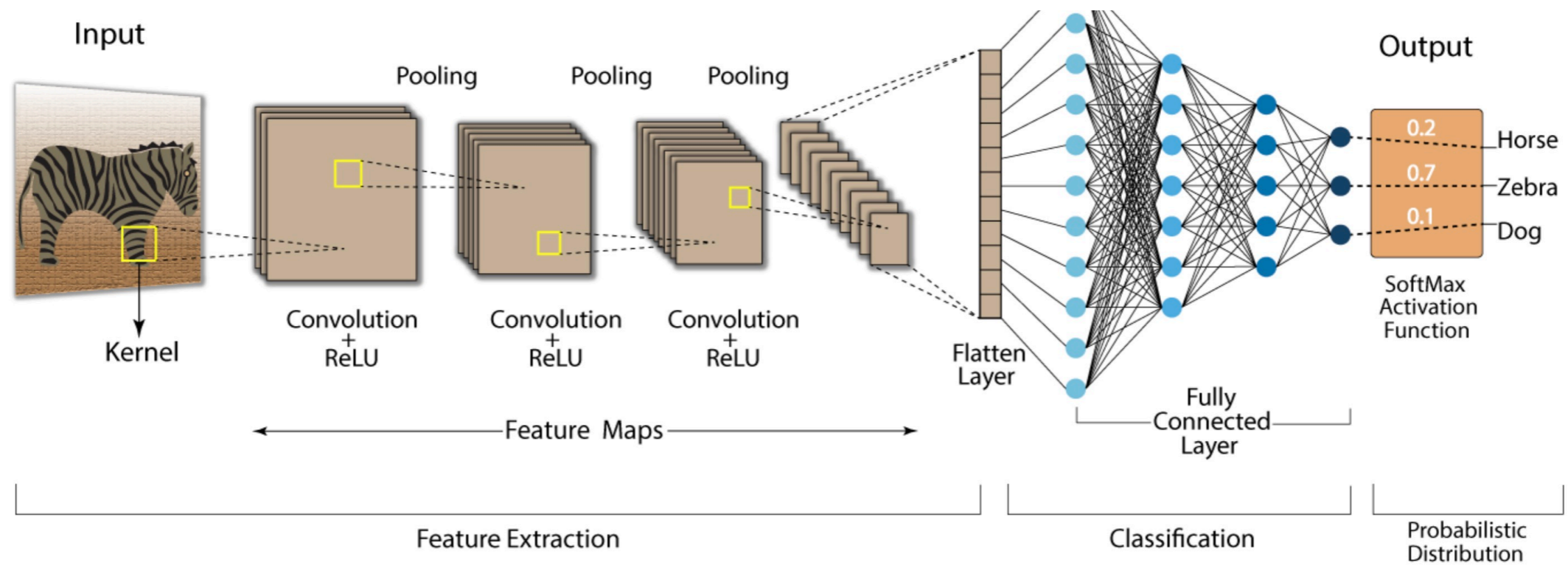


# On the Shift Invariance of Max Pooling Feature Maps in CNN

joint work with H. Leterme, K. Alahari et V. Perrier

Kévin Polisano

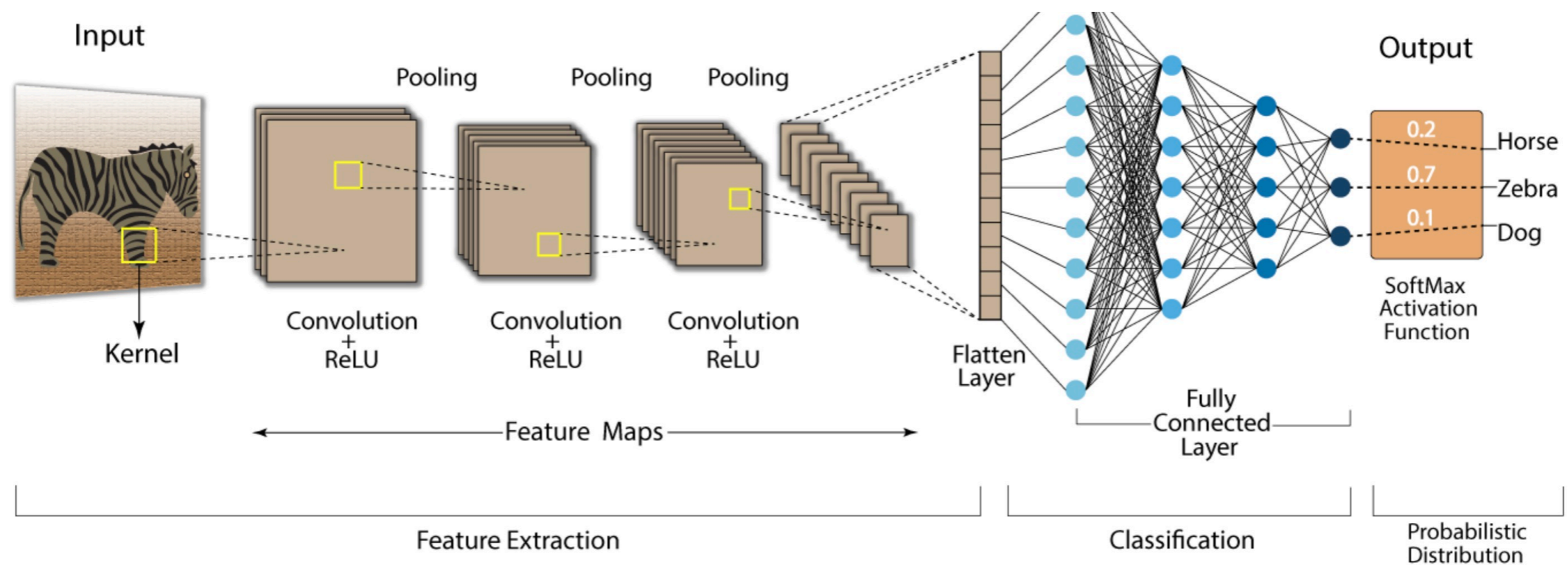
# Convolutional neural networks



Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>

# Convolutional neural networks

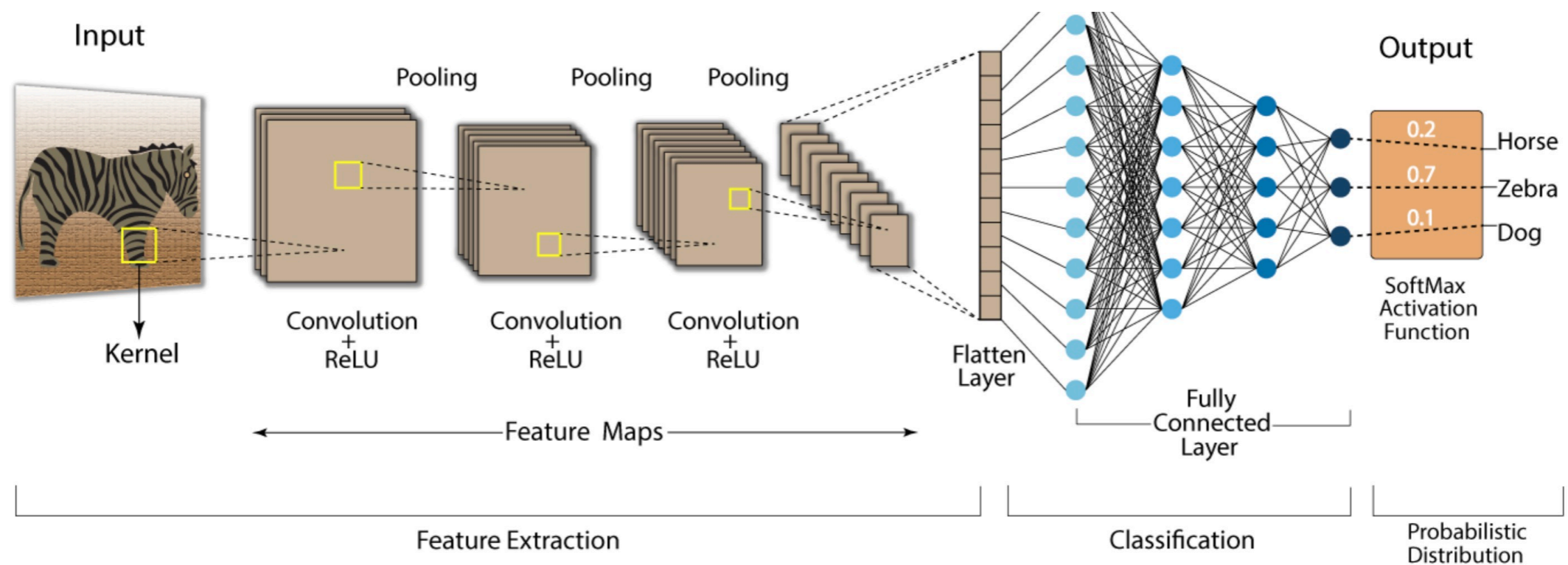
- Image classification: feature vectors are fed into a linear classifier



Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>

# Convolutional neural networks

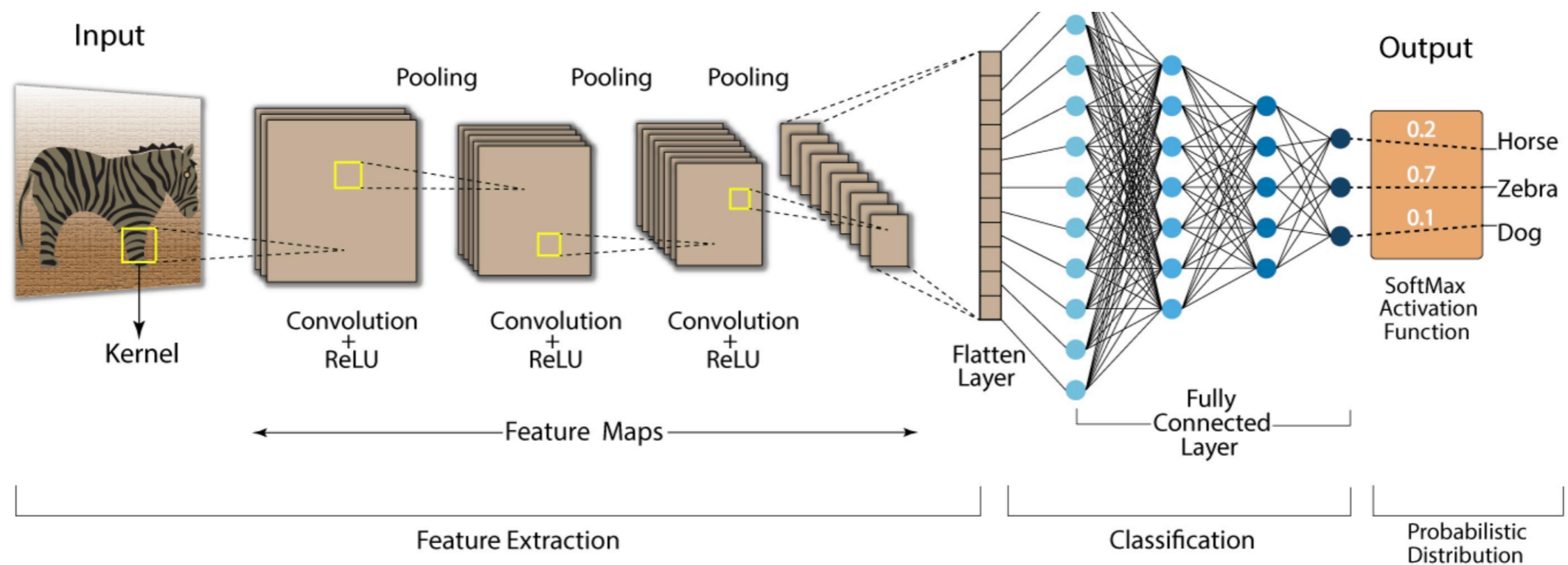
- Image classification: feature vectors are fed into a linear classifier
- Desired property of CNN: to remain invariant to small translations



Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>

# Convolutional neural networks

- Image classification: feature vectors are fed into a linear classifier
- Desired property of CNN: to remain invariant to small translations
- Are extracted features maps stable to translations?



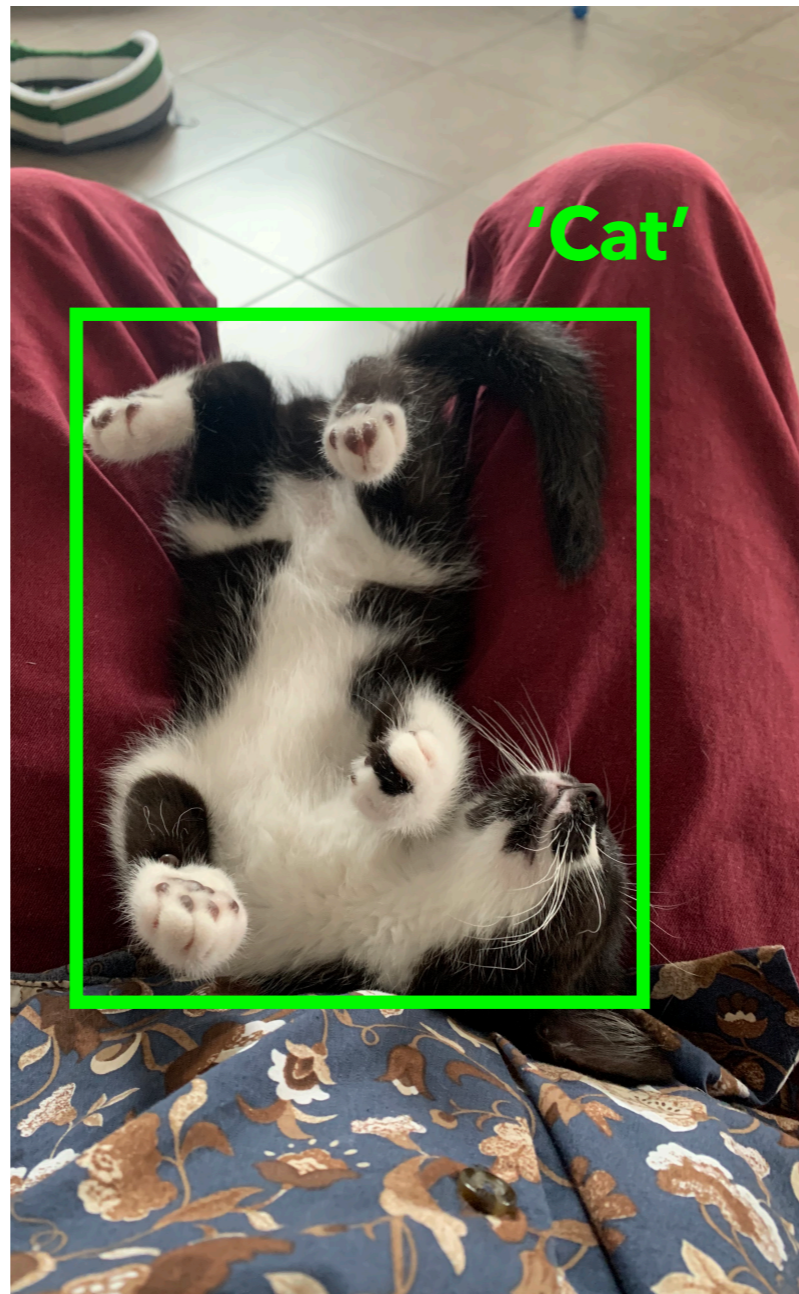
Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>

# Are CNNs shift-invariant?



My cat Ada

# Are CNNs shift-invariant?



# Are CNNs shift-invariant?

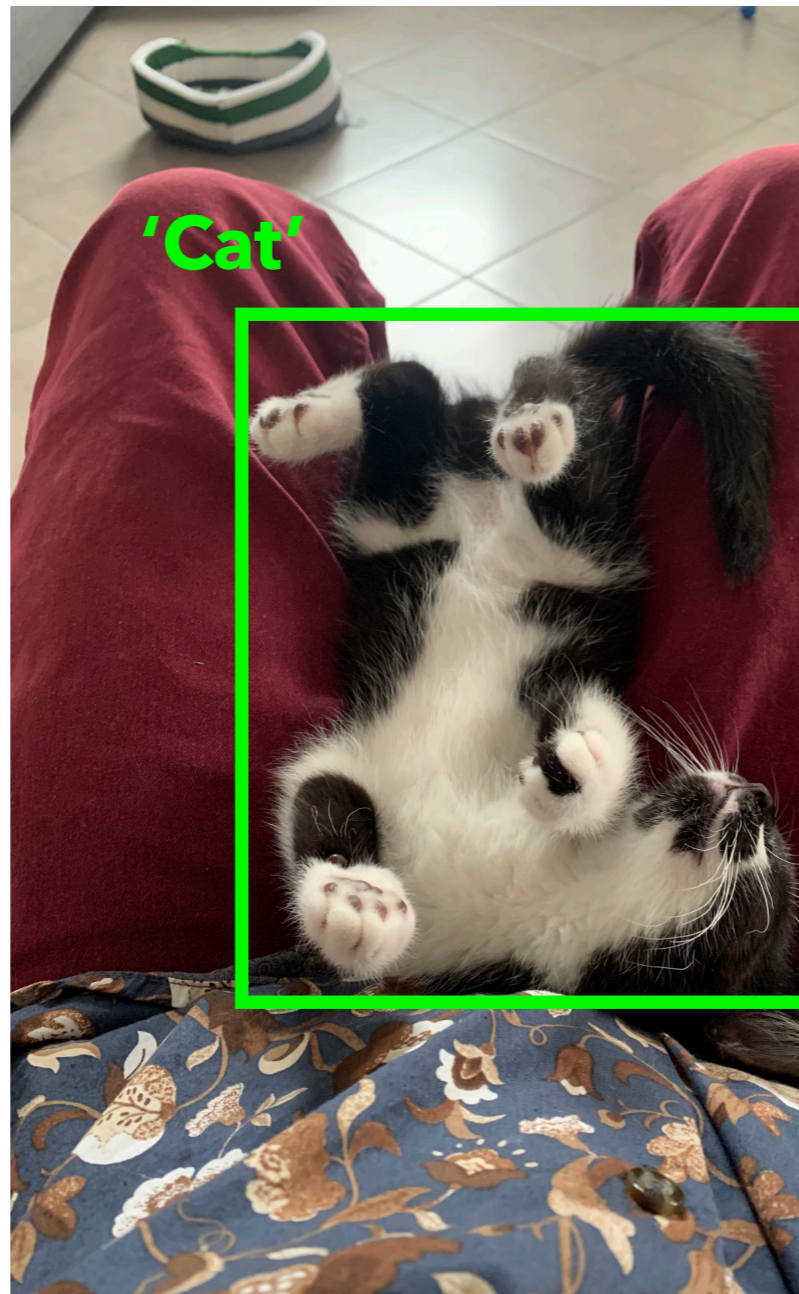




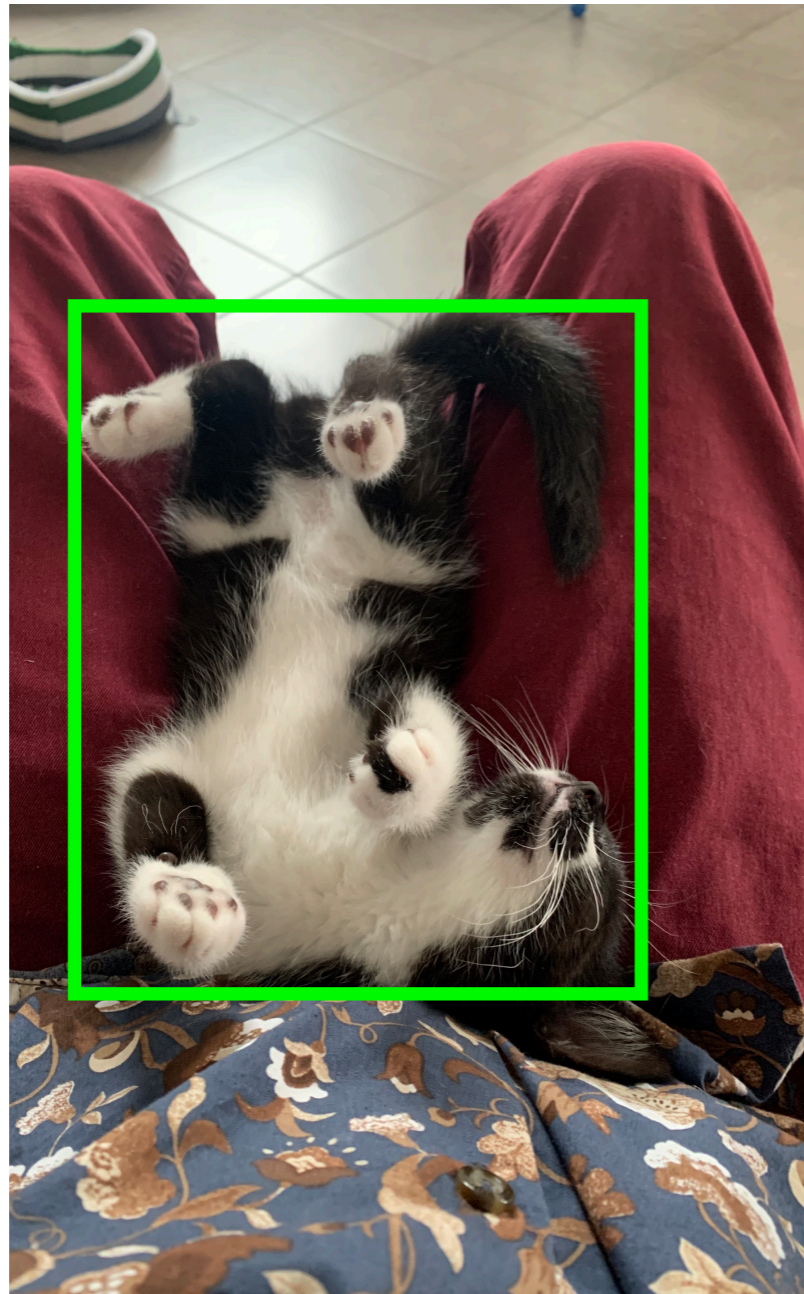
# Are CNNs shift-invariant?



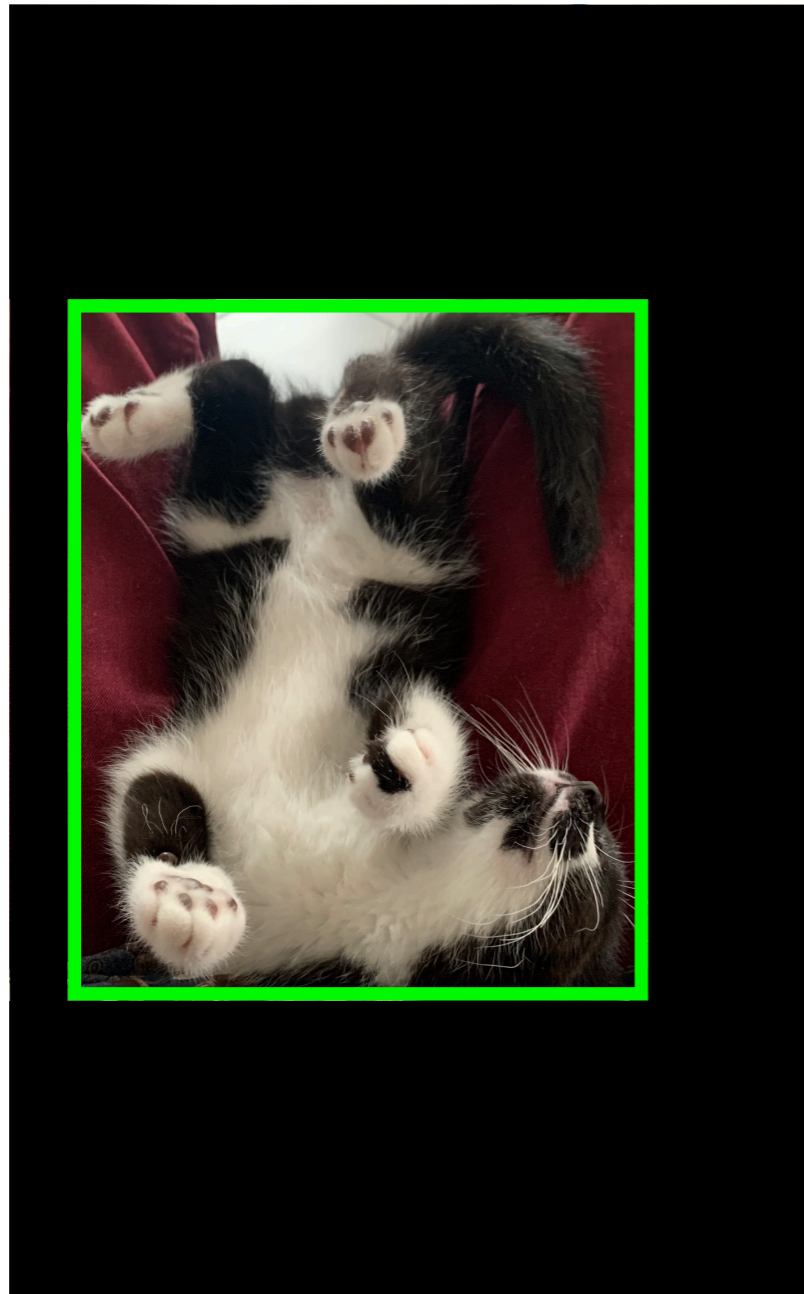
# Are CNNs shift-invariant?



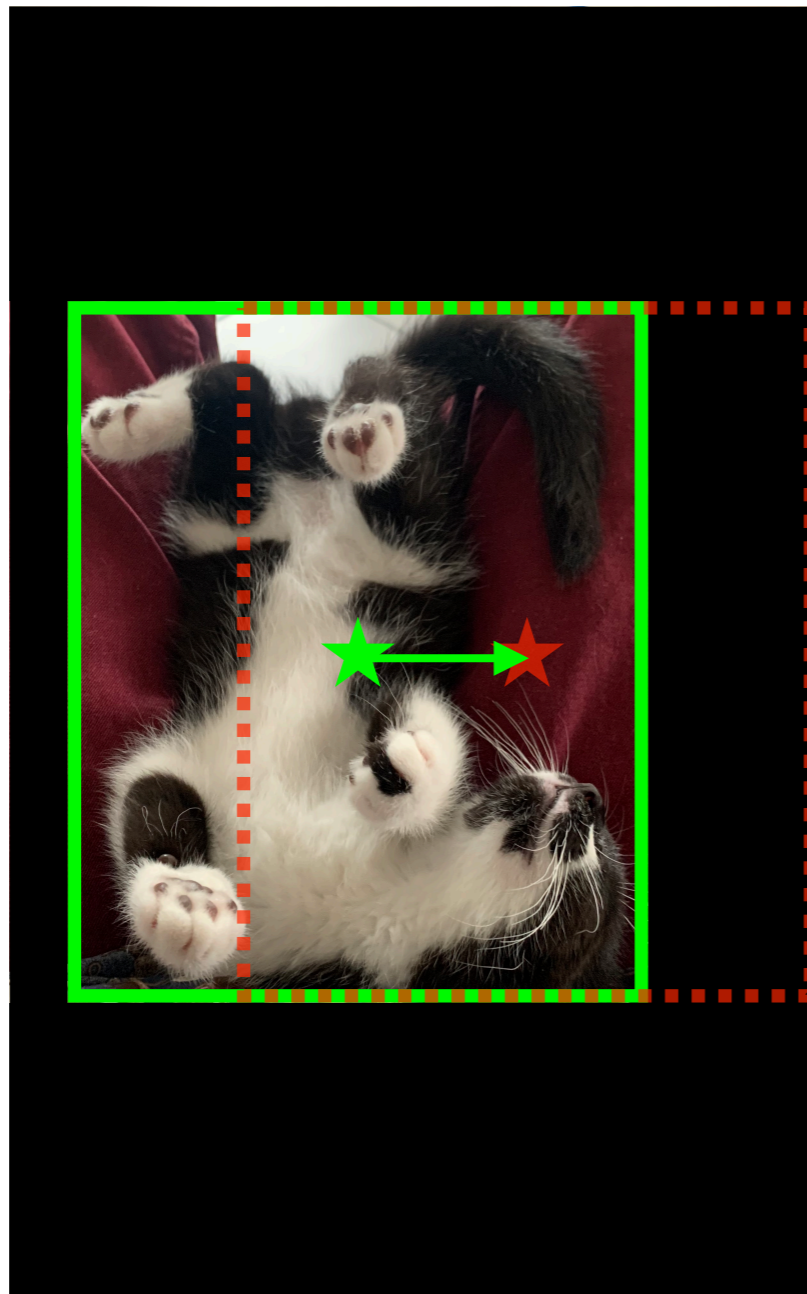
# Are CNNs shift-invariant?



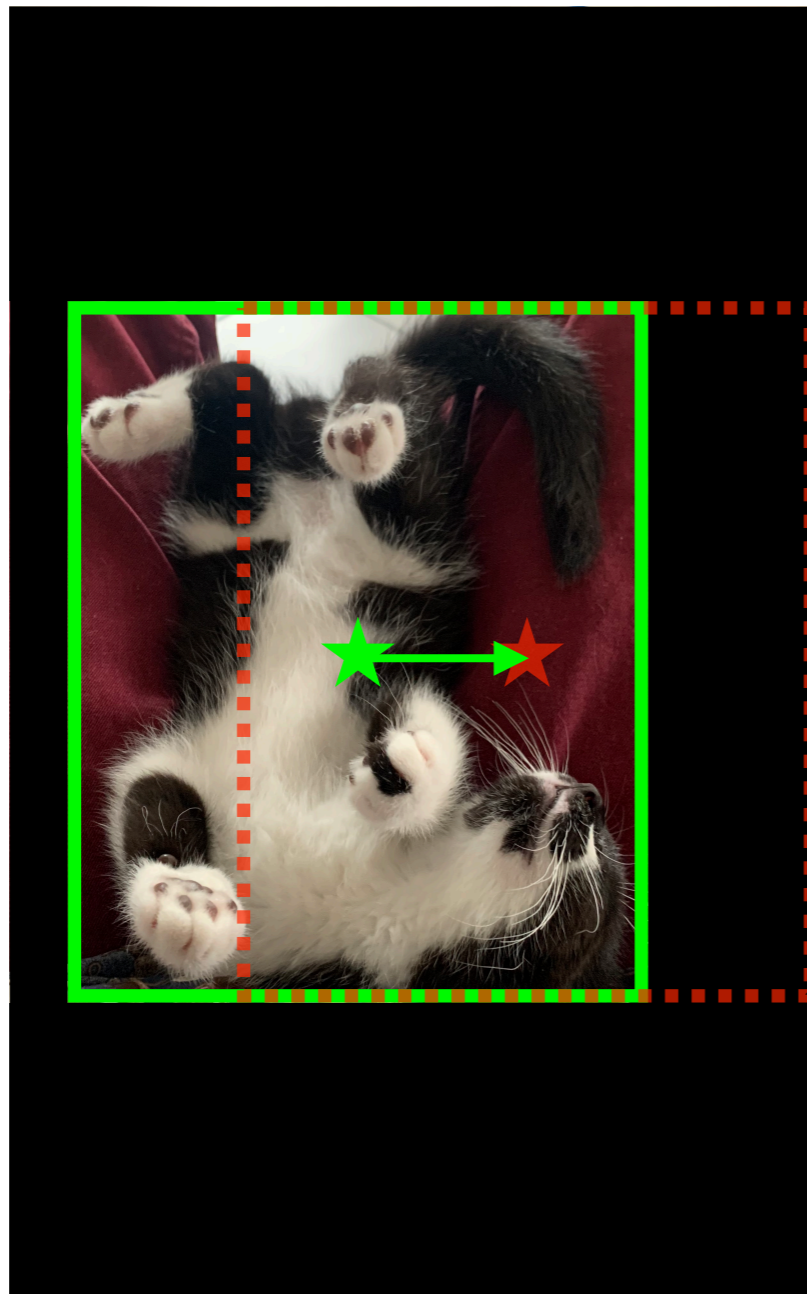
# Are CNNs shift-invariant?



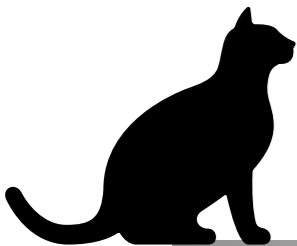
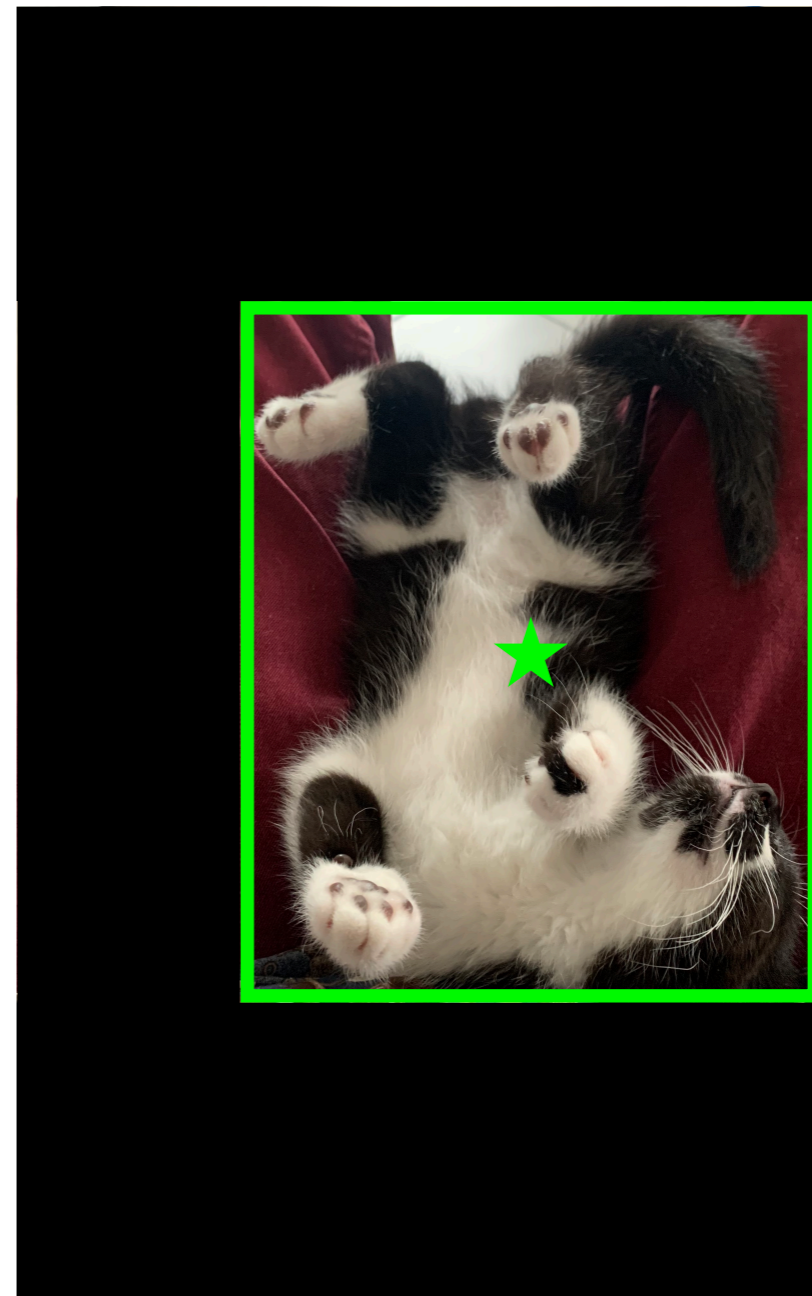
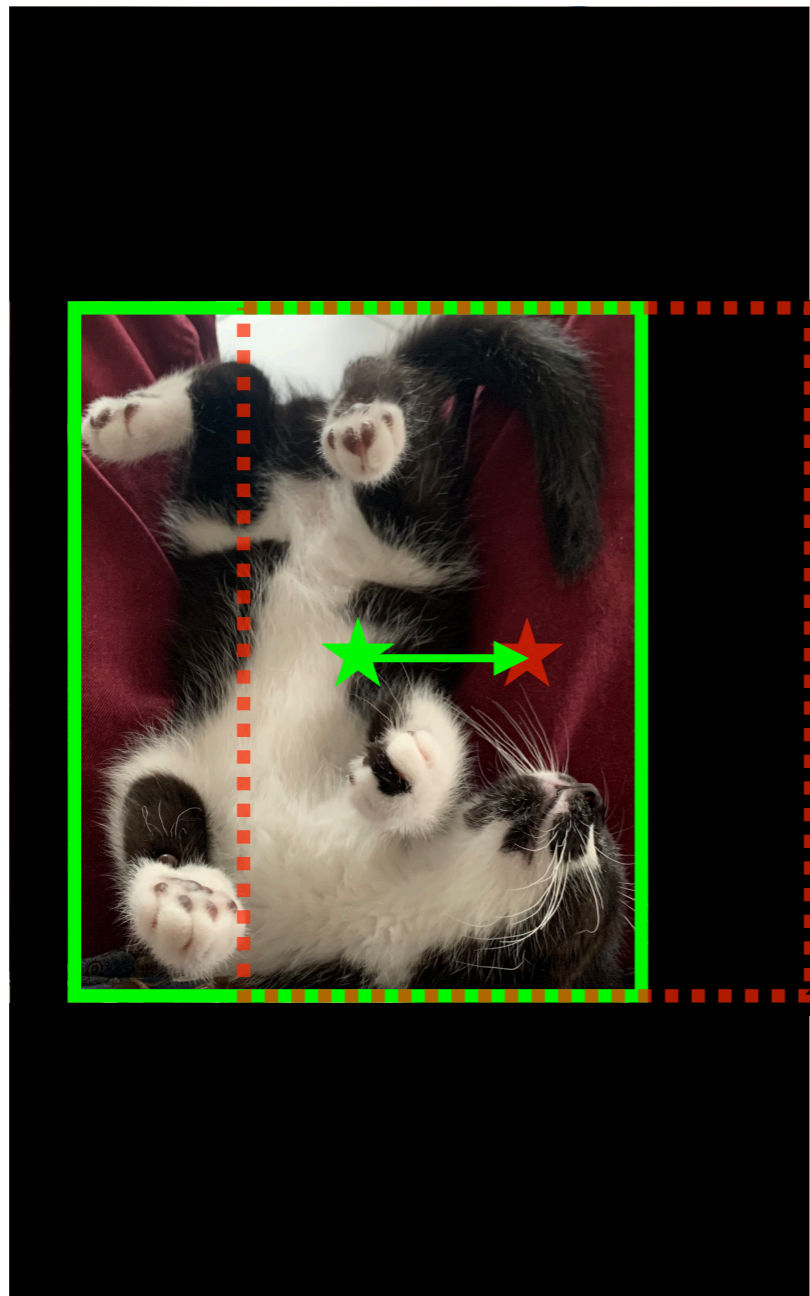
# Are CNNs shift-invariant?



# Are CNNs shift-invariant?

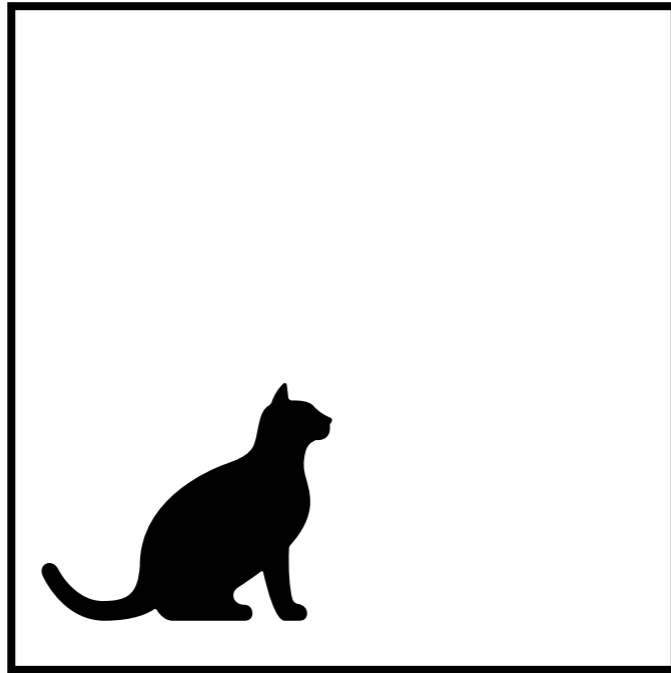


# Are CNNs shift-invariant?



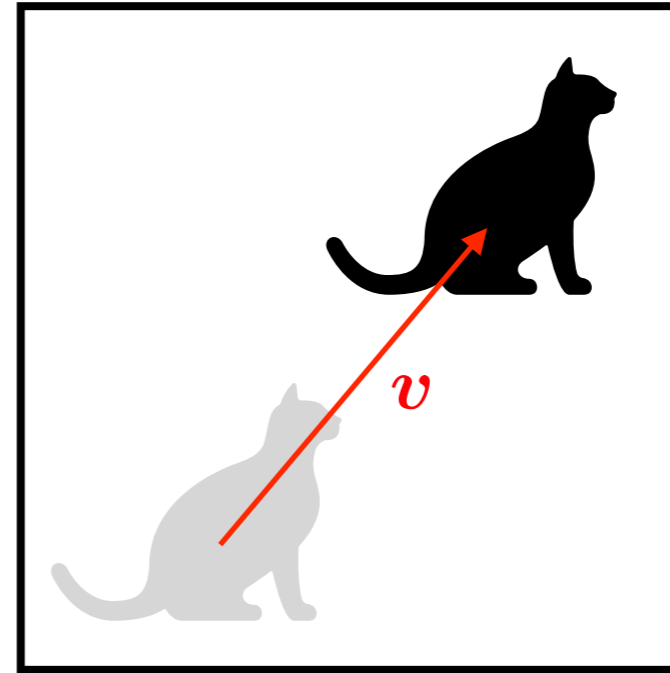
# Shift invariance

Input image  $X$



Output  $f(X) = 1$

Shifted input  $\mathcal{T}_v X$

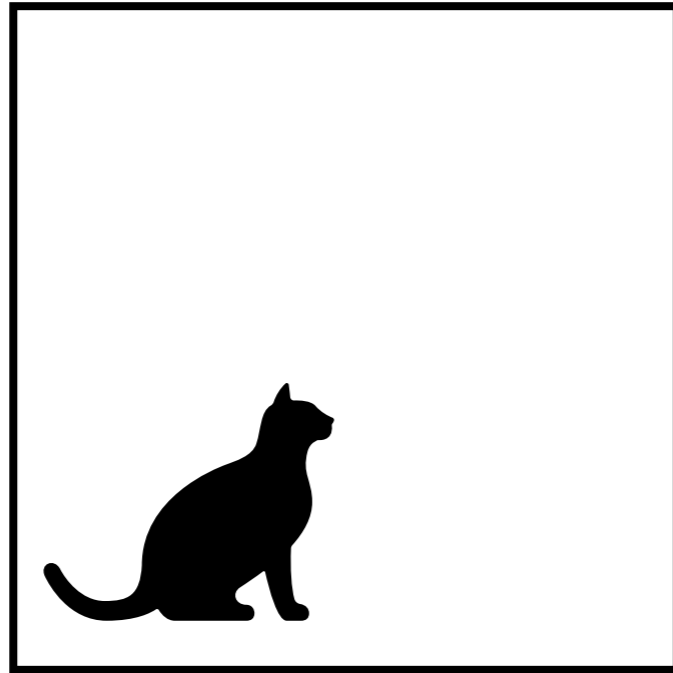


Output  $f(\mathcal{T}_v X) = 1$



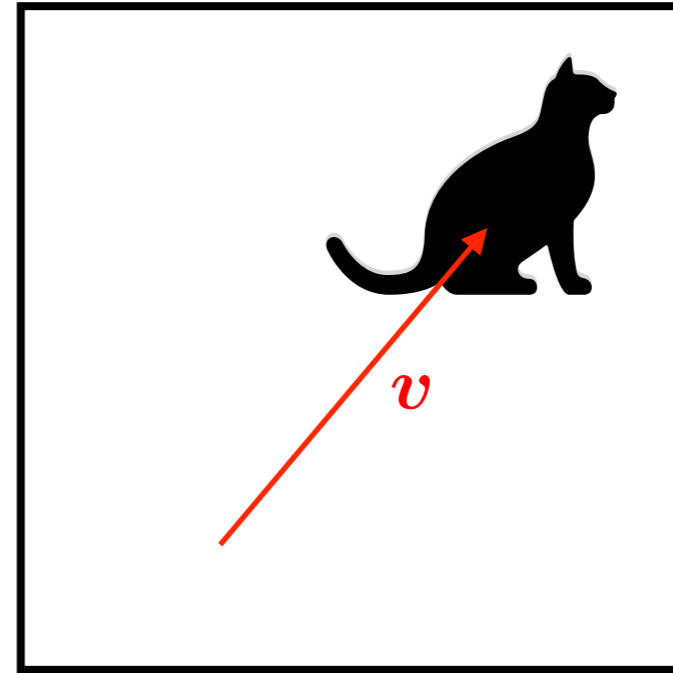
# Shift invariance

Input image  $X$



Output  $f(X) = 1$

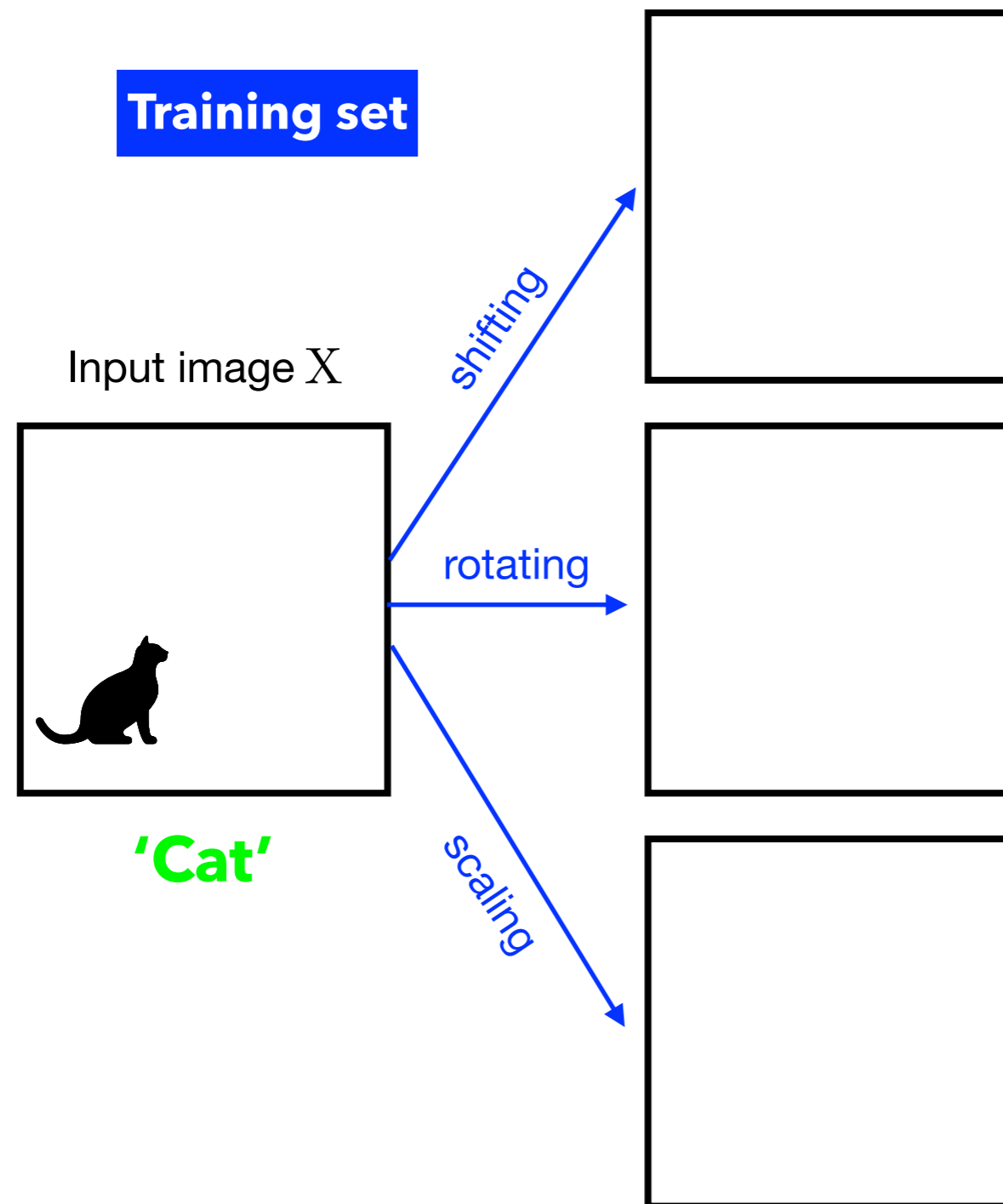
Shifted input  $\mathcal{T}_v X$



Output  $f(\mathcal{T}_v X) = 1$

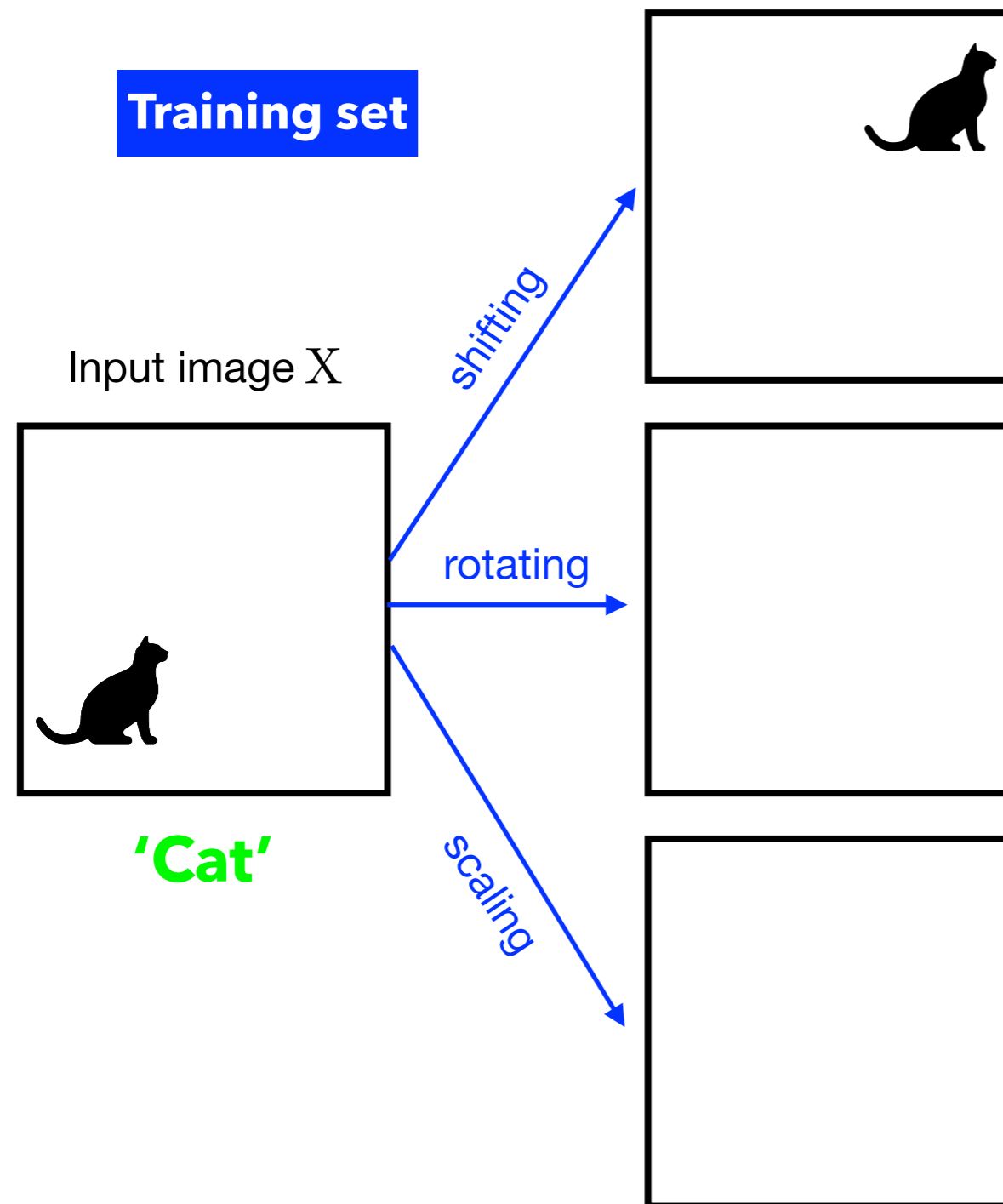
# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation



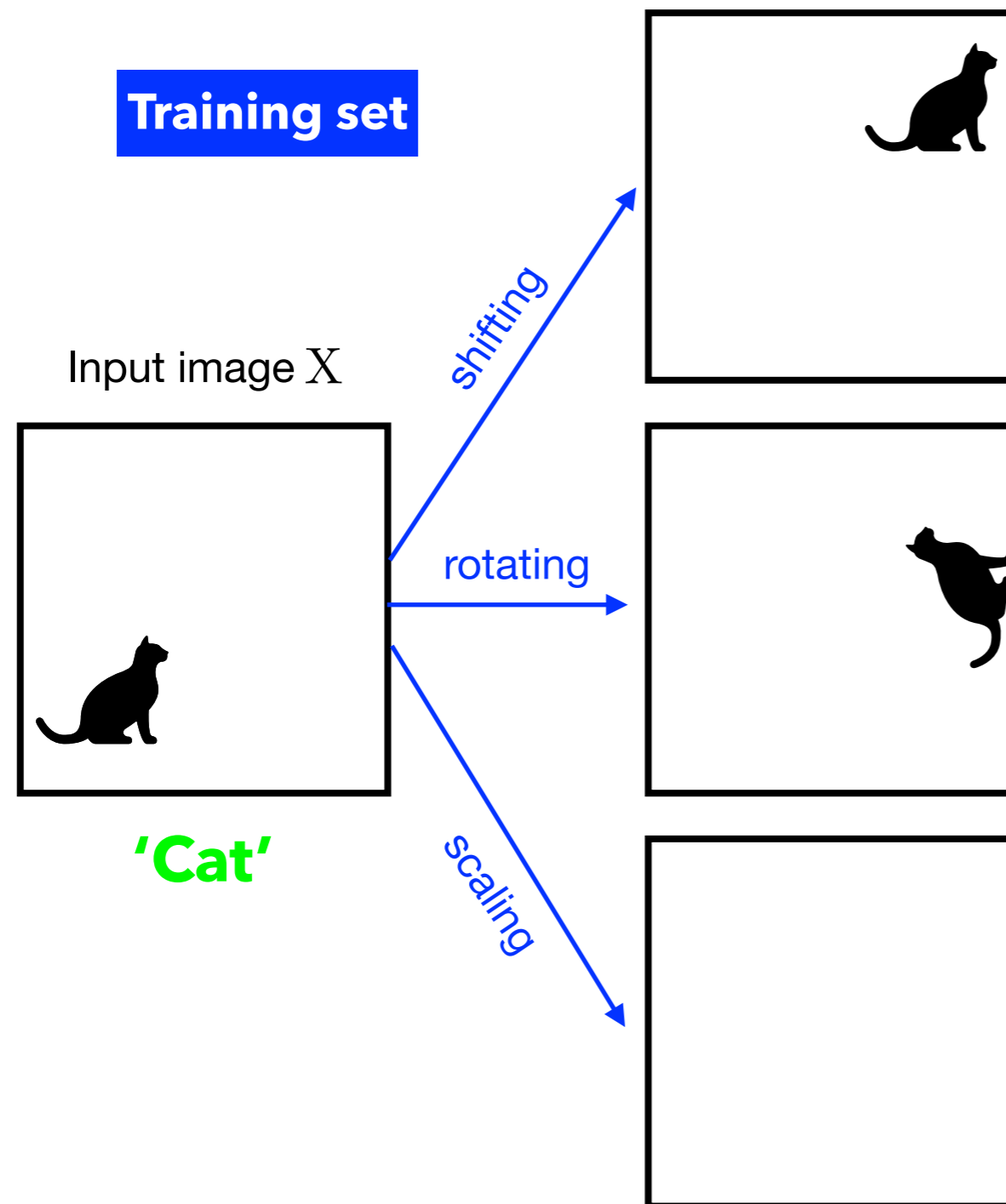
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- **Trained invariance** by data augmentation



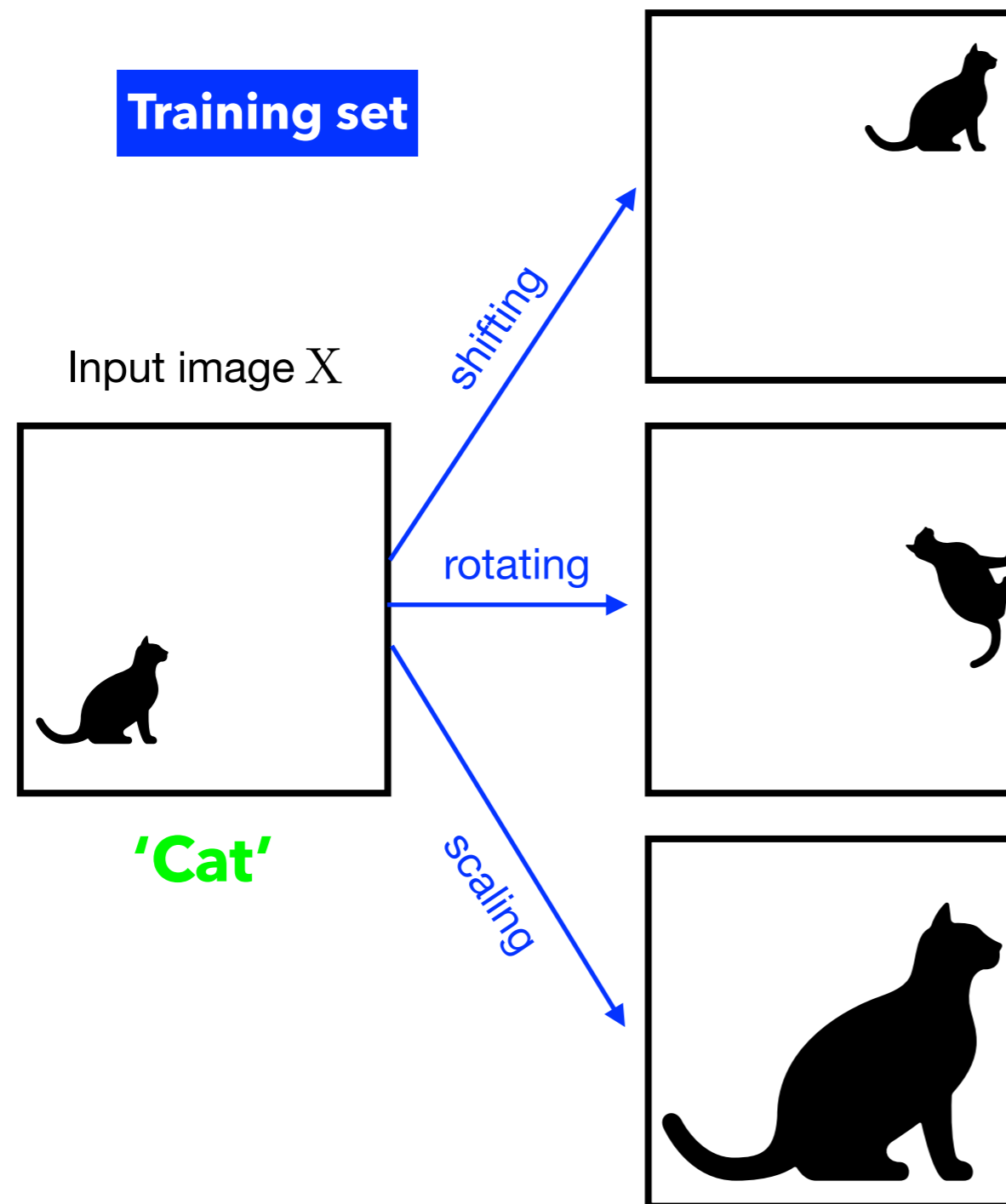
# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation



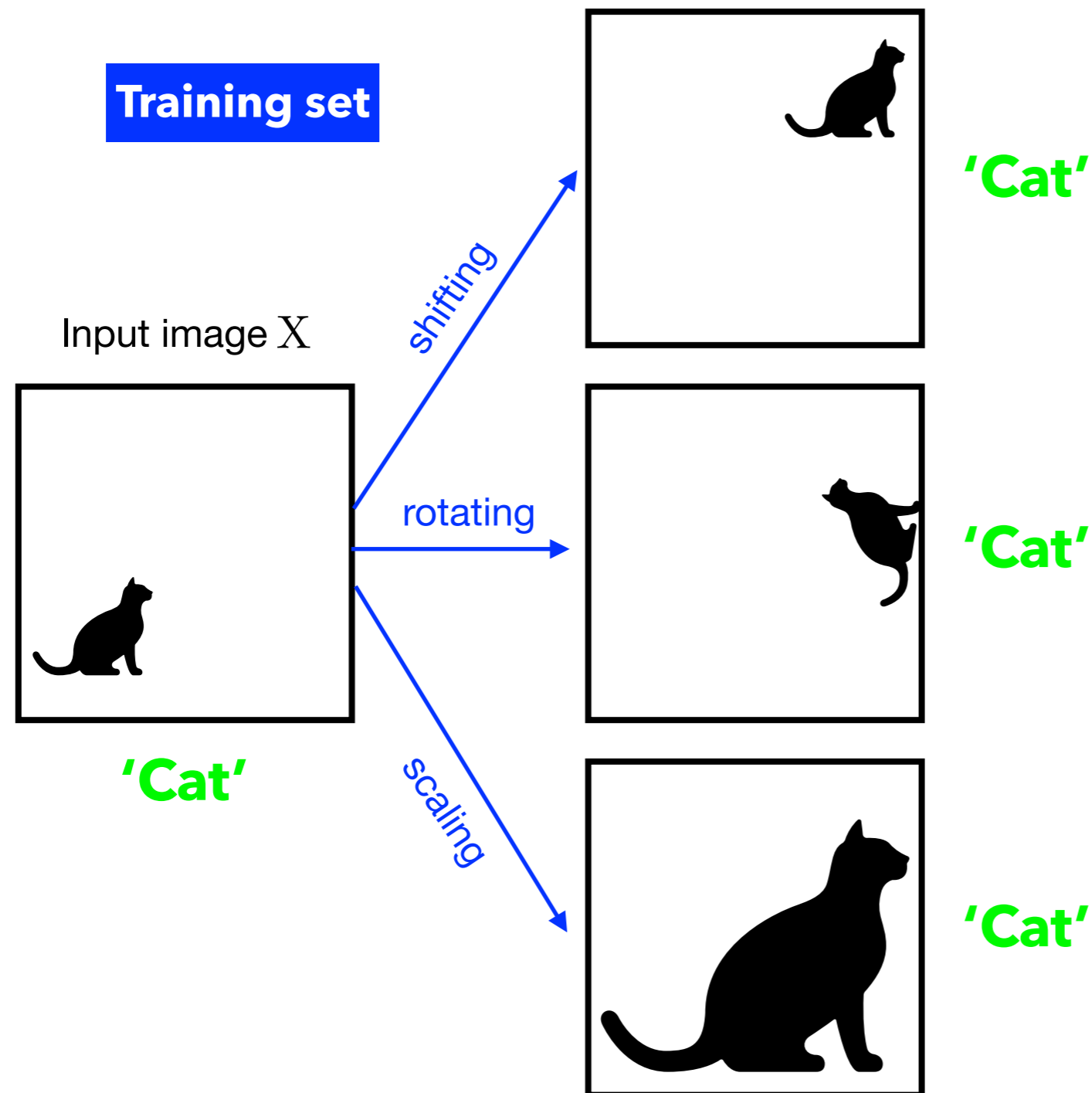
# How to make CNNs shift-invariant?

- **Trained invariance** by **data augmentation**



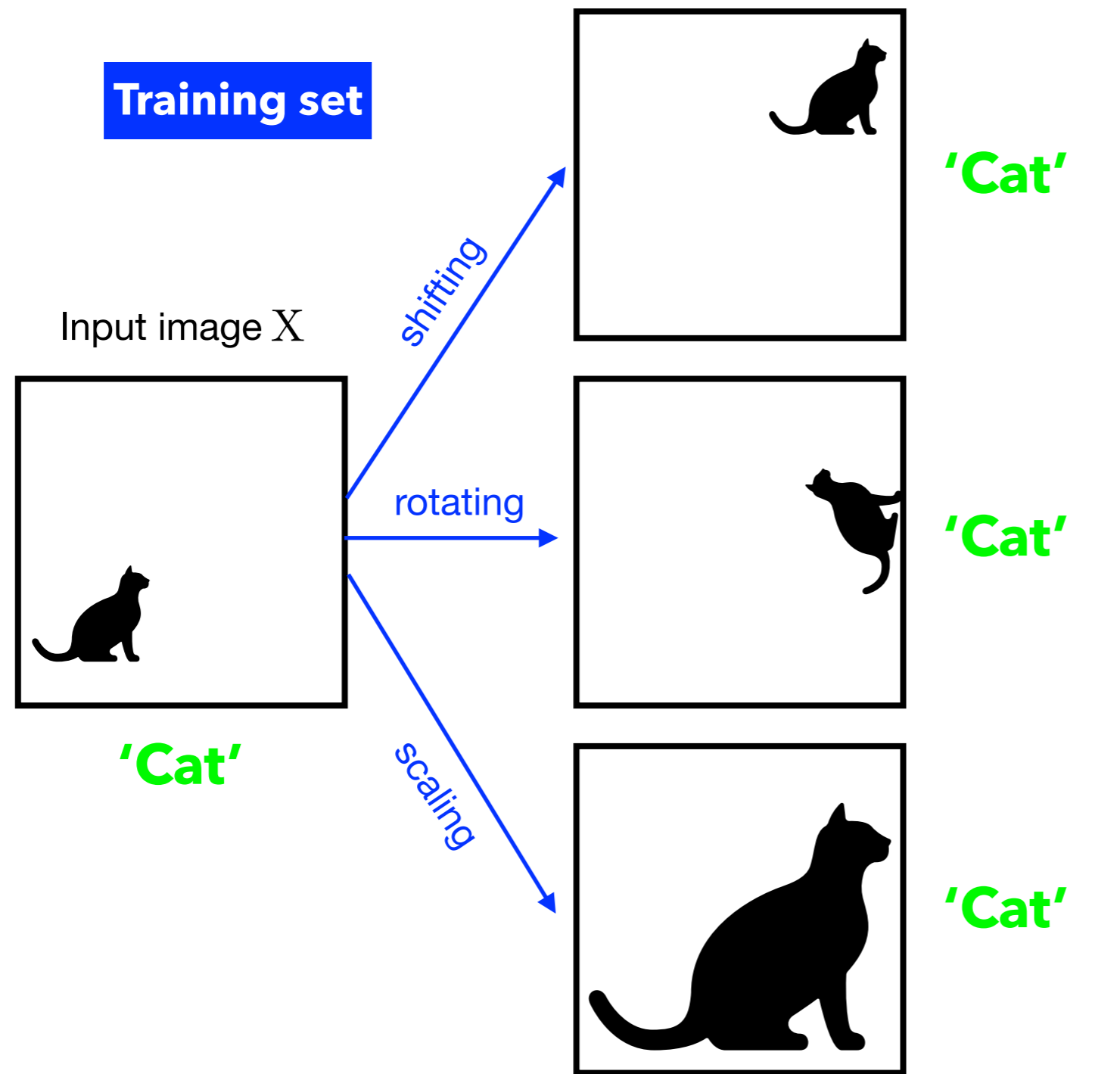
# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation



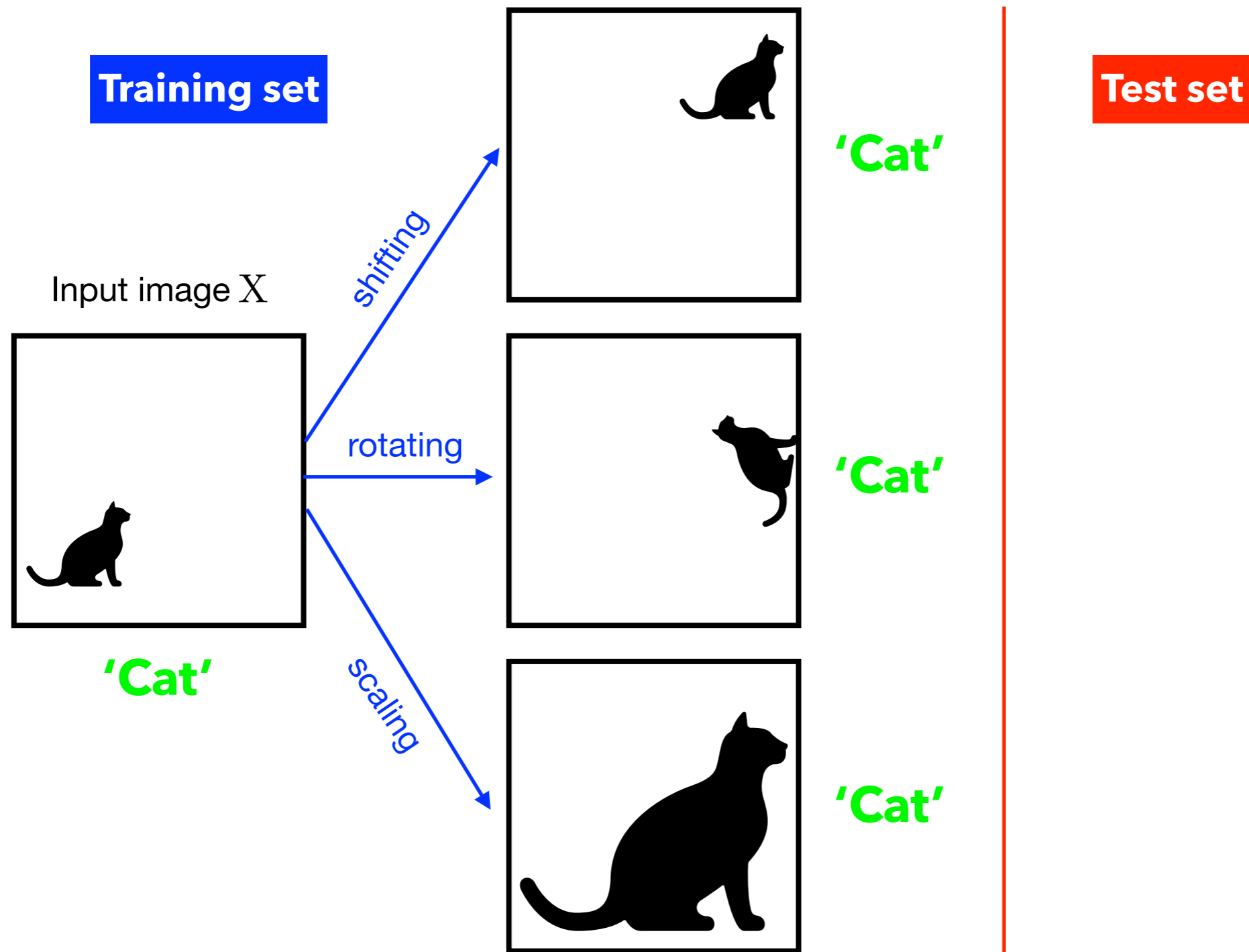
# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation



# How to make CNNs shift-invariant?

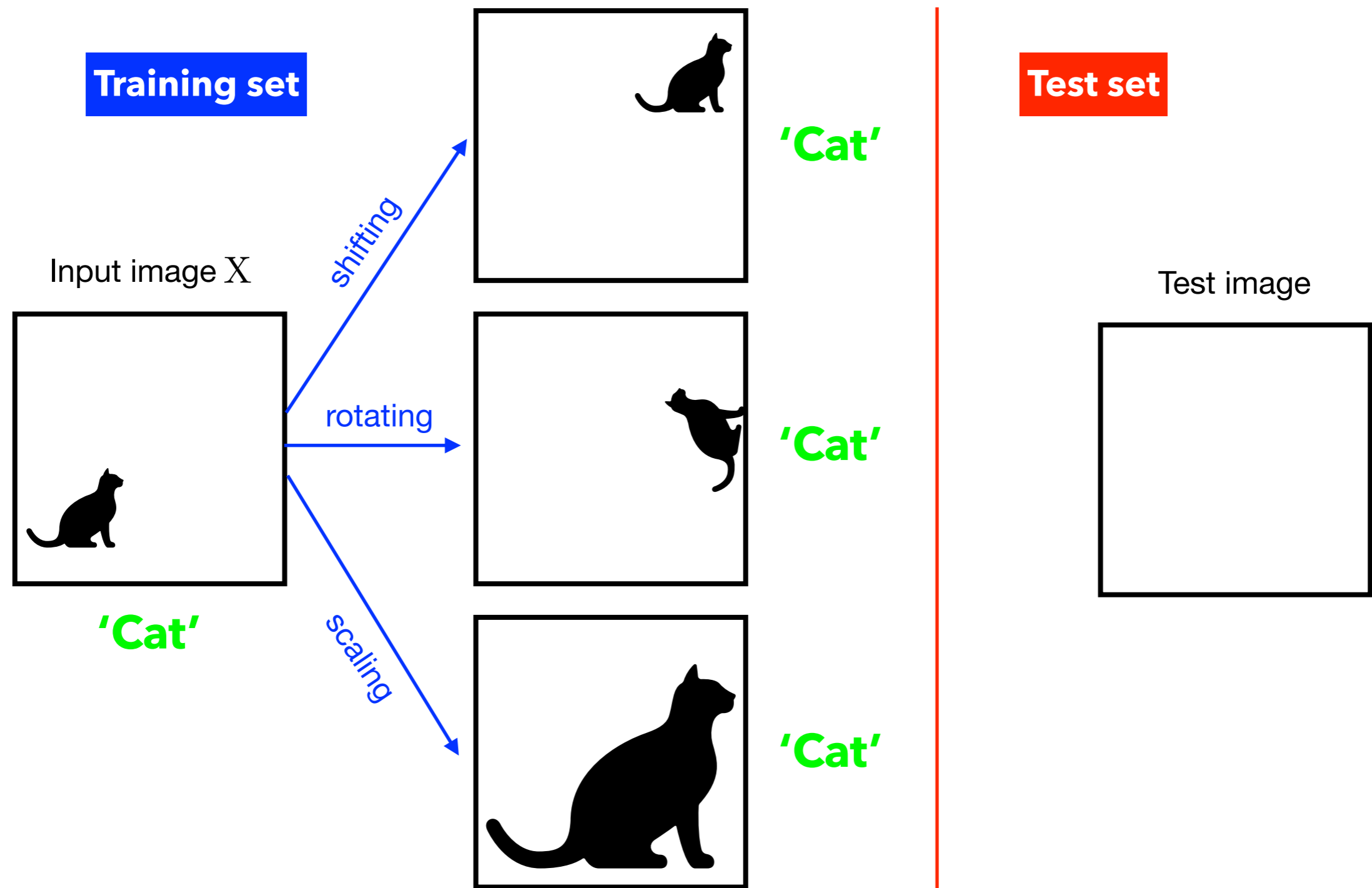
- **Trained invariance** by data augmentation





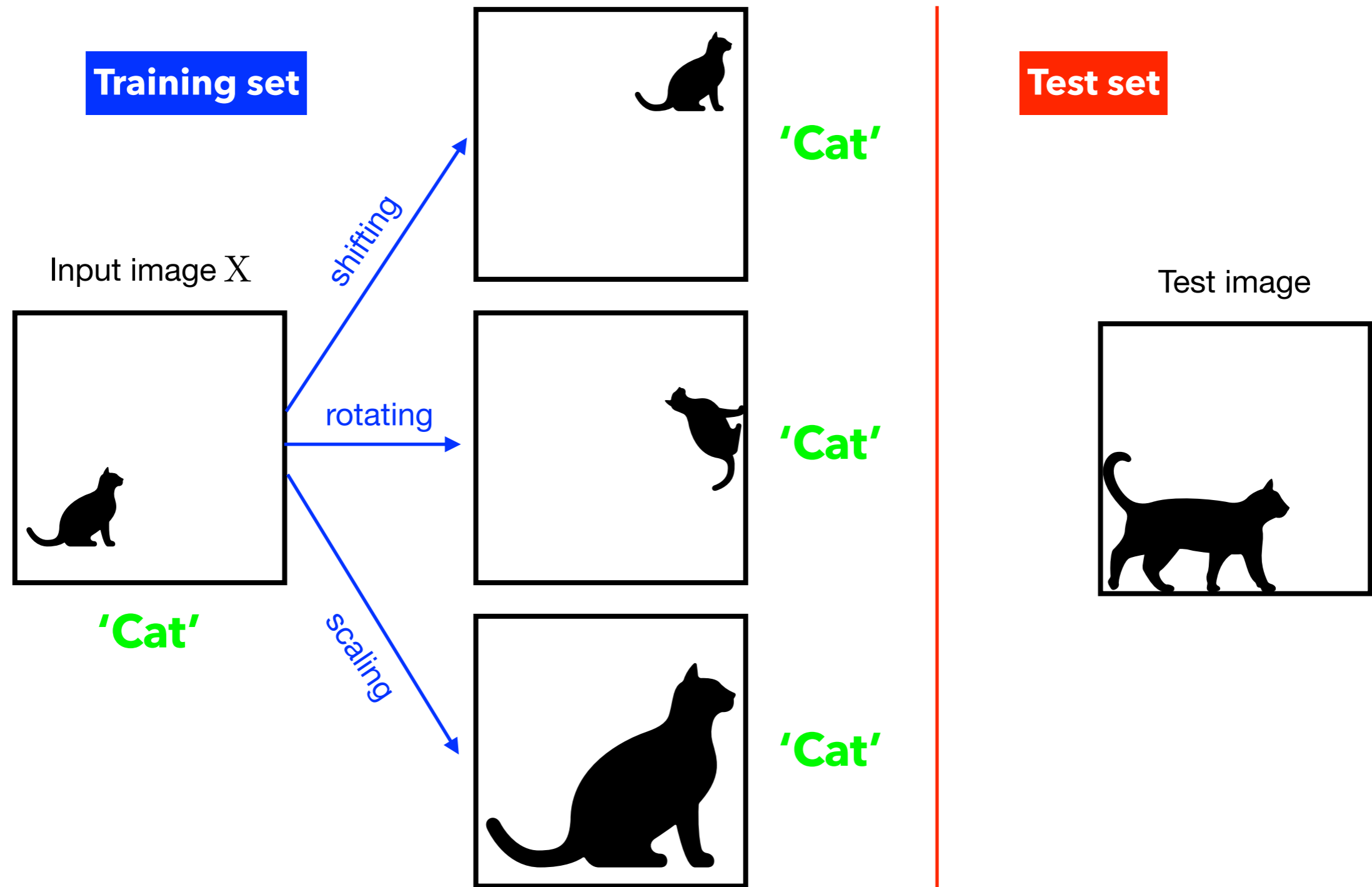
# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation



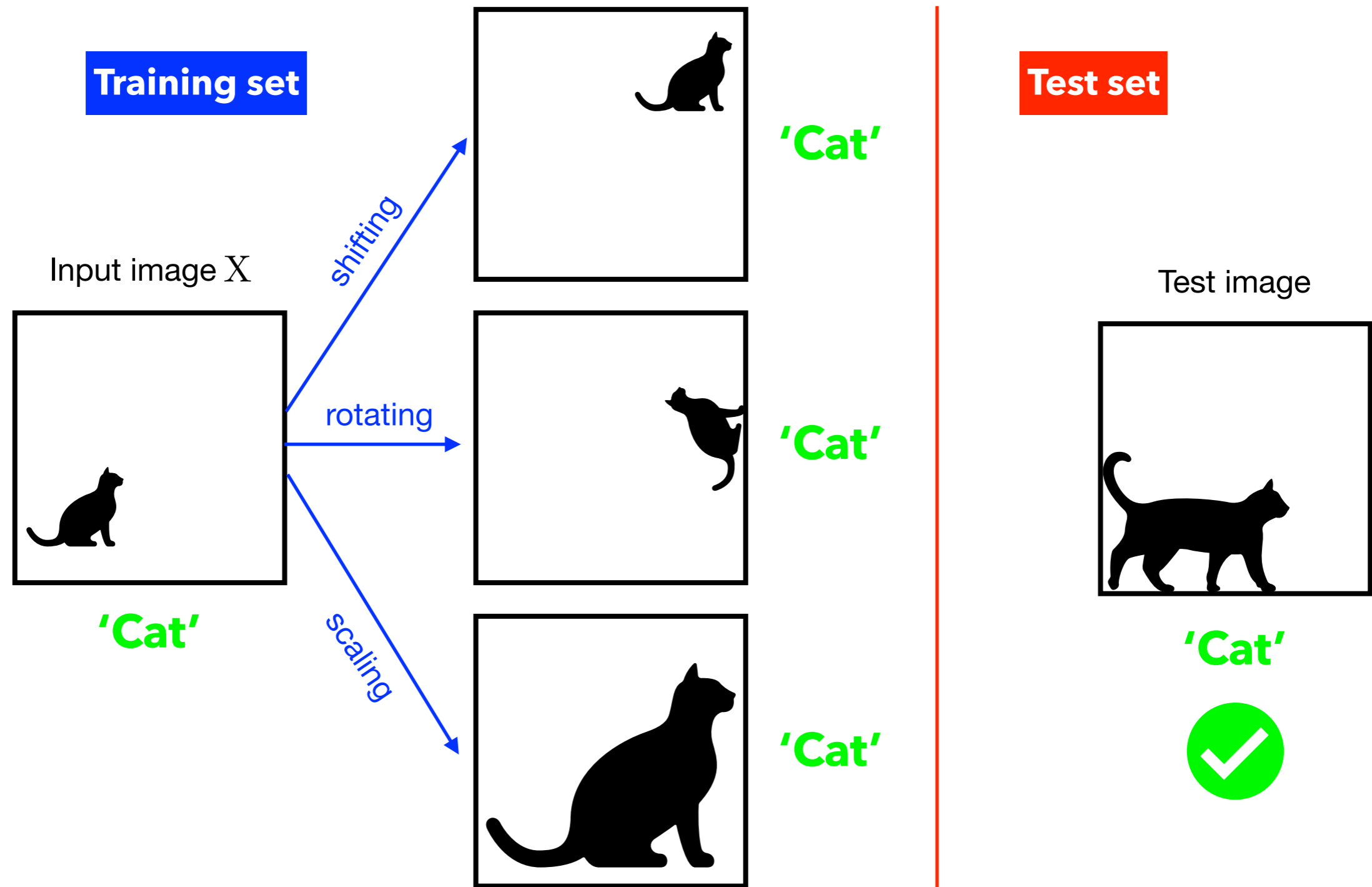
# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation



# How to make CNNs shift-invariant?

- **Trained invariance** by data augmentation

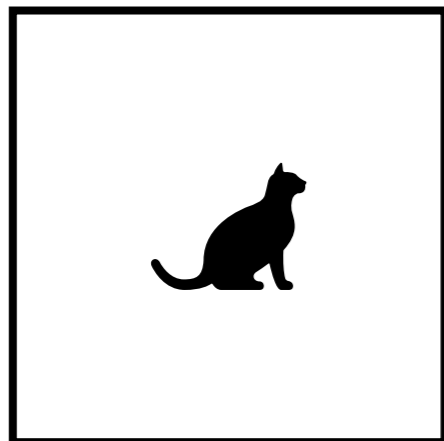


# How to make CNNs shift-invariant?

- **Online invariance** at **one-to-many locations**

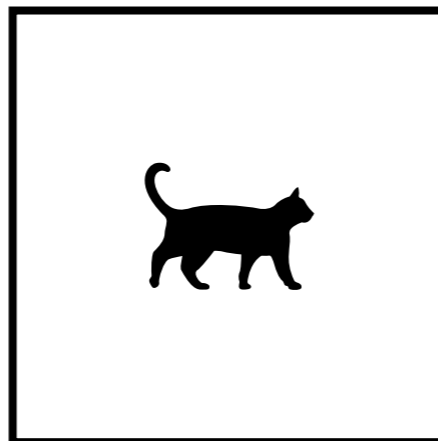
**Training set**

Input image  $X$



'Cat'

Input image  $X$

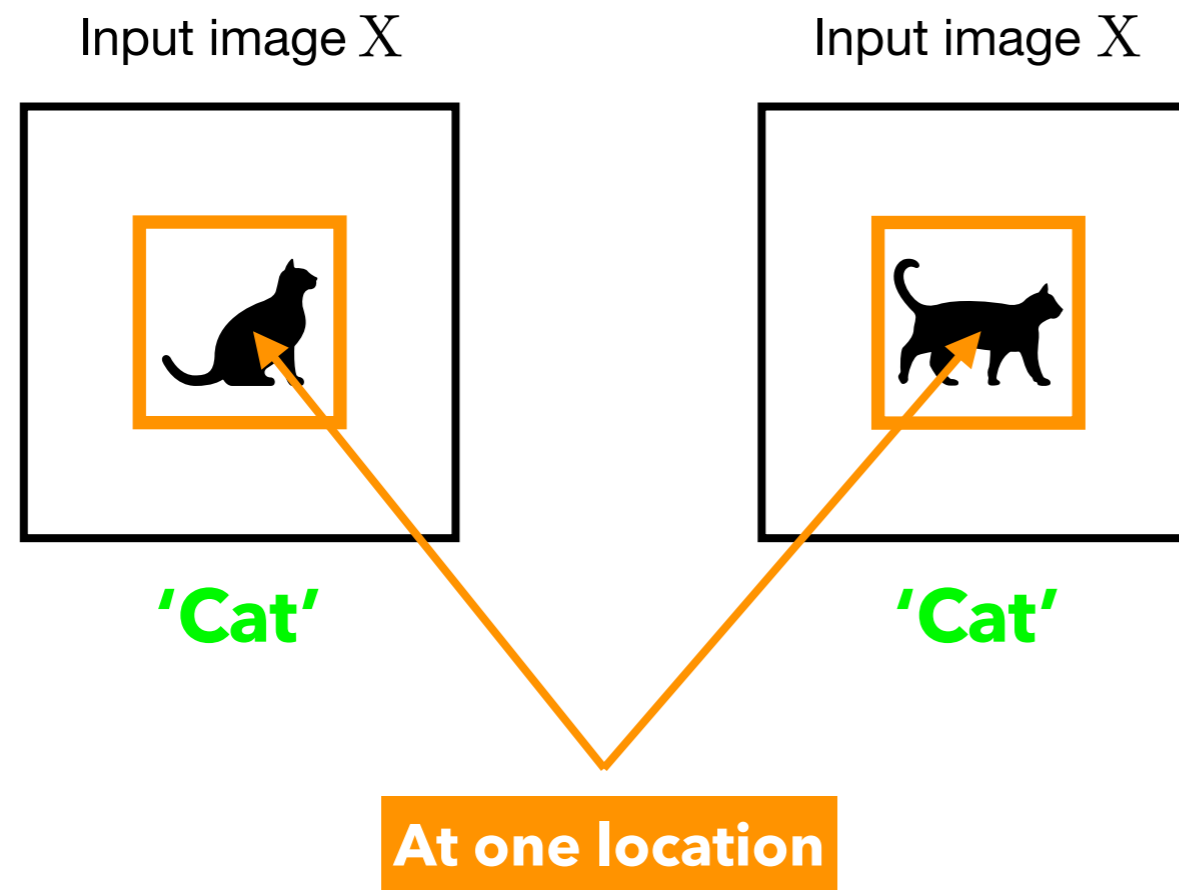


'Cat'

# How to make CNNs shift-invariant?

- **Online invariance** at **one-to-many locations**

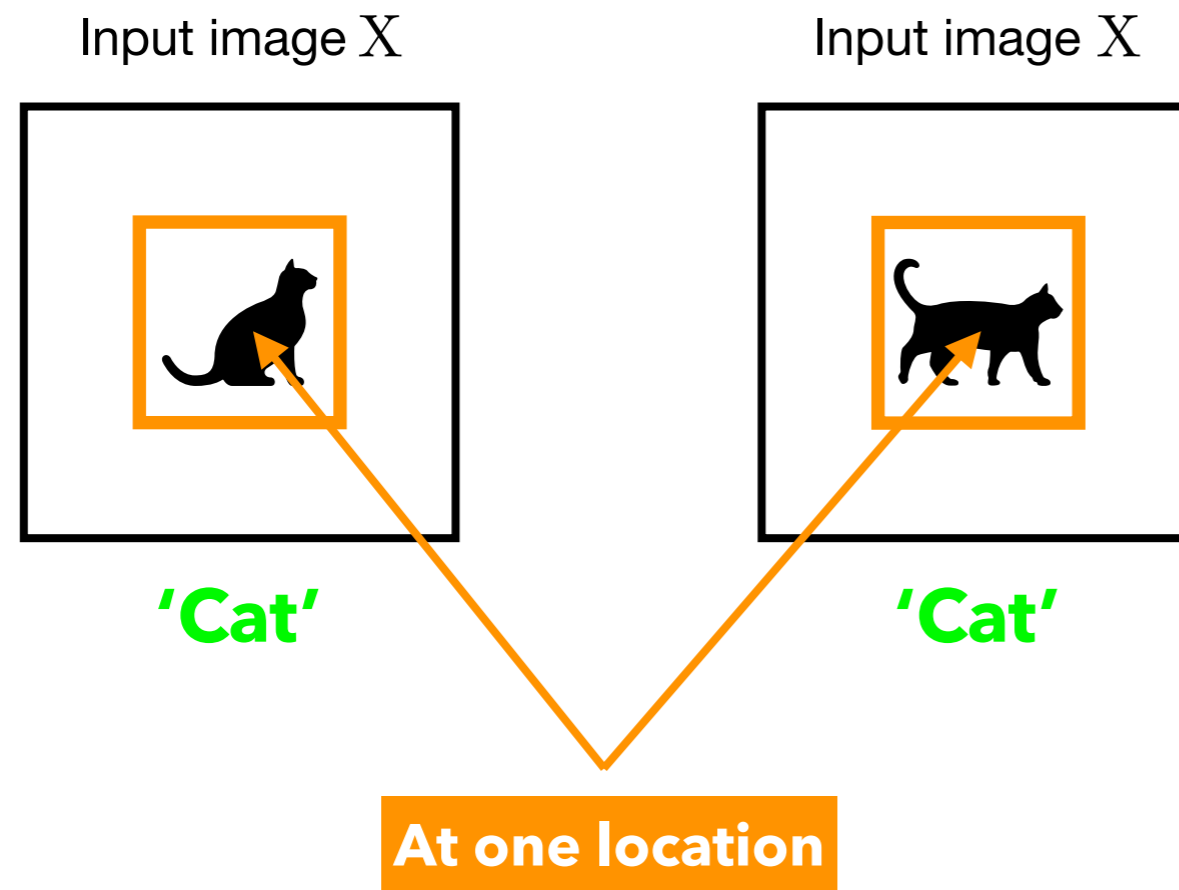
**Training set**



# How to make CNNs shift-invariant?

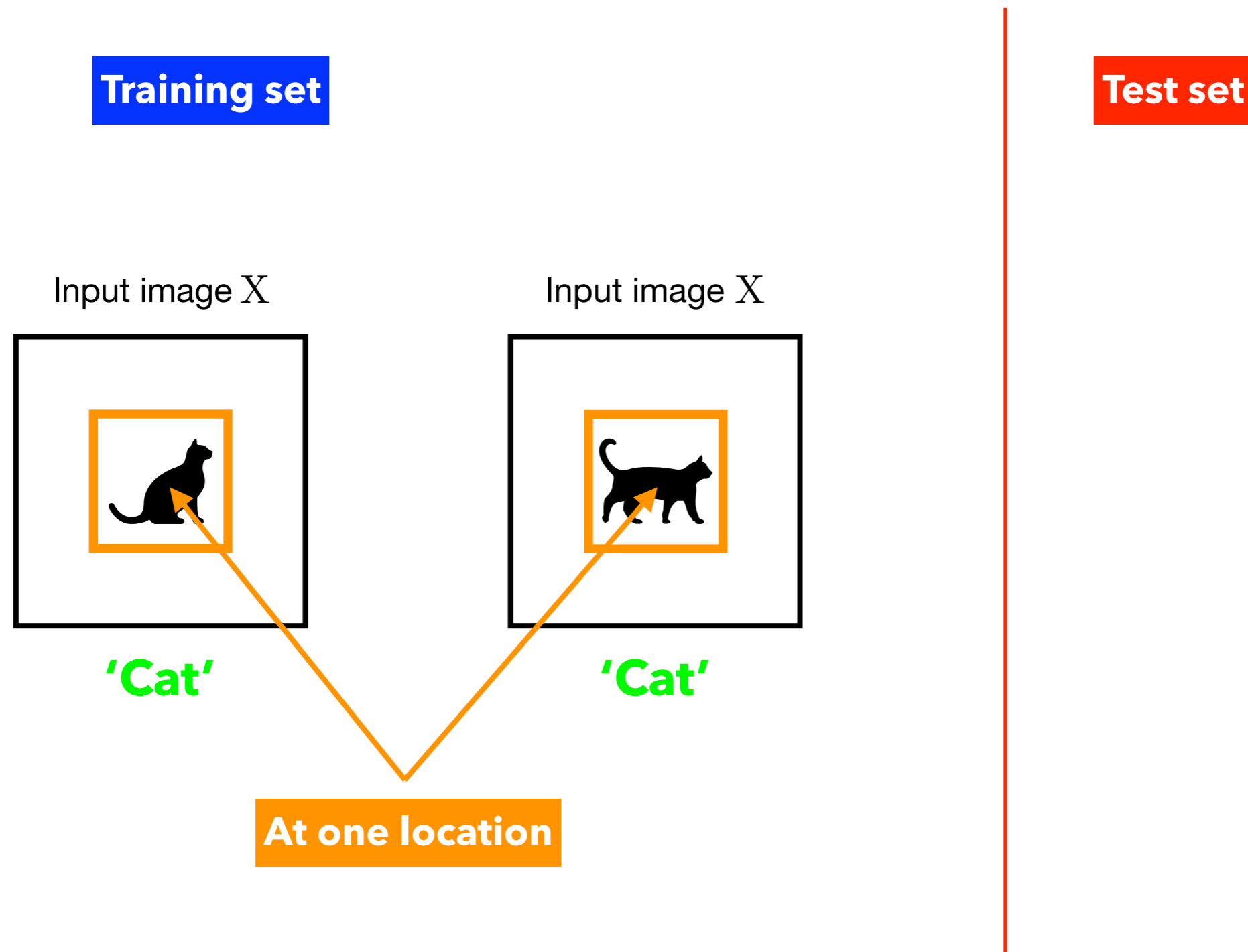
- **Online invariance** at **one-to-many locations**

**Training set**



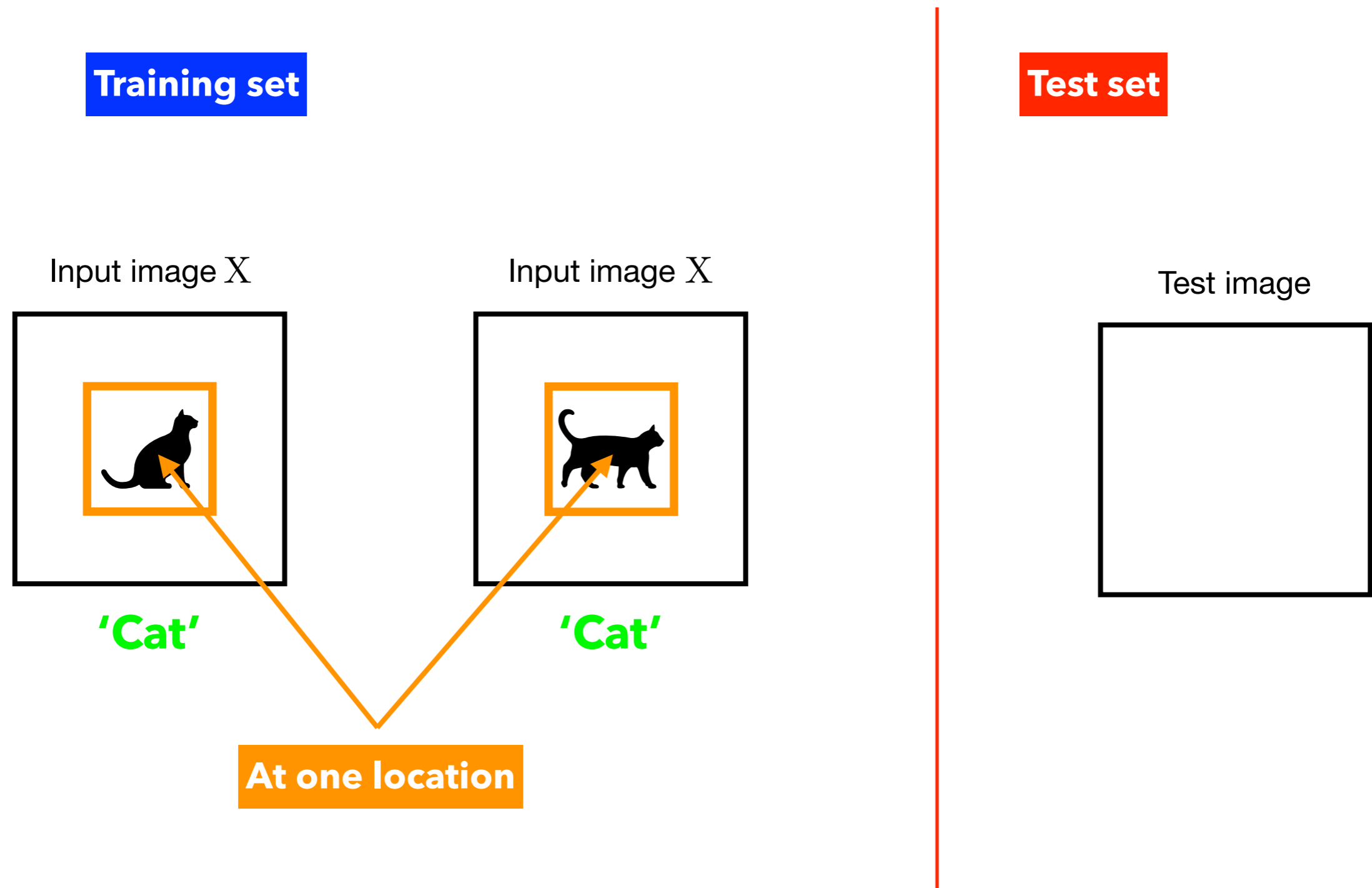
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# How to make CNNs shift-invariant?

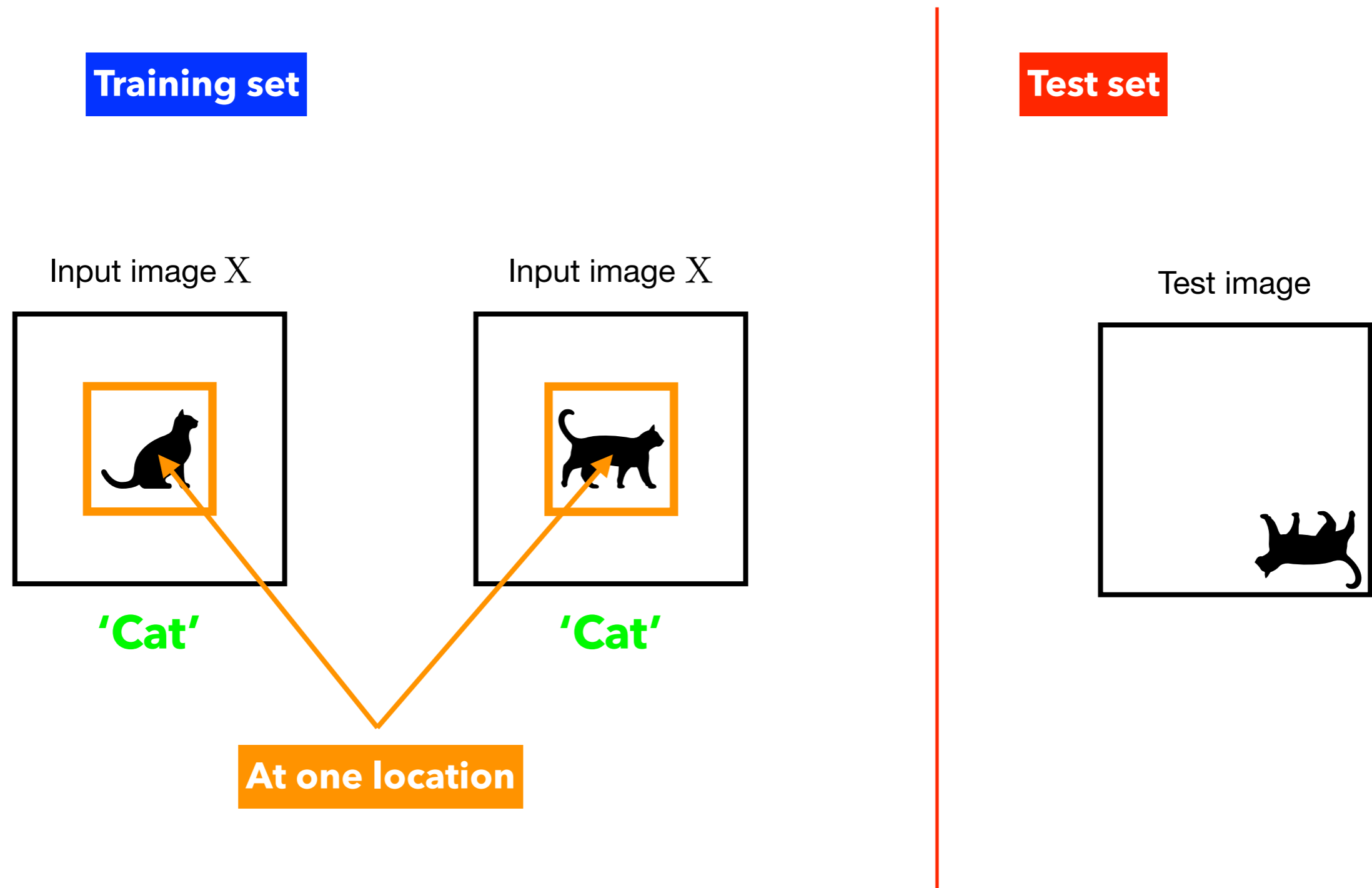
- **Online invariance** at **one-to-many locations**





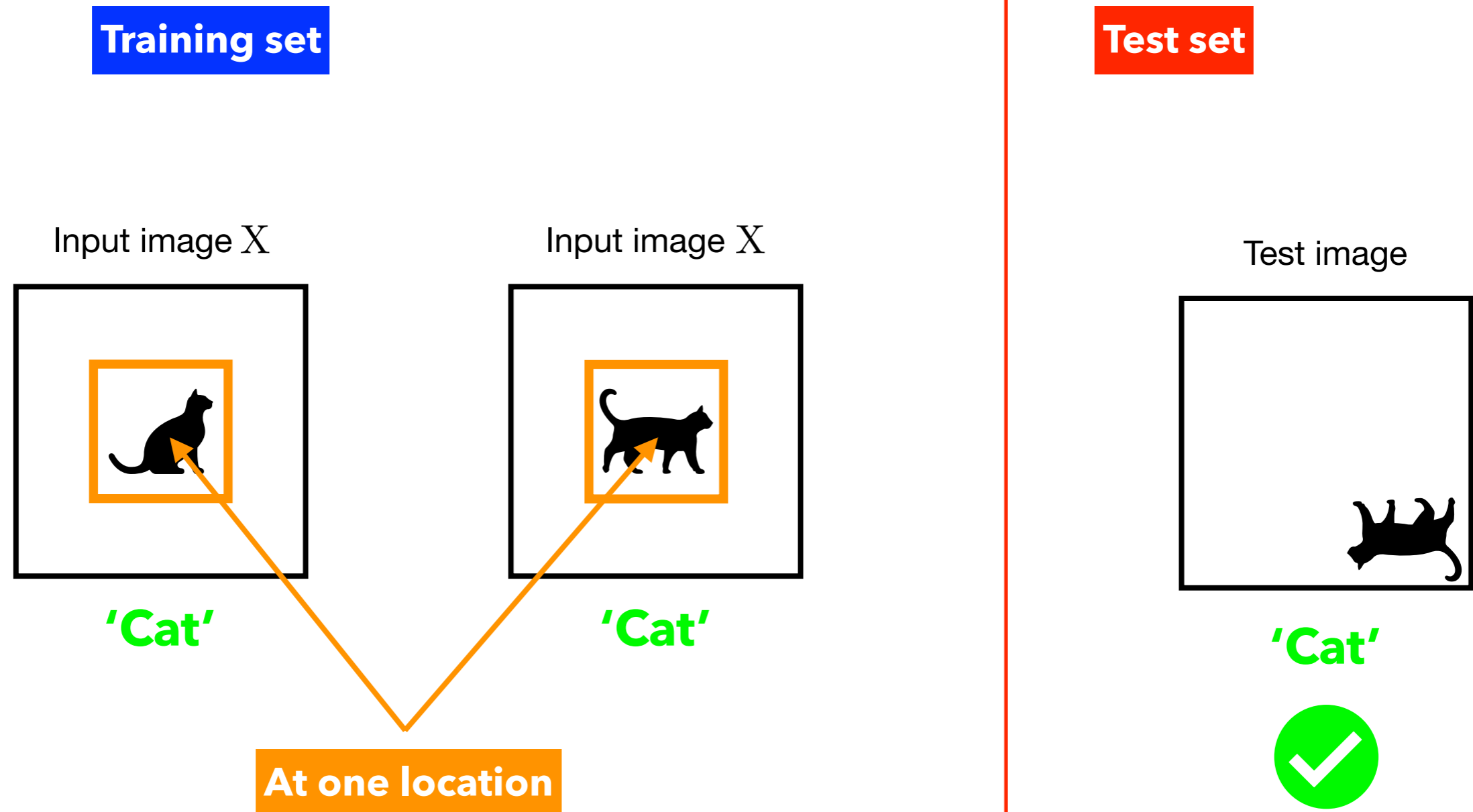
# How to make CNNs shift-invariant?

- **Online invariance** at **one-to-many locations**



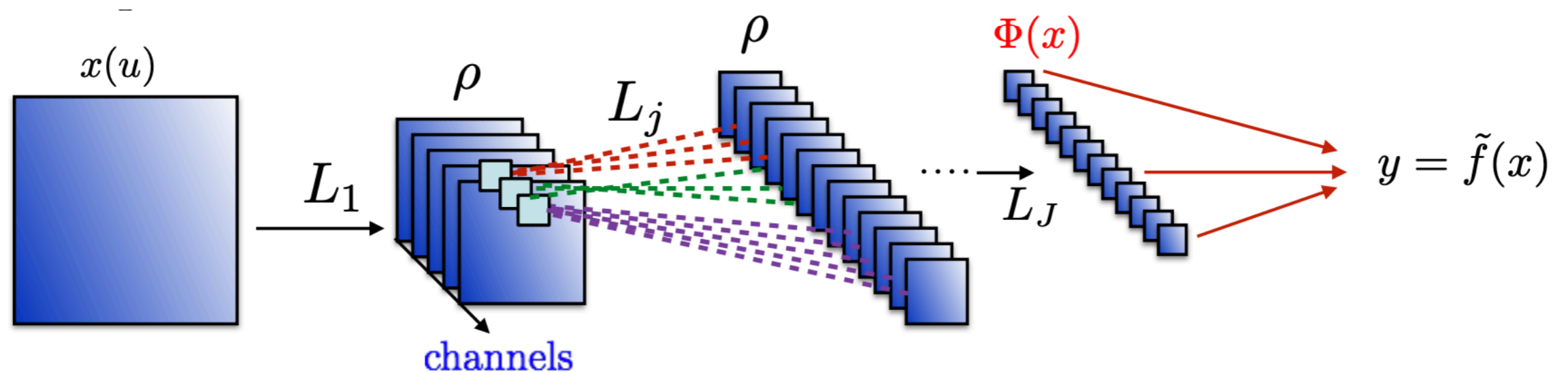
# How to make CNNs shift-invariant?

- **Online invariance** at **one-to-many locations**



# How to make CNNs shift-invariant?

## ■ Architectural online invariance



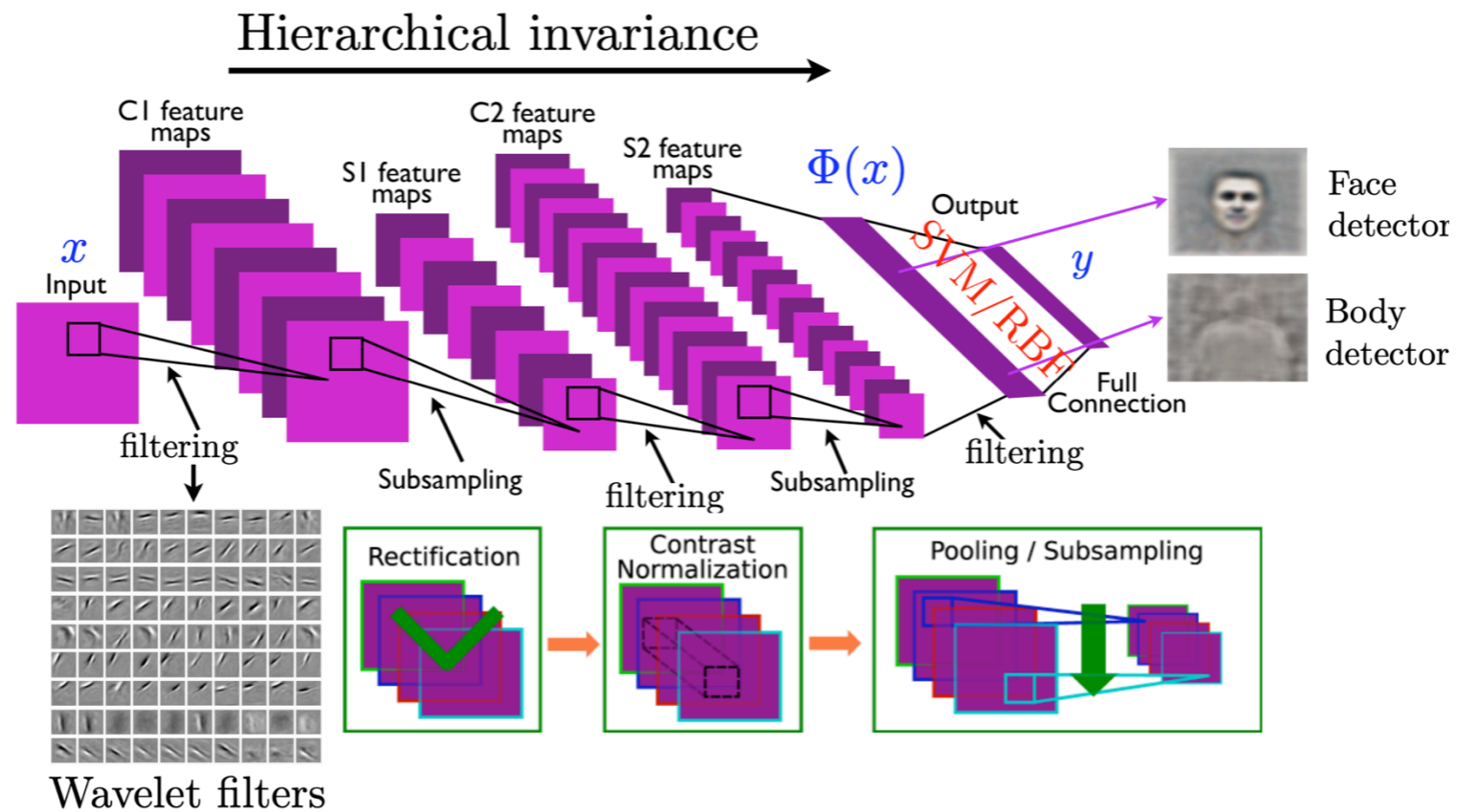
$$\Phi(\mathcal{T}_v x) \approx \Phi(x)$$

- What kind of linear and non-linear operators to consider?
- Are extracted features maps stable to translations?

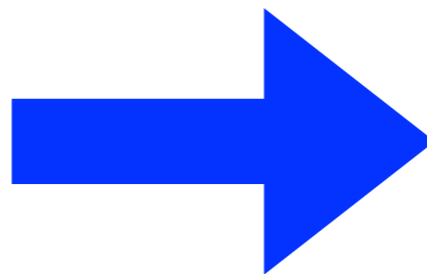
# How to make CNNs shift-invariant?

## ■ Architectural online invariance

*J. Hinton, Y. LeCun*

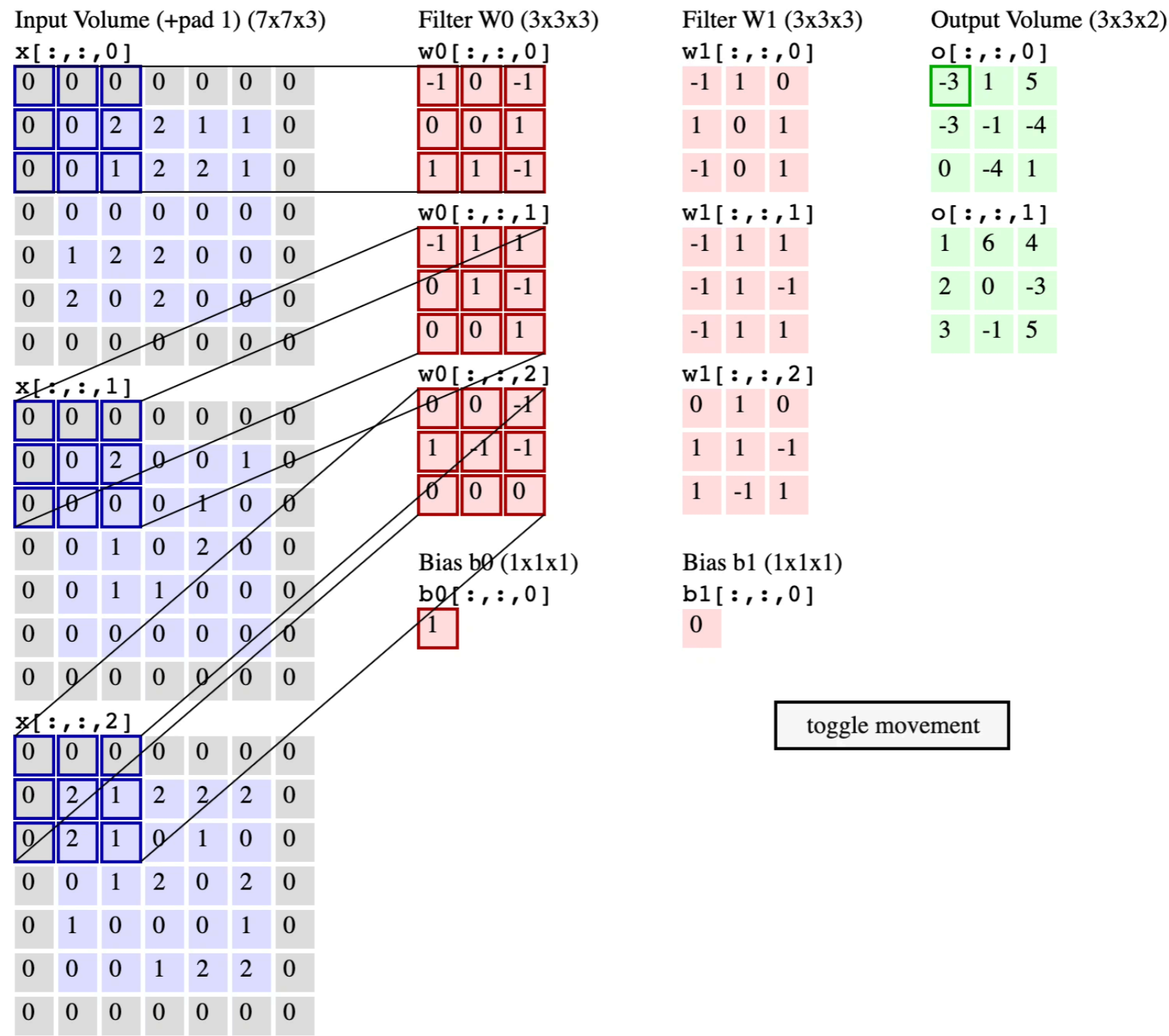


Inductive biases



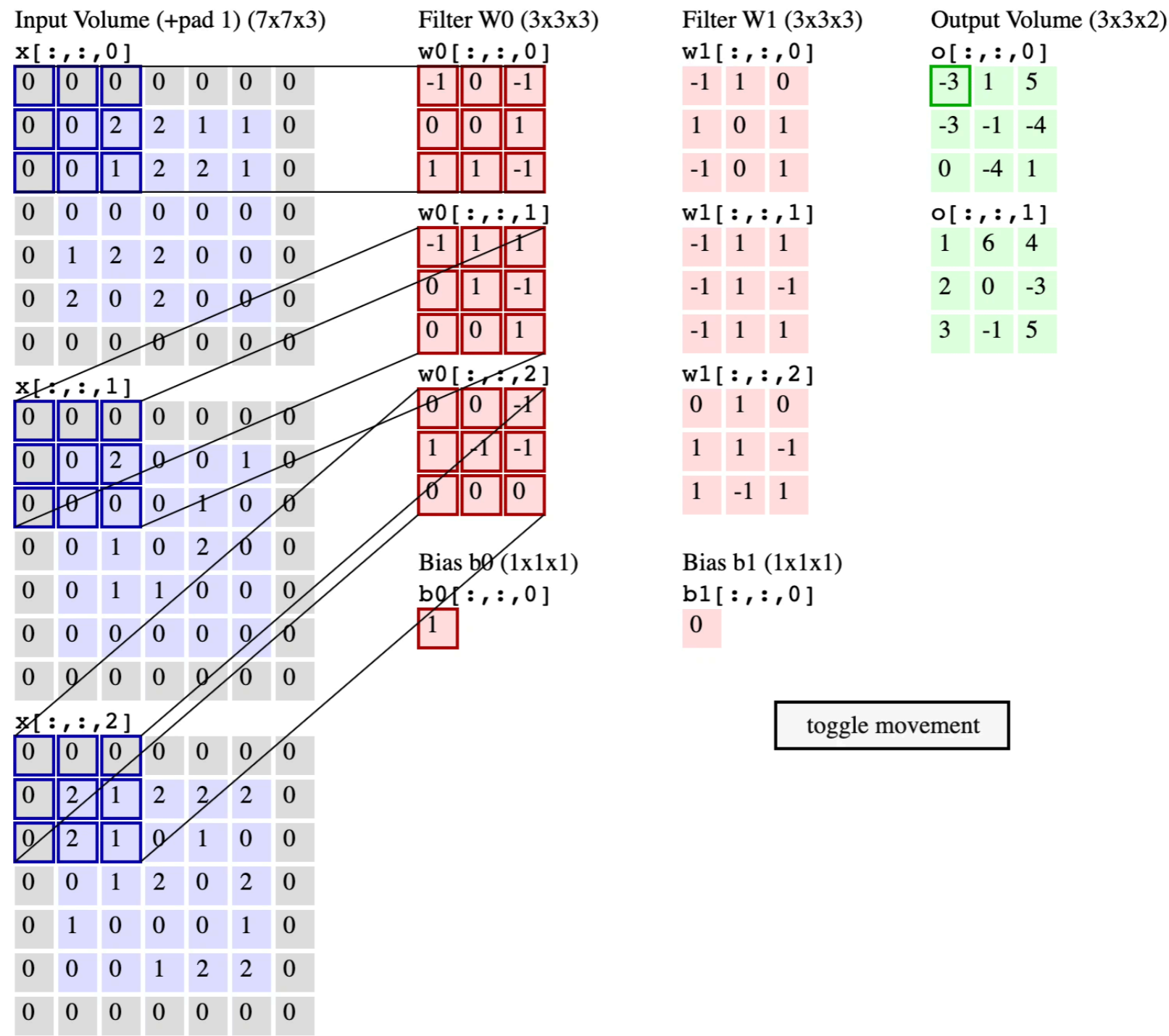
- Multichanneling
- Weight sharing
- Locality
- Downsampling

# Convolutional layers in CNN



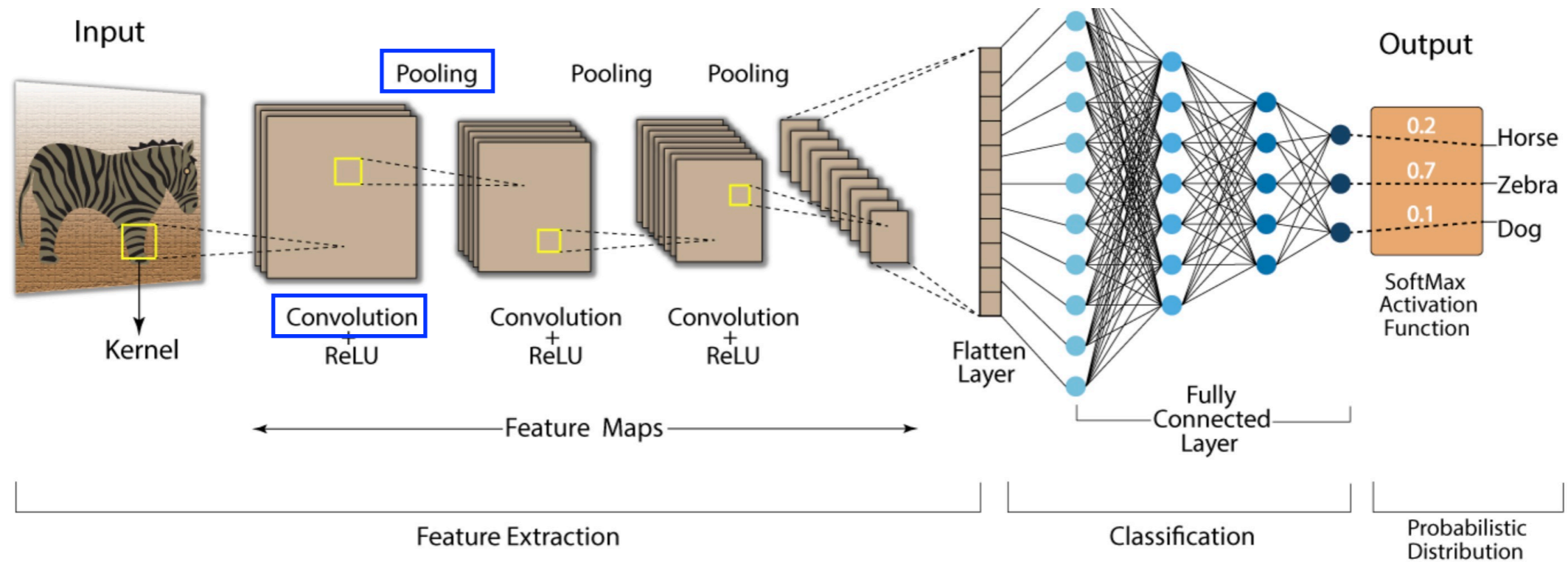
Source : <https://cs231n.github.io/convolutional-networks/>

# Convolutional layers in CNN



Source : <https://cs231n.github.io/convolutional-networks/>

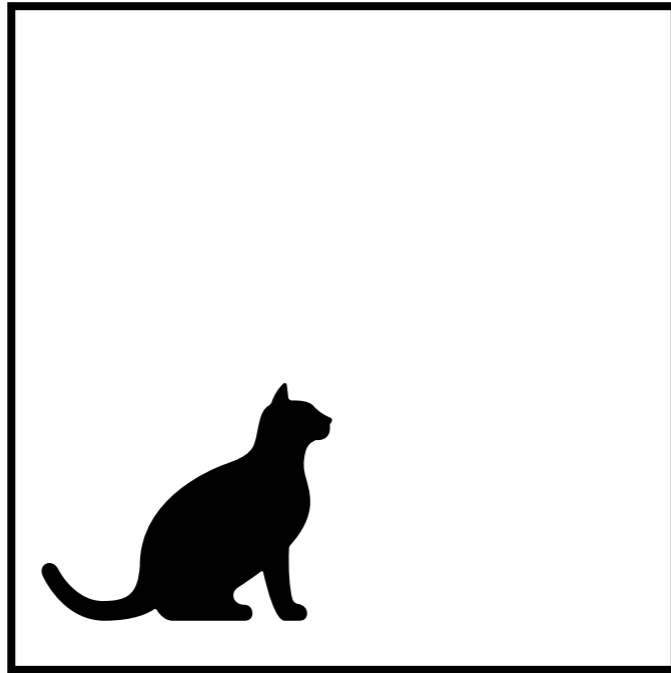
# Convolution & Max Pooling invariance ?



Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>

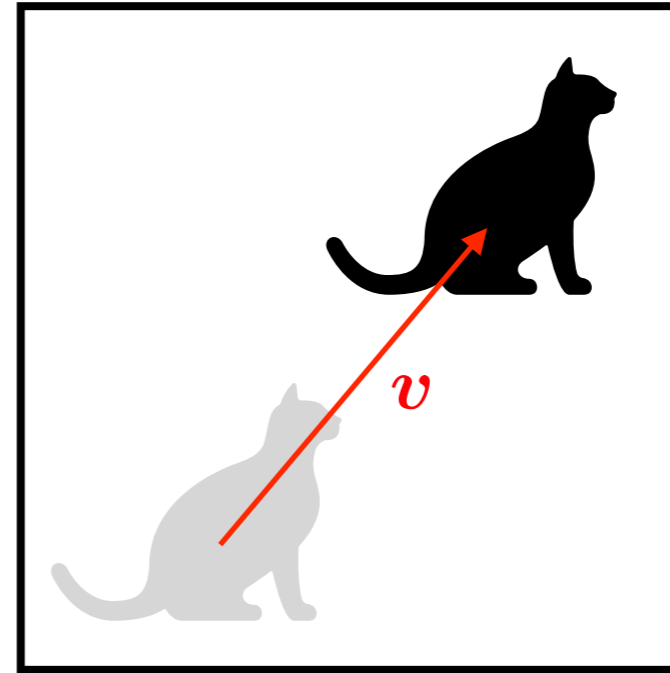
# Shift invariance

Input image  $X$



Output  $f(X) = 1$

Shifted input  $\mathcal{T}_v X$

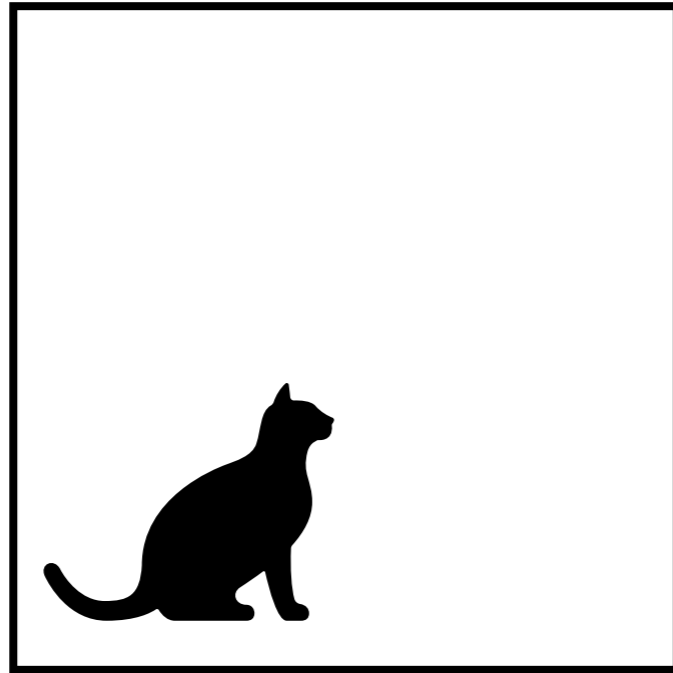


Output  $f(\mathcal{T}_v X) = 1$



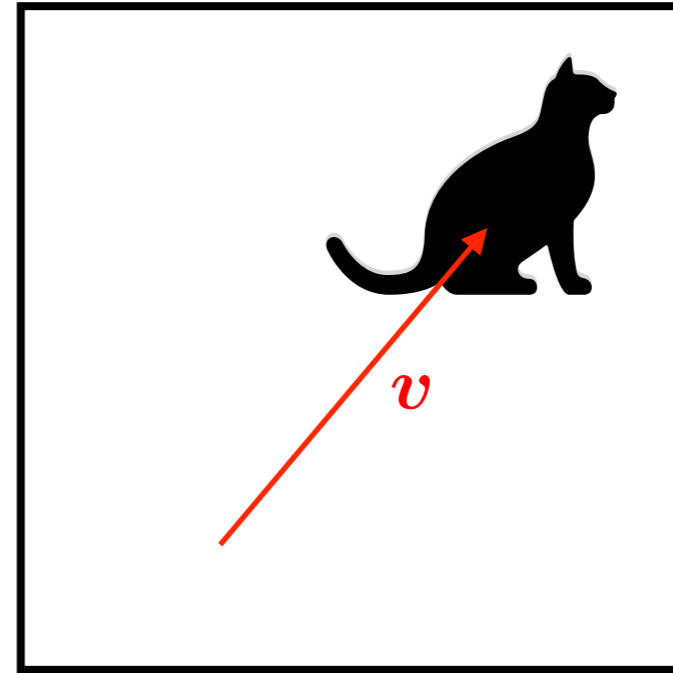
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Input image  $X$



Output  $f(X) = 1$

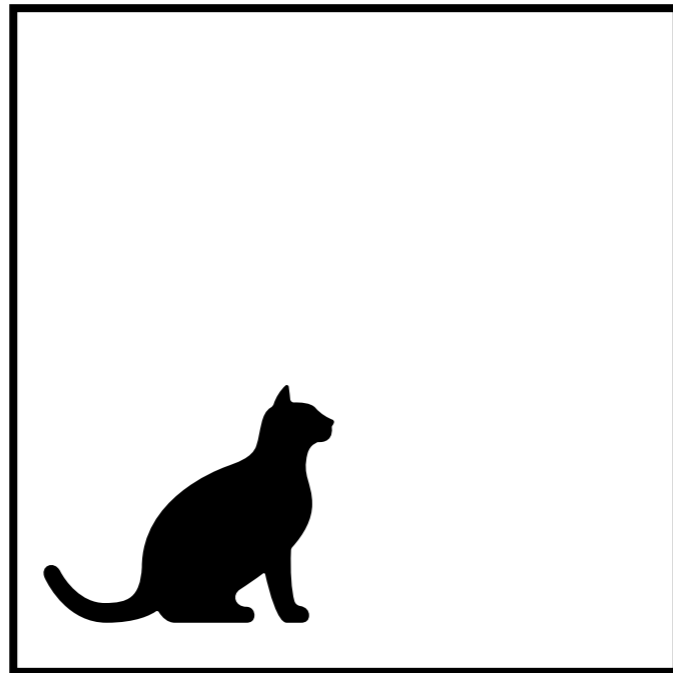
Shifted input  $\mathcal{T}_v X$



Output  $f(\mathcal{T}_v X) = 1$

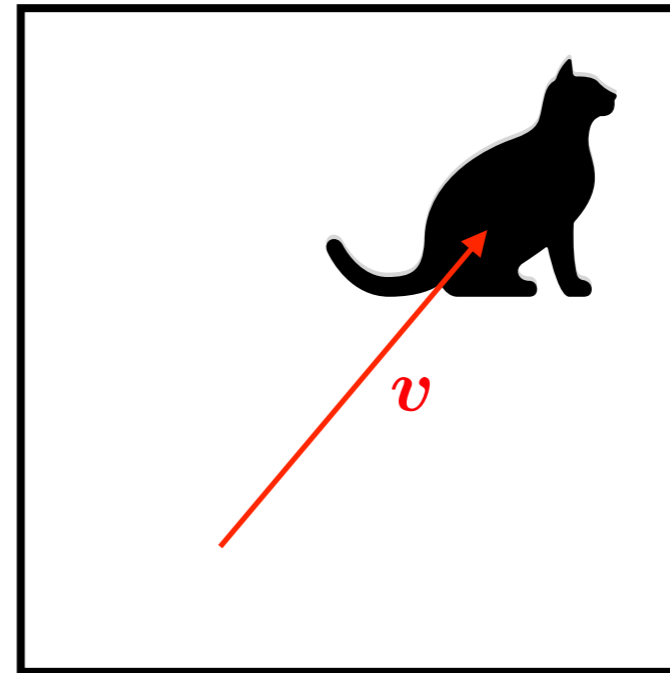
# Shift invariance

Input image  $X$



Output  $f(X) = 1$

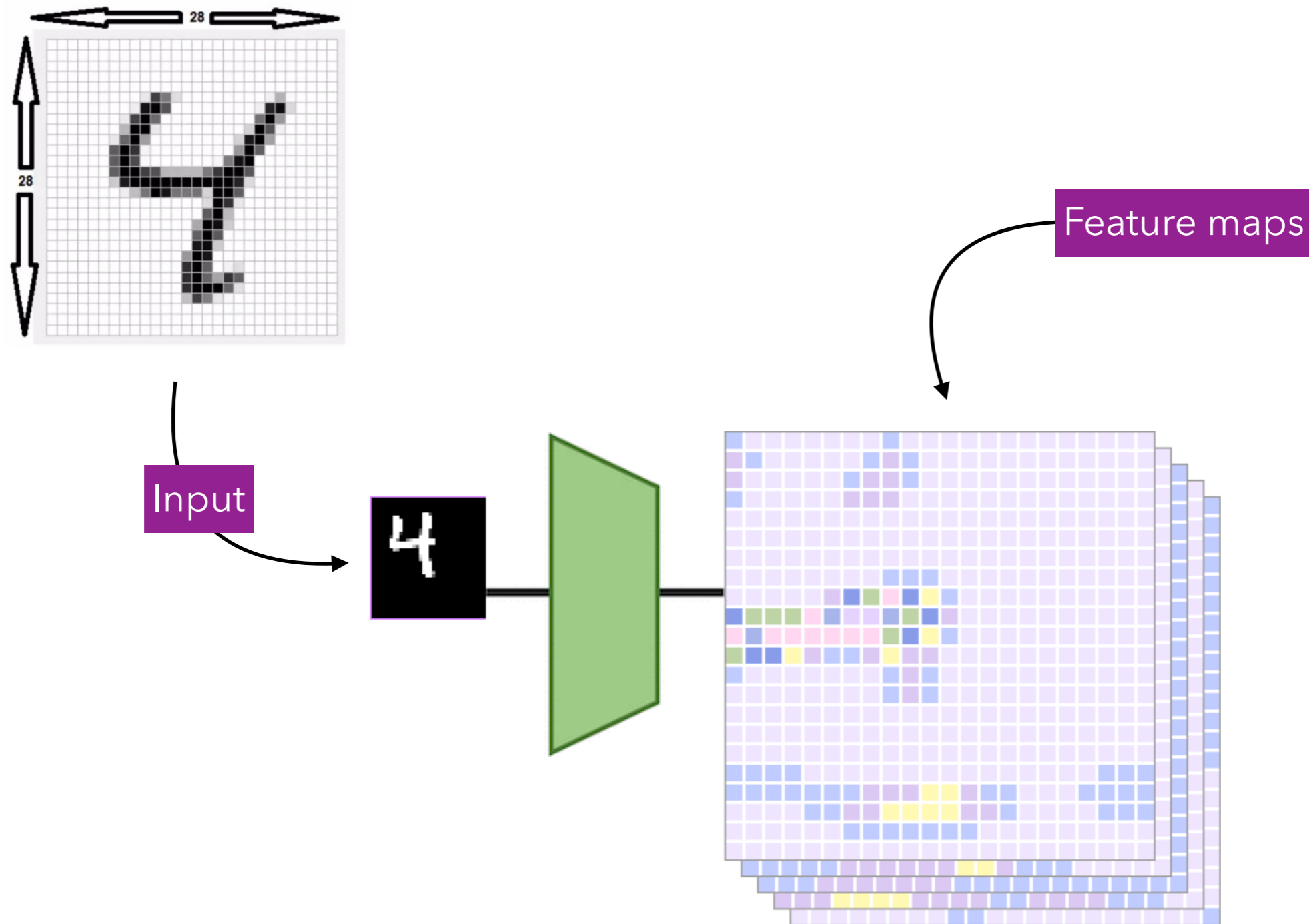
Shifted input  $\mathcal{T}_v X$



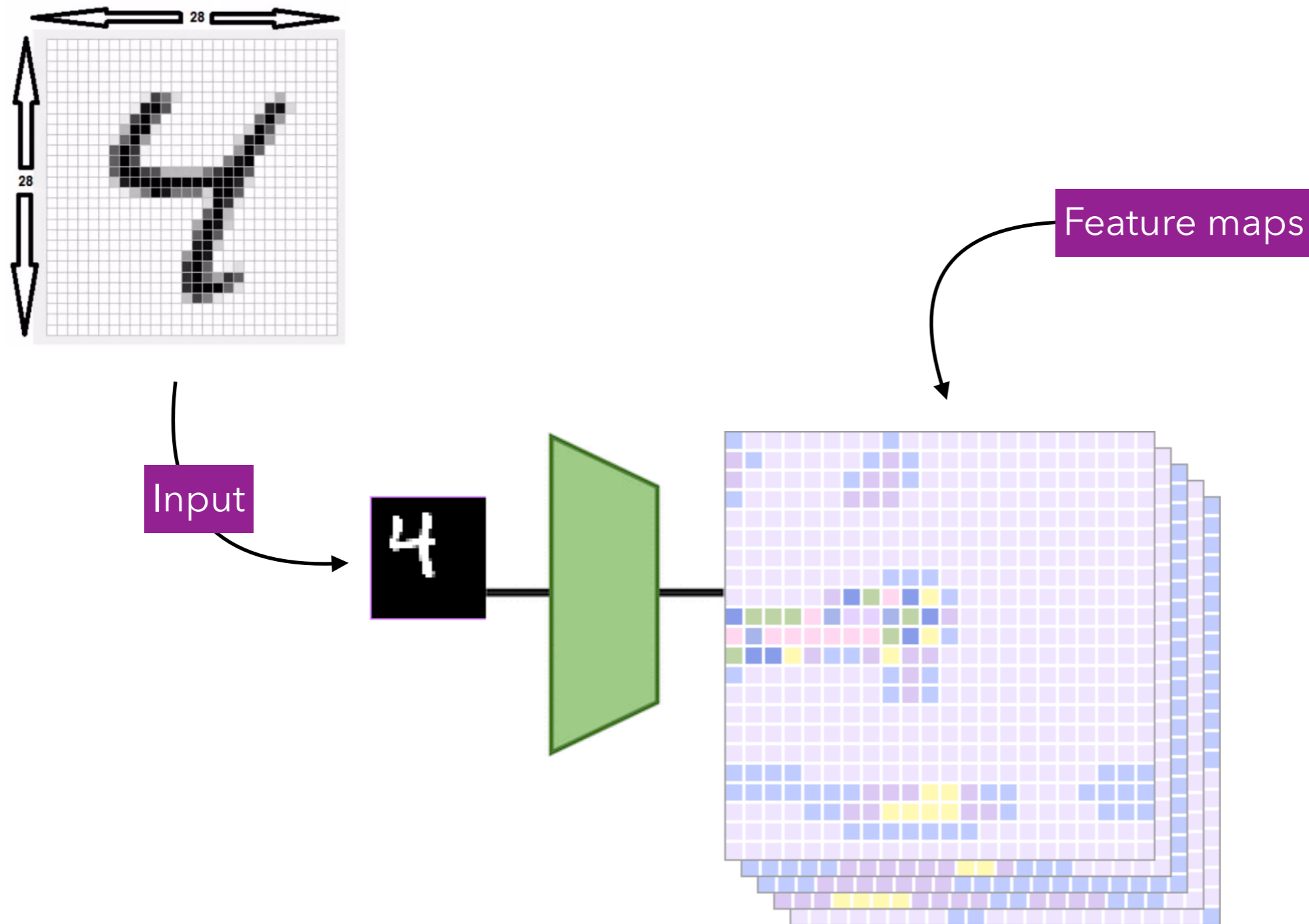
Output  $f(\mathcal{T}_v X) = 1$

**Shift invariance  $\neq$  Equivariance**

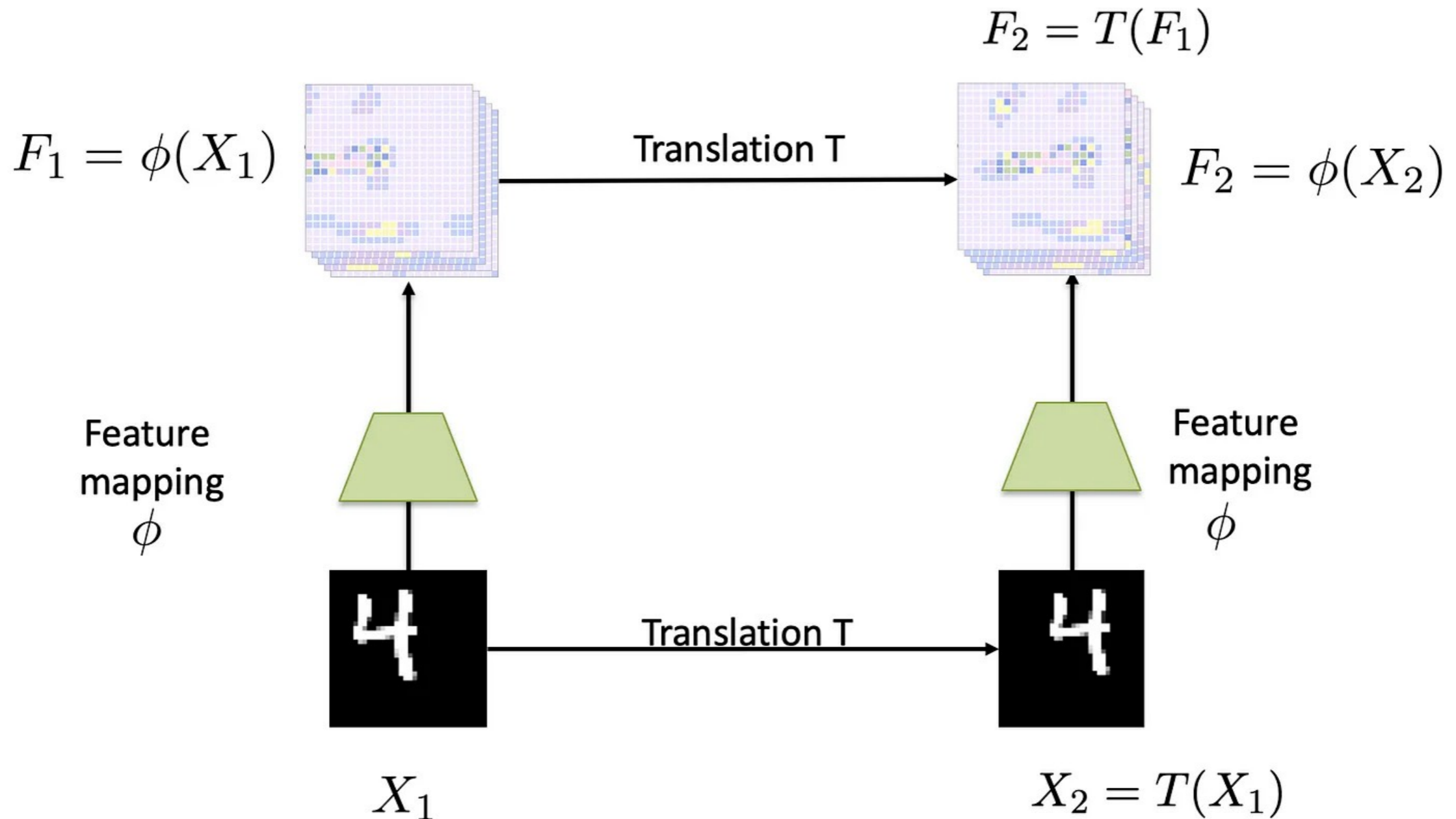
# Shift equivariance



# Shift equivariance



# Shift equivariance

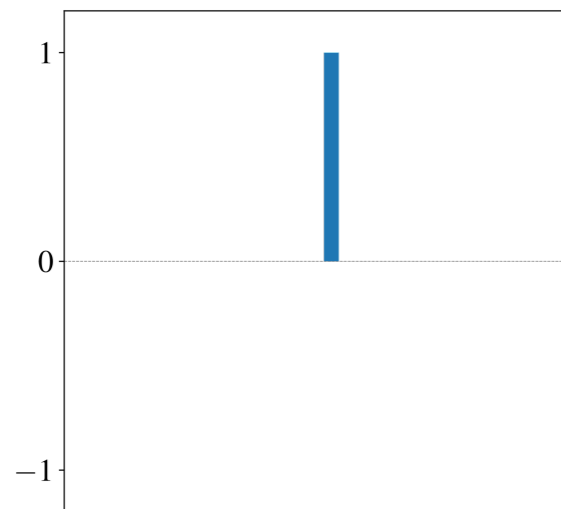


Source : <https://chriswolfvision.medium.com/what-is-translation-equivariance-and-why-do-we-use-convolutions-to-get-it-6f18139d4c59>

# Convolutions are shift-equivariant

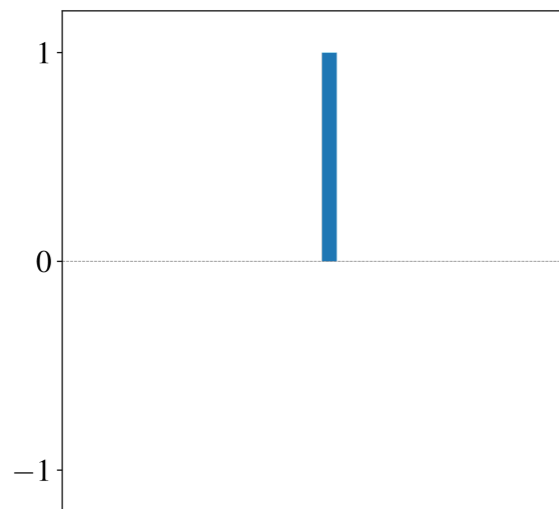


# Convolutions are shift-equivariant



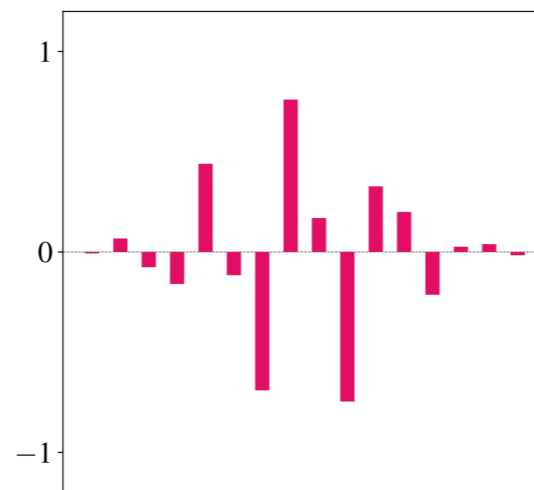
Input signal

# Convolutions are shift-equivariant



Input signal

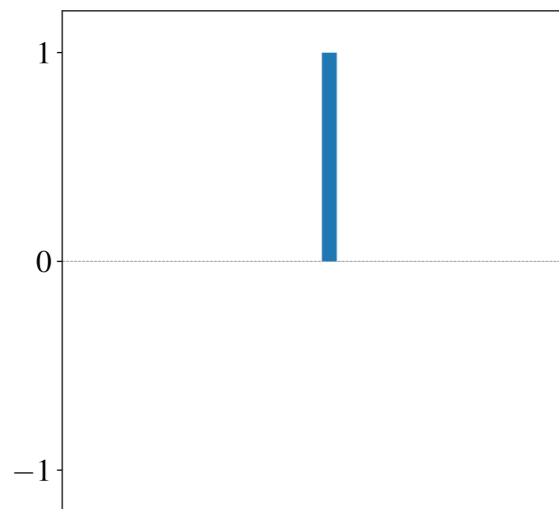
\*



Band-pass  
convolution kernel

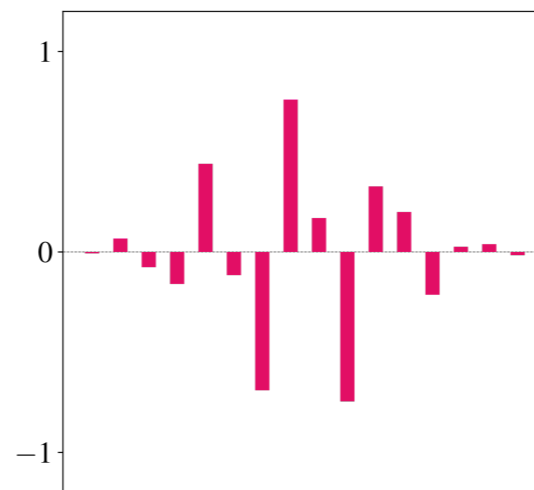


# Convolutions are shift-equivariant



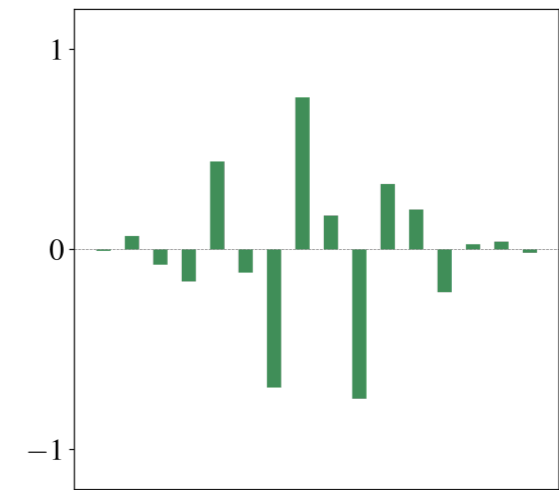
Input signal

\*



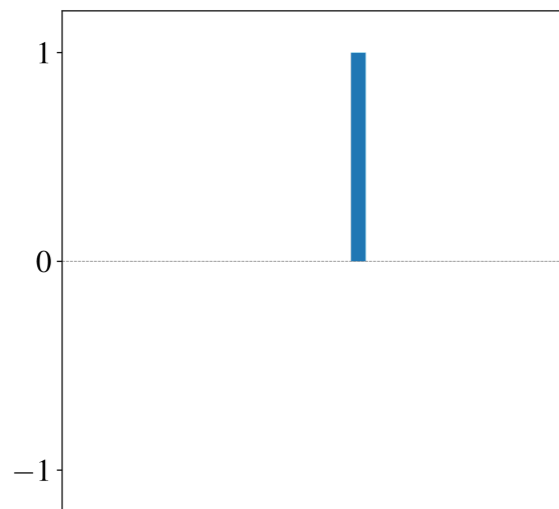
Band-pass  
convolution kernel

=



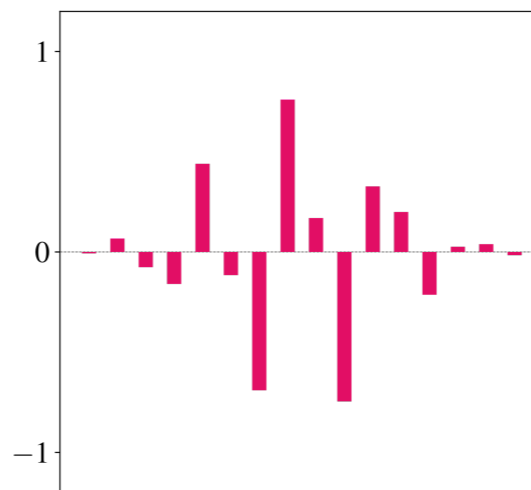
Output signal

# Convolutions are shift-equivariant



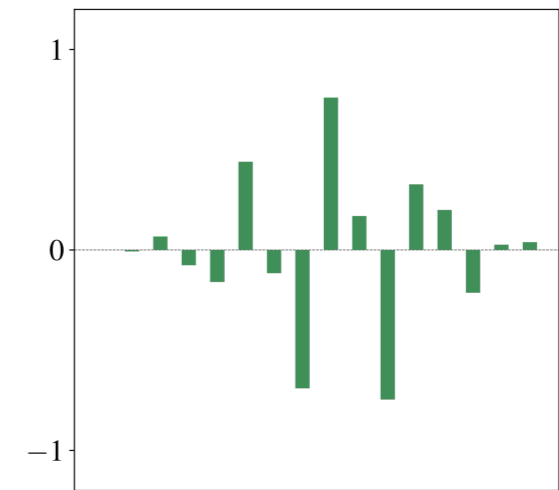
Input signal

\*



Band-pass  
convolution kernel

=

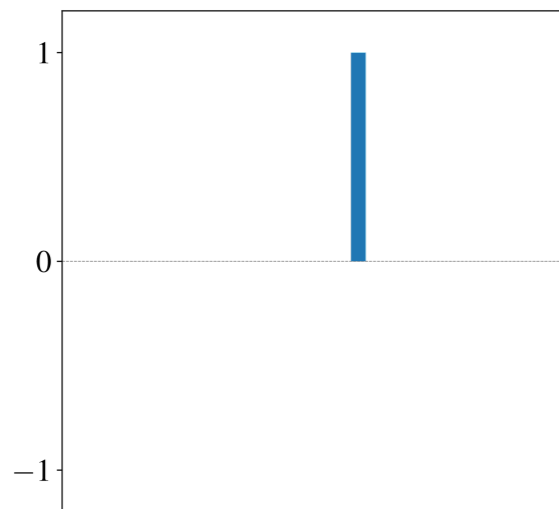


Output signal

# Convolutions are shift-equivariant

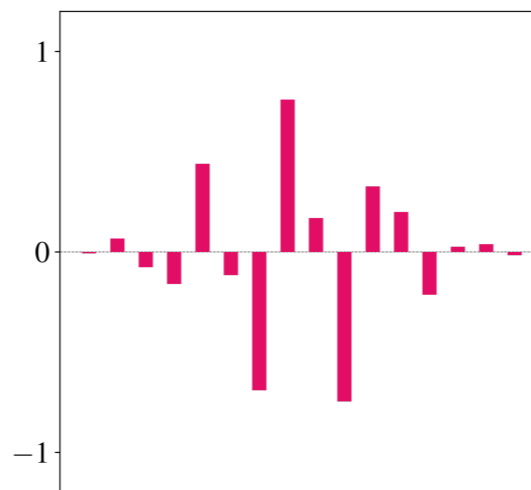


Shift equivariance, or covariance



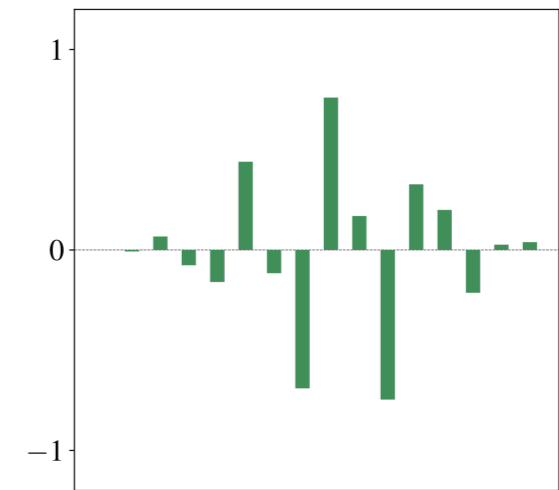
Input signal

\*



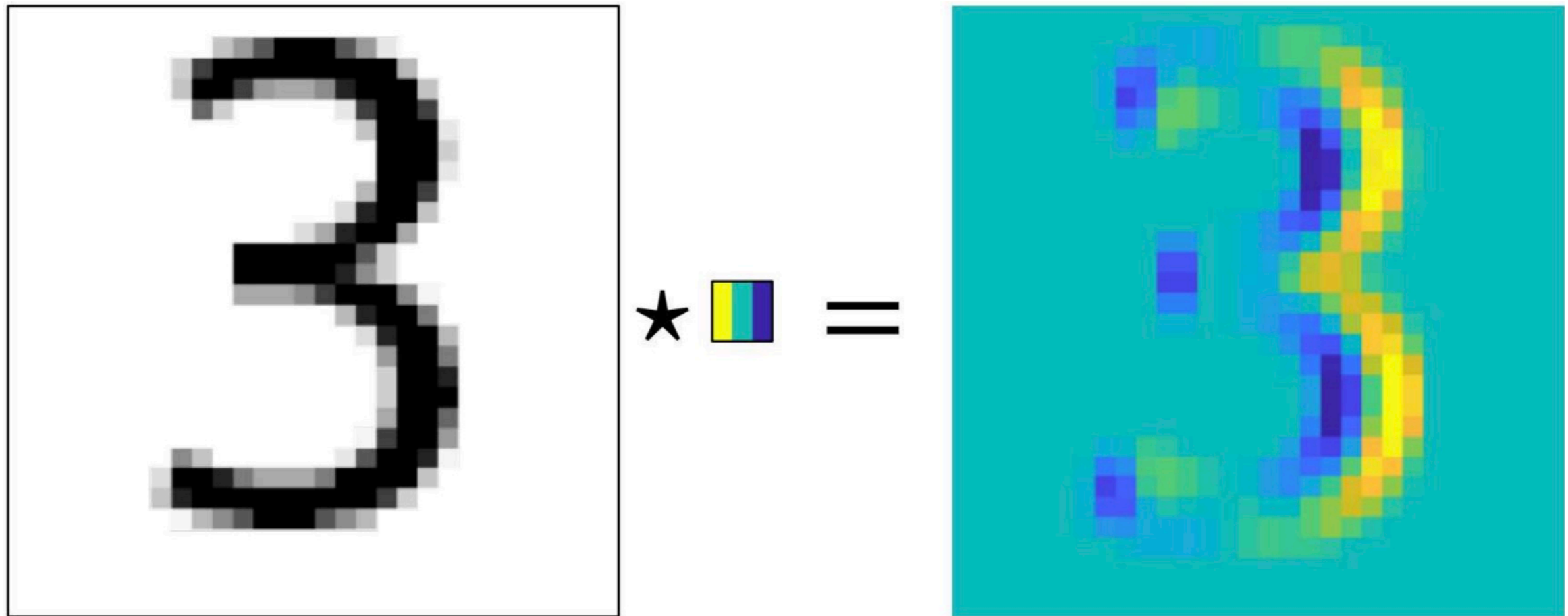
Band-pass convolution kernel

=



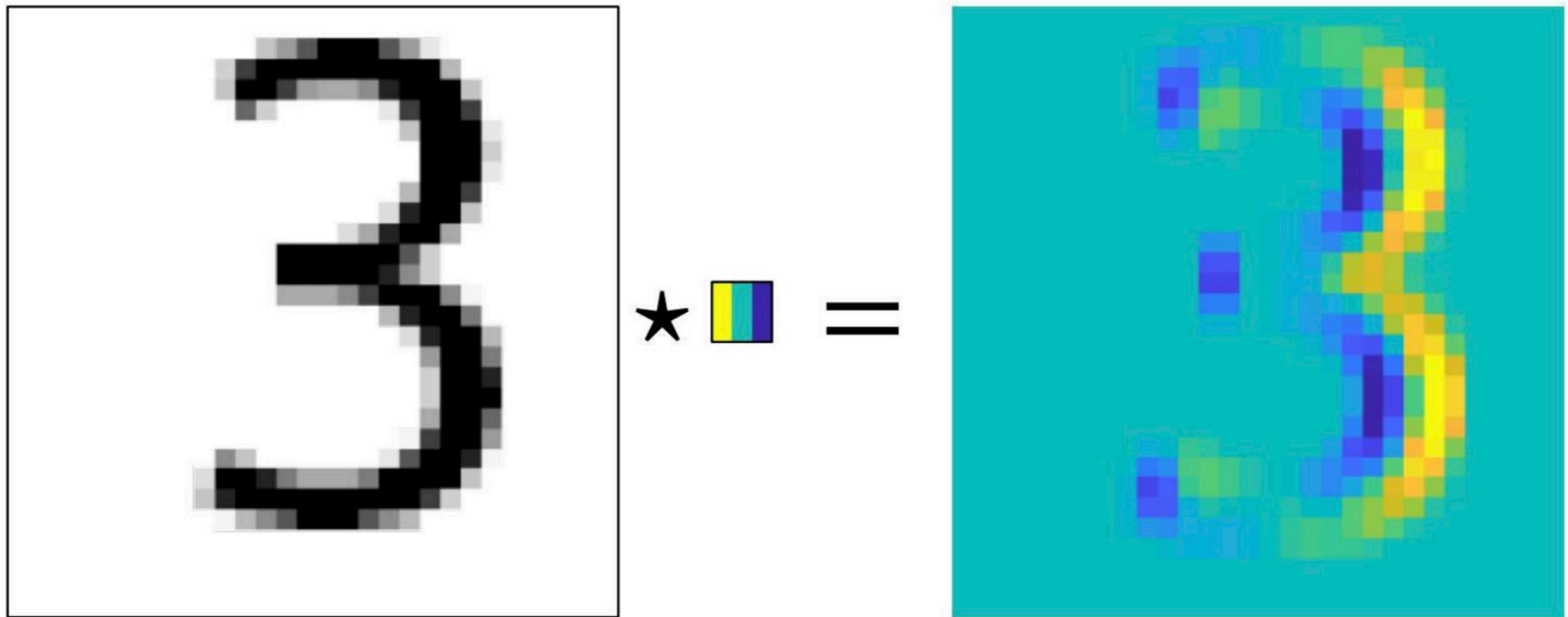
Output signal

# Convolutions are shift-equivariant



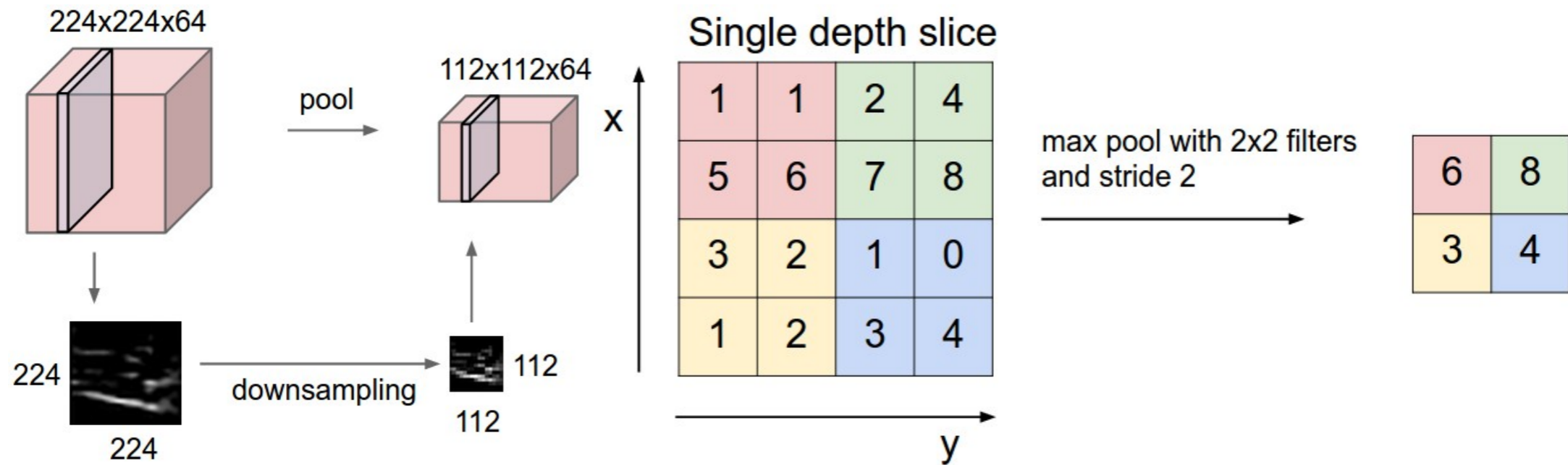
Source : <https://www.doc.ic.ac.uk/~bkainz/teaching/DL/notes/equivariance.pdf>

# Convolutions are **shift-equivariant**



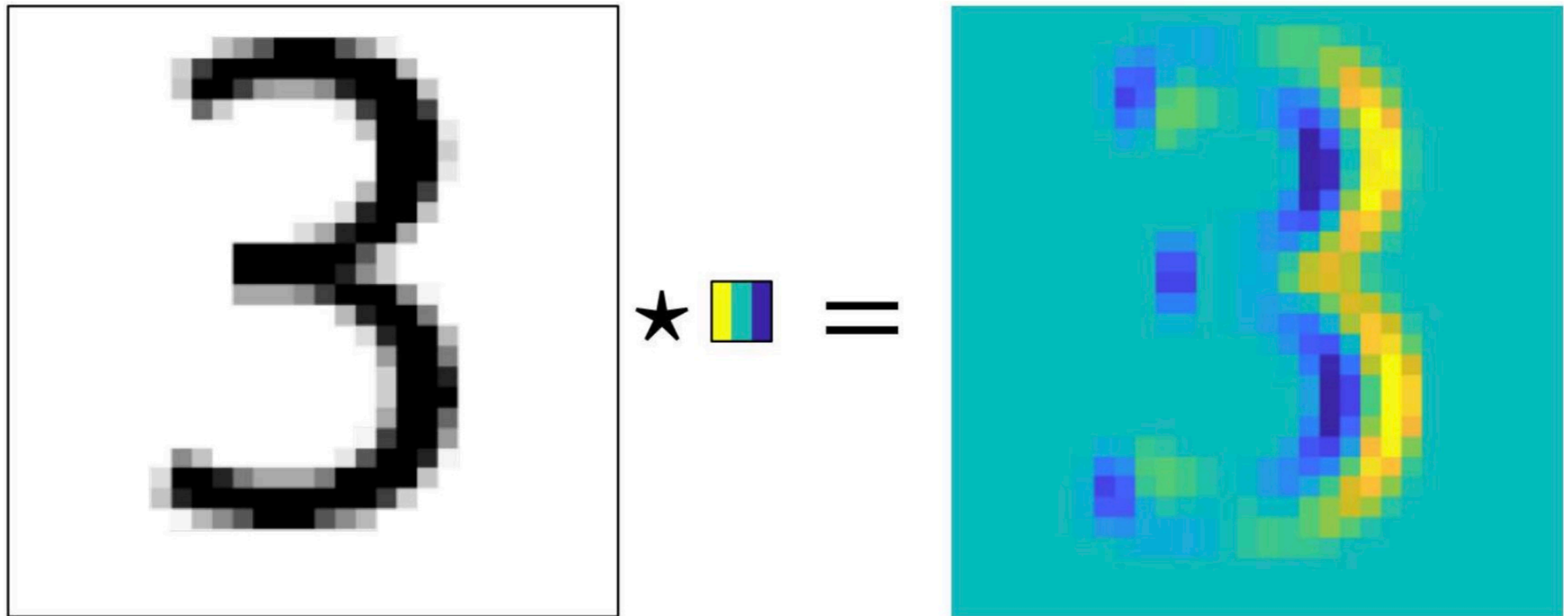
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# Max pooling layers



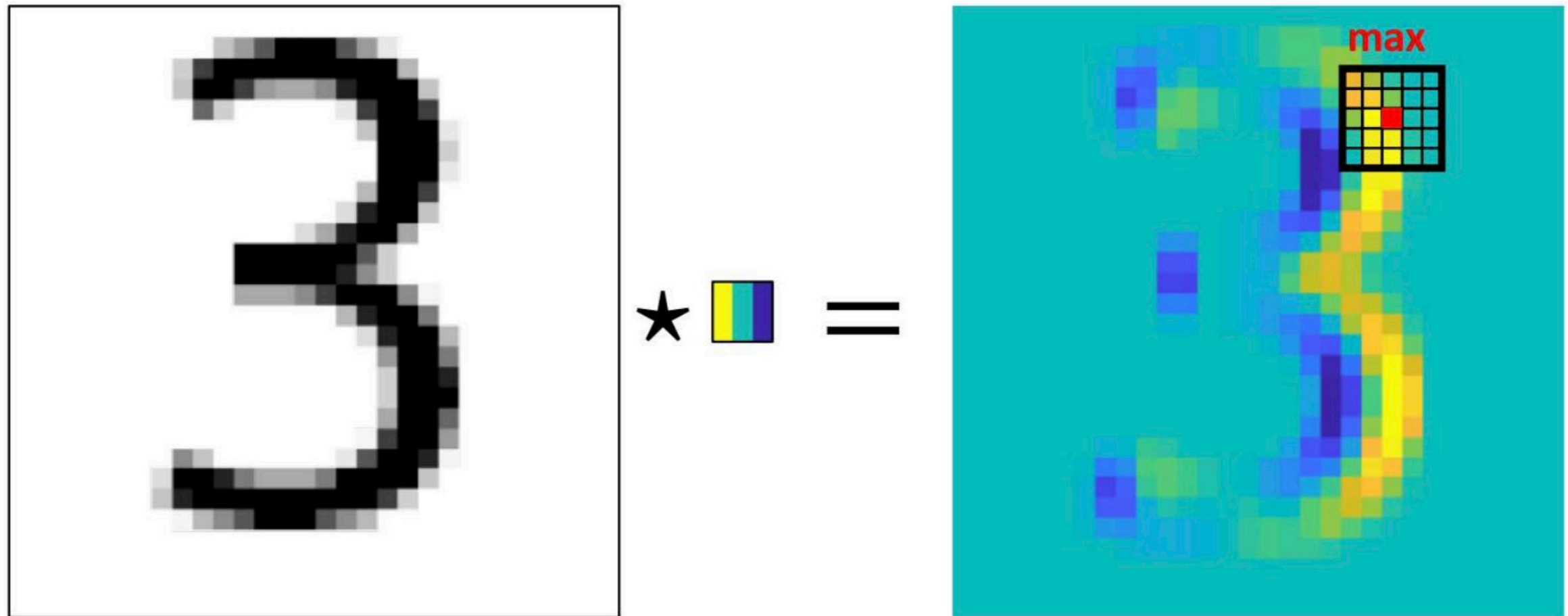
Source : <https://cs231n.github.io/convolutional-networks/>

# Convolutions are followed by a max pooling



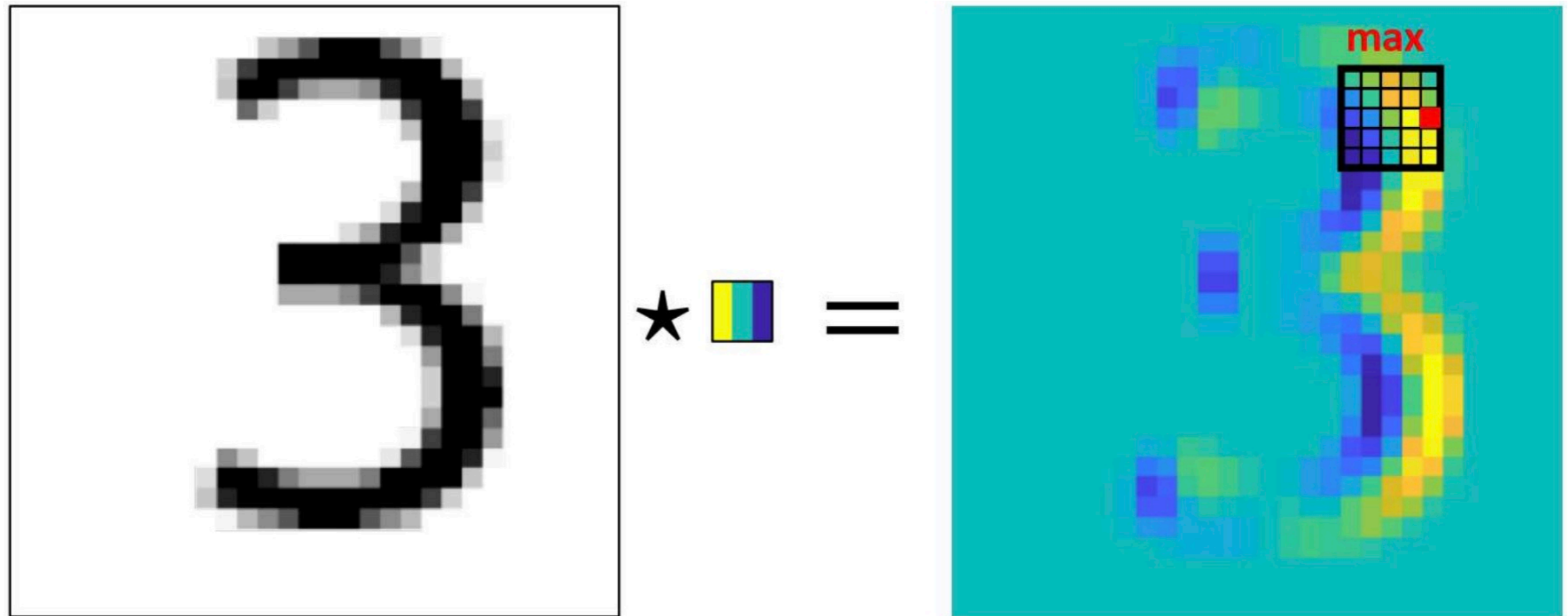
Source : <https://www.doc.ic.ac.uk/~bkainz/teaching/DL/notes/equivariance.pdf>

# Convolutions are followed by a max pooling





# Max pooling builds up shift-invariance



# Invariance studies in CNN

# Invariance studies in CNN

- The **scattering transform** builds shift-invariant feature vectors:

$$\Phi(x) := S_J x = \begin{pmatrix} x \star \phi_{2^J} \\ |x \star \psi_{\lambda_1}| \star \phi_{2^J} \\ \||x \star \psi_{\lambda_1}| \star \psi_{\lambda_2}| \star \phi_{2^J} \\ \|\|x \star \psi_{\lambda_1}| \star \psi_{\lambda_2}| \star \psi_{\lambda_3}| \star \phi_{2^J} \\ \vdots \end{pmatrix}_{\lambda_1, \lambda_2, \lambda_3, \dots}$$

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J. Bruna and S. Mallat, "Invariant scattering convolution networks," IEEE Trans. Pattern Anal. Mach. Intell., vol. 35, no. 8, pp. 1872-1886, 2013.

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- **General deep convolutional neural networks** also become more translation invariant with increasing network depth (proved in the *continuous framework*).

J. Bruna and S. Mallat, "Invariant scattering convolution networks," IEEE Trans. Pattern Anal. Mach. Intell., vol. 35, no. 8, pp. 1872-1886, 2013.

# Invariance studies in CNN

- The **scattering transform** builds shift-invariant feature vectors:

$$\Phi(x) := S_J x = \begin{pmatrix} x \star \phi_{2^J} \\ |x \star \psi_{\lambda_1}| \star \phi_{2^J} \\ \||x \star \psi_{\lambda_1}| \star \psi_{\lambda_2}| \star \phi_{2^J} \\ \|\|\|x \star \psi_{\lambda_1}| \star \psi_{\lambda_2}| \star \psi_{\lambda_3}| \star \phi_{2^J} \\ \vdots \end{pmatrix}_{\lambda_1, \lambda_2, \lambda_3, \dots}$$

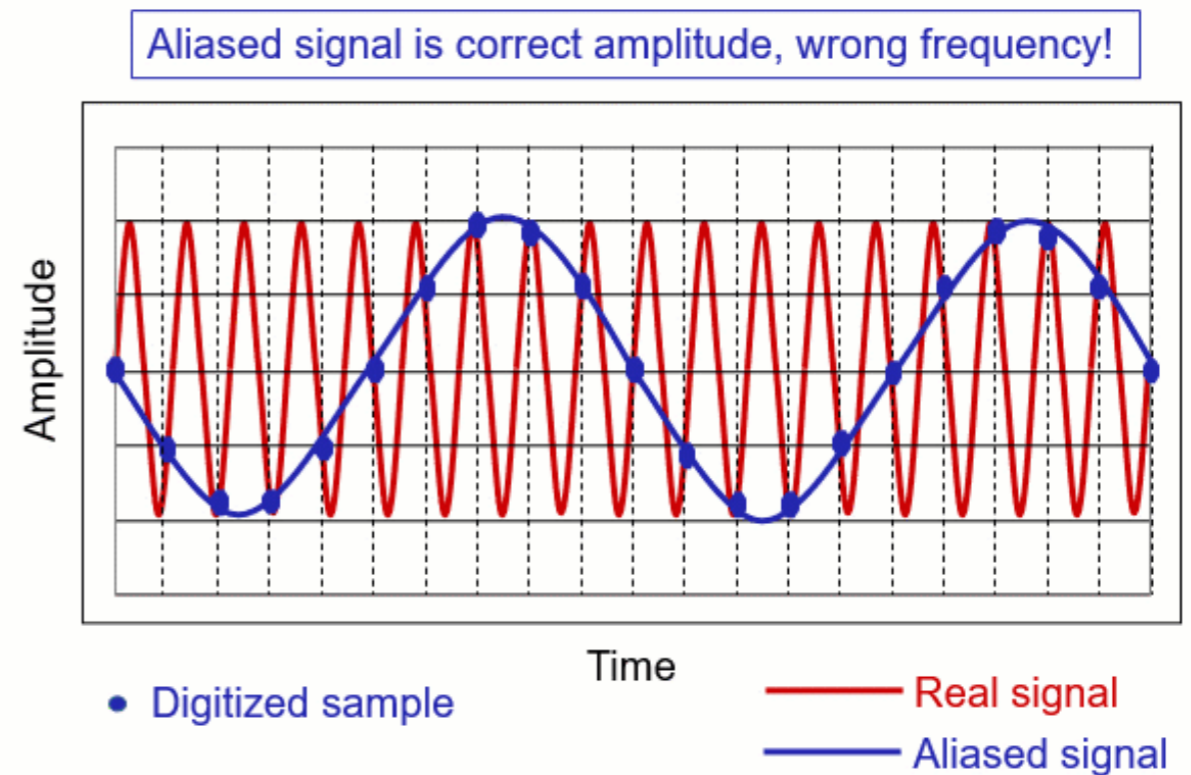
- **General deep convolutional neural networks** also become more translation invariant with increasing network depth (proved in the *continuous framework*).

J. Bruna and S. Mallat, "Invariant scattering convolution networks," IEEE Trans. Pattern Anal. Mach. Intell., vol. 35, no. 8, pp. 1872-1886, 2013.

T. Wiatowski and H. Bölcskei, A Mathematical Theory of Deep Convolutional Neural Networks for Feature Extraction, IEEE Transactions on Information Theory, 64 (2018), pp. 1845-1866

# Invariance studies in CNN

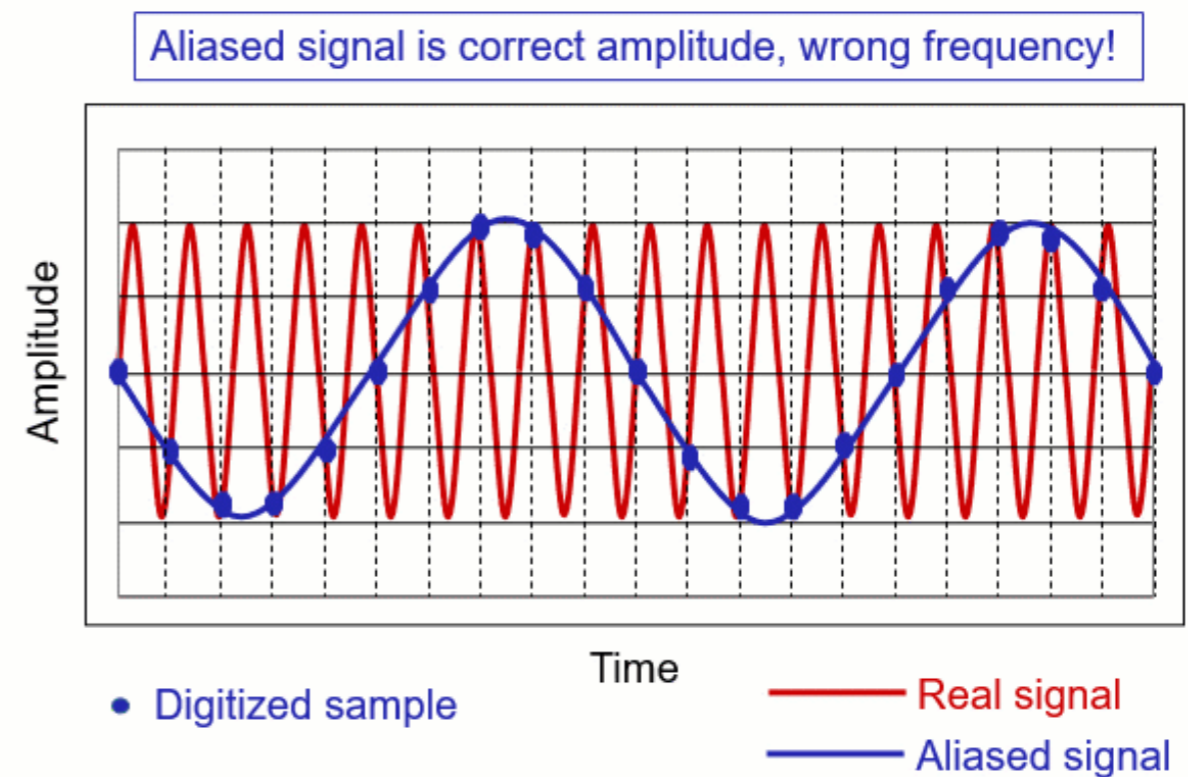
- These results do not fully extend to the ***discrete framework***



Source : <https://community.sw.siemens.com/s/article/data-acquisition-anti-aliasing-filters>

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- **Strided** convolution and pooling operators may greatly diverge from shift invariance, due to **aliasing** when subsampling high-frequency signals

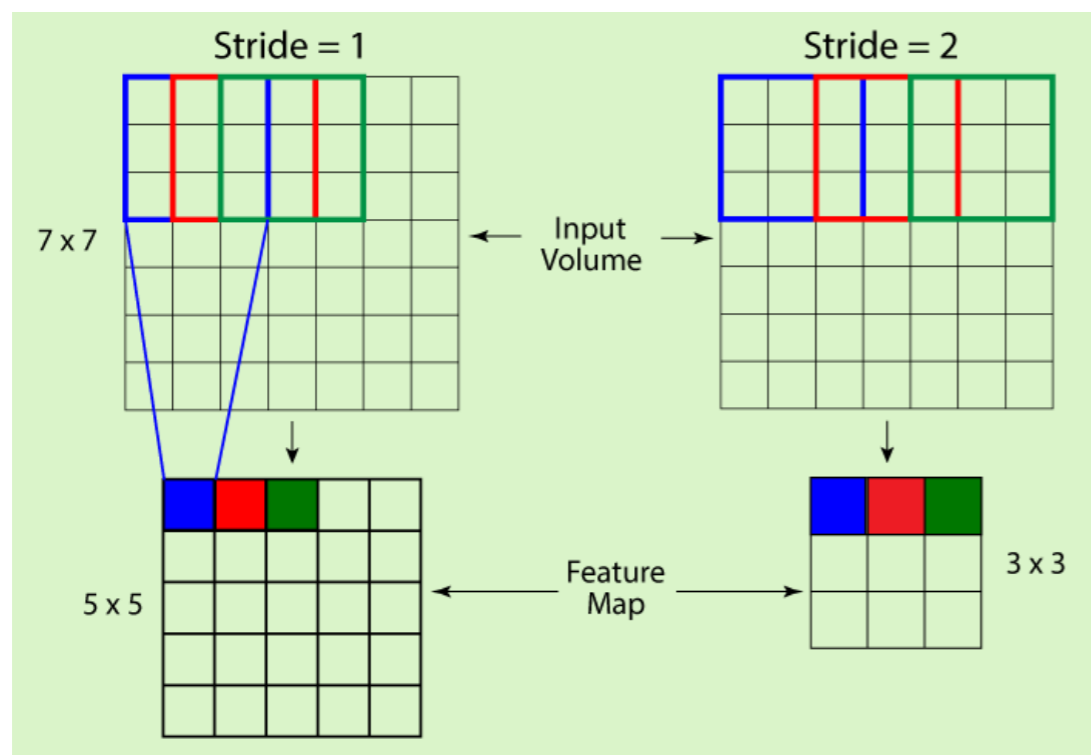


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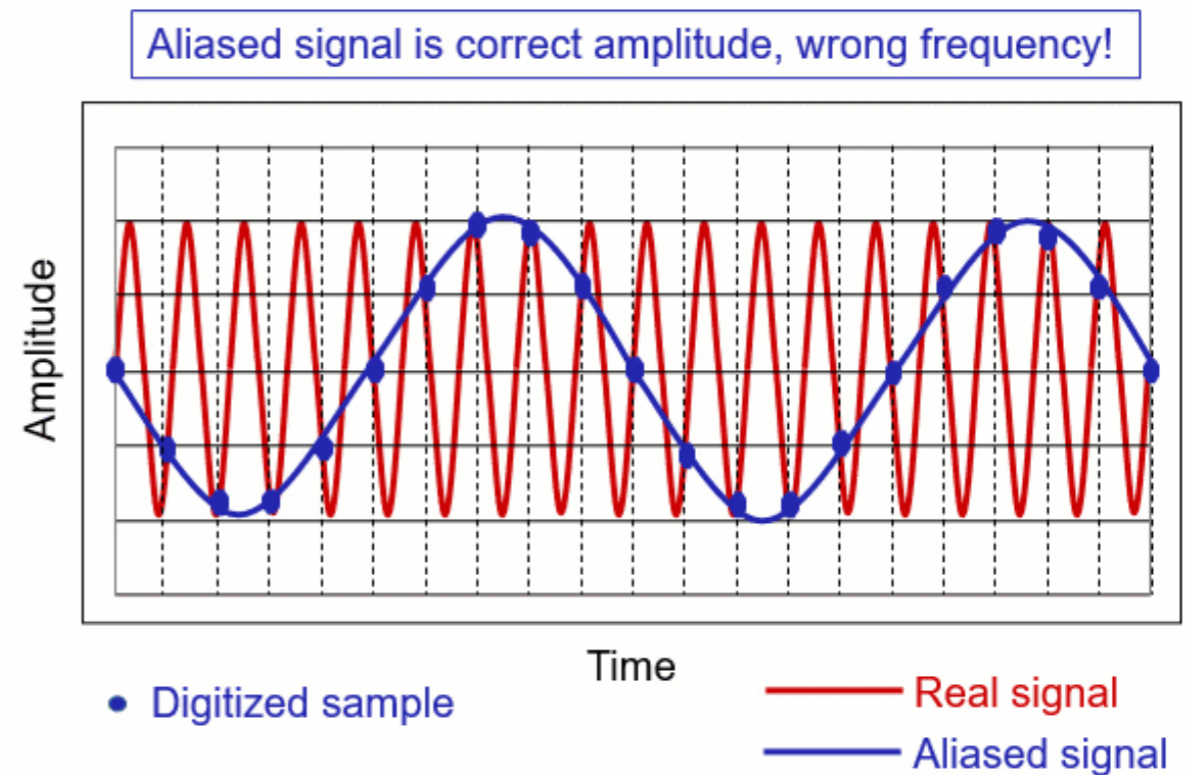


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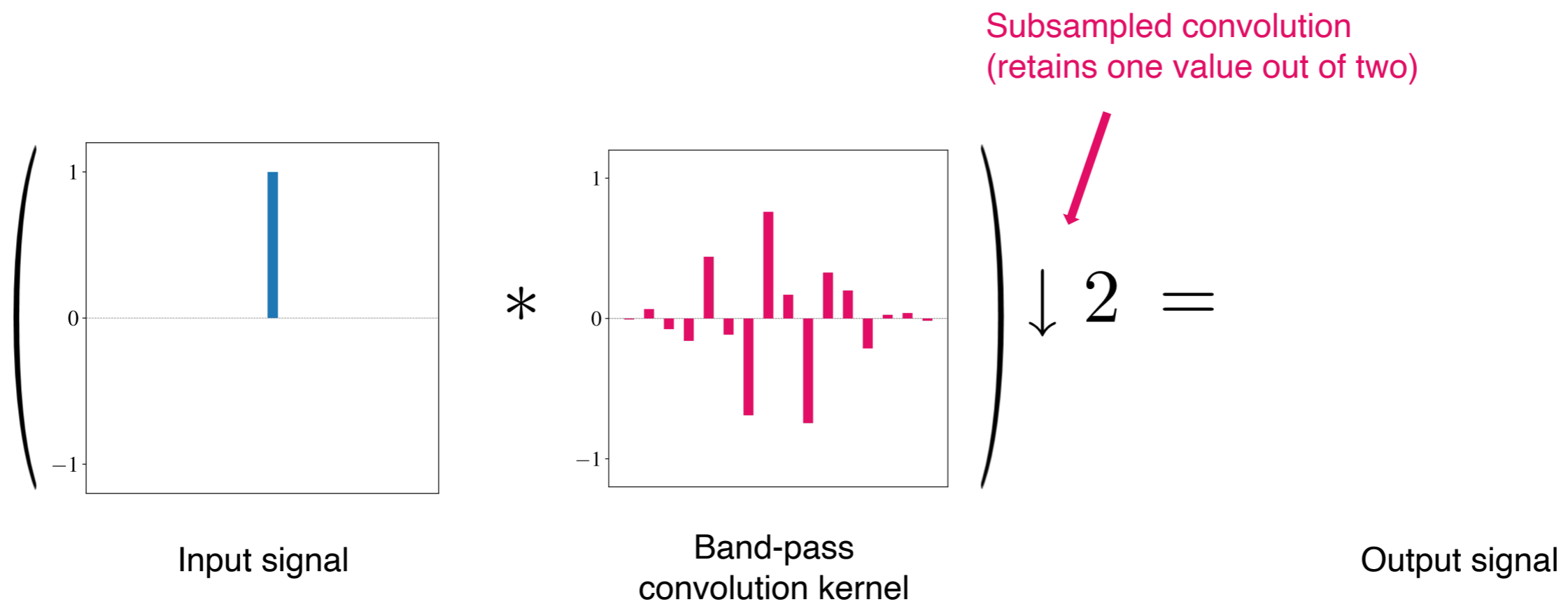
Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>



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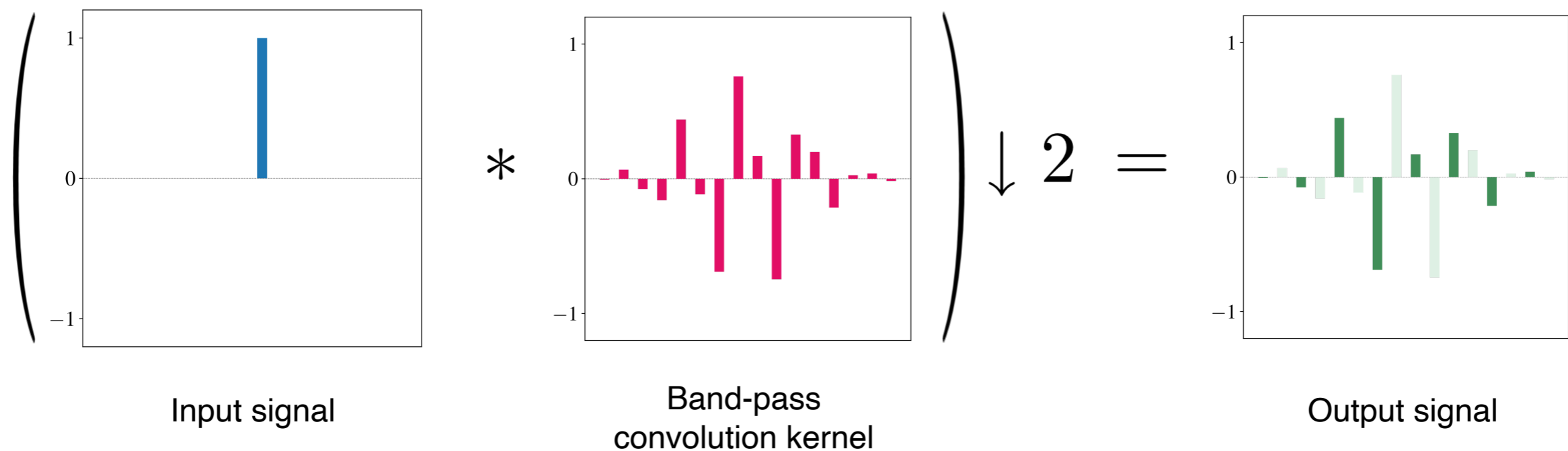
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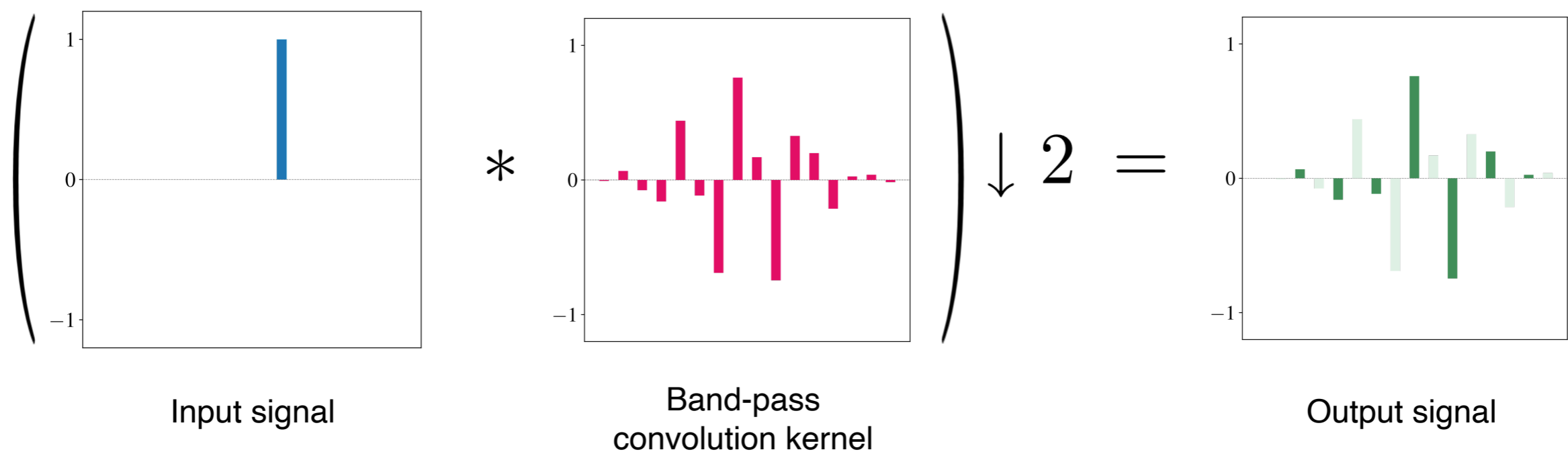
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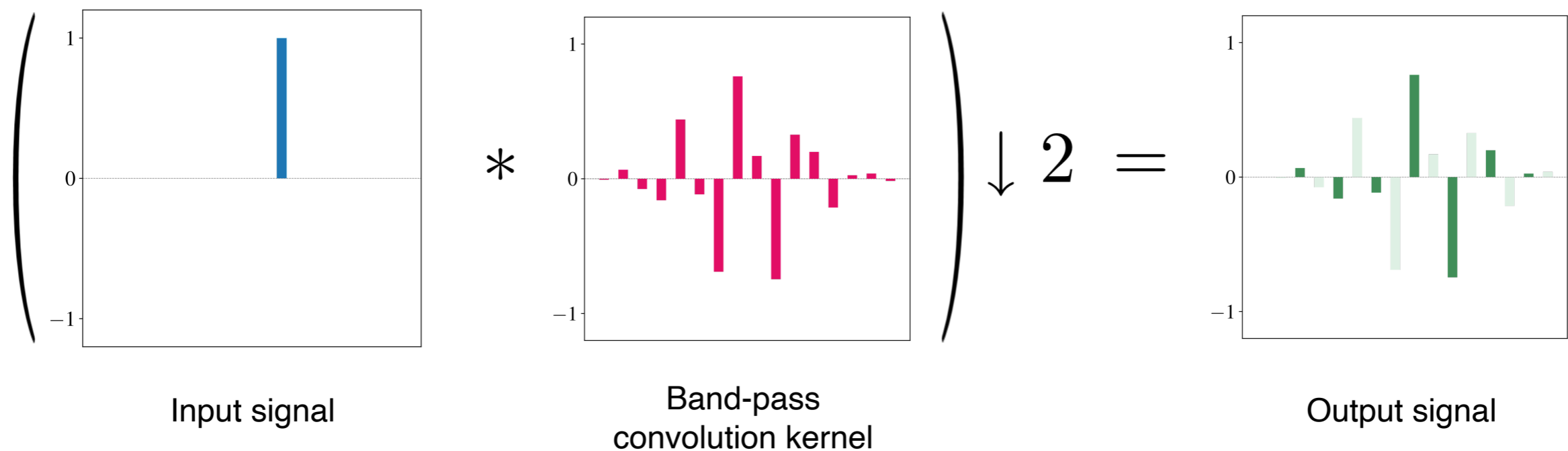


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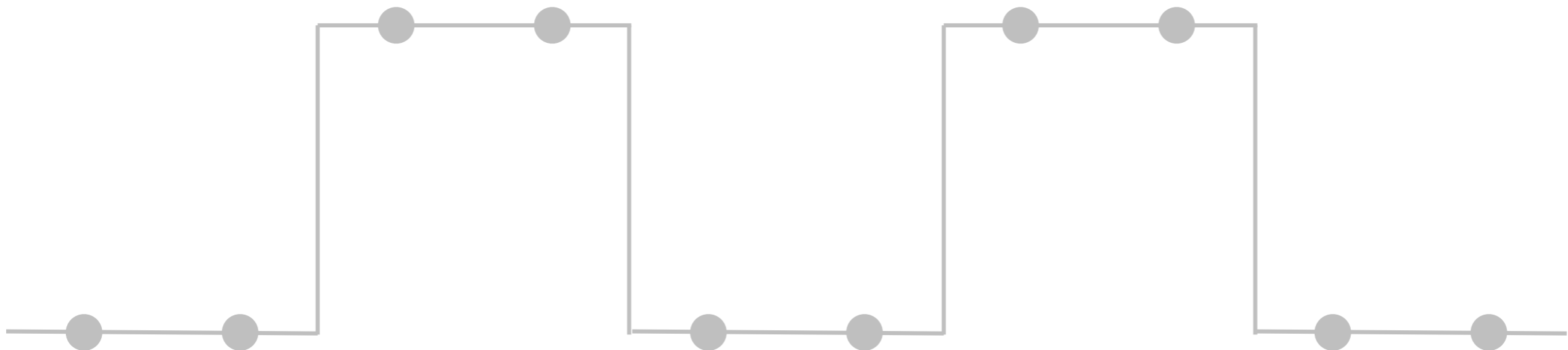


Subsampling a high-frequency signal  
→ **Aliasing effect**  
→ **Instability to small input shifts**



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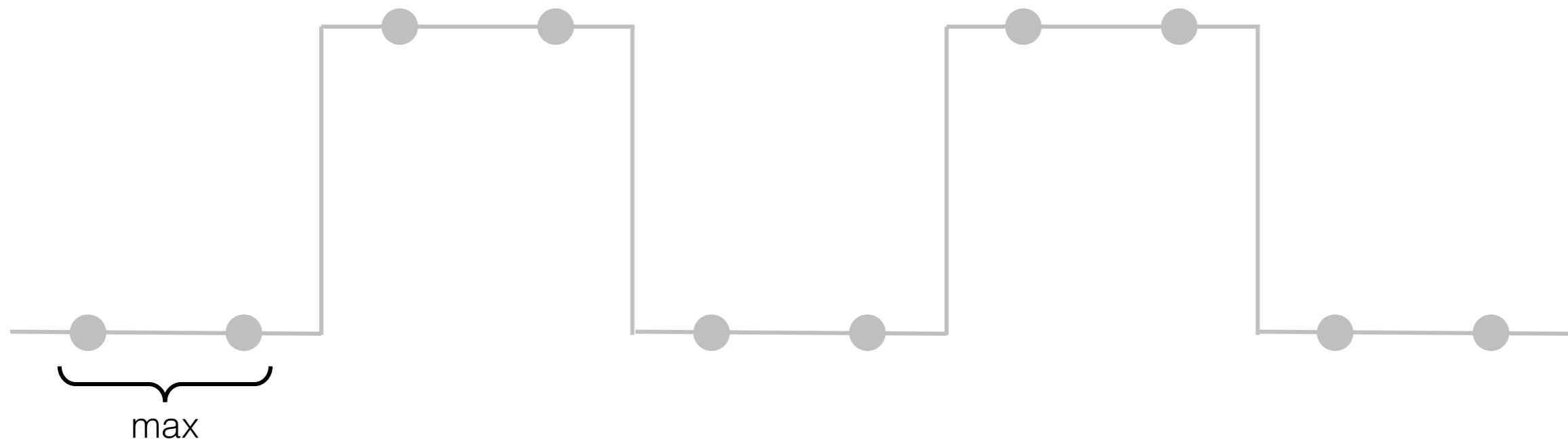


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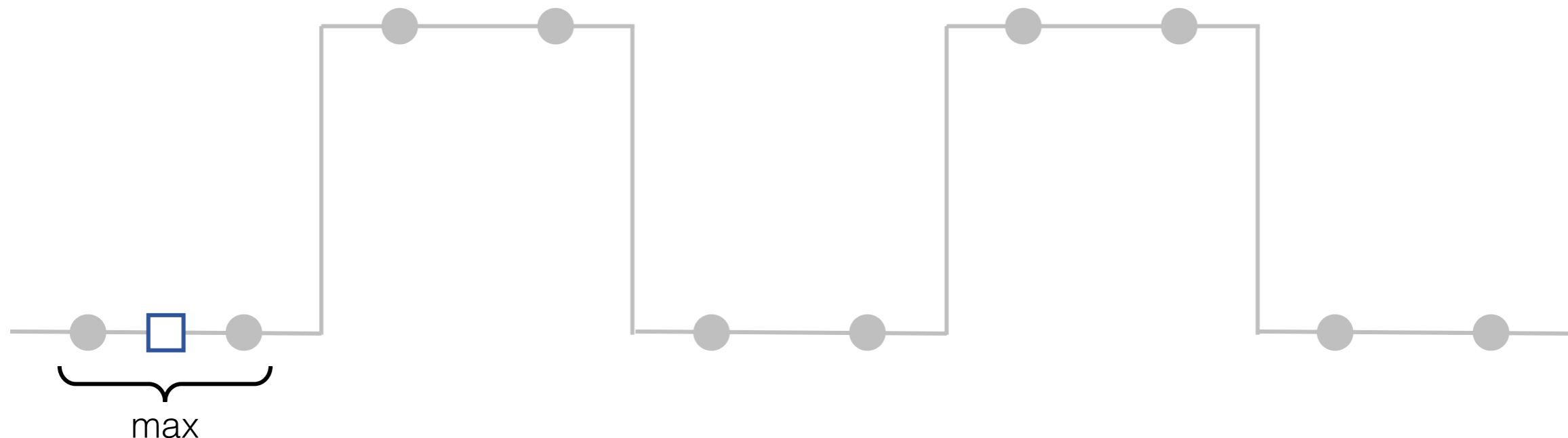


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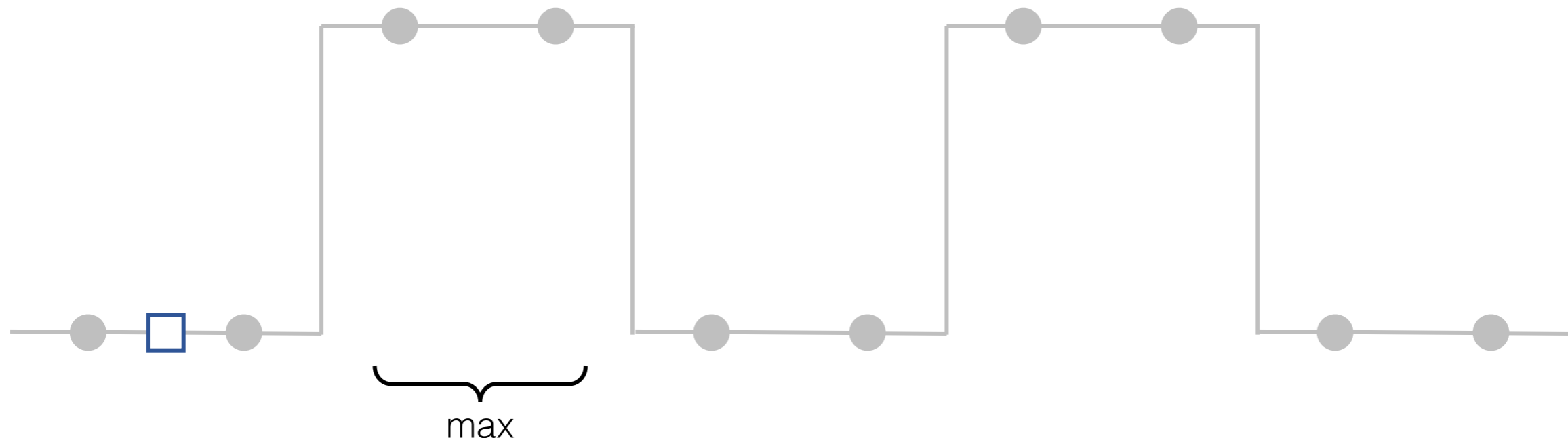
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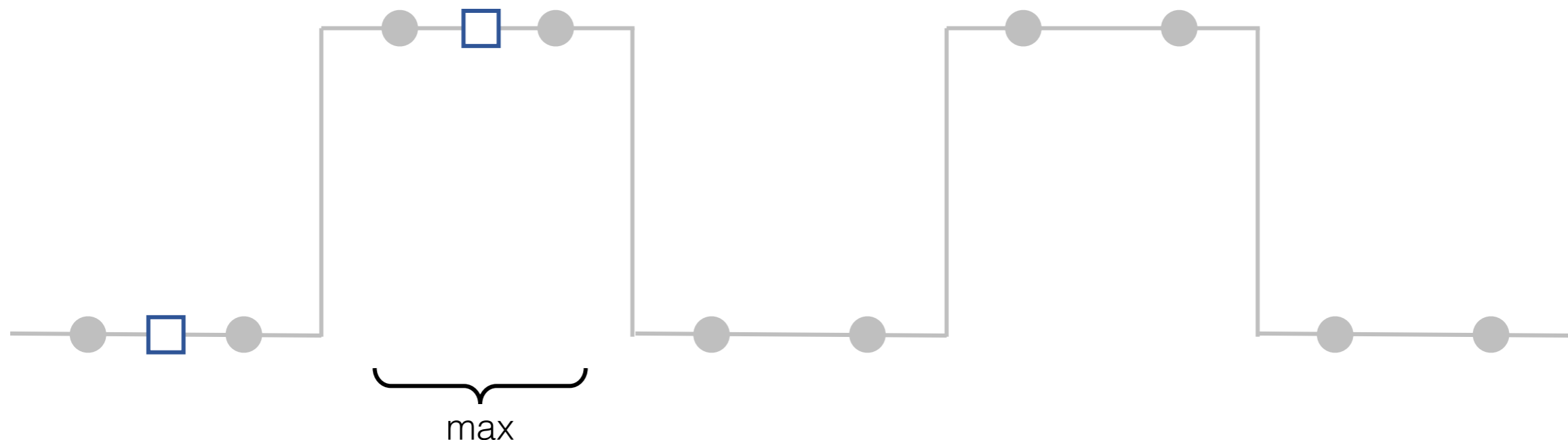


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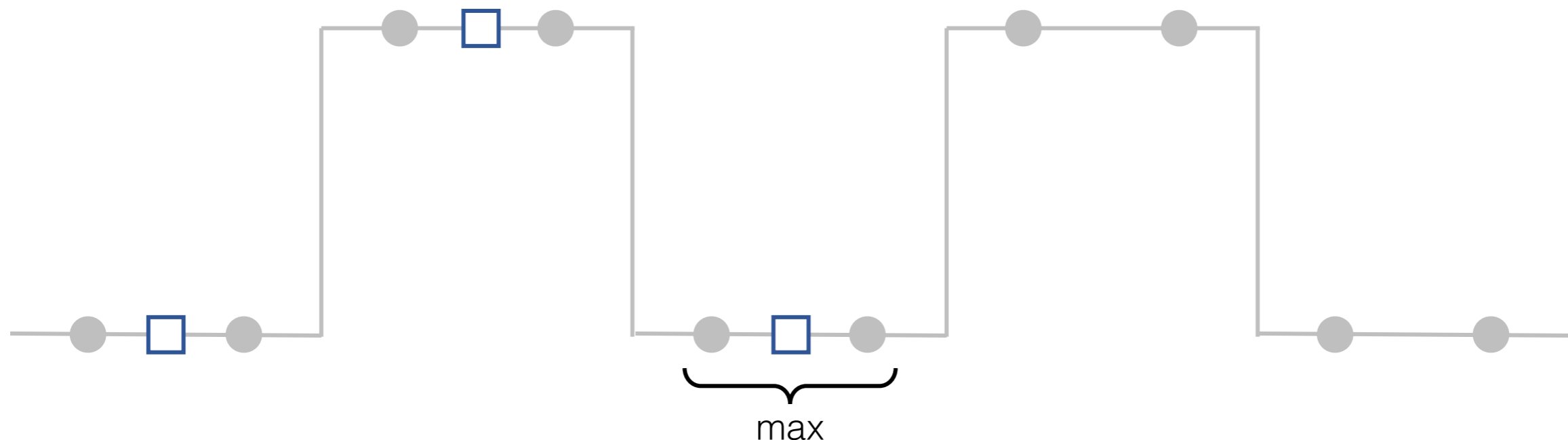


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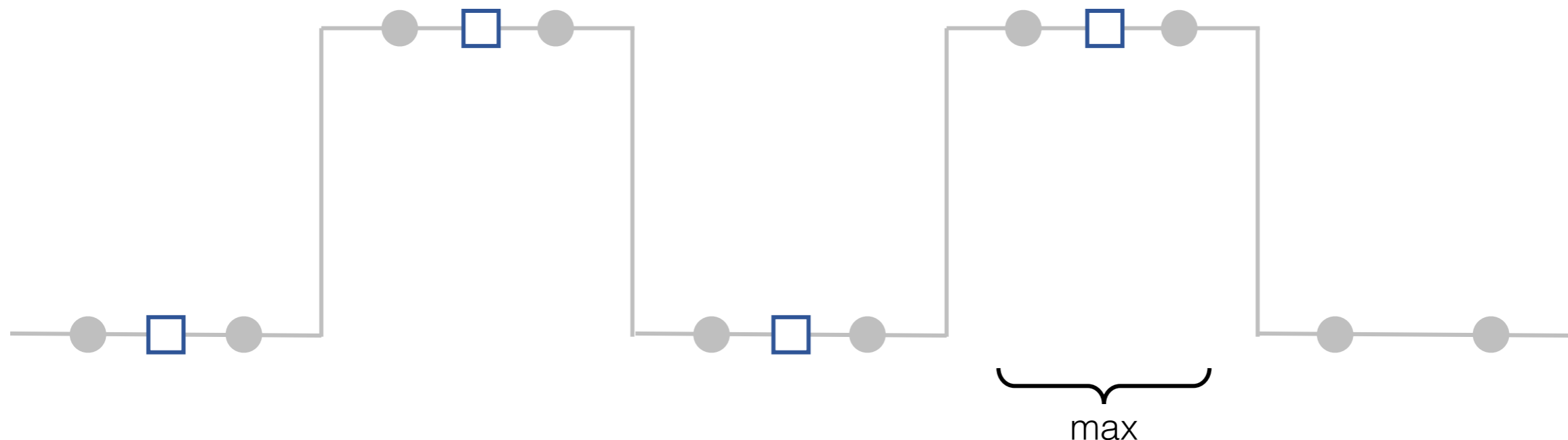


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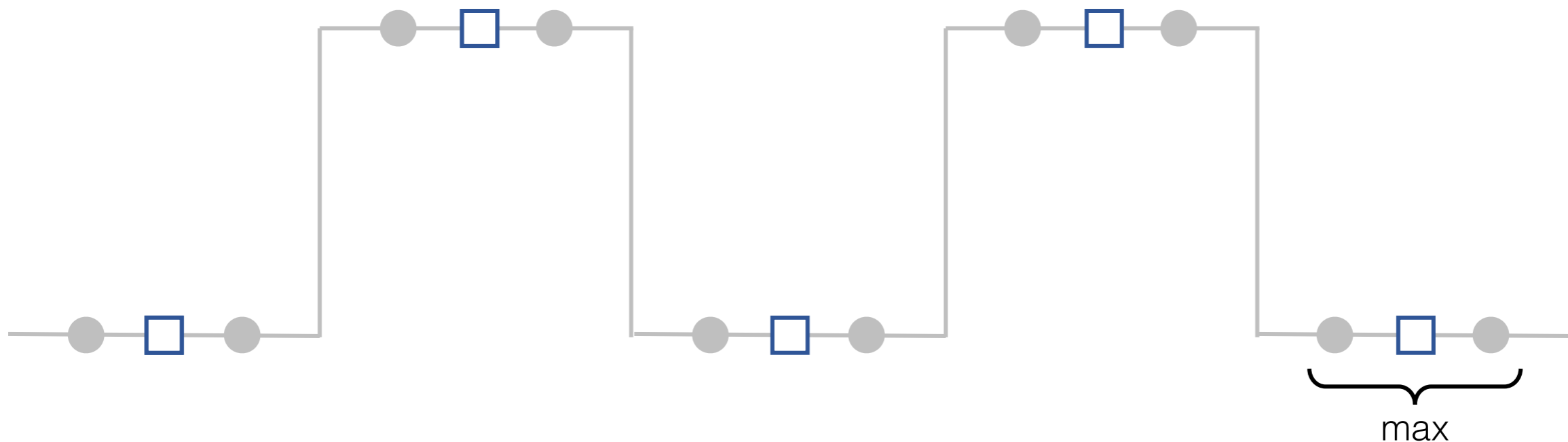


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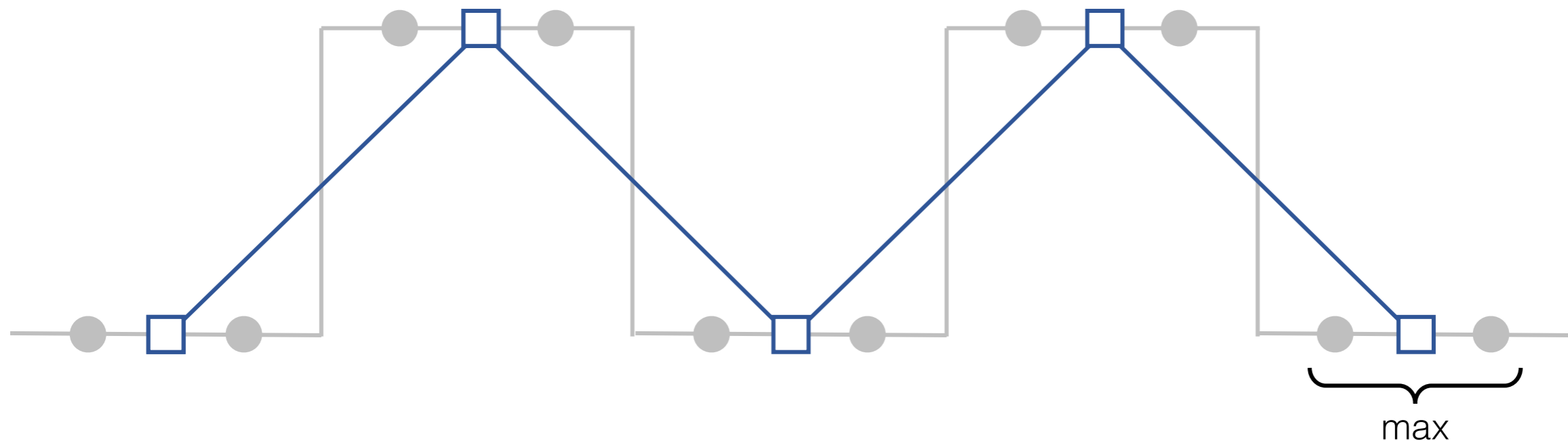


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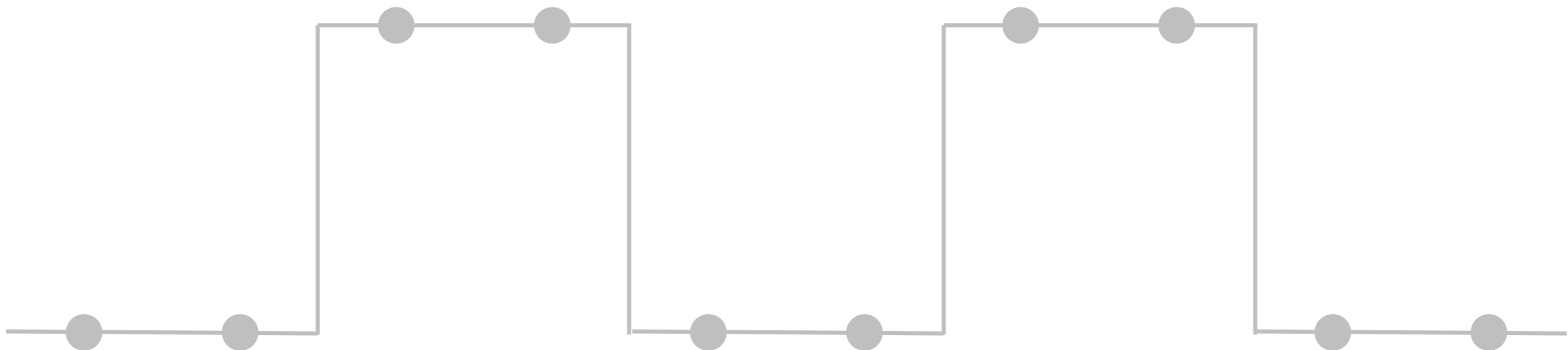


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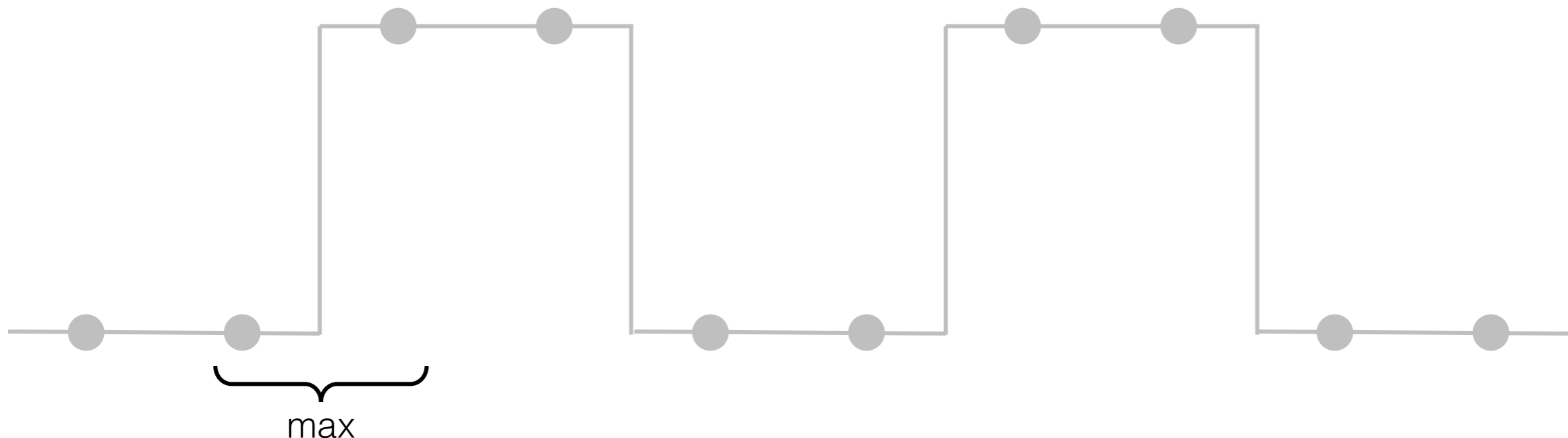


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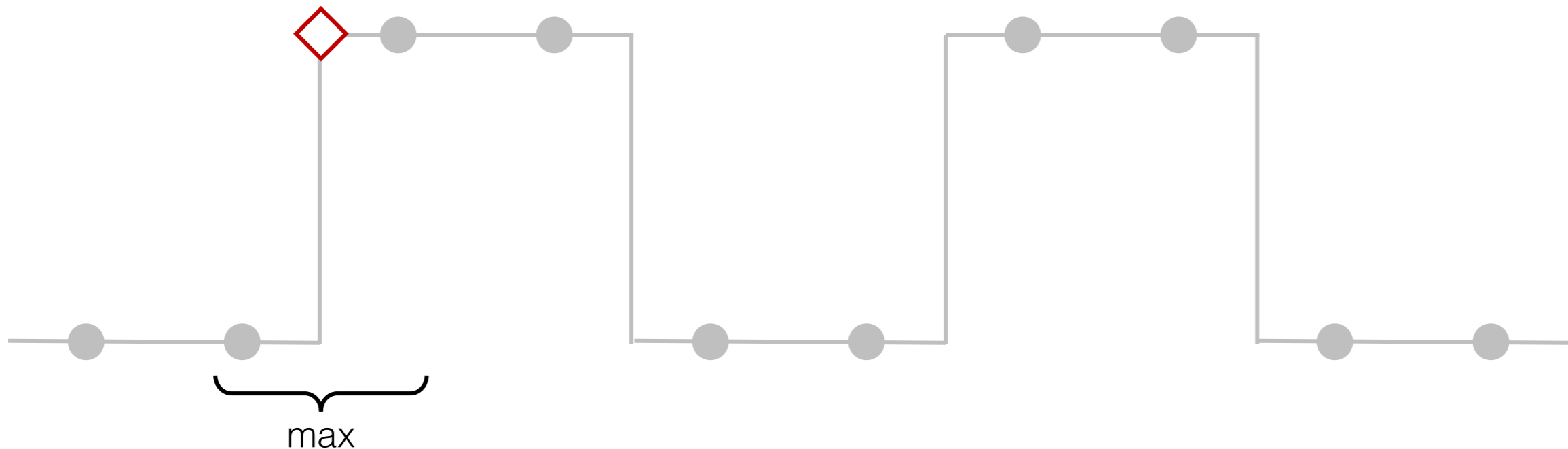
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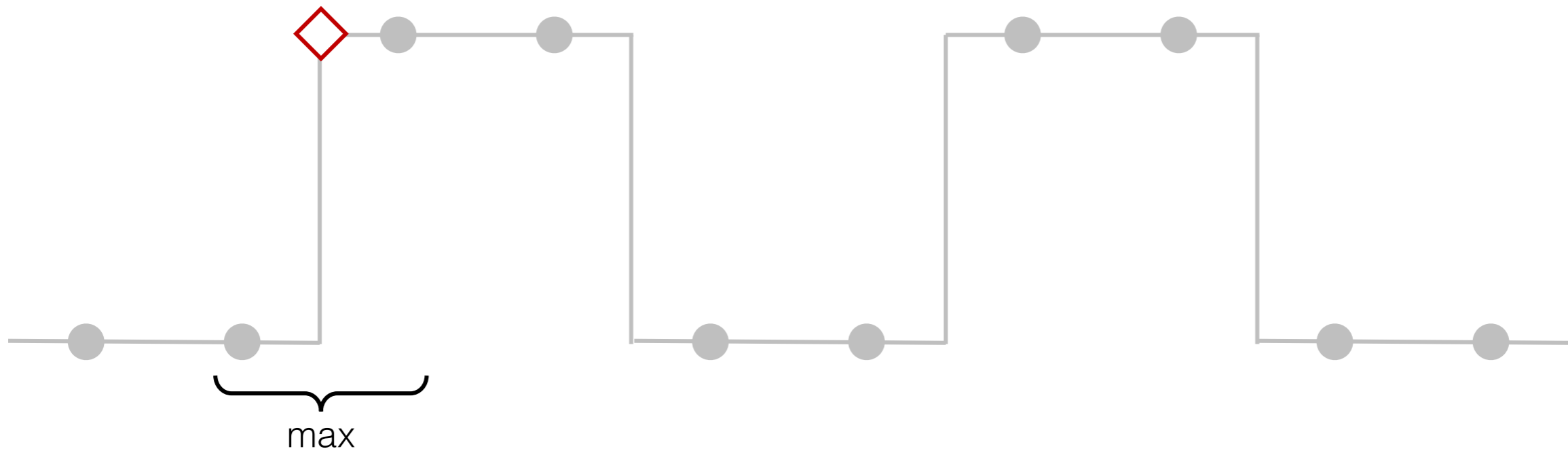


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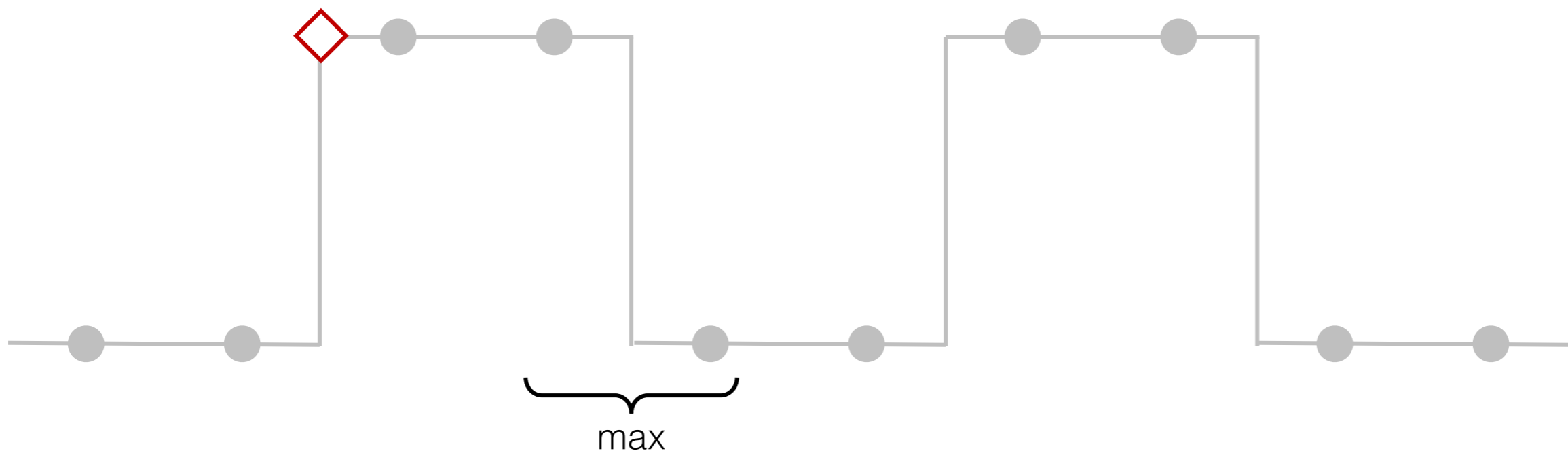


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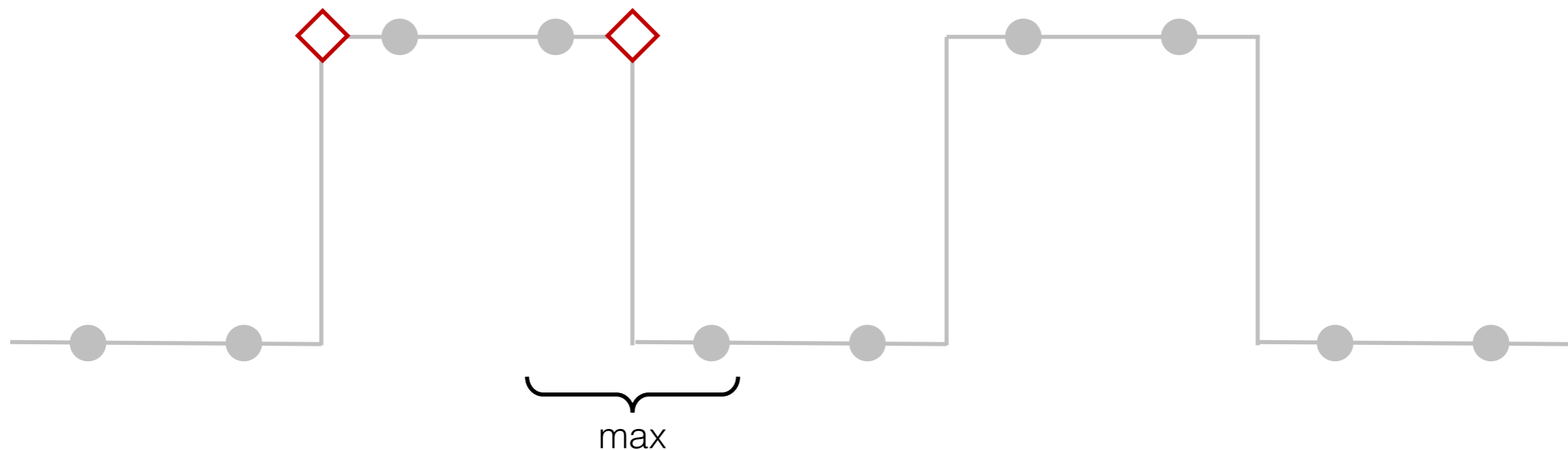


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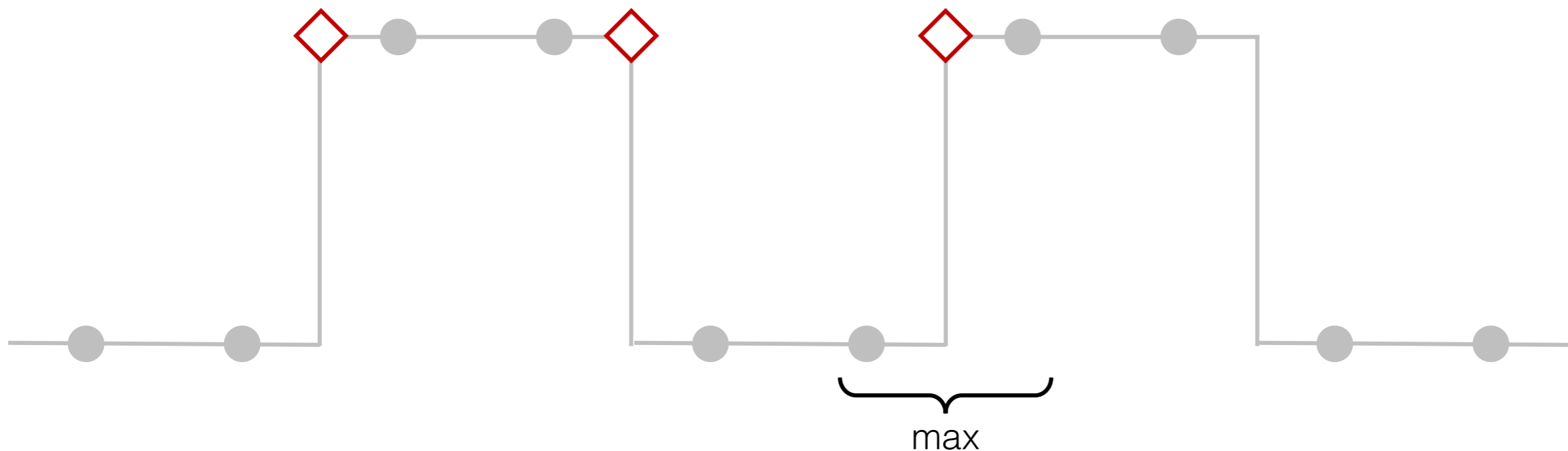


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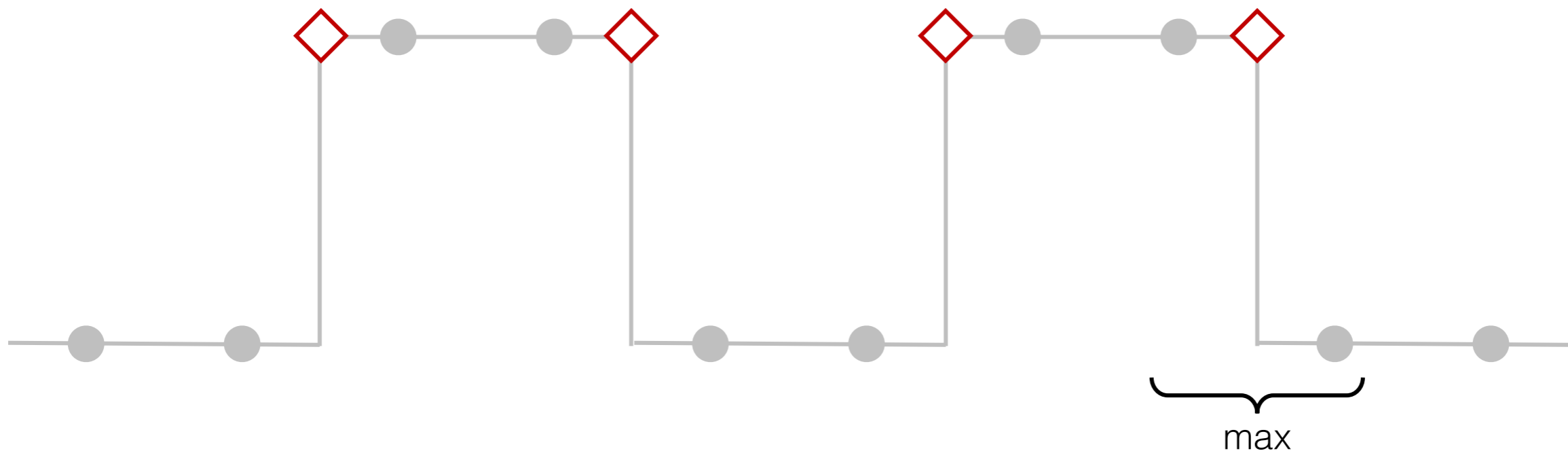


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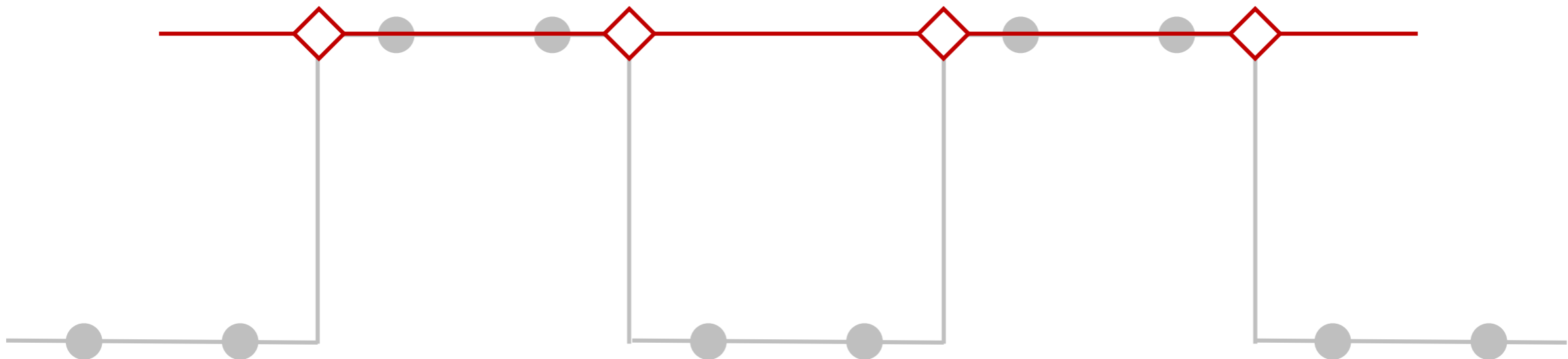


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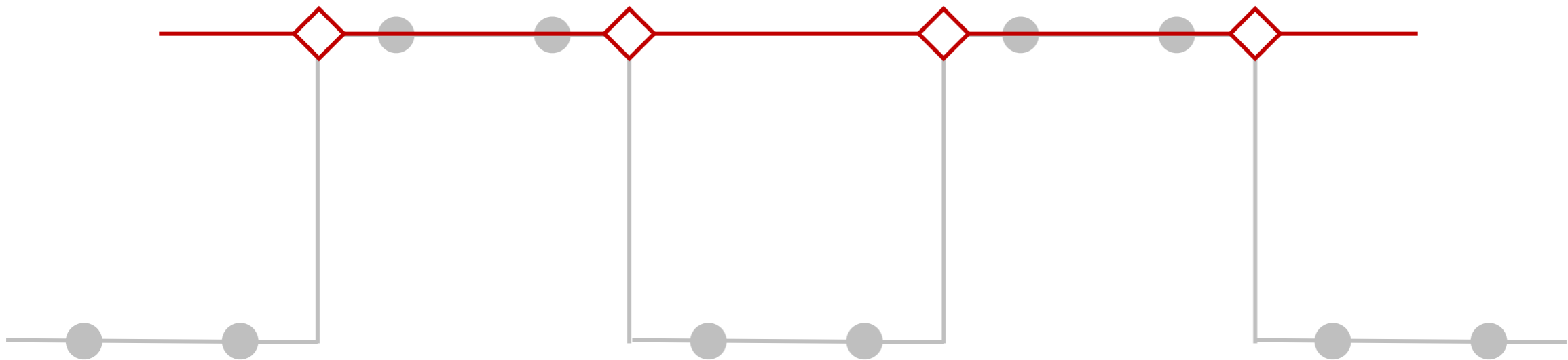


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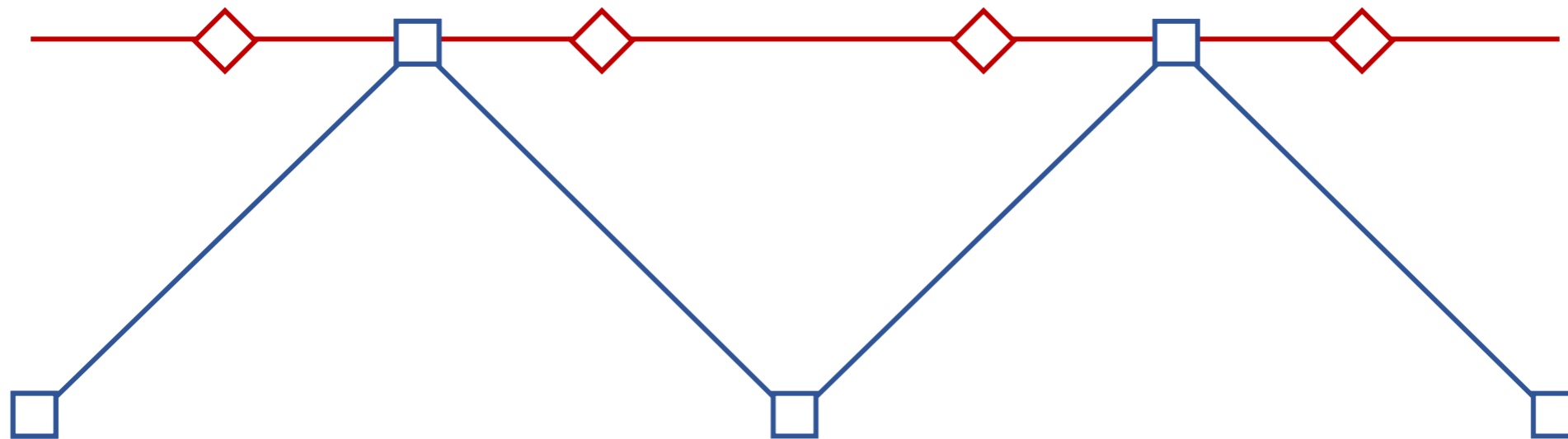
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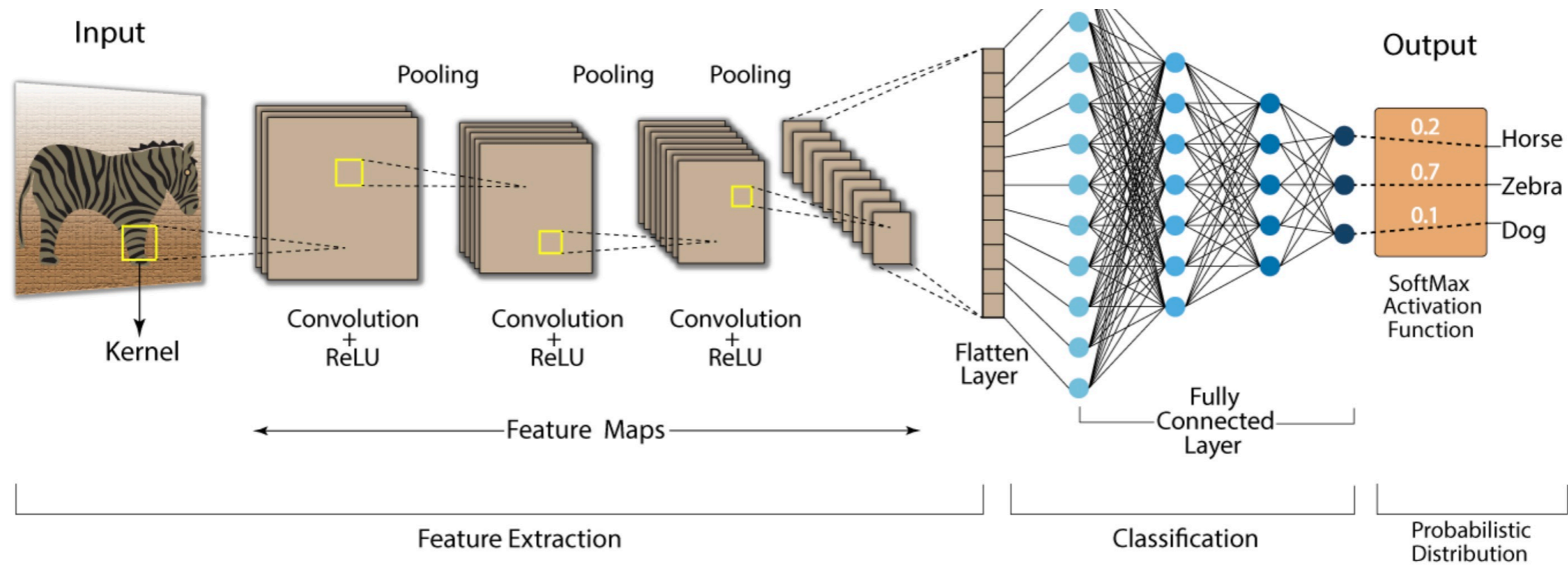
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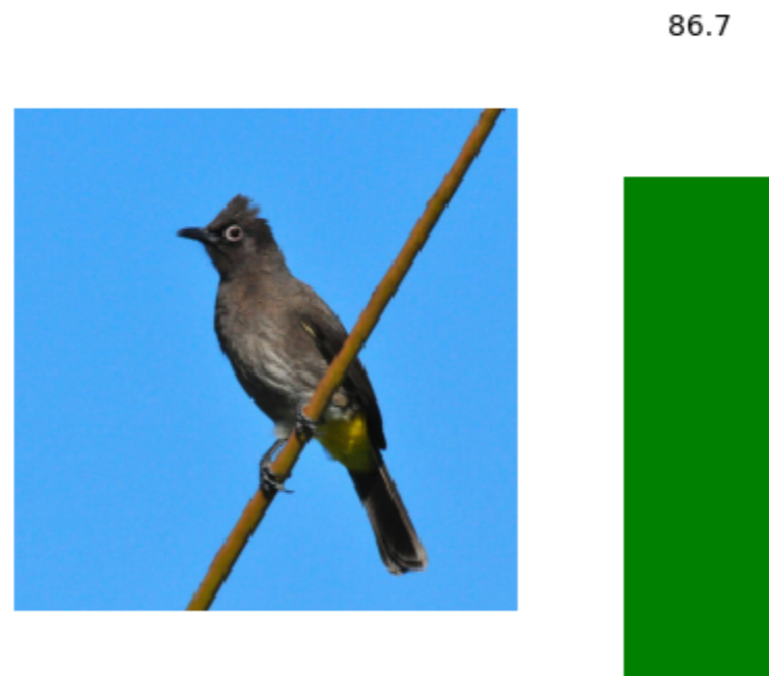
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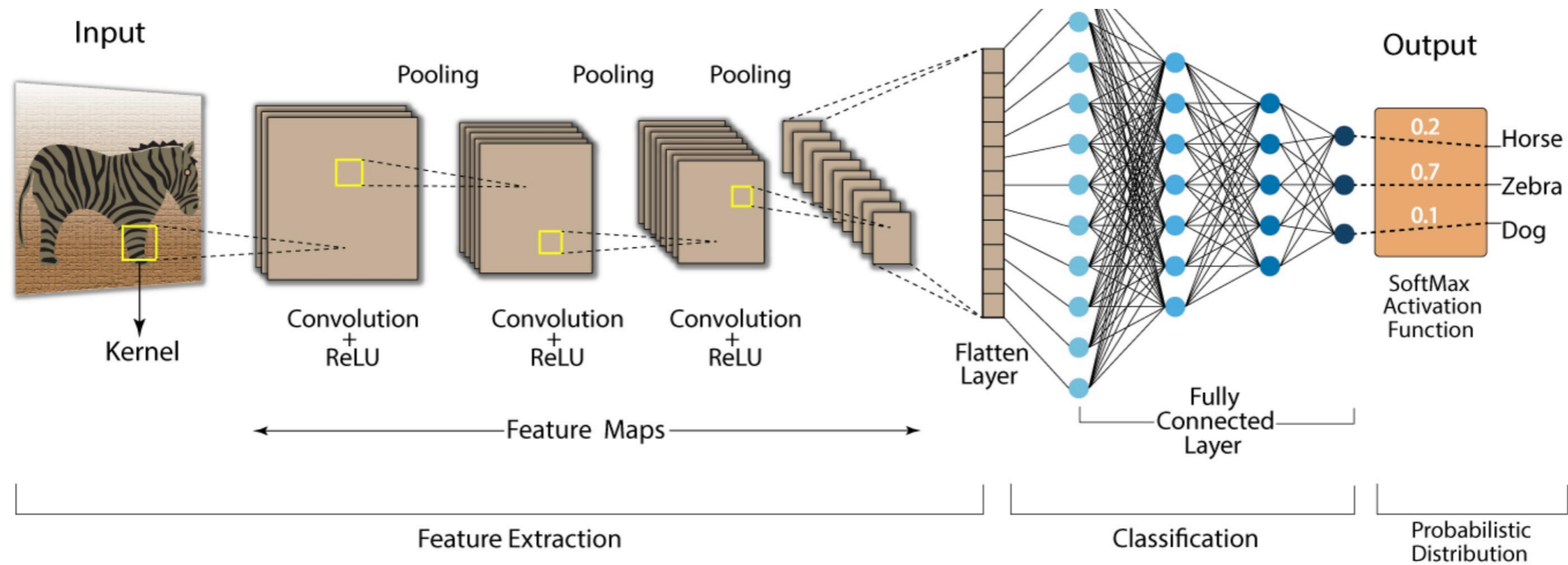
# Aliasing breaks shift-invariance



Source : <https://developersbreach.com/convolution-neural-network-deep-learning/>



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46.3



# Blind spots in the shift-invariance studies

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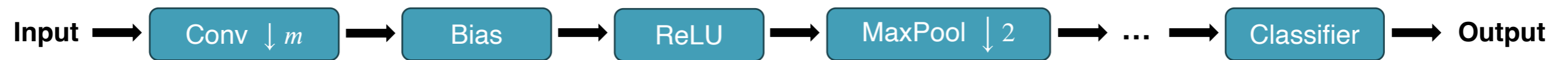
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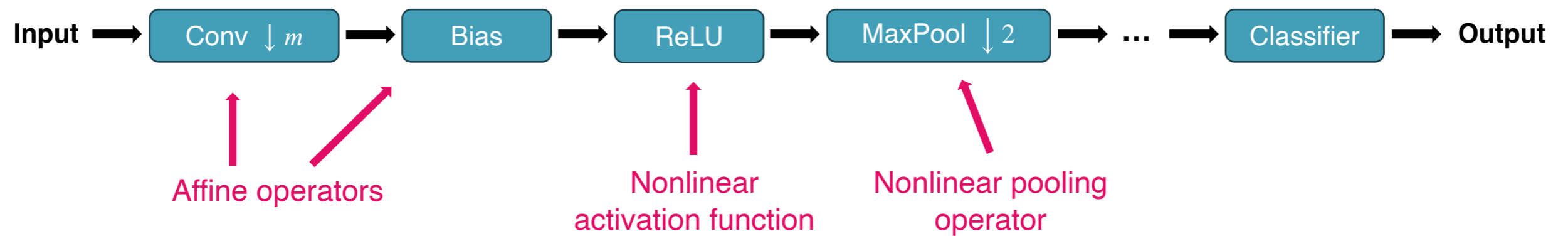
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- Although extensive studies have been conducted on complex-valued convolutions followed by modulus, **a link is missing to extend these results to standard CNNs**, which implement real-valued convolutions and spatial pooling operators.

# Focus on the first layer





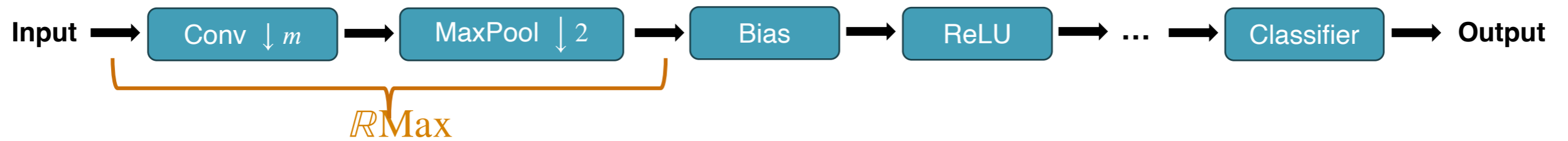
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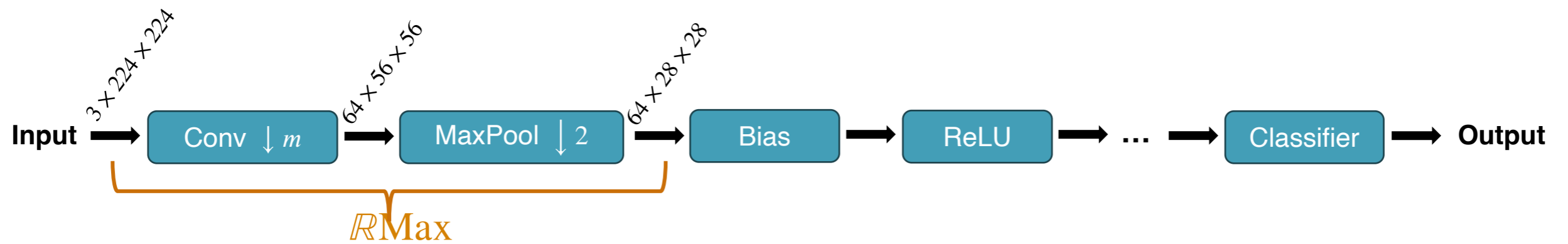
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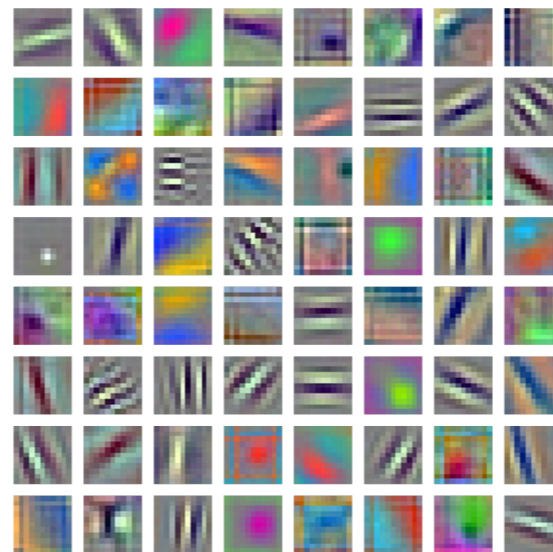
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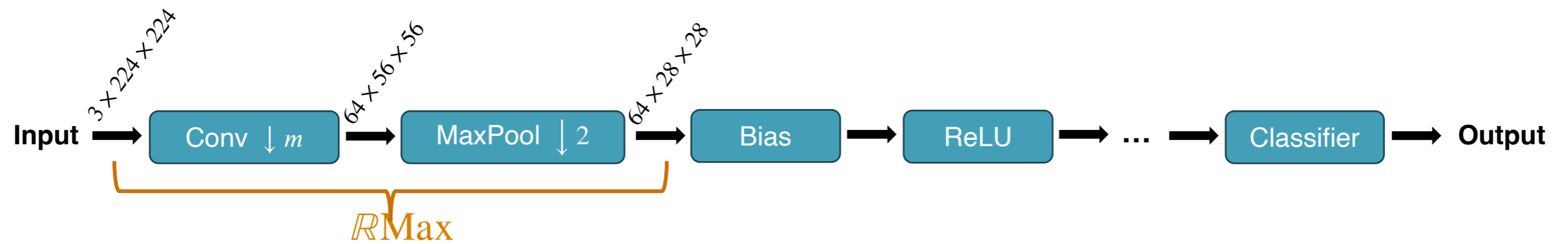
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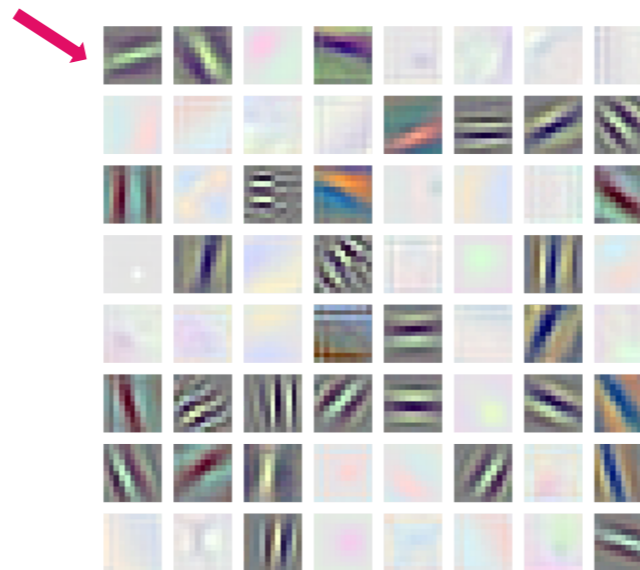
Example: AlexNet  
(2012)



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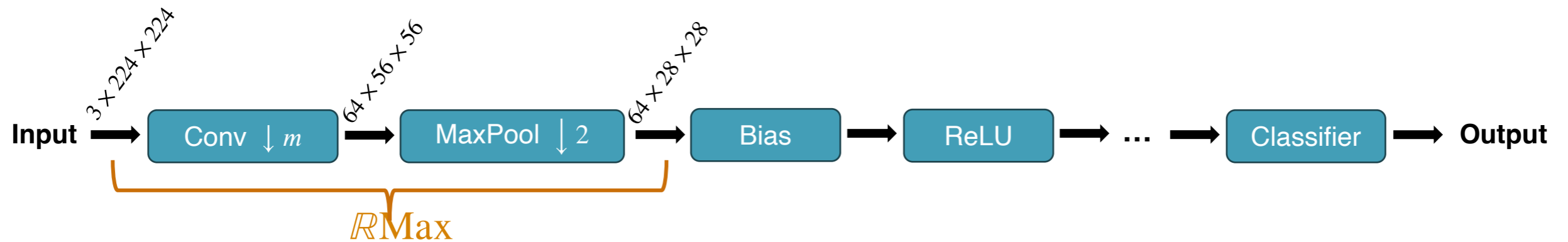


Band-pass “Gabor-like” filters

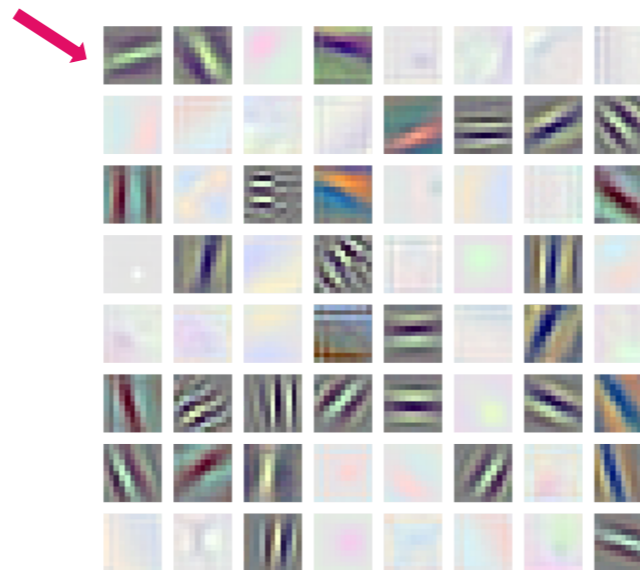


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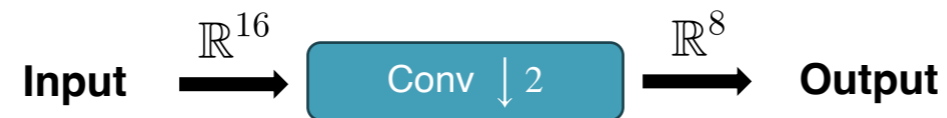


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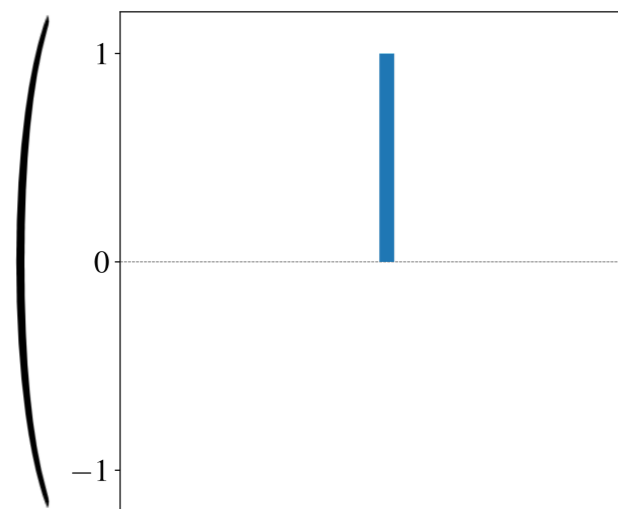
Rai, Mehang, and Pablo Rivas. "A review of convolutional neural networks and Gabor filters in object recognition." *2020 International Conference on Computational Science and Computational Intelligence (CSCI)*. IEEE, 2020.

Yosinski J, Clune J, Bengio Y, and Lipson H. How transferable are features in deep neural networks? In *Advances in Neural Information Processing Systems 27 (NIPS '14)*, NIPS Foundation, 2014.

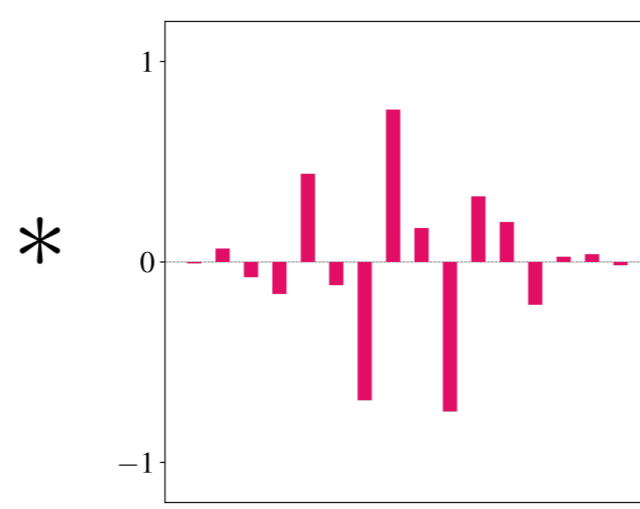
# Subsampled convolutions, a real problem!



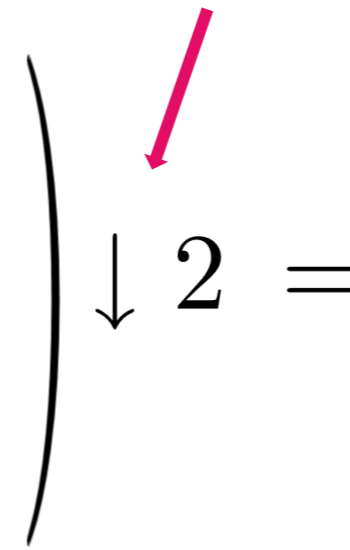
Subsampled convolution  
(retains one value out of two)



Input signal

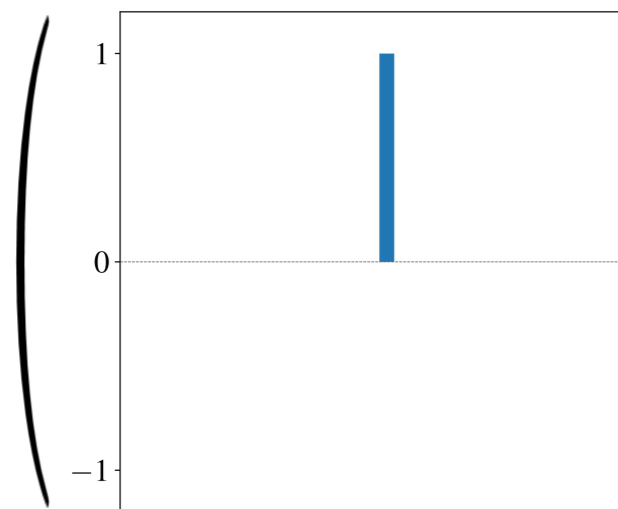
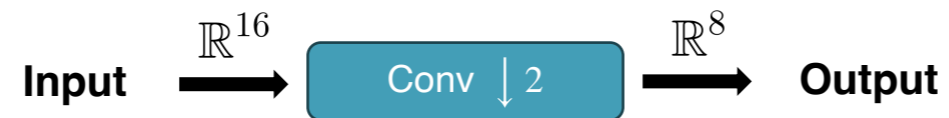


Band-pass  
convolution kernel

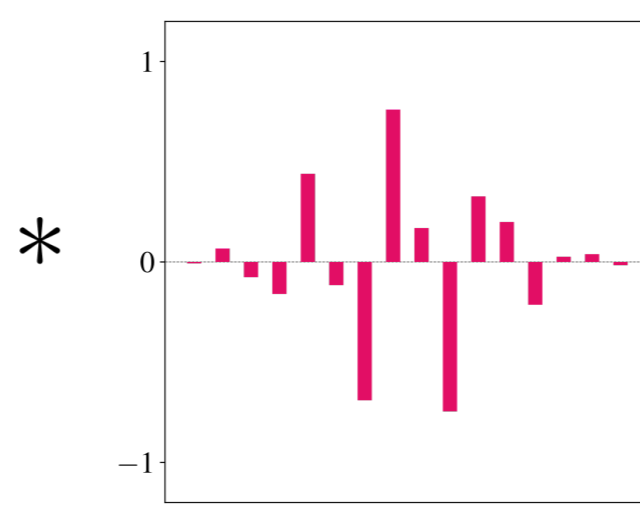


Output signal

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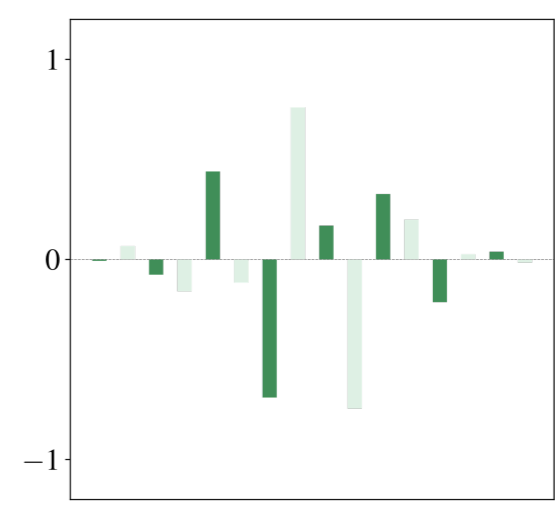


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Band-pass convolution kernel

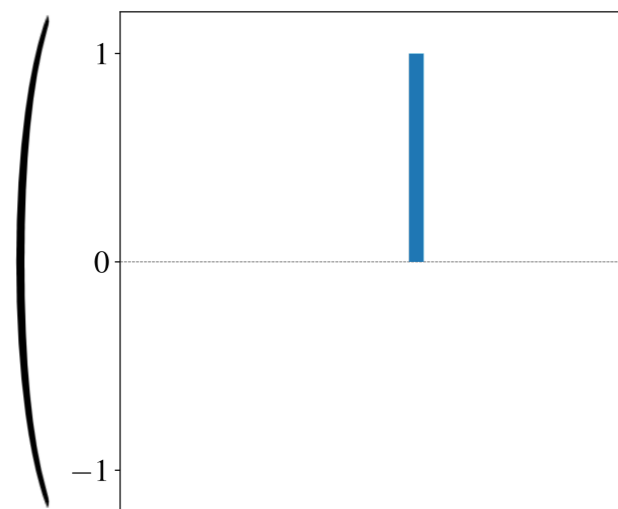
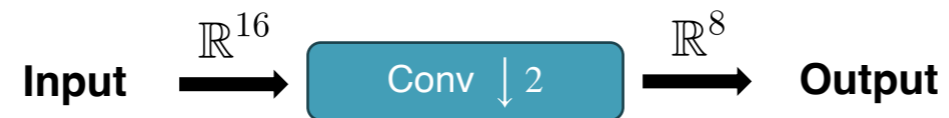
$\downarrow 2 =$



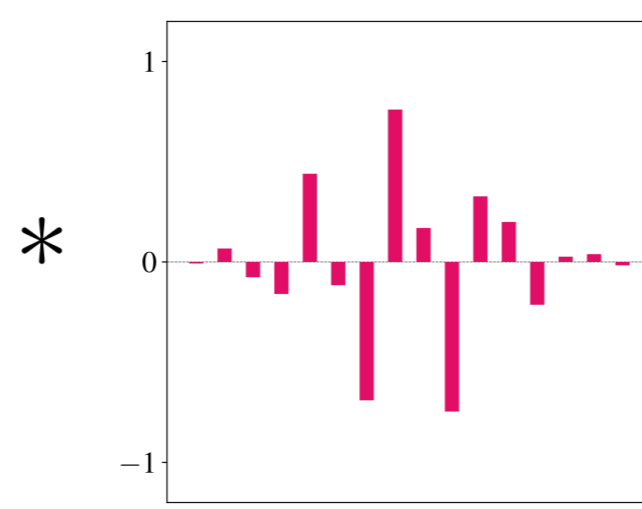
Output signal



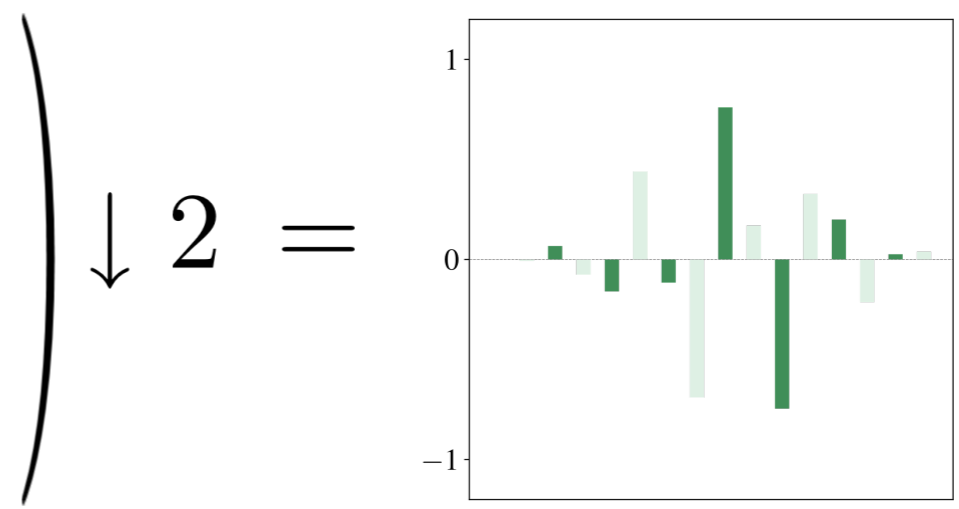
# Subsampled convolutions, a real problem!



Input signal

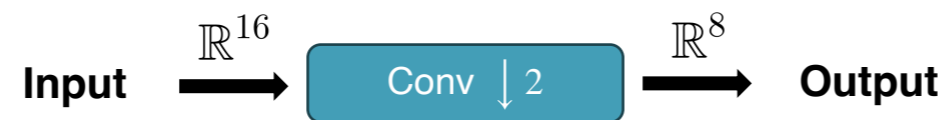


Band-pass convolution kernel

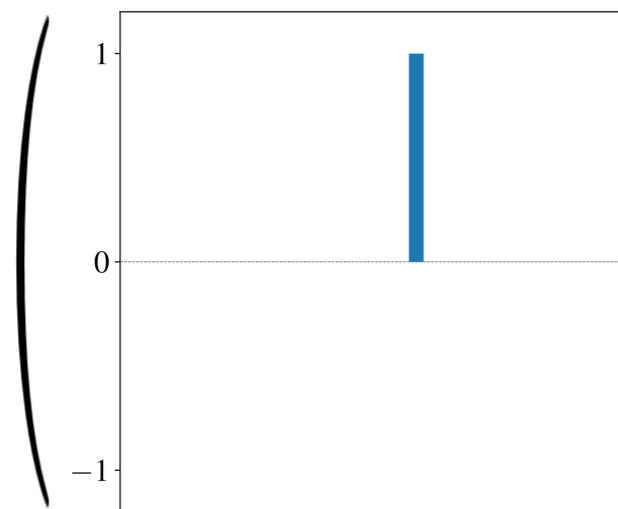


Output signal

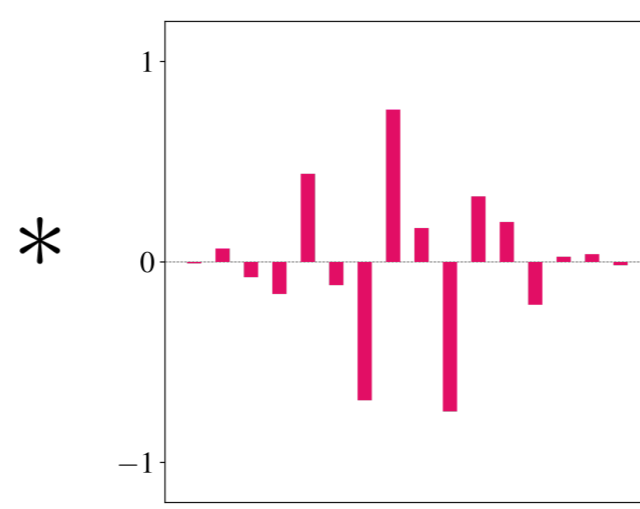
# Subsampled convolutions, a real problem!



Subsampling a high-frequency signal  
→ **Aliasing effect**  
→ **Instability to small input shifts**

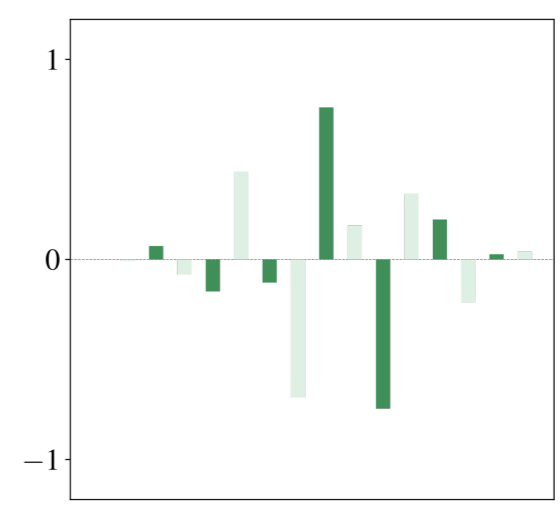


Input signal



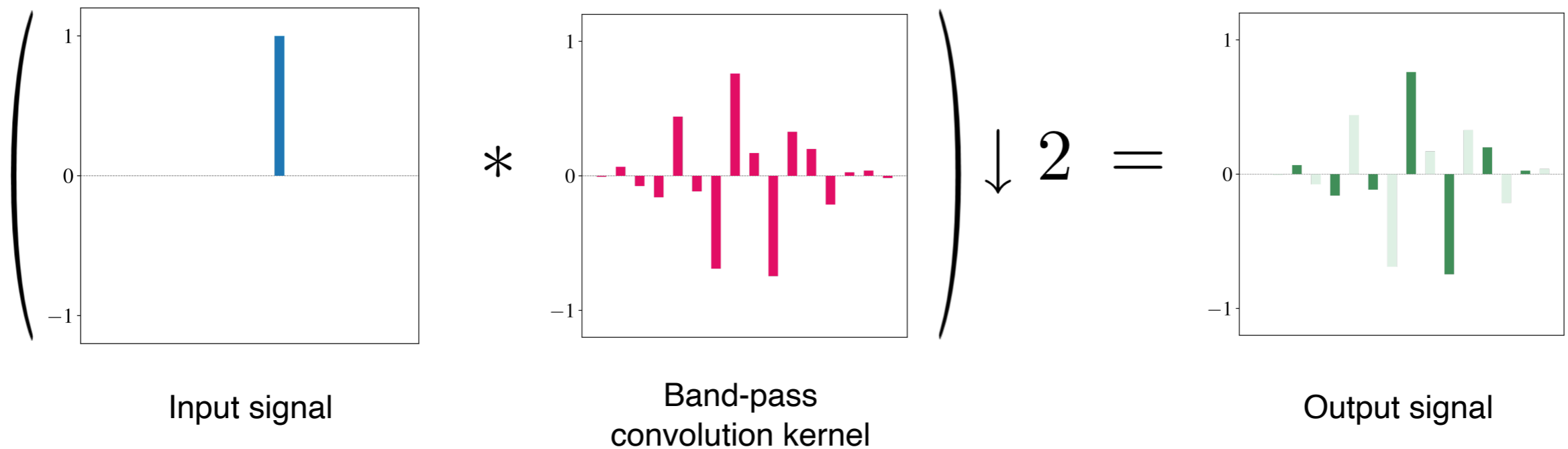
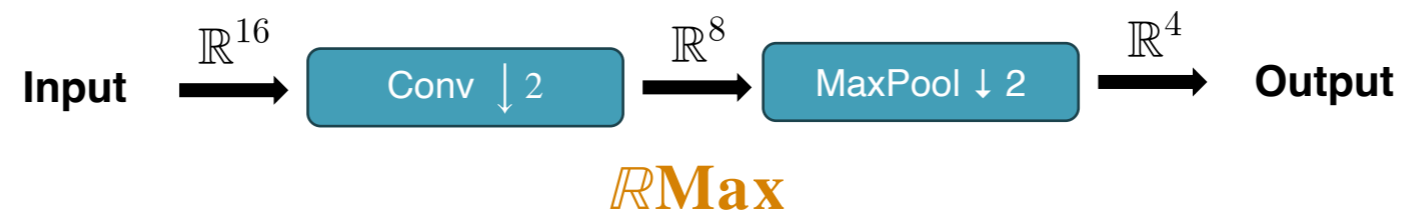
Band-pass convolution kernel

$\downarrow 2 =$

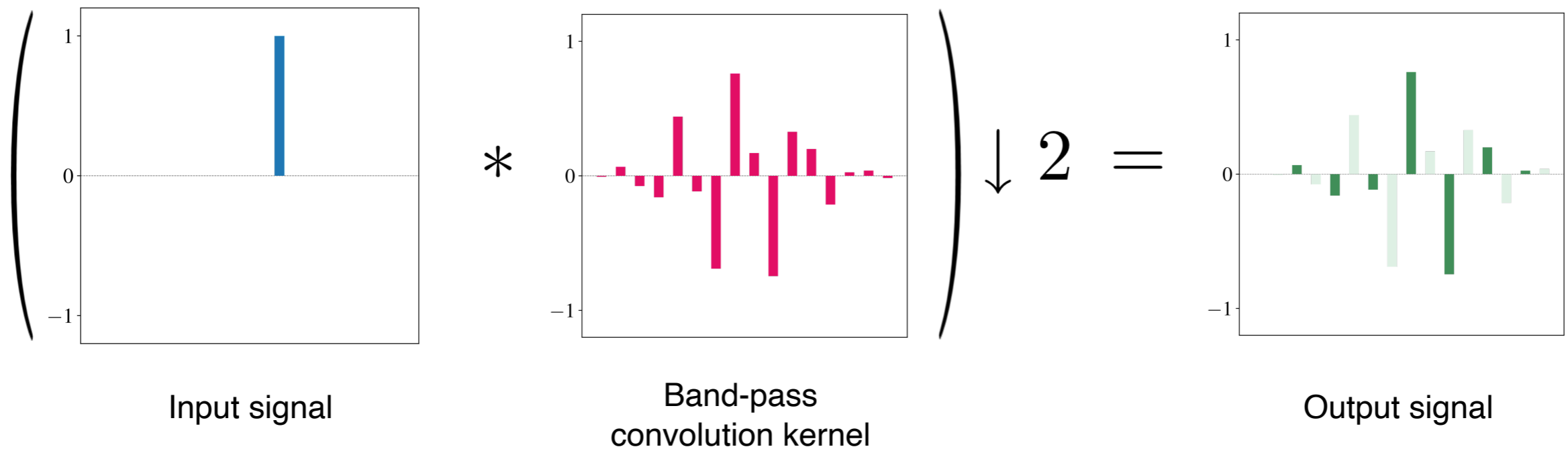
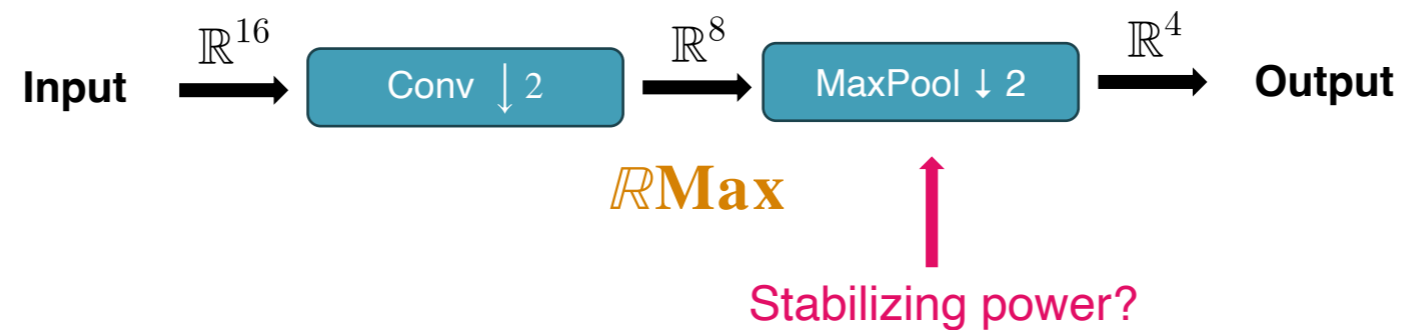


Output signal

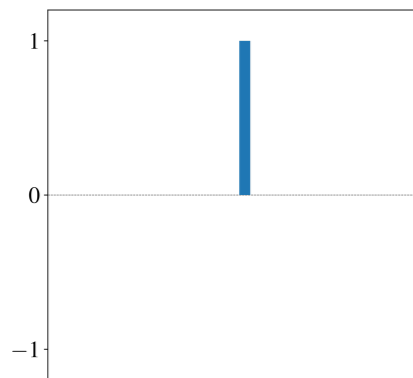
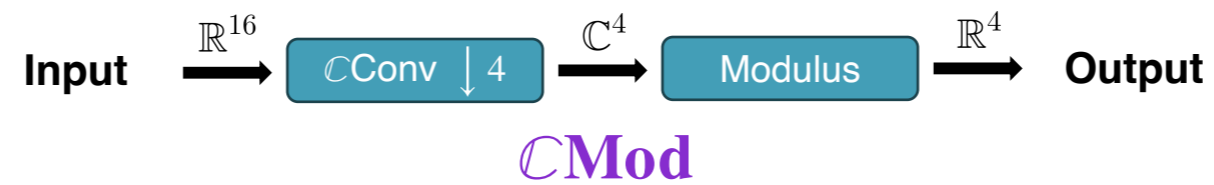
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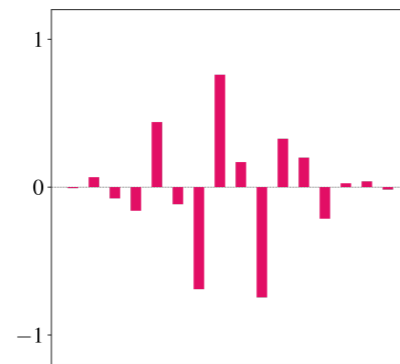


# Complex-valued convolutions at rescue

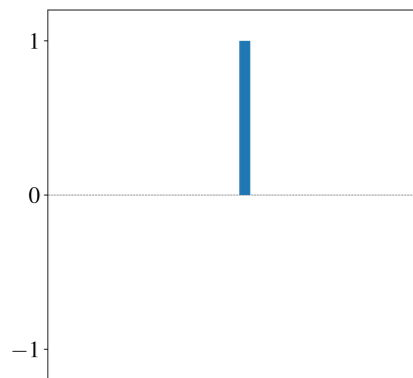
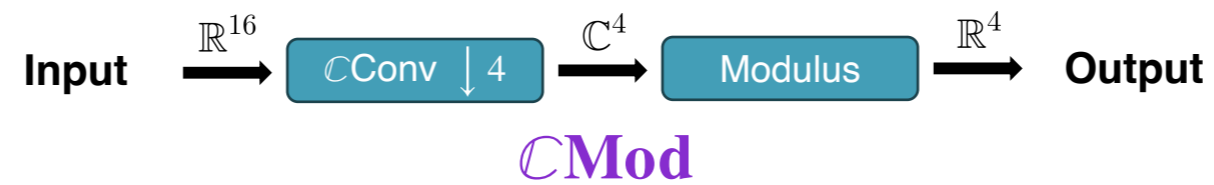


Input signal

\*

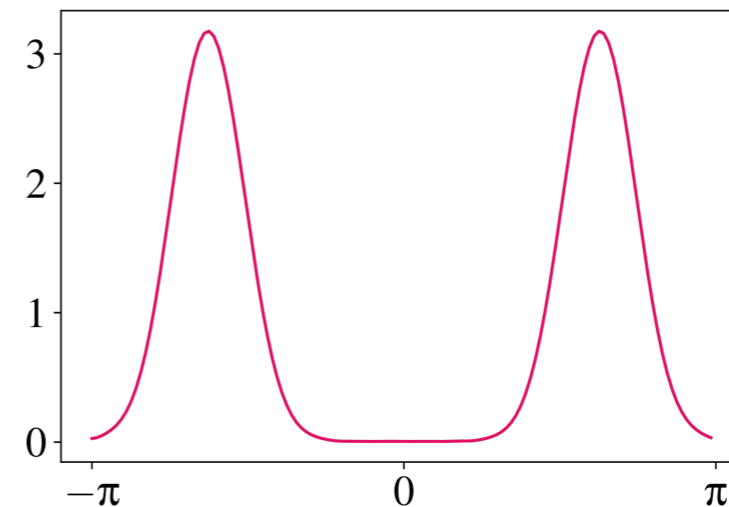
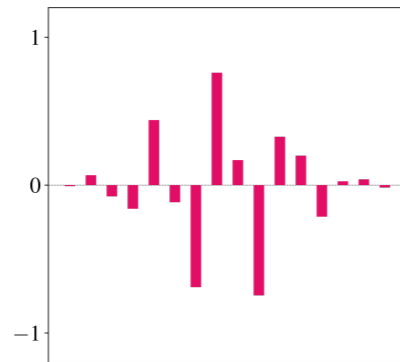


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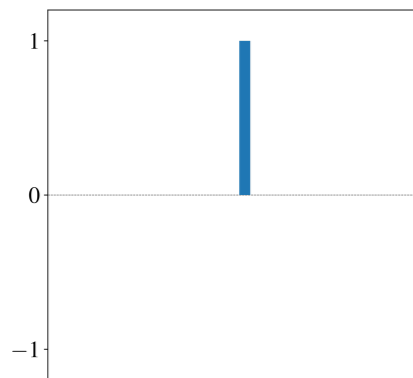
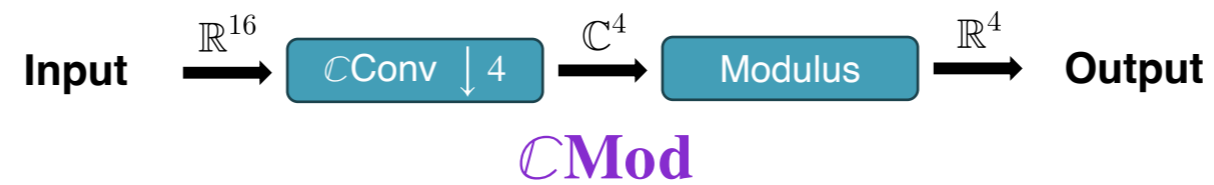
Input signal

\*



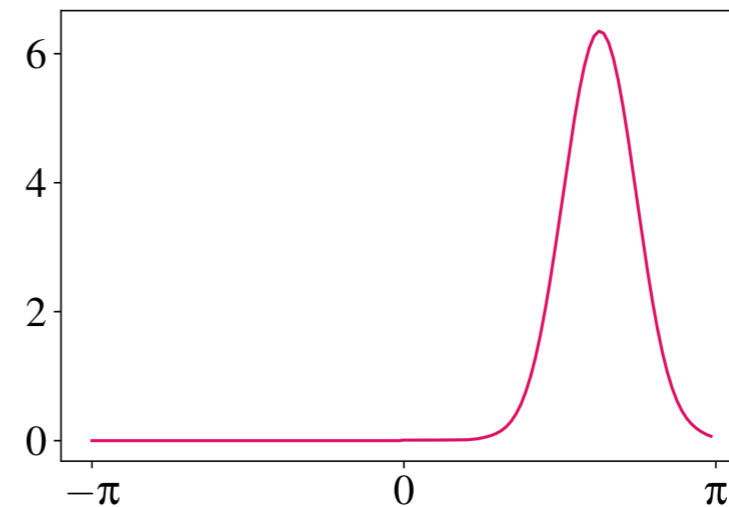
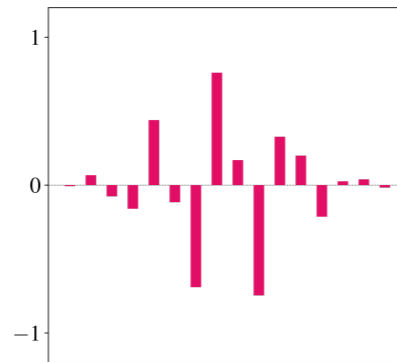
Fourier transform modulus

# Complex-valued convolutions at rescue



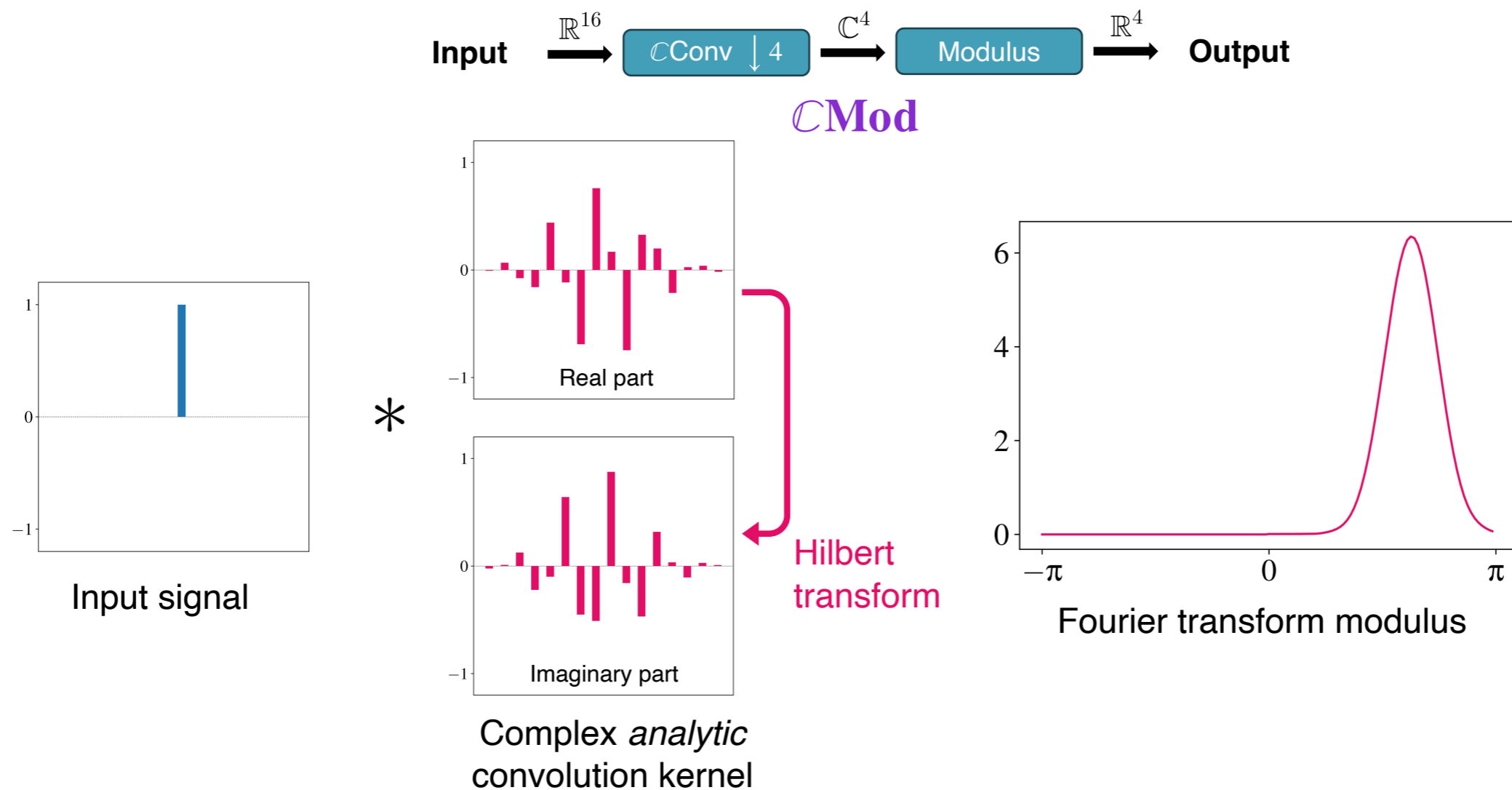
Input signal

\*



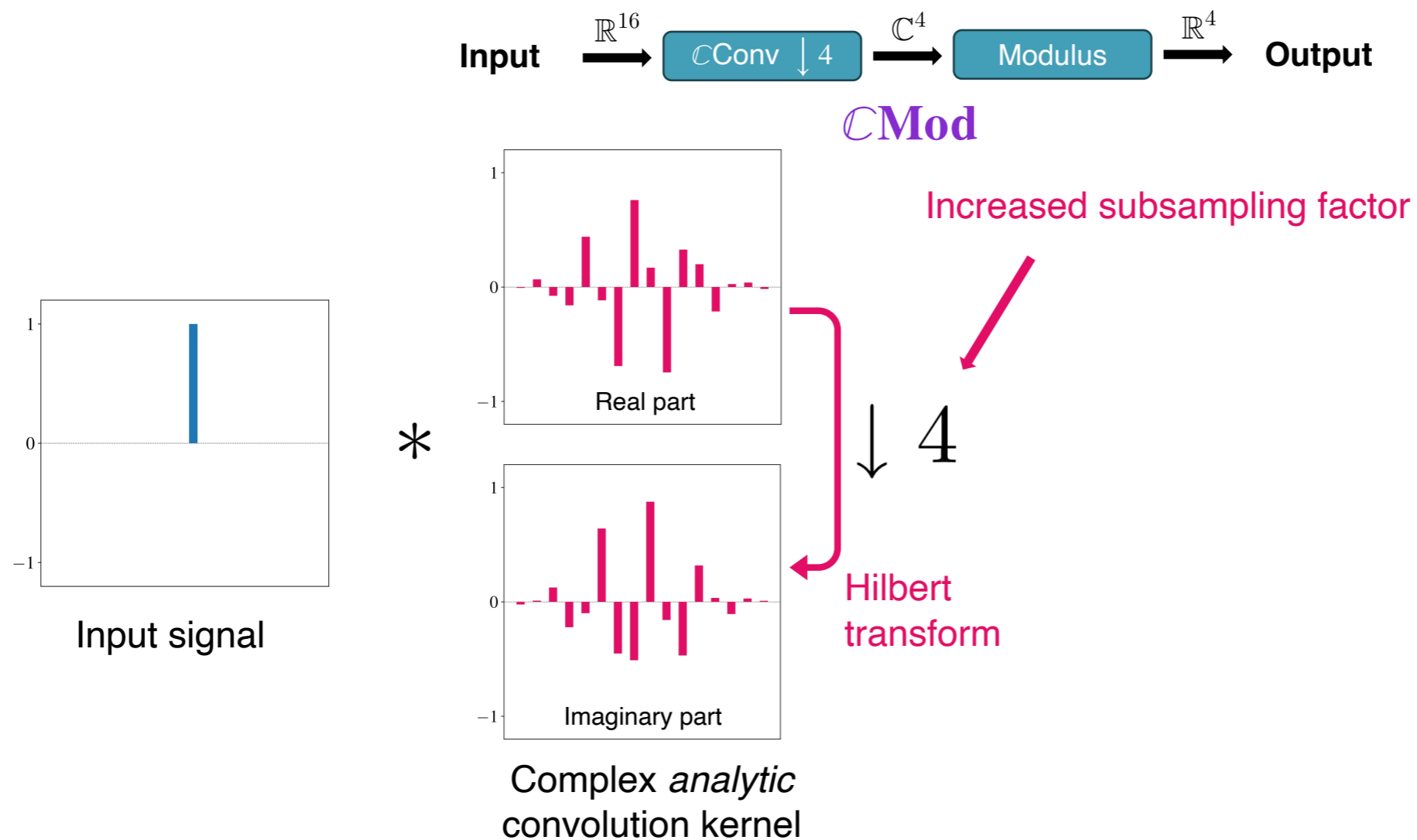
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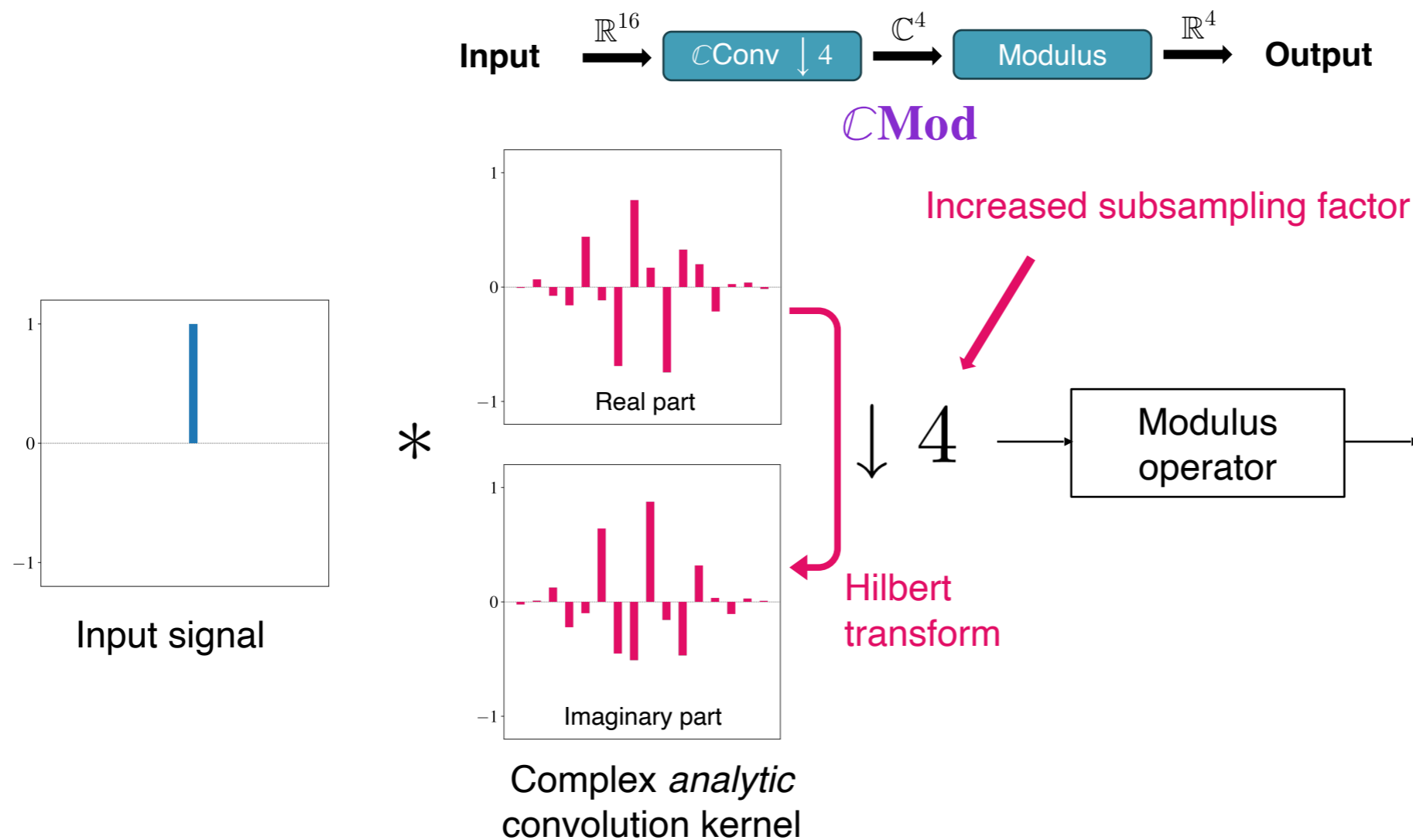




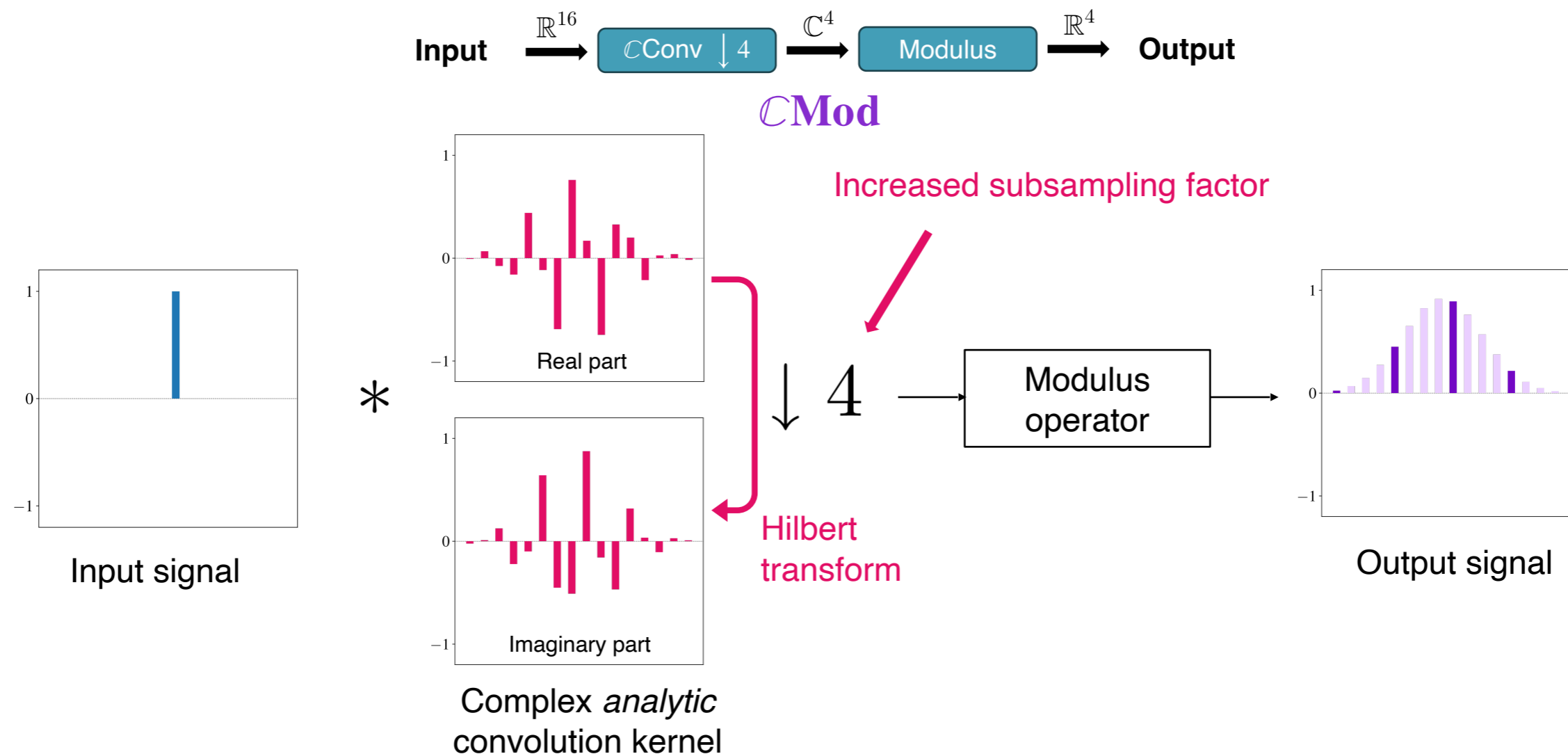
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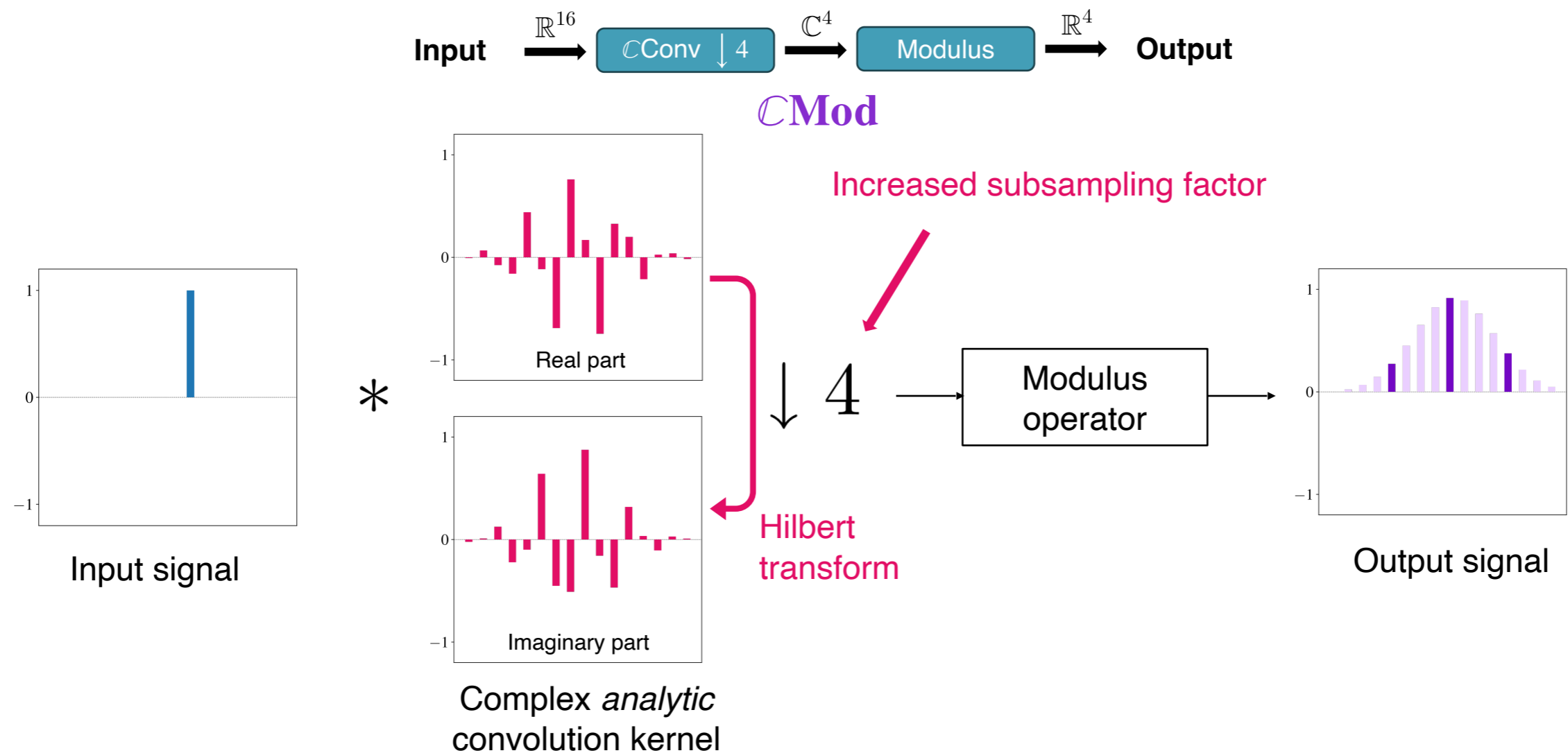
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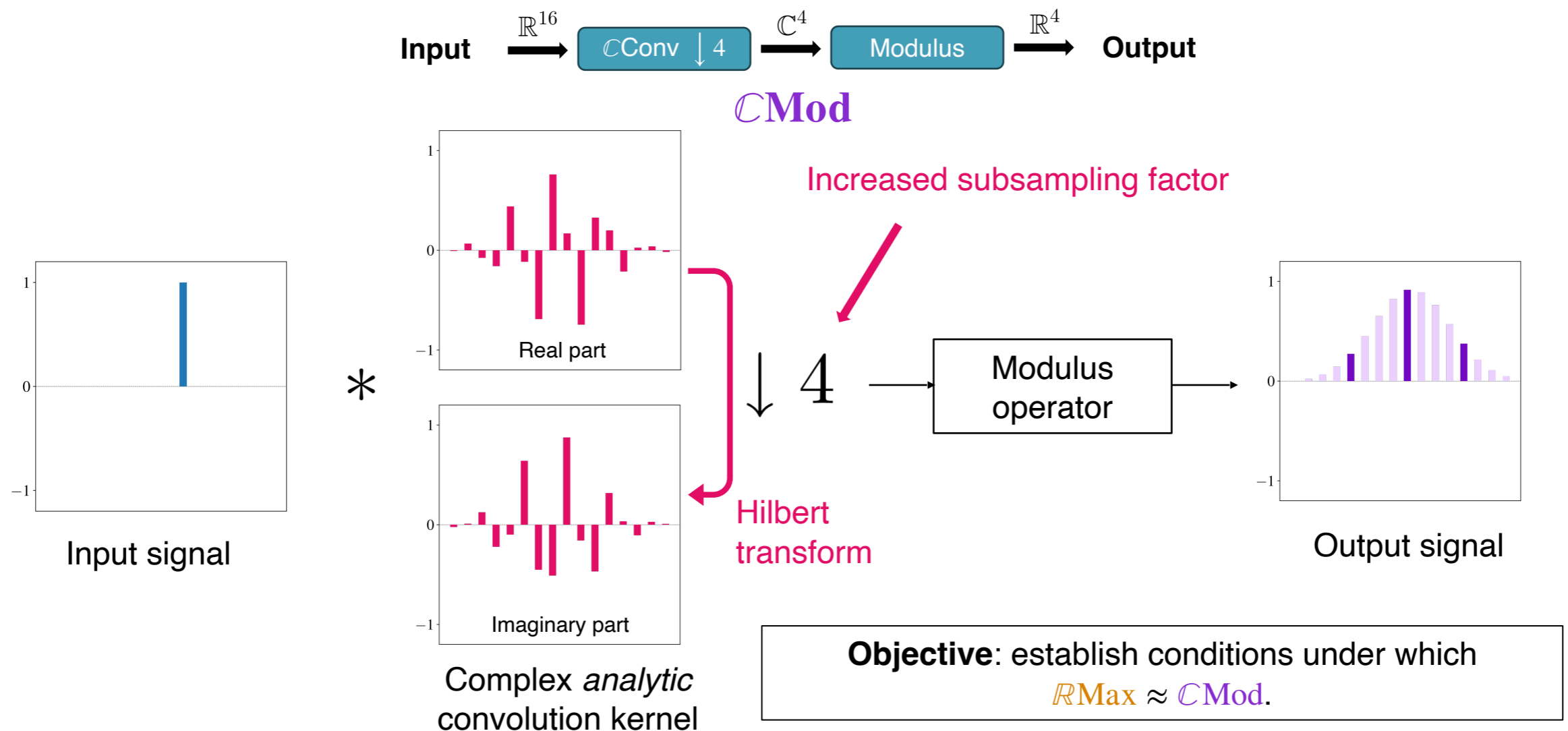
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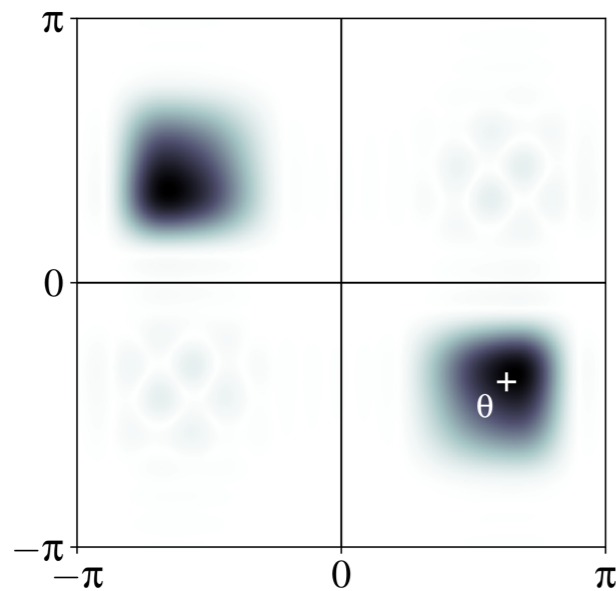
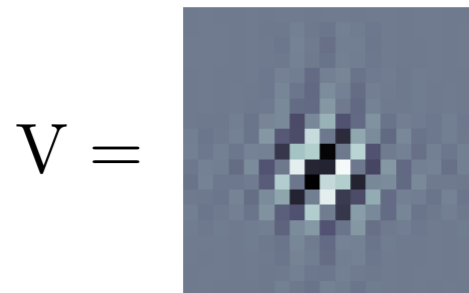


# Fundamental hypothesis on filter

- Band-pass, oriented and **analytic** *Gabor-like* filters  $W$

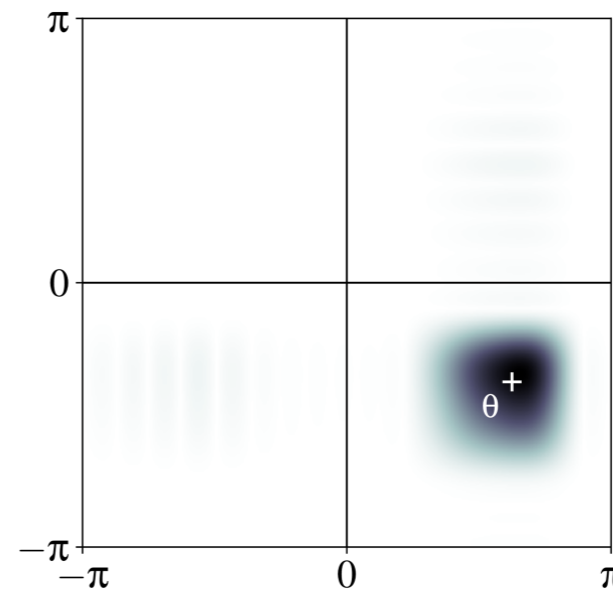
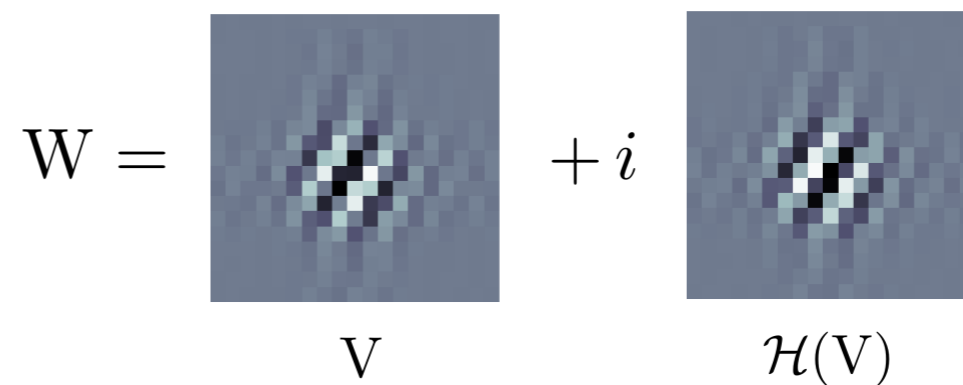
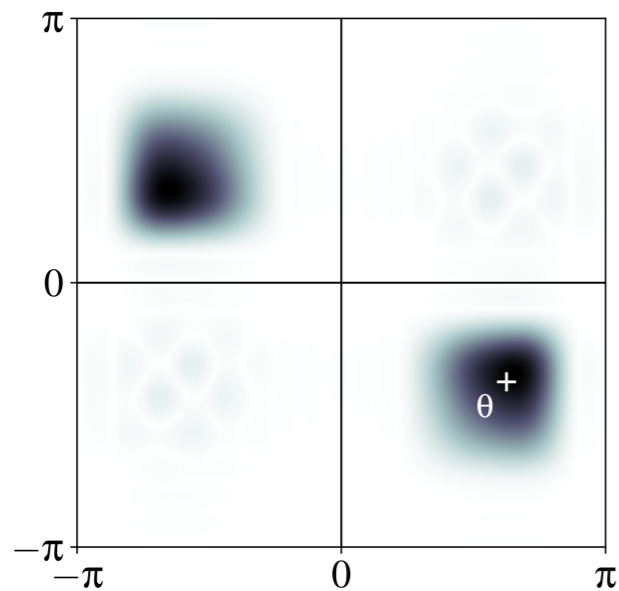
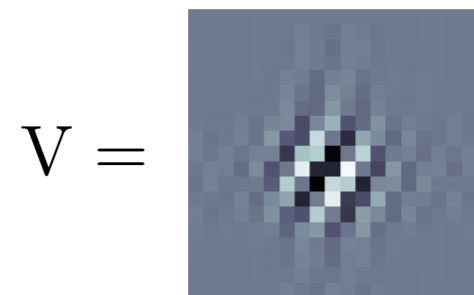
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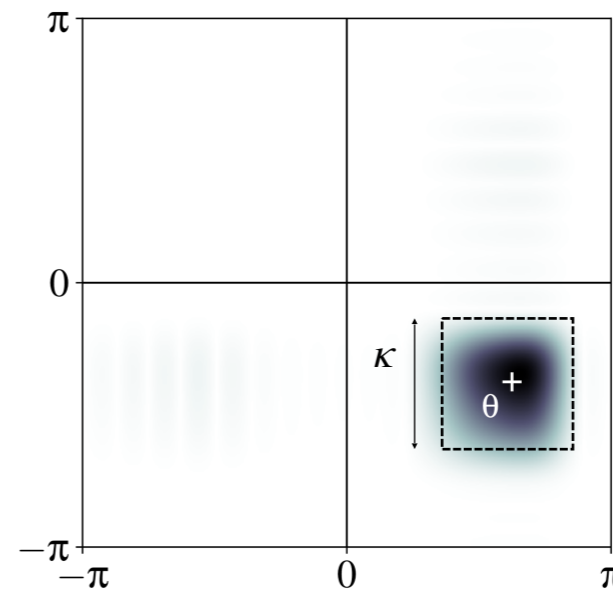
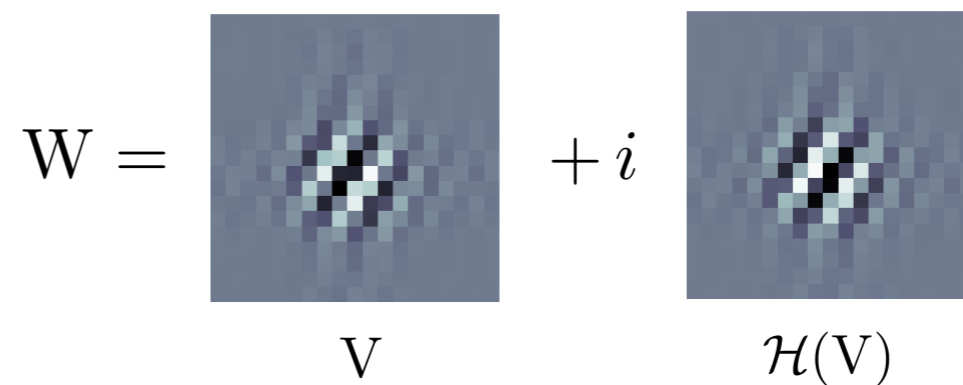
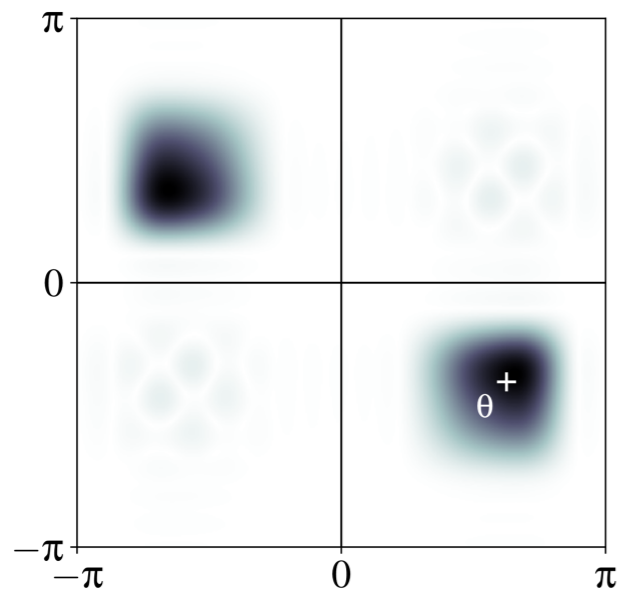
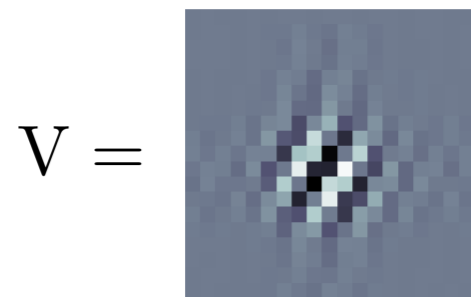
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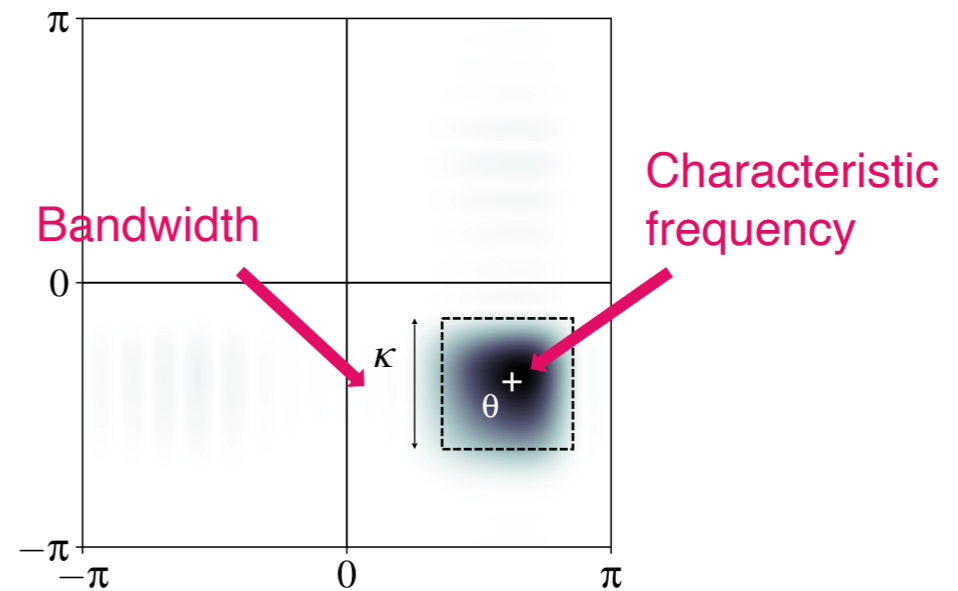
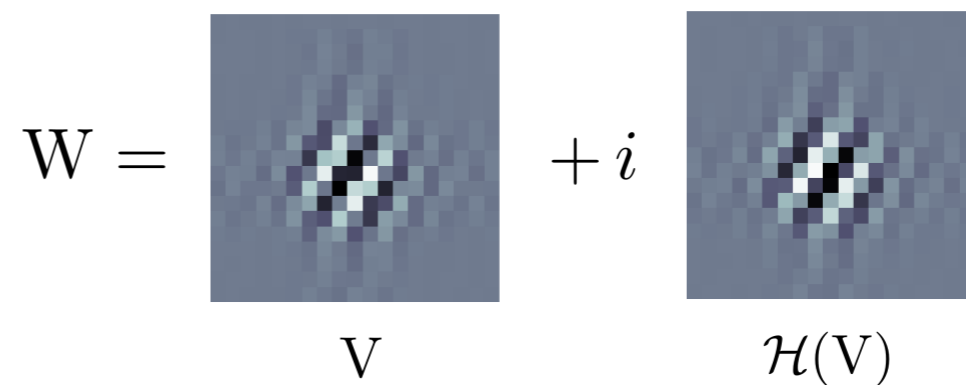
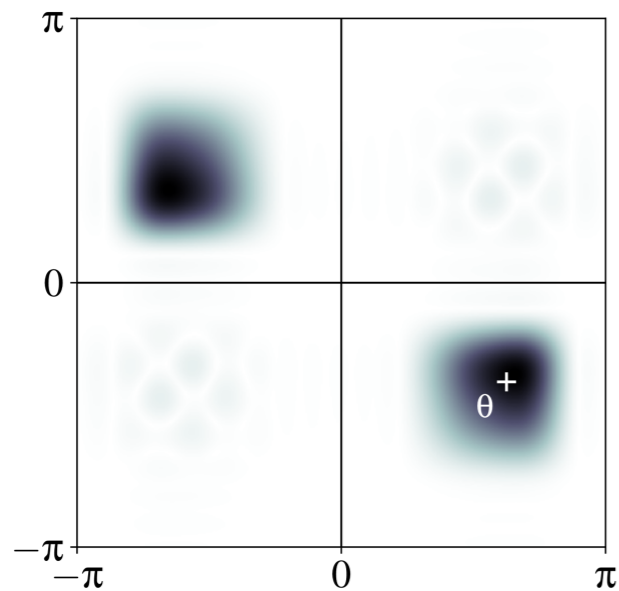
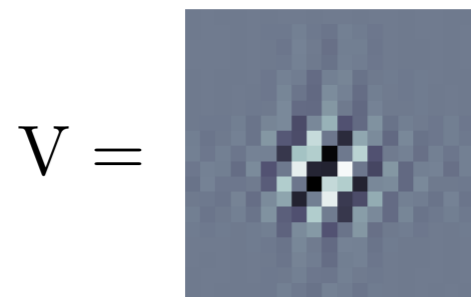
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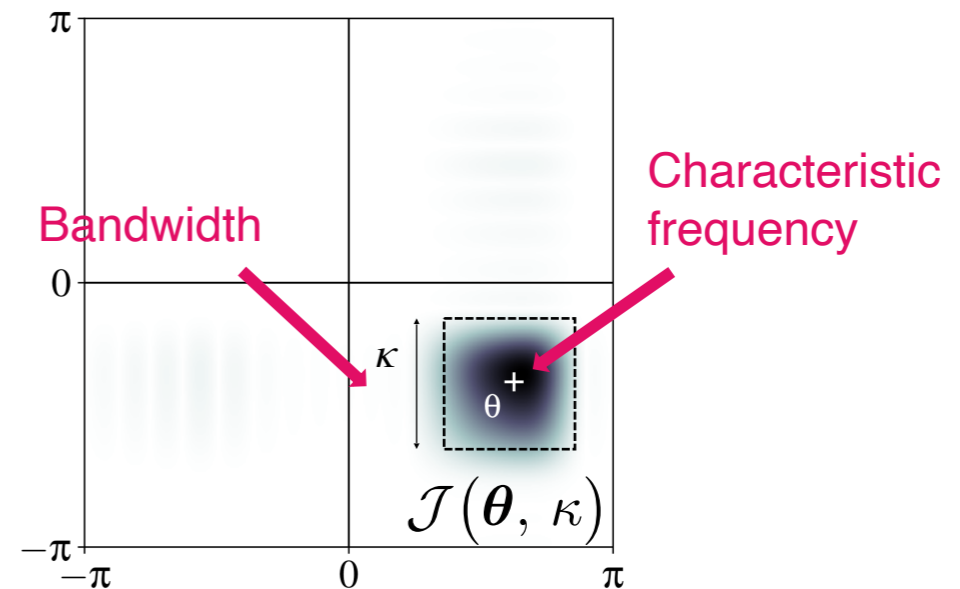
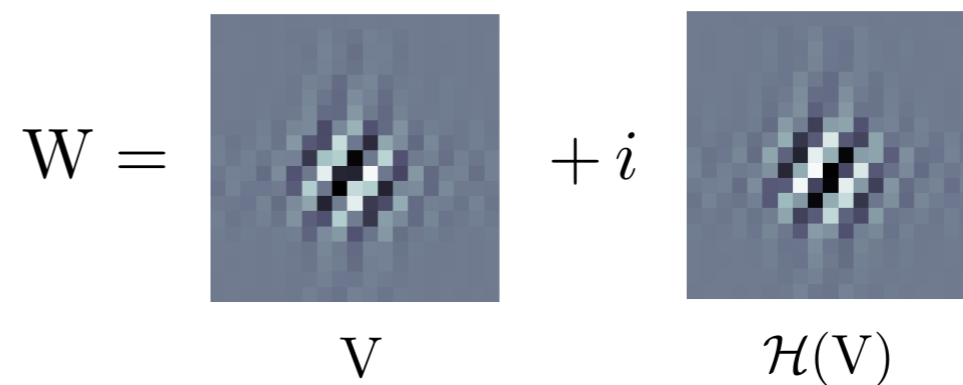
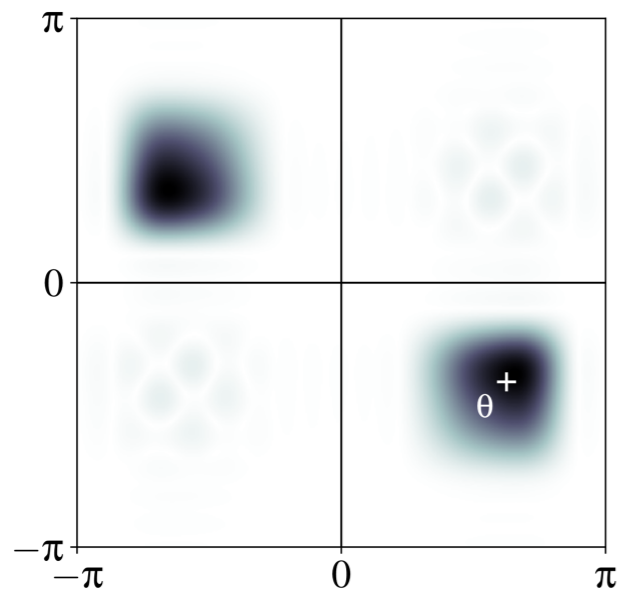
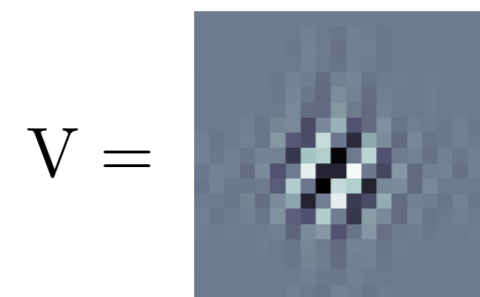
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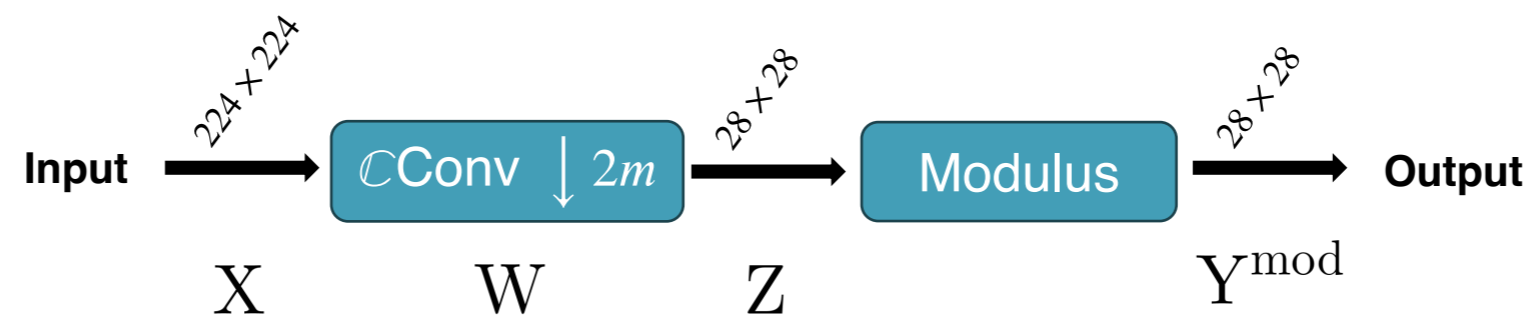
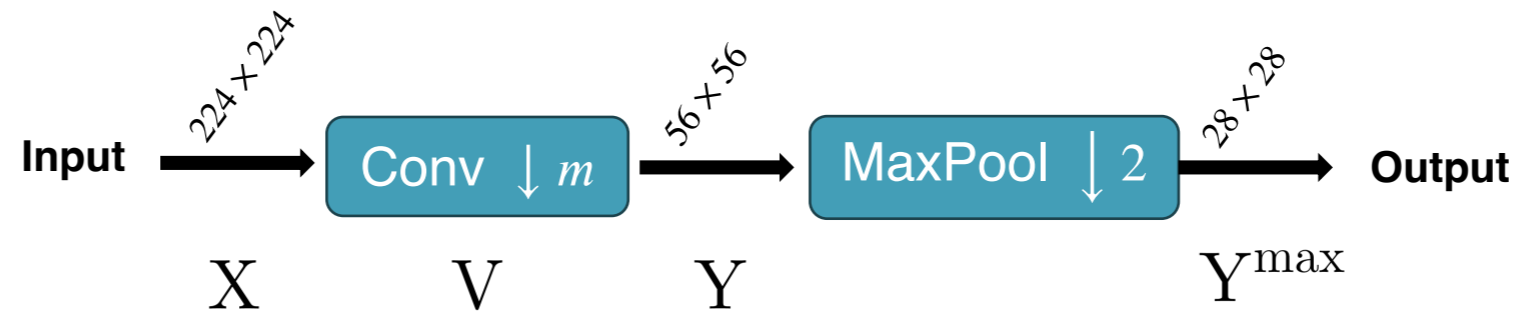


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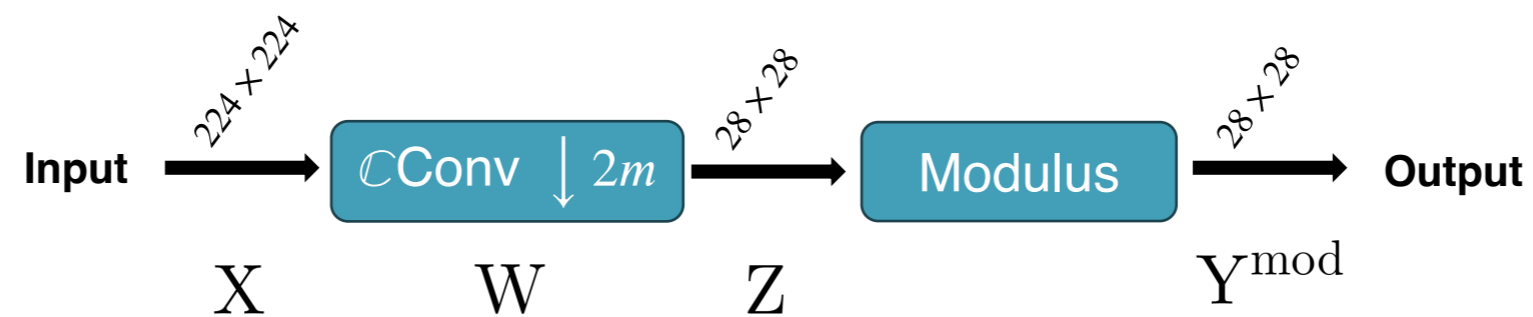
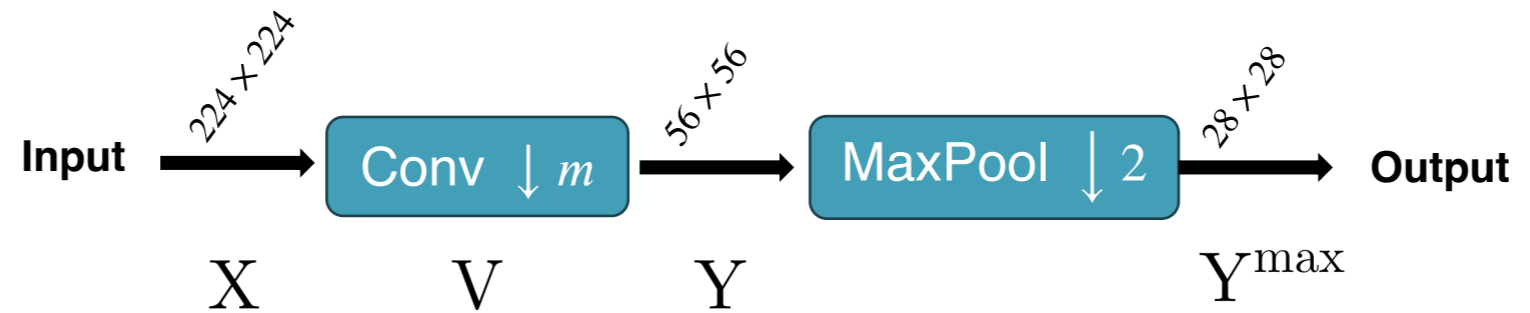


# Two operators to compare



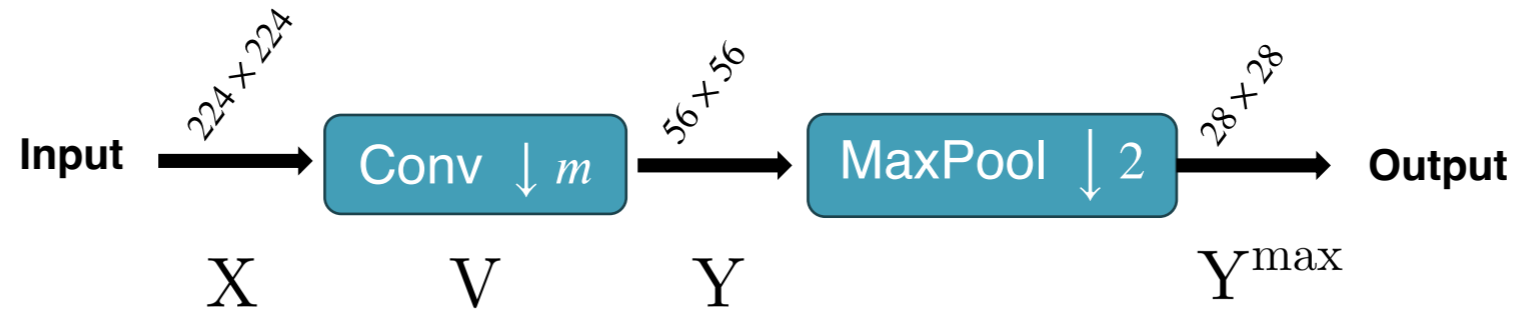
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*R*Max

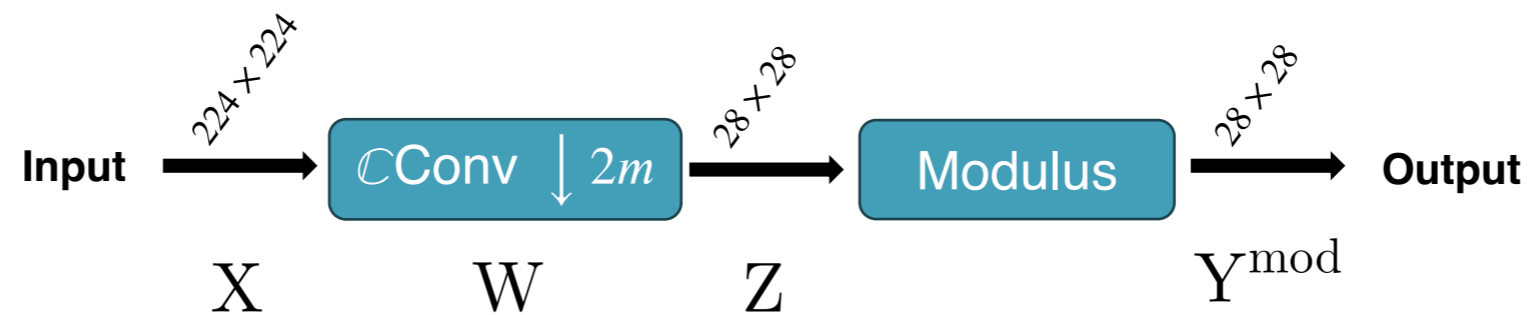


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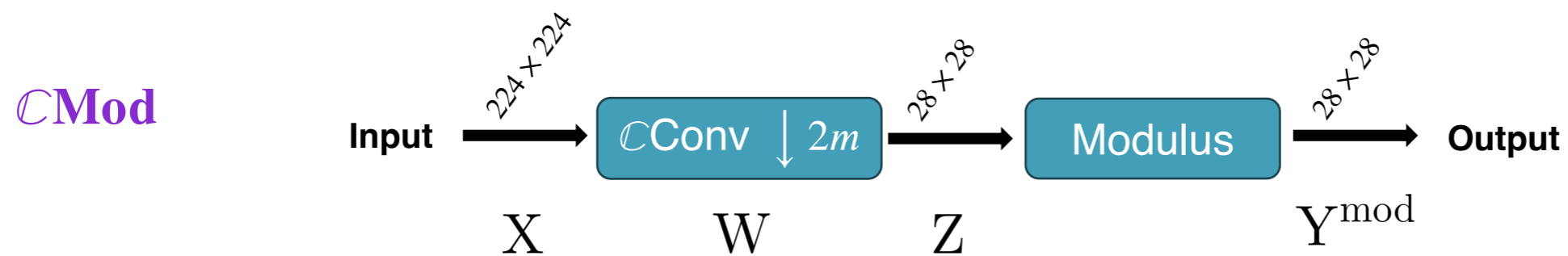
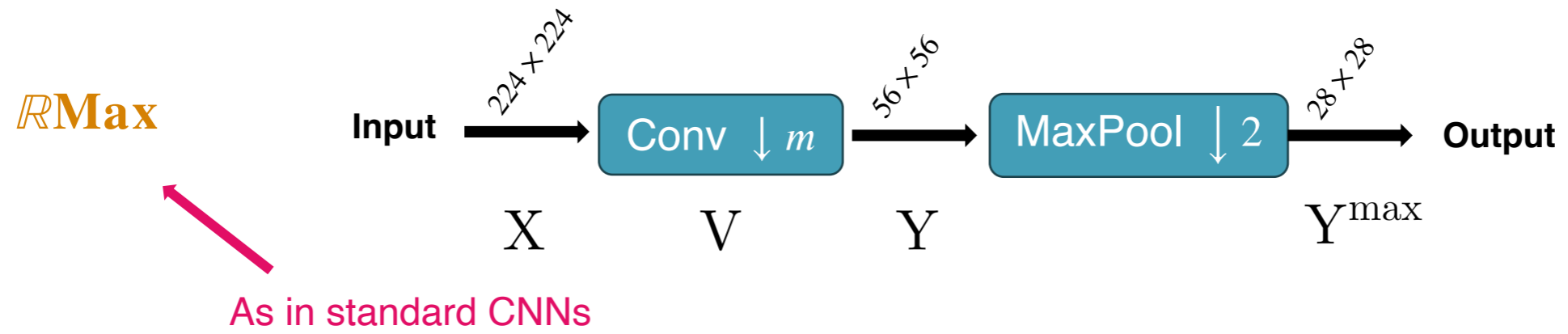
$\mathbb{R}$ Max



$\mathbb{C}$ Mod

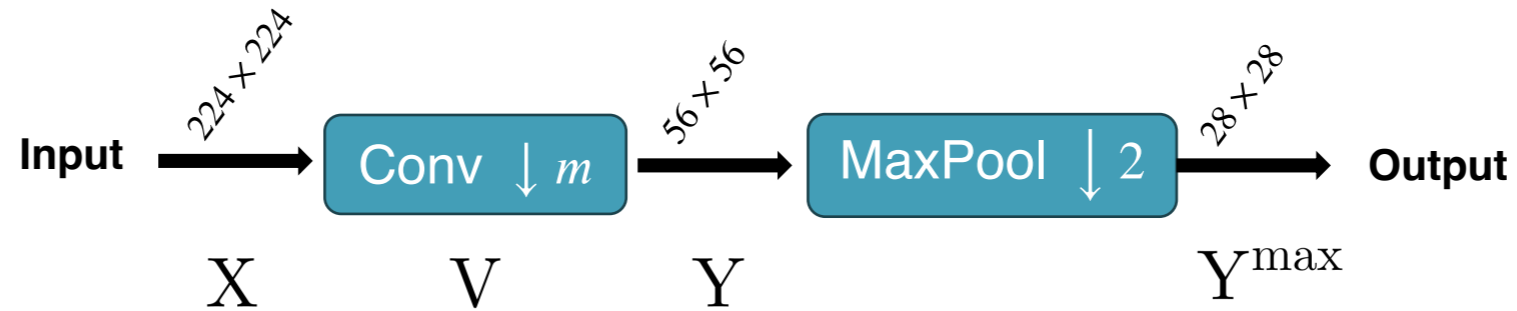


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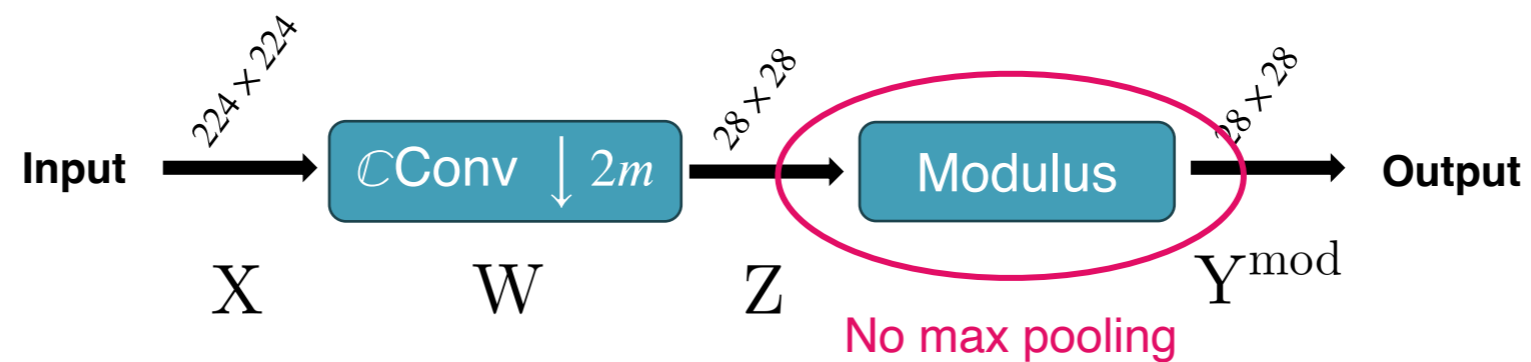


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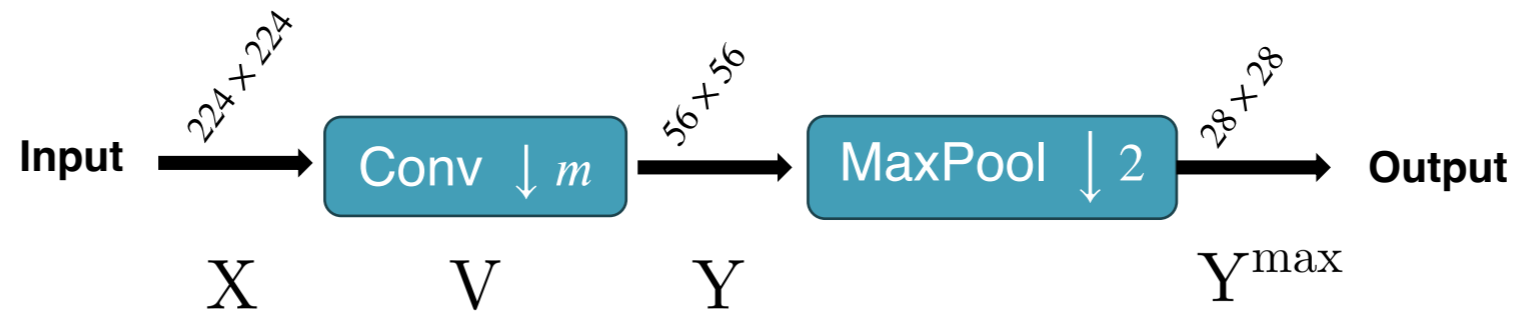
$\mathbb{C}$ Mod



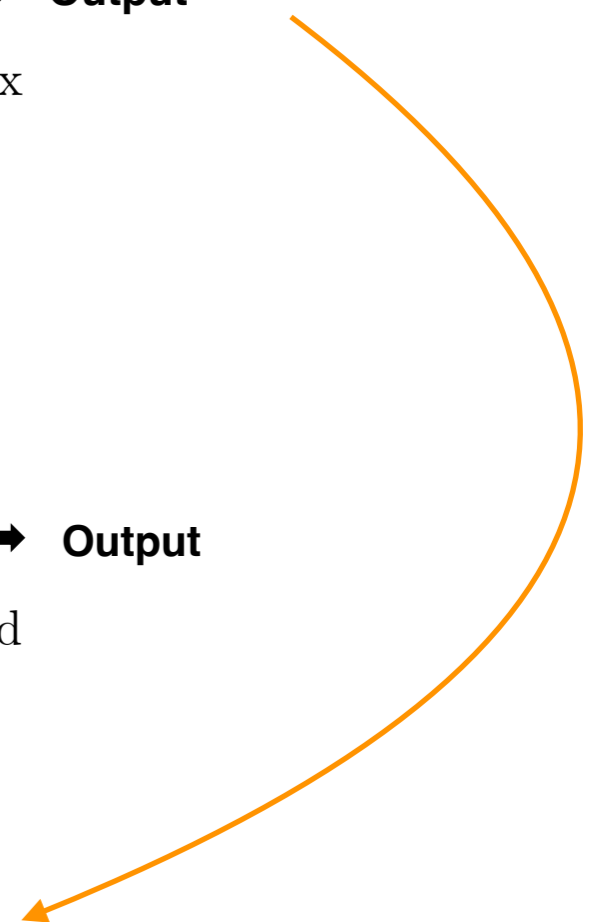
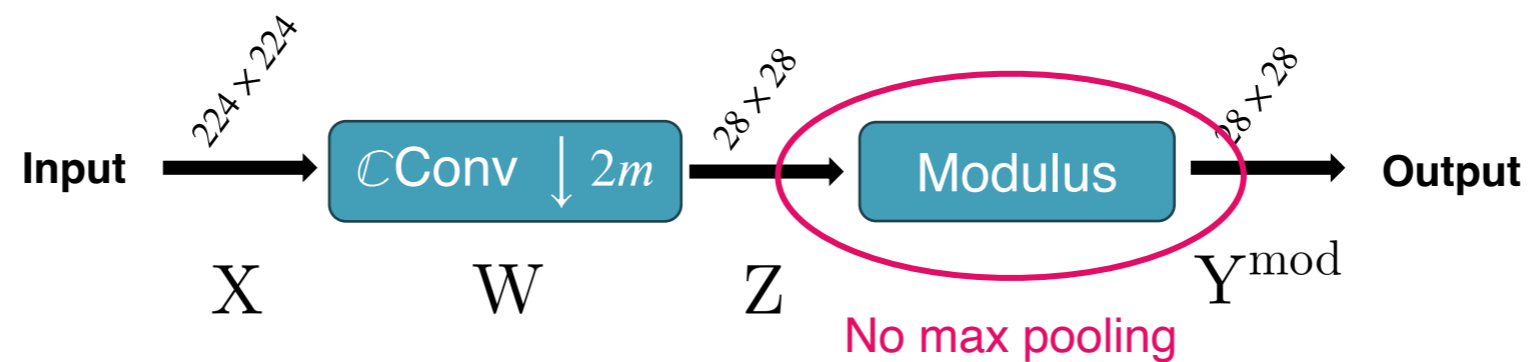


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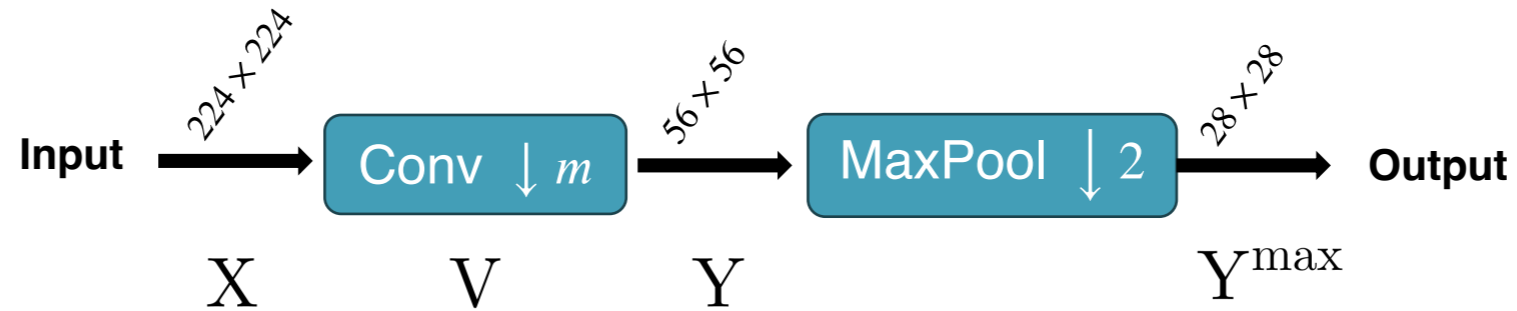


$\mathcal{C}Mod$

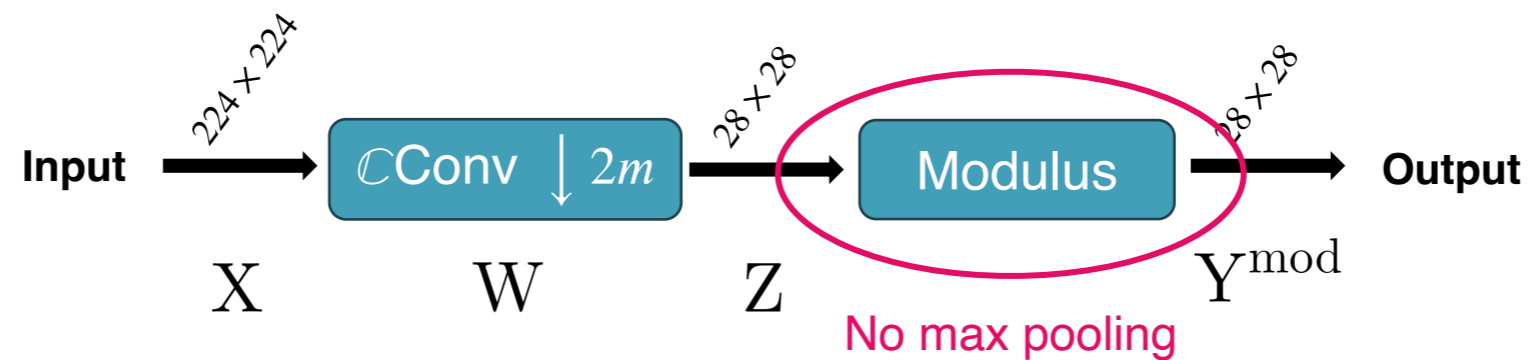


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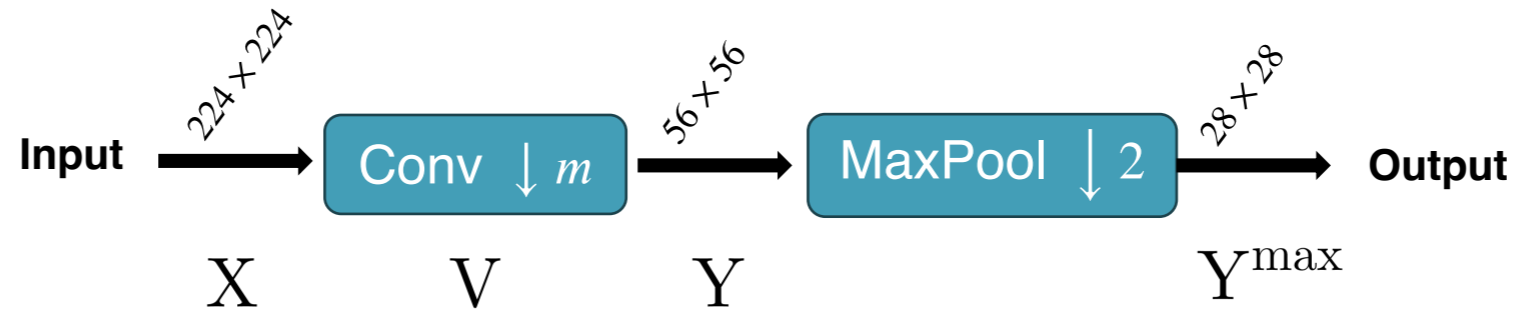
$\mathbb{C}\text{Mod}$



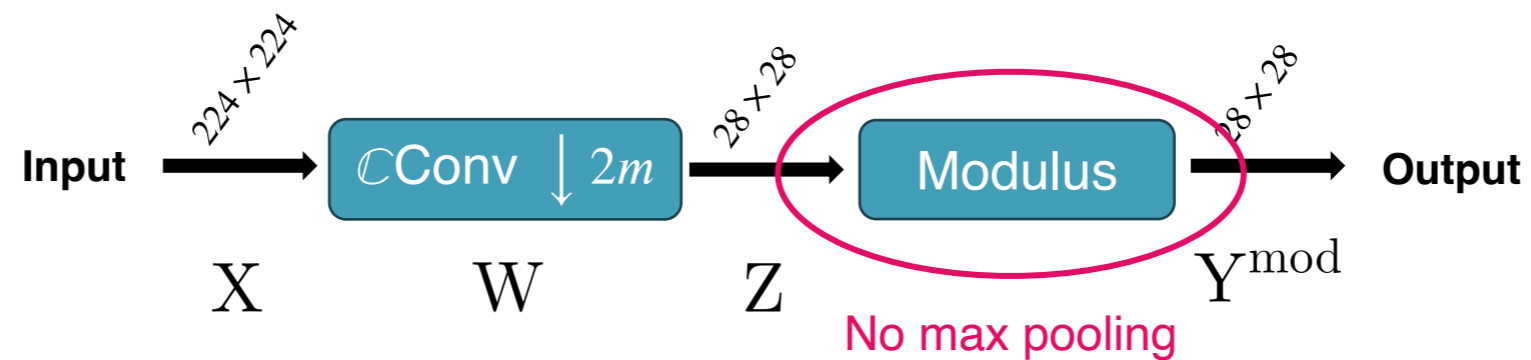
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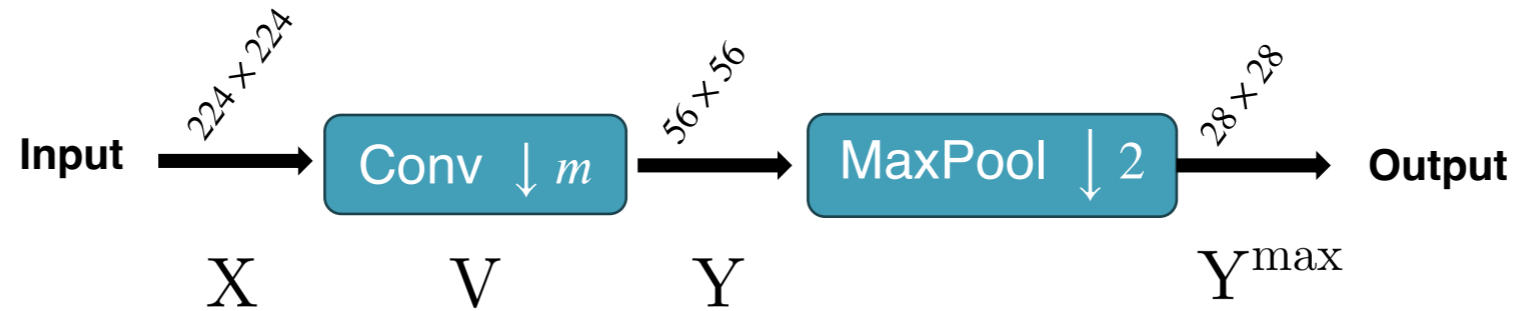
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$$(X * \overline{V})[\mathbf{n}] := \sum_{\mathbf{p} \in \mathbb{Z}^2} X[\mathbf{p}] \overline{V}[\mathbf{n} - \mathbf{p}] \quad \overline{V}[\mathbf{n}] := V[-\mathbf{n}]$$

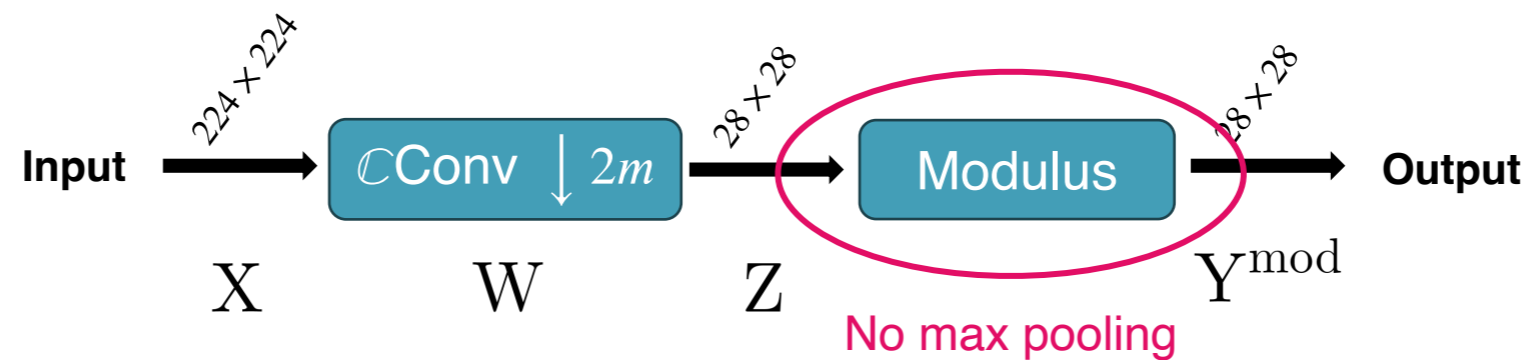
$$\text{MaxPool}_q(Y)[\mathbf{n}] := \max_{\|\mathbf{p}\|_{\infty} \leq q} Y[2\mathbf{n} + \mathbf{p}] \quad (Y \downarrow m)[\mathbf{n}] := Y[m\mathbf{n}]$$

# Two operators to compare

$\mathbb{R}\text{Max}$



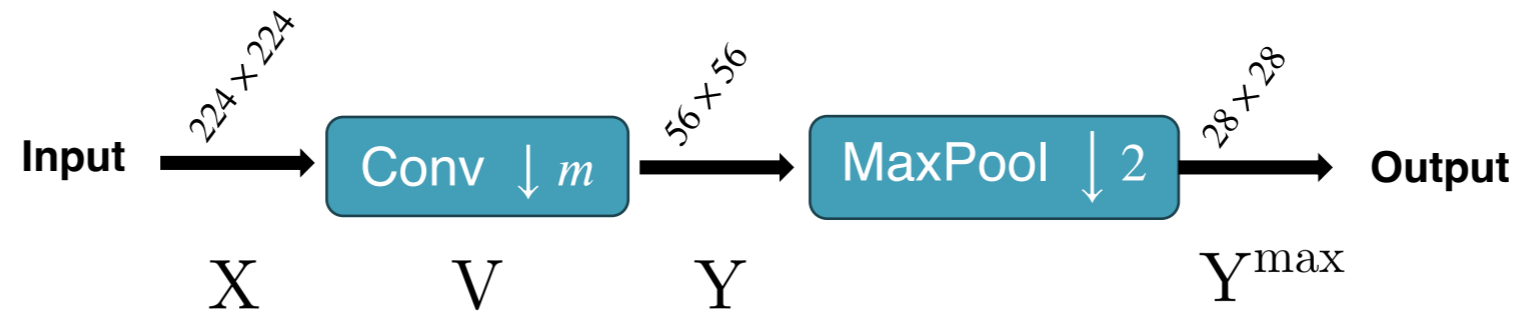
$\mathbb{C}\text{Mod}$



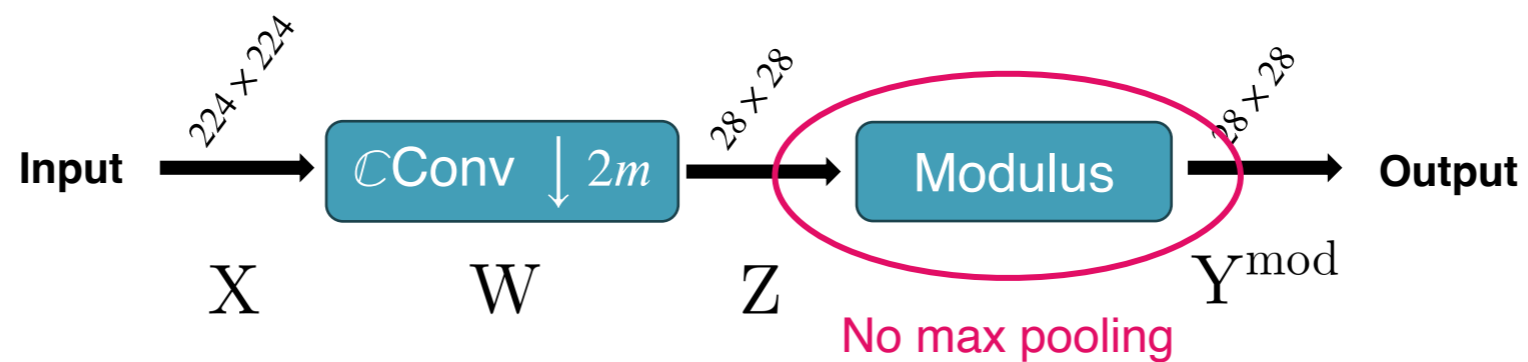
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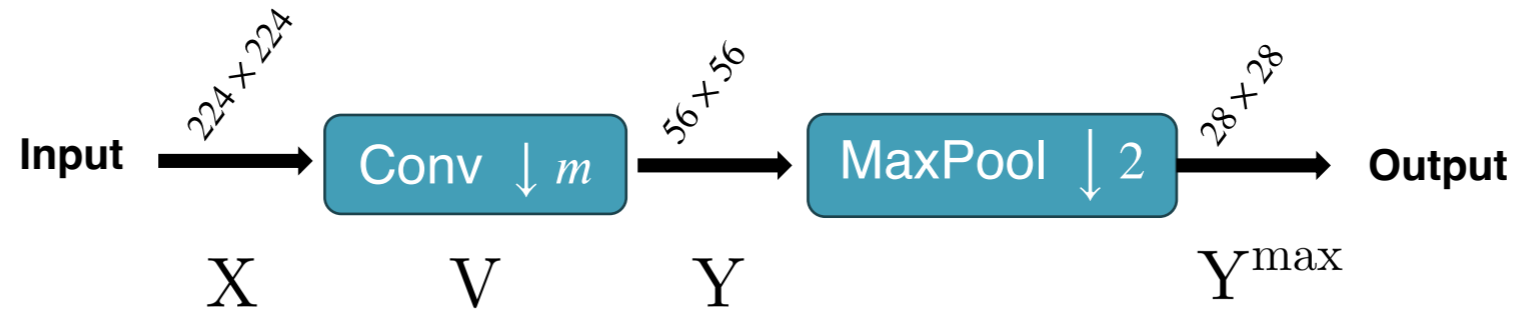
$\mathbb{C}\text{Mod}$



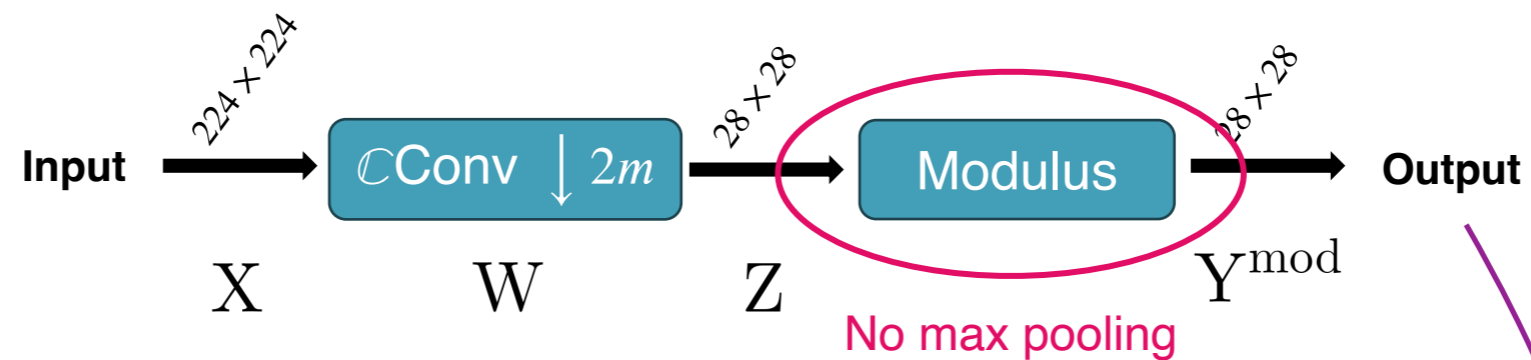
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■  $U_{m,q}^{\max} [W] : X \mapsto \text{MaxPool}_q \left( (X * \overline{\text{Re}W}) \downarrow m \right)$

■  $U_m^{\text{mod}} [W] : X \mapsto \left| (X * \overline{W}) \downarrow (2m) \right|$

# Roadmap

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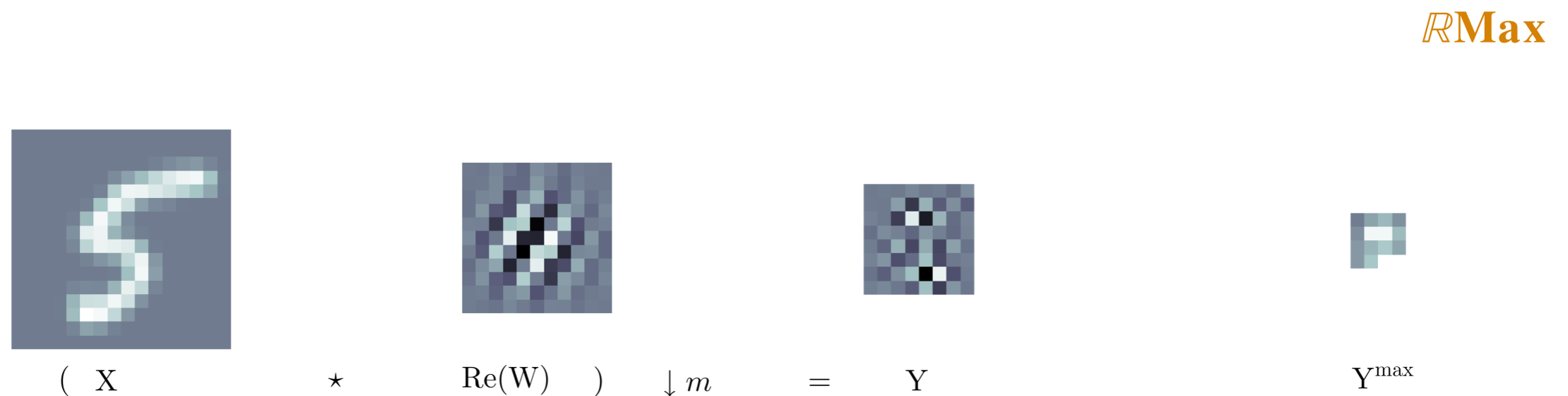
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- Experimental validation on a deterministic setting based on the **dual-tree** complex wavelet packet transform (DT-CWPT)

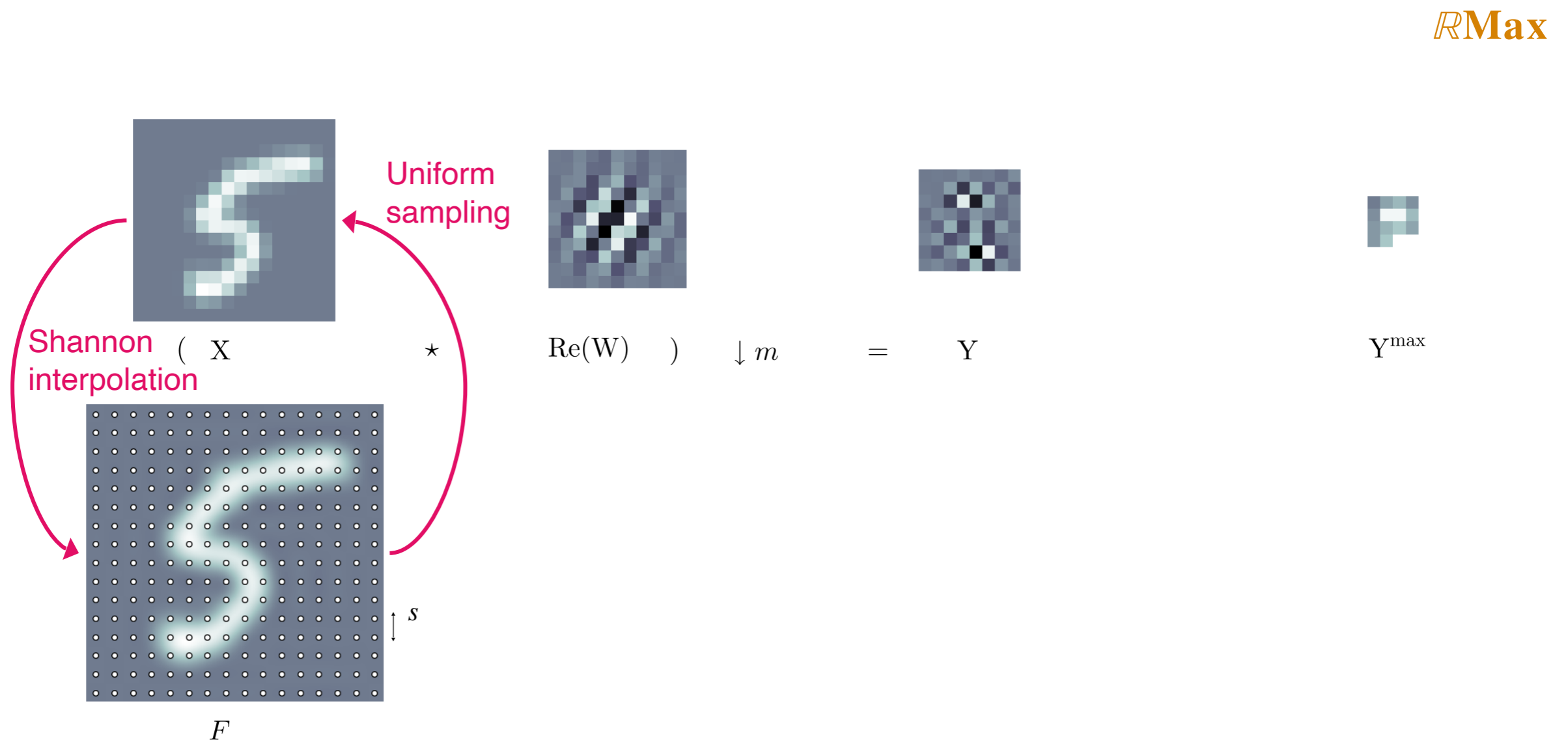
# Detour via the continuous framework

- Using the **Shannon-Whittaker sampling theorem**



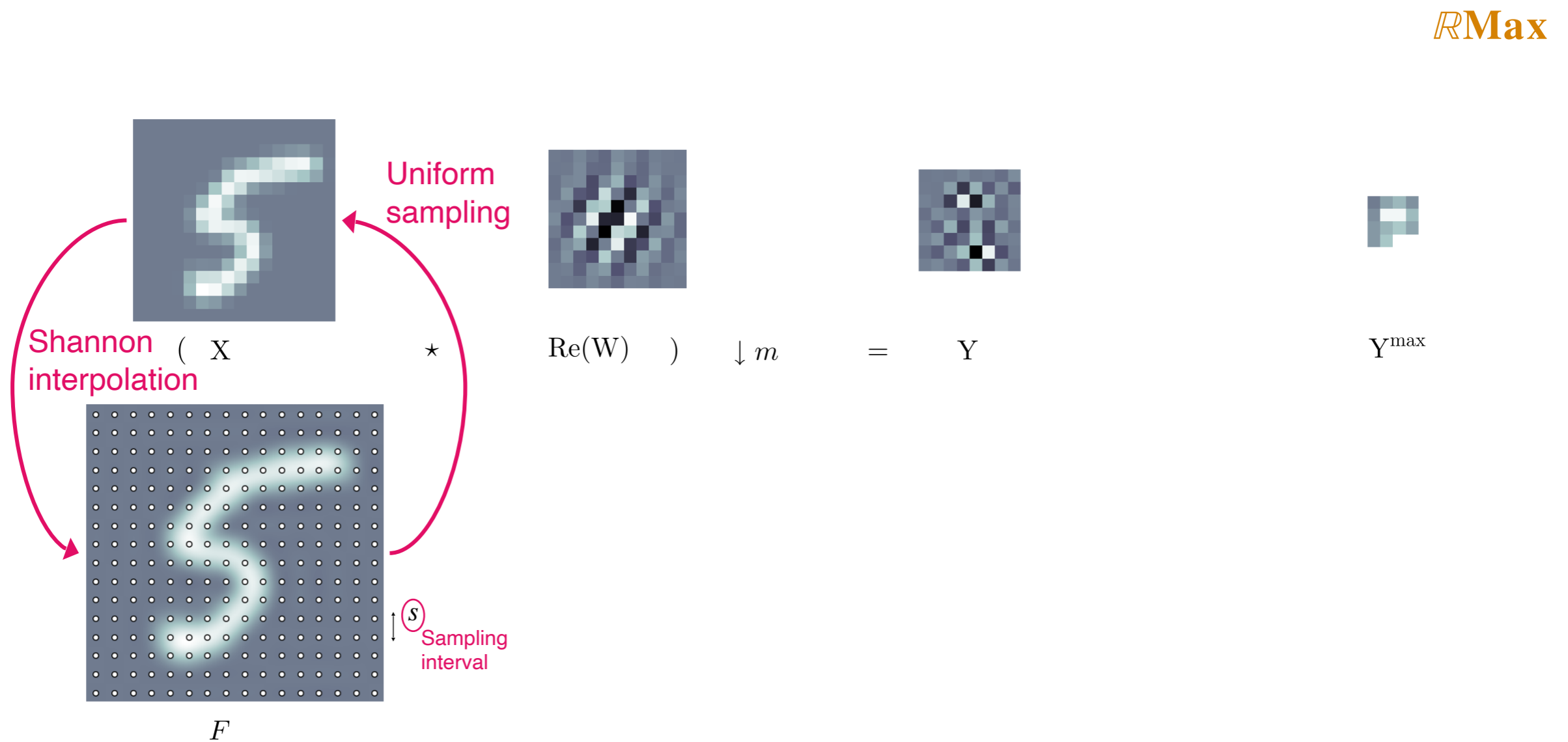
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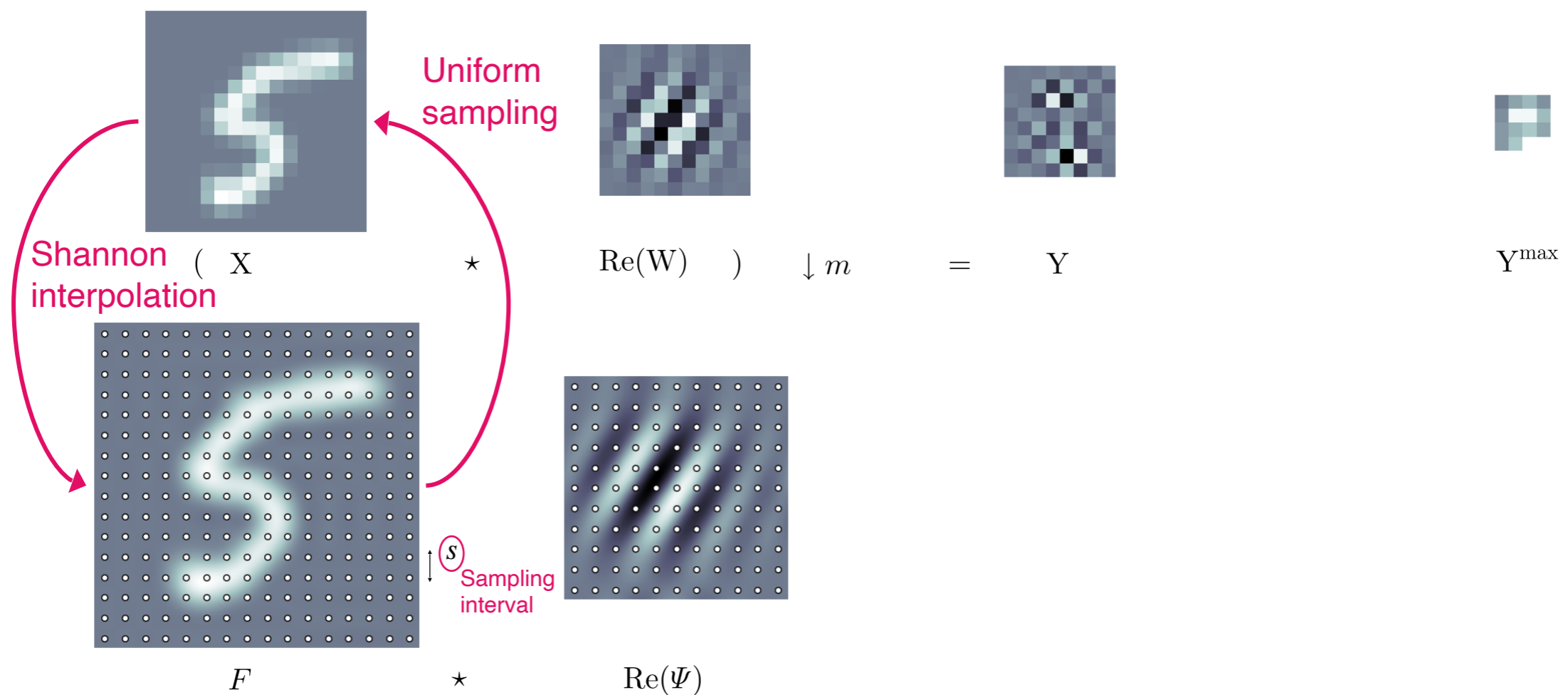
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$\mathbb{R}Max$

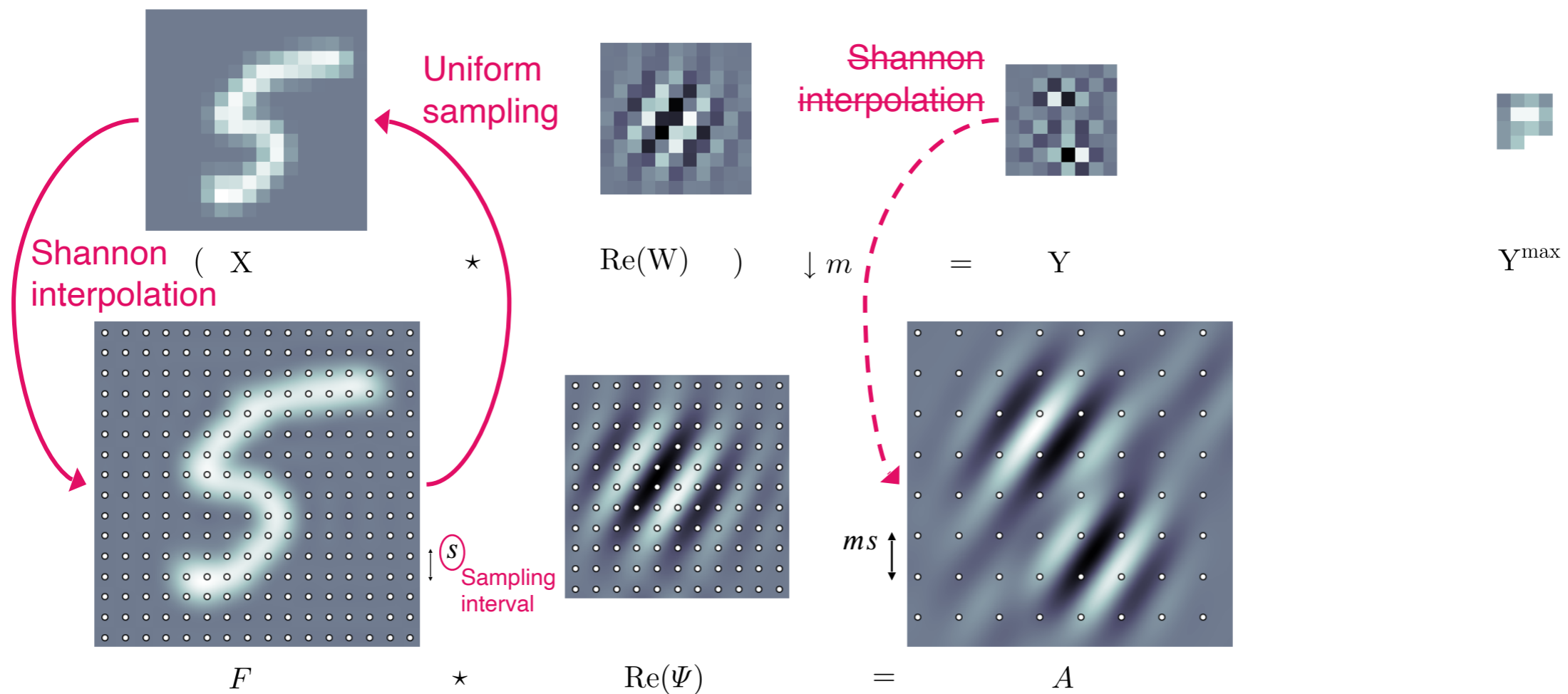




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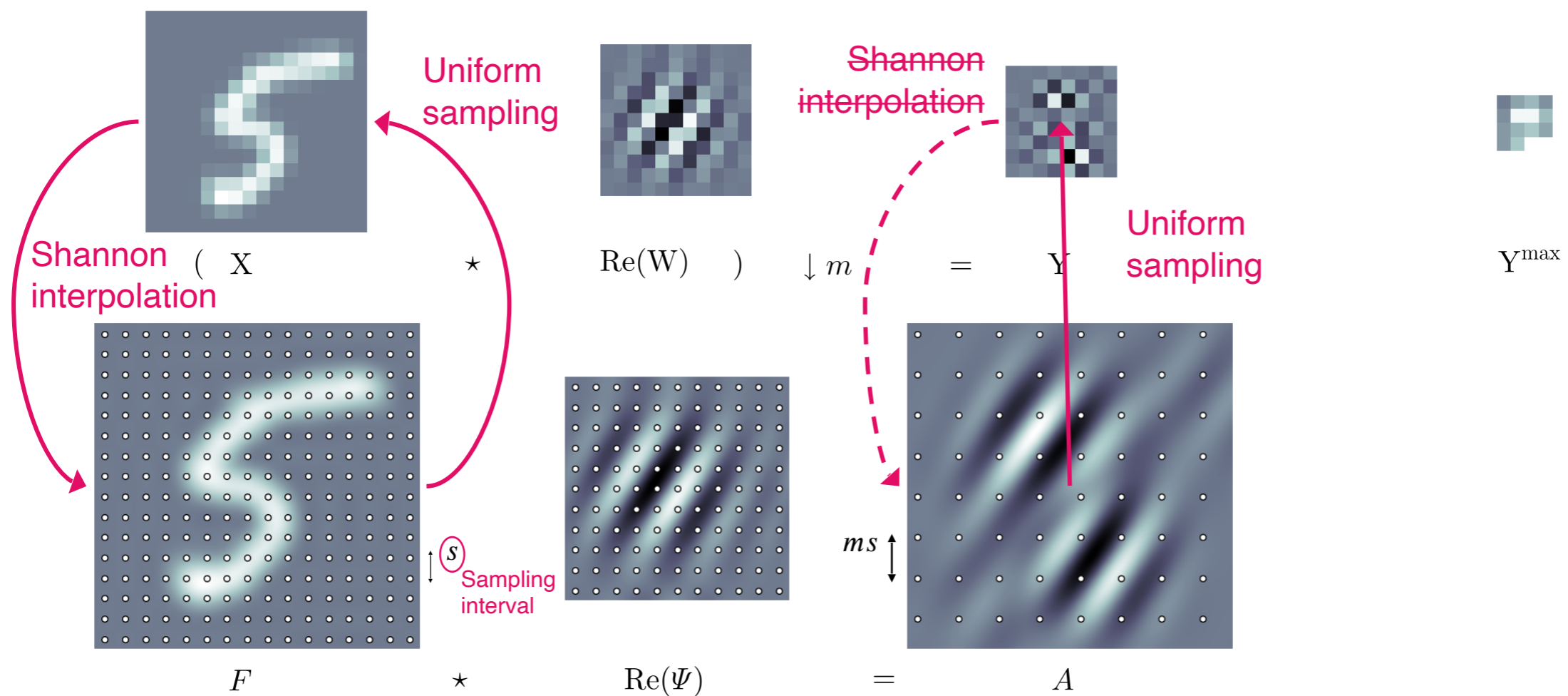
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- Using the **Shannon-Whittaker sampling theorem**

*R*Max

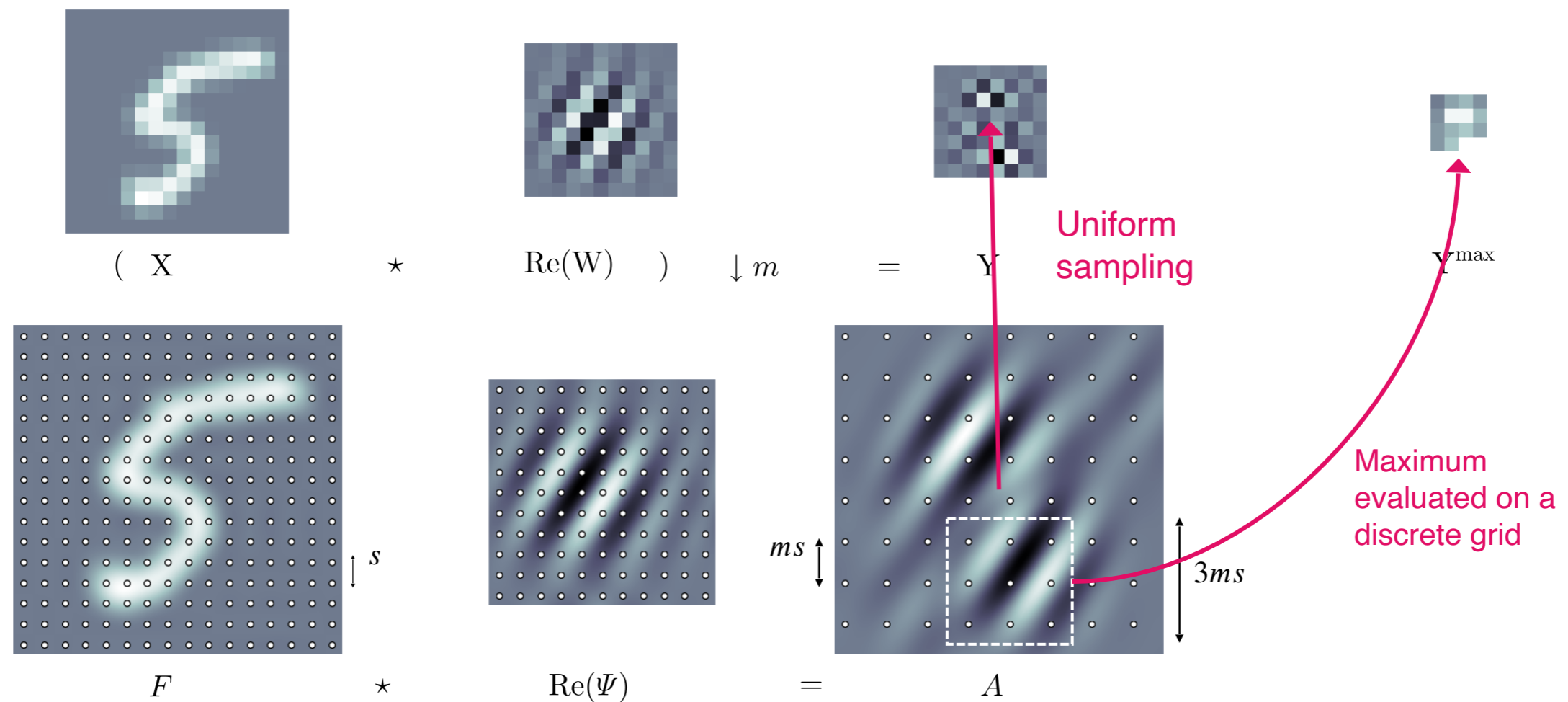


# Detour via the continuous framework

- Using the **Shannon-Whittaker sampling theorem**

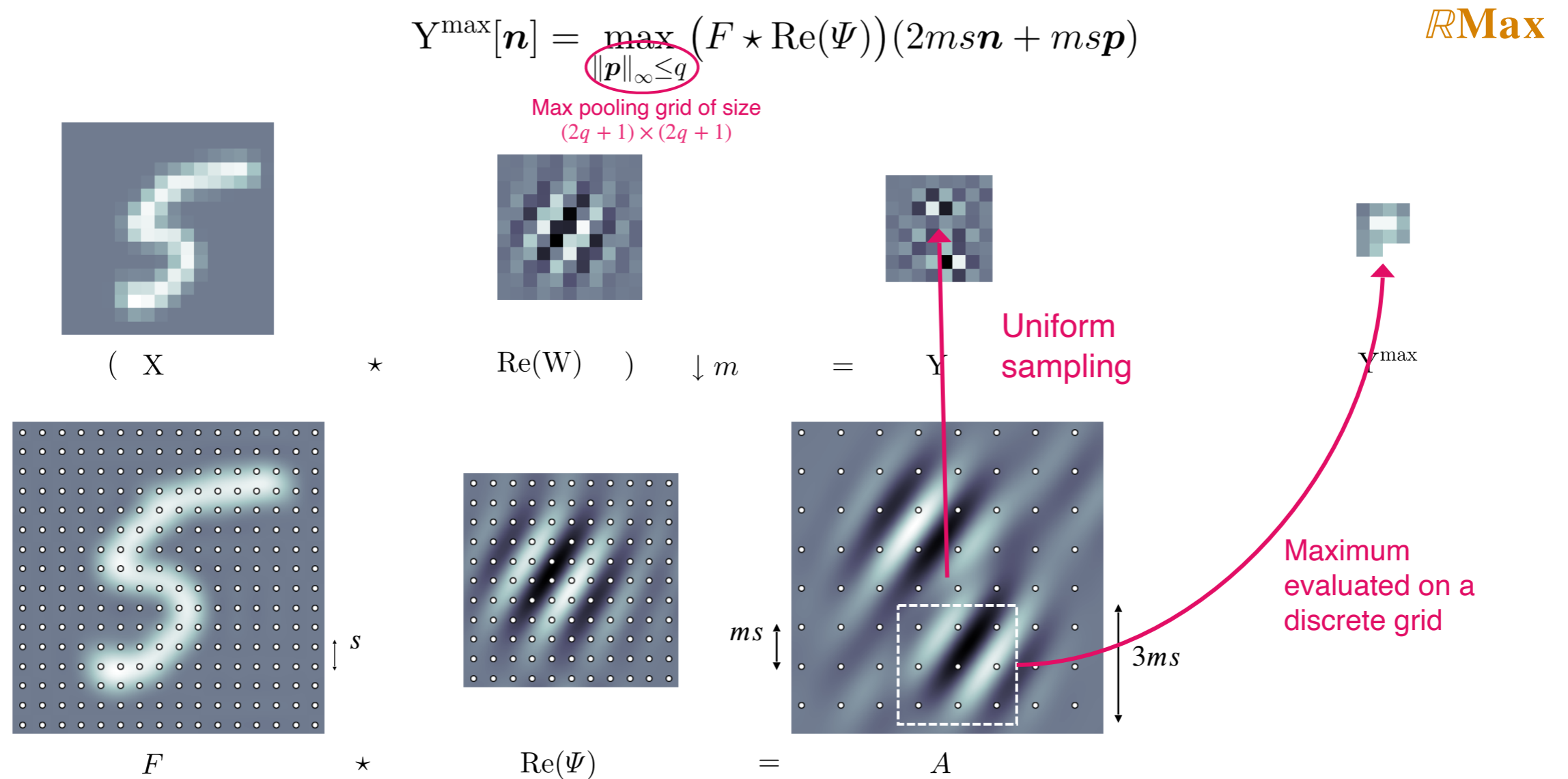
$$Y^{\max}[\mathbf{n}] = \max_{\|p\|_{\infty} \leq q} (F \star \text{Re}(\Psi))(2ms\mathbf{n} + msp)$$

**RMax**



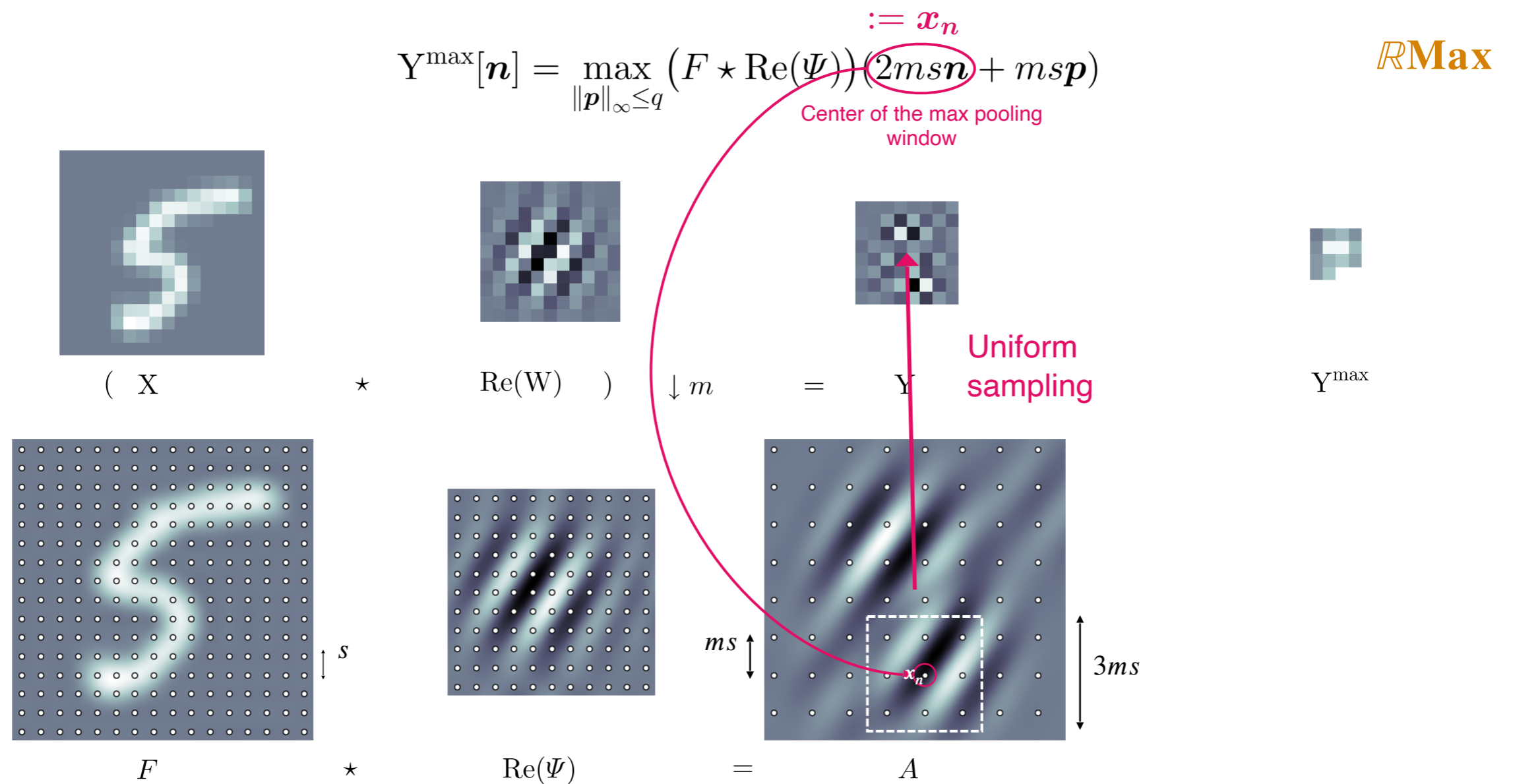
# Detour via the continuous framework

- Using the **Shannon-Whittaker sampling theorem**



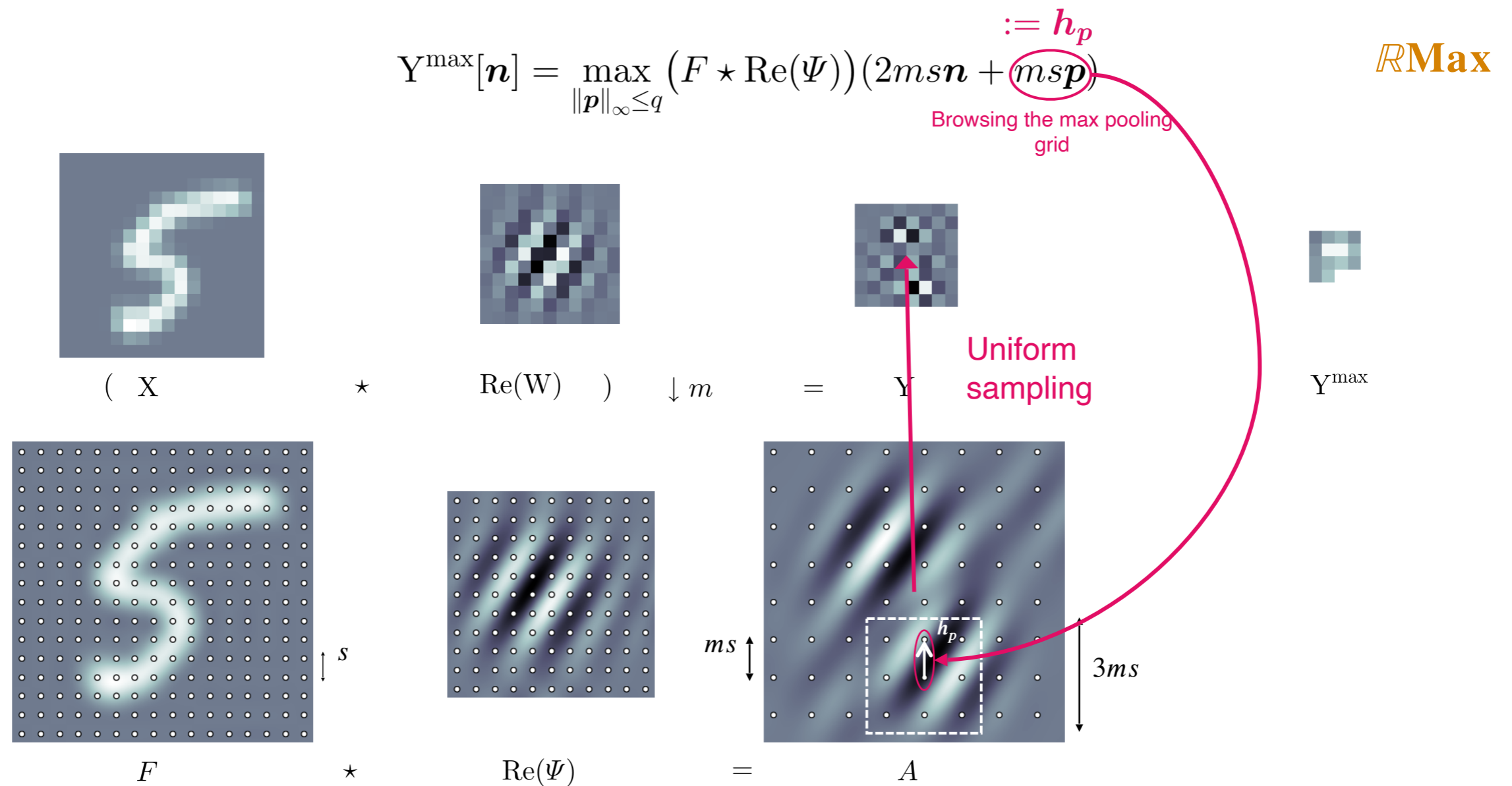
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- Using the **Shannon-Whittaker sampling theorem**



# Detour via the continuous framework

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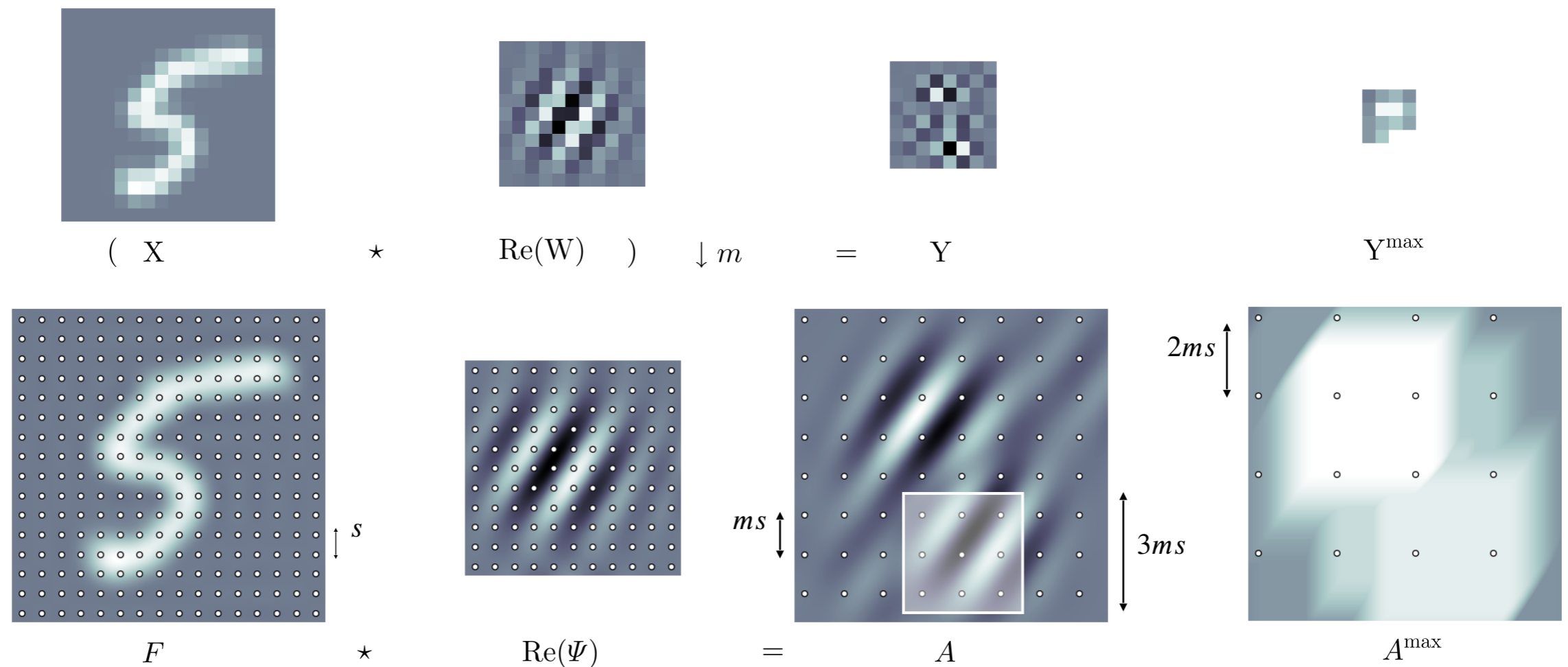


# Detour via the continuous framework

- What if we search for the maximum **continuously** in the window?

$$Y_0^{\max}[\mathbf{n}] = \max_{\|\mathbf{h}\|_{\infty} \leq \frac{3ms}{2}} (F \star \text{Re}(\Psi))(\mathbf{x}_n + \mathbf{h}) \approx Y^{\max}[\mathbf{n}]?$$

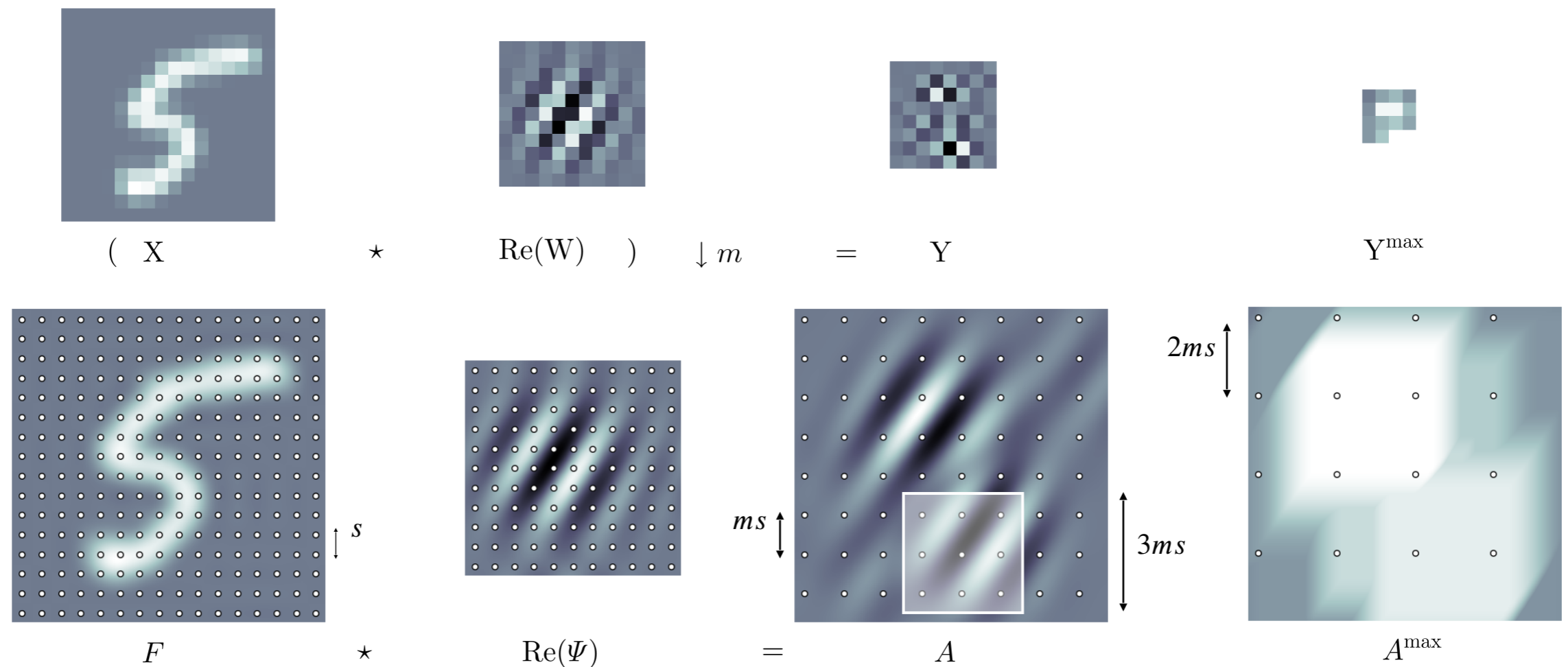
$\mathcal{R}\text{Max}_0$



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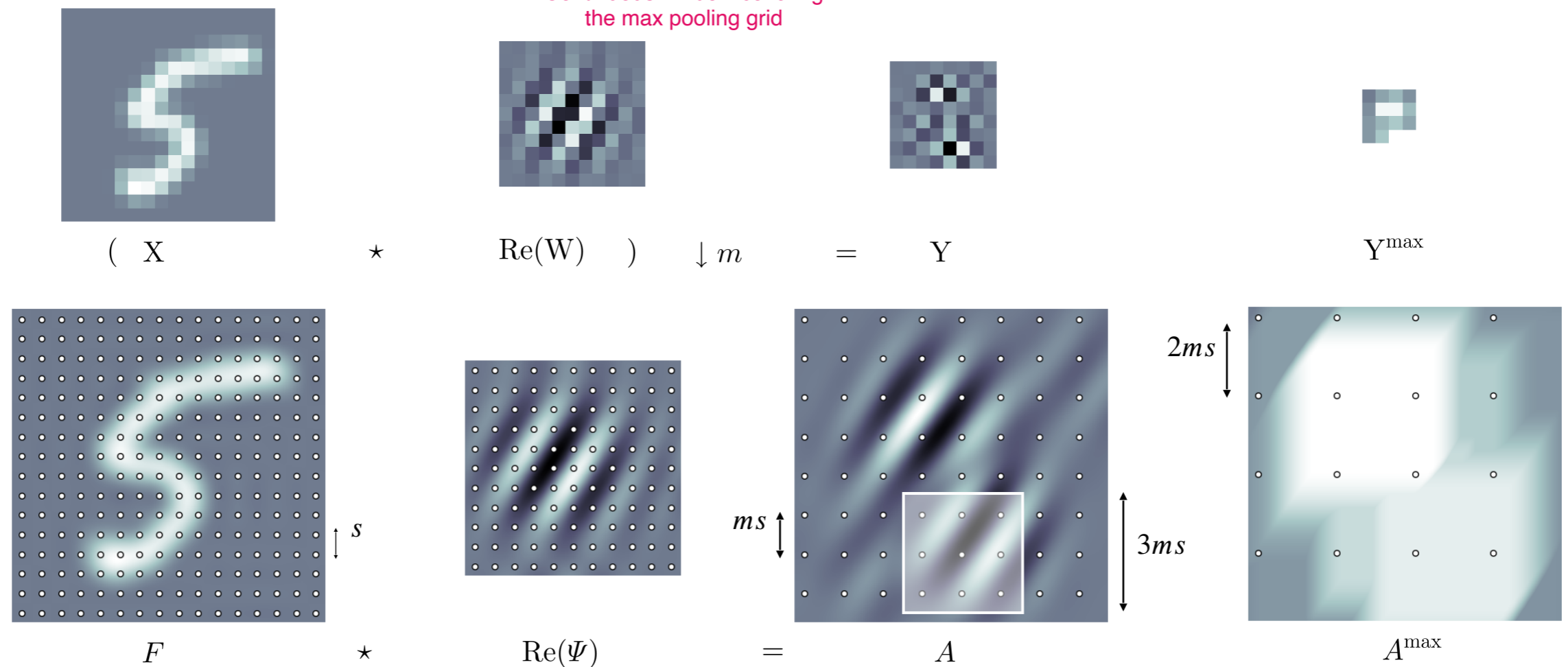
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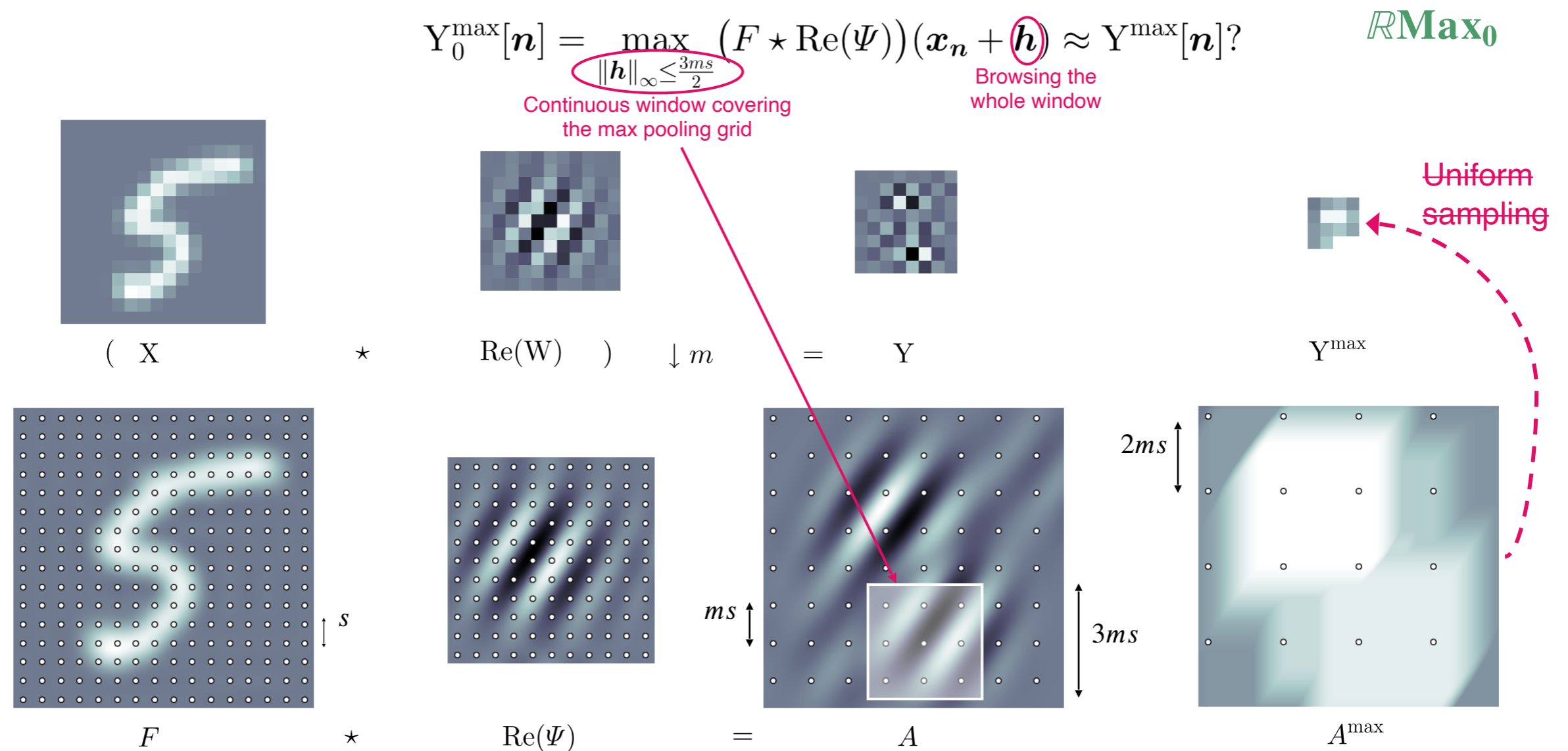
Continuous window covering the max pooling grid
Browsing the whole window

$\mathcal{R}\text{Max}_0$



# Detour via the continuous framework

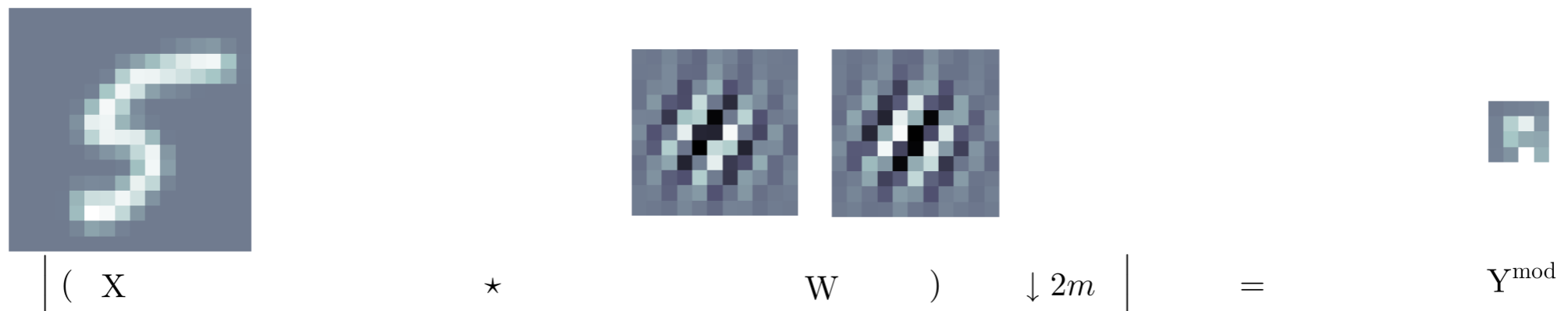
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# Detour via the continuous framework

- The output  $Y^{\text{mod}}$  can be obtained by a uniform sampling of  $|F * \Psi|$

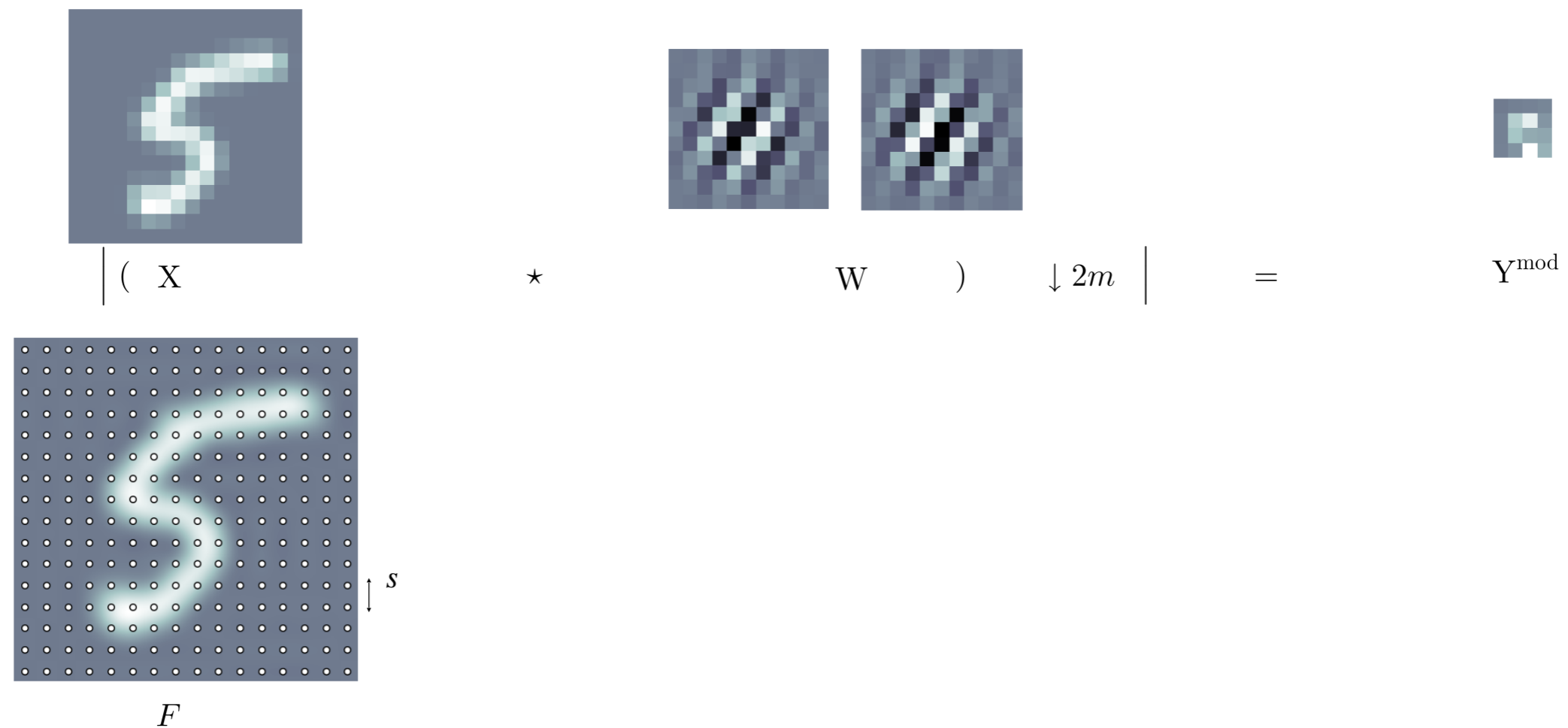
CMod



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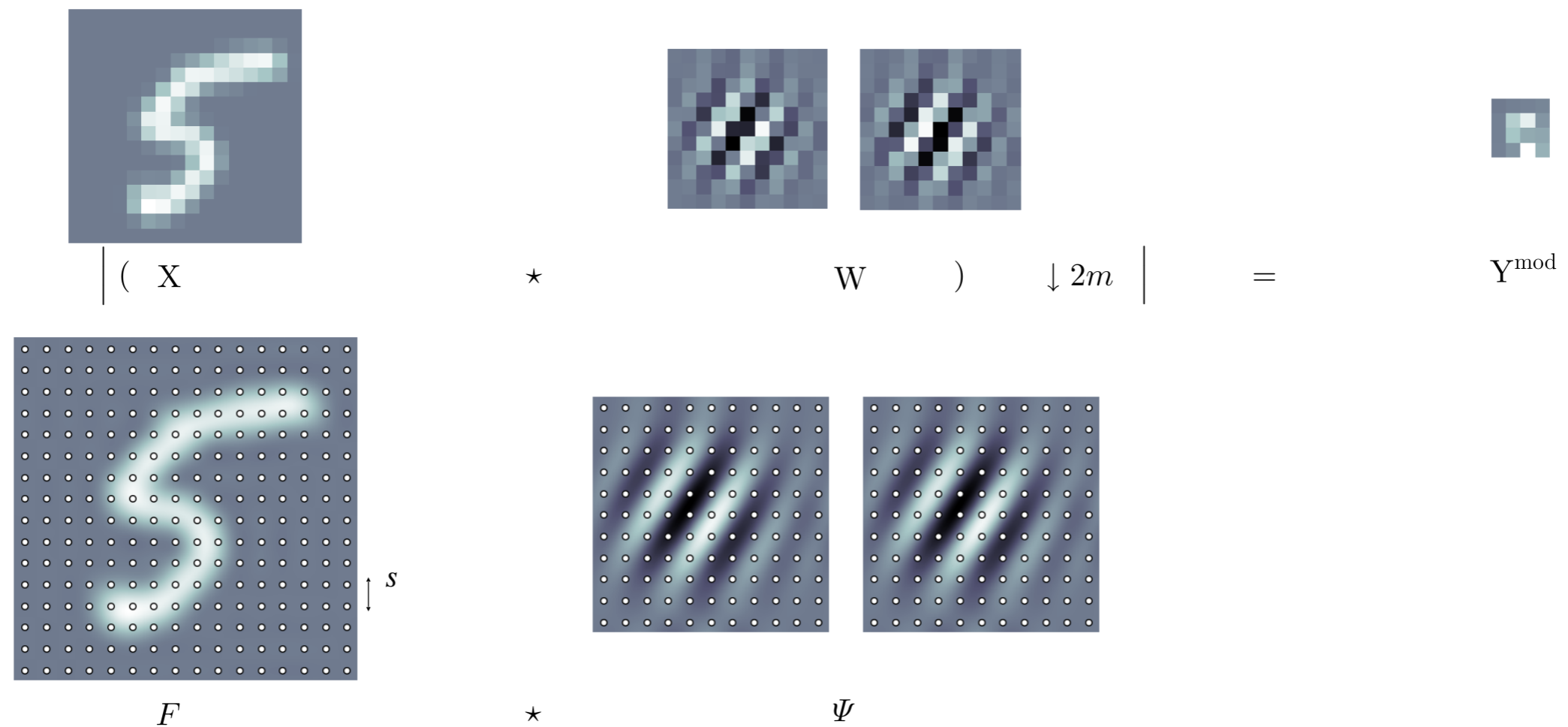
CMod



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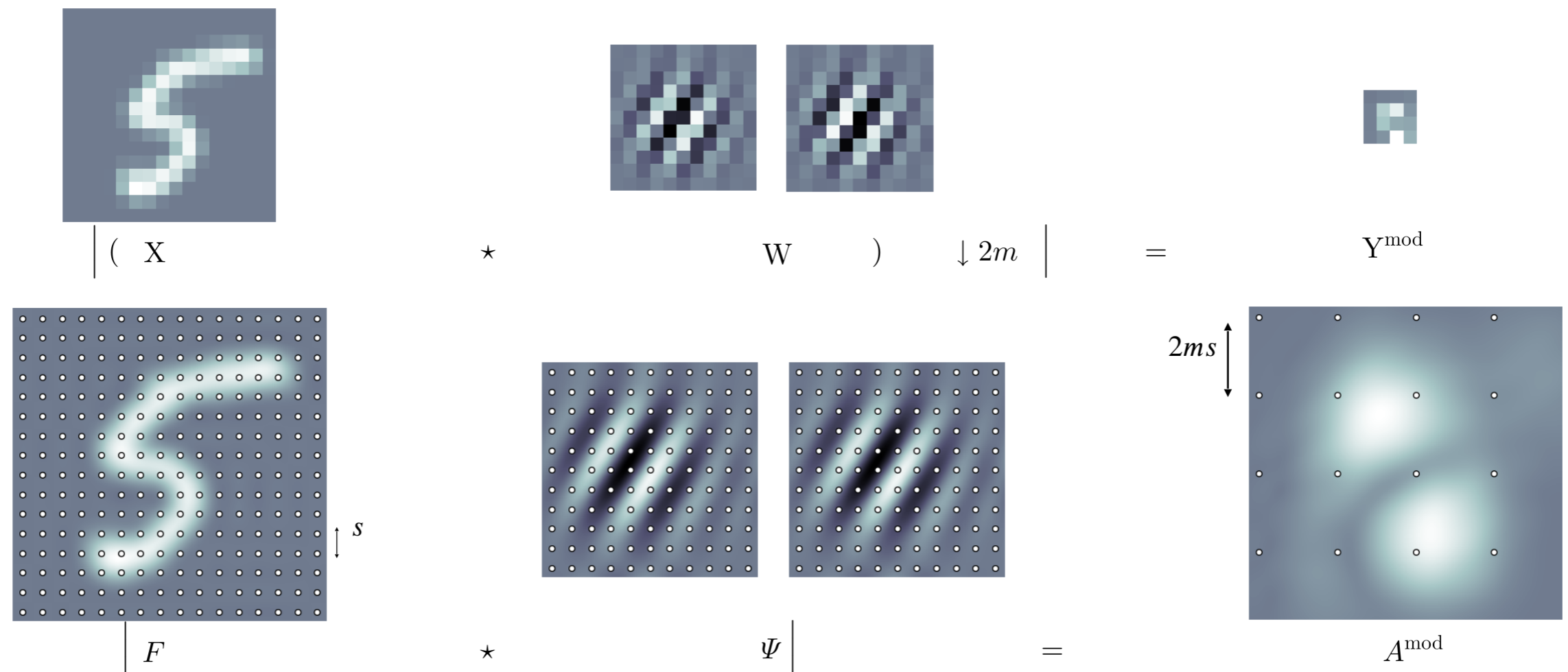
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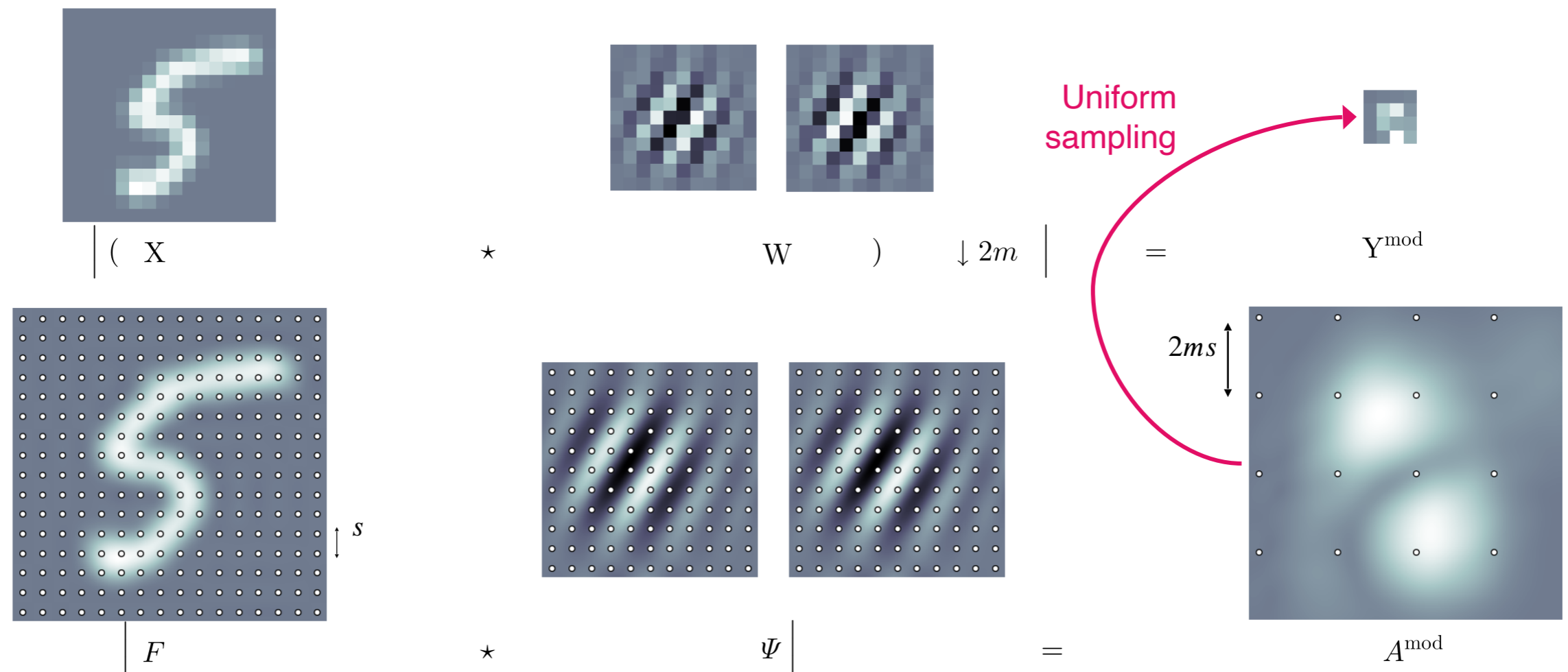
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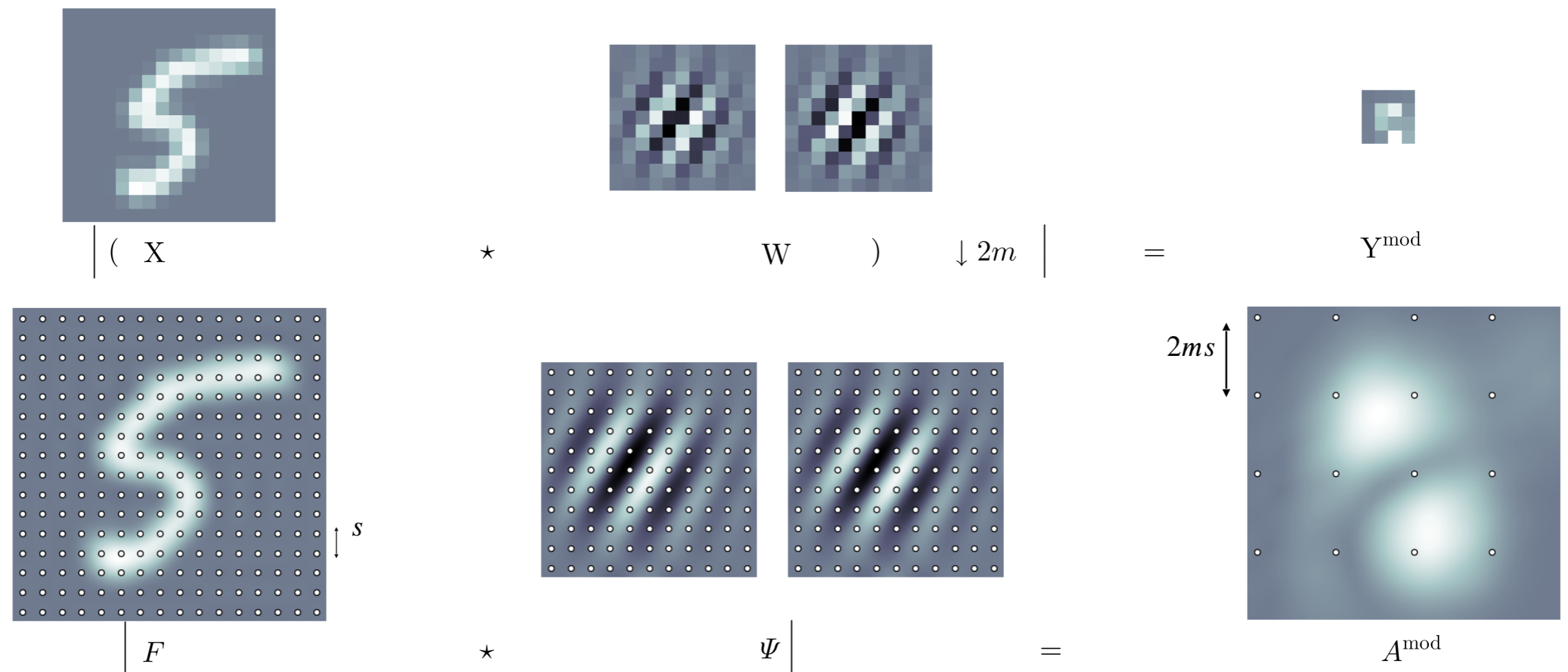


# Detour via the continuous framework

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$$Y^{\text{mod}}[\mathbf{n}] = \left| (F * \Psi)(2m\mathbf{s}\mathbf{n}) \right|$$

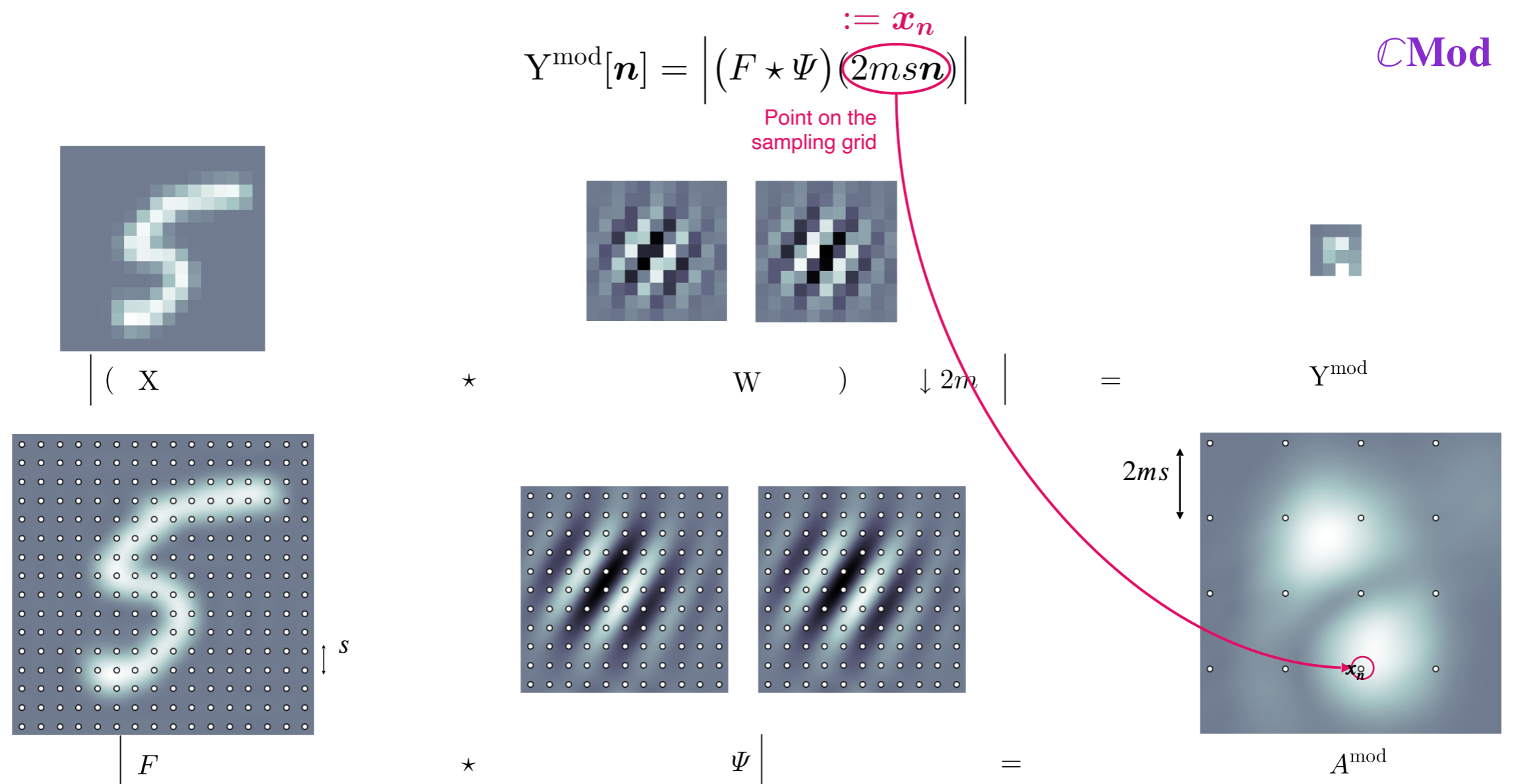
CMod





# Detour via the continuous framework

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# From high to low-frequency

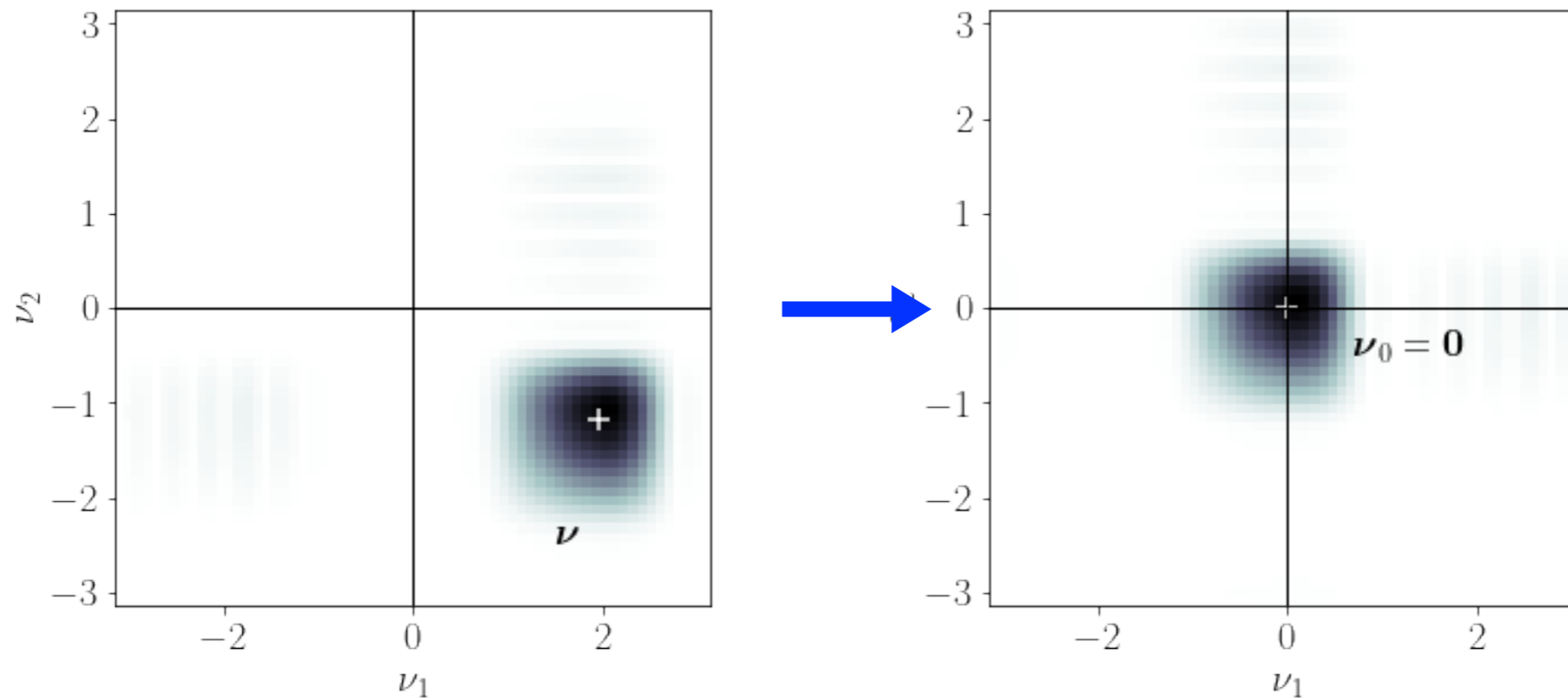
# From high to low-frequency

■  $\mathcal{V}(\nu, \varepsilon) := \left\{ \Psi \in L^2_{\mathbb{C}}(\mathbb{R}^2) \mid \text{supp } \hat{\Psi} \subset B_{\infty}(\nu, \varepsilon/2) \right\}.$

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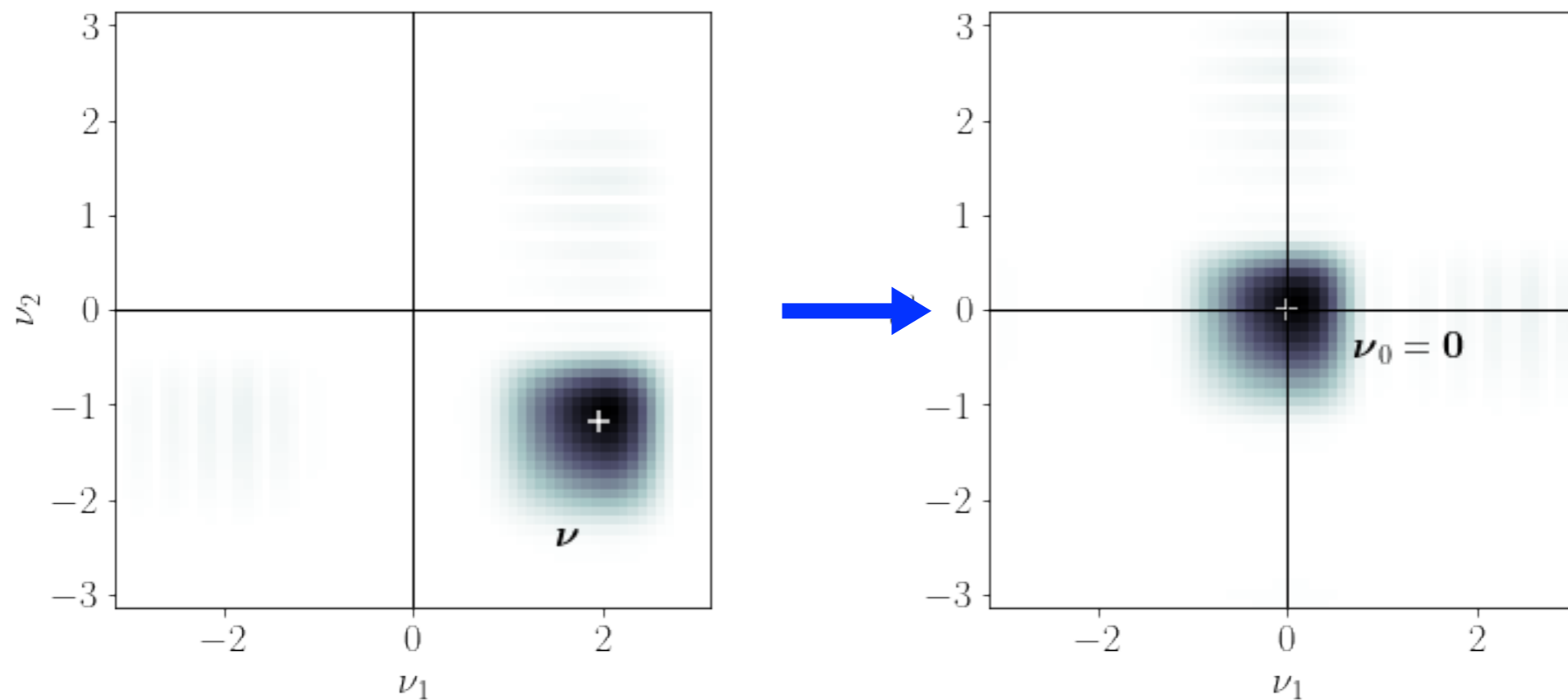
■  $F_0 : \boldsymbol{x} \mapsto (F * \overline{\Psi})(\boldsymbol{x})e^{i\langle \boldsymbol{\nu}, \boldsymbol{x} \rangle} \xrightarrow{\Psi \in \mathcal{V}(\boldsymbol{\nu}, \varepsilon)} \text{supp } \widehat{F}_0 \subset B_{\infty}(\varepsilon/2)$



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■ **Shift-invariance bound** for low-frequency functions:

$$\|\mathcal{T}_{\mathbf{h}}F_0 - F_0\|_{L^2} \leq \alpha(\varepsilon\mathbf{h})\|F_0\|_{L^2} \quad \alpha : \boldsymbol{\tau} \mapsto \frac{\|\boldsymbol{\tau}\|_1}{2}$$

# Shift-invariance of CMod in the discrete framework

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## **Theorem** (Shift invariance of CMod)

If  $W \in \mathcal{J}(\boldsymbol{\theta}, \kappa)$  and  $\kappa \leq \pi/m$

then for any input image with finite support  $X \in l_{\mathbb{R}}^2(\mathbb{Z}^2)$

$$\|U_m^{\text{mod}}(\mathcal{T}_{\mathbf{u}}X) - U_m^{\text{mod}}X\|_2 \leq \alpha(\kappa\mathbf{u}) \|U_m^{\text{mod}}X\|_2$$


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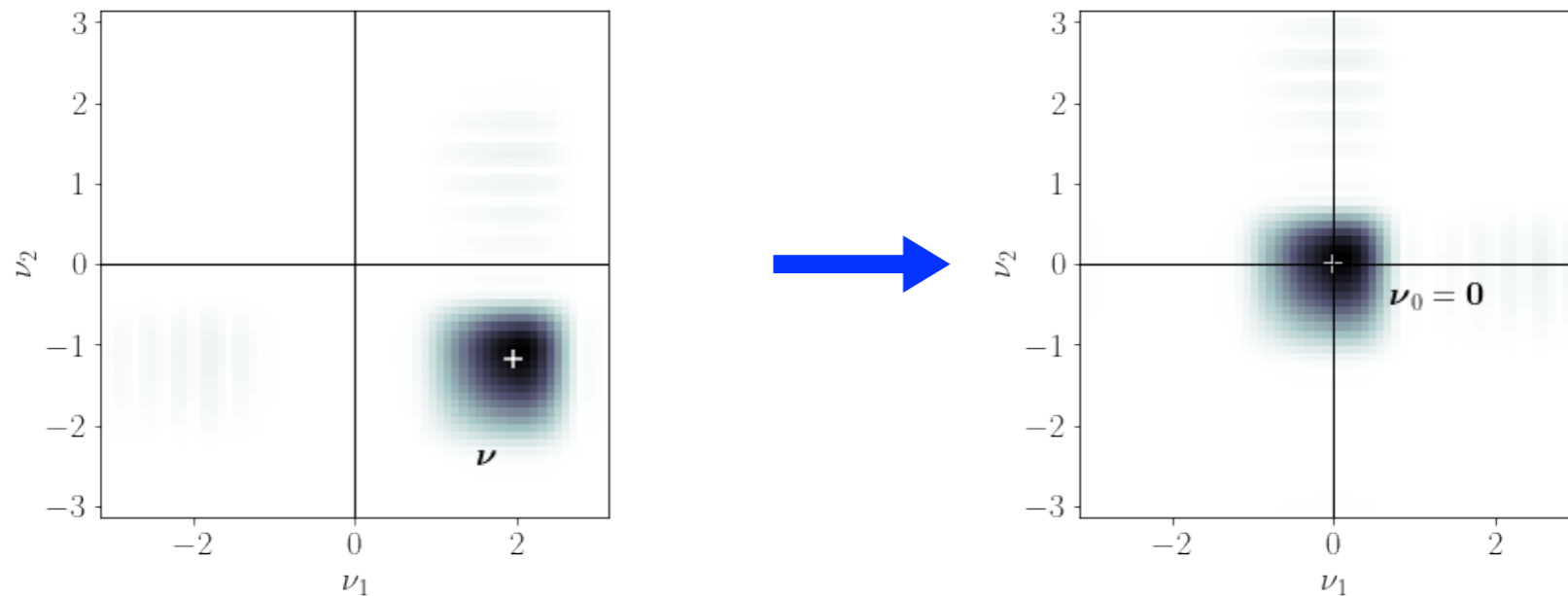
# From CMod to RMax in the continuous framework

- **I. Waldspurger intuition** linking the two operators:

# From CMod to RMax in the continuous framework

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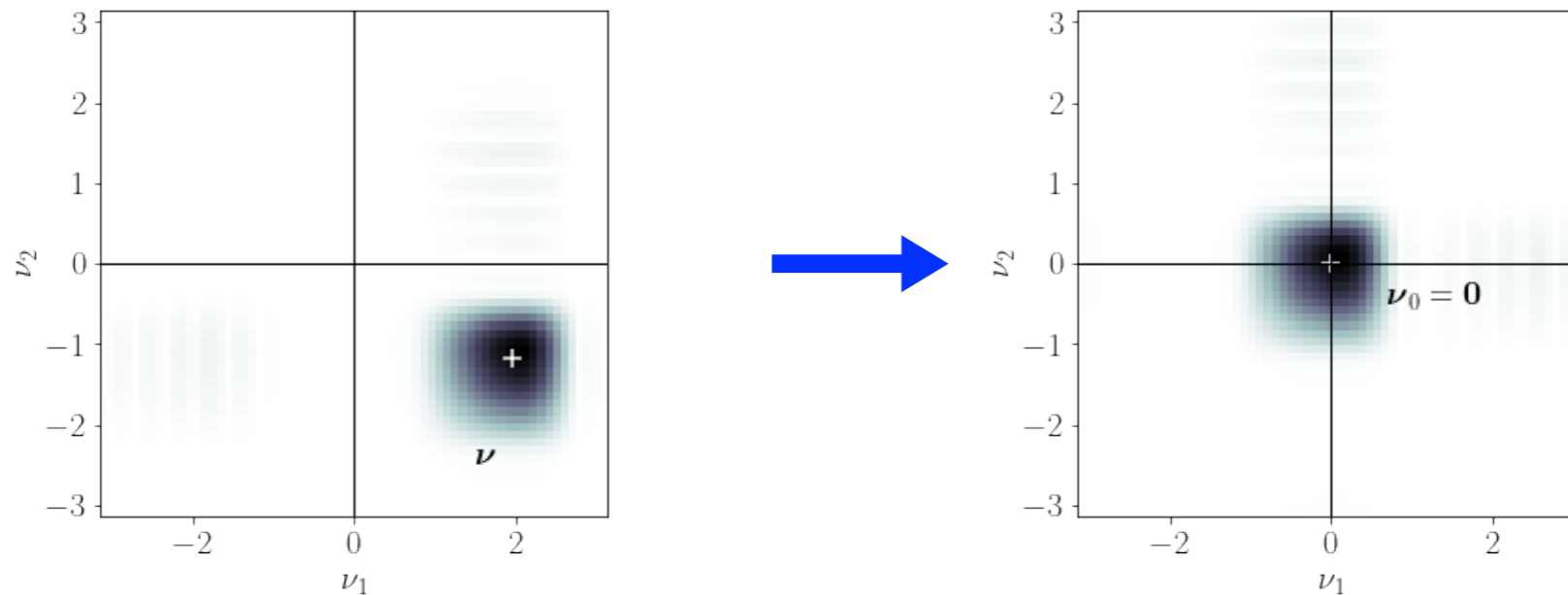
$$F_0 : \mathbf{x} \mapsto (F * \overline{\Psi})(\mathbf{x}) e^{i\langle \boldsymbol{\nu}, \mathbf{x} \rangle} \xrightarrow{\Psi \in \mathcal{V}(\boldsymbol{\nu}, \varepsilon)} \text{supp} \widehat{F}_0 \subset B_\infty(\varepsilon/2)$$



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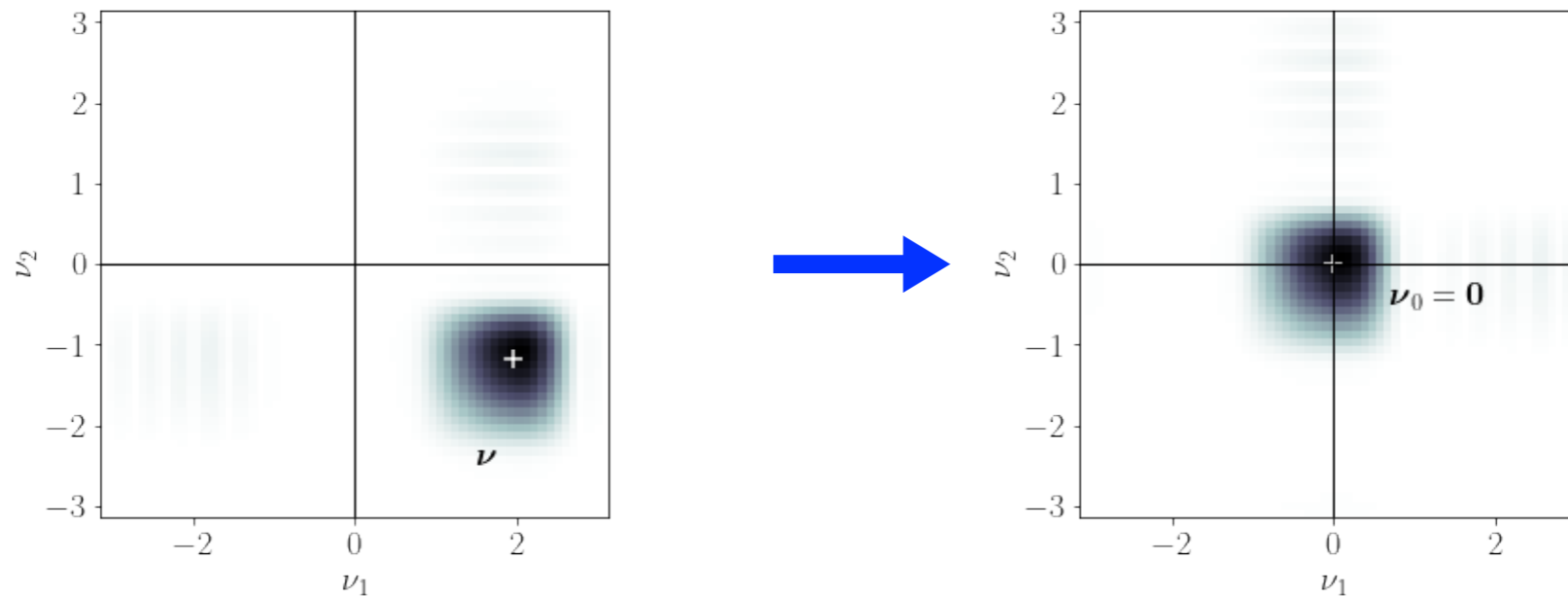


$$(F * \text{Re} \overline{\Psi})(\mathbf{x}) = \text{Re}((F * \overline{\Psi})(\mathbf{x})) = \text{Re}(F_0(\mathbf{x})e^{-i\langle \boldsymbol{\nu}, \mathbf{x} \rangle})$$

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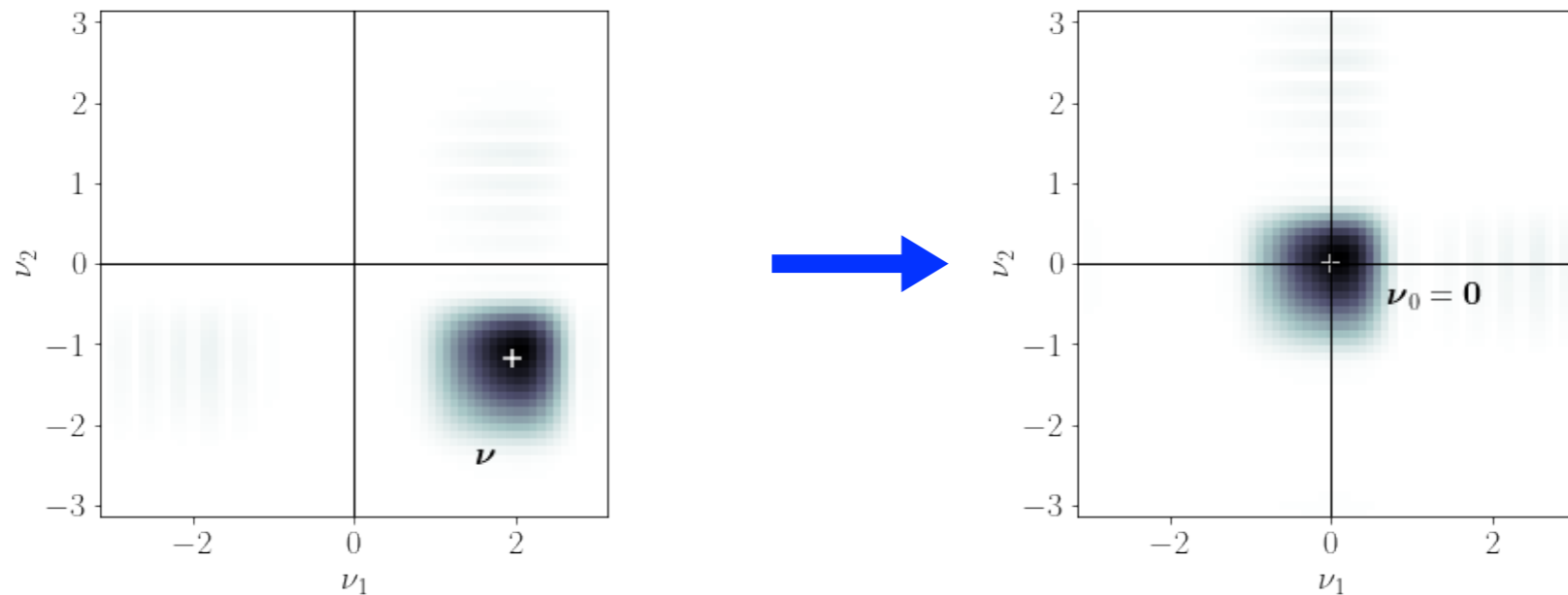
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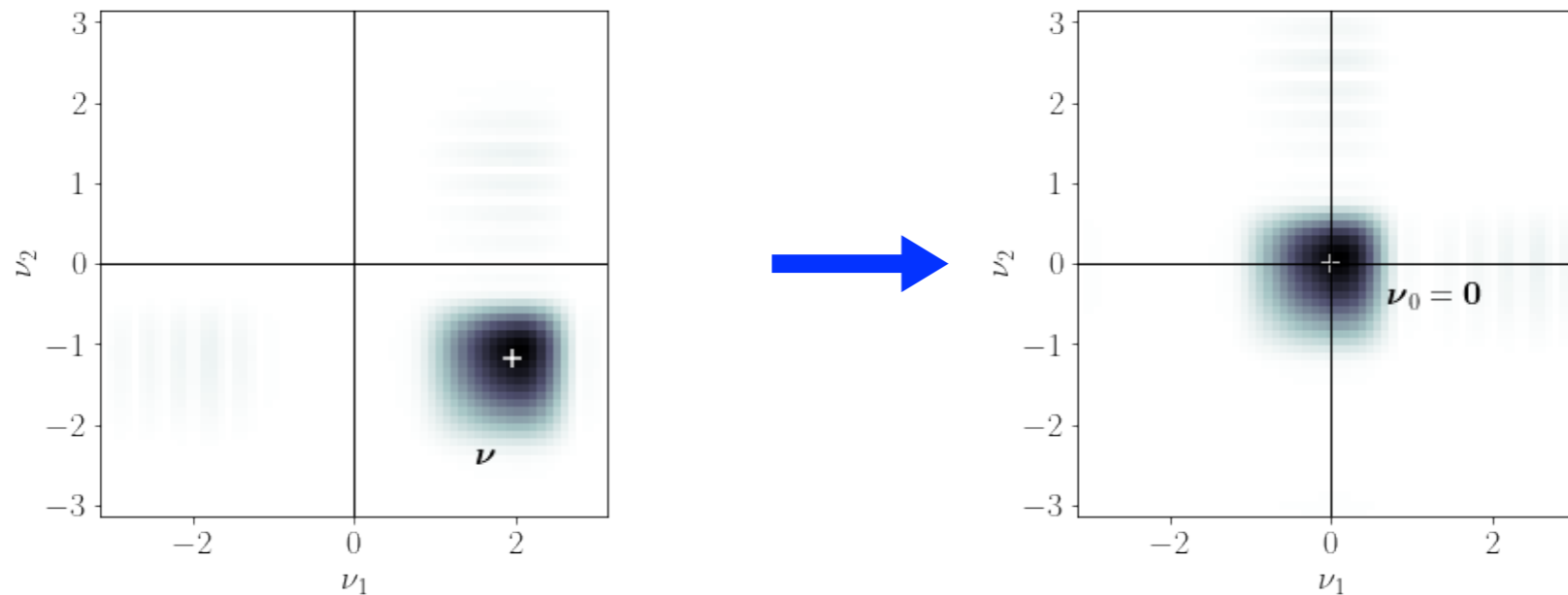
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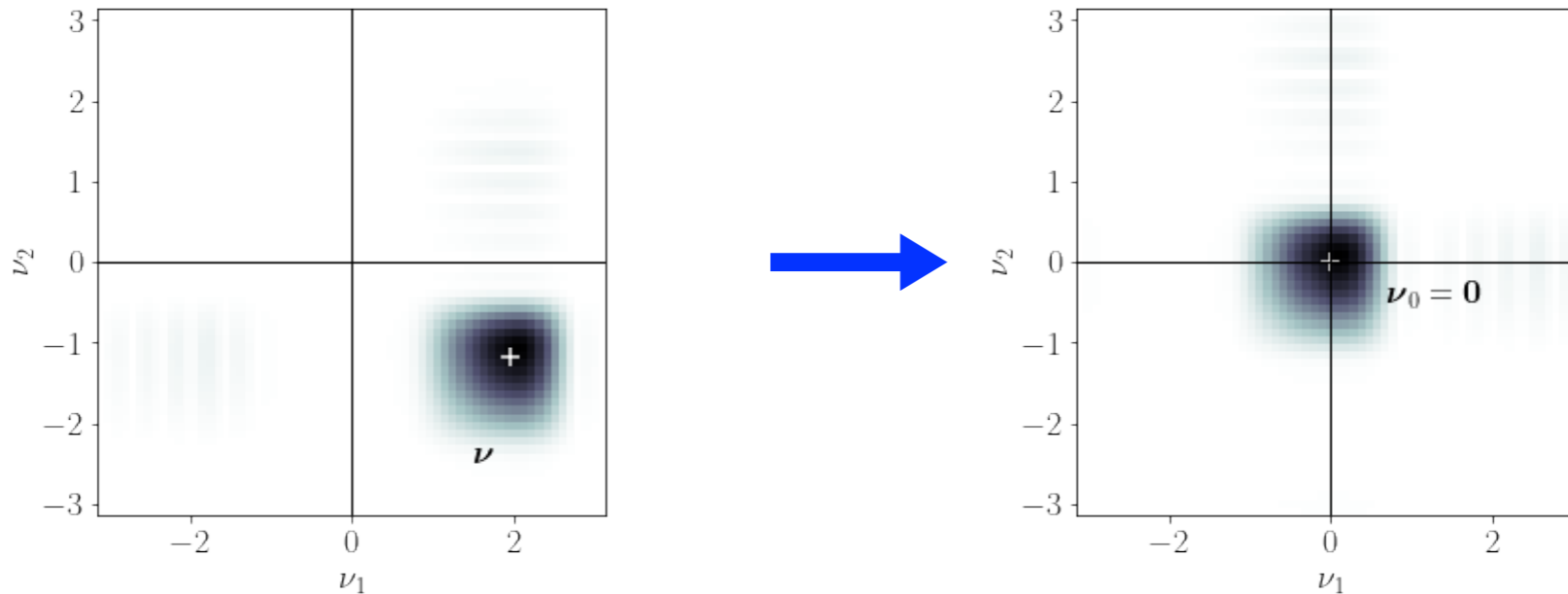
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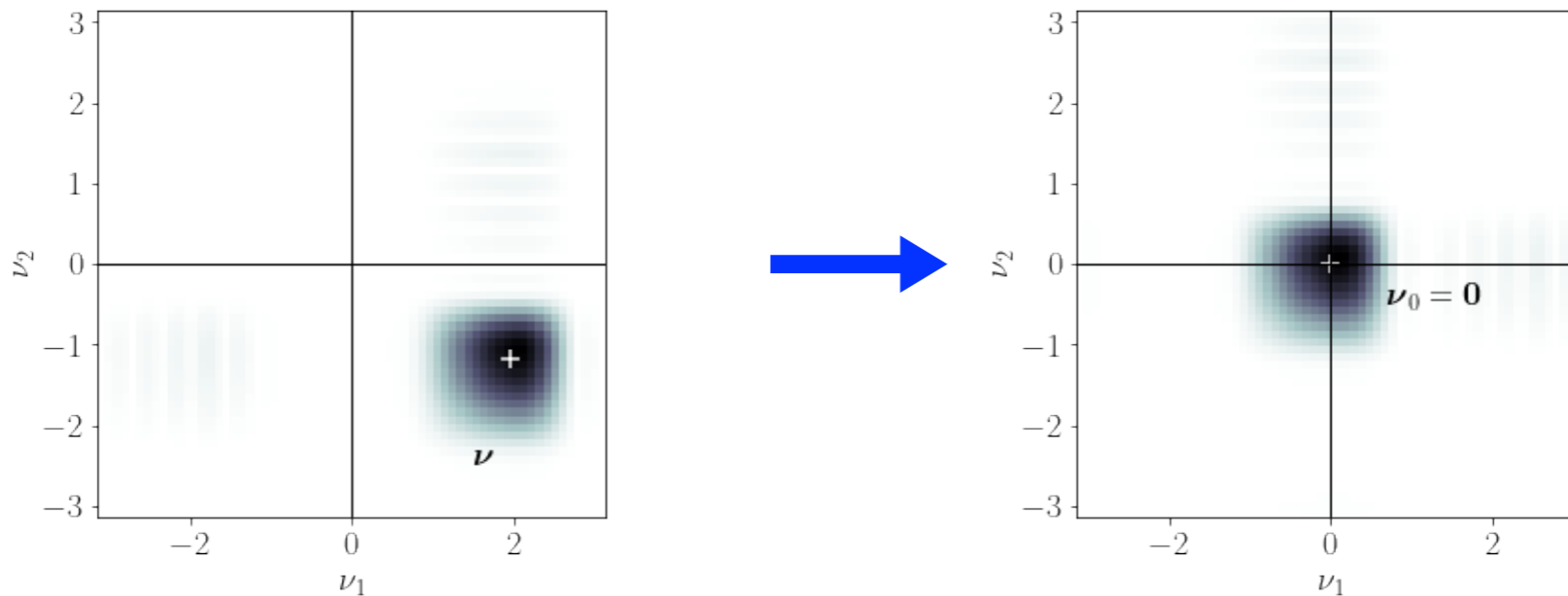
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Max



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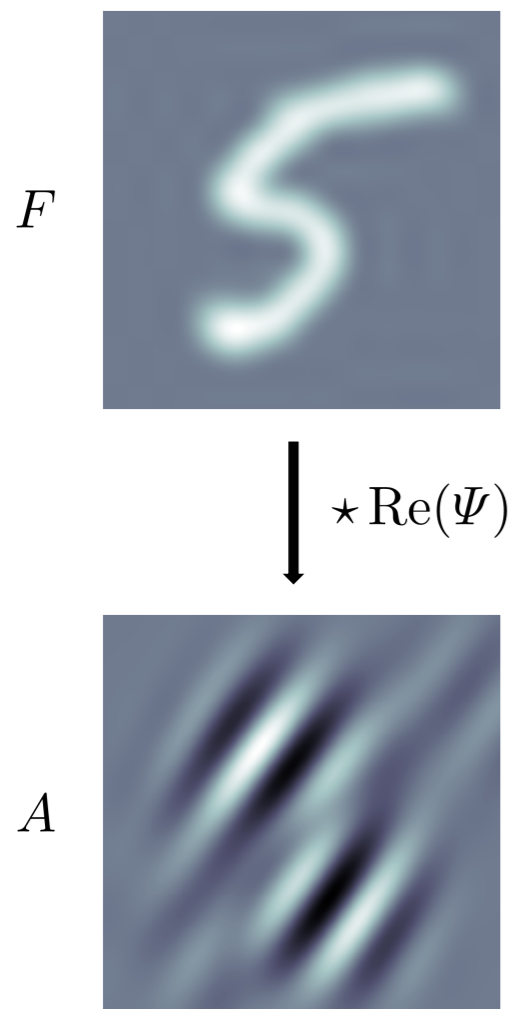
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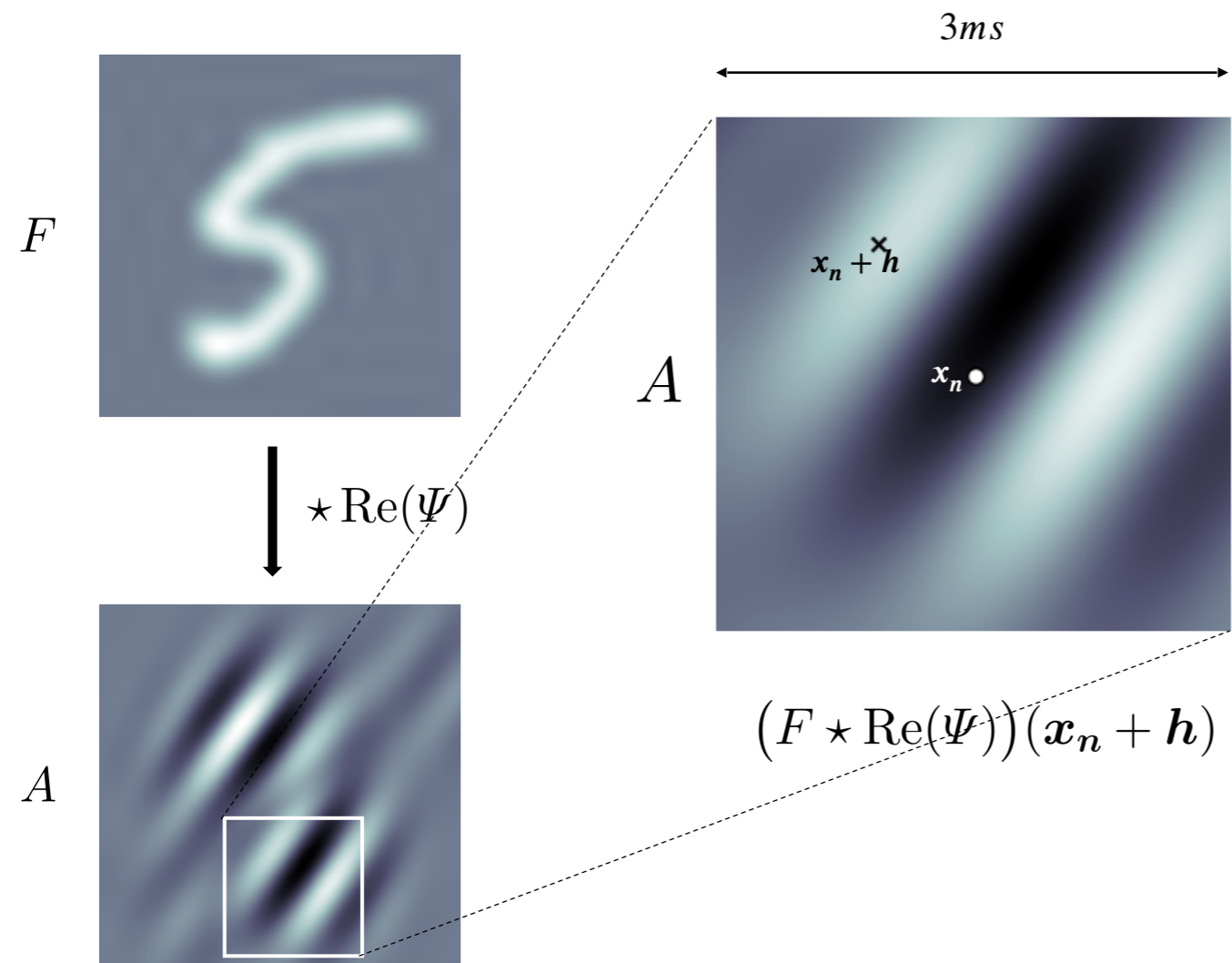
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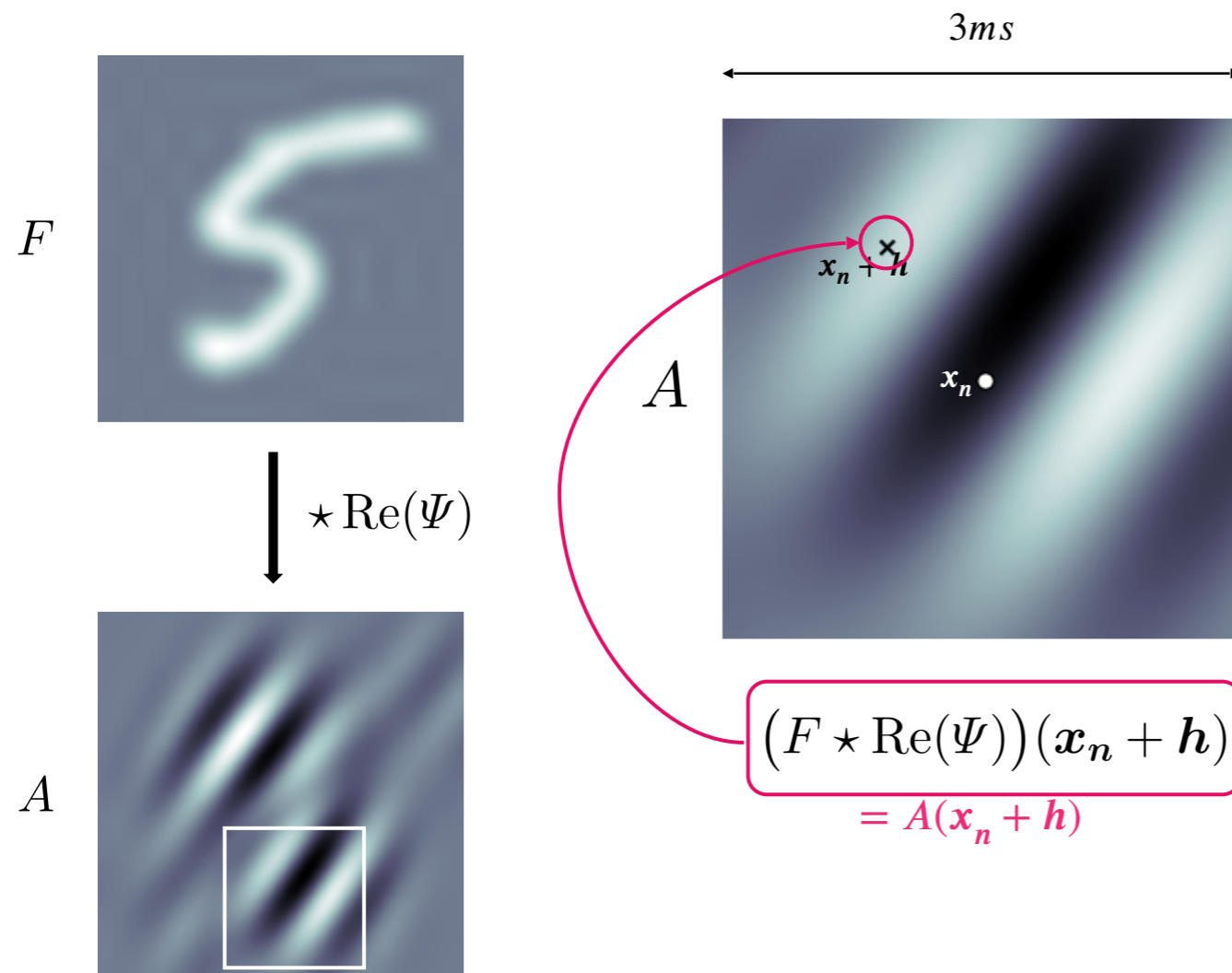
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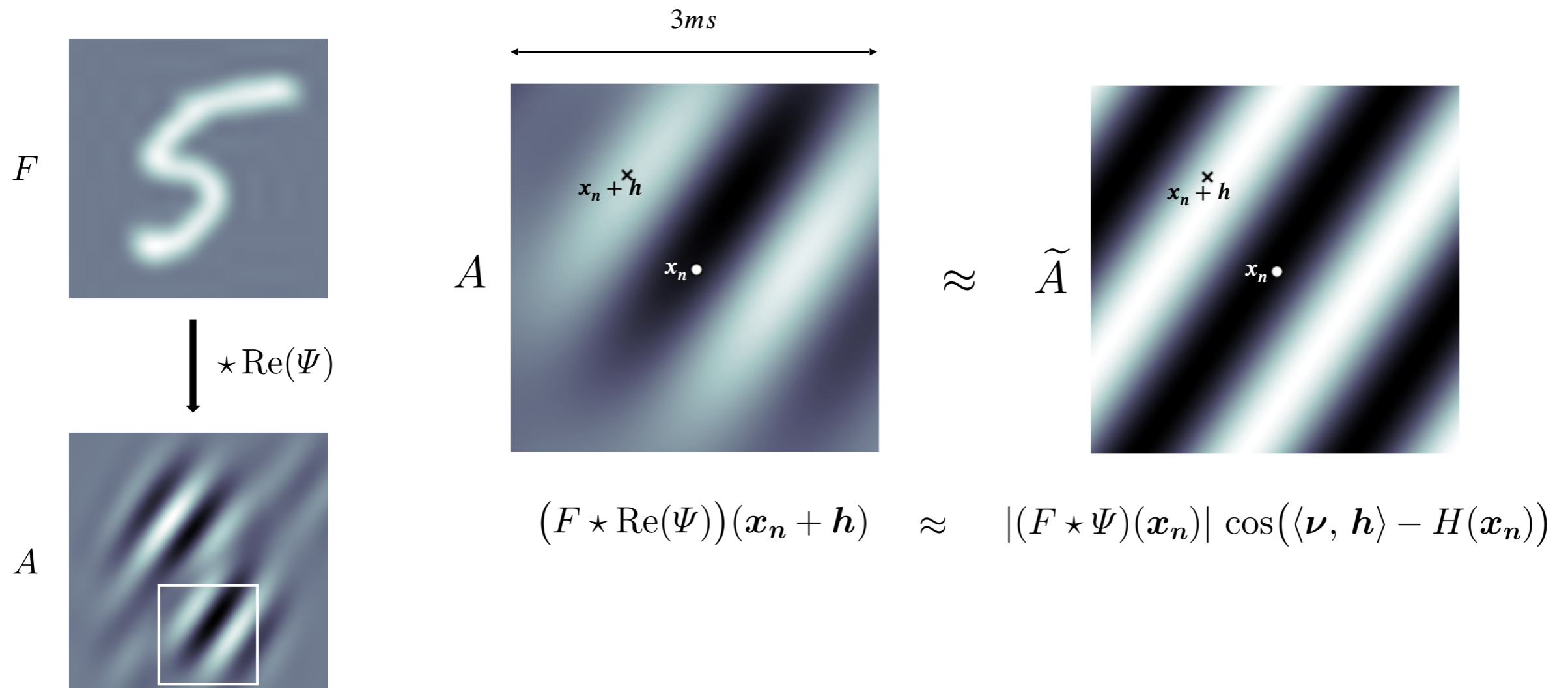
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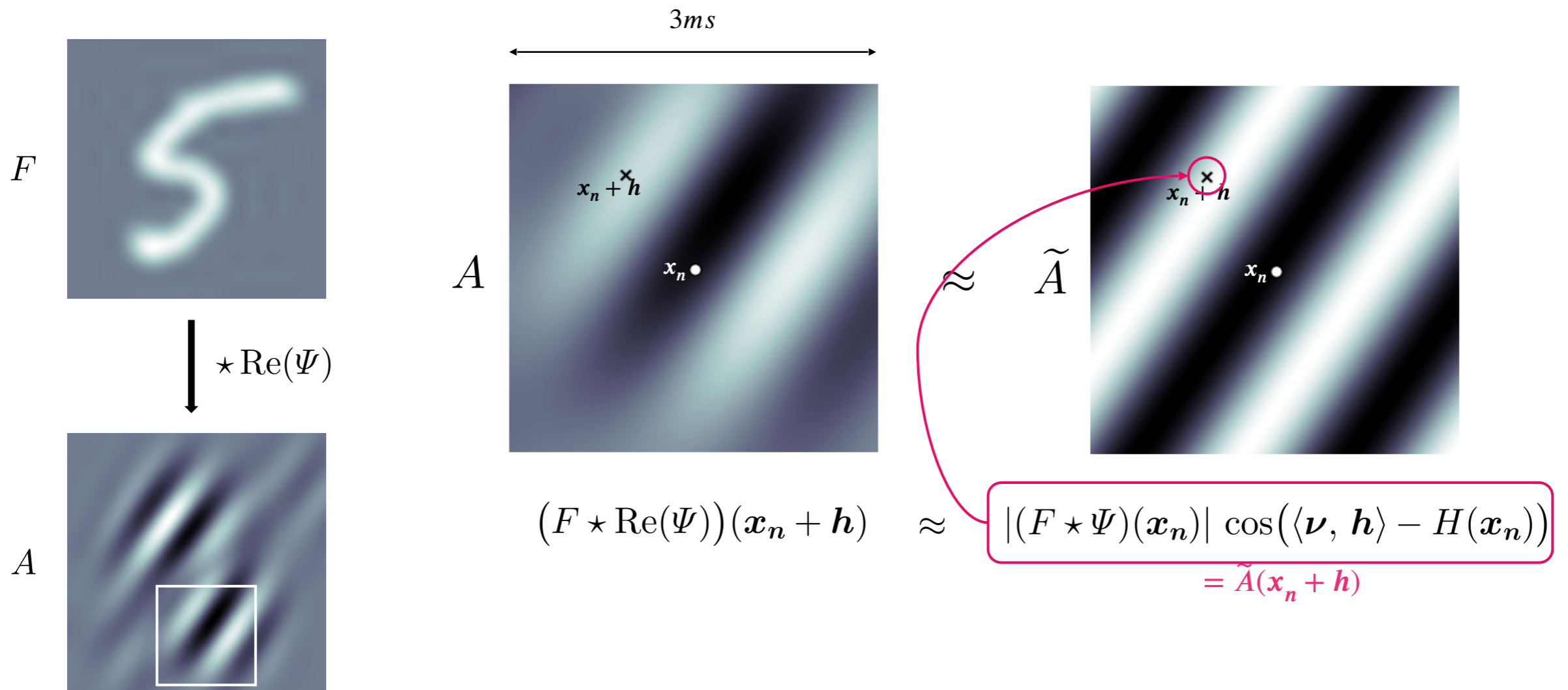
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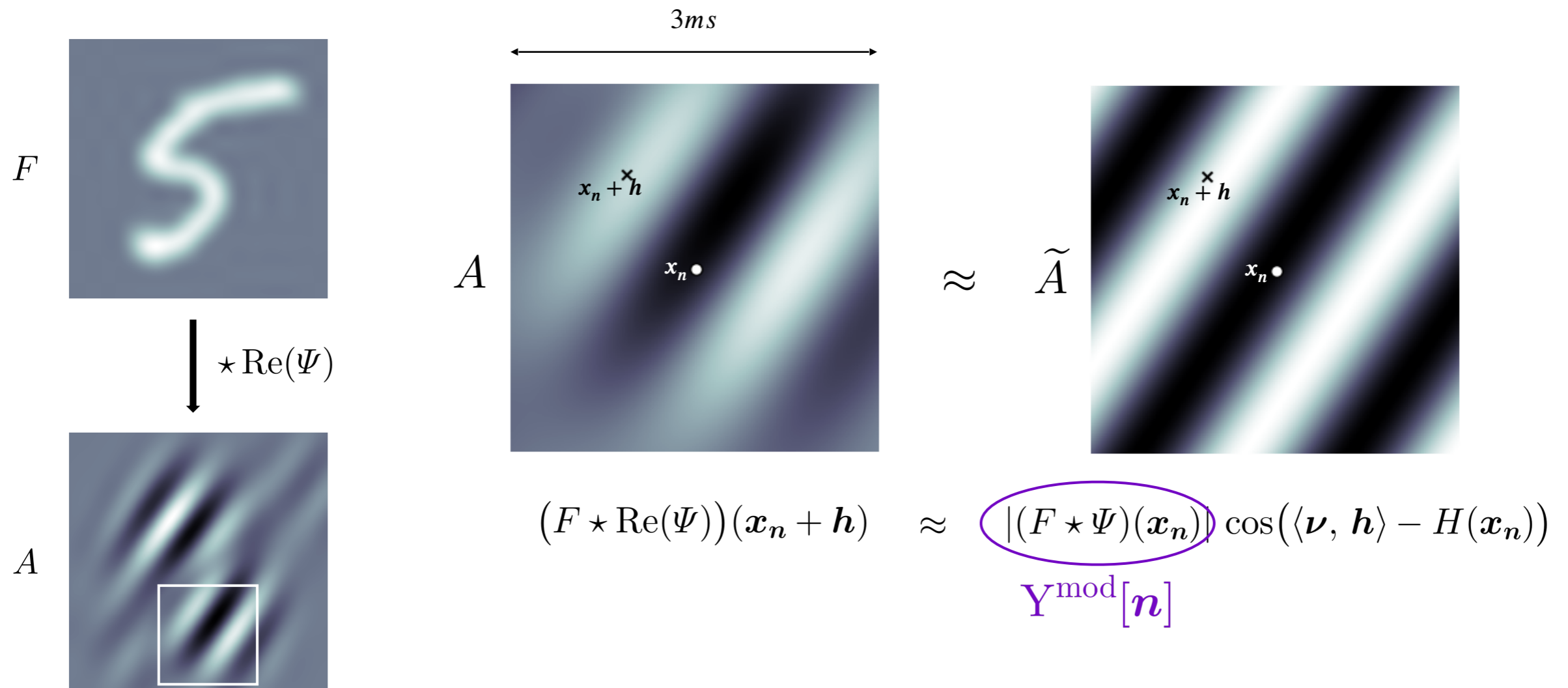
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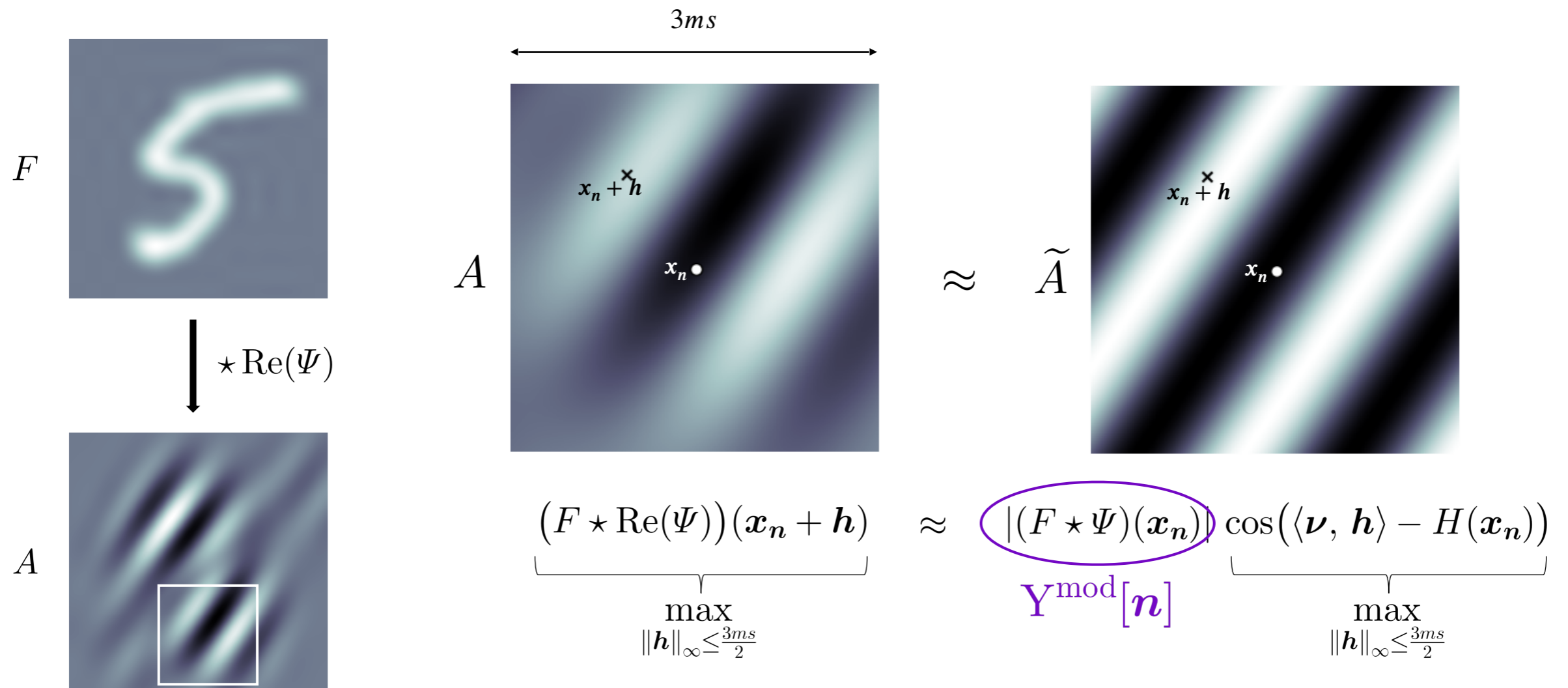
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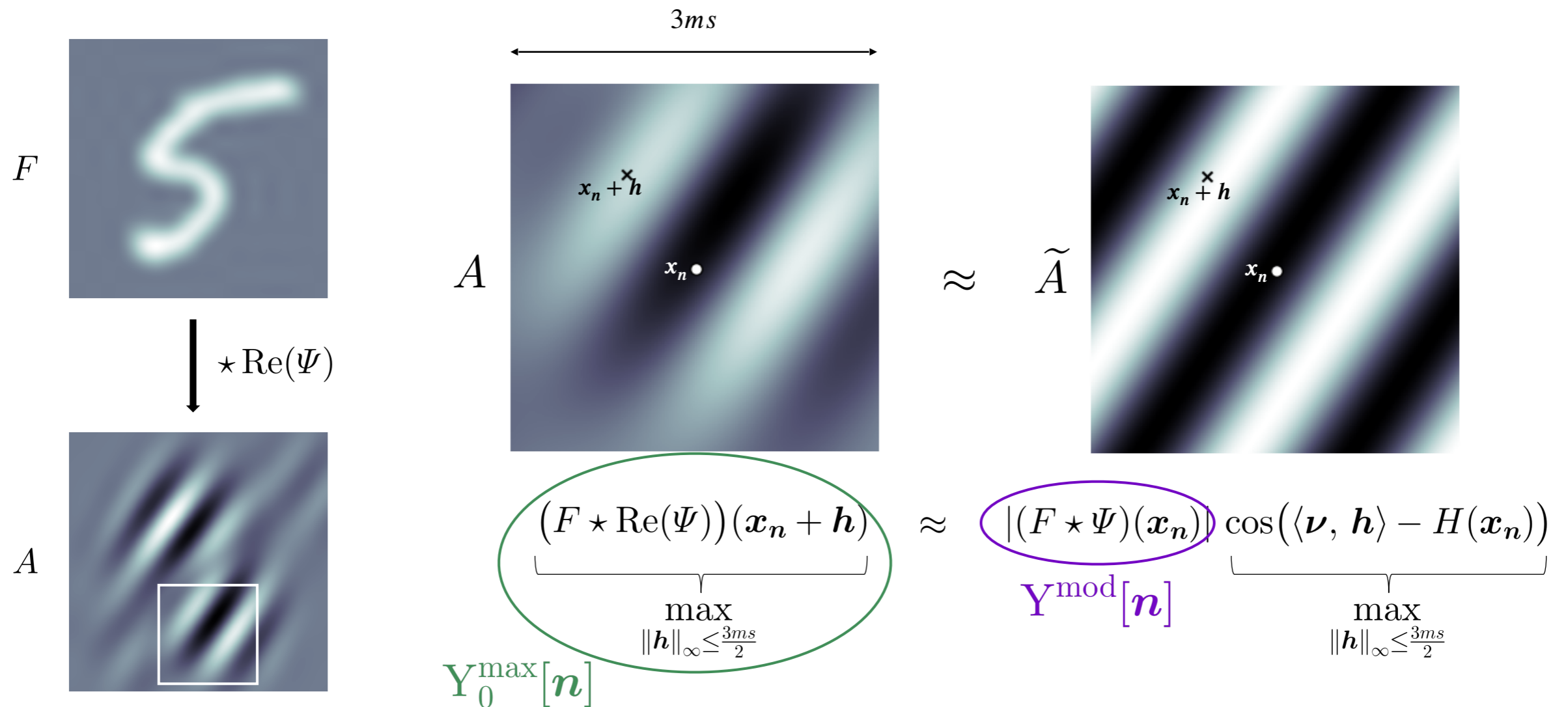
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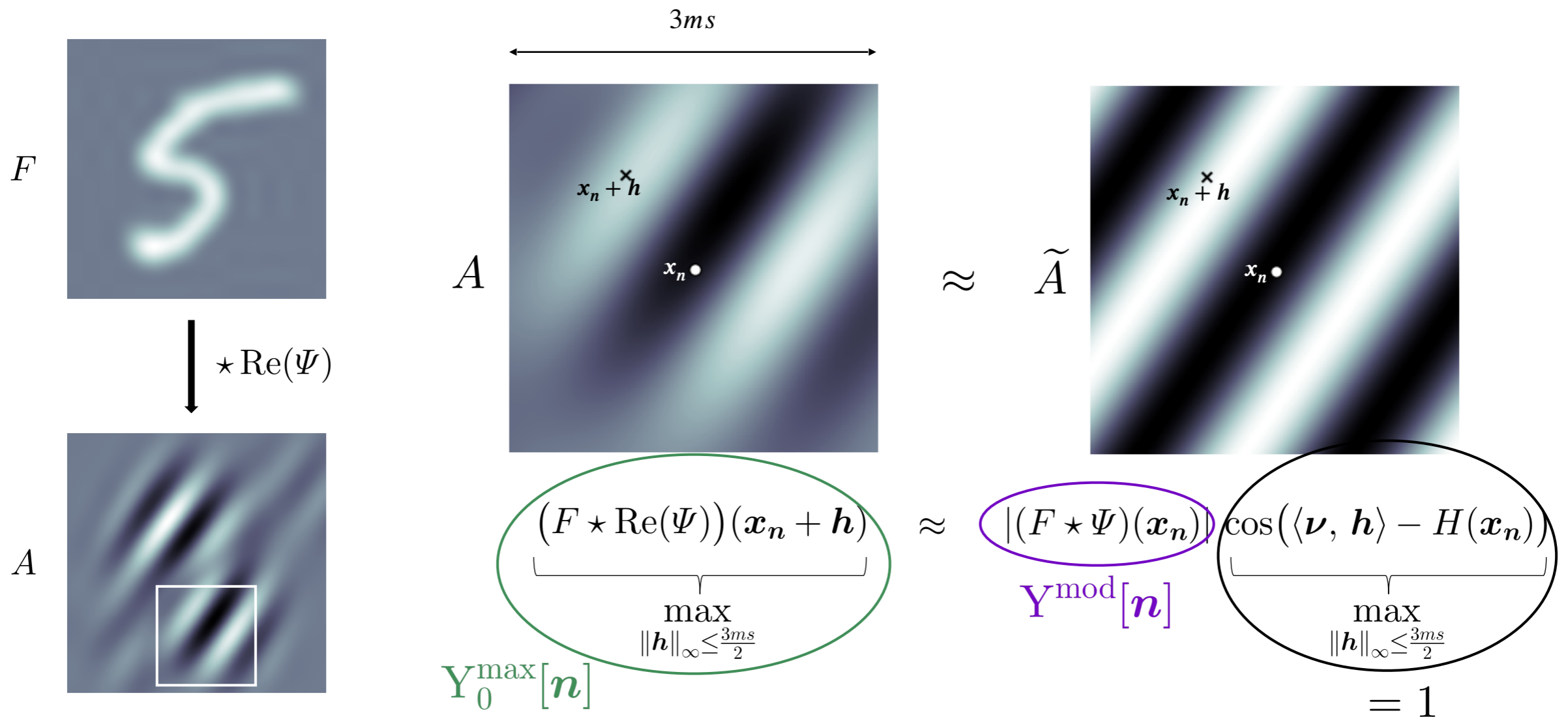
# From CMod to RMax in the continuous framework

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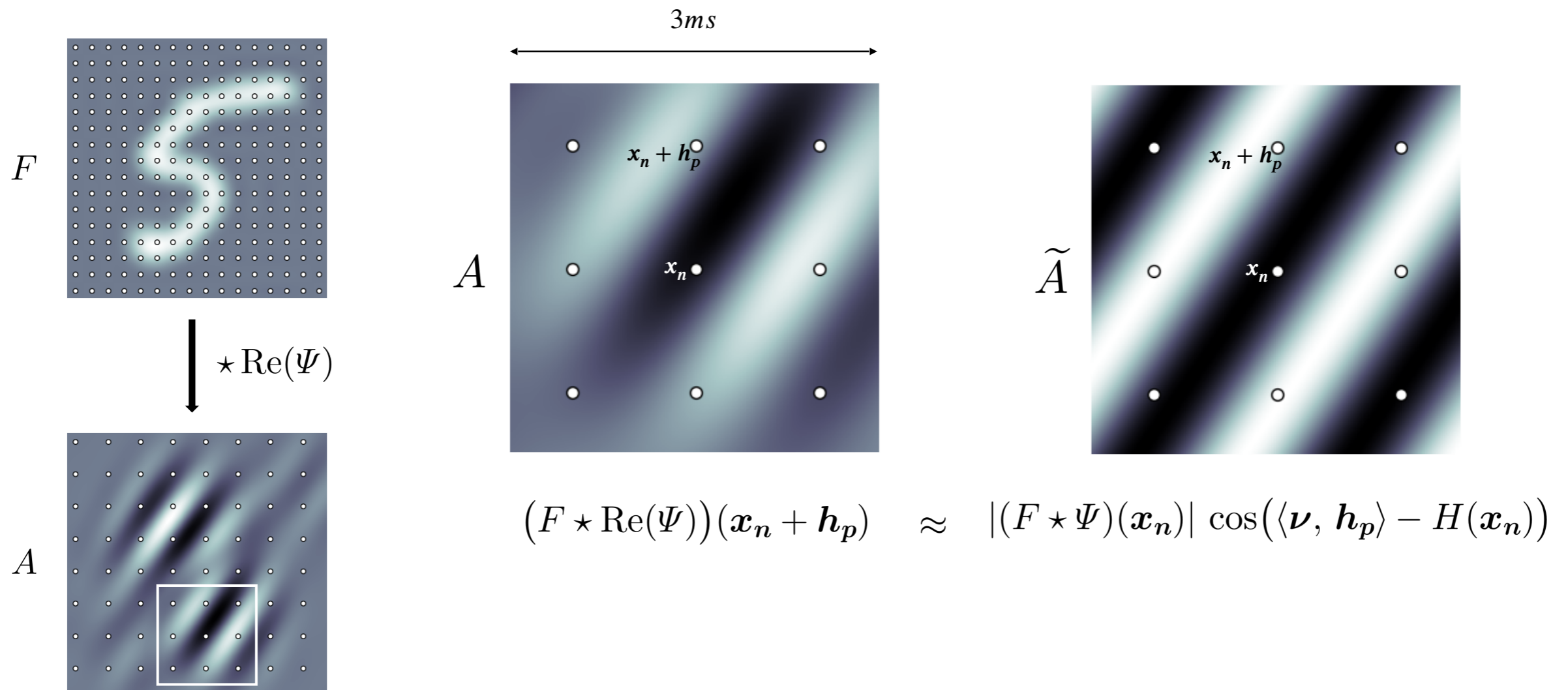


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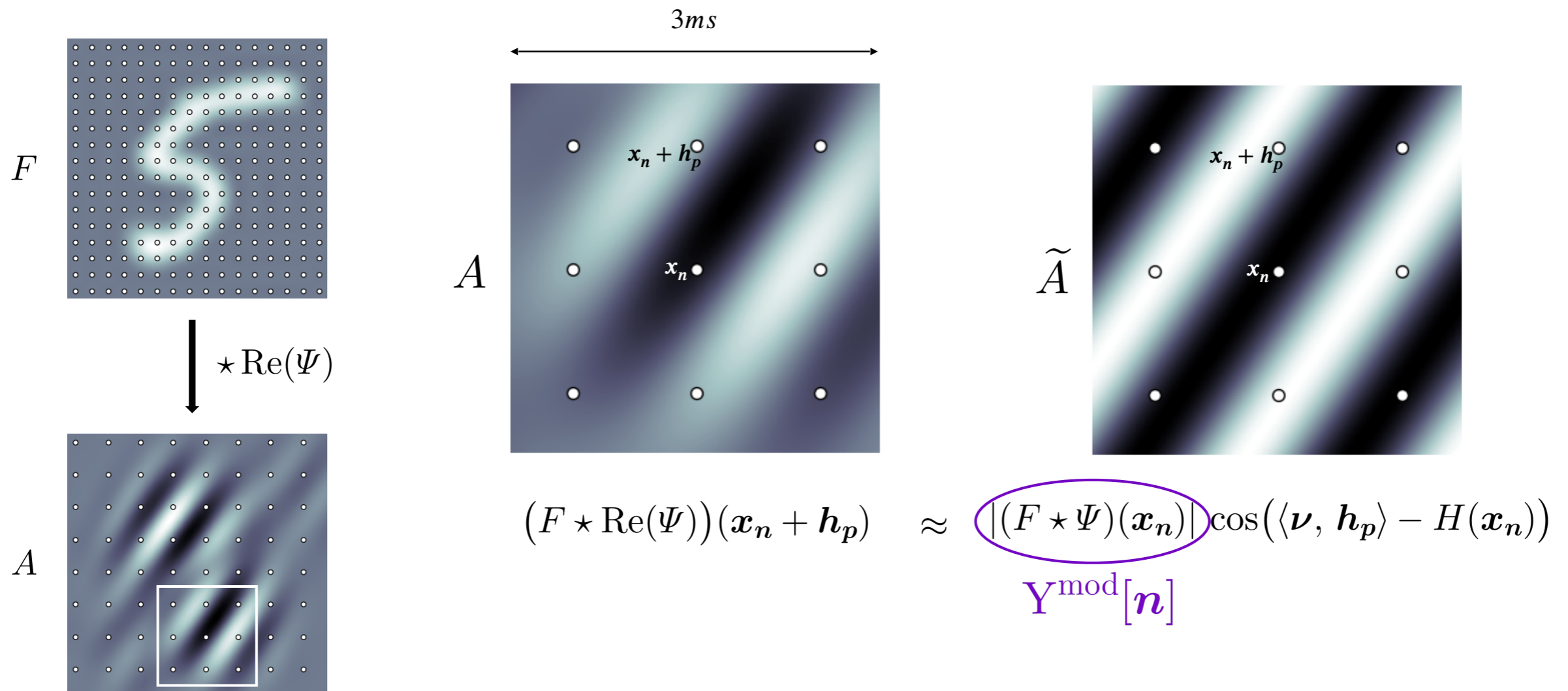
## I. Waldspurger intuition linking the two operators:



# Adaptation to the discrete case

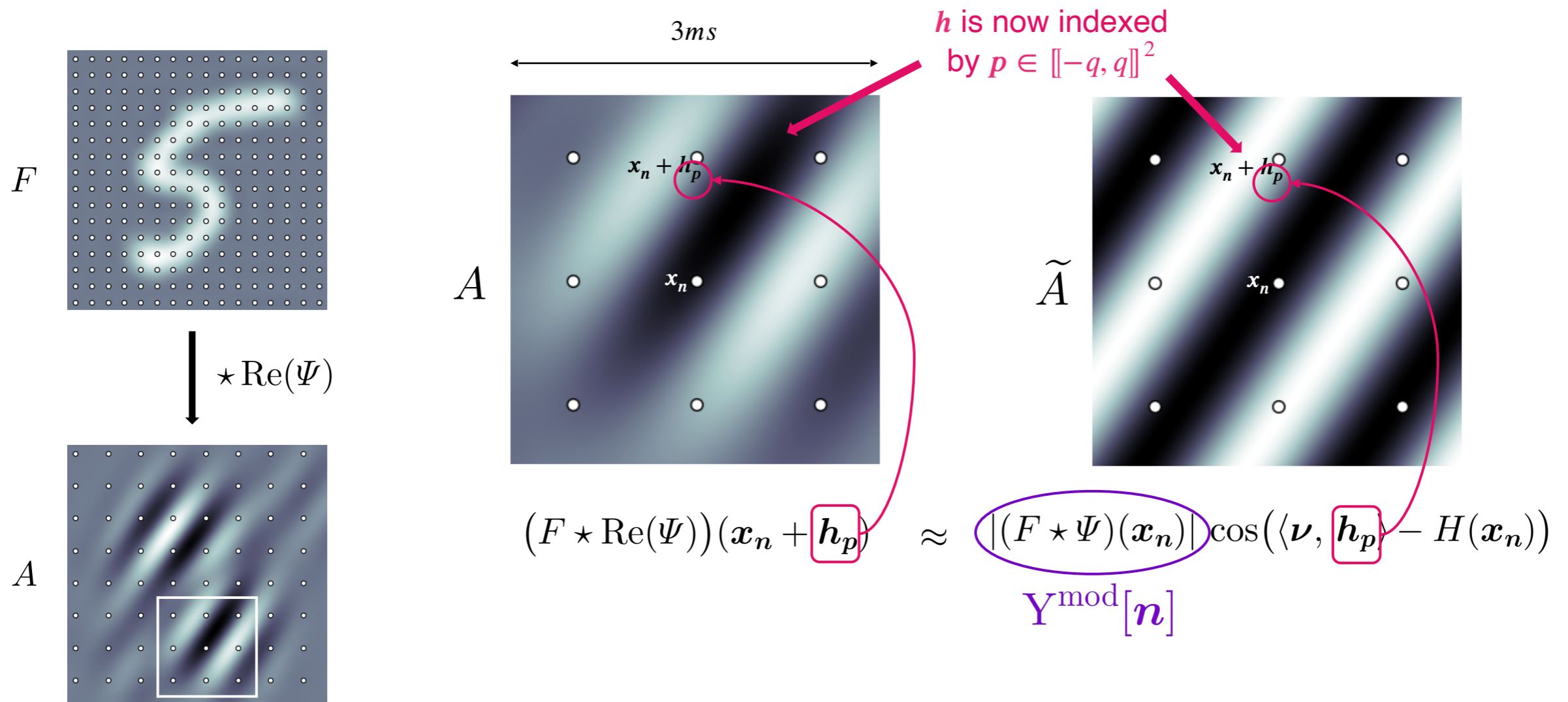


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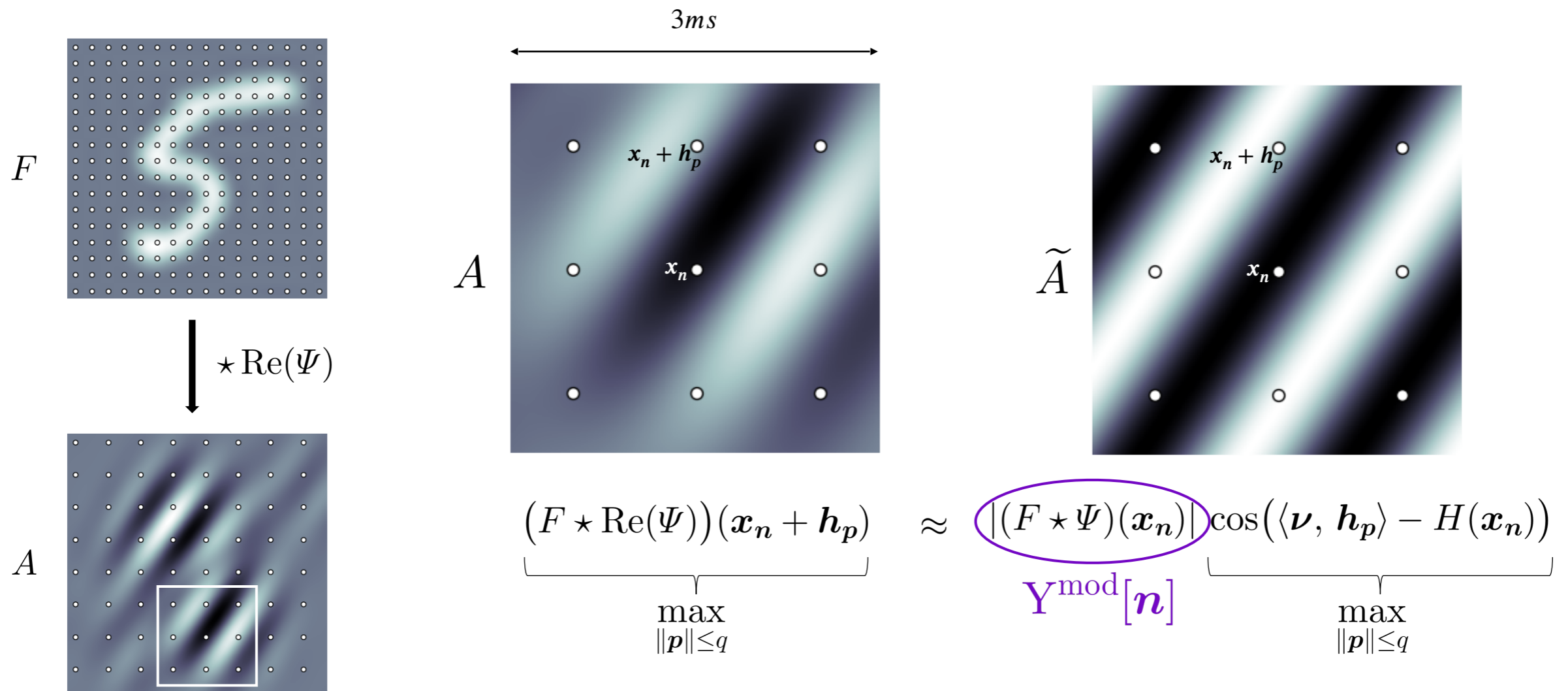




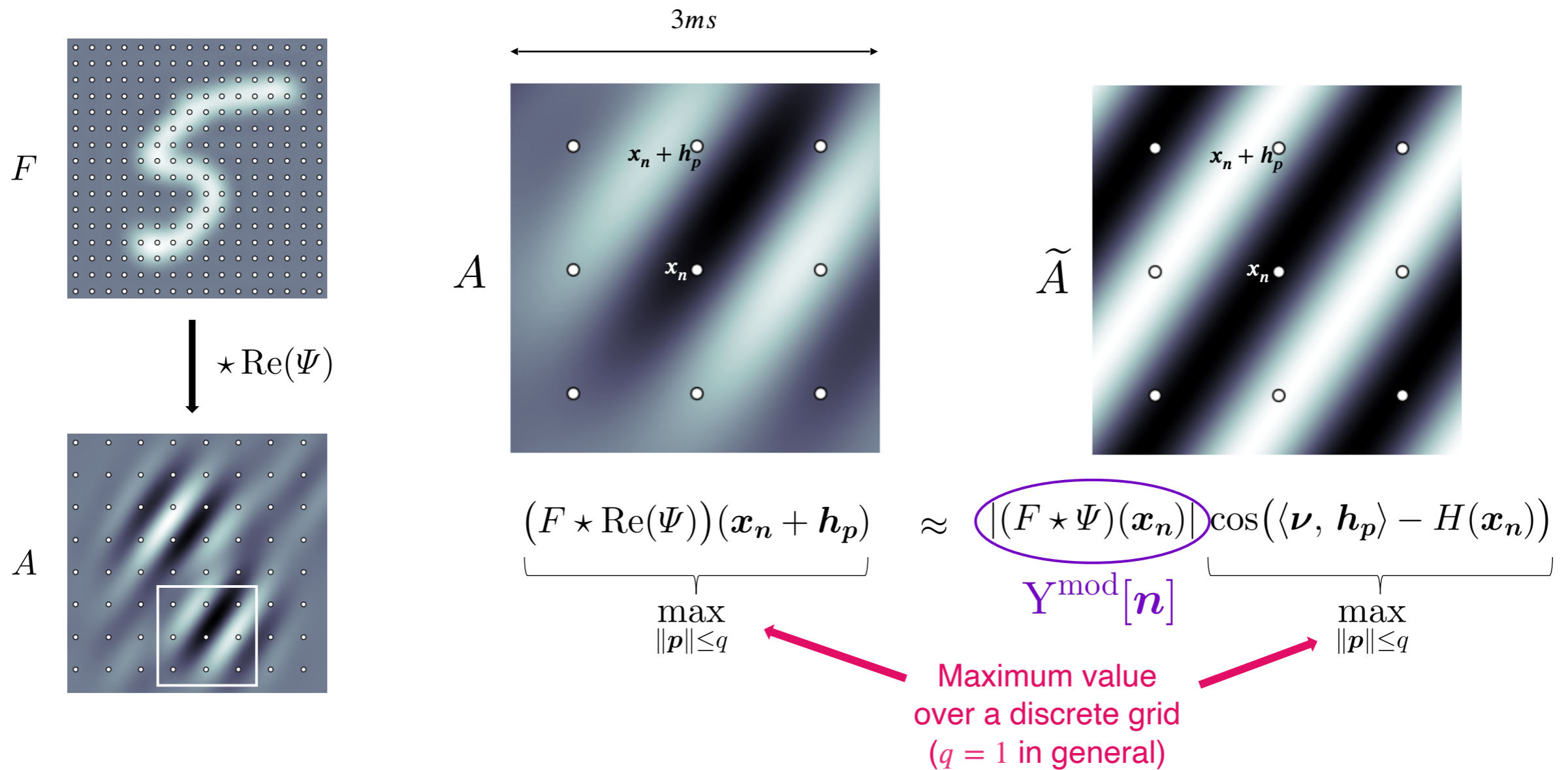
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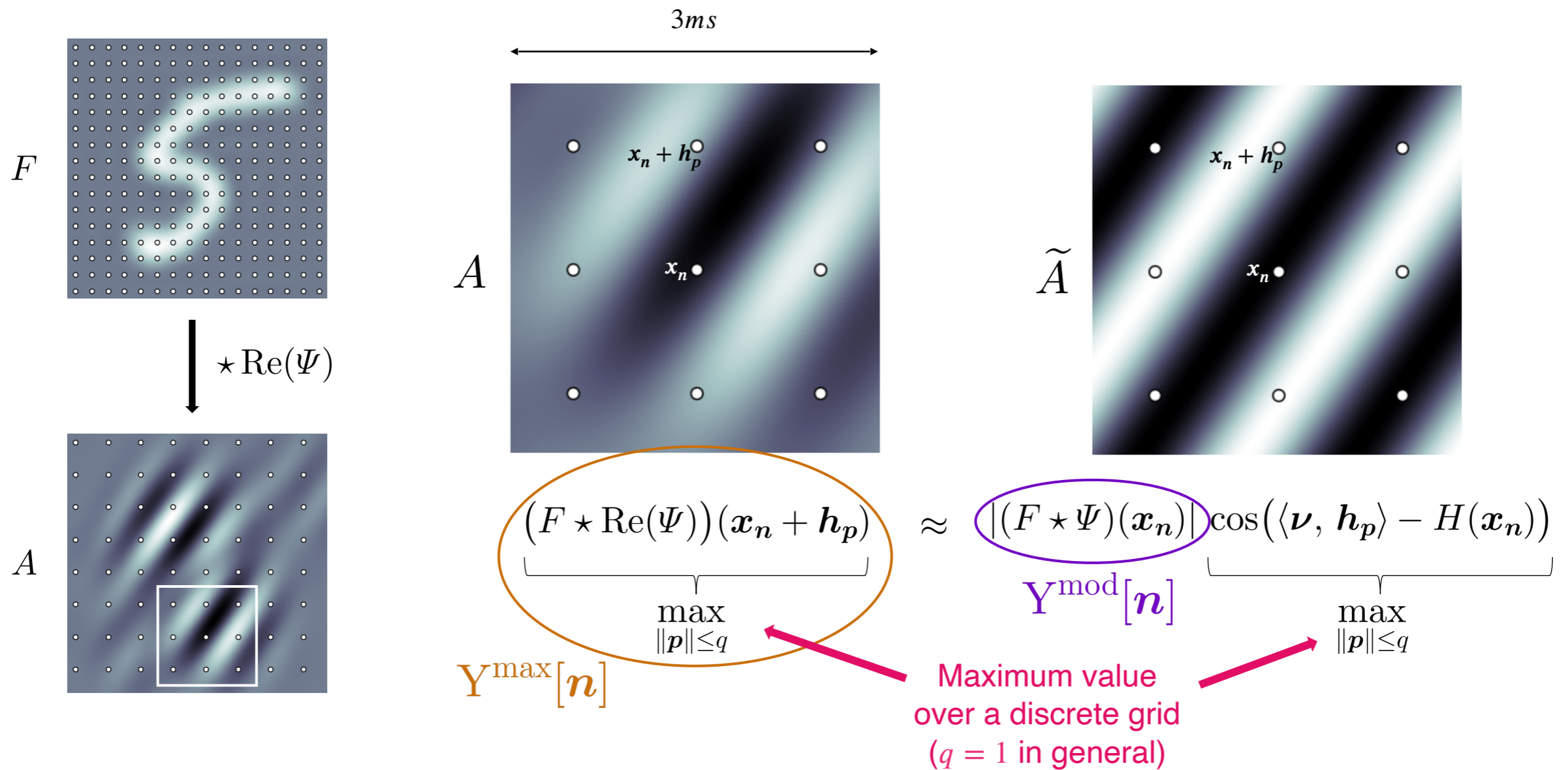
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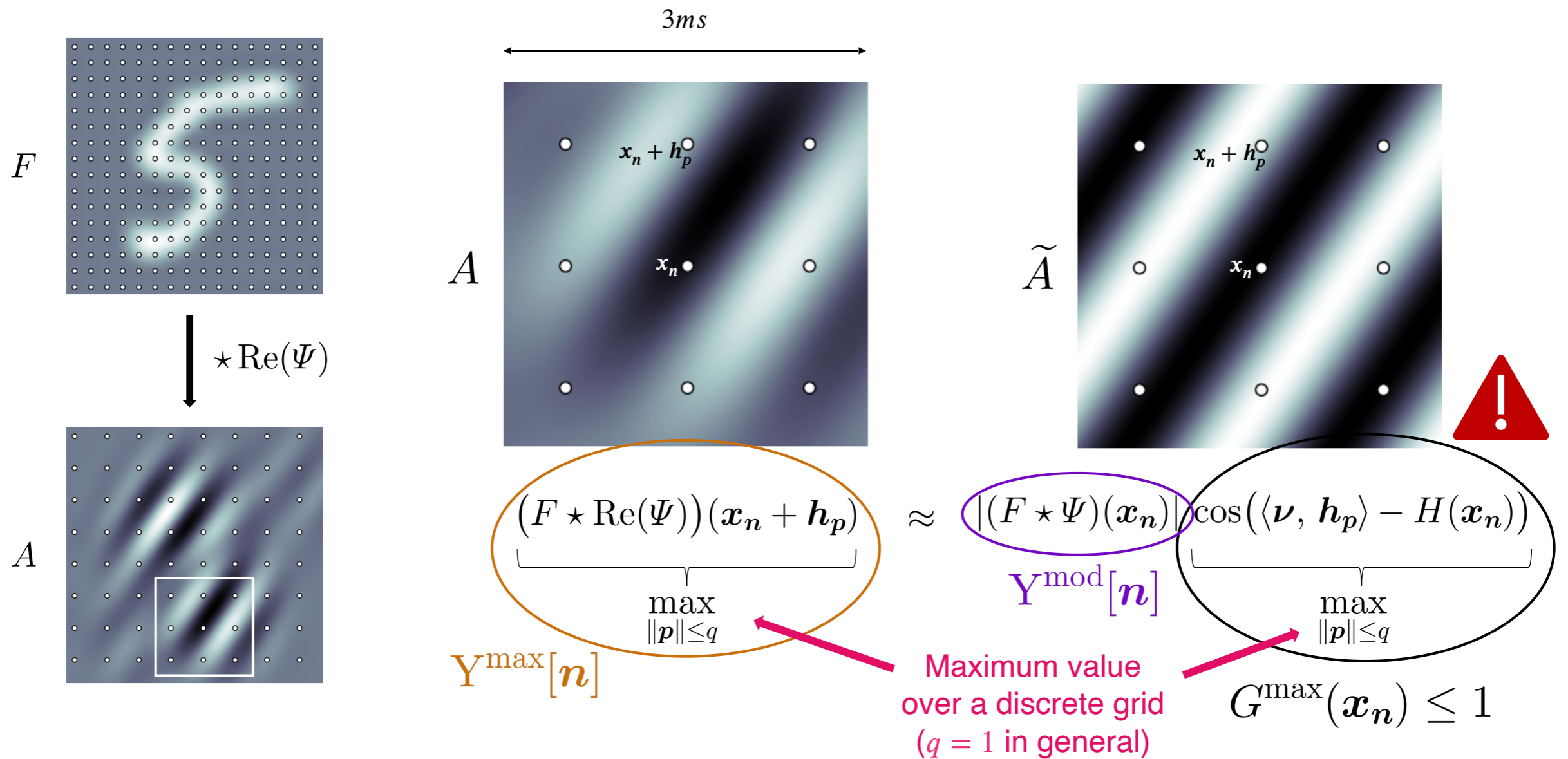
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$$q \ll 2\pi/(m\kappa) \quad \Longrightarrow \quad U_{m,q}^{\max} \mathbf{X}[\mathbf{n}] \approx U_{2m}^{\text{mod}} \mathbf{X}[\mathbf{n}] \max_{\|\mathbf{p}\|_{\infty} \leq q} G_{\mathbf{X}}(\mathbf{x}_{\mathbf{n}}, \mathbf{h}_{\mathbf{p}}),$$

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$$q \ll 2\pi / (m\kappa) \quad \implies \quad U_{m,q}^{\max} X[\mathbf{n}] \approx U_{2m}^{\text{mod}} X[\mathbf{n}] \quad \max_{\|\mathbf{p}\|_{\infty} \leq q} G_X(\mathbf{x}_n, h_p),$$

Not necessarily reaches 1

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$$q \ll 2\pi/(m\kappa) \implies \|U_{2m}^{\text{mod}} \mathbf{X} - U_{m,q}^{\max} \mathbf{X}\|_2 \approx \|\delta_{m,q} \mathbf{X}\|_2$$

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$$\delta_{m,q} \mathbf{X}[\mathbf{n}] := U_{2m}^{\text{mod}} \mathbf{X}[\mathbf{n}] \left( 1 - \max_{\|\mathbf{p}\|_{\infty} \leq q} G_{\mathbf{X}}(\mathbf{x}_{\mathbf{n}}, \mathbf{h}_{\mathbf{p}}) \right)$$

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**Theorem** (Bound on the difference of **CMod** and **RMax**)

If  $\kappa \leq \pi/m$  and under another reasonable hypothesis

$$\|U_{2m}^{\text{mod}} \mathbf{X} - U_{m,q}^{\max} \mathbf{X}\|_2 \leq \|\delta_{m,q} \mathbf{X}\|_2 + \beta_q(m\kappa) \|U_{2m}^{\text{mod}} \mathbf{X}\|_2$$

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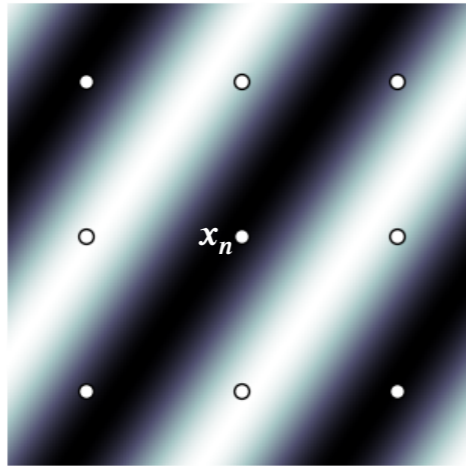
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**Theorem** (Bound on the difference of **CMod** and **RMax**)

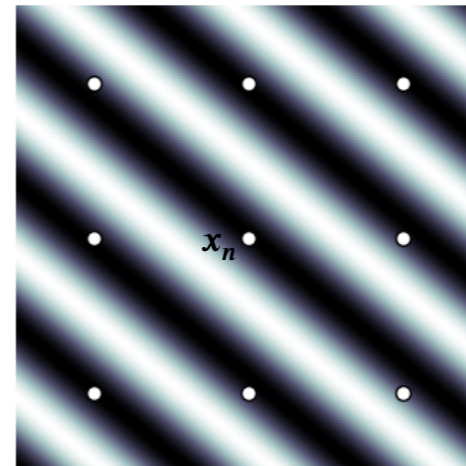
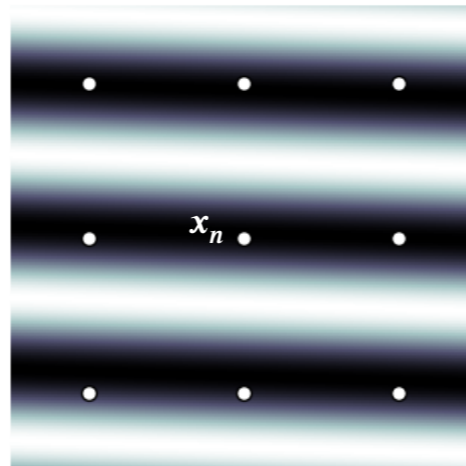
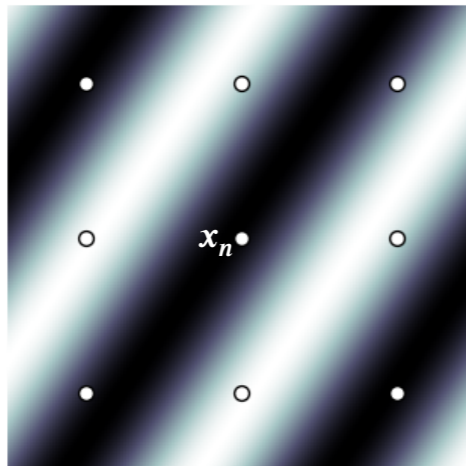
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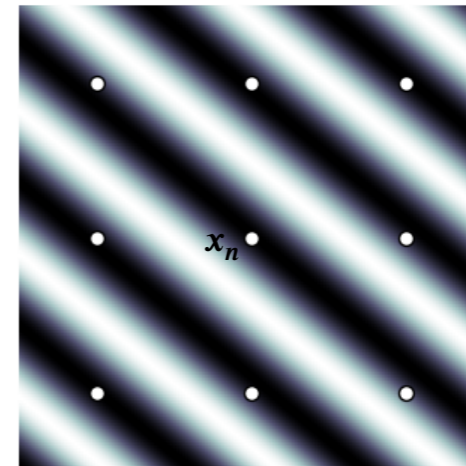
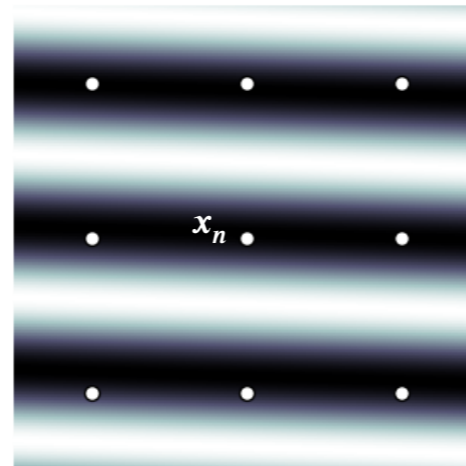
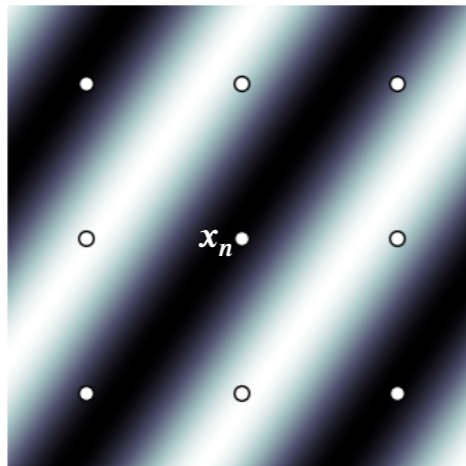
# Pathological frequencies



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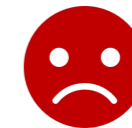
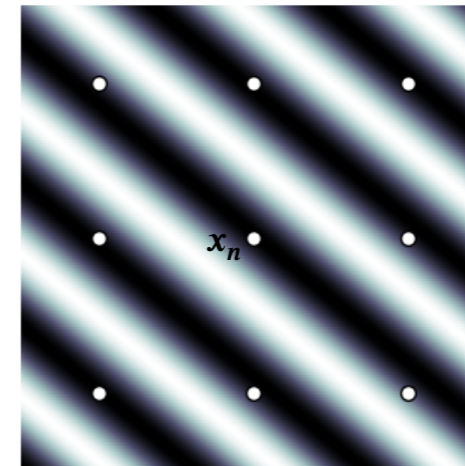
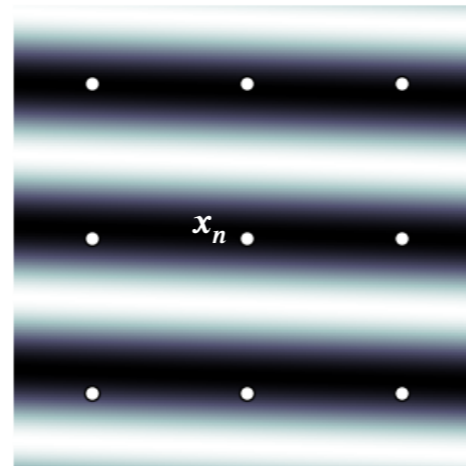
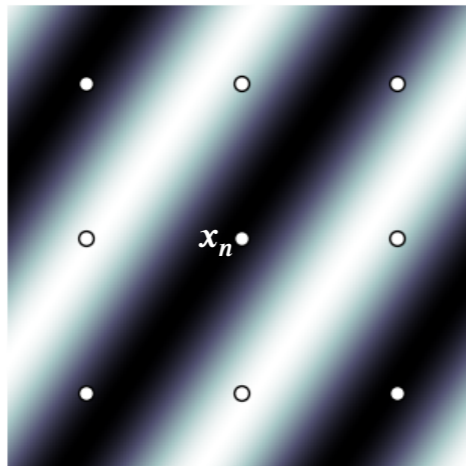


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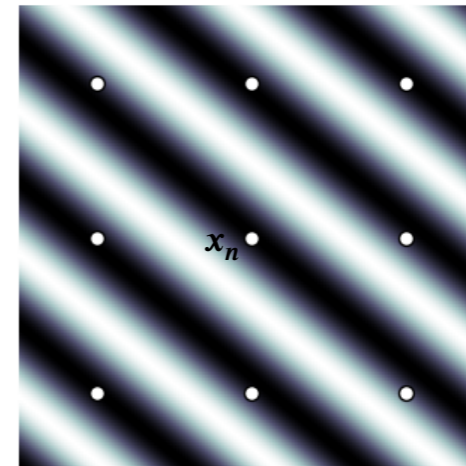
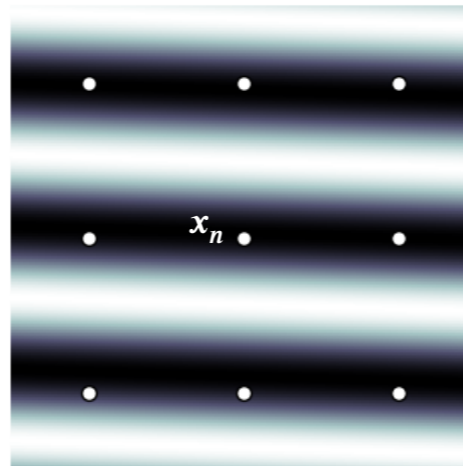
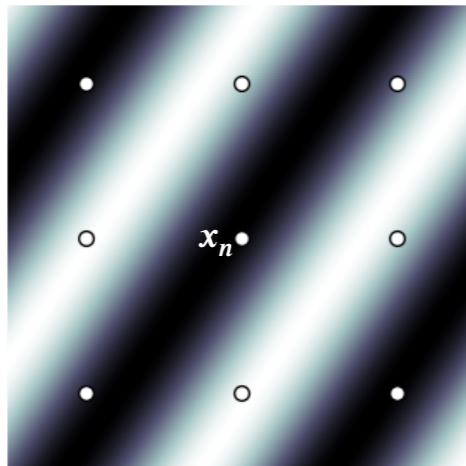
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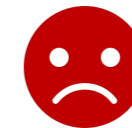
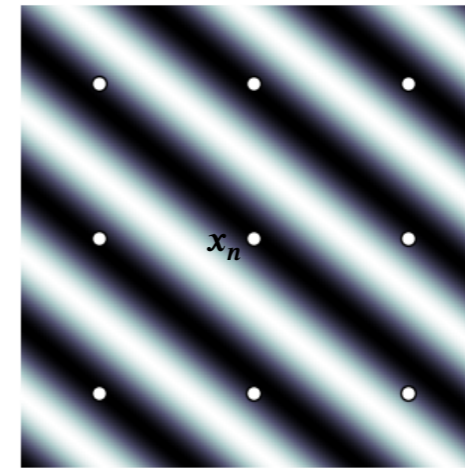
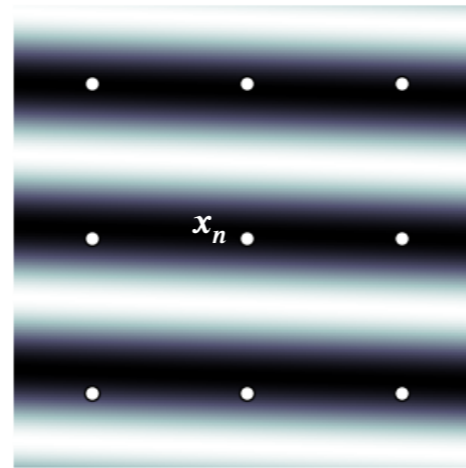
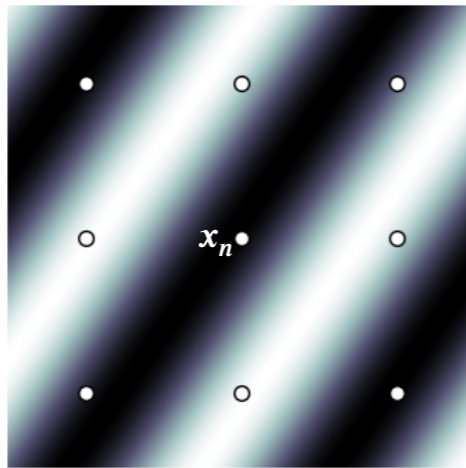
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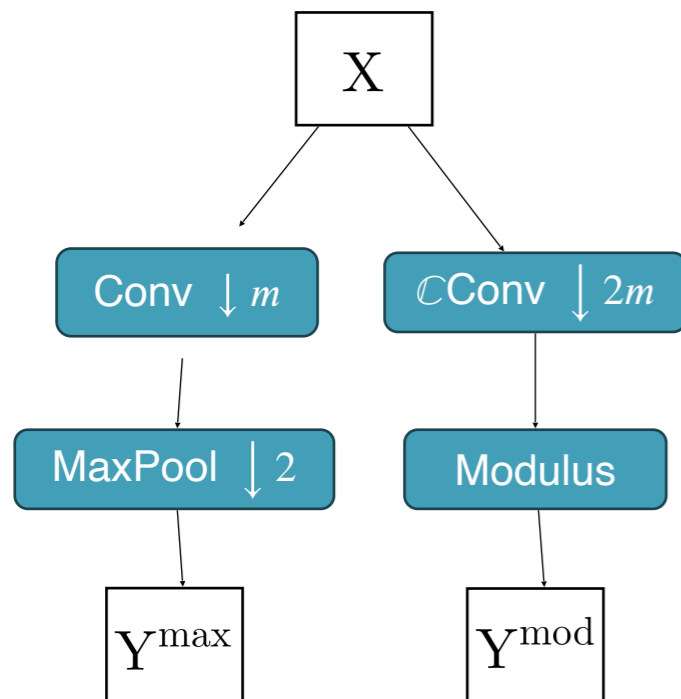
with  $G^{\max}(\mathbf{x}_n) = \max_{\|p\|_{\infty} \leq 1} \cos(\langle \nu, h_p \rangle - H(\mathbf{x}_n))$

Hypothesis: uniformly distributed



# Main result

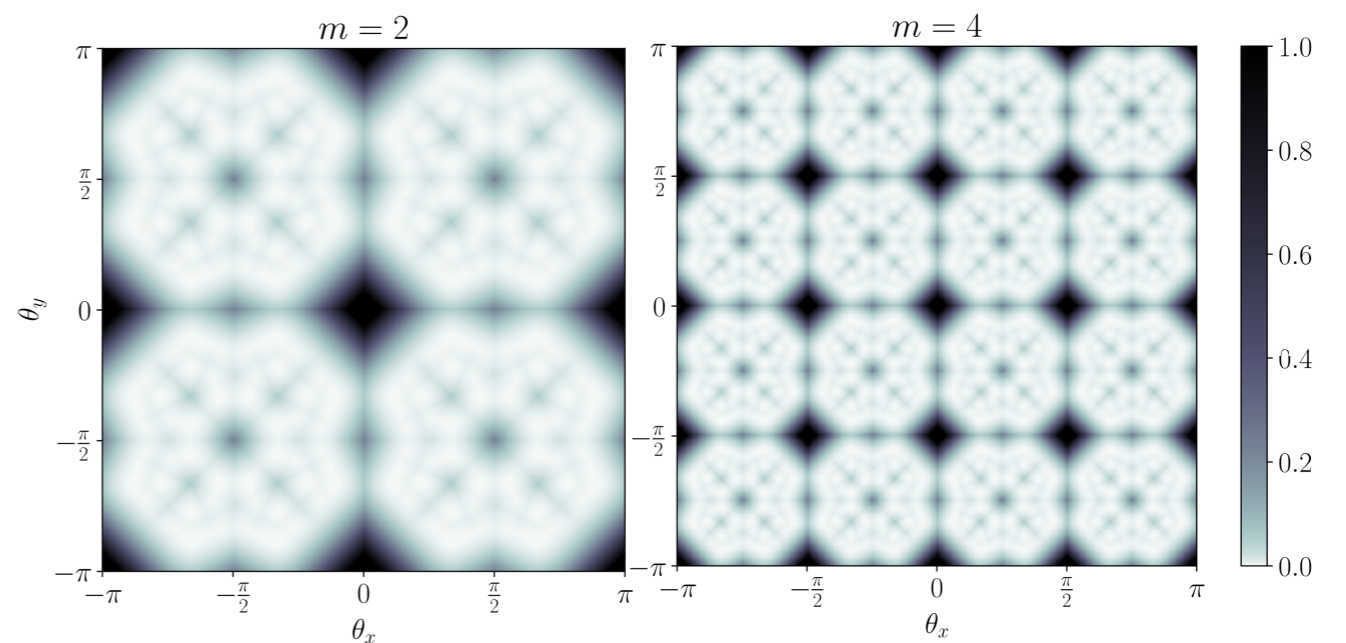
- MSE between  $\mathcal{CMod}$  and  $\mathcal{RMax}$  output



$$\mathbb{E} \left[ \frac{\|Y^{\max} - Y^{\text{mod}}\|_2^2}{\|Y^{\text{mod}}\|_2^2} \right] \leq (\beta_q(m\kappa) + \gamma_q(m\boldsymbol{\theta}))^2$$

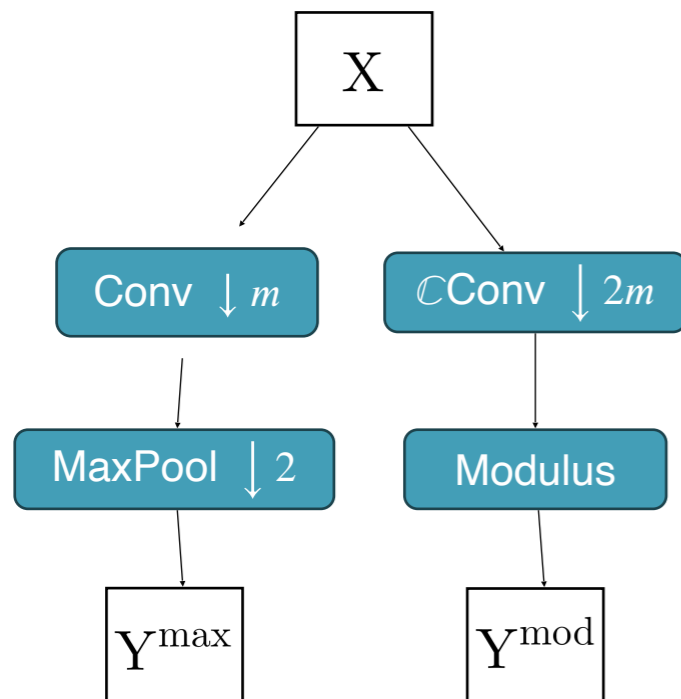
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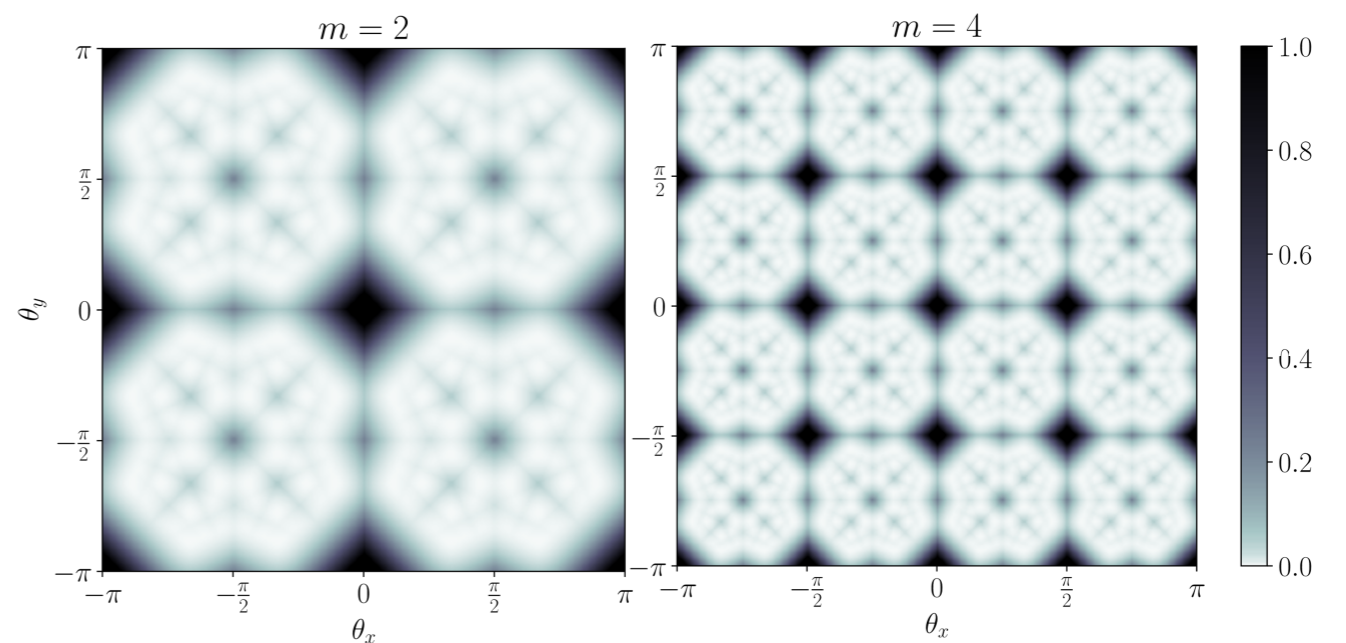


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Upper bound under hypothesis  $G^{\max} = 1$

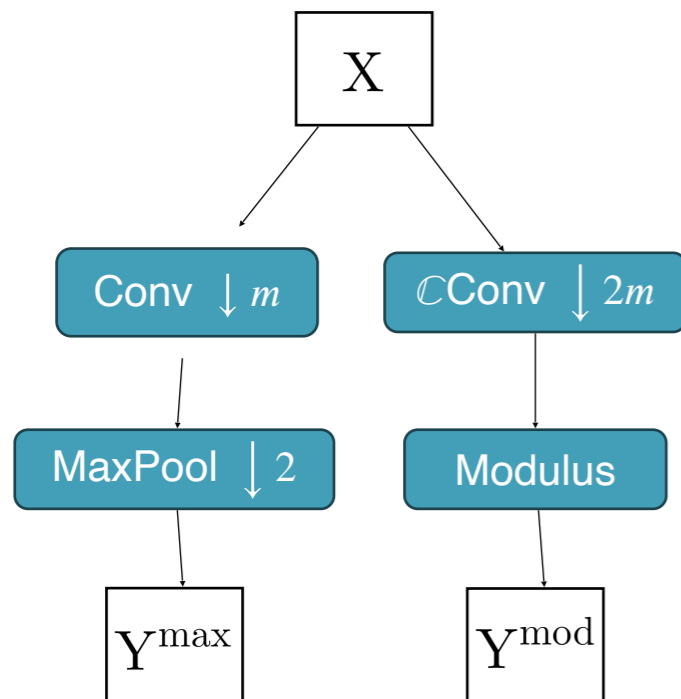
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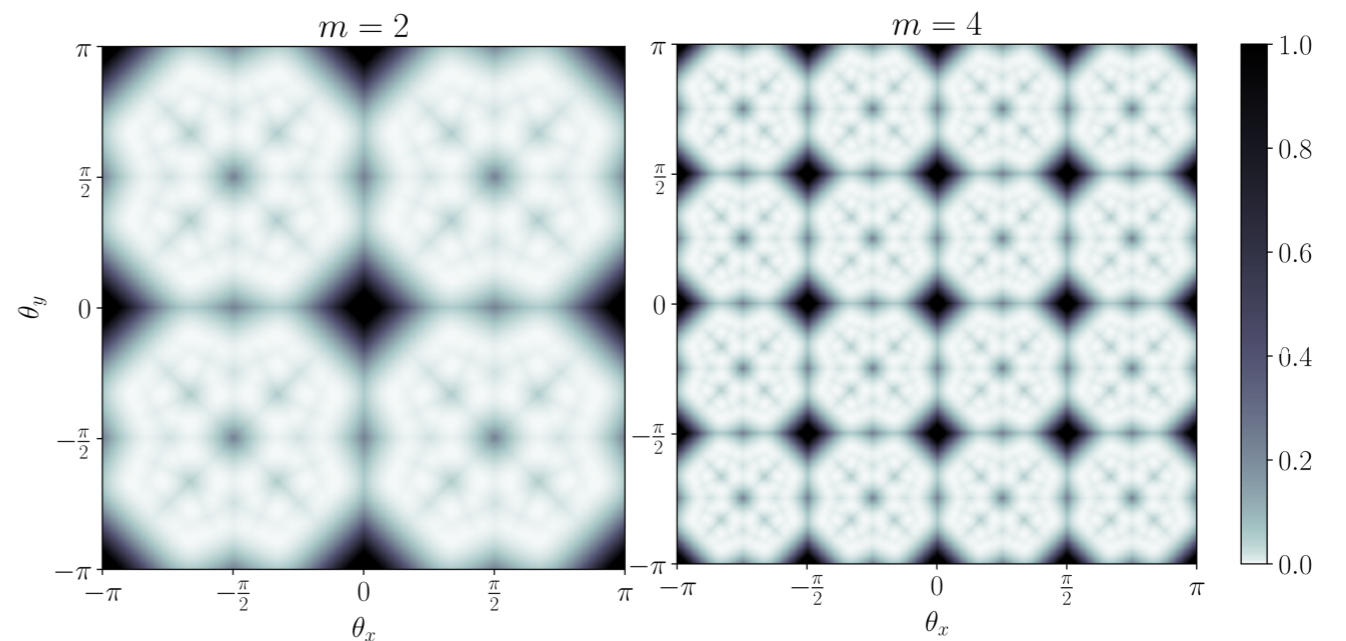
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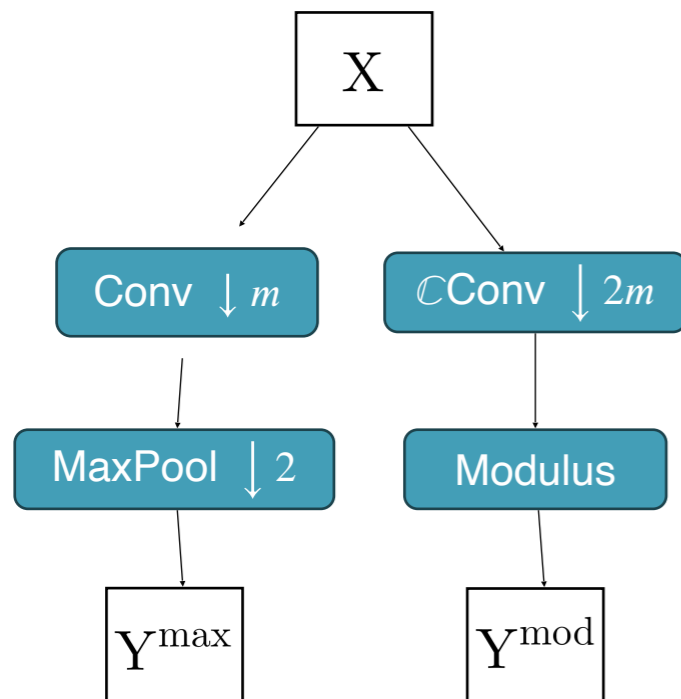
Discrete nature of the max pooling grid

$$\mathbb{E} \left[ (1 - G^{\max}(\mathbf{x}_n))^2 \right] \xrightarrow[\substack{\theta \mapsto \\ q=1}]{\gamma_q(m\theta)^2}$$



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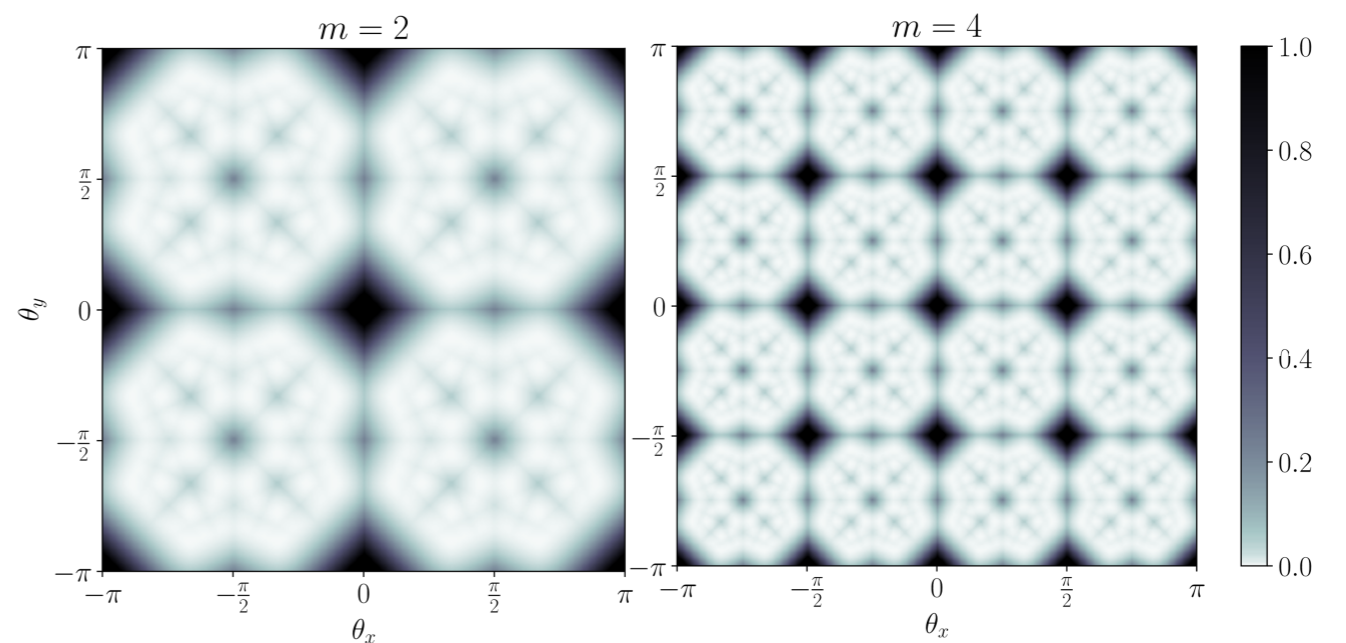


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$$\gamma_q(\omega) = \sqrt{\frac{3}{2} + \frac{1}{4\pi} \sum_{i=0}^{n_q-1} \left( \sin \delta H_i^{(q)}(\omega) - 8 \sin \frac{\delta H_i^{(q)}(\omega)}{2} \right)}$$



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- Split  $\mathbb{S}^1$  into  $n_q$  arcs delimited by the  $Z_i^{(q)}(\boldsymbol{\omega})$

$$\mathfrak{A}_i^{(q)}(\boldsymbol{\omega}) := \begin{cases} [Z_i^{(q)}(\boldsymbol{\omega}), Z_{i+1}^{(q)}(\boldsymbol{\omega})]_{\mathbb{S}^1} & \text{if } H_{i+1}^{(q)}(\boldsymbol{\omega}) - H_i^{(q)}(\boldsymbol{\omega}) < 2\pi; \\ \mathbb{S}^1 & \text{otherwise.} \end{cases}$$

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$Z_X : \mathbf{x} \mapsto e^{i H_X(\mathbf{x})}$  and  $Z_p : \boldsymbol{\omega} \mapsto e^{i \langle \boldsymbol{\omega}, \mathbf{p} \rangle}$   $\boldsymbol{\nu} = \boldsymbol{\theta} / s$

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- Sort  $\{Z_p(\boldsymbol{\omega})\}_{p \in \{-q..q\}^2} \longrightarrow (Z_i^{(q)}(\boldsymbol{\omega}))_{i \in \{0..n_q-1\}}$   $n_q := (2q + 1)^2$

in ascending order of their argument:

$$0 = H_0^{(q)}(\boldsymbol{\omega}) \leq \dots \leq H_{n_q-1}^{(q)}(\boldsymbol{\omega}) < 2\pi$$

$$H_{n_q}^{(q)}(\boldsymbol{\omega}) := 2\pi$$

$$Z_{n_q}^{(q)}(\boldsymbol{\omega}) := 1$$

- Split  $\mathbb{S}^1$  into  $n_q$  arcs delimited by the  $Z_i^{(q)}(\boldsymbol{\omega})$

$$\mathfrak{A}_i^{(q)}(\boldsymbol{\omega}) := \begin{cases} [Z_i^{(q)}(\boldsymbol{\omega}), Z_{i+1}^{(q)}(\boldsymbol{\omega})]_{\mathbb{S}^1} & \text{if } H_{i+1}^{(q)}(\boldsymbol{\omega}) - H_i^{(q)}(\boldsymbol{\omega}) < 2\pi; \\ \mathbb{S}^1 & \text{otherwise.} \end{cases}$$

$\delta H_i^{(q)}(\boldsymbol{\omega})$



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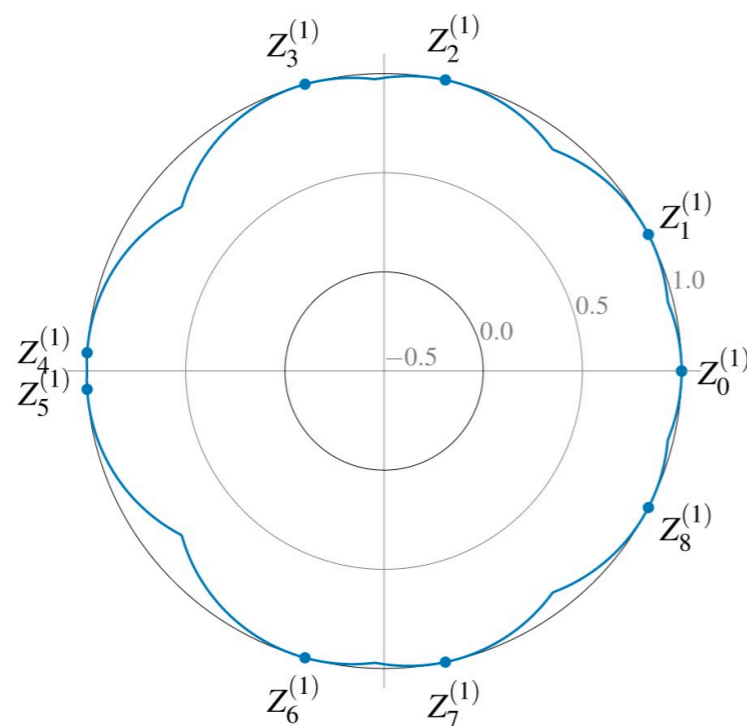
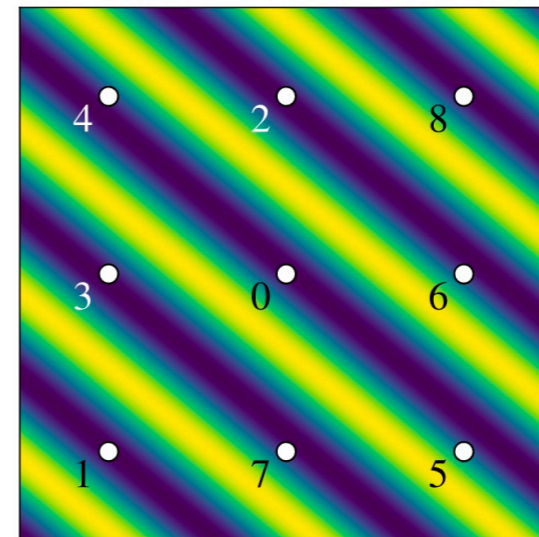
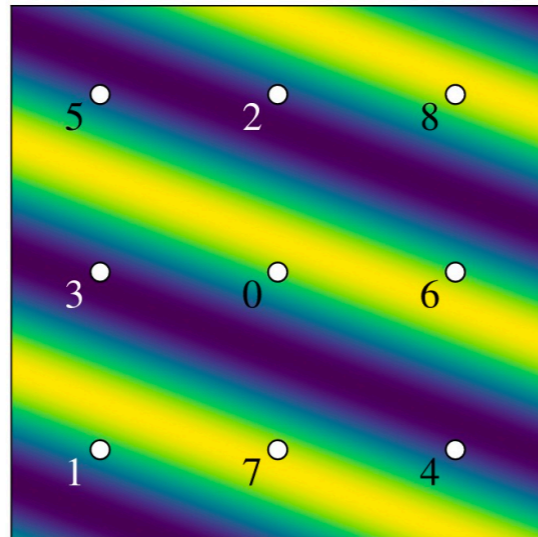
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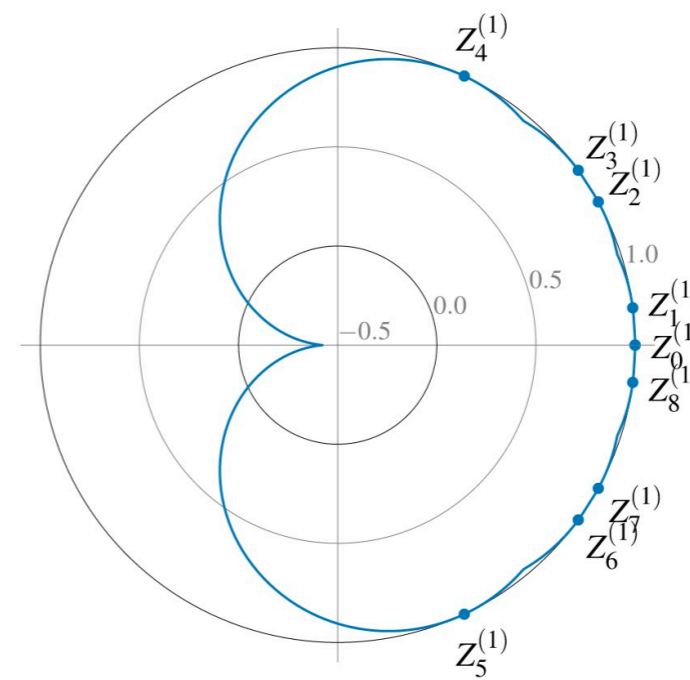
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(a) General case



(b) Pathological case

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$$\blacksquare \quad \mathbb{E} [\mathbf{G}_X^{\max}(\mathbf{x})] = \frac{1}{\pi} \sum_{i=0}^{n_q-1} \sin \frac{\delta H_i^{(q)}}{2};$$

$$\blacksquare \quad \mathbb{E} [\mathbf{G}_X^{\max}(\mathbf{x})^2] = \frac{1}{2} + \frac{1}{4\pi} \sum_{i=0}^{n_q-1} \sin \delta H_i^{(q)}.$$

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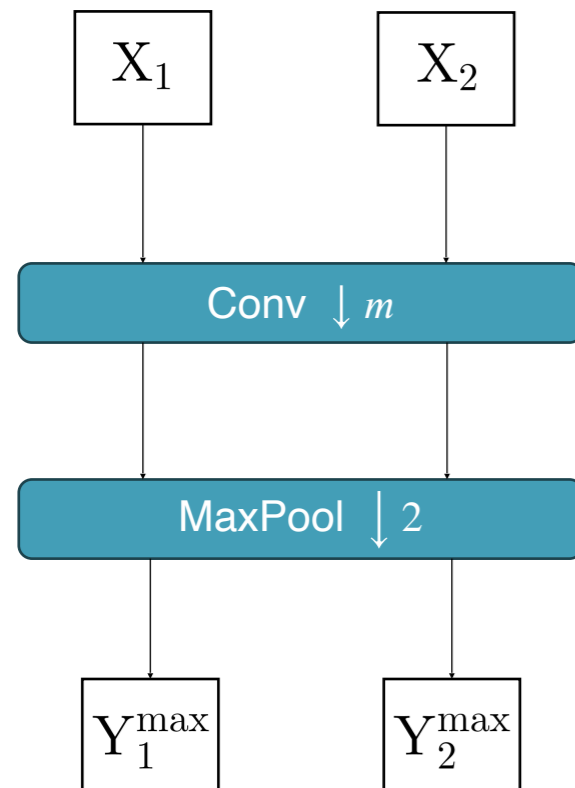
$\blacksquare$  By linearity of the expected value

$$\mathbb{E} [Q_X(\mathbf{x})^2] := \frac{3}{2} + \frac{1}{4\pi} \sum_{i=0}^{n_q-1} \left( \sin \delta H_i^{(q)} - 8 \sin \frac{\delta H_i^{(q)}}{2} \right)$$

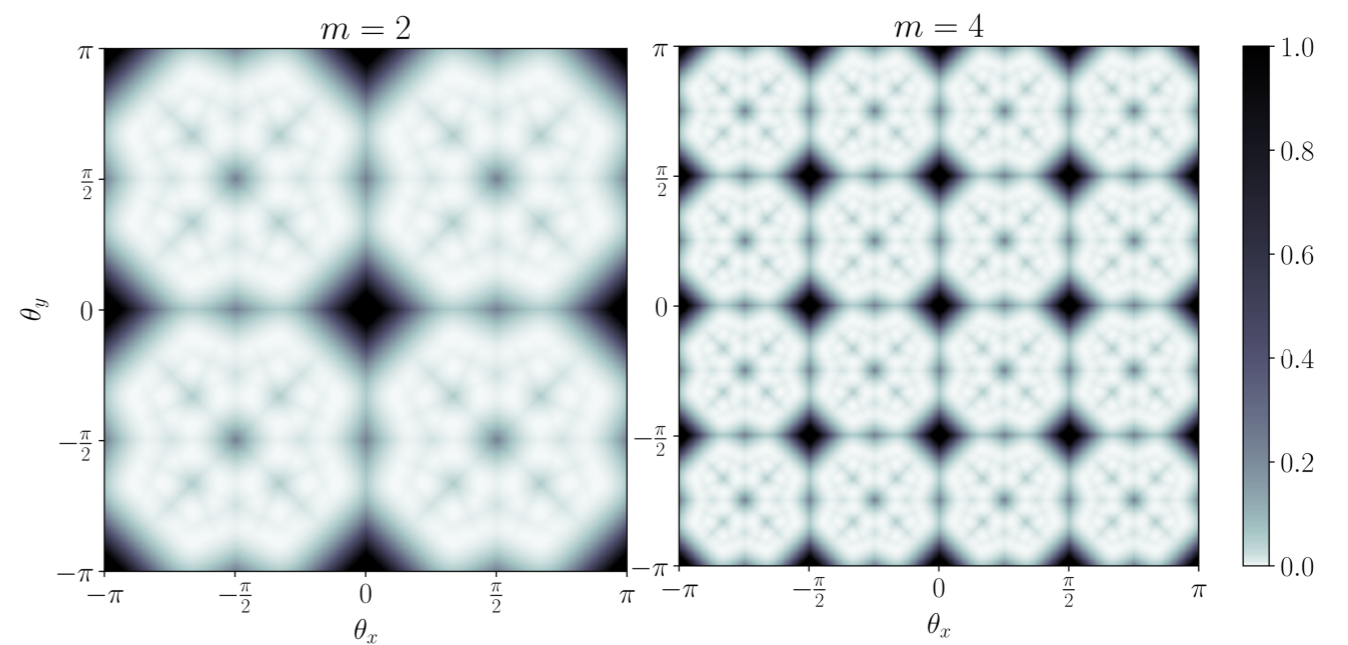


# Main result

- Shift invariance of  $\mathbb{R}\text{Max}$  outputs

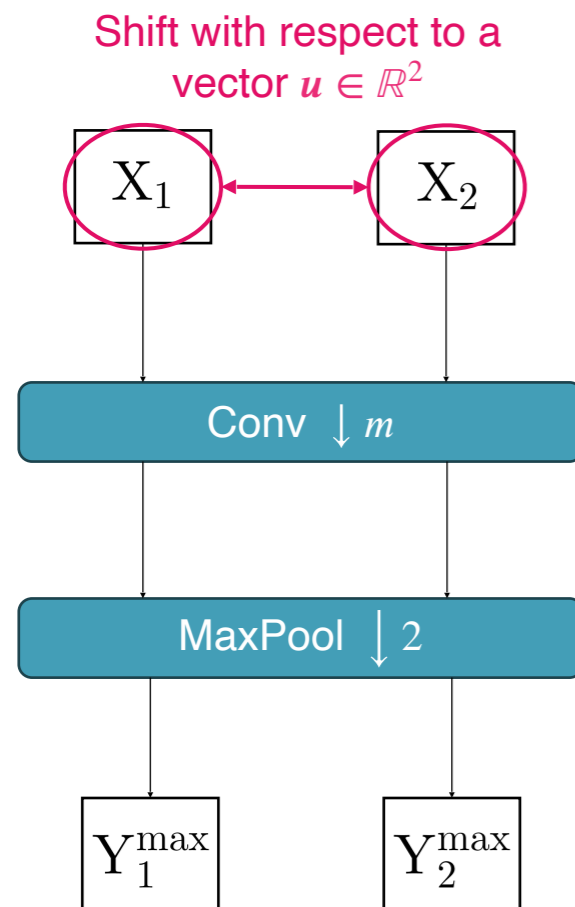


$$\theta \mapsto \gamma_q(m\theta)^2$$
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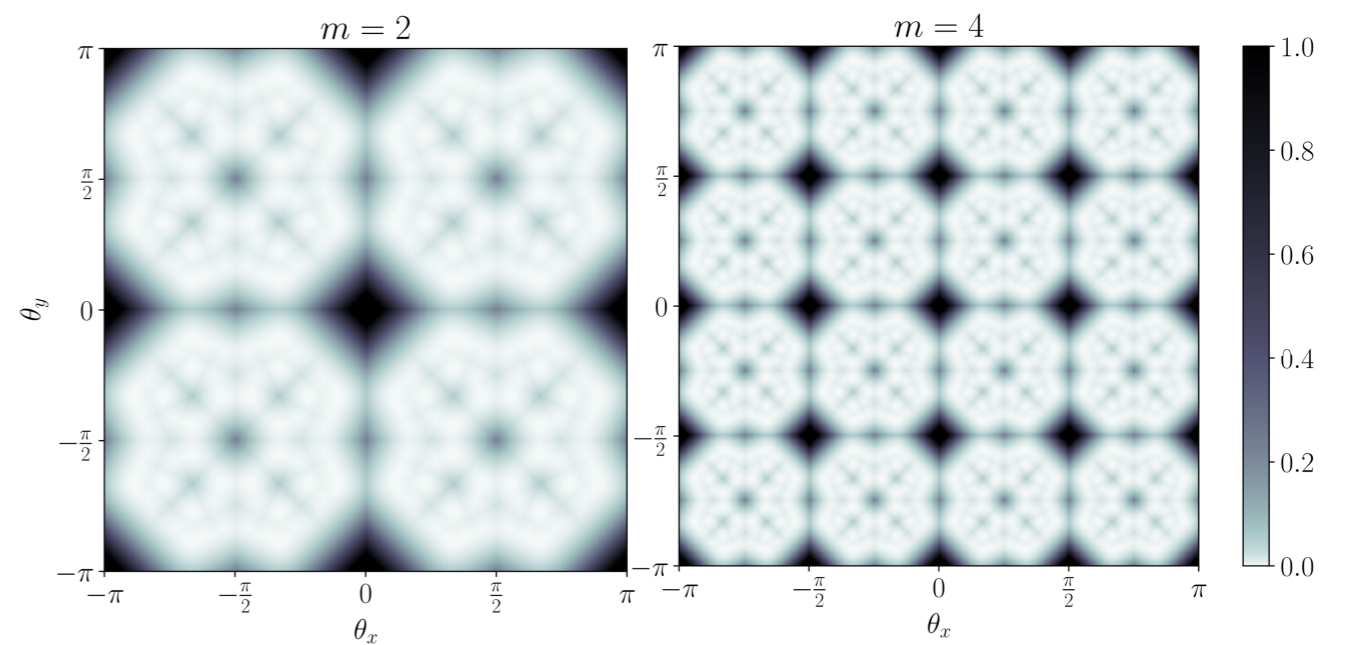


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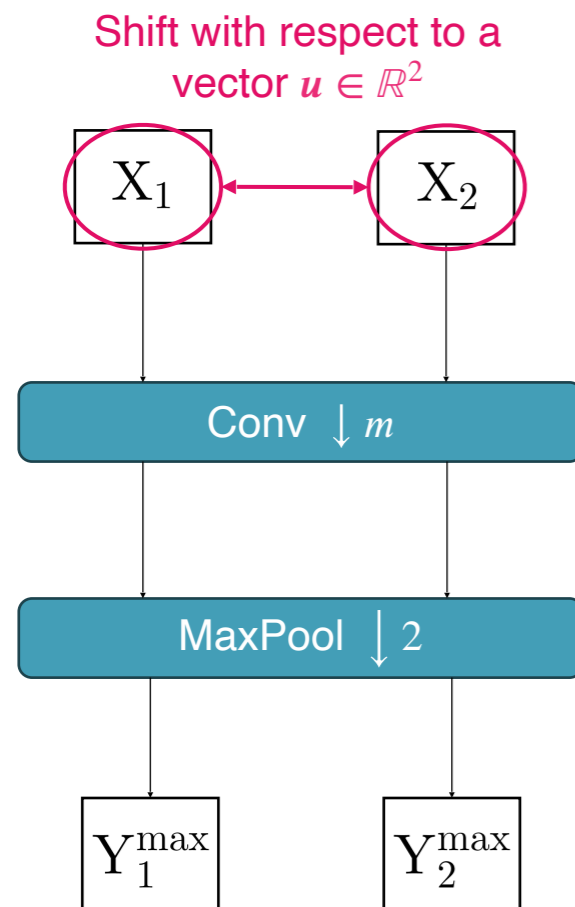


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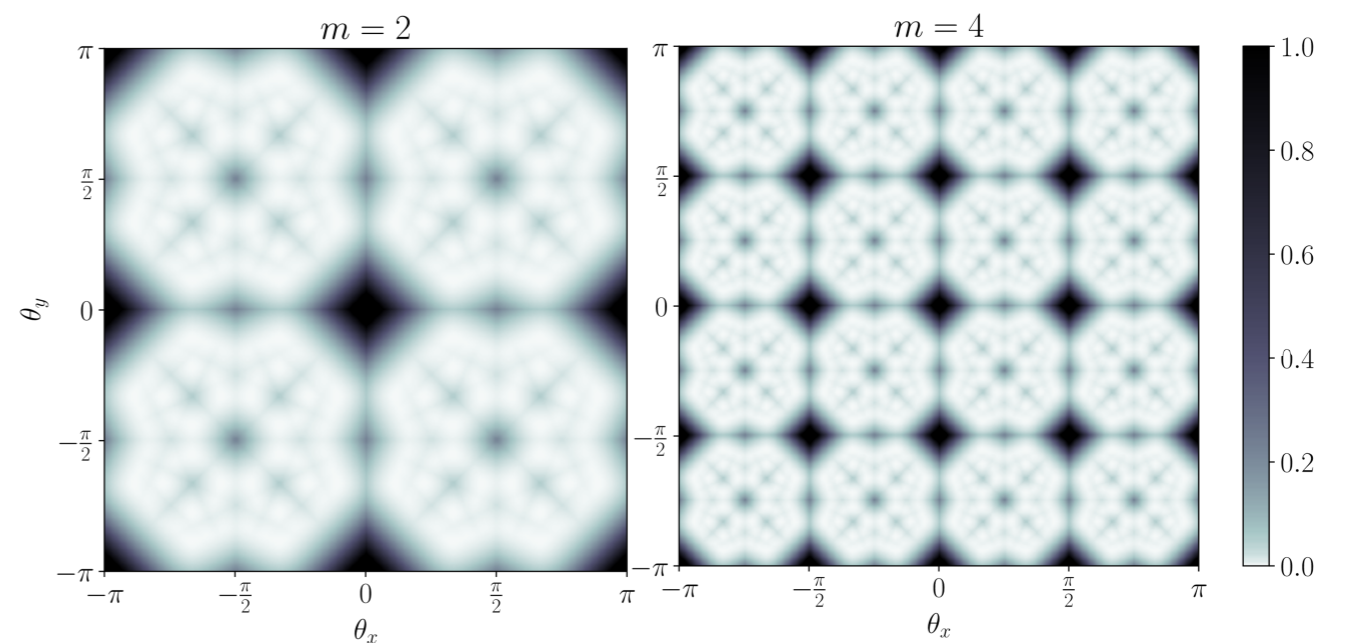
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$$\mathbb{E} \left[ \frac{\|Y_1^{\max} - Y_2^{\max}\|_2}{\|Y_1^{\text{mod}}\|_2} \right] \leq 2(\beta_q(m\kappa) + \gamma_q(m\boldsymbol{\theta})) + \alpha(\kappa\mathbf{u})$$

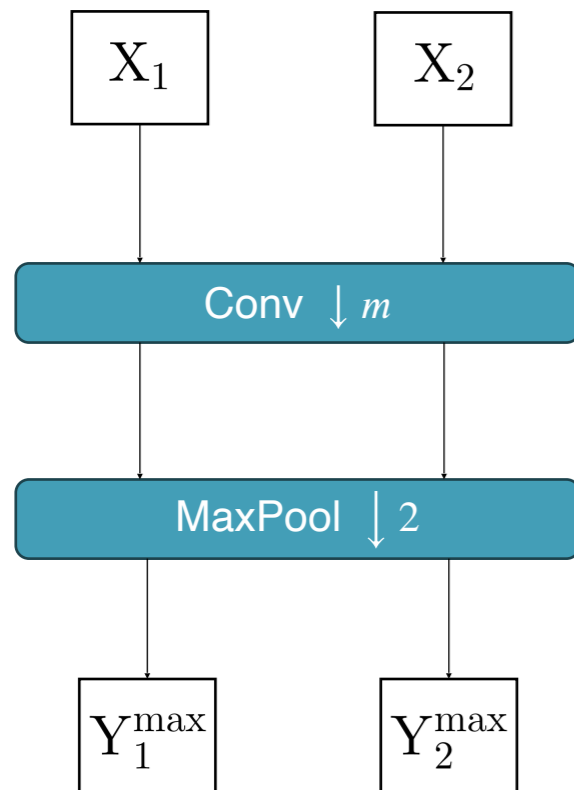
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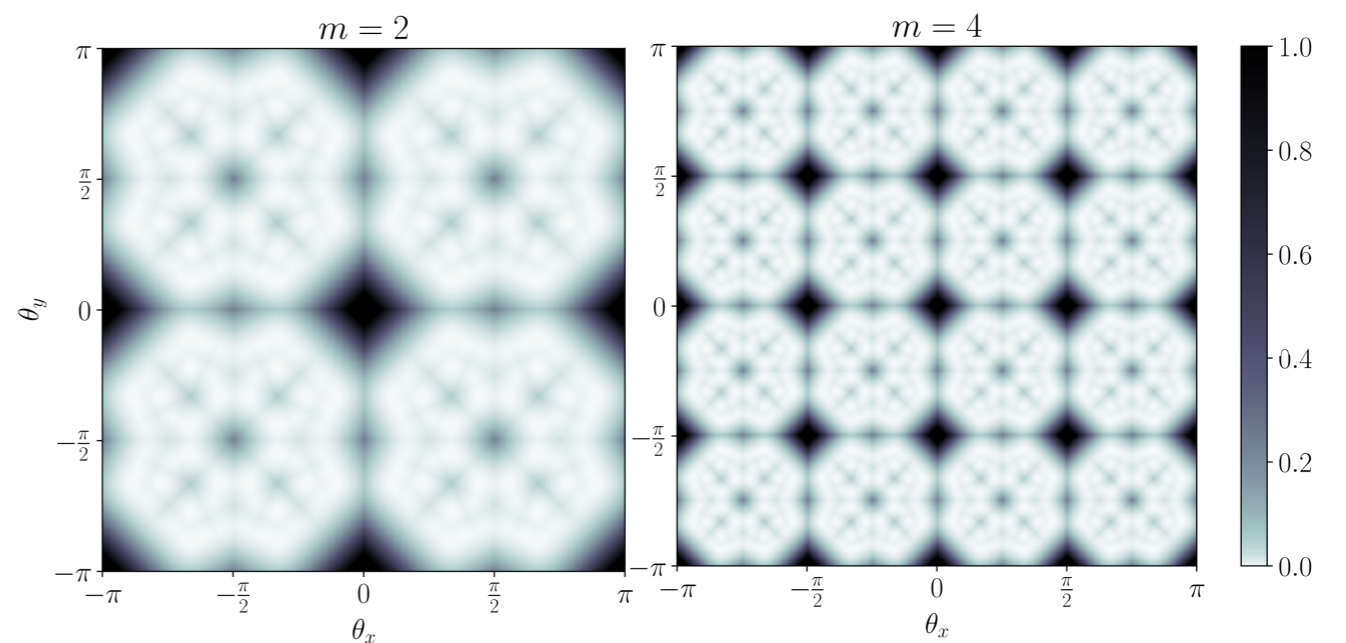


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Divergence  $\mathbb{R}\text{Max}$ -CMod

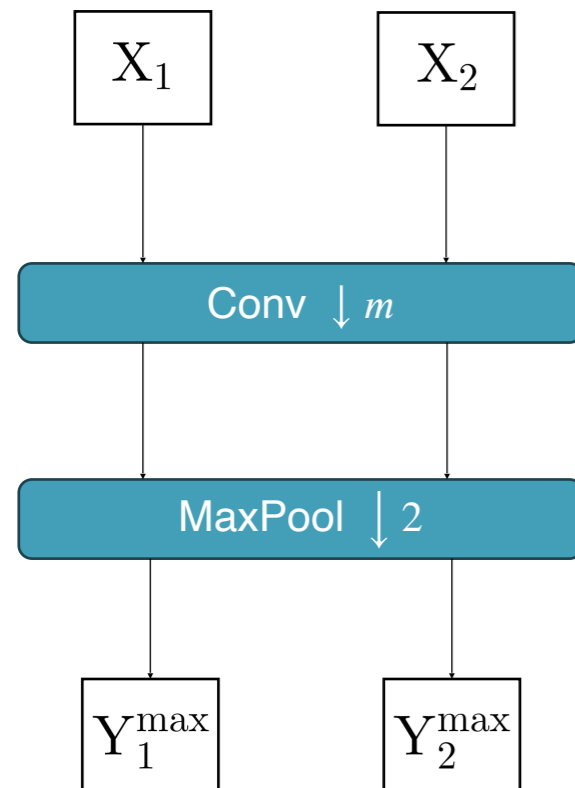
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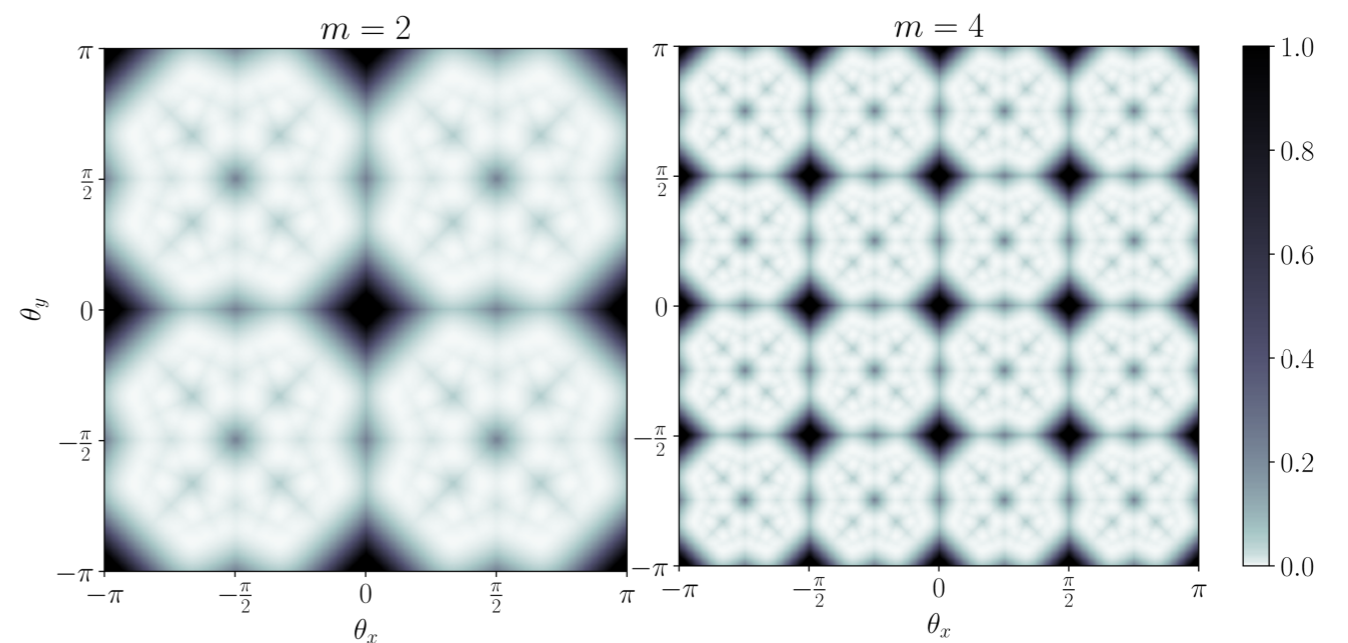


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Shift invariance  
of  $\mathcal{C}\text{Mod}$  ( $O(\kappa u)$ )

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# Experiments

## ■ Filters generated by the DT-CWPT

**Case  $J = 2$**  (two levels of dual-tree decomposition):

$$\kappa = \pi/2;$$

$$m = 2;$$

32 filters + complex conjugates.



# Experiments

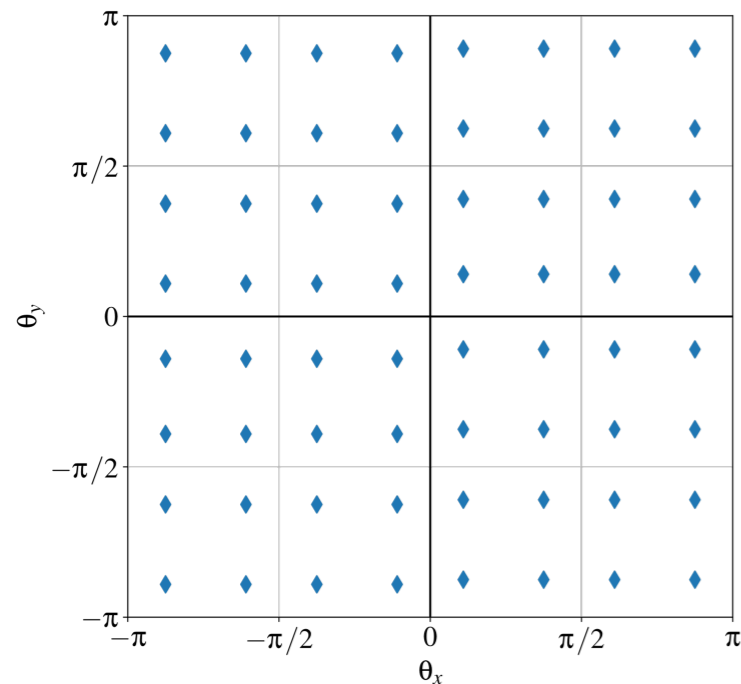
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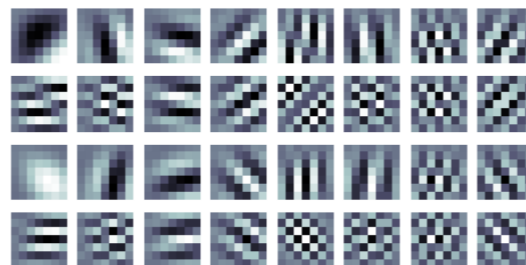
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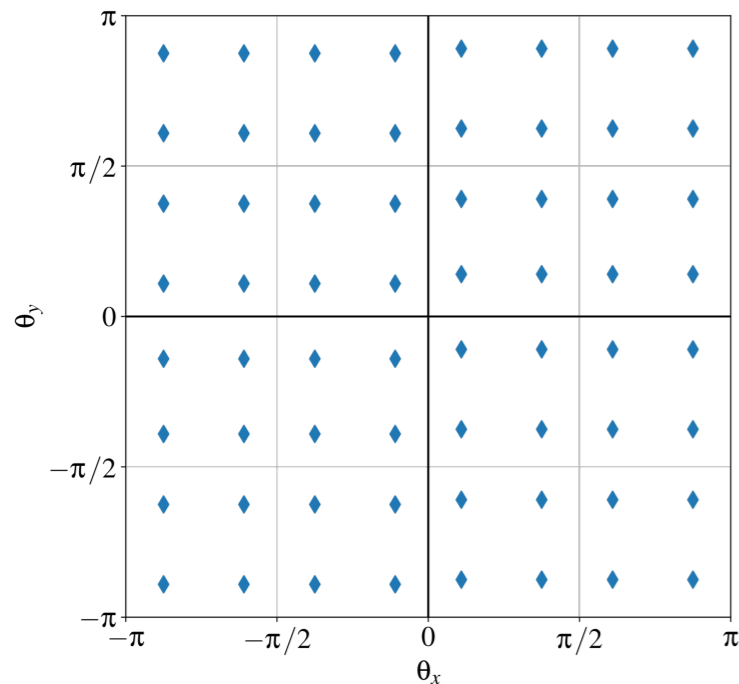


Spatial domain



Fourier domain

DT-CWPT  
(real part only)



# Experiments

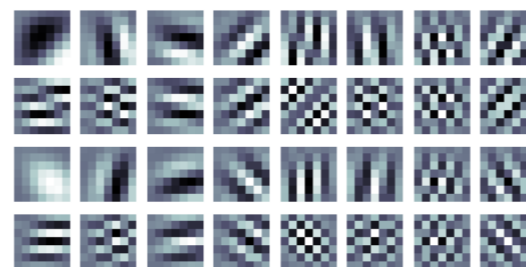
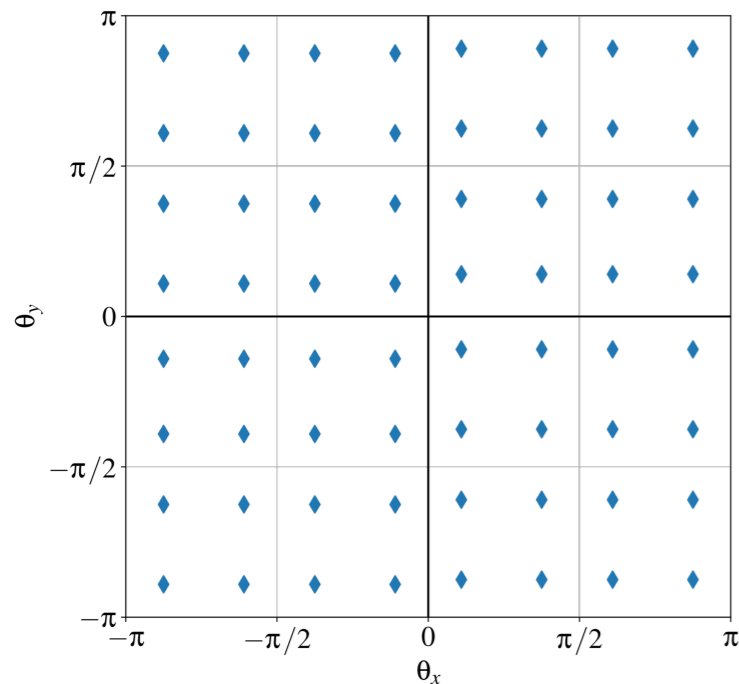
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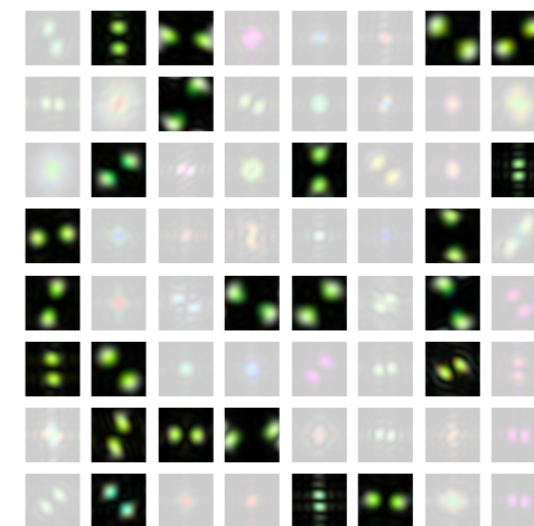
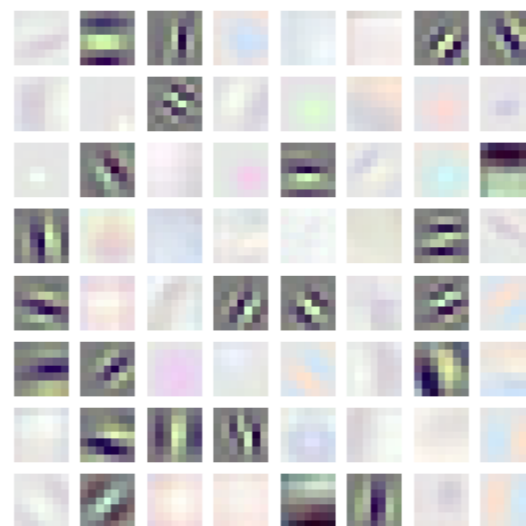


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ResNet-34

# Experiments

## ■ Filters generated by the DT-CWPT

**Case  $J = 3$**  (three levels of dual-tree decomposition):

$$\kappa = \pi/4;$$

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128 filters + complex conjugates.

# Experiments

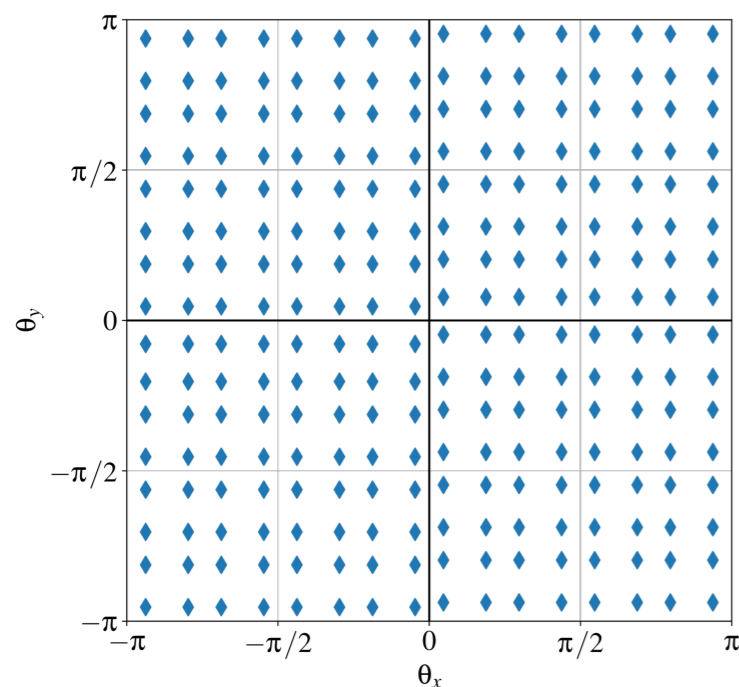
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# Experiments

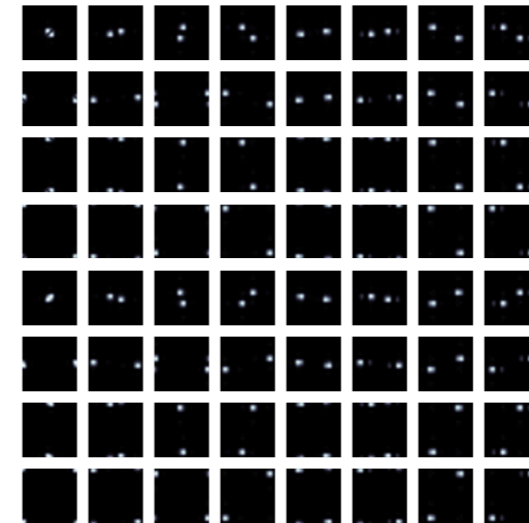
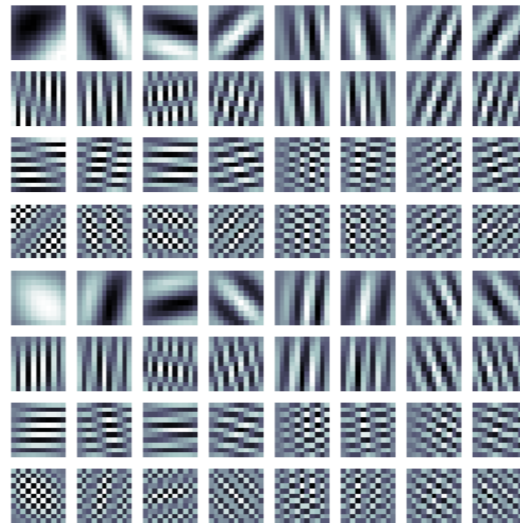
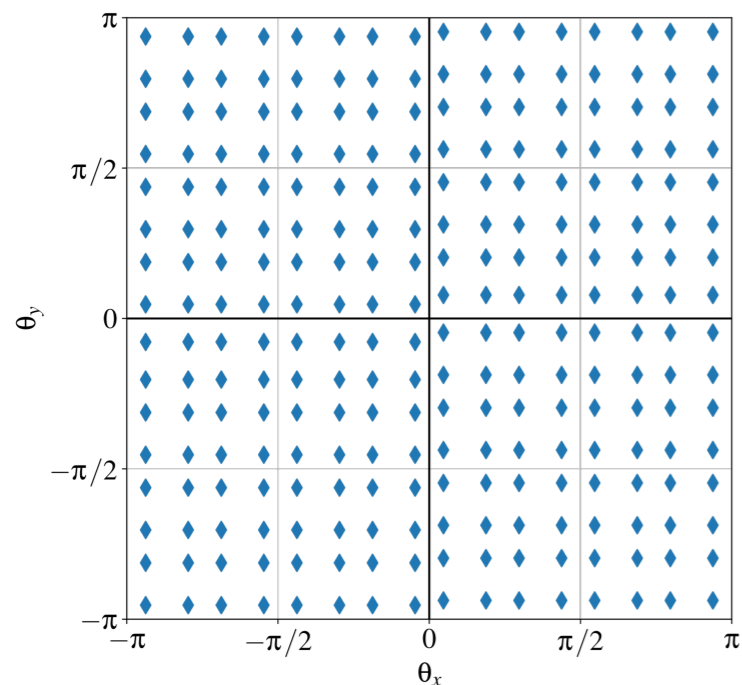
## ■ Filters generated by the DT-CWPT

**Case  $J = 3$**  (three levels of dual-tree decomposition):

$$\kappa = \pi/4;$$

$$m = 4;$$

128 filters + complex conjugates.



DT-CWPT  
(subset, real  
part only)

# Experiments

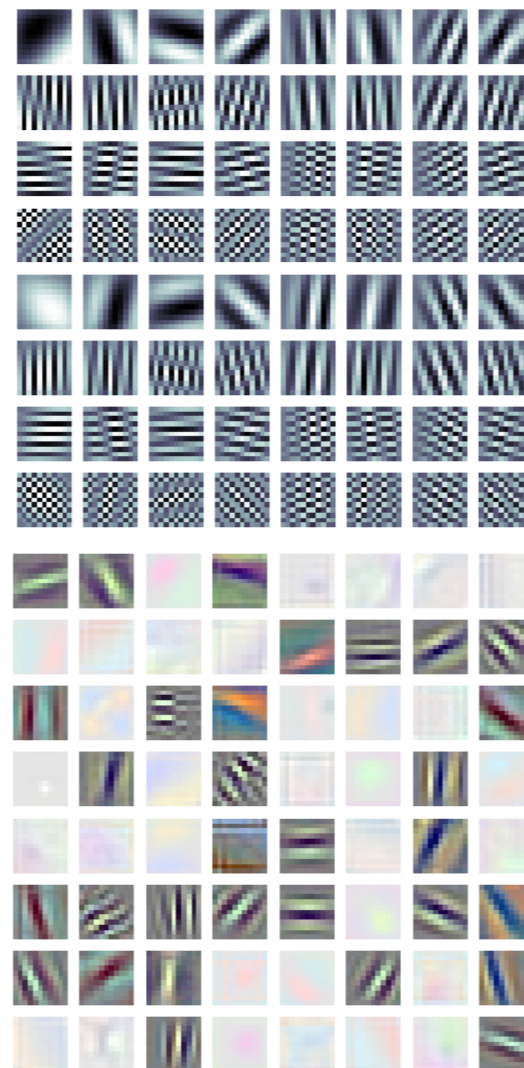
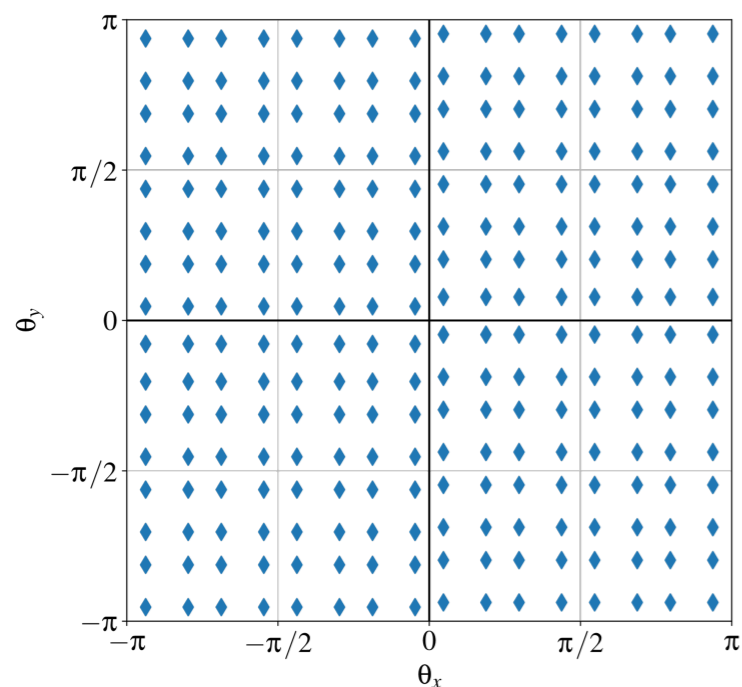
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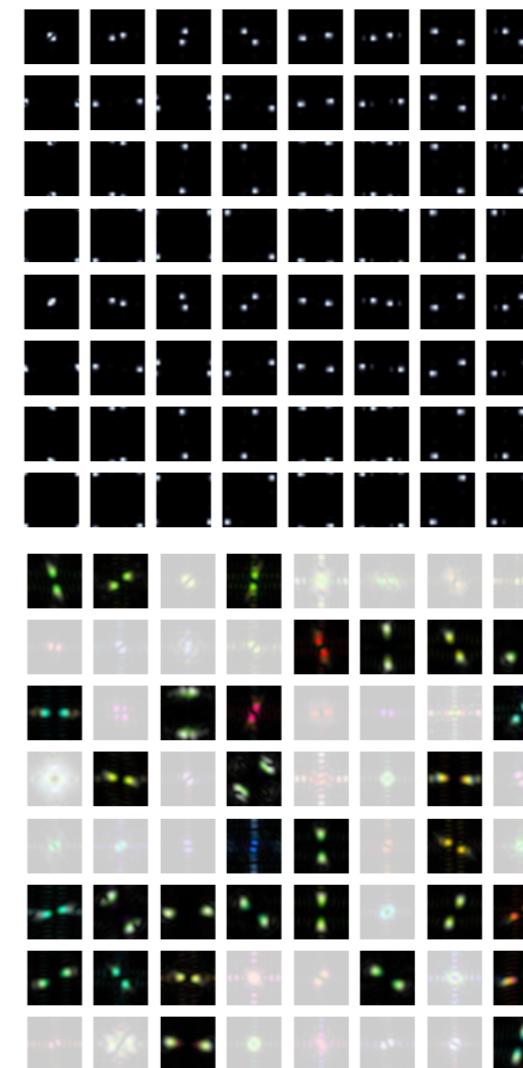
$$\kappa = \pi/4;$$

$$m = 4;$$

128 filters + complex conjugates.



Spatial domain



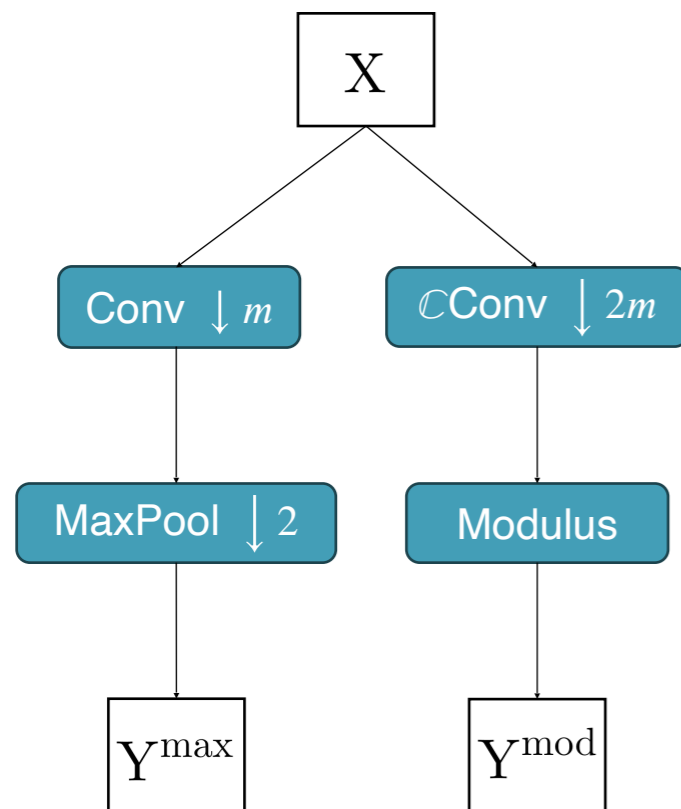
Fourier domain

DT-CWPT  
(subset, real  
part only)

AlexNet

# Experiments

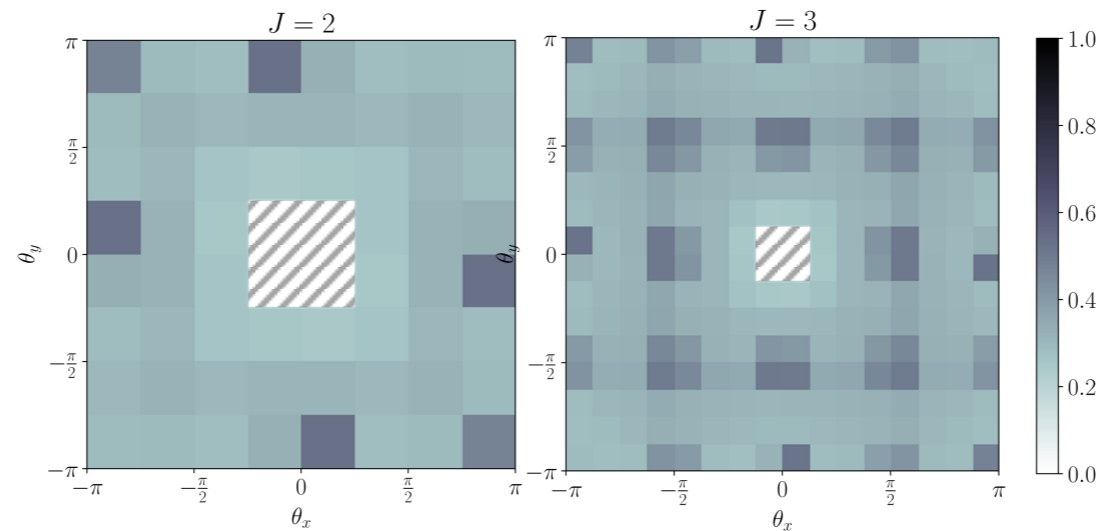
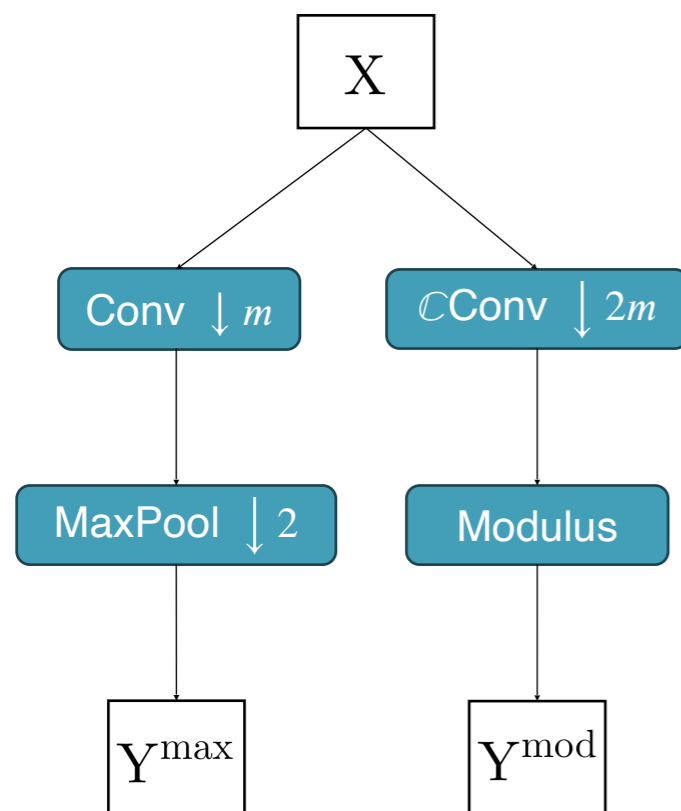
- Normalized MSE between  $\mathbb{C}\text{Mod}$  and  $\mathbb{R}\text{Max}$





# Experiments

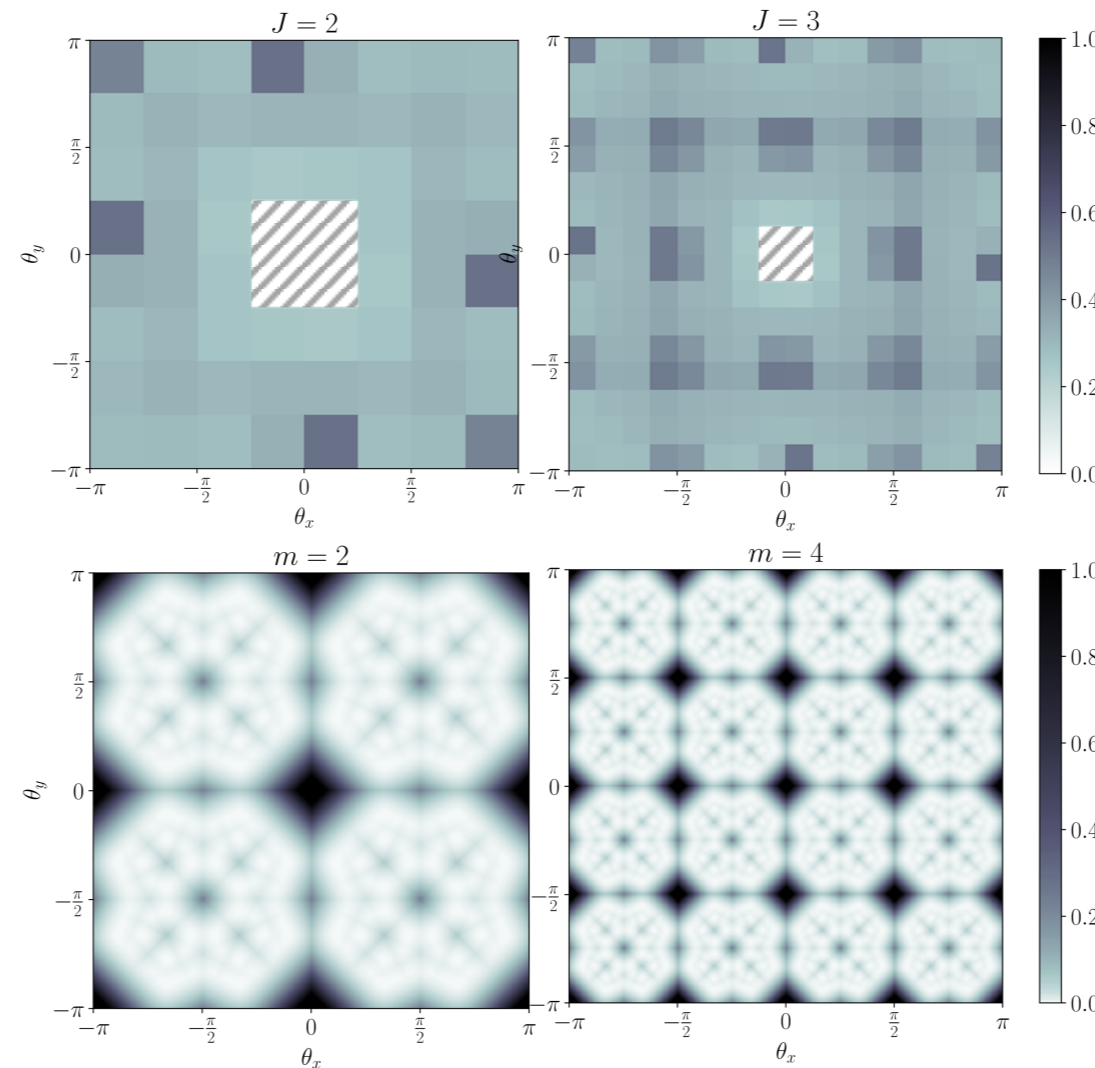
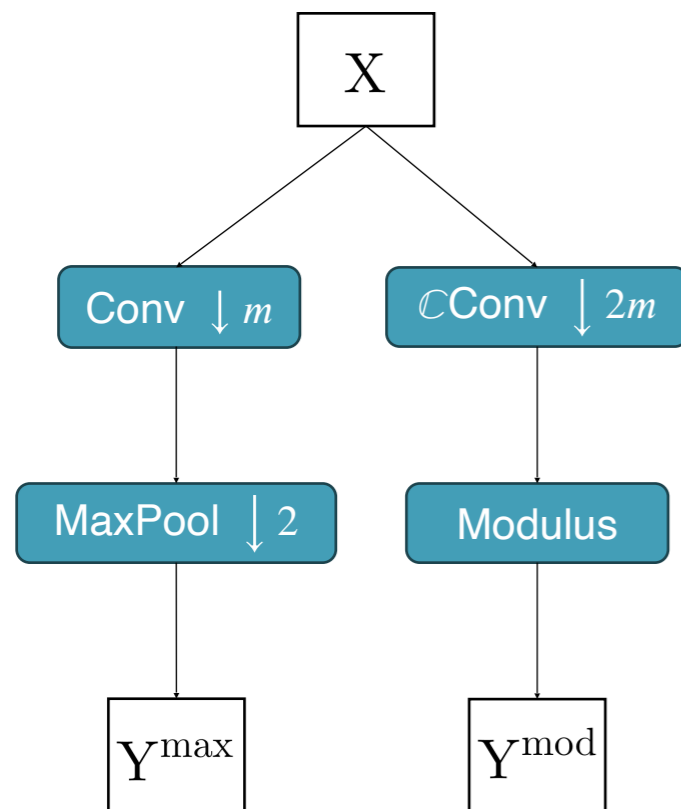
- Normalized MSE between  $\mathcal{CMod}$  and  $\mathcal{RMax}$



$$\rho^2 = \frac{\|Y^{\max} - Y^{\text{mod}}\|_2^2}{\|Y^{\text{mod}}\|_2^2}$$

# Experiments

- Normalized MSE between  $\mathcal{C}\text{Mod}$  and  $\mathcal{R}\text{Max}$



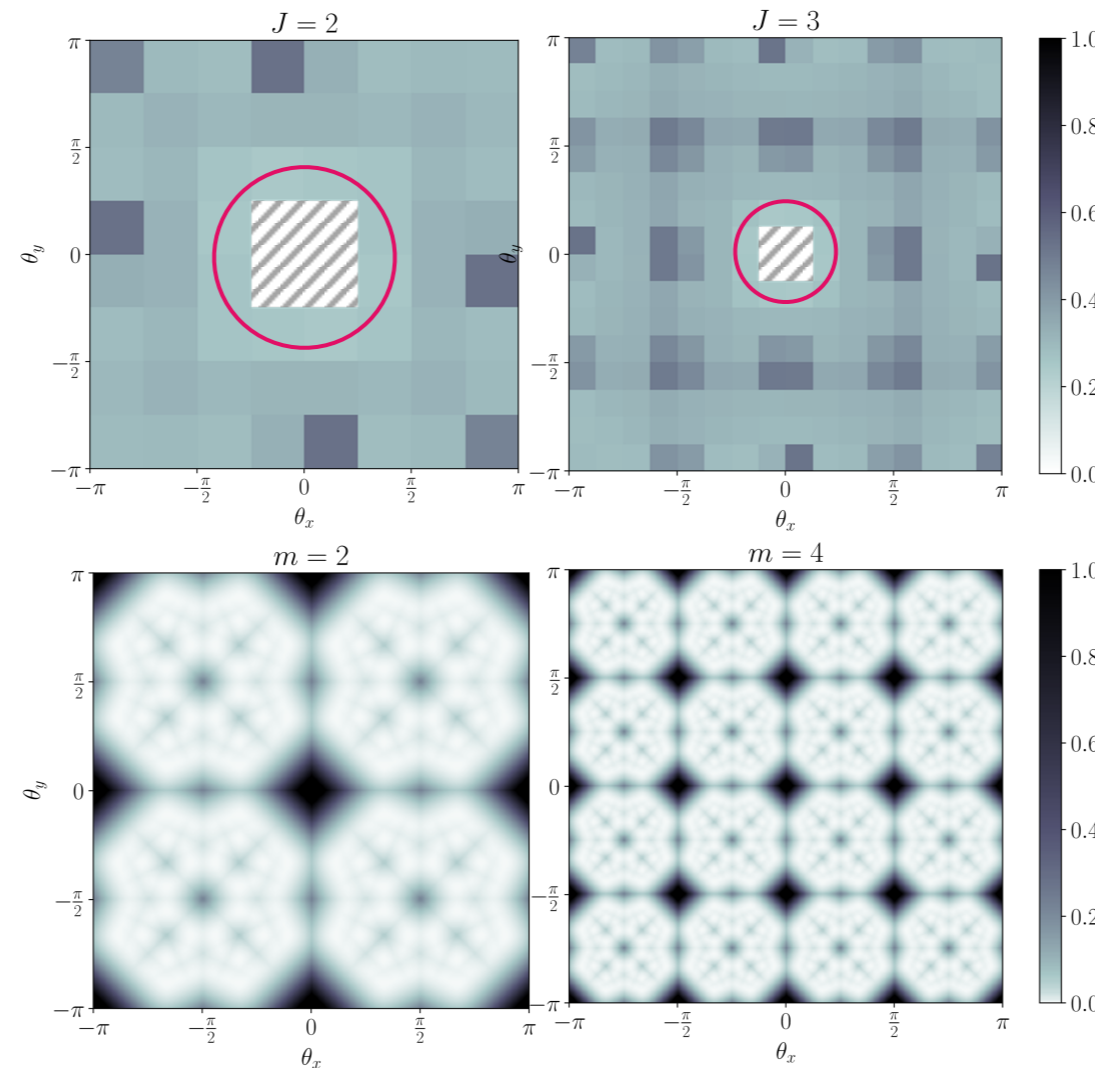
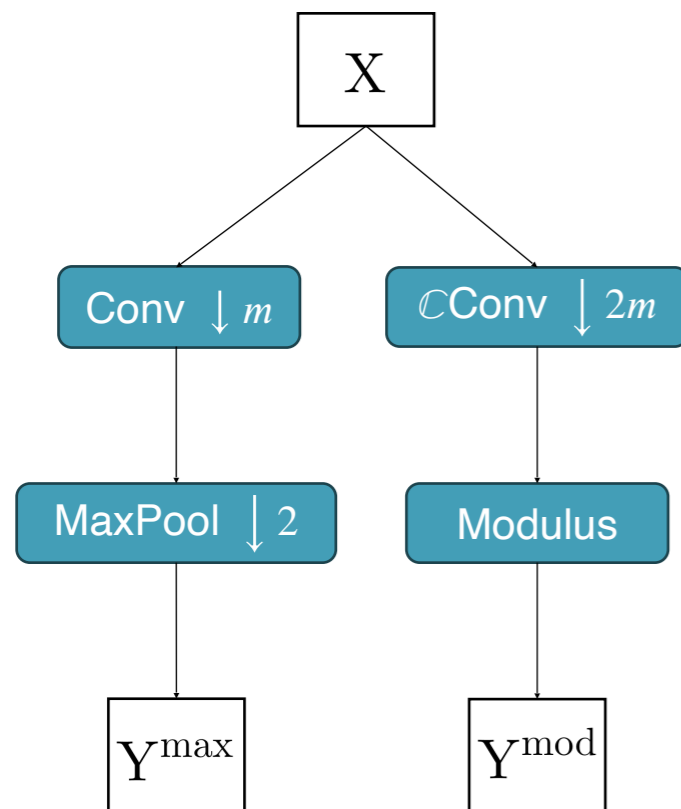
$$\rho^2 = \frac{\|Y^{\max} - Y^{\text{mod}}\|_2^2}{\|Y^{\text{mod}}\|_2^2}$$

$$\theta \mapsto \gamma_q(m\theta)^2$$

# Experiments

- Normalized MSE between **CMod** and **RMax**

Outside the scope of our study (low-pass filters)



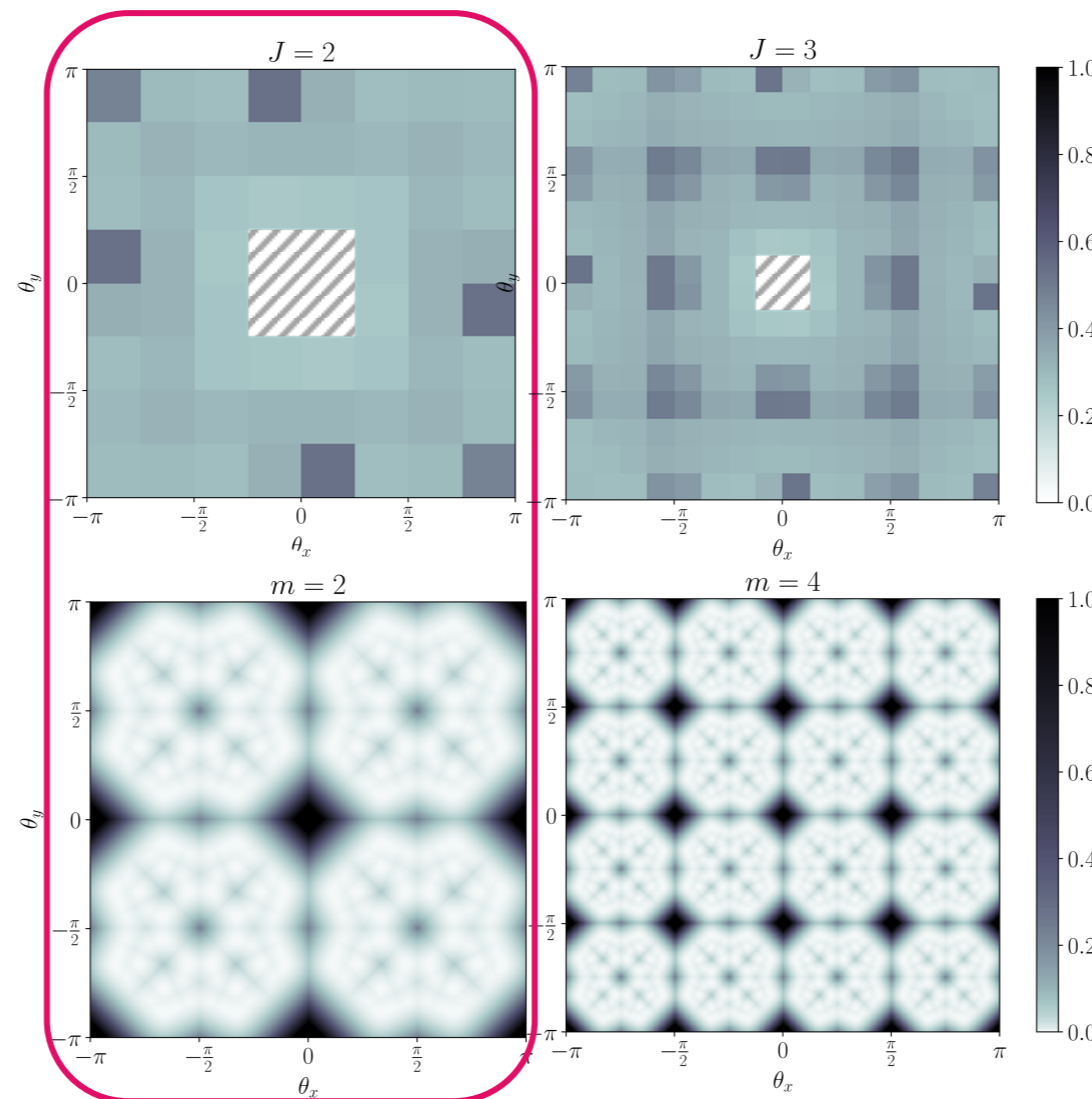
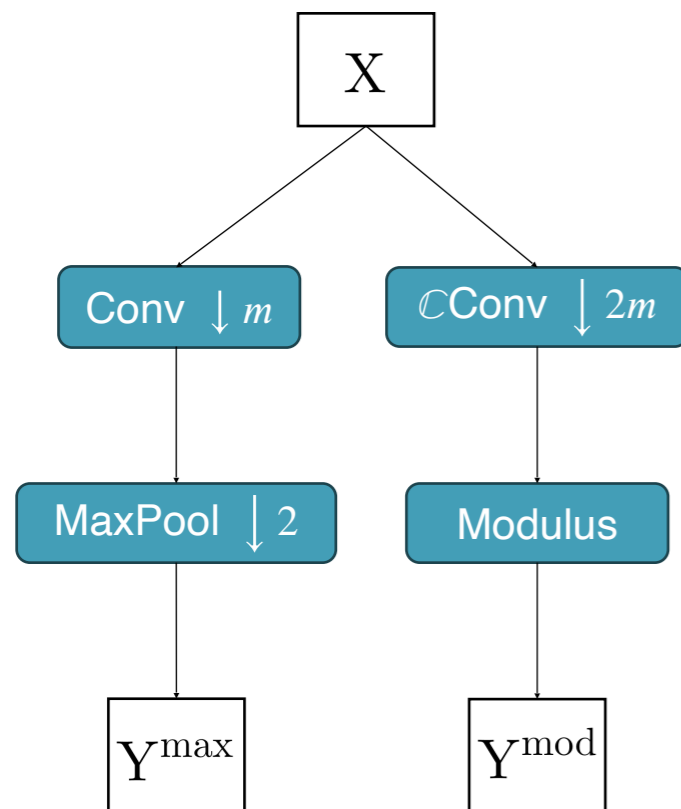
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# Experiments

- Normalized MSE between **CMod** and **RMax**

ResNet-like scenario  
 $J = 2, m = 2, \kappa = \pi/2$



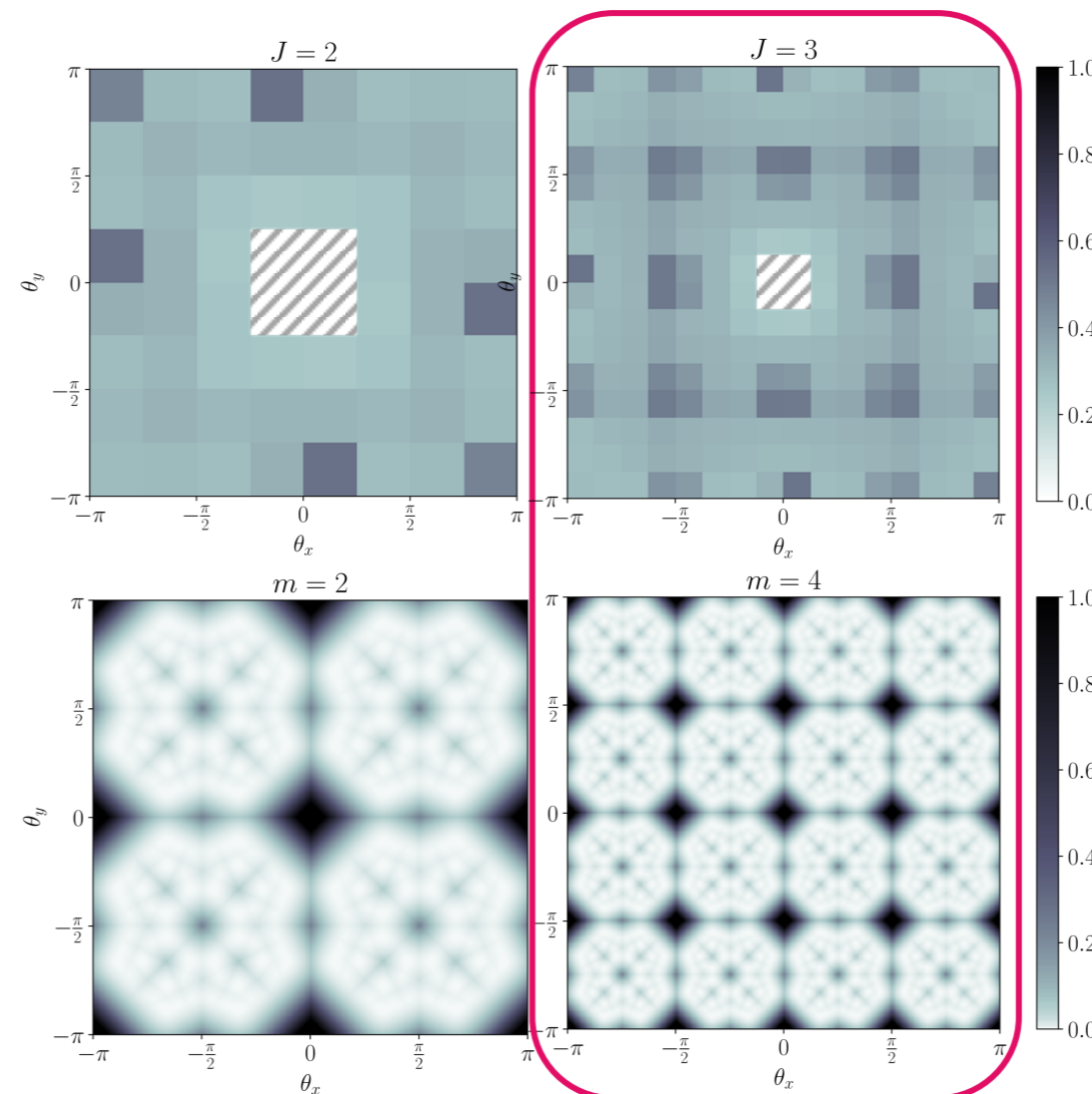
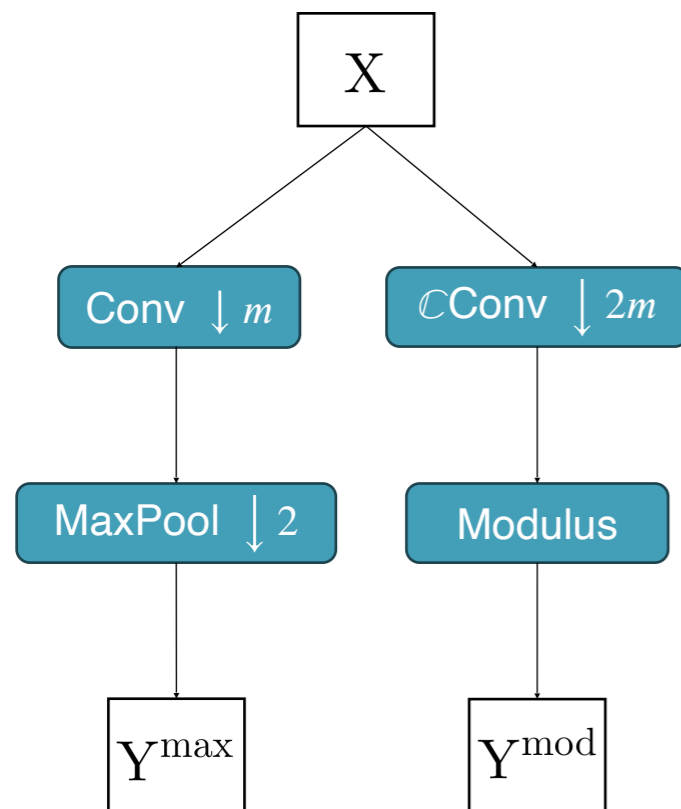
$$\rho^2 = \frac{\|Y^{\max} - Y^{\text{mod}}\|_2^2}{\|Y^{\text{mod}}\|_2^2}$$

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# Experiments

- Normalized MSE between  $\mathcal{C}\text{Mod}$  and  $\mathcal{R}\text{Max}$

AlexNet-like scenario  
 $J = 3, m = 4, \kappa = \pi/4$

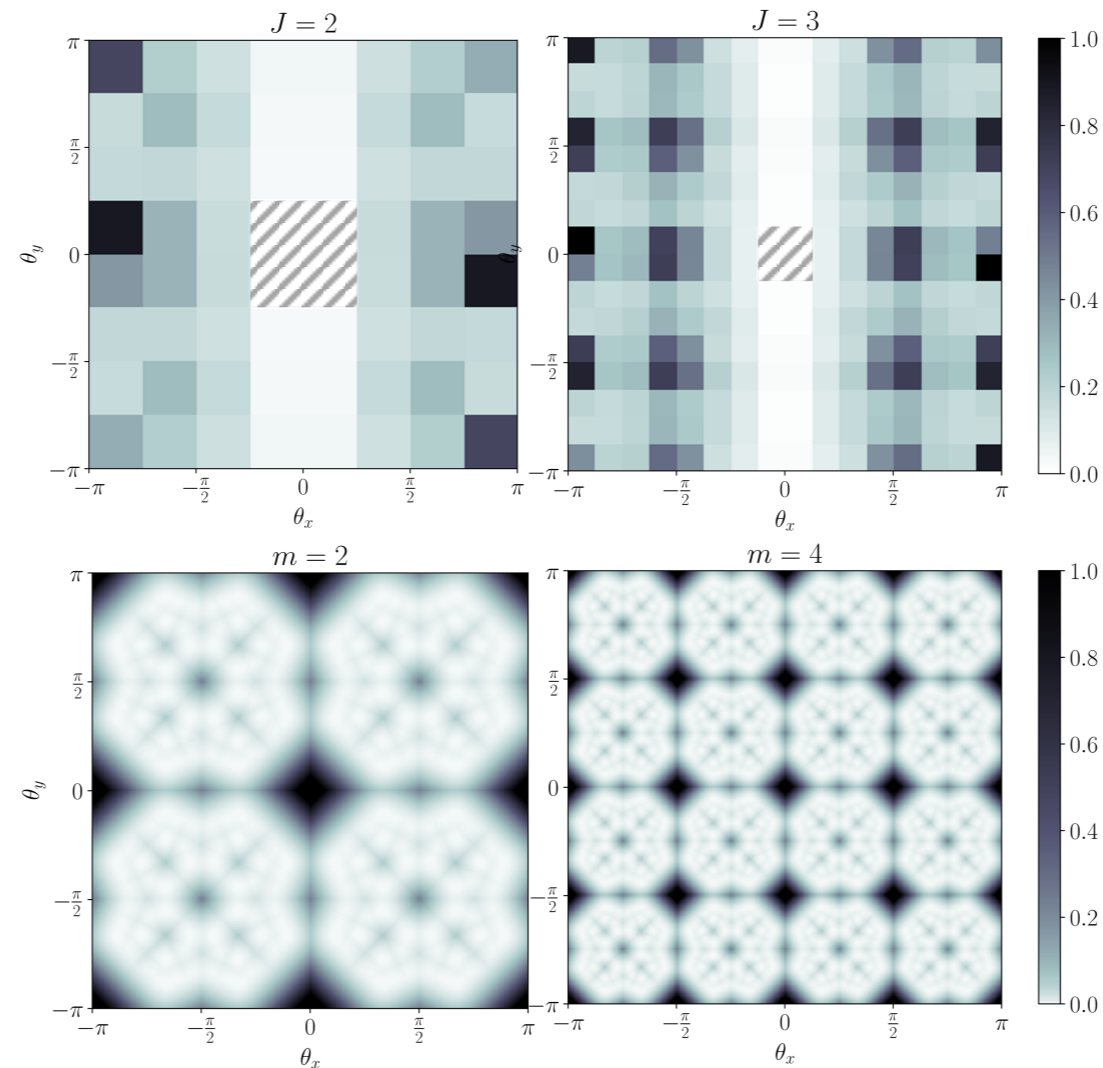
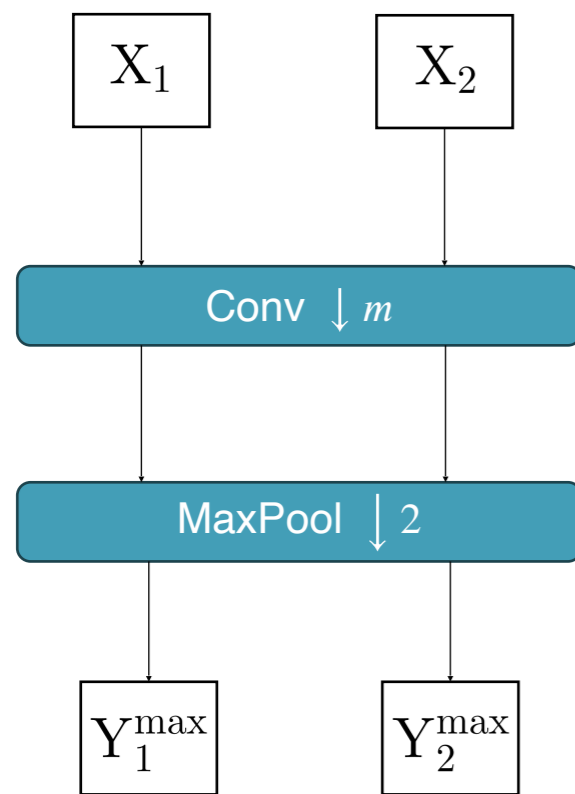


$$\rho^2 = \frac{\|Y^{\max} - Y^{\text{mod}}\|_2^2}{\|Y^{\text{mod}}\|_2^2}$$

$$\theta \mapsto \gamma_q(m\theta)^2$$

# Experiments

## ■ Shift-invariance of $\mathcal{R}\text{Max}$ outputs

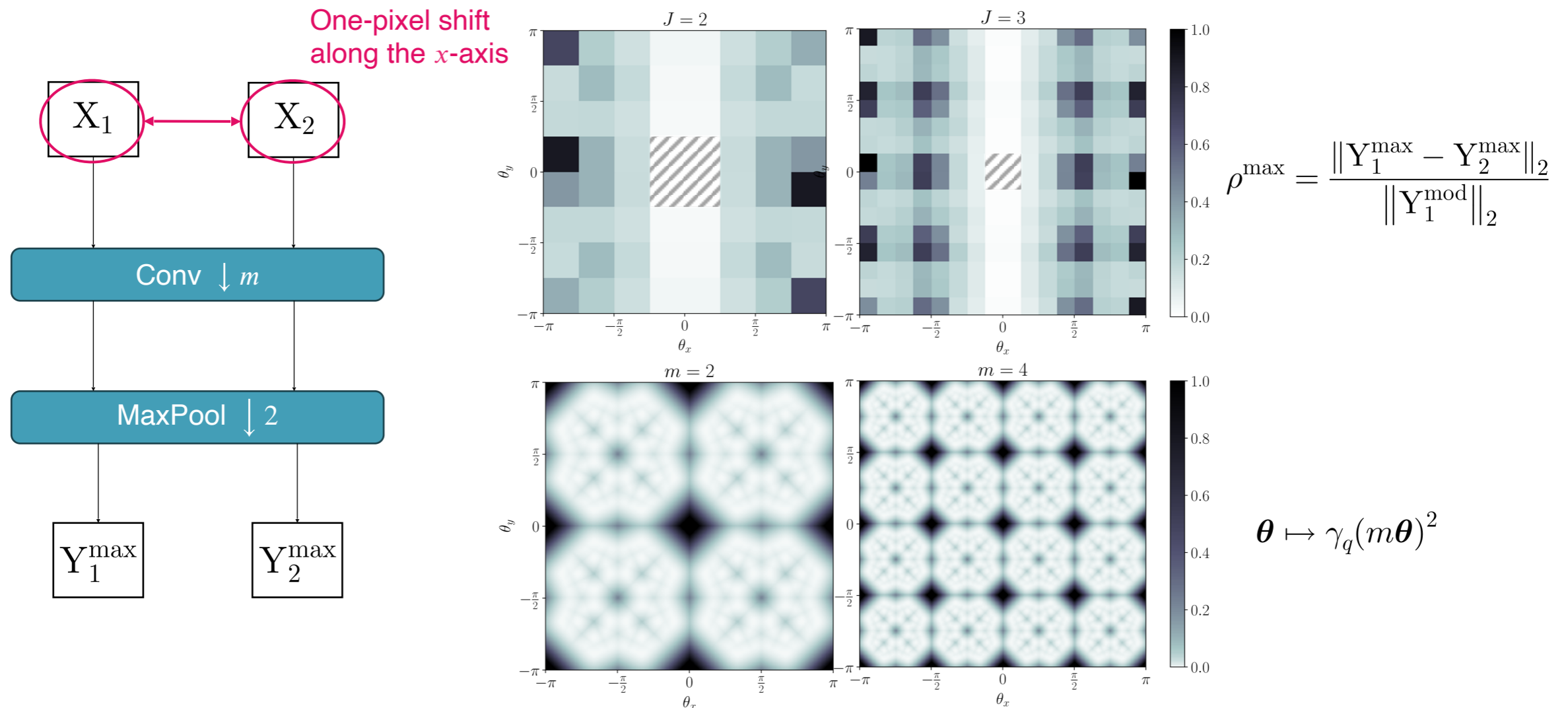


$$\rho^{\max} = \frac{\|Y_1^{\max} - Y_2^{\max}\|_2}{\|Y_1^{\text{mod}}\|_2}$$

$$\theta \mapsto \gamma_q(m\theta)^2$$

# Experiments

## ■ Shift-invariance of $\mathcal{R}\text{Max}$ outputs



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- **$\mathcal{CMod}$**  operator can serve as a **stable proxy** for  **$\mathcal{RMax}$**  enabling to **improve shift invariance** in CNNs architecture while preserving high-frequency information.

# Publications

- Hubert Leterme, Kévin Polisano, Valérie Perrier, Karteek Alahari. **Modélisation Parcimonieuse de CNNs avec des Paquets d'Ondelettes Dual-Tree.** ORASIS 2021 - Journées francophones des jeunes chercheurs en vision par ordinateur, Centre National de la Recherche Scientifique [CNRS], Sep 2021, Saint Ferréol, France. pp.1-9. [⟨hal-03339792v2⟩](#)
- Hubert Leterme, Kévin Polisano, Valérie Perrier, Karteek Alahari. **On the Shift Invariance of Max Pooling Feature Maps in Convolutional Neural Networks.** 2023. [⟨hal-03779434v2⟩](#)
- Hubert Leterme, Kévin Polisano, Valérie Perrier, Karteek Alahari. **From CNNs to Shift-Invariant Twin Models Based on Complex Wavelets.** 2023. [⟨hal-03880520v2⟩](#)





Thank you!