

# Latent Embedding Feedback and Discriminative Features for Zero-Shot Classification

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**Abstract.** Zero-shot learning strives to classify unseen categories for which no data is available during training. In the generalized variant, the test samples can further belong to seen or unseen categories. The state-of-the-art relies on Generative Adversarial Networks that synthesize unseen class features by leveraging class-specific semantic embeddings. During training, they generate semantically consistent features, but discard this constraint during feature synthesis and classification. We propose to enforce semantic consistency at *all* stages of (generalized) zero-shot learning: training, feature synthesis and classification. We further introduce a feedback loop, from a semantic embedding decoder, that iteratively refines the generated features during both the training and feature synthesis stages. The synthesized features together with their corresponding latent embeddings from the decoder are transformed into discriminative features and utilized during classification to reduce ambiguities among categories. Experiments on (generalized) zero-shot learning for object and action classification reveal the benefit of semantic consistency and iterative feedback for GAN-based networks, outperforming existing methods on six zero-shot learning benchmarks.

**Keywords:** Generalized zero-shot classification

## 1 Introduction

This paper strives for zero-shot learning, a challenging vision problem that involves classifying images or video into new (“unseen”) categories at test time, without having been provided any corresponding visual example during training. In the literature [1,33,44,41], this is typically achieved by utilizing the labelled seen class instances and semantic word embeddings that encode the relationships among all categories. Different from the zero-shot learning setting, the test samples can belong to the seen or unseen categories in generalized zero-shot learning [40]. In this work, we investigate the problem of both zero-shot learning (ZSL) and generalized zero-shot learning (GZSL).

Most recent ZSL and GZSL recognition approaches [41,6,42,11,21] are based on Generative Adversarial Networks (GANs) [9], which are employed for synthesizing unseen object class features. Typically, a GAN is learned using the seen

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class features and the corresponding class-specific semantic embeddings. The resulting synthesized features for the unseen categories (whose real features are unavailable during training) are then used together with real features from the seen categories to train ZSL/GZSL classifiers in a fully-supervised setting. Several GAN-based ZSL approaches in the literature [41, 6, 21] aim at directly optimizing the divergence between real and generated data. Recently, Xian *et al.*, [42] propose to combine the strengths of Variational Autoencoders (VAEs) and GANs in a single architecture. In their **f**-VAEGAN framework, a VAE and a GAN are combined by sharing the VAE decoder and GAN generator to synthesize visual features using semantic embeddings. To ensure that the generated features are semantically close to the distribution of real features, a cycle-consistency constraint [47] is employed between generated and original features, during training. However, a similar cycle-consistency is not enforced on the semantic embeddings.

Different to **f**-VAEGAN, a few other works [6, 11] utilize auxiliary modules, such as a decoder, to enforce a cycle-consistency constraint on the reconstruction of semantic embeddings during training. Such an auxiliary decoder module aids the generator to synthesize semantically consistent features. Surprisingly, these modules are *only* employed during training and discarded during *both* the feature synthesis and ZSL classification stages. Since the auxiliary module aids the generator during training, it is also expected to help obtain discriminative features during feature synthesis *and* reduce the ambiguities among different classes during classification. In this work, we address the issues of enhanced feature synthesis and improved classification for ZSL/GZSL recognition.

### 1.1 Contributions

We propose a novel method that advocates the effective utilization of a semantic embedding decoder (SED) module at *all* stages of the ZSL framework: training, feature synthesis and classification. Our method is built on a VAE-GAN architecture. (i) We design a *feedback module* for (generalized) zero-shot learning that utilizes SED during both training and feature synthesis stages. The feedback module first transforms the latent embeddings of SED, which are then used to modulate the latent representations of the generator. To the best of our knowledge, we are the first to propose a feedback module, within a VAE-GAN architecture, for the problem of (generalized) zero-shot recognition. (ii) We introduce a *discriminative feature transformation*, during the classification stage, that utilizes the latent embeddings of SED along with their corresponding visual features for reducing ambiguities among object categories. In addition to object recognition, we show effectiveness of the proposed approach for (generalized) zero-shot action recognition in videos.

We validate our approach by performing comprehensive experiments on four commonly used ZSL object recognition datasets: CUB [39], FLO [28], SUN [29] and AWA [40]. Our experimental evaluation shows the benefits of utilizing SED at all stages of the ZSL/GZSL pipeline. In comparison to the baseline, the proposed approach obtains absolute gains of 4.6%, 7.1%, 1.7%, and 3.1% on

CUB, FLO, SUN, and AWA, respectively for generalized zero-shot (GZSL) object recognition. In addition to object recognition, we evaluate our method on two (generalized) zero-shot action recognition in videos datasets: HMDB51 [18] and UCF101 [37]. Our approach outperforms existing methods on *all* six datasets. We also show the generalizability of our proposed contributions by integrating them into GAN-based (generalized) zero-shot recognition framework.

## 2 Related Work

In recent years, the problem of object recognition under zero-shot learning (ZSL) settings has been well studied [14,8,1,7,33,32,44,41]. Earlier ZSL image classification works [14,20] learn semantic embedding classifiers for associating seen and unseen classes. Different to these methods, the works of [1,7,33] learn a compatibility function between the semantic embedding and visual feature spaces. Other than these inductive approaches that rely only on the labelled data from seen classes, the works of [8,32,44] leverage additional unlabelled data from unseen classes through label propagation under a transductive zero-shot setting.

Recently, Generative Adversarial Networks [9] (GANs) have been employed to synthesize unseen class features, which are then used in a fully supervised setting to train ZSL classifiers [41,6,21,42]. A conditional Wasserstein GAN [2] (WGAN) is used along with a seen category classifier to learn the generator for unseen class feature synthesis [41]. This is achieved by using a WGAN loss and a classification loss. In [6], the seen category classifier is replaced by a decoder together with the integration of a cycle-consistency loss [47]. The work of [34] proposes an approach where cross and distribution alignment losses are introduced for aligning the visual features and corresponding embeddings in a shared latent space, using two Variational Autoencoders [16] (VAEs). The work of [42] introduces a **f**-VAEGAN framework which combines a VAE and a GAN by sharing the decoder of VAE and generator of GAN for feature synthesis. For training, the **f**-VAEGAN framework utilizes a cycle-consistency constraint between generated and original visual features. However, a similar constraint is not enforced on the semantic embeddings in their framework. Different to **f**-VAEGAN, other GAN-based ZSL classification methods [6,46,11,24] investigate the utilization of auxiliary modules to enforce cycle-consistency on the embeddings. Nevertheless, these modules are utilized only during training and discarded during both feature synthesis and ZSL classification stages.

Previous works [45,12,22,35] have investigated leveraging feedback information to incrementally improve the performance of different vision applications, including classification, image-to-image translation and super-resolution. To the best of our knowledge, our approach is the first to incorporate a feedback loop for improved feature synthesis in the context of (generalized) zero-shot recognition (both image and video). We systematically design a feedback module, in a VAE-GAN architecture, that iteratively refines the synthesized features for zero-shot learning.

While zero-shot image classification has been extensively studied, zero-shot action recognition in videos received less attention. Several works [17,43,27] study the problem of zero-shot action recognition in videos under transductive setting. The use of image classifiers and object detectors for action recognition under ZSL setting are investigated in [13,25]. Recently, GANs have been utilized to synthesize unseen class video features in [46,24]. Here, we further investigate the effectiveness of our framework for zero-shot action recognition in videos.

### 3 Method

We present an approach, TF-VAEGAN, for (generalized) zero-shot recognition. As discussed earlier, the objective in ZSL is to classify images or videos into new classes, which are unknown during the training stage. Different from ZSL, test samples can belong to seen or unseen classes in the GZSL setting, thereby making it a harder problem due to the domain shift between the seen and unseen classes. Let  $x \in \mathcal{X}$  denote the encoded feature instances of images (videos) and  $y \in \mathcal{Y}^s$  the corresponding labels from the set of  $M$  seen class labels  $\mathcal{Y}^s = \{y_1, \dots, y_M\}$ . Let  $\mathcal{Y}^u = \{u_1, \dots, u_N\}$  denote the set of  $N$  unseen classes, which is disjoint from the seen class set  $\mathcal{Y}^s$ . The seen and unseen classes are described by the category-specific semantic embeddings  $a(k) \in \mathcal{A}, \forall k \in \mathcal{Y}^s \cup \mathcal{Y}^u$  which encode the relationships among all the classes. While the unlabelled test features  $x_t \in \mathcal{X}$  are not used during training in the inductive setting, they are used during training in the transductive setting to reduce the bias towards seen classes. The tasks in ZSL and GZSL are to learn the classifiers  $f_{zsl} : \mathcal{X} \rightarrow \mathcal{Y}^u$  and  $f_{gzsl} : \mathcal{X} \rightarrow \mathcal{Y}^s \cup \mathcal{Y}^u$ , respectively. To this end, we first learn to synthesize the features using the seen class features  $x_s$  and corresponding embeddings  $a(y)$ . The learned model is then used to synthesize unseen class features  $\hat{x}_u$  using the unseen class embeddings  $a(u)$ . The resulting synthesized features  $\hat{x}_u$ , along with the real seen class features  $x_s$ , are further deployed to train the final classifiers  $f_{zsl}$  and  $f_{gzsl}$ .

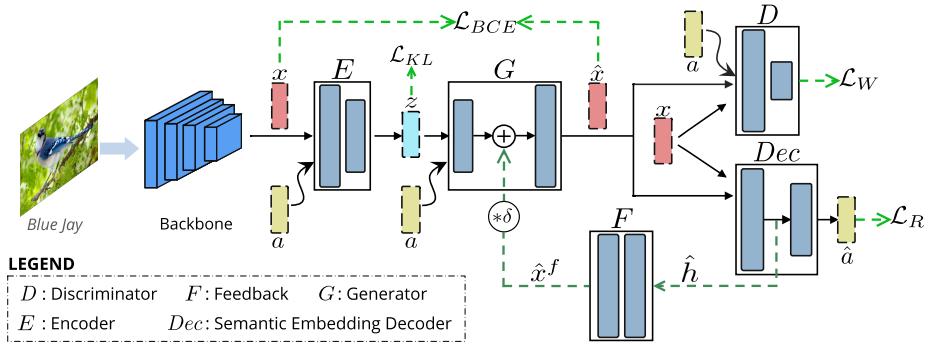
#### 3.1 Preliminaries: f-VAEGAN

We base our approach on the recently introduced f-VAEGAN [42], which combines the strengths of the VAE [16] and GAN [9], achieving impressive results for ZSL classification. Compared to GAN based models, *e.g.*, f-CLSWGAN [41], the f-VAEGAN [42] generates semantically consistent features by sharing the decoder and generator of the VAE and GAN.

In f-VAEGAN, the feature generating VAE [16] (f-VAE) comprises an encoder  $E(x, a)$ , which encodes an input feature  $x$  to a latent code  $z$ , and a decoder  $G(z, a)$  (shared with f-WGAN, as a conditional generator) that reconstructs  $x$  from  $z$ . Both  $E$  and  $G$  are conditioned on the embedding  $a$ , optimizing,

$$\mathcal{L}_V = \text{KL}(E(x, a) || p(z|a)) - \mathbb{E}_{E(x, a)}[\log G(z, a)], \quad (1)$$

where KL is the Kullback-Leibler divergence,  $p(z|a)$  is a prior distribution, assumed to be  $\mathcal{N}(0, 1)$  and  $\log G(z, a)$  is the reconstruction loss. The feature generating network [41] (f-WGAN) comprises a generator  $G(z, a)$  and a discriminator



**Fig. 1:** Proposed architecture (Sec 3.2). Given a seen class image, visual features  $x$  are extracted from the backbone network and input to the encoder  $E$ , along with the corresponding semantic embeddings  $a$ . The encoder  $E$  outputs a latent code  $z$ , which is then input together with embeddings  $a$  to the generator  $G$  that synthesizes features  $\hat{x}$ . The discriminator  $D$  learns to distinguish between real and synthesized features  $x$  and  $\hat{x}$ , respectively. Both  $E$  and  $G$  together constitute the VAE, which is trained using a binary cross-entropy loss ( $\mathcal{L}_{BCE}$ ) and the KL divergence ( $\mathcal{L}_{KL}$ ). Similarly, both  $G$  and  $D$  form the GAN trained using the WGAN loss ( $\mathcal{L}_W$ ). A semantic embedding decoder  $Dec$  is introduced (Sec. 3.3) to reconstruct the embeddings  $\hat{a}$  using a cycle-consistency loss ( $\mathcal{L}_R$ ). Further, a feedback module (Sec. 3.4) is integrated to transform the latent embedding  $\hat{h}$  of  $Dec$  and feed it back to  $G$ , which iteratively refines  $\hat{x}$ .

$D(x, a)$ . The generator  $G(z, a)$  synthesizes a feature  $\hat{x} \in \mathcal{X}$  from a random input noise  $z$ , whereas the discriminator  $D(x, a)$  takes an input feature  $x$  and outputs a real value indicating the degree of realness or fakeness of the input features. Both  $G$  and  $D$  are conditioned on the embedding  $a$ , optimizing:

$$\mathcal{L}_W = \mathbb{E}[D(x, a)] - \mathbb{E}[D(\hat{x}, a)] - \lambda \mathbb{E}[(\|\nabla D(\tilde{x}, a)\|_2 - 1)^2], \quad (2)$$

where  $\hat{x} = G(z, a)$  is the synthesized feature,  $\lambda$  is the penalty coefficient and  $\tilde{x}$  is sampled randomly from the line connecting  $x$  and  $\hat{x}$ . f-VAEGAN is optimized by:

$$\mathcal{L}_{vaegan} = \mathcal{L}_V + \alpha \mathcal{L}_W, \quad (3)$$

where  $\alpha$  is a hyper-parameter. For more details, we refer to [42].

**Limitations:** The loss formulation for training f-VAEGAN, contains a constraint (second term in Eq. 1) that ensures the generated visual features are cyclically-consistent, at train time, with the original visual features. However, a similar cycle-consistency constraint is not enforced on the semantic embeddings. Alternatively, other GAN-based ZSL methods [6,46] utilize auxiliary modules (apart from the generator) for achieving cyclic-consistency on embeddings. However, these modules are employed *only* during training and discarded at both feature synthesis and ZSL classification stages. In this work, we introduce a semantic embedding decoder (SED) that enforces cycle-consistency on semantic embeddings and utilize it at *all* stages: training, feature synthesis and ZSL classification. We argue that the generator and SED contain complementary information with respect to feature instances, since the two modules perform inverse transformations

in relation to each other. The generator module transforms the semantic embeddings to the feature instances whereas, SED transforms the feature instances to semantic embeddings. Our approach focuses on the utilization of this complementary information for improving feature synthesis and reducing ambiguities among classes (*e.g.*, fine-grained classes) during ZSL classification.

### 3.2 Overall Architecture

The overall architecture is illustrated in Fig. 1. The VAE-GAN consists of an encoder  $E$ , generator  $G$  and discriminator  $D$ . The input to  $E$  are the real features of seen classes  $x$  and the semantic embeddings  $a$  and the output of  $E$  are the parameters of a noise distribution. These parameters are matched to those of a zero-mean unit-variance Gaussian prior distribution using the KL divergence ( $\mathcal{L}_{KL}$ ). The noise  $z$  and embeddings  $a$  are input to  $G$ , which synthesizes the features  $\hat{x}$ . The synthesized features  $\hat{x}$  and original features  $x$  are compared using a binary cross-entropy loss  $\mathcal{L}_{BCE}$ . The discriminator  $D$  takes either  $x$  or  $\hat{x}$  along with embeddings  $a$  as input, and computes a real number that determines whether the input is real or fake. The WGAN loss  $\mathcal{L}_W$  is applied at the output of  $D$  to learn to distinguish between the real and fake features.

The focus of our design is the integration of an additional semantic embedding decoder (SED)  $Dec$  at both the feature synthesis and ZSL/GZSL classification stages. Additionally, we introduce a feedback module  $F$ , which is utilized during training and feature synthesis, along with  $Dec$ . Both the semantic embedding decoder  $Dec$  and feedback module  $F$  collectively address the objectives of enhanced feature synthesis and reduced ambiguities among categories during classification. The  $Dec$  takes either  $x$  or  $\hat{x}$  and reconstructs the embeddings  $\hat{a}$ . It is trained using a cycle-consistency loss  $\mathcal{L}_R$ . The learned  $Dec$  is subsequently used in the ZSL/GZSL classifiers. The feedback module  $F$  transforms the latent embedding of  $Dec$  and feeds it back to the latent representation of generator  $G$  in order to achieve improved feature synthesis. The SED  $Dec$  and feedback module  $F$  are described in detail in Sec. 3.3 and 3.4.

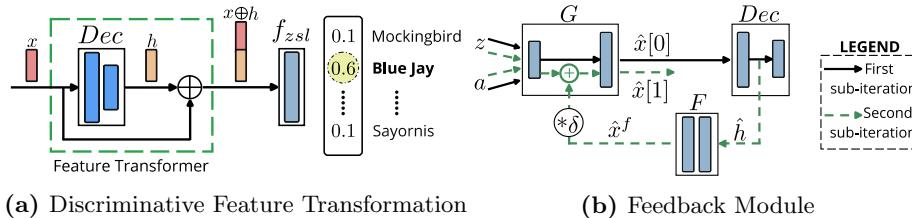
### 3.3 Semantic Embedding Decoder

Here, we introduce a semantic embedding decoder  $Dec : \mathcal{X} \rightarrow \mathcal{A}$ , for reconstructing the semantic embeddings  $a$  from the generated features  $\hat{x}$ . Enforcing a cycle-consistency on the reconstructed semantic embeddings ensures that the generated features are transformed to the same embeddings that generated them. As a result, semantically consistent features are obtained during feature synthesis. The cycle-consistency of the semantic embeddings is achieved using the  $L1$  reconstruction loss as follows:

$$\mathcal{L}_R = \mathbb{E}[||Dec(x) - a||_1] + \mathbb{E}[||Dec(\hat{x}) - a||_1]. \quad (4)$$

The loss formulation for training the proposed TF-VAEGAN framework with the semantic embedding decoder is given by,

$$\mathcal{L}_{total} = \mathcal{L}_{vaegan} + \beta\mathcal{L}_R, \quad (5)$$



(a) Discriminative Feature Transformation      (b) Feedback Module

**Fig. 2:** (a) Integration of semantic embedding decoder  $Dec$  at the ZSL/GZSL classification stage. A feature transformation is performed by concatenating ( $\oplus$ ) the input visual features  $x$  with the corresponding latent embedding  $h$  from SED. The transformed discriminative features are then used for ZSL/GZSL classification. (b) Feedback module overview. First sub-iteration: The generator  $G$  synthesizes initial features  $\hat{x}[0]$  using the noise  $z$  and embeddings  $a$ . The initial features are passed through the  $Dec$ . Second sub-iteration: The module  $F$  transforms the latent embedding  $h$  from  $Dec$  to  $\hat{x}^f$ , which represents the feedback to  $G$ . The generator  $G$  synthesizes enhanced features  $\hat{x}[1]$  using the same  $z$  and  $a$  along with the feedback  $\hat{x}^f$

where  $\beta$  is a hyper-parameter for weighting the decoder reconstruction error.

As discussed earlier, existing GAN-based ZSL approaches [6,46] employ a semantic embedding decoder (SED) *only* during training and discard it during *both* unseen class feature synthesis and ZSL classification stage. In our approach, SED is utilized at *all* three stages of VAE-GAN based ZSL pipeline: training, feature synthesis and classification. Next, we describe importance of SED during classification and later investigate its role during feature synthesis (Sec. 3.4).

**Discriminative feature transformation:** Here, we describe the proposed discriminative feature transformation scheme to effectively utilize the auxiliary information in semantic embedding decoder (SED) at the ZSL classification stage. The generator  $G$  learns a *per-class* ‘single semantic embedding to many instances’ mapping using only the seen class features and embeddings. Similar to the generator  $G$ , the SED is also trained using only the seen classes but learns a *per-class* ‘many instances to one embedding’ inverse mapping. Thus, the generator  $G$  and SED  $Dec$  are likely to encode complementary information of the categories. Here, we propose to use the latent embedding from SED as a useful source of information at the classification stage (see Fig. 2a) for reducing ambiguities among features instances of different categories.

First, the training of feature generator  $G$  and semantic embedding decoder  $Dec$  is performed. Then,  $Dec$  is used to transform the features (real and synthesized) to the embedding space  $\mathcal{A}$ . Afterwards, the latent embeddings from  $Dec$  are concatenated with the respective visual features. Let  $h_s$  and  $\hat{h}_u \in \mathcal{H}$  denote the hidden layer (latent) embedding from the  $Dec$  for inputs  $x_s$  and  $\hat{x}_u$ , respectively. The transformed features are represented by:  $x_s \oplus h_s$  and  $\hat{x}_u \oplus \hat{h}_u$ , where  $\oplus$  denotes concatenation. In our method, the transformed features are used to learn final ZSL and GZSL classifiers as,

$$\begin{aligned} f_{zsl} : \mathcal{X} \oplus \mathcal{H} &\rightarrow \mathcal{Y}^u, \\ f_{gzsl} : \mathcal{X} \oplus \mathcal{H} &\rightarrow \mathcal{Y}^s \cup \mathcal{Y}^u. \end{aligned} \tag{6}$$

As a result, the final classifiers learn to better distinguish categories using transformed features. Next, we describe integration of  $Dec$  during feature synthesis.

### 3.4 Feedback Module

The baseline  $f$ -VAEGAN does not enforce cycle-consistency in the attribute space and directly synthesizes visual features  $\hat{x}$  from the class-specific embeddings  $a$  via the generator (see Fig. 3a). This results in a semantic gap between the real and synthesized visual features. To address this issue, we introduce a feedback loop that iteratively refines the feature generation (see Fig. 3b) during both the training and synthesis stages. The feedback loop is introduced from the semantic embedding decoder  $Dec$  to the generator  $G$ , through our feedback module  $F$  (see Fig. 1 and Fig. 2b). The proposed module  $F$  enables the effective utilization of  $Dec$  during both training and feature synthesis stages. Let  $g^l$  denote the  $l^{th}$  layer output of  $G$  and  $\hat{x}^f$  denote the feedback component that additively modulates  $g^l$ . The feedback modulation of output  $g^l$  is given by,

$$g^l \leftarrow g^l + \delta \hat{x}^f, \quad (7)$$

where  $\hat{x}^f = F(h)$ , with  $h$  as the latent embedding of  $Dec$  and  $\delta$  controls the feedback modulation. To the best of our knowledge, we are the first to design and incorporate a feedback loop for zero-shot recognition. Our feedback loop is based on [35], originally introduced for image super-resolution. However, we observe that it provides sub-optimal performance for zero-shot recognition due to its less reliable feedback during unseen class feature synthesis. Next, we describe an improved feedback loop with necessary modifications for zero-shot recognition.

**Feedback module input:** The adversarial feedback employs a latent representation of an unconditional discriminator  $D$  as its input [35]. However, in the ZSL problem,  $D$  is conditional and is trained with an objective to distinguish between the real and fake features of the seen categories. This restricts  $D$  from providing reliable feedback during unseen class feature synthesis. In order to overcome this limitation, we turn our attention to semantic embedding decoder  $Dec$ , whose aim is to reconstruct the class-specific semantic embeddings from features instances. Since  $Dec$  learns class-specific transformations from visual features to the semantic embeddings, it is better suited (than  $D$ ) to provide feedback to generator  $G$ .

**Training strategy:** Originally, the feedback module  $F$  is trained in a two-stage fashion [35], where the generator  $G$  and discriminator  $D$  are first fully trained, as in the standard GAN training approach. Then,  $F$  is trained using a feedback from  $D$  and freezing  $G$ . Since, the output of  $G$  improves due to the feedback from  $F$ , the discriminator  $D$  is continued to be trained alongside  $F$ , in an adversarial manner. In this work, we argue that such a two-stage training strategy is sub-optimal for ZSL, since  $G$  is always fixed and not allowed to improve its feature synthesis. To further utilize the feedback for improved feature synthesis,  $G$  and  $F$  are trained alternately in our method. In our alternating training strategy, the generator training iteration is unchanged. However, during the training iterations of  $F$ , we perform two sub-iterations (see Fig. 2b).

*First sub-iteration:* The noise  $z$  and semantic embeddings  $a$  are input to the generator  $G$  to yield an initial synthesized feature  $\hat{x}[0] = G(z, a)$ , which is then passed through to the semantic embedding decoder  $Dec$ .

*Second sub-iteration:* The latent embedding  $\hat{h}$  from  $Dec$  is input to  $F$ , resulting in an output  $\hat{x}^f[t] = F(\hat{h})$ , which is added to the latent representation (denoted as  $g^l$  in Eq. 7) of  $G$ . The same  $z$  and  $a$  (used in the first sub-iteration) are used as input to  $G$  for the second sub-iteration, with the additional input  $\hat{x}^f[t]$  added to the latent representation  $g^l$  of generator  $G$ . The generator then outputs a synthesized feature  $\hat{x}[t + 1]$ , as,

$$\hat{x}[t + 1] = G(z, a, \hat{x}^f[t]). \quad (8)$$

The refined feature  $\hat{x}[t + 1]$  is input to  $D$  and  $Dec$ , and corresponding losses are computed (Eq. 5) for training. In practice, the second sub-iteration is performed only once. The feedback module  $F$  allows generator  $G$  to view the latent embedding of  $Dec$ , corresponding to current generated features. This enables  $G$  to appropriately refine its output (feature generation) iteratively, leading to an enhanced feature representation.

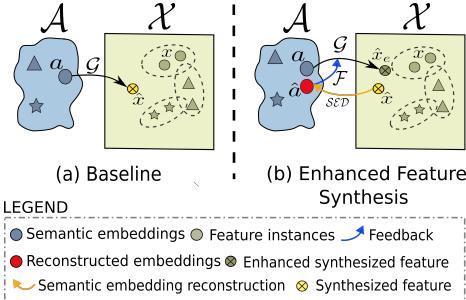
### 3.5 (Generalized) Zero-Shot Classification

In our TF-VAEGAN, unseen class features are synthesized by inputting respective embeddings  $a(u)$  and noise  $z$  to  $G$ , given by  $\hat{x}_u = G(z, a(u), \hat{x}^f[0])$ . Here,  $\hat{x}^f[0]$  denotes feedback output of  $F$ , computed for the same  $a(u)$  and  $z$ . The synthesized unseen class features  $\hat{x}_u$  and real seen class features  $x_s$  are further input to  $Dec$  to obtain their respective latent embeddings, which are concatenated with input features. In this way, we obtain transformed features  $x_s \oplus h_s$  and  $\hat{x}_u \oplus \hat{h}_u$ , which are used to train ZSL and GZSL classifiers,  $f_{zsl}$  and  $f_{gzsl}$ , respectively. At inference, test features  $x_t$  are transformed in a similar manner, to obtain  $x_t \oplus h_t$ . The transformed features are then input to classifiers for final predictions.

## 4 Experiments

### 4.1 Experimental Setup

**Datasets:** We evaluate our TF-VAEGAN framework on four standard zero-shot object recognition datasets: Caltech-UCSD-Birds [39] (CUB), Oxford Flowers [28]



**Fig. 3:** A conceptual illustration between the baseline (a) and our feedback module designed for enhanced feature synthesis (b), using three classes ( $\star$ ,  $\triangle$  and  $\bullet$ ). The baseline learns to synthesize features  $\hat{x}$  from class-specific semantic embeddings  $a$  via generator  $G$ , without enforcing cycle-consistency in the attribute space. As a consequence, a semantic gap is likely to exist between the synthesized and real  $x$  features. In our approach, cycle-consistency is enforced using SED. Further, the disparity between the reconstructed embeddings  $\hat{a}$  and  $a$  is used as a *feedback signal* to reduce the semantic gap between  $\hat{x}$  and  $x$ , resulting in enhanced synthesized features  $\hat{x}_e$

**Table 1:** State-of-the-art comparison on four datasets. *For fair comparison, all results reported here are without any fine-tuning of backbone network.* Both inductive (IN) and transductive (TR) results are shown. For ZSL, results are reported in terms of average *top-1* classification accuracy (**T1**). For GZSL, results are reported in terms of *top-1* accuracy of unseen (*u*) and seen (*s*) classes, together with their harmonic mean (**H**). Our TF-VAEGAN outperforms existing methods on *all* datasets, in IN and TR, for *both* ZSL and GZSL. Best results are boldfaced in each case

	Zero-shot Learning								Generalized Zero-shot Learning								
	CUB FLO SUN AWA				CUB			FLO		SUN			AWA				
	T1	T1	T1	T1	<i>u</i>	<i>s</i>	<b>H</b>	<i>u</i>	<i>s</i>	<b>H</b>	<i>u</i>	<i>s</i>	<b>H</b>	<i>u</i>	<i>s</i>	<b>H</b>	
IN	ALE [1]	54.9	48.5	58.1	59.9	23.7	62.8	34.4	13.3	61.6	21.9	21.8	33.1	26.3	16.8	76.1	27.5
	SE-GZSL [19]	59.6	-	63.4	69.2	41.5	53.3	46.7	-	-	-	40.9	30.5	34.9	58.3	68.1	62.8
	f-CLSWGAN [41]	57.3	67.2	60.8	68.2	3.7	57.7	49.7	59.0	73.8	65.6	42.6	36.6	39.4	57.9	61.4	59.6
	Cycle-WGAN [6]	58.6	70.3	59.9	66.8	47.9	59.3	53.0	61.6	69.2	65.2	<b>47.2</b>	33.8	39.4	59.6	63.4	59.8
	LisGAN [21]	58.8	69.6	61.7	70.6	46.5	57.9	51.6	57.7	83.8	68.3	42.9	37.8	40.2	52.6	<b>76.3</b>	62.3
	TCN [15]	59.5	-	61.5	71.2	52.6	52.0	52.3	-	-	-	31.2	37.3	34.0	<b>61.2</b>	65.8	63.4
	f-VAEGAN [42]	61.0	67.7	64.7	71.1	48.4	60.1	53.6	56.8	74.9	64.6	45.1	38.0	41.3	57.6	70.6	63.5
	Ours: TF-VAEGAN	<b>64.9</b>	<b>70.8</b>	<b>66.0</b>	<b>72.2</b>	<b>52.8</b>	<b>64.7</b>	<b>58.1</b>	<b>62.5</b>	<b>84.1</b>	<b>71.7</b>	45.6	<b>40.7</b>	<b>43.0</b>	59.8	75.1	<b>66.6</b>
TR	ALE-tran [40]	54.5	48.3	55.7	70.7	23.5	45.1	30.9	13.6	61.4	22.2	19.9	22.6	21.2	12.6	73.0	21.5
	GFZSL [38]	50.0	85.4	64.0	78.6	24.9	45.8	32.2	21.8	75.0	33.8	0.0	41.6	0.0	31.7	67.2	43.1
	DSRL [44]	48.7	57.7	56.8	72.8	17.3	39.0	24.0	26.9	64.3	37.9	17.7	25.0	20.7	20.8	74.7	32.6
	f-VAEGAN [42]	71.1	89.1	70.1	89.8	61.4	65.1	63.2	78.7	87.2	82.7	60.6	41.9	49.6	84.8	88.6	86.7
	Ours: TF-VAEGAN	<b>74.7</b>	<b>92.6</b>	<b>70.9</b>	<b>92.1</b>	<b>69.9</b>	<b>72.1</b>	<b>71.0</b>	<b>91.8</b>	<b>93.2</b>	<b>92.5</b>	<b>62.4</b>	<b>47.1</b>	<b>53.7</b>	<b>87.3</b>	<b>89.6</b>	<b>88.4</b>

(FLO), SUN Attribute [29] (SUN), and Animals with Attributes2 [40] (AWA2) containing 200, 102, 717 and 50 categories, respectively. For fair comparison, we use the *same* splits, evaluation protocols and class embeddings as in [40].

**Visual features and embeddings:** We extract the average-pooled feature instances of size 2048 from the ImageNet-1K [5] pre-trained ResNet-101 [10]. For semantic embeddings, we use the class-level attributes for CUB (312-d), SUN (102-d) and AWA2 (85-d). For FLO, fine-grained visual descriptions of image are used to extract 1024-d embeddings from a character-based CNN-RNN [31].

**Implementation details:** The discriminator  $D$ , encoder  $E$  and generator  $G$  are implemented as two-layer fully-connected (FC) networks with 4096 hidden units. The dimensions of  $z$  and  $a$  are set to be equal ( $\mathbb{R}^{d_z} = \mathbb{R}^{d_a}$ ). The semantic embedding decoder  $Dec$  and feedback module  $F$  are also two-layer FC networks with 4096 hidden units. The input and output dimensions of  $F$  are set to 4096 to match the hidden units of  $Dec$  and  $G$ , respectively. For transductive setting, an unconditional discriminator  $D2$  is employed for utilizing the unlabelled feature instances during training, as in [42]. Leaky ReLU activation is used everywhere, except at the output of  $G$ , where a Sigmoid activation is necessary for applying BCE loss. The network is trained using the Adam optimizer with  $10^{-4}$  learning rate. Final ZSL/GZSL classifiers are single layer FC networks with output units equal to number of test classes. Hyper-parameters  $\alpha$ ,  $\beta$  and  $\delta$  are set to 10, 0.01 and 1, respectively. The gradient penalty coefficient  $\lambda$  is set to 10 and WGAN is trained, as in [2].

## 4.2 State-of-the-art Comparison

Tab. 1 shows state-of-the-art comparison on four object recognition datasets. For fair comparison, all results reported in Tab. 1 are without any fine-tuning

**Table 2:** State-of-the-art comparison on four datasets. *For fair comparison, all results reported here are with fine-tuning the backbone network only using the seen classes (without violating ZSL condition), as in [42].* Both inductive (IN) and transductive (TR) results are shown. For ZSL, results are reported in terms of average *top-1* classification accuracy (**T1**). For GZSL, results are reported in terms of *top-1* accuracy of unseen (*u*) and seen (*s*) classes, together with their harmonic mean (**H**). Our TF-VAEGAN outperforms existing methods on *all* datasets, in IN and TR, for both ZSL and GZSL

	Zero-shot Learning								Generalized Zero-shot Learning							
	CUB FLO SUN AWA				CUB			FLO			SUN			AWA		
	T1	T1	T1	T1	<i>u</i>	<i>s</i>	<b>H</b>	<i>u</i>	<i>s</i>	<b>H</b>	<i>u</i>	<i>s</i>	<b>H</b>	<i>u</i>	<i>s</i>	<b>H</b>
SBAR-I [30]	63.9	-	62.8	65.2	55.0	58.7	56.8	-	-	-	<b>50.7</b>	35.1	41.5	30.3	<b>93.9</b>	46.9
IN f-VAEGAN [42]	72.9	70.4	65.6	70.3	63.2	75.6	68.9	63.3	92.4	75.1	50.1	37.8	43.1	<b>57.1</b>	76.1	65.2
Ours: TF-VAEGAN	<b>74.3</b>	<b>74.7</b>	<b>66.7</b>	<b>73.4</b>	<b>63.8</b>	<b>79.3</b>	<b>70.7</b>	<b>69.5</b>	<b>92.5</b>	<b>79.4</b>	41.8	<b>51.9</b>	<b>46.3</b>	55.5	83.6	<b>66.7</b>
SBAR-T [30]	74.0	-	67.5	88.9	67.2	73.7	70.3	-	-	-	<b>58.8</b>	41.5	48.6	79.7	<b>91.0</b>	85.0
TR UE-finetune [36]	72.1	-	58.3	79.7	74.9	71.5	73.2	-	-	-	33.6	54.8	41.7	<b>93.1</b>	66.2	77.4
f-VAEGAN [42]	82.6	95.4	72.6	89.3	73.8	81.4	77.3	91.0	97.4	94.1	54.2	41.8	47.2	86.3	88.7	87.5
Ours: TF-VAEGAN	<b>85.1</b>	<b>96.0</b>	<b>73.8</b>	<b>93.0</b>	<b>78.4</b>	<b>83.5</b>	<b>80.9</b>	<b>96.1</b>	<b>97.6</b>	<b>96.8</b>	44.3	<b>66.9</b>	<b>53.3</b>	89.2	90.0	<b>89.6</b>

of the backbone network. For inductive (IN) ZSL, the Cycle-WGAN [6] obtains classification scores of 58.6%, 70.3%, 59.9%, and 66.8% on CUB, FLO, SUN and AWA, respectively. The f-VAEGAN [42] reports classification accuracies of 61%, 67.7%, 64.7%, and 71.1% on the same datasets. Our TF-VAEGAN outperforms f-VAEGAN on *all* datasets achieving classification scores of 64.9%, 70.8%, 66.0%, and 72.2% on CUB, FLO, SUN and AWA, respectively. In the transductive (TR) ZSL setting, f-VAEGAN obtains *top-1* classification accuracies of 71.1%, 89.1%, 70.1%, and 89.8% on the four datasets. Our TF-VAEGAN outperforms f-VAEGAN on *all* datasets, achieving classification accuracies of 74.7%, 92.6%, 70.9%, and 92.1% on CUB, FLO, SUN and AWA, respectively. Similarly, the proposed TF-VAEGAN also performs favourably compared to existing methods on all datasets for both inductive (IN) and transductive (TR) GZSL settings.

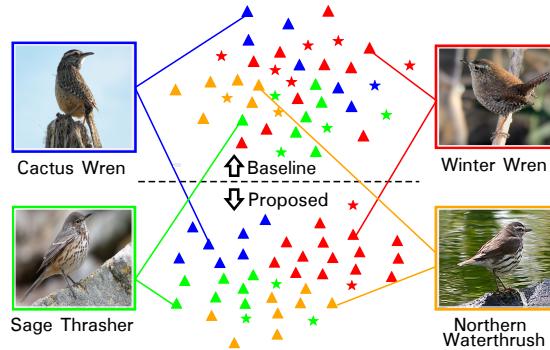
Some previous works, including f-VAEGAN [42] have reported results with fine-tuning the backbone network only using the seen classes (without violating the ZSL condition). Similar to f-VAEGAN, we fine-tune the backbone only using the seen classes. Tab. 2 shows the comparison with existing methods that have reported fine-tuning based ZSL/GZSL results. For inductive (IN) ZSL, f-VAEGAN obtains classification scores of 72.9%, 70.4%, 65.6%, and 70.3% on CUB, FLO, SUN and AWA, respectively. Our TF-VAEGAN achieves consistent improvement over f-VAEGAN on *all* datasets, achieving classification scores of 74.3%, 74.7%, 66.7%, and 73.4% on CUB, FLO, SUN and AWA, respectively. Our approach also improves over f-VAEGAN for transductive (TR) ZSL setting. In case of inductive (IN) GZSL, our TF-VAEGAN achieves gains (in terms of **H**) of 1.8%, 4.3%, 3.2%, and 1.5% on CUB, FLO, SUN and AWA, respectively over f-VAEGAN. A similar trend is also observed for transductive (TR) GZSL setting.

### 4.3 Ablation Study

**Baseline comparison:** We first compare our proposed TF-VAEGAN with the baseline f-VAEGAN [42] on CUB for (generalized) zero-shot recognition in both

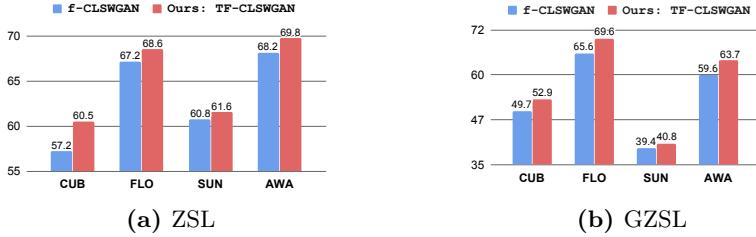
**Table 3:** Baseline performance comparison on CUB [39]. In both inductive and transductive settings, our **Feedback** and **T-feature** provide consistent improvements over the baseline for both ZSL and GZSL. Further, our final **TF-VAEGAN** framework, integrating both **Feedback** and **T-feature**, achieves absolute gains of 3.7% and 4.6% over the baseline, for ZSL and GZSL, respectively. Similarly, our **TF-VAEGAN** improves over the baseline with 4.1% and 7.3% for ZSL and GZSL, respectively

	INDUCTIVE			TRANSDUCTIVE				
	Baseline	Feedback	T-feature	TF-VAEGAN	Baseline	Feedback	T-feature	TF-VAEGAN
ZSL	61.2	62.8	64.0	<b>64.9</b>	70.6	71.7	73.5	<b>74.7</b>
GZSL	53.5	54.8	56.9	<b>58.1</b>	63.7	66.8	69.2	<b>71.0</b>



**Fig. 4:** t-SNE visualization [23] of test instances of four fine-grained classes in CUB [39] dataset. Both **Cactus Wren** and **Winter Wren** belong to the same family **Troglodytidae**. Further, **Cactus Wren** is visually similar to **Sage Thrasher** and **Northern Waterthrush**. Top: the baseline method struggles to correctly classify instances of these categories (denoted by  $\star$  with respective class color) due to inter-class confusion. Bottom: our approach improves the inter-class grouping and decreases misclassifications, leading to favourable performance

inductive and transductive settings. The results are reported in Tab. 3 in terms of average *top-1* classification accuracy for ZSL and harmonic mean of the classification accuracies of seen and unseen classes for GZSL. For the baseline, we present the results based on our re-implementation. In addition to our final TF-VAEGAN, we report results of our feedback module alone (denoted as **Feedback** in Tab. 3) without feature transformation utilized at classification stage. Moreover, the performance of discriminative feature transformation alone (denoted as **T-feature**), without utilizing the feedback is also presented. For the inductive setting, the baseline obtains a classification performance of 61.2% and 53.5% for ZSL and GZSL. Our **Feedback** improves the performance, achieving 62.8% and 54.8% for ZSL and GZSL. Similarly, a consistent performance improvement is also obtained by our **T-feature** over the baseline, for both ZSL and GZSL. The best results are obtained by our **TF-VAEGAN**, with gains of 3.7% and 4.6% over the baseline, for ZSL and GZSL, respectively. Similar to the inductive (IN) setting, our proposed approach TF-VAEGAN achieves favourable performance for both ZSL and GZSL in transductive (TR) settings. Fig. 4 shows t-SNE visualizations [23] of test instances from four example fine-grained classes of CUB. The comparison is shown between baseline and our **TF-VAEGAN** methods. While the baseline



**Fig. 5:** (a) ZSL and (b) GZSL performance comparison to validate the generalization capabilities of our contributions. Instead of a VAE-GAN architecture, we integrate our proposed contributions in the **f-CLSWGAN** framework. Our **TF-CLSWGAN** outperforms the vanilla **f-CLSWGAN** on all datasets. In particular, our **TF-VAEGAN** achieves absolute gains of 3.3% and 3.2% over the vanilla **f-CLSWGAN**, for ZSL and GZSL on CUB. Best viewed in zoom

struggles to correctly classify these test instances of fine-grained classes due to inter-class confusion, our **TF-VAEGAN** improves inter-class grouping leading to a favorable classification performance.

**Generalization capabilities:** Here, we base our approach on a VAE-GAN architecture [42]. However, our proposed contributions (a semantic embedding decoder at all stages of the ZSL pipeline and the feedback module) are generic and can also be utilized in other GAN-based ZSL frameworks. To this end, we perform an experiment by integrating our contributions in the **f-CLSWGAN** [41] architecture. Fig. 5 shows the comparison between the baseline **f-CLSWGAN** and our **TF-CLSWGAN** for ZSL and GZSL tasks, on all four datasets. Our **TF-CLSWGAN** outperforms the vanilla **f-CLSWGAN** in all cases for both ZSL and GZSL tasks.

**Feedback design choices:** Here, we explore the effect of changing the input to the feedback module  $F$  and its associated training strategy on CUB. Originally, the input to  $F$  is taken from discriminator  $D$  and the training of  $F$  is performed in a two-stage strategy. This setup is denoted by **TwoStage+D** and obtains classification performance of 61.4% and 53.3% for ZSL and GZSL. Instead, in our approach, the input to  $F$  is taken from SED  $Dec$ . This setup is denoted by **TwoStage+Dec** and achieves performance of 62.0% and 53.8% for ZSL and GZSL. Further, we utilize an alternate training strategy combined with **TwoStage+Dec** to facilitate the generator training, thereby improving feature synthesis. This setup, denoted by **Our Feedback**, achieves improved performance of 62.8% and 54.8% for ZSL and GZSL. These results show that (i) **TwoStage+Dec** provides improved performance over original **TwoStage+D** and (ii) the best results are obtained by **Our Feedback**, demonstrating the impact of our modifications for improved zero-shot recognition.

**Choice of latent embeddings for T-feature:** Here, we evaluate the impact of concatenating different embeddings from SED to the baseline features. We compare our proposed concatenation (**T-feature**) of baseline features with latent embeddings  $h$  of SED with both the original baseline features (**OrigFeat**) and the baseline features concatenated with the reconstructed attributes (**ConcatFeat**). On CUB, **OrigFeat** achieves 61.2% and 53.5% on ZSL and GZSL tasks, re-

**Table 4:** State-of-the-art ZSL and GZSL comparison on two action datasets. Our **TF-VAEGAN** improves over all existing methods, on both datasets

	GGM [27]	CLSWGAN [41]	CEVGAN [24]	Obj2action [13]	ObjEmb [25]	f-VAEGAN [42]	TF-VAEGAN
HMDB51	ZSL	20.7	29.1	30.2	24.5	-	31.1
	GZSL	20.1	32.7	36.1	-	-	35.6
UCF101	ZSL	20.3	37.5	38.3	38.9	40.4	38.2
	GZSL	17.5	44.4	49.4	-	-	47.2

spectively. **ConcatFeat** achieves gains of 1.6% and 2.0% over **OrigFeat**. In case of **ConcatFeat**, the reconstructed attributes have single feature representations per-class with inter-class separability but no intra-class diversity. Different to reconstructed attributes, the latent embeddings  $h$  possess both intra-class diversity (multiple feature instances per class) and inter-class separability. Our **T-feature** exploits these properties of latent embeddings with improved results over both **OrigFeat** and **ConcatFeat**. Compared to **OrigFeat**, **T-feature** obtains gains of 2.8% and 3.4% on ZSL and GZSL tasks, respectively.

## 5 (Generalized) Zero-Shot Action Recognition

Finally, we validate our **TF-VAEGAN** for action recognition in videos under ZSL and GZSL. Note that we utilize the same **TF-VAEGAN** as in object recognition, except for feature extraction stage. As in [24], we extract spatio-temporally pooled 4096-d I3D features [4] from pre-trained RGB and Flow I3D networks and concatenate them to obtain video features of size 8192. For HMDB51, a skip-gram model [26] is used to generate semantic embeddings of size 300, using action class names as input. For UCF101, we use semantic embeddings of size 115, provided with the dataset. Tab. 4 shows state-of-the-art comparison on HMDB51 [18] and UCF101 [37]. For fair comparison, we use same splits, embeddings and evaluation protocols as in [24]. On HMDB51, **f-VAEGAN** obtains classification scores of 31.1% and 35.6% for ZSL and GZSL. The work of [48] provides classification results of 24.4% and 17.5% for HMDB51 and UCF101, respectively for ZSL. Note that [48] also reports results using cross-dataset training on large-scale ActivityNet [3]. On HMDB51, CEVGAN [24] obtains 30.2% and 36.1% for ZSL and GZSL. Our **TF-VAEGAN** achieves 33.0% and 37.6% for ZSL and GZSL. Similarly, our approach performs favourably compared to existing methods on UCF101.

## 6 Conclusion

We propose an approach that utilizes the semantic embedding decoder (SED) at all stages (training, feature synthesis and classification) of a VAE-GAN based ZSL framework. Since SED performs inverse transformations in relation to the generator, its deployment at all stages enables exploiting complementary information with respect to feature instances. To effectively utilize SED during both training and feature synthesis, we introduce a feedback module that transforms the latent embeddings of the SED and modulates the latent representations of

the generator. We further introduce a discriminative feature transformation, during the classification stage, which utilizes the latent embeddings of SED along with respective features. Experiments on six datasets clearly suggest that our approach achieves favorable performance, compared to existing methods.

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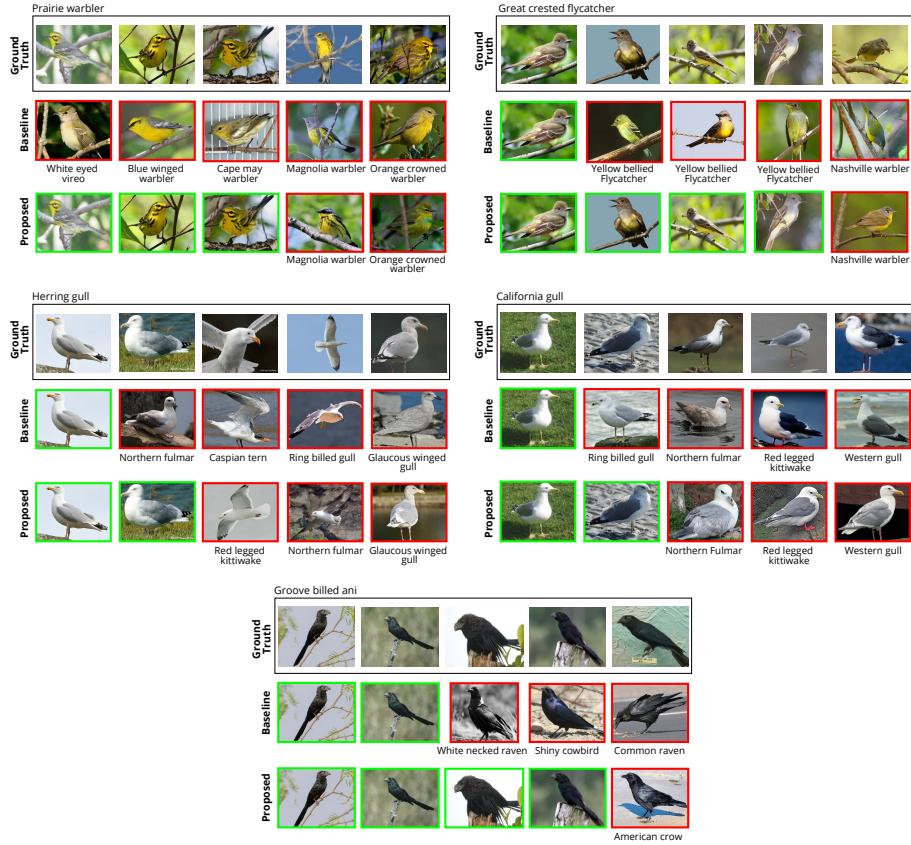
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## A Qualitative Analysis

Here, we qualitatively illustrate the performance of our TF-VAEGAN framework, in comparison to the baseline f-VAEGAN [42] method, on two fine-grained object recognition datasets: CUB and FLO. Fig. 6 and 7 present the comparison on CUB and FLO, respectively. For each dataset, images from five most confusing categories (with respect to the baseline f-VAEGAN) are shown. The comparison is illustrated for five image instances in each category. The ground truth instances are shown in the top row for each category, followed by the classification results of the baseline and proposed frameworks in second and third rows, respectively. Correctly classified images are marked with a green border, while the incorrectly classified images are marked with a red border. For the misclassifications, the name of the incorrectly predicted class is denoted below the instance for the respective methods.

**CUB:** The qualitative comparison between the baseline and the proposed approaches for the CUB [39] dataset is shown in Fig. 6. Five categories of birds that are most confusing for the baseline approach are presented. The categories are *Prairie warbler*, *Great crested flycatcher*, *Groove billed ani*, *Herring gull* and *California gull*. Generally, for all these categories, the baseline f-VAEGAN approach confuses with similar looking bird categories in the dataset. Our TF-VAEGAN reduces this confusion between similar looking classes and improves the classification performance. In Fig. 6, we observe that the baseline approach confuses *Prairie warbler* class with other similar looking *warbler* categories such as *Blue winged warbler*, *Magnolia warbler* and *Orange crowned warbler*. This confusion is reduced in the predictions of our TF-VAEGAN. Similarly, the confusion present, in the baseline method, between the *Great crested flycatcher* and other *flycatcher* categories is reduced for the proposed method. As a result, the overall classification performance improves for the proposed method over the baseline.

**FLO:** Fig. 7 shows the qualitative comparison for five categories of flowers from the Oxford Flowers [28] dataset that are most confusing for the baseline method. The categories are *Dafodil*, *Pink primrose*, *Siam tulip*, *King Protea* and *Common dandelion*. For all these categories, the proposed TF-VAEGAN reduces the confusion present between the similar looking classes in the baseline f-VAEGAN approach and improves the classification performance. In general, we observe that the instances are misclassified to other similar looking categories in the dataset. E.g., instances of *Common dandelion* are commonly misclassified as either *Colt's foot* or *Yellow iris*. All three categories have yellow flowers and share similar appearance. We observe that the baseline makes confused predictions with respect to these classes. However, the confusion is less in the predictions of the proposed TF-VAEGAN. This leads to a favourable improvement in the zero-shot classification performance for the proposed approach. Similar observations can also be made in the case of other categories. The baseline f-VAEGAN generally confuses *Dafodil* with *Globe flower* and *Yellow iris* due to the yellow colour, while *Pink primrose* is mostly confused with *Petunia* and *Monkshood* due to the pinkish petals in the flowers. The misclassifications are reduced when using the proposed TF-VAEGAN for classification, resulting in an improved performance.



**Fig. 6:** Qualitative comparison between the baseline and our proposed approach on the CUB [39] dataset. The comparison is based on the most confusing categories as per the baseline performance. For each category, while the top row denotes different variations of ground truth class instances, the second and third rows show the classification predictions by the baseline and proposed approaches, respectively. The green and red boxes denote correct and incorrect classification predictions, respectively. The class names under each red box show the corresponding incorrectly predicted label. In general, we observe that the instances are misclassified to other similar looking categories in the dataset. For instance, *Prairie warbler* is confused with *Blue winged warbler*, while *Groove billed ani* is confused commonly with *Common raven*. For all these categories, the proposed TF-VAEGAN reduces the confusion among similar looking classes in the baseline f-VAEGAN and improves the classification performance over the baseline. See associated text for additional details. Best viewed in color and zoom.



**Fig. 7:** Qualitative comparison between the baseline and our proposed approach on the Oxford Flowers [28] dataset. The comparison is based on the most confusing categories as per the baseline performance. For each category, while the top row denotes different variations of ground truth class instances, the second and third rows show the classification predictions by the baseline and proposed approaches, respectively. The green and red boxes denote correct and incorrect classification predictions, respectively. The class names under each red box show the corresponding incorrectly predicted label. In general, we observe that the instances are misclassified to other similar looking categories in the dataset. For instance, *Common dandelion* is confused with *Colt's foot*, while *Pink primrose* is confused with *Petunia*. For all these categories, the proposed TF-VAEGAN reduces the confusion among similar looking classes in the baseline f-VAEGAN and improves the classification performance over the baseline. See associated text for additional details. Best viewed in color and zoom.