Timothy Chung

COMP70015 Mathematics for Machine Learning

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Introduction

My notes try to combine the detail of the professor's informal lecture notes with the breadth of the slides, where the latter covers all the assessed mathematical content. However, I will have added extra material from the listed reference materials in the informal notes.

Overview

- Week 1: Discuss ML, brush up skills
- Week 2: Critical optimisation concepts: automatic differentiation, convergence, complexity
- Week 3: Probabilistic Perspective to ML
- Week 4: Probabilistic Perspective to ML (contd.)
- Week 5: Focus on Bayes Theorem + Practicals
- Week 6: Consolidating learning (PCA study)
- Week 7: Two Advanced topics: NN training with adversarial examples, + student selected topic

Part I Fundamental Concepts in Mathematics for Machine Learning

1

Formalising ML Problem Settings

Theorem 1.0.1 Theorem Name

This is the statement of the theorem.

Corollary 1.0.1 Corollary Name

This is the statement of the corollary.

Lemma 1.0.1 Lemma Name

This is the statement of the lemma.

Claim 1.0.1 Claim Name

This is the statement of the claim.

Example 1.0.1 (Example Name)

This is the explanation of the example.

Note 1.0.1 Side Note Box

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Definition Title

Definition 1.0.2

This is an example definition.

Extra Title

Non-Examinable~1.0.2

This is an example box with extra information.

Example Title

Example Q 1.0.2

This is an example question.

Answer here

Q1c - 2018

Exam Q 1.0.2

This is an example exam question.

Reference Title Reference 1.0.2

This is an example reference to source material.

Note 1.0.1 Side Note Box

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Example Text

Definition 1.0.1

Small Title

Example Text

Non-Examinable 1.0.1

Small Title

Example Text

Answer

Example Q 1.0.1

Q1c - 2018

This is an example exam question, smaller.

Exam Q 1.0.1

Reference Title

This is an example reference to source material.

Reference 1.0.1

Intuition 1.0.2

Intuition Title

This is an example of an intuitive explanation.

Note 1.0.2 On The Rigour of A Random Variable

For the beginning of this module, a random variable X is considered to be a function from a sample space Ω to the unit interval [0,1]. However, in Lectures 6 and 7, we use the full definition of a random variable, which is a measurable function from a sample probability space (Ω) to a measurable space (E, ε) , involving the concept of σ -algebras and measure spaces.

When the sample space is a continuous space, the function p is a **probabil**ity density function (PDF). When the sample space is a discrete space, the function p is a **probability mass function** (PMF).

Brief Probability Theory Review 1.1

x is a sample from a random variable X.

P(X=x) refers to probability that the random variable X takes on the value x.

Probability Density Function (PDF)

The Probability Density Function (PDF) of a continuous random variable X is a function $f_X(x)$ that describes the relative likelihood for this random variable to take on a given value. The PDF has the following properties:

- $f_X(x) \ge 0$ for all x.
- $\int_{-\infty}^{\infty} f_X(x) \, dx = 1.$

Mathematically, the PDF is defined such that the probability that X lies within a particular interval [a, b] is given by:

$$P(a \le X \le b) = \int_a^b f_X(x) \, dx.$$

Cumulative Distribution Function (CDF)

The Cumulative Distribution Function (CDF) of a continuous random variable X is a function $F_X(x)$ that describes the probability that X will take a value less than or equal to x. It is defined as:

$$F_X(x) = P(X \le x) = \int_{-\infty}^x f_X(t) dt.$$

The CDF has the following properties:

- $0 \le F_X(x) \le 1$ for all x.
- $F_X(x)$ is a non-decreasing function.
- $\lim_{x\to-\infty} F_X(x) = 0.$
- $\lim_{x\to\infty} F_X(x) = 1$.

Intuition Title

This is an example of an intuitive explanation, smaller

Intuition 1.0.1

Example of a PDF: Normal Distribution

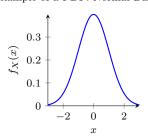


Figure 1.1: Probability Density Function of a standard normal distribution

Example of a CDF: Sigmoid Approximation

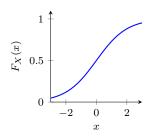


Figure 1.2: Cumulative Distribution Function

Dealing with Data (Single-Feature)

In Machine Learning (ML), we often deal with large datasets from which we aim to extract meaningful insights. It is useful to model these data points as random variables:

$$\{x_1, x_2, \ldots, x_N\}$$

We typically model these samples as random variables:

$$\{x_1 \sim X_1, x_2 \sim X_2, \dots, x_N \sim X_N\}$$

Vectors of Random Variables

When dealing with joint random variables, we often represent them as vectors:

$$\mathbf{X} = (X_1, X_2, X_3)$$
 with joint distribution $p_{X_1, X_2, X_3}(x_1, x_2, x_3)$

For a vector of random variables \mathbf{X} in \mathbb{R}^3 , the joint probability density function is denoted as:

$$p_{\mathbf{X}}(\mathbf{x})$$
 where $\mathbf{X} \in \mathbb{R}^3$

If these are input observations, they are often referred to as "feature vectors."

Distinct Random Variables

We model samples as distinct random variables 1 :

$$\{x_1 \sim X_1, x_2 \sim X_2, \dots, x_N \sim X_N\}$$

1.2 Independent and Identically Distributed (i.i.d.) Random Variables

Independence of Random Variables

Independence refers to the idea that the values or outcomes of one observation in a dataset do not depend on or influence the values of any other observation. For the set of random variables $X_1, X_2, \ldots X_n$, for the collection $\{x_1 \sim X_1, x_2 \sim X_2, \ldots, x_N \sim X_N\}$, we often assume independence, for any subset of observations $\{X_{i1}, X_{i2}, \ldots, X_{ik}\}$ where $i_1, i_2, \ldots, i_k \in \{1, 2, \ldots, N\}$, the joint distribution factorises:

$$P(X_{i_1} = x_{i_1}, \dots, X_{i_k} = x_{i_k}) = P(X_{i_1} = x_{i_1}) \cdot \dots \cdot P(X_{i_k} = x_{i_k})$$
 (1.1)

The joint distribution of the subset is the product of the marginal distributions of the individual random variables.

Independence: The occurrence of any event does not affect the occurrence of others. This is a crucial assumption in many ML models that we will see the usefulness of as early as the next lecture.

Identically Distributed Random Variables

The "identically distributed" part of i.i.d. refers to the idea that all random variables in the sample follow the same probability distribution. That is, they share the same probability density function (pdf) or probability mass function (pmf), depending on whether the data is continuous or discrete. If the set of random variables $\{X_1, X_2, \ldots, X_n\}$ are identically distributed, then:

$$f_{X_1}(x) = f_{X_2}(x) = \dots = f_{X_n}(x) = f_X(x)$$
 (1.2)

¹ **Question:** Why should we model these as distinct random variables? Aren't they all the same thing?

Answer: Despite being identically distributed, distinct random variables allow for capturing dependencies and interactions between different samples.

Why do we model samples as distinct random variables?

- 1. By treating each sample as a distinct variable, we assume samples are i.i.d, allowing every sample to contribute independently to the likelihood of oberving the data given the model prarameters so every sample provides unique information to estimate the parameters of the underlying distribution. If we treated all samples as a single random variable, we would lose the granularity of information, leading to a poorer estimate.
- Treating samples as distinct allows us to study and model the relationships and dependencies between them.
- 3. The assumption of i.i.d follows many results in probability and statistics, such as the Central Limit Theorem, which states that the sum of a large number of i.i.d. random variables is approximately normally distributed. It is also an assumed requirement for a model to generalise. The assumption simplifies the analysis and derivation process, allowing us to use techniques like maximum likelihood estimation (MLE) and empirical risk minimization (ERM).

$$F_{X_1}(x) = F_{X_2}(x) = \dots = F_{X_n}(x) = F_X(x)$$
 (1.3)

This implies that the cumulative distribution function (CDF) is the same for all these random variables.

Statistical Modelling as Curve Fitting 1.3

Machine learning and statistics have significant overlap, and so most concepts studied in this module can be cast as statistical modelling. Consider our random variables:

$$\{x_1 \sim X_1, x_2 \sim X_2, \dots, x_N \sim X_N\}$$

These random variables can be modelled to fit certain curves that represent the underlying data distribution.

Assumption about the Model

To proceed with statistical modelling, we make an assumption about the form of the model:

$$P_X(x) \approx \mathcal{N}(x; \theta) \quad \theta := (\mu, \sigma)$$

Here, $P_X(x)$ is approximated by a normal distribution $\mathcal{N}(x;\theta)$, where θ represents the parameters of the distribution, namely the mean μ and the standard deviation σ . This assumption simplifies the process of modelling the data.

Fitting the Model

The next step is to fit the model to the data. This involves finding the parameter values θ that maximize the probability of observing the given data. Mathematically, this is expressed as:

$$\arg\max_{\theta} P(x_1,\ldots,x_N\mid\theta)$$

In other words, we adjust the parameters μ and σ so that the assumed model best fits the observed data. This process is known as maximum likelihood estimation (MLE).

Discrete Random Variables 1.4

Bernoulli and Multinoulli Distributions

Bernoulli Distribution: Outcome with two values (e.g., heads or tails).

- Parameter: θ .
- Probabilities: $P(X=0) = 1 \theta$, $P(X=1) = \theta$.

Multinoulli Distribution: Describes a scenario with multiple possible outcomes, extending the Bernoulli distribution to more than two outcomes.

- Parameter: $\boldsymbol{\theta} \in \mathbb{R}^s$ where each θ_i represents the probability of the *i*-th outcome, and $\sum_{i=0}^{s-1} \theta_i = 1$.
- Probabilities: $P(X = i) = \theta_i$ for $i = 0, 1, \dots, s 1$.

Binomial and Multinomial Distributions

Binomial Distribution: $X \sim Bin(n, \theta)$.

• Probability Mass Function (p.m.f):

$$\operatorname{Bin}(k\mid n,\theta) := \binom{n}{k} \theta^k (1-\theta)^{n-k}$$

• Binomial Coefficient:

$$\binom{n}{k} = \frac{n!}{(n-k)!k!}$$

• Mean: $n\theta$.

• Variance: $n\theta(1-\theta)$.

Multinomial Distribution: Generalises the binomial distribution for more than two outcomes. It models the probabilities of counts among multiple categories in n independent trials.

- Parameters: n (number of trials) and $\boldsymbol{\theta} = (\theta_1, \theta_2, \dots, \theta_K)$ where θ_i is the probability of the *i*-th category and $\sum_{i=1}^{K} \theta_i = 1$.
- Probability Mass Function (p.m.f):

$$\operatorname{Mu}(\mathbf{x} \mid n, \boldsymbol{\theta}) := \binom{n}{x_1, x_2, \dots, x_K} \prod_{i=1}^K \theta_j^{x_j}$$

where $\mathbf{x} = (x_1, x_2, \dots, x_K)$ represents the count of occurrences for each category.

• Multinomial Coefficient:

$$\binom{n}{x_1, x_2, \dots, x_K} = \frac{n!}{x_1! x_2! \cdots x_K!}$$

- Mean for each category i: $\mathbb{E}[X_i] = n\theta_i$.
- Variance for each category i: $Var(X_i) = n\theta_i(1 \theta_i)$.
- Covariance between categories i and j: $Cov(X_i, X_j) = -n\theta_i\theta_j$.

Empirical Distribution

Empirical Distribution

Definition 1.4.1

Based on observation or experience rather than theory or pure logic.

Empirical Distribution

Intuition 1.4.1

Practically, we do not have access to an infinite amount of data, but we have instead a small fraction of it, a sample, to infer any insights from it. In the case of discrete random variables, we use probability mass functions, which is straightforward, but we are interested in probability density functions for continuous random variables, because to model the true distribution, we would need an infinite number of samples.

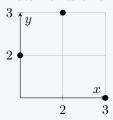
Thus, our goal is to approximate the true PDF from a given data set using finite samples. The transformation from discrete to continuous is done with the Dirac delta function.

A Dirac delta function is interestingly helpful because:

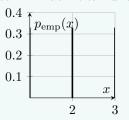
$$\int_{-\infty}^{\infty} \delta(x) \, dx = 1$$

We can then have multiple Dirac delta functions to represent the empirical distribution of a data set, but scaled down by a factor equivalent to the total number of data points to ensure the area under the curve is 1.

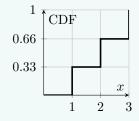
Plot 1: Data Points on a 2D Plane



Plot 2: Dirac Delta Functions



Plot 3: Cumulative Distribution Function (CDF)



Empirical Distribution: Suppose we have a set of data samples

$$D = \{x^{(1)}, x^{(2)}, \dots, x^{(N)}\}\$$

derived from a random variable X. We can approximate the distribution of Xusing a set of delta functions on these samples:

• For a given data set D, the empirical distribution $p_{\text{emp}}(x)$ is defined as:

$$p_{\text{emp}}(x) := \frac{1}{N} \sum_{i=1}^{N} \delta_{x_i}(x)$$

where $\delta_{x_i}(x)$ is the Dirac measure centred at x_i .

Dirac Measure: $\delta_{x_i}(x)$ is a function that is 1 if $x = x_i$ and 0 otherwise. Formally, it is defined as:

$$\delta_{x_i}(x) = \begin{cases} 1, & \text{if } x = x_i \\ 0, & \text{if } x \neq x_i \end{cases}$$

Explanation: The empirical distribution assigns equal probability $\frac{1}{N}$ to each observed data point x_i . It is a discrete distribution that places mass only on the observed data points.

Recommended Viewing

Lecture on Empirical Distribution Empirical Statistics: When you compute statistics from a dataset, you're really computing statistics for its empirical distribution.

A dataset is a distribution.

Reference 1.4.1

• In general, one can associate weights with each element of the empirical distribution, i.e., $p_{\text{emp}}(x) = \frac{1}{N} \sum_{i=1}^{N} w_i \delta_{x_i}(x)$ as long as each $0 \leq w_i \leq 1$ and $\sum_{i=1}^{N} w_i = 1.$

Continuous Random Variables 1.5

Gaussian (Normal) Distribution

Probability Density Function (p.d.f):

• Formula:

$$N(x \mid \mu, \sigma^2) = \frac{1}{\sqrt{2\pi\sigma^2}} \exp\left(-\frac{(x-\mu)^2}{2\sigma^2}\right)$$

- Mean: $\mu = \mathbb{E}[X]$.
- Variance: $\sigma^2 = \text{Var}[X]$.
- Standard Normal Distribution: $X \sim N(0, 1)$.
- Precision: $\lambda = \frac{1}{\sigma^2}$.

Cumulative Distribution Function (CDF):

• Formula:

$$\Phi(x;\mu,\sigma^2) = \int_{-\infty}^{x} N(z;\mu,\sigma^2) dz$$

• In terms of the error function (erf):

$$\Phi(x; \mu, \sigma^2) = \frac{1}{2} \left[1 + \operatorname{erf}\left(\frac{z}{\sqrt{2}}\right) \right]$$

where $z = \frac{x-\mu}{\sigma}$ and

$$\operatorname{erf}(x) = \frac{1}{\sqrt{\pi}} \int_0^x \exp(-t^2) \, dt$$

Example Scene: Self-Driving Car 1.6

Note 1.6.1 Notation and Gotchas

The lecture use x_i to denote the *i*-th feature, and $x^{(i)}$ to denote the *i*-th data point. The slides however seem to denote x_i as the *i*-th data point. The notes follow the former convention.

Also, it is generally assumed that in a classification problem, the classes are distinct and mutually exclusive, so an image is either a dog or a cat (multi-class classification) but not a combination of both (multi-label classification). The course focuses on the former convention.

Take a case of the self-driving car. There are several facets:

- 1. **Object Recognition:** identifying objects in the scene
 - An image is a 2D array of pixel values. For a colour image, each pixel has 3 values (RGB).
 - Input:

$$x \in \mathbb{R}^{H \times W \times C} \tag{1.4}$$

where H is height, W is width, and C is the number of channels (e.g. 3 for RGB)

• Output: We would like to detect if something is a background, another vehicle, the ground level, or a pedestrian. Let's say there are m outcomes, making this a classification problem. Naively, let $y \in \mathbb{R}^m$. However, these numbers are just arbitrary i.e. raw scores. It would make more sense to refine the output to a probability distribution over the m classes:

$$y \in \Delta^m$$
 where $\sum_{i=1}^m y_i = 1$ (1.5)

Where the Δ^m is the m-simplex, where the sum of all elements is 1. This provides a measure of "confidence" in the prediction. Example: To choose between four classes: [Vehicle, Pedestrian, Road, Background], the output could be [0.1, 0.7, 0.1, 0.1]. This means the model is 70% confident that the object is a pedestrian.

Our objective is to learn a function:

$$f^{\theta}: x^{(i)} \mapsto y^{(i)}$$
 where θ are model parameters, $x^{(i)} \in \mathbb{R}^{H \times W \times C}, y^{(i)} \in \Delta^m$ (1.6)

A simplified example for f^{θ} is shown in Figure 1.3. Ideally, we want a separator that separates the input space into m distinct regions according to observed data.

Data Formalisation (1): We can view our dataset as a set of N pairs where $x^{(i)}$ is an image and $y^{(i)}$ is the corresponding label. More neatly put,

$$\mathcal{D} = \{ (x^{(i)}, y^{(i)}) \}_{i=1}^{N}, \quad x^{(i)} \in \mathbb{R}^{H \times W \times C}, y^{(i)} \in \Delta^{m}$$
 (1.7)

Data Formalisation (2): We could also view the dataset as an empirical distribution over the data space like in Figure 1.4:

$$\mathcal{D} = \{x^{(i)}, y^{(i)}\}_{i=1}^{N} \sim p_{\text{data}}(x, y)$$
(1.8)

- 2. Route planning: deciding where to go
- 3. Speed Control: deciding how fast to go
- 4. Steering Angle Prediction: deciding how to steer

Mathematics of Linear Models

Linear models are fundamental in statistics and supervised machine learning. They can:

- Handle linear relationships.
- Be augmented with kernels or basis functions to model non-linear relationships.
- Provide analytical tractability for studying concepts like convergence, probabilistic modelling, and overfitting.

This section introduces the linear regression model.

Linear Regression Model

Linear regression involves performing regression with a linear model in a supervised setting. Given a dataset \mathcal{D} consisting of input-output pairs $(x^{(i)}, y^{(i)})$ for i = 1, ..., N:

• $x \in \mathbb{R}^n$ represents the input features.

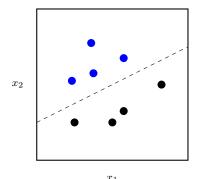


Figure 1.3: Simplified example for f^{θ}

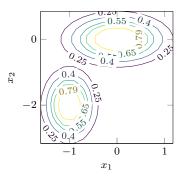


Figure 1.4: Viewing the dataset as an empirical distribution

- $y \in \mathbb{R}$ represents the output or target variable.
- Assume a domain \mathbb{R}^n and a one-dimensional co-domain.
- Model: $f(\boldsymbol{x}) = \boldsymbol{x}^{\top} \boldsymbol{\theta}$.
- Noise: $\epsilon \sim \mathcal{N}(0, \sigma^2)$.

The full model is:

$$\hat{y}^{(i)} = \boldsymbol{x}^{(i)\top}\boldsymbol{\theta} + \epsilon$$

The objective is to find θ such that $\hat{y}^{(i)} \approx y^{(i)}$. In other words, we want to find a set of parameters θ that best explains the relationship between the input features x and the target variable y. This means minimising the difference between the predicted values \hat{y} and the actual values y.

Conventions and Notations:

- Vectors $\boldsymbol{x} \in \mathbb{R}^n$ are column vectors, written as $n \times 1$ matrices.
- \boldsymbol{x}^{\top} (x transpose) swaps rows and columns of \boldsymbol{x} , resulting in a $1 \times n$ row vector.

Lecture Reading

Reference 1.7.1

Chapter 1-2 of Kevin Murphy's Machine Learning: A Probabilistic Perspective. Chapter 1.4 was not covered, but may be of interest

Towards Learning in Linear Models

2.1 Supervised Learning

Supervised learning settings assume that we have access to input-output pairs, (x, y), with $x \in \mathbb{R}^n$ and $y \in \mathbb{R}^m$. It is typically assumed that we have many such pairs comprising a dataset $\{(x^{(i)}, y^{(i)})\}_{i=1}^N$.

2.2 Linear Regression Model

Linear regression is exactly what the name suggests: performing regression with a linear model. Assuming a domain of \mathbb{R}^n and a one-dimensional co-domain, we can write our model as $f(x) = x^{\top} \theta$. Thus our model can be written as:

$$\hat{y}^{(i)} = \boldsymbol{x}^{(i)\top}\boldsymbol{\theta}$$

The key idea behind learning is to find $\boldsymbol{\theta}$ such that $\hat{y}^{(i)} \approx y^{(i)}$. You may recall linear models written as affine transformations: y = mx + b, where b is the bias or constant term – this makes the model affine and not linear. Linear models refers to the relationship between model parameters and predictions via a linear transformation.

Linear Transformation

Definition 2.2.2

A linear transformation between two vector spaces V and W is a map

$$T:V\to W$$

such that:

- $T(v_1 + v_2) = T(v_1) + T(v_2) \quad \forall v_1, v_2 \in V$
- $T(\alpha v) = \alpha T(v) \quad \forall v \in V \text{ and scalar } \alpha$

Affine Transformations

Affine transformations are more general than linear transformations, because they include not only scaling and rotation, but also translations.

Definition 2.2.1

Blah

THE FRONT MATTER of a book refers to all of the material that comes before the main text. The following table from shows a list of material that appears in the front matter of *The Visual Display of Quantitative Information*, *Envisioning Information*, *Visual Explanations*, and *Beautiful Evidence* along with its page number. Page numbers that appear in parentheses refer to folios that do not have a printed page number (but they are still counted in the page number sequence).

	Books			
Page content	\overline{VDQI}	EI	VE	BE
Blank half title page	(1)	(1)	(1)	(1)
$Frontispiece^1$	(2)	(2)	(2)	(2)
Full title page	(3)	(3)	(3)	(3)
Copyright page	(4)	(4)	(4)	(4)
Contents	(5)	(5)	(5)	(5)
Dedication	(6)	(7)	(7)	7
Epigraph	_	_	(8)	_
Introduction	(7)	(9)	(9)	9

¹ The contents of this page vary from book to book. In VDQI this page is blank; in EI and VE this page holds a frontispiece; and in BE this page contains three epigraphs.

The design of the front matter in Tufte's books varies slightly from the traditional design of front matter. First, the pages in front matter are traditionally numbered with lowercase roman numerals (e.g., i, ii, iii, iv, ...). Second, the front matter page numbering sequence is usually separate from the main matter page numbering. That is, the page numbers restart at 1 when the main matter begins. In contrast, Tufte has enumerated his pages with arabic numerals that share the same page counting sequence as the main matter.

There are also some variations in design across Tufte's four books. The page opposite the full title page (labeled "frontispiece" in the above table) has different content in each of the books. In *The Visual Display of Quantitative Information*, this page is blank; in *Envisioning Information* and *Visual Explanations*, this page holds a frontispiece; and in *Beautiful Evidence*, this page contains three epigraphs.

The dedication appears on page 6 in VDQI (opposite the introduction), and is placed on its own spread in the other books. In VE, an epigraph shares the spread with the opening page of the introduction.

None of the page numbers (folios) of the front matter are expressed except in BE, where the folios start to appear on the dedication page.

THE FULL TITLE PAGE of each of the books varies slightly in design. In all the books, the author's name appears at the top of the page, the title it set just above the center line, and the publisher is printed along the bottom margin. Some of the differences are outlined in the following table.

On the side note of...

yeah

Non-Examinable 3.0.1

Feature	VDQI	EI	VE	BE
Author				
Typeface	serif	serif	serif	sans serif
Style	italics	italics	italics	upright, caps
Size	24 pt	20 pt	20 pt	20 pt
Title				
Typeface	serif	serif	serif	sans serif
Style	upright	italics	upright	upright, caps
Size	36 pt	48 pt	48 pt	36 pt
Subtitle				
Typeface	_	_	serif	_
Style	_	-	upright	_
Size	_	_	20 pt	_
Edition				
Typeface	sans serif	_	_	_
Style	upright, caps	-	_	_
Size	14 pt	_	_	_
Publisher				
Typeface	serif	serif	serif	sans serif
Style	italics	italics	italics	upright, caps
Size	14 pt	$14 \mathrm{\ pt}$	14 pt	14 pt

THE TABLES OF CONTENTS in Tufte's books give us our first glimpse of the structure of the main matter. The Visual Display of Quantitative Information is split into two parts, each containing some number of chapters. His other three books only contain chapters—they're not broken into parts.

3.1 *Typefaces*

Tufte's books primarily use two typefaces: Bembo and Gill Sans. Bembo is used for the headings and body text, while Gill Sans is used for the title page and opening epigraphs in Beautiful Evidence.

Since neither Bembo nor Gill Sans are available in default LATEX installations, the Tufte-LATEX document classes default to using Palatino and Helvetica, respectively. In addition, the Bera Mono typeface is used for monospaced type.

The following font sizes are defined by the Tufte-IATEX classes:

IAT _E X size	Font size	Leading	Used for
\tiny	5	6	sidenote numbers
\scriptsize	7	8	_
\footnotesize	8	10	sidenotes, captions
\small	9	12	quote, quotation, and verse environments
\normalsize	10	14	body text
\large	11	15	B-heads
\Large	12	16	A-heads, TOC entries, author, date
\LARGE	14	18	handout title
\huge	20	30	chapter heads
\Huge	24	36	part titles

Table 3.1: A list of LATEX font sizes as defined by the Tufte-LATEX document classes.

3.2 *Headings*

Tufte's books include the following heading levels: parts, chapters, 2 sections, subsections, and paragraphs. Not defined by default are: sub-subsections and subparagraphs.

² Parts and chapters are defined for the tufte-book class only.

Paragraph Paragraph headings (as shown here) are introduced by italicized text and separated from the main paragraph by a bit of space.

Heading	Style	Size
Part Chapter Section Subsection Paragraph	roman italic italic italic italic	$24/36\times40\mathrm{pc} \\ 20/30\times40\mathrm{pc} \\ 12/16\times26\mathrm{pc} \\ 11/15\times26\mathrm{pc} \\ 10/14$

Table 3.2: Heading styles used in $Beautiful\ Evidence.$

3.3 Environments

The following characteristics define the various environments:

Environment	Font size	Notes
Body text Block quote Sidenotes Captions	10/14×26 pc 9/12×24 pc 8/10×12 pc 8/10×12 pc	Block indent (left and right) by 1 pc Sidenote number is set inline, followed by word space

Table 3.3: Environment styles used in $Be autiful\ Evidence.$

Column 1	Column 2	Column 3
Lorem ipsum dolor	Lorem ipsum dolor	Lorem ipsum dolor
sit amet, consectetuer	sit amet, consectetuer	sit amet, consectetuer
adipiscing elit. Ut pu-	adipiscing elit. Ut pu-	adipiscing elit. Ut pu-
rus elit, vestibulum ut,	rus elit, vestibulum ut,	rus elit, vestibulum ut,
placerat ac, adipiscing	placerat ac, adipiscing	placerat ac, adipiscing
vitae, felis. Curabitur	vitae, felis. Curabitur	vitae, felis. Curabitur
dictum gravida mau-	dictum gravida mau-	dictum gravida mau-
ris.	ris.	ris.
Lorem ipsum dolor	Lorem ipsum dolor	Lorem ipsum dolor
sit amet, consectetuer	sit amet, consectetuer	sit amet, consectetuer
adipiscing elit. Ut pu-	adipiscing elit. Ut pu-	adipiscing elit. Ut pu-
rus elit, vestibulum ut,	rus elit, vestibulum ut,	rus elit, vestibulum ut,
placerat ac, adipiscing	placerat ac, adipiscing	placerat ac, adipiscing
vitae, felis. Curabitur	vitae, felis. Curabitur	vitae, felis. Curabitur
dictum gravida mau-	dictum gravida mau-	dictum gravida mau-
ris.	ris.	ris.
Lorem ipsum dolor	Lorem ipsum dolor	Lorem ipsum dolor
sit amet, consectetuer	sit amet, consectetuer	sit amet, consectetuer
adipiscing elit. Ut pu-	adipiscing elit. Ut pu-	adipiscing elit. Ut pu-
rus elit, vestibulum ut,	rus elit, vestibulum ut,	rus elit, vestibulum ut,
placerat ac, adipiscing	placerat ac, adipiscing	placerat ac, adipiscing
vitae, felis. Curabitur	vitae, felis. Curabitur	vitae, felis. Curabitur
dictum gravida mau-	dictum gravida mau-	dictum gravida mau-
ris.	ris.	ris.

Table 3.4: Example table with limited column widths

On the Use of the tufte-book Document Class

The Tufte-LATEX document classes define a style similar to the style Edward Tufte uses in his books and handouts. Tufte's style is known for its extensive use of sidenotes, tight integration of graphics with text, and well-set typography. This document aims to be at once a demonstration of the features of the Tufte-LATEX document classes and a style guide to their use.

4.1 Page Layout

Headings

This style provides A- and B-heads (that is, \section and \subsection), demonstrated above.

If you need more than two levels of section headings, you'll have to define them yourself at the moment; there are no pre-defined styles for anything below a \subsection. As Bringhurst points out in *The Elements of Typographic Style*, you should "use as many levels of headings as you need: no more, and no fewer."

The Tufte-LATEX classes will emit an error if you try to use \subsubsection and smaller headings.

IN HIS LATER BOOKS,² Tufte starts each section with a bit of vertical space, a non-indented paragraph, and sets the first few words of the sentence in SMALL CAPS. To accomplish this using this style, use the \newthought command:

\newthought{In his later books}, Tufte starts...

4.2 Sidenotes

One of the most prominent and distinctive features of this style is the extensive use of sidenotes. There is a wide margin to provide ample room for sidenotes and small figures. Any \footnotes will automatically be converted to sidenotes.³ If you'd like to place ancillary information in the margin without the sidenote mark (the superscript number), you can use the \marginnote command.

The specification of the \sidenote command is:

Both the $\langle number \rangle$ and $\langle offset \rangle$ arguments are optional. If you provide a $\langle number \rangle$ argument, then that number will be used as the sidenote number. It will change of the number of the current sidenote only and will not affect the numbering sequence of subsequent sidenotes.

Sometimes a sidenote may run over the top of other text or graphics in the margin space. If this happens, you can adjust the vertical position of the sidenote by providing a dimension in the $\langle offset \rangle$ argument. Some examples of valid dimensions are:

1.0in 2.54cm 254mm 6\baselineskip

If the dimension is positive it will push the sidenote down the page; if the dimension is negative, it will move the sidenote up the page.

¹ Bringhurst2005

 2 Tufte 2006

³ This is a sidenote that was entered using the \footnote command.

This is a margin note. Notice that there isn't a number preceding the note, and there is no number in the main text where this note was written. While both the $\langle number \rangle$ and $\langle offset \rangle$ arguments are optional, they must be provided in order. To adjust the vertical position of the sidenote while leaving the sidenote number alone, use the following syntax:

```
\sidenote[][\langle offset \rangle]{Sidenote\ text.}
```

The empty brackets tell the \sidenote command to use the default sidenote number

If you only want to change the sidenote number, however, you may completely omit the $\langle \textit{offset} \rangle$ argument:

```
\verb|\sidenote| \{ number \rangle ] \{ Sidenote\ text. \}
```

The \marginnote command has a similar offset argument:

```
\mbox{\mbox{\tt marginnote}} [\langle \textit{offset} \rangle] \{ \textit{Margin note text.} \}
```

4.3 References

References are placed alongside their citations as sidenotes, as well. This can be accomplished using the normal \c ite command. 4

The complete list of references may also be printed automatically by using the **\bibliography** command. (See the end of this document for an example.) If you do not want to print a bibliography at the end of your document, use the **\nobibliography** command in its place.

To enter multiple citations at one location,⁵ you can provide a list of keys separated by commas and the same optional vertical offset argument: \cite{Tufte2006, Tufte1990}.

```
\cite[\langle \mathit{offset} \rangle] \{\mathit{bibkey1}, \mathit{bibkey2}, \dots \}
```

4.4 Figures and Tables

Images and graphics play an integral role in Tufte's work. In addition to the standard **figure** and **tabular** environments, this style provides special figure and table environments for full-width floats.

Full page—width figures and tables may be placed in figure* or table* environments. To place figures or tables in the margin, use the marginfigure or margintable environments as follows (see figure 4.1):

```
\begin{marginfigure}
   \includegraphics{helix}
   \caption{This is a margin figure.}
   \label{fig:marginfig}
\end{marginfigure}
```

The marginfigure and margintable environments accept an optional parameter $\langle offset \rangle$ that adjusts the vertical position of the figure or table. See the "Sidenotes" section above for examples. The specifications are:

```
\label{lem:continuous} $$ \begin{marginfigure} [\langle offset \rangle] \\ \cdots \\ \end{marginfigure} $$ \begin{margintable} [\langle offset \rangle] \\ \cdots \\ \end{margintable} $$ \end{m
```

Figure ?? is an example of the figure* environment and figure ?? is an example of the normal figure environment.

⁴ The first paragraph of this document includes a citation.

⁵ Tufte2006, Tufte1990

Figure 4.1: This is a margin figure. The helix is defined by $x = \cos(2\pi z)$, $y = \sin(2\pi z)$, and z = [0, 2.7]. The figure was drawn using Asymptote (http://asymptote.sf.net/).

As with sidenotes and marginnotes, a caption may sometimes require vertical adjustment. The **\caption** command now takes a second optional argument that enables you to do this by providing a dimension $\langle offset \rangle$. You may specify the caption in any one of the following forms:

```
\caption{long caption}
\caption[short caption] {long caption}
\caption[] [\langle offset \rangle] {long caption}
\caption[short caption] [\langle offset \rangle] {long caption}
```

A positive $\langle offset \rangle$ will push the caption down the page. The short caption, if provided, is what appears in the list of figures/tables, otherwise the "long" caption appears there. Note that although the arguments $\langle short\ caption \rangle$ and $\langle offset \rangle$ are both optional, they must be provided in order. Thus, to specify an $\langle offset \rangle$ without specifying a $\langle short\ caption \rangle$, you must include the first set of empty brackets [], which tell \caption to use the default "long" caption. As an example, the caption to figure ?? above was given in the form

```
\caption[Hilbert curves...] [6pt] {Hilbert curves...}
```

Table 4.1 shows table created with the booktabs package. Notice the lack of vertical rules—they serve only to clutter the table's data.

Margin	Length
Paper width	81/2 inches
Paper height	11 inches
Textblock width	61/2 inches
Textblock/sidenote gutter	3/8 inches
Sidenote width	$2 \mathrm{inches}$

Table 4.1: Here are the dimensions of the various margins used in the Tufte-handout class.

OCCASIONALLY LATEX will generate an error message:

Error: Too many unprocessed floats

IATEX tries to place floats in the best position on the page. Until it's finished composing the page, however, it won't know where those positions are. If you have a lot of floats on a page (including sidenotes, margin notes, figures, tables, etc.), IATEX may run out of "slots" to keep track of them and will generate the above error.

IATEX initially allocates 18 slots for storing floats. To work around this limitation, the Tufte-IATEX document classes provide a \morefloats command that will reserve more slots.

The first time \morefloats is called, it allocates an additional 34 slots. The second time \morefloats is called, it allocates another 26 slots.

The \morefloats command may only be used two times. Calling it a third time will generate an error message. (This is because we can't safely allocate many more floats or LATEX will run out of memory.)

If, after using the \morefloats command twice, you continue to get the Too many unprocessed floats error, there are a couple things you can do.

The \FloatBarrier command will immediately process all the floats before typesetting more material. Since \FloatBarrier will start a new paragraph, you should place this command at the beginning or end of a paragraph.

The \clearpage command will also process the floats before continuing, but instead of starting a new paragraph, it will start a new page.

You can also try moving your floats around a bit: move a figure or table to the next page or reduce the number of sidenotes. (Each sidenote actually uses two slots.)

After the floats have placed, LATEX will mark those slots as unused so they are available for the next page to be composed.

Captions 4.5

You may notice that the captions are sometimes misaligned. Due to the way LATEX's float mechanism works, we can't know for sure where it decided to put a float. Therefore, the Tufte-IATEX document classes provide commands to override the caption position.

Vertical alignment To override the vertical alignment, use the \setfloatalignment command inside the float environment. For example:

```
\begin{figure}[btp]
    \includegraphics{sinewave}
    \caption{This is an example of a sine wave.}
    \label{fig:sinewave}
    \setfloatalignment{b}% forces caption to be bottom-aligned
\end{figure}
```

The syntax of the \setfloatalignment command is:

```
\strut {pos}
```

where $\langle pos \rangle$ can be either b for bottom-aligned captions, or t for top-aligned captions.

Horizontal alignment To override the horizontal alignment, use either the \forceversofloat or the \forcerectofloat command inside of the float environment. For example:

```
\begin{figure}[btp]
    \verb|\include graphics{sinewave}|
    \caption{This is an example of a sine wave.}
    \label{fig:sinewave}
    \forceversofloat% forces caption to be set to the left of the float
\end{figure}
```

The \forceversofloat command causes the algorithm to assume the float has been placed on a verso page—that is, a page on the left side of a two-page spread. Conversely, the \forcerectofloat command causes the algorithm to assume the float has been placed on a recto page—that is, a page on the right side of a twopage spread.

Full-width text blocks 4.6

In addition to the new float types, there is a fullwidth environment that stretches across the main text block and the sidenotes area.

```
\begin{fullwidth}
Lorem ipsum dolor sit amet...
\end{fullwidth}
```

Lorem ipsum dolor sit amet, consectetuer adipiscing elit. Ut purus elit, vestibulum ut, placerat ac, adipiscing vitae, felis. Curabitur dictum gravida mauris. Nam arcu libero, nonummy eget, consectetuer id, vulputate a, magna. Donec vehicula augue eu neque. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Mauris ut leo. Cras viverra metus rhoncus sem. Nulla et lectus vestibulum urna fringilla ultrices. Phasellus eu tellus sit amet tortor gravida placerat. Integer sapien est, iaculis in, pretium quis, viverra ac, nunc. Praesent eget sem vel leo ultrices bibendum. Aenean faucibus. Morbi dolor nulla, malesuada eu, pulvinar at, mollis ac, nulla. Curabitur auctor semper nulla. Donec varius orci eget risus. Duis nibh mi, conque eu, accumsan eleifend, sagittis quis, diam. Duis eget orci sit amet orci dignissim rutrum.

4.7 Typography

Typefaces

If the Palatino, Helvetica, and Bera Mono typefaces are installed, this style will use them automatically. Otherwise, we'll fall back on the Computer Modern typefaces.

Letterspacing

This document class includes two new commands and some improvements on existing commands for letterspacing.

When setting strings of ALL CAPS or SMALL CAPS, the letterspacing—that is, the spacing between the letters—should be increased slightly. The \allcaps command has proper letterspacing for strings of FULL CAPITAL LET-TERS, and the \smallcaps command has letterspacing for SMALL CAPITAL LETTERS. These commands will also automatically convert the case of the text to upper- or lowercase, respectively.

The \textsc command has also been redefined to include letterspacing. The case of the \textsc argument is left as is, however. This allows one to use both uppercase and lowercase letters: The Initial Letters Of The Words In This Sentence Are Capitalized.

4.8 Document Class Options

The tufte-book class is based on the IATEX book document class. Therefore, you can pass any of the typical book options. There are a few options that are specific to the tufte-book document class, however.

The a4paper option will set the paper size to A4 instead of the default US letter size.

The **sfsidenotes** option will set the sidenotes and title block in a sans serif typeface instead of the default roman.

The **twoside** option will modify the running heads so that the page number is printed on the outside edge (as opposed to always printing the page number on the right-side edge in **oneside** mode).

The symmetric option typesets the sidenotes on the outside edge of the page. This is how books are traditionally printed, but is contrary to Tufte's book design which sets the sidenotes on the right side of the page. This option implicitly sets the twoside option.

The justified option sets all docclooptdef and right). The default is to set the text ragged right. The body text of Tufte's books are set ragged right. This prevents needless hyphenation and makes it easier to read the text in the slightly narrower column.

The **bidi** option loads the **bidi** package which is used with X_HI₂T_EX to typeset bi-directional text. Since the **bidi** package needs to be loaded before the sidenotes and cite commands are defined, it can't be loaded in the document preamble.

The debug option causes the Tufte-IATEX classes to output debug information to the log file which is useful in troubleshooting bugs. It will also cause the graphics to be replaced by outlines.

The **nofonts** option prevents the Tufte-IATEX classes from automatically loading the Palatino and Helvetica typefaces. You should use this option if you wish to load your own fonts. If you're using $X_{\overline{A}}I_{\overline{A}}T_{\overline{E}}X$, this option is implied (*i. e.*, the Palatino and Helvetica fonts aren't loaded if you use $X_{\overline{A}}I_{\overline{A}}T_{\overline{E}}X$).

The nols option inhibits the letterspacing code. The Tufte-LATEX classes try to load the appropriate letterspacing package (either pdfTeX's letterspace package or the soul package). If you're using XaLATEX with fontenc, however, you should

⁶ Bringhurst 2005

configure your own letterspacing.

The notitlepage option causes \maketitle to generate a title block instead of a title page. The book class defaults to a title page and the handout class defaults to the title block. There is an analogous titlepage option that forces \maketitle to generate a full title page instead of the title block.

The notoc option suppresses Tufte-LATEX's custom table of contents (TOC) design. The current TOC design only shows unnumbered chapter titles; it doesn't show sections or subsections. The notoc option will revert to LATEX'S TOC design.

The nohyper option prevents the hyperref package from being loaded. The default is to load the hyperref package and use the \title and \author contents as metadata for the generated PDF.

Customizing Tufte-LATEX

The Tufte-IATEX document classes are designed to closely emulate Tufte's book design by default. However, each document is different and you may encounter situations where the default settings are insufficient. This chapter explores many of the ways you can adjust the Tufte-IATEX document classes to better fit your needs.

5.1 File Hooks

If you create many documents using the Tufte-LATEX classes, it's easier to store your customizations in a separate file instead of copying them into the preamble of each document. The Tufte-LATEX classes provide three file hooks: tufte-common-local.tex, tufte-book-local.tex, and tufte-handout-local.tex.

tufte-common-local.tex If this file exists, it will be loaded by all of the Tufte-LATEX document classes just prior to any document-class-specific code. If your customizations or code should be included in both the book and handout classes, use this file hook.

tufte-book-local.tex If this file exists, it will be loaded after all of the common and book-specific code has been read. If your customizations apply only to the book class, use this file hook.

tufte-common-handout.tex If this file exists, it will be loaded after all of the common and handout-specific code has been read. If your customizations apply only to the handout class, use this file hook.

5.2 Numbered Section Headings

While Tufte dispenses with numbered headings in his books, if you require them, they can be anabled by changing the value of the secnumdepth counter. From the table below, select the heading level at which numbering should stop and set the secnumdepth counter to that value. For example, if you want parts and chapters numbered, but don't want numbering for sections or subsections, use the command:

$\verb|\setcounter{secnumdepth}| \{0\}$

The default secnumdepth for the Tufte-IATEX document classes is -1.

Heading level	Value
Part (in tufte-book)	-1
Part (in tufte-handout)	0
Chapter (only in tufte-book)	0
Section	1
Subsection	2
Subsubsection	3
Paragraph	4
Subparagraph	5

Table 5.1: Heading levels used with the secnumdepth counter.

5.3 Changing the Paper Size

The Tufte-LATEX classes currently only provide three paper sizes: A4, B5, and US letter. To specify a different paper size (and/or margins), use the \geometrysetup command in the preamble of your document (or one of the file hooks). The full documentation of the \geometrysetup command may be found in the geometry package documentation.¹

¹ pkg-geometry

5.4 Customizing Marginal Material

Marginal material includes sidenotes, citations, margin notes, and captions. Normally, the justification of the marginal material follows the justification of the body text. If you specify the justified document class option, all of the margin material will be fully justified as well. If you don't specify the justified option, then the marginal material will be set ragged right.

You can set the justification of the marginal material separately from the body text using the following document class options: sidenote, marginnote, caption, citation, and marginals. Each option refers to its obviously corresponding marginal material type. The marginals option simultaneously sets the justification on all four marginal material types.

Each of the document class options takes one of five justification types:

justified Fully justifies the text (sets it flush left and right).

raggedleft Sets the text ragged left, regardless of which page it falls on.

raggedright Sets the text ragged right, regardless of which page it falls on.

raggedouter Sets the text ragged left if it falls on the left-hand (verso) page of the spread and otherwise sets it ragged right. This is useful in conjunction with the symmetric document class option.

auto If the justified document class option was specified, then set the text fully justified; otherwise the text is set ragged right. This is the default justification option if one is not explicitly specified.

For example,

\documentclass[symmetric,justified,marginals=raggedouter]{tufte-book}

will set the body text of the document to be fully justified and all of the margin material (sidenotes, margin notes, captions, and citations) to be flush against the body text with ragged outer edges.

THE FONT AND STYLE of the marginal material may also be modified using the following commands:

```
\sets idenote font \{\langle font\ commands \rangle\} \\ \set caption font \{\langle font\ commands \rangle\} \\ \set margin note font \{\langle font\ commands \rangle\} \\ \set citation font \{\langle font\ commands \rangle\} \\
```

The \setsidenotefont sets the font and style for sidenotes, the \setcaptionfont for captions, the \setmarginnotefont for margin notes, and the \setcitationfont for citations. The \forall font commands \rangle can contain font size changes (e.g., \footnotesize, \Huge, etc.), font style changes (e.g., \sffamily, \ttfamily, \itshape, etc.), color changes (e.g., \color{blue}), and many other adjustments.

If, for example, you wanted the captions to be set in italic sans serif, you could use:

\setcaptionfont{\itshape\sffamily}

Compatibility Issues

When switching an existing document from one document class to a Tufte-LATEX document class, a few changes to the document may have to be made.

6.1 Converting from article to tufte-handout

The following article class options are unsupported: 10pt, 11pt, 12pt, a5paper, b5paper, executivepaper, legalpaper, landscape, onecolumn, and twocolumn.

The following headings are not supported: \subsubsection and \subparagraph.

6.2 Converting from book to tufte-book

The following report class options are unsupported: 10pt, 11pt, 12pt, a5paper, b5paper, executivepaper, legalpaper, landscape, onecolumn, and twocolumn.

The following headings are not supported: \subsubsection and \subparagraph.

Troubleshooting and Support

7.1 Tufte-LATEX Website

The website for the Tufte-LATEX packages is located at http://code.google.com/p/tufte-latex/. On our website, you'll find links to our SVN repository, mailing lists, bug tracker, and documentation.

7.2 Tufte- $paragraph{PT_{FX}}{Mailing\ Lists}$

There are two mailing lists for the Tufte-LATEX project:

Discussion list The tufte-latex discussion list is for asking questions, getting assistance with problems, and help with troubleshooting. Release announcements are also posted to this list. You can subscribe to the tufte-latex discussion list at http://groups.google.com/group/tufte-latex.

Commits list The tufte-latex-commits list is a read-only mailing list. A message is sent to the list any time the Tufte-LATEX code has been updated. If you'd like to keep up with the latest code developments, you may subscribe to this list. You can subscribe to the tufte-latex-commits mailing list at http://groups.google.com/group/tufte-latex-commits.

7.3 Getting Help

If you've encountered a problem with one of the Tufte-IATEX document classes, have a question, or would like to report a bug, please send an email to our mailing list or visit our website.

To help us troubleshoot the problem more quickly, please try to compile your document using the debug class option and send the generated .log file to the mailing list with a brief description of the problem.

7.4 Errors, Warnings, and Informational Messages

The following is a list of all of the errors, warnings, and other messages generated by the Tufte-LATEX classes and a brief description of their meanings.

Error: \subparagraph is undefined by this class.

The \subparagraph command is not defined in the Tufte-IATEX document classes. If you'd like to use the \subparagraph command, you'll need to redefine it yourself. See the "Headings" section on page 21 for a description of the heading styles availaboe in the Tufte-IATEX document classes.

Error: \subsubsection is undefined by this class.

The \subsubsection command is not defined in the Tufte-IATEX document classes. If you'd like to use the \subsubsection command, you'll need to redefine it yourself. See the "Headings" section on page 21 for a description of the heading styles availaboe in the Tufte-IATEX document classes.

You may only call \morefloats twice. See the Tufte-LaTeX documentation for other workarounds.

LATEX allocates 18 slots for storing floats. The first time \morefloats is called, it allocates an additional 34 slots. The second time \morefloats is called, it allocates another 26 slots.

The \morefloats command may only be called two times. Calling it a third time will generate this error message. See page 23 for more information.

Warning: Option ' $\langle class\ option \rangle$ ' is not supported -- ignoring option.

This warning appears when you've tried to use (class option) with a Tufte-IATEX document class, but (class option) isn't supported by the Tufte-LATEX document class. In this situation, $\langle class\ option \rangle$ is ignored.

The 'symmetric' option implies 'twoside' Info:

You specified the symmetric document class option. This option automatically forces the twoside option as well. See page 25 for more information on the symmetric class option.

Package Dependencies 7.5

The following is a list of packages that the Tufte-LATEX document classes rely upon. Packages marked with an asterisk are optional.

- xifthen
- ifpdf*
- ifxetex*
- hyperref
- geometry
- ragged2e
- chngpage or changepage
- paralist
- textcase
- soul*
- letterspace*
- setspace

- natbib and bibentry
- optparams
- placeins
- mathpazo*
- helvet*
- fontenc
- beramono*
- fancyhdr
- xcolor
- textcomp
- titlesec
- titletoc