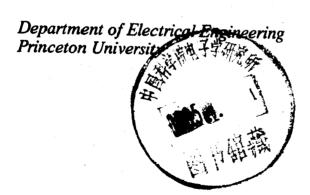
Digital Neural Networks



73.918 1295

Digital Neural Networks

S. Y. Kung



9550041



PTR Prentice Hall
Englewood Cliffs, New Jersey 07632

9550041

Library of Congress Cataloging-in-Publication Data

Kung, S. Y. (Sun Yuan)
Digital neural networks S. Y. Kung.
p. cm. — (Prentice-Hall information and system sciences series)
Includes bibliographical references and index.
ISBN 0-13-612326-0
1. Neural networks (Computer science) I. Title. II. Series.
QA76.87.K86 1993
006.3—dc20 92-42.737

Editorial/production supervision: Kim Gueterman

Acquisitions editor: Karen Gettman Cover design: George Cornell Buyer: Mary Elizabeth McCartney Copy editor: Peter J. Zurita Series logo design: A.M. Bruckstein

©1993 by PTR Prentice-Hall, Inc. A Simon & Schuster Company Englewood Cliffs, New Jersey 07632 ED92/12

CIP

All rights reserved. No part of this book may be reproduced, in any form or by any means, without permission in writing from the publisher

Printed in the United States of America

10 9 8 7 6 5 4 3 2 1

D-73-F1535P-D

Prentice-Hall International (UK) Limited, London Prentice-Hall of Australia Pty. Limited, Sydney Prentice-Hall Canada Inc., Toronto Prentice-Hall Hispanoamericana, S.A., Mexico Prentice-Hall of India Private Limited, New Delhi Prentice-Hall of Japan, Inc., Tokyo Simon & Schuster Asia Pte. Ltd., Singapore Editora Prentice-Hall do Brasil, Ltda., Rio de Janeiro

Digital Neural Networks

ANDERSON & MOORE

Optimal Control: Linear Quadratic Methods

ANDERSON & MOORE

Optimal Filtering

ASTROM &

Computer-Controlled Systems: Theory and Design.

WITTENMARK

second edition

BOYD & BARRATT

Linear Controller Design: Limits of Performance

GARDNER

Statistical Spectral Analysis: A Nonprobabilistic Theory

GOODWIN & SIN

Adaptive Filtering, Prediction, and Control

GRAY & DAVISSON

Random Processes: A Mathematical Approach for

Engineers

HAYKIN

Adaptive Filter Theory

JAIN

Fundamentals of Digital Image Processing Computer-Aided Analysis and Design of

JAMSHIDI. TAROKH. & SHAFAI

Linear Control Systems

JOHNSON

Lectures on Adaptive Parameter Estimation

KAILATH

Linear Systems

KUMAR & VARAIYA

Stochastic Systems

Kung

Digital Neural Networks .

KUNG

VLSI Array Processors

KUNG. WHITEHOUSE.

VLSI and Modern Signal Processing

& KAILATH, EDS.

KWAKERNAAK & SIVAN

Signals & Systems

LANDAU

System Identification and Control Design Using

P.I.M. + Software

LJUNG

System Identification: Theory for the User

Macovski

MELSA & SAGE

Medical Imaging Systems

MIDDLETON

An Introduction to Probability and Stochastic Processes

& Goodwin

Digital Control & Estimation

NARENDRA

Stable Adaptive Systems

& ANNASWAMY

SASTRY & BODSON

SOLIMAN & SRINATH

Adaptive Control: Stability, Convergence, and Robustness Continuous and Discrete Signals and Systems

SPILKER

Digital Communications by Satellite

WILLIAMS

Designing Digital Filters

Preface

Unification. — Confucius, 551-479 B.C

The field of digital neural networks brings together scientists who study how the brain works and engineers who build highly parallel and intelligent supercomputers. The main objective of this book is to provide a synergistic and systematic exploration of several fundamental issues on digital neural networks. The word digital refers to discrete-time digital processing systems. The term neural networks embodies information processing systems using a combination of nonlinear, adaptive, network, and parallel processing technologies. Digital neural networks provide a natural link between the rapid advance of (VLSI) microelectronics and parallel processing technology and the increasing need for intelligent processing techniques. This represents a truly interdisciplinary research field which will ultimately lead to the future intelligent processing systems.

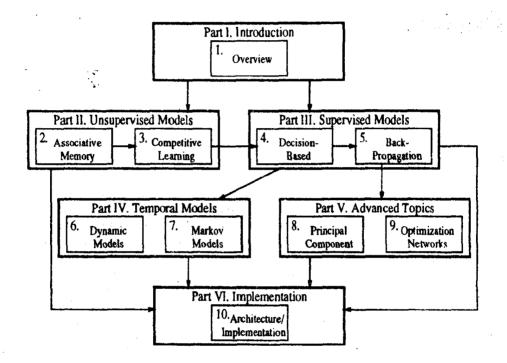
Many excellent reference books on neural networks exist; some place emphasis on the biological view, and others take a physics perspective. In contrast, this book is intended to be a textbook prepared for the discipline of information science and electrical engineering.

The book contains six parts:

- Part I: Introduction (Chapter 1);
- Part II: Unsupervised Models associative memory (Chapter 2) and competitive learning networks (Chapter 3);
- Part III: Supervised Models decision and approximation/optimization based neural networks (Chapters 4 & 5);

- Part IV: Temporal Models deterministic and stochastic temporal networks (Chapters 6 & 7);
- Part V: Advanced Topics principal component neural networks (Chapter 8) and stochastic annealing networks (Chapter 9);
- Part VI: Implementation (Chapter 10).

The following road map serves as a guide for teaching or reading.



The topics covered in Chapters 1 - 5 and Chapter 9 follow a rather orthodox neural network presentation, while the topics addressed in Chapters 6 through 8 are somewhat unorthodox in that they stem from the conventional signal processing and system theoretical perspectives. Chapter 10 provides a methodology for mapping neural models to parallel architecture and implementation.

Some unique features of the book:

• It aims at a coherent treatment which links the orthodox and unorthodox approaches to neural models. For this, we introduce what can be called *neural network system theory*, which unifies many diversified neural models.

Preface xvii

• It employs an application-driven perspective, particularly signal/image processing and pattern recognition applications. Moreover, it goes on to present an integrated study of the application, algorithm, and architecture aspects of neural networks.

• It provides a working knowledge of various neural models, including theoretical basis, potential applications, and digital implementations. With this cross-disciplinary background, the reader would be better equipped to tackle research and application projects related to neural information processing.

This book is intended to be a textbook for a one-semester graduate or undergraduate course. (It is assumed that the reader has the basic background of advanced calculus, linear system theory, and signal processing. Otherwise, some mathematical treatments in some sections may be too advanced for uninitiated students.) Lectures for an undergraduate or graduate class can be organized from the following recommended sections:

- Chapters 1 7, (except Section 5.4)
- Sections 8.2, 8.3, 9.2, and 10.2.

ACKNOWLEDGMENTS

Without enthusiastic support and encouragement from so many friends, it would be impossible to attempt a book on such a dynamic and diversified subject. First, my thanks go to the researchers who have contributed to this rich research literature of neural networks. Their works have provided the foundation for the book. Also, I must apologize for having overlooked many critical topics and references in bibliographical research due to time constraints.

This book is an outgrowth of many semesters' lectures on the subject. I am very much indebted to many of my in-class students for their invaluable questions and contributions on examples and exercises. The advanced part of the book is largely extracted from several Ph. D. dissertations under my supervision. I wish to thank all of them: Drs. Kostas Diamantaras, Mark Goudreau, Jen-Neng Hwang, Wei-Dong Mao, John Vlontzos, and especially Mr. Wei-Hsin Chou and Mr. Jin-Shiuh Taur. They deserve to be named co-authors of the book.

I have benefited greatly the frequent and enlightening exchange and collaboration with many of my colleagues. To name a few: Drs. Alice Chiang, Frank Fallside, Lee Giles, Robert Hecht-Nielsen, Yuhen Hu, Fred Juang, Teuvo Kohonen, Gary Kuhn, H.C. Lee, Lenart Ljung, Christoph von der Malsburg, Alastair McAulay, John Moody, Ulrich Ramacher, and John Sorensen. Their enthusiastic participation in this project has made this prolonged process more bearable and indeed very enjoyable and rewarding. My deep gratitude goes to the reviewers for their critical and constructive suggestions on many drafts of the book. They are Drs. Joshua Alspector, Brad Dickinson, Tony Kuh, Guanghan Xu, Mr. Jerry Murphy, and other anonymous reviewers. My sincere

xviii Preface

appreciation goes to my professor and the series editor, Professor Tom Kailath, for many years of inspiration and friendship.

I have been very fortunate to work with Ms. Karen Gettman and Ms. Kim Gueterman at Prentice Hall, who have provided very professional assistance throughout this project. I am grateful to the Department of Electrical Engineering, Princeton University, for making available a very scholarly environment for both teaching and research. I also want to thank the secretarial staff for their tireless and cheerful assistance during this long process: Susan Gafgen, Kim Hegelbach, Emmalee Morrison, and Lynn O'Shaughnessy. Finally, I am pleased to acknowledge that some work presented in this book was supported in part by Grants and Contracts from National Science Foundation, Air Force Office of Scientific Research, and Defense Advanced Research Project Agency.

Princeton, New Jersey

S.Y. Kung

Contents

	Preface		XV
PART I INTRODUCTION			
1	Ove	rview	1
	1.1	Introduction	1
		1.1.1 Biological-Type Neural Networks	2
		1.1.2 Application-Driven Neural Networks	4
	1.2	Applications, Algorithms, and Architectures	6
		1.2.1 Application Paradigms of Neural Models	7
		1.2.2 Algorithmic Study on Neural Networks	11
		1.2.3 Architectures of Neural Networks	14
		1.2.4 Total Information Processing Systems	16
		1.2.5 Representation and Feature Extraction	21
	1.3	Taxonomy of Neural Networks	24
		1.3.1 Supervised and Unsupervised Networks	25
		1.3.2 Basis Function and Activation Function	27
		1.3.3 Structures of Neural Networks	30
		1.3.4 Mutual and Individual Training Strategies	33
		1.3.5 Static and Temporal Pattern Recognitions	36
		1.3.6 Decision and Approximation/Optimization Formulations	38
	1.4	Concluding Remarks	39
	1.5	Problems	40

PART II UNSUPERVISED MOI) MODELS
--------------------------	----------

2	Fixe	e d-We i	ight Associative Memory Networks	43
	2.1	Introd	uction	43
	2.2	Feedfo	orward Associative Memory Networks	44
		2.2.1 2.2.2	Linear Associative Memory Nonlinear Associative Memory for Holographic Retrieval	44
		2.2.3	Hamming Networks	\$9)
	2.3		ack Associative Memory Networks	51
			Parallel (Synchronous) Hopfield Model Capacities of Hopfield and Hamming Networks Bidirectional Associative Memory	52 57 59 62
		2.3.6	Stochastic Models and the Boltzmann Machine	66
	2.4		uding Remarks	66
	2.5		-	67
3	Co	mpetit	ive Learning Networks	73
	3.1	Introd	luction	73
	3.2	Basic	Competitive Learning Networks	74
		3.2.1	Minimal Learning Model	75
		3.2.2	<u> </u>	76
		3.2.3	Training Rules for Leaky Learning	78
	3.3	Adap	tive Clustering Techniques: VQ and ART	78
		3.3.1		78
			Binary-Valued ART	79
			Continuous-Valued ART	80
	3.4		Organizing Feature Map: Sensitivity to Neighborhood listory	85
		3.4.1	·	85
		3.4.2	Competitive Learning with History Sensitivity	87
	3.5	Neoc	ognitron: Hierarchically Structured Model	91
	3.6	Conc	luding Remarks	95
	3.7	Probl	ems	95

4	Dec	cision-Based Neural Networks	99
	4.1	Introduction	99
	4.2	Linear Perceptron Networks	104
		4.2.1 Linear Perceptron for Binary Classification4.2.2 Linear Perceptron for Multiple Classification	105 110
	4.3	Decision-Based Neural Networks	115
		 4.3.1 Decision-Based Learning Rule 4.3.2 Hierarchical DBNN Structure 4.3.3 Static and Temporal DBNNs 4.3.4 Fuzzy Decision Neural Networks 	116 118 122 124
	4.4	Applications to Signal/Image Classifications	130
		 4.4.1 Texture Classification 4.4.2 Optical Character Recognition (OCR) Application 4.4.3 DTW Temporal Networks for Speech Recognition 	
	4.5	Concluding Remarks	· 139
	4.6	Problems	140
5	Ap	proximation/Optimization Neural Networks	145
	5.1	Introduction	145
	5.2	Linear Approximation Networks	148
		5.2.1 Delta Learning Rule: ADALINE5.2.2 Kaczmarz Projection Method and Learning Rates	149 s 150
	5.3	Nonlinear Multilayer Back-Propagation Networks	152
		5.3.1 Back-Propagation Algorithm5.3.2 Numerical Back-Propagation Methods	154 156
	5.4	Training Versus Generalization Performance	167
		 5.4.1 Approximation Analysis and Training Performance 5.4.2 Generalization Performance 5.4.3 RBF Regularization Networks 5.4.4 Network Pruning and Growing Techniques 	te 168 171 175 179
	5.5	Applications of Back-Propagation Networks	184
	3.3	 5.5.1 Approximation Formulation: Image Compression 5.5.2 Optimization Formulation: Surface Reconstruction 5.5.3 OCON Applications: OCR, Speech, and Texture 	185

x			Contents
	-	5.5.4 Control Application: Robotic Path Control	190
	5.6	Concluding Remarks	192
	5.7	Problems	194
PA	RT I	V TEMPORAL MODELS	······································
6	Det	terministic Temporal Neural Networks	203
	6.1	Introduction	203
	6.2	Linear Temporal Dynamic Models	205
		6.2.1 Non-recursive Linear Predictive Filter	207
		6.2.2 Recursive (IIR) Adaptive Filters	208
		6.2.3 State-Space Representations	209
	6.3	1 3	215
		6.3.1 Nonrecurrent Temporal Dynamic Model (TDNN)	215
		6.3.2 Recurrent Neural Networks (RNN)6.3.3 Hamiltonian Theoretical Approach to	219
		General Learning	222
	6.4		224
		6.4.1 Prediction-Based Independent Training Model 6.4.2 Compare Static and Temporal Models for	225
		ECG Analysis	226
	6.5	Concluding Remarks	233
	6.6	Problems	234
7	Sto	chastic Temporal Networks: Hidden Markov Models	237
	7.1	Introduction	237
	7.2	From Markov Model to Hidden Markov Model	239
		7.2.1 Markov Model	239
		7.2.2 Hidden Markov Model	242
	7.3	Learning Phase of Hidden Markov Models	245
		7.3.1 Learning Formulas for MM	245
		7.3.2 BP-Type HMM Learning Rule	247
	7.4	Retrieving Phase of Hidden Markov Models	253
		7.4.1 Viterbi Algorithm for Model-Scoring Problem7.4.2 Pattern-Completion Problem	254 257
	7.5	Applications to Speech, ECG, and Character Recognition	258

		7.5.1 Application to Isolated Digit Recognition	258
		7.5.2 Application to ECG Recognition	258
		7.5.3 Application to Optical Character Recognition	259
	7.6	Concluding Remarks	266
	7.7	Problems	267
PA	RT V	ADVANCED TOPICS	
8	Pri	ncipal Component Neural Networks	269
	8.1	Introduction	26 9
	8.2	From Wiener Filtering to PCA	271
		8.2.1 Symmetric Principal Component Analysis (PCA)	273
		8.2.2 Asymmetric Principal Component Analysis	274
	8.3	Symmetric Principal Component Analysis	277
	•	8.3.1 Extraction of the Single Principal Component 8.3.2 Multiple Principal Components: Lateral	277
	0.4	Orthogonalization Network	281
	8.4	BP Network for Asymmetric PCA Problems	289
		8.4.1 Extraction of the Single Principal Component 8.4.2 Lateral Networks for Multiple Components	289 290
	8.5	Applications to Signal/Image Processing	296
		 8.5.1 Rotational Compensation Applications 8.5.2 Data-Compression Applications: Extraction of 	297
		Innovative Components 8.5.3 Signal-Separation Applications: Separate	297
		Signal from Noise 8.5.4 Sinusoidal Retrieval Applications: Harmonic Spectrum Analysis	298
		8.5.5 Signal-Restoration Applications: Remove or Cancel Unwanted Noises	300 301
٠		8.5.6 Subspace Classification Applications	301
	8.6	Concluding Remarks	304
	8.7	Problems	305
9	Sto	chastic Annealing Networks for Optimization	311
	9.1	Introduction	311

xii	Contents	

9.2	Stocha	stic Neural Networks	313
	9.2.1	Equilibrium in Stochastic Networks	313
	9.2.2	Stochastic Simulated Annealing (SSA) Mean-Field Annealing and the Continuous-Valued	315
		Hopfield Model	31
9.3		ations to Combinatorial Optimization and	
	Image	Restoration	320
		Combinatorial Optimization Image-Restoration Model: Markov Random	32
		Field (MRF)	32
9.4	Boltzm	nann Machine	32
	9.4.1	Training Phase	329
	9.4.2	Retrieving Phases	3.3
9.5	Conclu	uding Remarks	33
9.6	Proble	ems	33
		IPLEMENTATIONure and Implementation	
Arc	hitect	ure and Implementation	33
Arc 10.1	chitectu Introd	ure and Implementation	33 ′
Arc 10.1	chitectu Introd Mappi	ure and Implementation uction ng Neural Nets to Array Architectures	33° 33 34
Arc 10.1	Introd Mappi 10.2.1	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology	33° 33 34
Arc 10.1	chitectu Introd Mappi	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology	33 33 34 34
Arc 10.1	Introd Mappi 10.2.1 10.2.2	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase	33° 33° 34° 34° 34° 35°
Arc 10.1	Introd Mappi 10.2.1 10.2.2	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase	33° 33° 34° 34° 34° 35°
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase	33' 33 34 34 34 35 36
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedication 10.3.1	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits	33 33 34 34 35 36 36 37
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedica 10.3.1 10.3.2	ure and Implementation uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits Digital (or Mostly Digital) ASIC Chips	33 33 34 34 35 36 36 37 37
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedic: 10.3.1 10.3.2 10.3.3	uction Ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits Digital (or Mostly Digital) ASIC Chips Digital Design Based on FPGA Chips	33 33 34 34 35 36 36 37 37 37
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedica 10.3.1 10.3.2	uction Ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits Digital for Mostly Digital) ASIC Chips Digital Design Based on FPGA Chips	33' 33 34 34 35 36 36 37 37 37
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedica 10.3.1 10.3.2 10.3.3 10.3.4	uction Ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits Digital (or Mostly Digital) ASIC Chips Digital Design Based on FPGA Chips	33' 33' 34' 34' 35' 36' 36' 37' 37' 37' 37' 37' 37' 37'
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedica 10.3.1 10.3.2 10.3.3 10.3.4	uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits Digital (or Mostly Digital) ASIC Chips Digital Design Based on FPGA Chips Optical Implementation of Neural Nets	33 33 34 34 35 36 36 37 37 37 37
Arc 10.1 10.2	Introd Mappi 10.2.1 10.2.2 10.2.3 10.2.4 Dedication of the content	uction ing Neural Nets to Array Architectures Mapping Design Methodology Design for Multilayer Networks: Retrieving Phase Design for Multilayer Networks: Training Phase System Design and Simulation ated Neural Processing Circuits Analog Electronic Circuits Digital (or Mostly Digital) ASIC Chips Digital Design Based on FPGA Chips Optical Implementation of Neural Nets ral-Purpose Digital Neurocomputers Overall System Configuration	33 33 34 34 35 36 36 37 37 37 37 38

·

Contents	XIII
10.5 Concluding Remarks	405
10.6 Problems	406
Bibliography	413
Index	435

PART I: INTRODUCTION

Chapter 1

Overview

1.1 Introduction

Neural networks have become a very popular field of research in cognitive science, neurobiology, computer engineering/science, signal processing, optics, and physics. They represent a very broad range of neural processing models. The purpose of this book is to provide an integrated and cohesive exploration of the fundamental issues on digital neural networks. The word "digital" refers to "discrete-time" processing. In terms of data format, it may involve discrete-value or continuous-value signals. The term "neural networks" is characterized by a combined adaptive network and parallel processing technologies. Therefore, the field requires a coherent study and understanding of multi-disciplinary issues, including application-needs, neural models, and parallel processing.

An artificial neural network is an abstract simulation of a real nervous system that contains a collection of neuron units communicating with each other via axon connections. Such a model bears a strong resemblance to axons and dendrites in a nervous system. Due to its self-organizing and adaptive