# Goodreads Recommendations

# Eitan Angel

# July 24, 2019

## Contents

| 1 | 1.1<br>1.2<br>1.3   | oduction         Problem: Make Book Recommendations for Goodreads Users | 3<br>3<br>3  |
|---|---|---|--|
| 2 | Expl<br>2.1<br>2.2<br>2.3                                   | Books   | 3<br>7<br>8  |
| 3 | 3.1<br>3.2<br>3.3<br>3.4                                    | Ratings Matrix  | 9<br>11<br>12<br>12<br>13<br>17                    |
|   |   | ic Extraction & Recommendations  f Figures                              | 18   |
|   | 1<br>2<br>3<br>4<br>5<br>6<br>7<br>8<br>9<br>10<br>11<br>12 | Baseline matrix  NMF-W-1  NMF-H-1  NMF-1                                | 4<br>5<br>7<br>8<br>8<br>9<br>10<br>11<br>12<br>12 |
|   | 13  | NMF-10-Left   | 1  |

| 14      | NMF-H-10                    | 14             |
|---------|-----------------------------|----------------|
| 15      | NMF-10-Left-Close           | 14             |
| 16      | NMF-10-Left-Center-Close    | 14             |
| 17      | NMF-50-Left-Close           | 15             |
| 18      | NMF-50-Left-Center-Close    | 15             |
| 19      | NMF-H-50                    | 15             |
| 20      | NMF-250-Left-Close          | 16             |
| 21      | NMF-250-Left-center-Close   | 16             |
| 22      | RMSE Comparison             | 17             |
| 23      | L1- and L2-regularization   | 18             |
|         |                             |                |
| List o  | of Tables                   |                |
| 1       | Most Rated Books            | 5              |
| 2       | Most Highly-Rated Books     | 6              |
| 3       | Oldest Books                |                |
| 4       | Greatest Ratings Ratio      |                |
| 5       | Least Ratings Ratio         |                |
| 6       | ratings.csv and to_read.csv |                |
| 7       | User Profile                | 18             |
| 8       |                             |                |
| 0       | book_tags.csv and tags.csv  | 19             |
| 9       | book_tags.csv and tags.csv  |                |
| 9<br>10 | Stephen King $(k = 10)$     | 19             |
|         | Stephen King ( $k = 10$ )   | 19<br>20       |
| 10      | Stephen King $(k = 10)$     | 19<br>20<br>21 |

#### 1 Introduction

#### 1.1 Problem: Make Book Recommendations for Goodreads Users

Goodreads is a social site for readers and for book recommendations. In this project we make recommendations to existing users of books they would most enjoy which they have not yet rated. To do so, we use a collaborative filtering filtering approach and compare the error in our recommendations to the error of some baseline models. Once we have made this model it is not so difficult to provide recommendations to new users who are willing to rate a few books.

#### 1.2 Data: Goodbooks-10k

This is a dataset scraped from Goodreads of the 10,000 most popular books (by number of ratings). It contains book ratings by over 50,000 users, as well as user-created tags, including books tagged "to-read" and considerable data on the books themselves in both a .csv file and in an archive of .xml files. The basic model will only consider the explicit book ratings although a next step is to find implicit relationships, say among tags and users or books.

#### 1.3 Approach: Collaborative Filtering via Matrix Factorization

We will use a Funk SVD-like collaborative-filtering approach. First we create a user-book matrix of ratings V (sparsity  $\approx$  99%). Following that, we can use Non-negative Matrix Factorization (NMF) to find matrices W and W which decompose W as W as W minimizing a root-mean-square error (RMSE) between W and W.

Consider W to be matrix of latent user features and H to be a matrix of latent book features. By matrix completion, we mean to consider the matrix A = WH as "filling in" those ratings which are blank in V. To make recommendations for a user, return the top-N values in the row of A corresponding to that user (which they have not already rated). We can compare the RMSE matrix factorization techniques to various simpler baseline models.

While we only consider the explicit information of the matrix of user ratings in our model, there are many clear avenues for improvement. A slightly complex model which takes into account user co-likes and co-dislikes is discussed in [TLLL18]. The general idea of modifying matrix completion algorithms to account for implicit information (e.g. tags) began with Netflix's SVD++. Matrix completion techniques are surveyed in [RYL+18].

## 2 Exploratory Data Analysis

While the dataset has considerable features and metadata on books and tags, we will focus on ratings. The three relevant files are books.csv, ratings.csv, and to\_read.csv.

#### 2.1 Books

The file books.csv has a row for each of the 10,000 most rated books on Goodreads and the following 23 columns: book\_id, goodreads\_book\_id, best\_book\_id, work\_id, books\_count, isbn, isbn13, authors, original\_publication\_year, original\_title, title, language\_code, average\_rating, ratings\_count, work\_ratings\_count, work\_text\_reviews\_count, ratings\_1, ratings\_2, ratings\_3, ratings\_4, ratings\_5, image\_url, small\_image\_url.

We will inspect whether average\_rating is influenced by other books.csv features, as well as some of the top-rated books, oldest books, most- and least-reviewed books

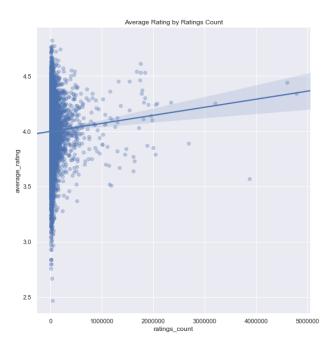


Figure 1: There is some effect of ratings\_count on average\_rating - more popular books are better rated.

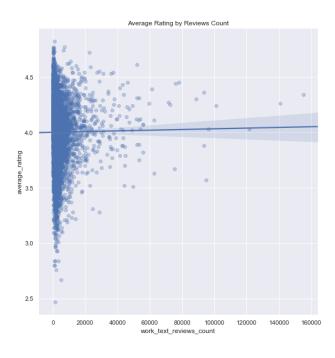


Figure 2: The number of reviews does not have a significant effect on average\_rating.

| authors                     | title                           | avg_rating | ratings |
|-----------------------------|---------------------------------|------------|---------|
| Suzanne Collins             | The Hunger Games (The           | 4.34       | 4942365 |
| J.K. Rowling, Mary GrandPré | Harry Potter and the Sorcerer's | 4.44       | 4800065 |
| Stephenie Meyer             | Twilight (Twilight, #1)         | 3.57       | 3916824 |
| Harper Lee                  | To Kill a Mockingbird           | 4.25       | 3340896 |
| F. Scott Fitzgerald         | The Great Gatsby                | 3.89       | 2773745 |
| John Green                  | The Fault in Our Stars          | 4.26       | 2478609 |
| Veronica Roth               | Divergent (Divergent, #1)       | 4.24       | 2216814 |
| J.R.R. Tolkien              | The Hobbit                      | 4.25       | 2196809 |
| Jane Austen                 | Pride and Prejudice             | 4.24       | 2191465 |
| J.D. Salinger               | The Catcher in the Rye          | 3.79       | 2120637 |

Table 1: The most popular books on Goodreads.

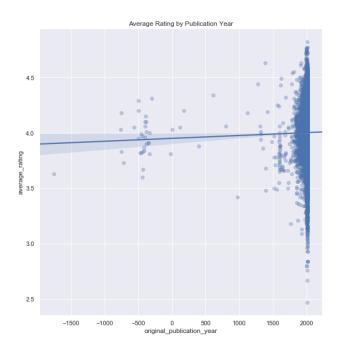


Figure 3: The effect of  $original_publication_year$  on average\_rating is not significant. Negative values are books published 1 BCE or earlier.

| authors                     | title  | average_rating |
|-----------------------------|--|----------------|
| Bill Watterson              | The Complete Calvin and Hobbes               | 4.82           |
| J.K. Rowling, Mary GrandPré | Harry Potter Boxed Set, Books 1-5            | 4.77           |
| Brandon Sanderson           | Words of Radiance (The Stormlight            | 4.77           |
| Francine Rivers             | Mark of the Lion Trilogy                     | 4.76           |
| Anonymous                   | ESV Study Bible                              | 4.76           |
| Bill Watterson              | It's a Magical World: A Calvin and           | 4.75           |
| Bill Watterson              | There's Treasure Everywhere: A Calvin        | 4.74           |
| J.K. Rowling                | Harry Potter Boxset (Harry Potter, #1-7)     | 4.74           |
| J.K. Rowling                | Harry Potter Collection (Harry Potter, #1-6) | 4.73           |
| Bill Watterson              | The Indispensable Calvin and Hobbes          | 4.73           |

Table 2: Calvin & Hobbes and Harry Potter dominate the average ratings.

| authors                 | year           | title  |
|-------------------------|----------------|--|
| Anonymous               | -1750.0        | The Epic of Gilgamesh                          |
| Homer, Robert Fagles    | -762.0         | The Iliad/The Odyssey                          |
| Homer, Robert Fagles    | <i>-</i> 750.0 | The Iliad                                      |
| Anonymous               | -750.0         | The I Ching or Book of Changes                 |
| Homer, Robert Fagles    | -720.0         | The Odyssey                                    |
| Aesop, Laura Harris     | -560.0         | Aesop's Fables                                 |
| Anonymous, Juan Mascaró | -500.0         | The Upanishads: Translations from the Sanskrit |
| Sun Tzu, Thomas Cleary  | -500.0         | The Art of War                                 |
| Anonymous               | -500.0         | The Dhammapada                                 |
| Confucius, D.C. Lau     | -476.0         | The Analects                                   |

Table 3: The oldest books in the dataset.

| authors                     | title                      | avg  | count | ratio |
|-----------------------------|----------------------------|------|-------|-------|
| Cynthia Hand, Brodi Ashton, | My Lady Jane (The Lady     | 4.12 | 12794 | 0.274 |
| Amie Kaufman, Jay Kristoff, | Gemina (The Illuminae      | 4.56 | 10960 | 0.265 |
| Amie Kaufman, Jay Kristoff  | Illuminae (The Illuminae   | 4.32 | 44500 | 0.264 |
| Angie Thomas                | The Hate U Give            | 4.62 | 32610 | 0.236 |
| Stephanie Garber            | Caraval                    | 3.97 | 30975 | 0.233 |
| Marissa Meyer               | Heartless                  | 4.06 | 33348 | 0.233 |
| Sarah Pinborough            | Behind Her Eyes            | 3.77 | 17944 | 0.231 |
| Julianne Donaldson          | Edenbrooke (Edenbrooke     | 4.34 | 28536 | 0.229 |
| Pam Muñoz Ryan              | Echo                       | 4.36 | 14864 | 0.225 |
| Victoria Schwab             | This Savage Song (Monsters | 4.14 | 17210 | 0.225 |

Table 4: The ratings ratio is work\_text\_reviews\_count divided by work\_ratings\_count. The majority of the greatest ratings ratio books are romance novels.

| authors                          | title                               | avg  | count  | ratio    |
|----------------------------------|-------------------------------------|------|--------|----------|
| Cynthia J. McGean                | Henry & Ramona                      | 4.14 | 11106  | 0.000270 |
| John D. Rateliff, J.R.R. Tolkien | The History of the Hobbit, Part One | 3.81 | 108399 | 0.000424 |
| Frank Miller                     | Sin City: Una Dura Despedida        | 4.21 | 9115   | 0.000439 |
| Janet Evanovich                  | Janet Evanovich Three and Four      | 4.34 | 63691  | 0.000612 |
| Dean Koontz, Leigh Nichols       | Cold Fire / Hideaway / The Key to   | 4.16 | 17581  | 0.000626 |
| Mark Cotta Vaz                   | The Twilight Saga Breaking Dawn     | 4.30 | 188136 | 0.000712 |
| Richard Lancelyn Green,          | The Further Adventures of Sherlock  | 4.40 | 36863  | 0.000976 |
| Amazon                           | Kindle Paperwhite User's Guide      | 3.72 | 15002  | 0.001037 |
| John Williams                    | Harry Potter and the Chamber of     | 4.61 | 29409  | 0.001054 |
| Jenö Barcsay                     | Anatomy for the Artist              | 3.97 | 21640  | 0.001107 |

Table 5: Books with the least ratings ratio.

Table 6: ratings.csv and to\_read.csv

| user id | book_id | rating | - | user_id | book_id |
|---------|---------|--------|---|---------|---------|
|         |         | 0      | · | 9       | Q       |
| 1       | 258     | 5      |   | . –     | 0       |
| 2       | 4081    | 1      |   | 15      | 398     |
|         |         | 4      |   | 15      | 275     |
| 2       | 260     | 5      |   |         |         |
| 2       | 9296    | 5      |   | 37      | 7173    |
| _       |         | -      |   | 34      | 380     |
| 2       | 2318    | 3      | , |         |         |
|         |         |        |   |         |         |

<sup>53,424</sup> users, and 10,000 books.

#### Ratings 2.2

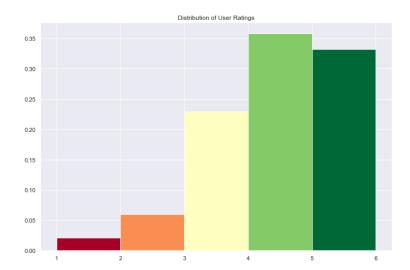


Figure 4: Ratings of 4 or 5 are by far most common.

<sup>(</sup>a) ratings.csv consists of 5,976,479 entries, 48,871 unique user\_ids, and 9,986 unique book\_ids.

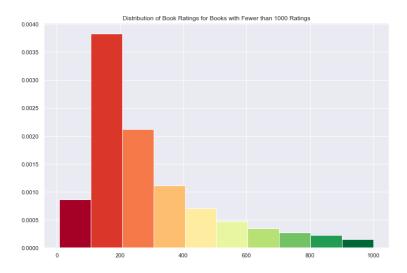


Figure 5: The distribution of ratings by book in ratings.csv is left skew. The range is 8–22806 though the interquartile range is 155–503. Since the tail is long we plot the distribution for books with fewer than 1000 ratings.

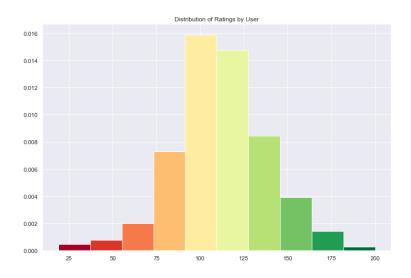


Figure 6: The range of reviews by user is 19–200.

#### 2.3 Tags

We use the user-generated book tags to assist in interpretation of the model. book\_tags.csv has the top 100 user-generated tags for each book along with the tag counts by book. Most users tag at least one book to-read and almost all books are tagged to-read by some user. We can optionally let users decide against recommendations of books tagged to-read.

### 3 Models

### 3.1 Ratings Matrix

First collect the user-book ratings into a matrix V with rows indexed by the ordered set of users U, ordered by user\_id, and columns indexed by the ordered set of books B, ordered by book\_id. As the set of ratings R are integers 1-5, we consider no rating to be a 0 in this representation. Given the matrix V, a baseline model we consider is the mean book rating, that is, the mean along columns, as a recommendation value; these recommendations are identical across users.

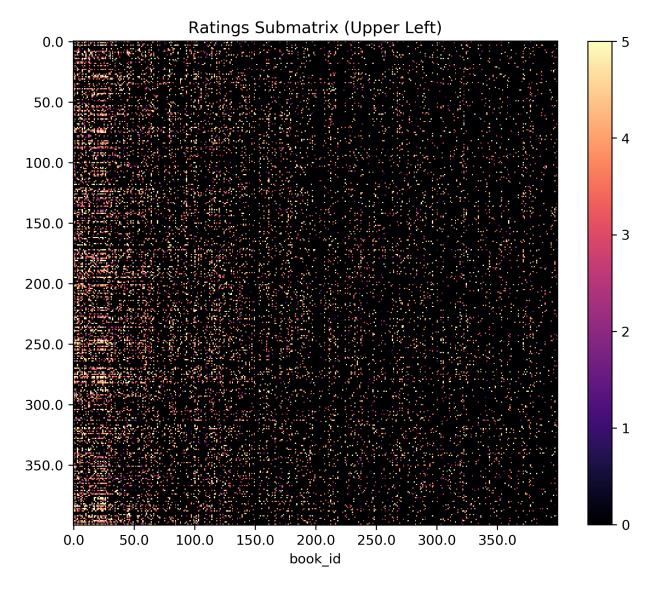


Figure 7: The first 400 rows and columns of the ratings matrix.  $||V||_F = 9884.39$ .

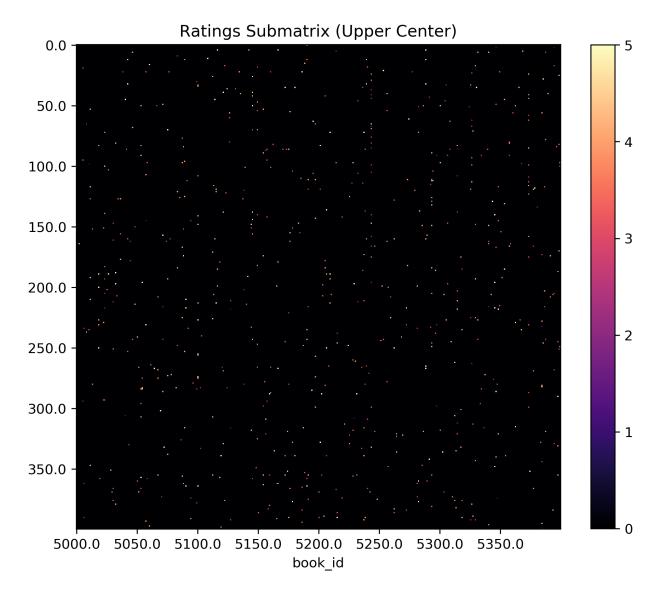


Figure 8: The upper center of the ratings matrix. book\_id is ordered by overall ratings. The density of the matrix is 1.12%.

Denote the number of users and books by  $n_u = |U|$  and  $n_b = |B|$  respectively. The models we construct are matrix factorizations of  $V \in \mathsf{M}_{n_u \times n_b}(R)$ , where R is the set of rating values. A choice of the number of latent factors, k, as well as hyperparameter choices, determine a *matrix factorization model*, which is a factorization of V into a matrix  $W \in \mathsf{M}_{n_u \times k}(\mathbb{R}_{\geq 0})$  and a matrix  $H \in \mathsf{M}_{k \times n_b}(\mathbb{R}_{\geq 0})$  such that  $V \approx WH$ .

To be more explicit, we represent  $V \in M_{n_u \times n_b}(\mathbb{R}_{\geq 0})$  and use the non-negative matrix factorization implementation of scikit-learn, sklearn.decomposition.NMF, to return two matrices W and H minimizing the loss function

$$\mathcal{L} = \frac{1}{2} \|V - WH\|_F^2, \tag{1}$$

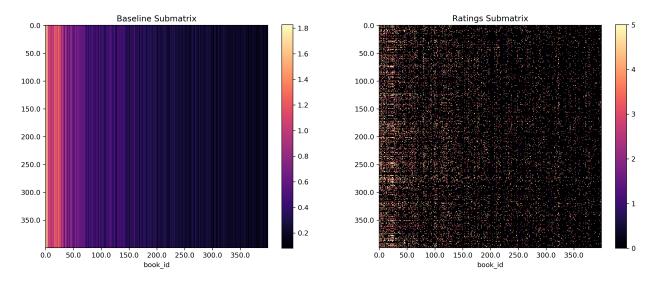


Figure 9: The mean book rating along each column including no ratings. The RMSE is 9584.66.

where  $\| \bullet \|_F$  is the Frobenius norm

$$||X||_F = \sqrt{\sum_{i,j} X_{ij}^2},$$

that is, the L2-norm. [LS01] describes the algorithms used by scikit-learn for matrix factorization. In minimizing  $\mathcal{L}$ , we are minimizing the root-mean-square error (RMSE) between V and WH. In analogy to ElasticNet, we also explore L1- and L2-regularization in hyperparameters, in which we minimize the loss function

$$\mathcal{L}_{\text{reg}} = \frac{1}{2} \|V - WH\|_F^2 + \lambda_1(\|W\|_1 + \|H\|_1) + \lambda_2 \cdot \frac{1}{2} (\|W\|_F^2 + \|H\|_F^2), \tag{2}$$

where  $\| \bullet \|_1$  is the *L*1-norm

$$||X||_1 = \sum_{i,j} |X_{ij}|$$

and  $\lambda_1, \lambda_2 \in \mathbb{R}_{>0}$  are hyperparameters.

[RYL $^+$ 18] is a helpful survey of matrix factorization techniques for recommendation which suggests that L2-regularization is helpful to prevent overfitting while L1-regularization can control density. We examine some effects of regularization in 3.4.

#### 3.2 Baseline Model

As a baseline model, take the mean rating for each book as the value along each column of the ratings matrix V. This yields a vector of length  $n_b$  which makes uniform predictions across users. A plot of the baseline model alongside the ratings matrix is in Figure 9.

The RMSE of the baseline model is 9584.66, which is a markedly lower score than  $||V||_F =$  9884.39. A lower score does mean that the baseline model does in fact approximate V. Scores are lower when we subtract matrices from V which have entries closer to V's entires (in the L2 sense).

#### 3.3 Factorizations

We can think of W as a matrix of *user preferences* for book profiles. A row  $w_u$  of W is a vector of length k which describes the degree to which each of the k latent factors influences user preferences for books. Similarly, we can think of H as a matrix of books preferenced by user profiles; a column  $h_b$  of H describes the degree to which each of the k latent factors influences that book's preferences by users. The dot product  $a_{ub} = w_u h_b^T$  captures the correlation between user u and and book b; we consider the matrix A = WH to be a "completion" of V.

There are a few advantages and interpretations of matrix factorization.

- While a dense matrix of size  $n_u \times n_b$  is a few GB, for low k, H and W are only a few MB.
- Since H and W are (for  $k < n_u, n_b$ ) low-rank matrices relative to the size of V, matrix factorization can be considered a dimensionality reduction technique.
- Matrix factorization has various equivalencies with *K*-means clustering, as described in [DHS05].
- We interpret the latent factors as clusterings, which is the justification for topic modeling in section 4.
- The latent factors, *H* and *W*, can be used as training vectors for other models besides matrix completions.

#### **3.3.1** k = 1

Choosing a number of latent factors k=1 acts as a sort of baseline model as well. In this case H is a vector of book ratings aggregated by user – while W gives the component of each user in the H 'direction'. In other words, W describes how 'close' each user's ratings are to the aggregated book ratings. The vector H is highly correlated to the column means of the baseline model, so recommendations from these two models are very similar, but the k=1 model scores better since it also takes into account how much each user's ratings are correlated to the aggregated book ratings. We now have not only a row vector of book rating means but a column vector of user correlations to the aggregated book ratings.



NMF W 1

20.0

40.0

60.0

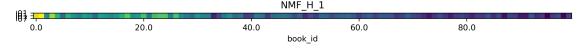


Figure 11: A portion of the book preferenced matrix (k = 1).

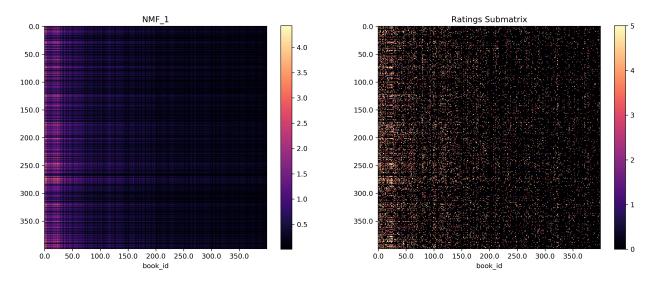


Figure 12: The matrix reconstruction compared aside the ratings matrix (k = 1).

#### 3.3.2 k > 1

We have trained models for  $k \in \{1, 10, 25, 50, 100, 250\}$ . Lesser values of k give more interpretable models, as we describe in section 4, whereas greater values of k give more accurate models, as in Figure 20. Upon viewing the matrices, we can also see that the matrix reconstruction becomes finer and makes more 'confident' recommendations for less popular books. For lower values of k, the rows exhibit strong correlations between each other. No regularization is applied to any of the models below, but we discuss and demonstrate the effects in section 3.4.

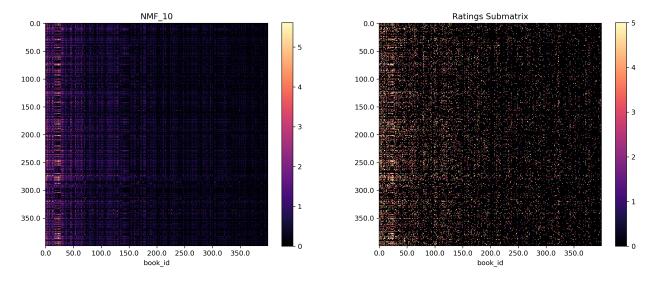


Figure 13: Now the reconstruction clearly captures features of the ratings matrix.

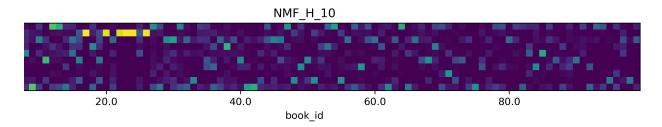


Figure 14: The size of the k = 10 model is 5MB.

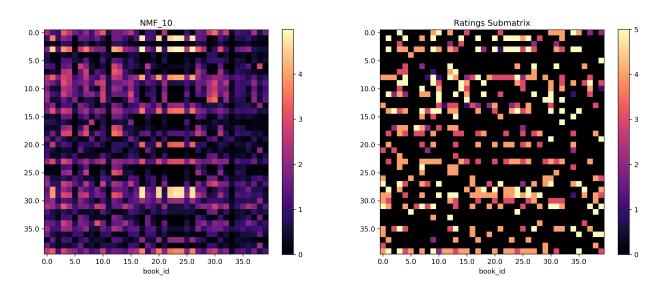


Figure 15: Looking closer, we can see that the reconstruction fills in entries with no rating in the ratings matrix.

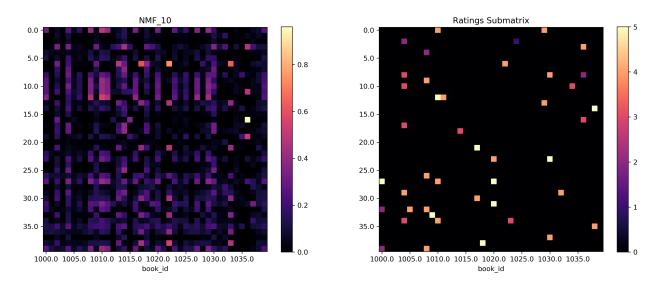


Figure 16: Moving 1000 columns to the right, we see a sparser portion of the matrix.

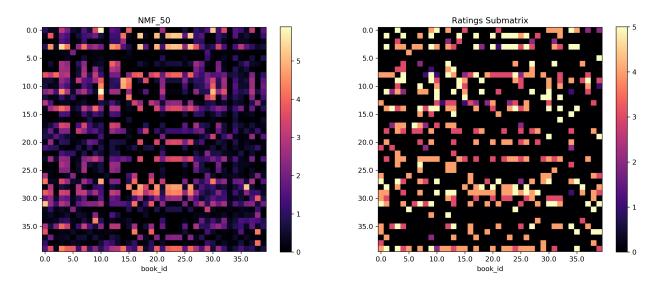


Figure 17: Visually, at k = 50, we see the rows are less correlated; each row is a linear combination of 50 vectors rather than 10 as in the k = 10 case.

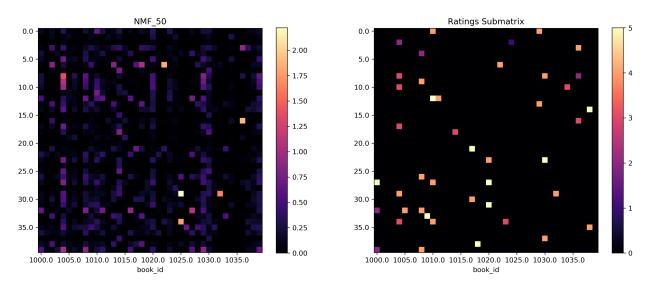


Figure 18: For k=50 the correlations in sparser areas of the matrix reconstruction are stronger than for k=10.

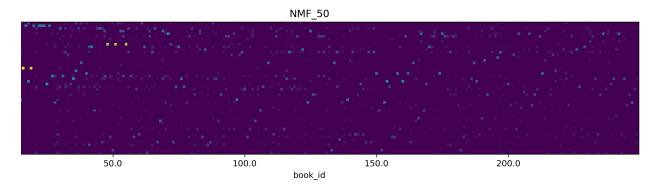


Figure 19: The size of the k = 50 model is 25MB. The first few hundred columns of H are shown.

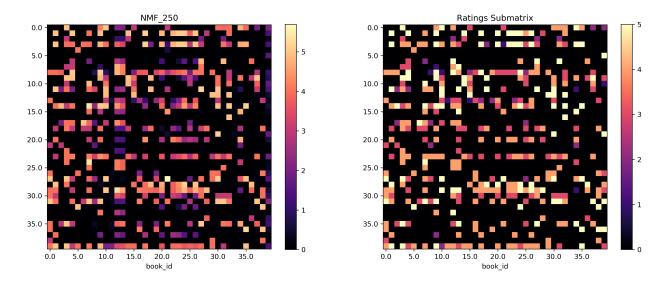


Figure 20: k = 250 uses roughly 125MB. While in the upper left  $400 \times 400$ , there are some points such that the reconstruction value is as great as 14, it is notable that none of the values shown is greater than 6.

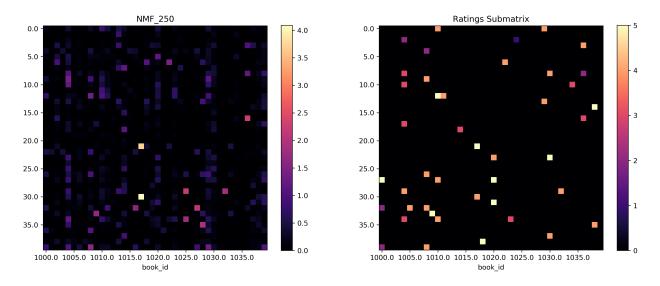


Figure 21: For k = 250 the correlations in sparser areas of the matrix reconstruction are considerably greater than in k = 50 or k = 10.

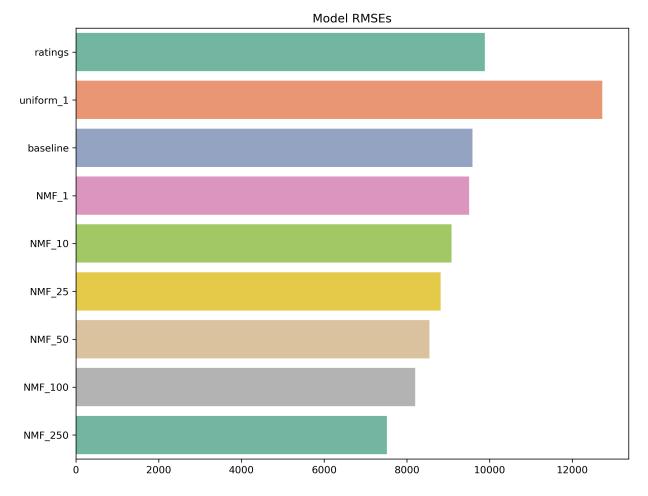


Figure 22: The k = 250 model factorization requires roughly 45 minutes to compute on Kaggle's platform; it may be reasonable to consider larger factorizations for recommendations.

#### 3.4 Hyperparameters

The hyperparameters of sklearn.decomposition.NMF are similar to those of sklearn.linear\_models.ElasticNet in that we can tune the magnitude  $\alpha:=\lambda_1+\lambda_2$  and the l1\_ratio,  $\rho=\frac{\lambda_1}{\lambda_1+\lambda_2}$ , where  $\lambda_1$  and  $\lambda_2$  are as in equation (2). Figure 23 shows the effects of L1-and L2-regularization for k=50. L2-regularization does not seem to help RMSE much except for some of the largest values of k we examine, and even then only marginally, so none of the models above include any L2-regularization.

L1-regularization is useful in controlling sparsity. This lowers RMSE but could still be advantageous as it 'zeros out' entries with very low correlation which would not be a factor in our recommendations anyway. A dense matrix of size  $n_u \times n_b$  is a few GB, which is quite tractable, so we do not apply any L1-regularization to the models above. In a more realistic situation, we may expect  $n_b, n_u \approx 10^6$  rather than  $n_b, n_u \approx 10^4$ , so that a model with sparse reconstructions may be advantageous at a deployment or engineering phase.

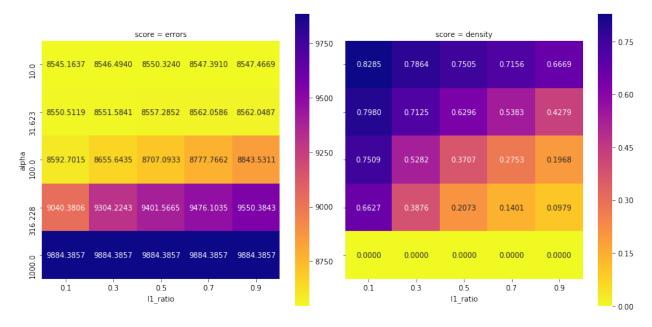


Figure 23: k = 50. We can see an accuracy/sparsity trade-off between L1- and L2-regularization.

### 4 Topic Extraction & Recommendations

Once we have constructed the model we can use the latent factors to cluster books, make user profiles based on that clustering, and recommend books based on user components in each cluster. The book preferenced matrix H contains a column vector  $h_b$  of length k for each book  $b \in B$ . The components of  $h_b$  indicate the correlation between book b and the  $\ell^{\text{th}}$  latent factor.

We use two approaches to interpret each latent factor in order to name book topics. The first is to sort the values within each row  $h^{\ell}$ , for  $1 \leq \ell \leq k$ , of H in descending order and list the associated top books indexing those values. The top values of  $h^7$  are shown in Table 9

The second is to collect top user-generated tags for each latent factor: The file book\_tags.csv contains a count of user-generated tags  $n_{b,t}$  for each book b for the 100 most used tags t per book. For each latent factor  $\ell$ ,  $1 \le \ell \le k$ , use as weights the  $\ell^{\text{th}}$  row of H,  $h^{\ell}$ , which

|                         | 9    |
|-------------------------|------|
| topic_name              |      |
| Harry Potter            | 0.29 |
| Modern Classics         | 0.22 |
| Fiction                 | 0.22 |
| Twilight & Fifty Shades | 0.12 |
| Austen & Brontës        | 0.06 |
| Thrillers               | 0.02 |
| Stephen King            | 0.00 |
| Children's              | 0.00 |
| Young Adult             | 0.00 |
| Fantasy & Sci-Fi        | 0.00 |
|                         |      |

Table 7: The vector  $w_9$  describes user\_id 9's preferences for each of the k = 10 book topics.

scores how much each book is correlated with latent factor  $\ell$ . Then compute the weighted sum of tag counts  $n_{b,t}$  over all tags t associated to all books b. The resulting tag rank  $r_t^{\ell}$  for tag t in latent factor  $\ell$  is defined as

$$r_t^\ell = \sum_b h_b^\ell n_{b,t}.$$

In Table 10, we show the tag ranking for each latent factor for k = 10.

For making recommendations, we should use our most complex model (k = 250). To make recommendations for a given user u, multiply row u of W,  $w_u$ , by H to obtain the completion

vector  $a_u = w_u \cdot H$ , then select the top (unrated) values. This is advantageous in that we do not need to reconstruct the entire completion matrix A = WH in order to create recommendations for a single user.

In addition, we can use the book topics we named in the previous section (k = 10) to make a user profile, showing the user's preferences for each category. This is merely the vector  $w_u$ , the  $u^{\text{th}}$  row of W.

Table 8: book\_tags.csv and tags.csv

| goodreads_book_id | tag_id | count  | tag_id | tag_name    |
|-------------------|--------|--------|--------|-------------|
| 1                 | 30574  | 167697 | 0      | -           |
| 1                 | 11305  | 37174  | 1      | -1-         |
| 1                 | 11557  | 34173  | 2      | -10-        |
| 1                 | 8717   | 12986  | 3      | <b>-12-</b> |
| 1                 | 33114  | 12716  | 4      | -122-       |
| (a) book_tags.csv |        |        | (b) t  | ags.csv     |

| authors                        | title                               |
|--------------------------------|-------------------------------------|
| Stephen King                   | It                                  |
| Stephen King, Bernie Wrightson | The Stand                           |
| Stephen King                   | The Shining (The Shining #1)        |
| Stephen King                   | Misery                              |
| Stephen King                   | Carrie                              |
| Stephen King                   | Pet Sematary                        |
| Stephen King                   | 'Salem's Lot                        |
| Stephen King                   | Needful Things                      |
| Stephen King                   | The Gunslinger (The Dark Tower, #1) |
| Stephen King                   | The Green Mile                      |
| Stephen King                   | The Dead Zone                       |
| Stephen King                   | Firestarter                         |

Table 9: The top-scoring books in topic 7 (k = 10) are all Stephen King novels.

Table 10: The top tags in each topic computed via sum of tags for each book in topic, weighted by component of book in topic.

| Modern Classics    | Harry Potter       | Fiction            | Fantasy & Sci-Fi | Thrillers        |
|--------------------|--------------------|--------------------|------------------|------------------|
| classics           | fantasy            | historical-fiction | fantasy          | mystery          |
| classic            | young-adult        | young-adult        | science-fiction  | thriller         |
| science-fiction    | harry-potter       | book-club          | sci-fi           | fantasy          |
| sci-fi             | ya                 | classics           | classics         | young-adult      |
| literature         | series             | mystery            | young-adult      | crime            |
| fantasy            | magic              | fantasy            | series           | suspense         |
| school             | childrens          | contemporary       | sci-fi-fantasy   | series           |
| novels             | re-read            | ya                 | adventure        | science-fiction  |
| dystopian          | adventure          | romance            | epic-fantasy     | john-grisham     |
| historical-fiction | children           | non-fiction        | ya               | default          |
| dystopia           | children-s         | dystopia           | kindle           | mystery-thriller |
| young-adult        | all-time-favorites | kindle             | audiobook        | sci-fi           |

| Young Adult     | Children's       | Stephen King    | Twilight & Fifty Shades | Austen & Brontës   |
|-----------------|------------------|-----------------|-------------------------|--------------------|
| young-adult     | childrens        | horror          | young-adult             | classics           |
| fantasy         | classics         | stephen-king    | fantasy                 | fantasy            |
| ya              | children         | fantasy         | romance                 | classic            |
| dystopian       | children-s-books | thriller        | vampires                | young-adult        |
| romance         | fantasy          | king            | ya                      | romance            |
| series          | children-s       | science-fiction | paranormal              | historical-fiction |
| dystopia        | young-adult      | default         | series                  | literature         |
| science-fiction | picture-books    | classics        | dystopian               | school             |
| sci-fi          | childhood        | sci-fi          | dystopia                | historical         |
| paranormal      | kids             | mystery         | vampire                 | novels             |
| adventure       | poetry           | supernatural    | paranormal-romance      | clàssics           |
| teen            | childrens-books  | suspense        | urban-fantasy           | ya                 |

| 3                                       |  |
|---|--|
| authors                                 | title  |
| Douglas Adams                           | The Hitchhiker's Guide to the Galaxy (Hitchhik |
| Orson Scott Card                        | Ender's Game (Ender's Saga, #1)                |
| Frank Herbert                           | Dune (Dune Chronicles #1)                      |
| Isaac Asimov                            | Foundation (Foundation #1)                     |
| Ray Bradbury                            | Fahrenheit 451                                 |
| George Orwell, Erich Fromm, Celâl Üster | 1984   |
| Neil Gaiman                             | American Gods (American Gods, #1)              |
| Aldous Huxley                           | Brave New World                                |
| Alan Moore, Dave Gibbons, John Higgins  | Watchmen                                       |
| Isaac Asimov                            | I, Robot (Robot #0.1)                          |
| Philip K. Dick, Roger Zelazny           | Do Androids Dream of Electric Sheep?           |
| Michael Crichton                        | Jurassic Park (Jurassic Park, #1)              |

Table 11: Further clustering leads to further refinements in topics. For example, in k=25 there is a single sci-fi topic while k=10 had a Sci-Fi and Fantasy topic; there are many fantasy topics centered around more specific fantasy series for k=25.

| 4                            | 7   |
|------------------------------|---|
| title                        | title   |
| The Shining (The Shining #1) | The Drawing of the Three (The Dark Tower, #2) |
| It                           | The Waste Lands (The Dark Tower, #3)          |
| Misery                       | Wizard and Glass (The Dark Tower, #4)         |
| The Stand                    | Wolves of the Calla (The Dark Tower, #5)      |
| Carrie                       | The Dark Tower (The Dark Tower, #7)           |
| Pet Sematary                 | The Gunslinger (The Dark Tower, #1)           |
| 'Salem's Lot                 | Song of Susannah (The Dark Tower, #6)         |
| Needful Things               | The Wind Through the Keyhole (The Dark Tower, |
| Cujo                         | The Eyes of the Dragon                        |
| Firestarter                  | The Talisman (The Talisman, #1)               |
| The Dead Zone                | Hearts in Atlantis                            |
| Christine                    | Different Seasons                             |

(a) For k=25 there are two Stephen King topics (thus author columns excluded); but there is a clear distinction between the type of books in each topic.

| tag_name 4      |           | tag_name            |           |
|-----------------|-----------|---------------------|-----------|
| horror          | 764504.41 | fantasy             | 247250.45 |
| stephen-king    | 330394.24 | stephen-king 102357 |           |
| fantasy         | 138616.48 | horror              | 98633.96  |
| thriller        | 100242.94 | science-fiction     | 26623.75  |
| king            | 72494.46  | king                | 23965.85  |
| classics        | 67286.23  | series              | 23063.93  |
| science-fiction | 55149.26  | sci-fi              | 22892.69  |
| default         | 54161.39  | default             | 18704.06  |
| mystery         | 43744.66  | western             | 14983.82  |
| sci-fi          | 43039.65  | dark-tower          | 14601.85  |

<sup>(</sup>b) While Stephen King titles may be familiar, the tag rankings for each topic assist in distinguishing topics especially if we are unfamiliar with the authors and titles.

| authors                | title                        | ratings_count | model | rating |
|------------------------|------------------------------|---------------|-------|--------|
| Truman Capote          | In Cold Blood                | 381652        | 5.21  | 5.00   |
| Jane Austen            | Pride and Prejudice          | 2035490       | 5.08  | 5.00   |
| David Sedaris          | Me Talk Pretty One Day       | 495736        | 5.05  | 5.00   |
| F. Scott Fitzgerald    | The Great Gatsby             | 2683664       | 5.05  | 5.00   |
| Mark Haddon            | The Curious Incident of the  | 867553        | 5.02  | 5.00   |
|                        | Dog in the Night-Time        |               |       |        |
| George Orwell, Erich   | 1984                         | 1956832       | 4.79  | 5.00   |
| Fromm, Celâl Üster     |                              |               |       |        |
| Sylvia Plath           | The Bell Jar                 | 401605        | 4.54  | 4.00   |
| Stephenie Meyer        | Eclipse (Twilight, #3)       | 1134511       | 4.41  | 4.00   |
| Jeffrey Eugenides      | Middlesex                    | 488243        | 4.32  | 4.00   |
| Stephenie Meyer        | Breaking Dawn (Twilight, #4) | 1070245       | 4.27  | 5.00   |
| Stephenie Meyer        | New Moon (Twilight, #2)      | 1149630       | 4.22  | 4.00   |
| George Orwell          | Animal Farm                  | 1881700       | 4.20  | 4.00   |
| J.K. Rowling, Mary     | Harry Potter and the Deathly | 1746574       | 4.08  | 5.00   |
| GrandPré               | Hallows (Harry Po            |               |       |        |
| Frank McCourt          | Angela's Ashes (Frank Mc-    | 392103        | 4.02  | 4.00   |
|                        | Court, #1)                   |               |       |        |
| Gillian Flynn          | Gone Girl                    | 512475        | 4.01  | 4.00   |
| J.K. Rowling, Mary     | Harry Potter and the Half-   | 1678823       | 4.00  | 4.00   |
| GrandPré               | Blood Prince (Harry          |               |       |        |
| J.K. Rowling, Mary     | Harry Potter and the Sor-    | 4602479       | 3.99  | 4.00   |
| GrandPré               | cerer's Stone (Harry P       |               |       |        |
| Carlos Ruiz Zafón, Lu- | The Shadow of the Wind (The  | 263685        | 3.99  | 5.00   |
| cia Graves             | Cemetery of Forgot           |               |       |        |
| William Golding        | Lord of the Flies            | 1605019       | 3.98  | 4.00   |
| Suzanne Collins        | The Hunger Games (The        | 4780653       | 3.96  | 4.00   |
|                        | Hunger Games, #1)            |               |       |        |

Table 13: The dot product of vector  $w_9$  with H describes user\_id 9's preferences for books via each of the k=10 book topics.

| authors   | title  | ratings_count | model | to-read |
|---|--|---------------|-------|---------|
|   |  |               |       |         |
| David Sedaris   | When You Are Engulfed in Flames                | 150898        | 2.72  | NaN     |
| Gabriel García<br>Márquez, Edith Gross-<br>man        | Love in the Time of Cholera                    | 283806        | 2.30  | True    |
| Jane Austen, James<br>Kinsley, Deidre Shauna<br>Lynch | Persuasion                                     | 365425        | 2.21  | True    |
| Dave Eggers   | A Heartbreaking Work of Staggering Genius      | 145459        | 2.02  | NaN     |
| Michael Chabon  | The Amazing Adventures of Kavalier & Clay      | 147717        | 2.01  | NaN     |
| Jonathan Safran Foer                                  | Extremely Loud and Incredibly Close            | 294726        | 1.94  | NaN     |
| Sue Monk Kidd   | The Secret Life of Bees                        | 916189        | 1.60  | NaN     |
| Kazuo Ishiguro  | Never Let Me Go                                | 294123        | 1.55  | NaN     |
| Jeffrey Eugenides                                     | The Virgin Suicides                            | 159249        | 1.49  | NaN     |
| Stieg Larsson, Reg Keeland                            | The Girl Who Kicked the Hornet's Nest (Millenn | 443951        | 1.41  | NaN     |
| Jhumpa Lahiri   | The Namesake                                   | 184211        | 1.40  | NaN     |
| John Kennedy Toole,<br>Walker Percy                   | A Confederacy of Dunces                        | 170776        | 1.40  | NaN     |
| Jhumpa Lahiri   | Interpreter of Maladies                        | 110651        | 1.38  | NaN     |
| John Berendt  | Midnight in the Garden of Good and Evil        | 167997        | 1.36  | NaN     |
| Arundhati Roy   | The God of Small Things                        | 165378        | 1.34  | NaN     |
| Diane Setterfield                                     | The Thirteenth Tale                            | 213200        | 1.34  | NaN     |
| Jonathan Franzen                                      | Freedom  | 119213        | 1.31  | NaN     |
| John Grisham  | The Chamber                                    | 102715        | 1.29  | NaN     |
| Jane Austen, Alfred<br>MacAdam                        | Northanger Abbey                               | 205167        | 1.26  | NaN     |
| Elizabeth Kostova                                     | The Historian                                  | 190473        | 1.24  | NaN     |

Table 14: The list of unrated books sorted by model scores serve as recomendations.

### References

- [DHS05] Chris Ding, Xiaofeng He, and Horst D. Simon. On the Equivalence of Nonnegative Matrix Factorization and Spectral Clustering. In *Proceedings of the 2005 SIAM International Conference on Data Mining*, pages 606–610. Society for Industrial and Applied Mathematics, April 2005. URL: https://epubs.siam.org/doi/10.1137/1.9781611972757.70, doi:10.1137/1.9781611972757.70.
  - [LS01] Daniel D. Lee and H. Sebastian Seung. Algorithms for Non-negative Matrix Factorization. In T. K. Leen, T. G. Dietterich, and V. Tresp, editors, *Advances in Neural Information Processing Systems* 13, pages 556–562. MIT Press, 2001. URL: http://papers.nips.cc/paper/1861-algorithms-for-non-negative-matrix-factorization.pdf.
- [RYL<sup>+</sup>18] A. Ramlatchan, M. Yang, Q. Liu, M. Li, J. Wang, and Y. Li. A survey of matrix completion methods for recommendation systems. *Big Data Mining and Analytics*, 1(4):308–323, December 2018. URL: https://ieeexplore.ieee.org/document/8400447, doi: 10.26599/BDMA.2018.9020008.
- [TLLL18] Thanh Tran, Kyumin Lee, Yiming Liao, and Dongwon Lee. Regularizing Matrix Factorization with User and Item Embeddings for Recommendation. *Proceedings of the 27th ACM International Conference on Information and Knowledge Management CIKM '18*, pages 687–696, 2018. URL: http://arxiv.org/abs/1809.00979, arXiv:1809.00979, doi:10.1145/3269206.3271730.