktabs/>.

- `gfx/` is where you put all the graphics you use in the thesis. Maybe they should be organized into subfolders depending on the chapter they are used in, if you have a lot of graphics.
- `Bibliography.bib`: the BibTeX database to organize all the references you might want to cite.
- `classicthesis.sty`: the style definition to get this awesome look and feel. Does not only work with this thesis template but also on its own (see folder `Examples`). Bonus: works with both L<sup>A</sup>T<sub>E</sub>X and PDFL<sup>A</sup>T<sub>E</sub>X...and L<sup>A</sup>X. Great tool and it's free!
- `ClassicThesis.tex`: the main file of your thesis where all gets bundled together.
- `classicthesis-config.tex`: a central place to load all nifty packages that are used.

*Make your changes and adjustments here.* This means that you specify here the options you want to load `classicthesis.sty` with. You also adjust the title of your thesis, your name, and all similar information here. Refer to [Section A.3](#) for more information.

This had to change as of version 3.0 in order to enable an easy transition from the “basic” style to L<sup>A</sup>X.

In total, this should get you started in no time.

## A.2 STYLE OPTIONS

There are a couple of options for `classicthesis.sty` that allow for a bit of freedom concerning the layout:

- General:
  - **drafting**: prints the date and time at the bottom of each page, so you always know which version you are dealing with. Might come in handy not to give your Prof. that old draft.
- Parts and Chapters:
  - **parts**: if you use Part divisions for your document, you should choose this option. (Cannot be used together with **nochapters**.)
  - **linedheaders**: changes the look of the chapter headings a bit by adding a horizontal line above the chapter title. The chapter number will also be moved to the top of the page, above the chapter title.
- Typography:
  - **eulerchapternumbers**: use figures from Hermann Zapf’s Euler math font for the chapter numbers. By default, old style figures from the Palatino font are used.
  - **beramono**: loads Bera Mono as typewriter font. (Default setting is using the standard CM typewriter font.)
  - **eulermath**: loads the awesome Euler fonts for math. Palatino is used as default font.
- Table of Contents:
  - **tocaligned**: aligns the whole table of contents on the left side. Some people like that, some don’t.
  - **dottedtoc**: sets pagenumbers flushed right in the table of contents.
  - **many chapters**: if you need more than nine chapters for your document, you might not be happy with the spacing between the chapter number and the chapter title in the Table of Contents. This option allows for additional space in this context. However, it does not look as “perfect” if you use `\parts` for structuring your document.
- Floats:
  - **listings**: loads the `listings` package (if not already done) and configures the List of Listings accordingly.
  - **floatperchapter**: activates numbering per chapter for all floats such as figures, tables, and listings (if used).

*... or your supervisor might use the margins for some comments of her own while reading*

*Options are enabled via `option=true`*

Furthermore, pre-defined margins for different paper sizes are available, e. g., **a4paper**, **a5paper**, and **letterpaper**. These are based on your chosen option of `\documentclass`.

The best way to figure these options out is to try the different possibilities and see what you and your supervisor like best.

In order to make things easier, `classicthesis-config.tex` contains some useful commands that might help you.

### A.3 CUSTOMIZATION

This section will show you some hints how to adapt `classicthesis` to your needs.

The file `classicthesis.sty` contains the core functionality of the style and in most cases will be left intact, whereas the file `classicthesis-config.tex` is used for some common user customizations.

The first customization you are about to make is to alter the document title, author name, and other thesis details. In order to do this, replace the data in the following lines of `classicthesis-config.tex`:

```
% *****
% 2. Personal data and user ad-hoc commands
% *****
\newcommand{\myTitle}{A Classic Thesis Style\xspace}
\newcommand{\mySubtitle}{An Homage to...\xspace}
```

*Modifications in  
classic-  
thesis-config.t*

Further customization can be made in `classicthesis-config.tex` by choosing the options to `classicthesis.sty` (see [Section A.2](#)) in a line that looks like this:

```
\PassOptionsToPackage{
  drafting=true,      % print version information on the bottom
                      % of the pages
  totaligned=false,   % the left column of the toc will be
                      % aligned (no indentation)
  dottedtoc=false,    % page numbers in ToC flushed right
  parts=true,         % use part division
  eulerchapternumbers=true, % use AMS Euler for chapter font
                      % (otherwise Palatino)
  linedheaders=false, % chapter headers will have line
                      % above and beneath
  floatperchapter=true, % numbering per chapter for all
                      % floats (i.e., Figure 1.1)
  listings=true,      % load listings package and setup LoL
  subfig=true,        % setup for preloaded subfig package
  eulermath=false,    % use awesome Euler fonts for
                      % mathematical formulae (only with pdfLaTeX)
  beramono=true,      % toggle a nice monospaced font (w/ bold)
  minionpro=false     % setup for minion pro font; use minion
                      % pro small caps as well (only with pdfLaTeX)
}{classicthesis}
```

Many other customizations in `classicthesis-config.tex` are possible, but you should be careful making changes there, since some changes could cause errors.

### A.4 ISSUES

This section will list some information about problems using `classicthesis` in general or using it with other packages.

Beta versions of `classicthesis` can be found at Bitbucket:

<https://bitbucket.org/amiede/classicthesis/>

There, you can also post serious bugs and problems you encounter.

## A.5 FUTURE WORK

So far, this is a quite stable version that served a couple of people well during their thesis time. However, some things are still not as they should be. Proper documentation in the standard format is still missing. In the long run, the style should probably be published separately, with the template bundle being only an application of the style. Alas, there is no time for that at the moment... it could be a nice task for a small group of L<sup>A</sup>T<sub>E</sub>Xnicians.

Please do not send me email with questions concerning L<sup>A</sup>T<sub>E</sub>X or the template, as I do not have time for an answer. But if you have comments, suggestions, or improvements for the style or the template in general, do not hesitate to write them on that postcard of yours.

## A.6 BEYOND A THESIS

The layout of `classicthesis.sty` can be easily used without the framework of this template. A few examples where it was used to typeset an article, a book or a curriculum vitae can be found in the folder **Examples**. The examples have been tested with `latex` and `pdflatex` and are easy to compile. To encourage you even more, PDFs built from the sources can be found in the same folder.

## A.7 LICENSE

GNU GENERAL PUBLIC LICENSE: This program is free software; you can redistribute it and/or modify it under the terms of the GNU General Public License as published by the Free Software Foundation; either version 2 of the License, or (at your option) any later version.

This program is distributed in the hope that it will be useful, but *without any warranty*; without even the implied warranty of *merchantability* or *fitness for a particular purpose*. See the GNU General Public License for more details.

You should have received a copy of the GNU General Public License along with this program; see the file **COPYING**. If not, write to the Free Software Foundation, Inc., 59 Temple Place - Suite 330, Boston, MA 02111-1307, USA.

CLASSICTHESIS AUTHORS' NOTE: There have been some discussions about the GPL's implications on using `classicthesis` for theses etc. Details can be found here:

<https://bitbucket.org/amiede/classicthesis/issues/123/>

We chose (and currently stick with) the GPL because we would not like to compete with proprietary modified versions of our own work. However, the whole template is free as free beer and free speech. We will not demand the sources for theses, books, CVs, etc. that were created using `classicthesis`.

Postcards are still highly appreciated.

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## DECLARATION

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Put your declaration here.

*Saarbrücken, October 2017*

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André Miede

## COLOPHON

This document was typeset using the typographical look-and-feel `classicthesis` developed by André Miede and Ivo Pletikosić. The style was inspired by Robert Bringhurst’s seminal book on typography “*The Elements of Typographic Style*”. `classicthesis` is available for both L<sup>A</sup>T<sub>E</sub>X and L<sup>Y</sup>X:

<https://bitbucket.org/amiede/classicthesis/>

Happy users of `classicthesis` usually send a real postcard to the author, a collection of postcards received so far is featured here:

<http://postcards.miede.de/>

Thank you very much for your feedback and contribution.