



PennState
College of the
Liberal Arts



Day 6 - From Recurrent Nets to Transformers

Advanced Text as Data: Natural Language Processing
Essex Summer School in Social Science Data Analysis

Burt L. Monroe (Instructor) & Sam Bestvater (TA)
Pennsylvania State University

August 3, 2021

Today

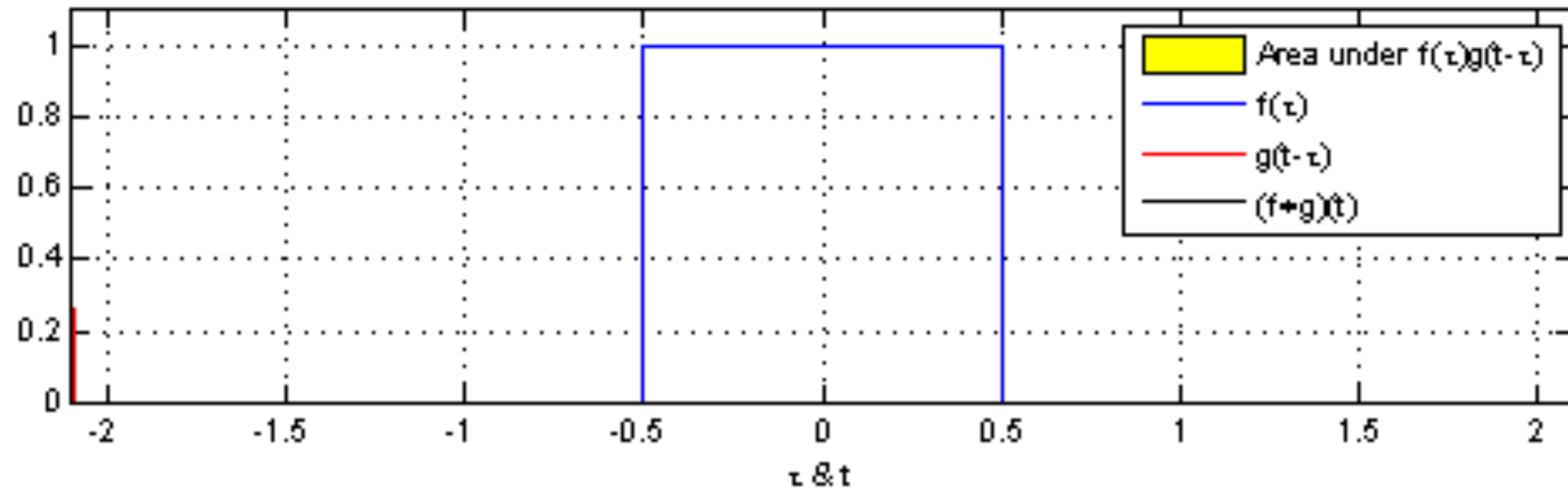
- Convolutional Neural Nets (CNNs) - Convolution, filters/kernels, higher-level features
- Recurrent Neural Nets (RNNs) - Recurrence / sequence, encoder-decoder seq2seq
- Gating in recurrent networks (LSTMs / bi-LSTMs)
- Attention mechanism in seq2seq models
- Self-attention & positional encodings (transformer)

Today (unlikely)

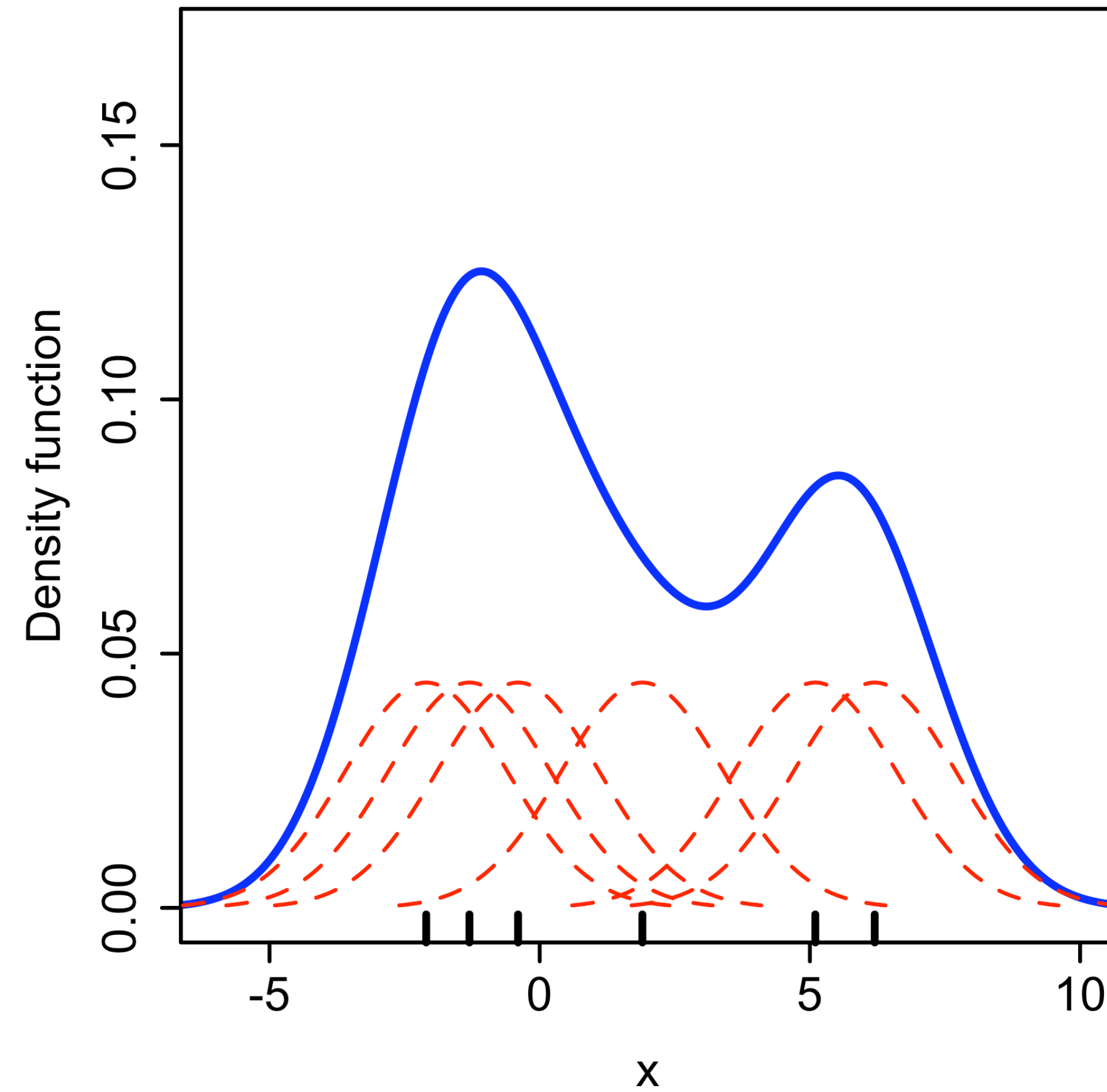
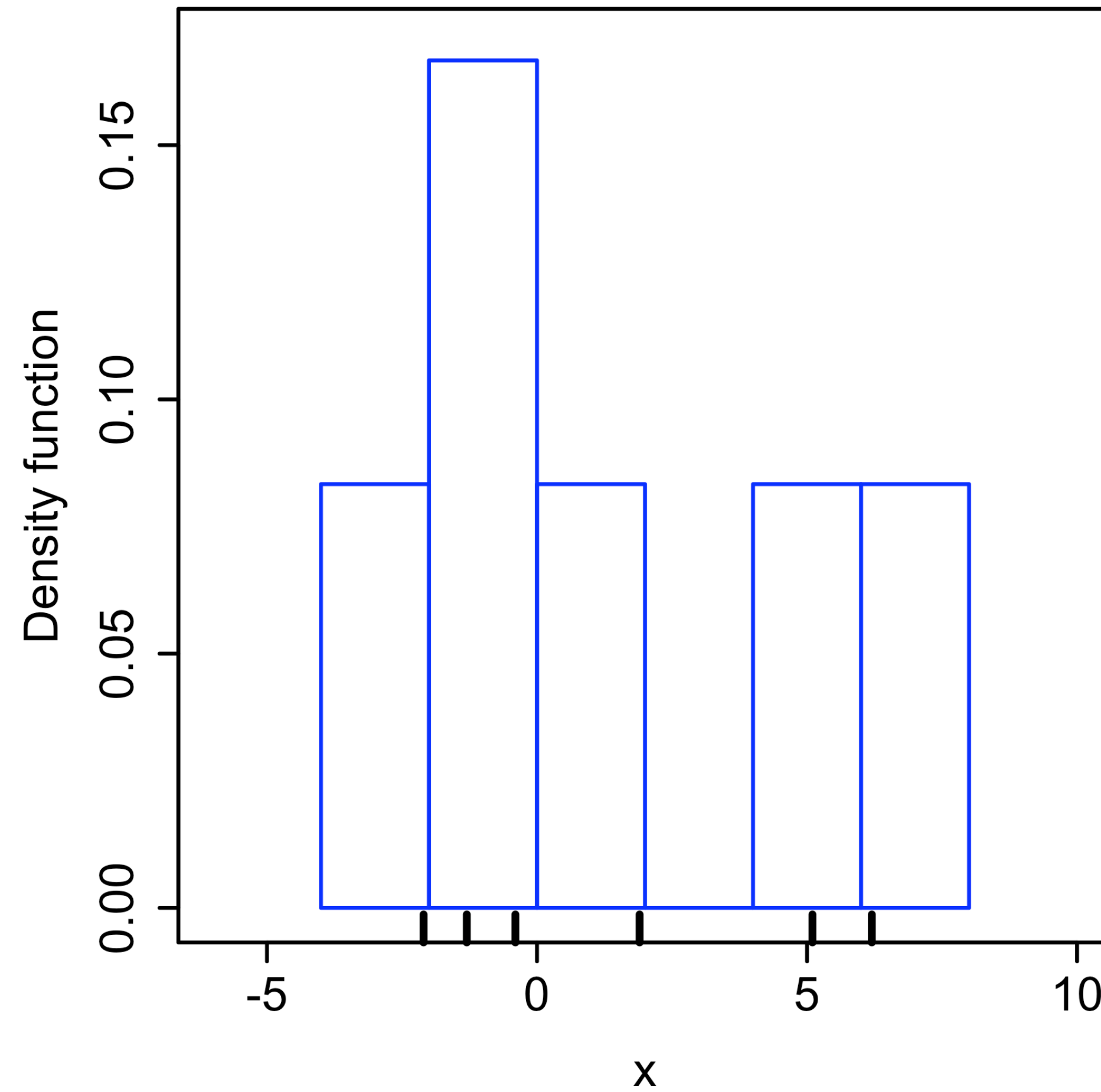
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Convolution, Convolutional Neural Nets, and CNNs in NLP

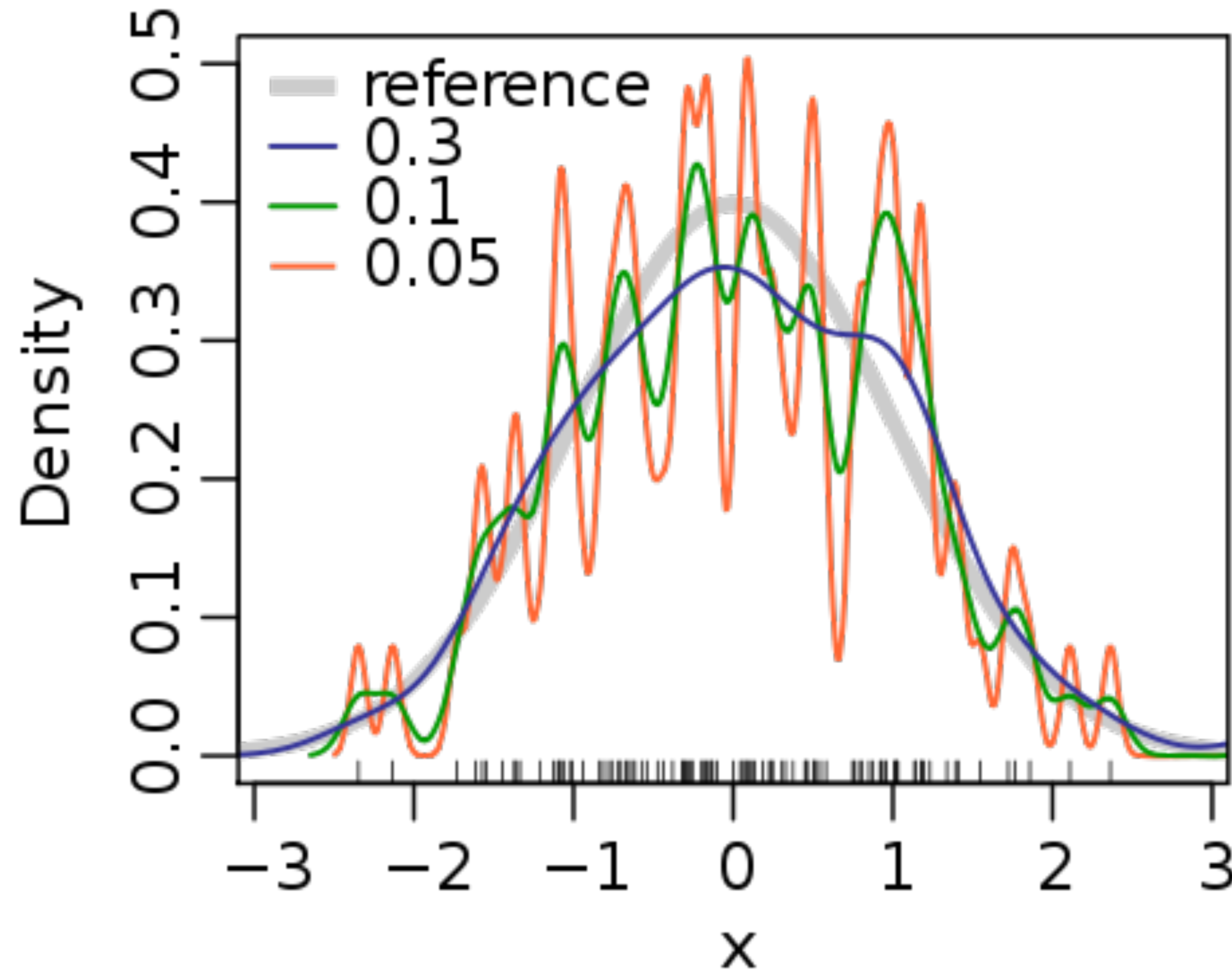
Convolution



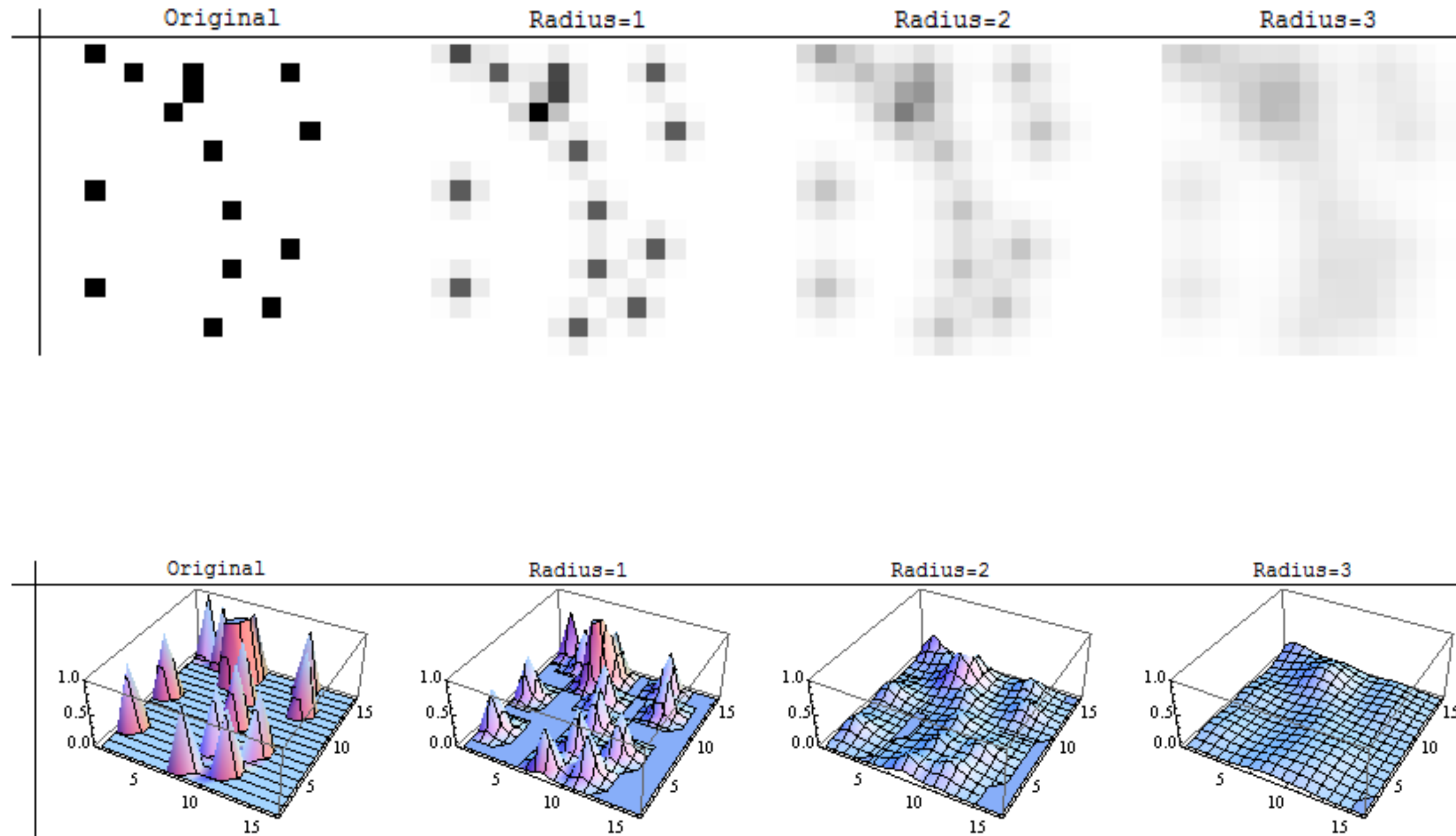
Kernel density — smooth histogram by convolving a Gaussian over observations



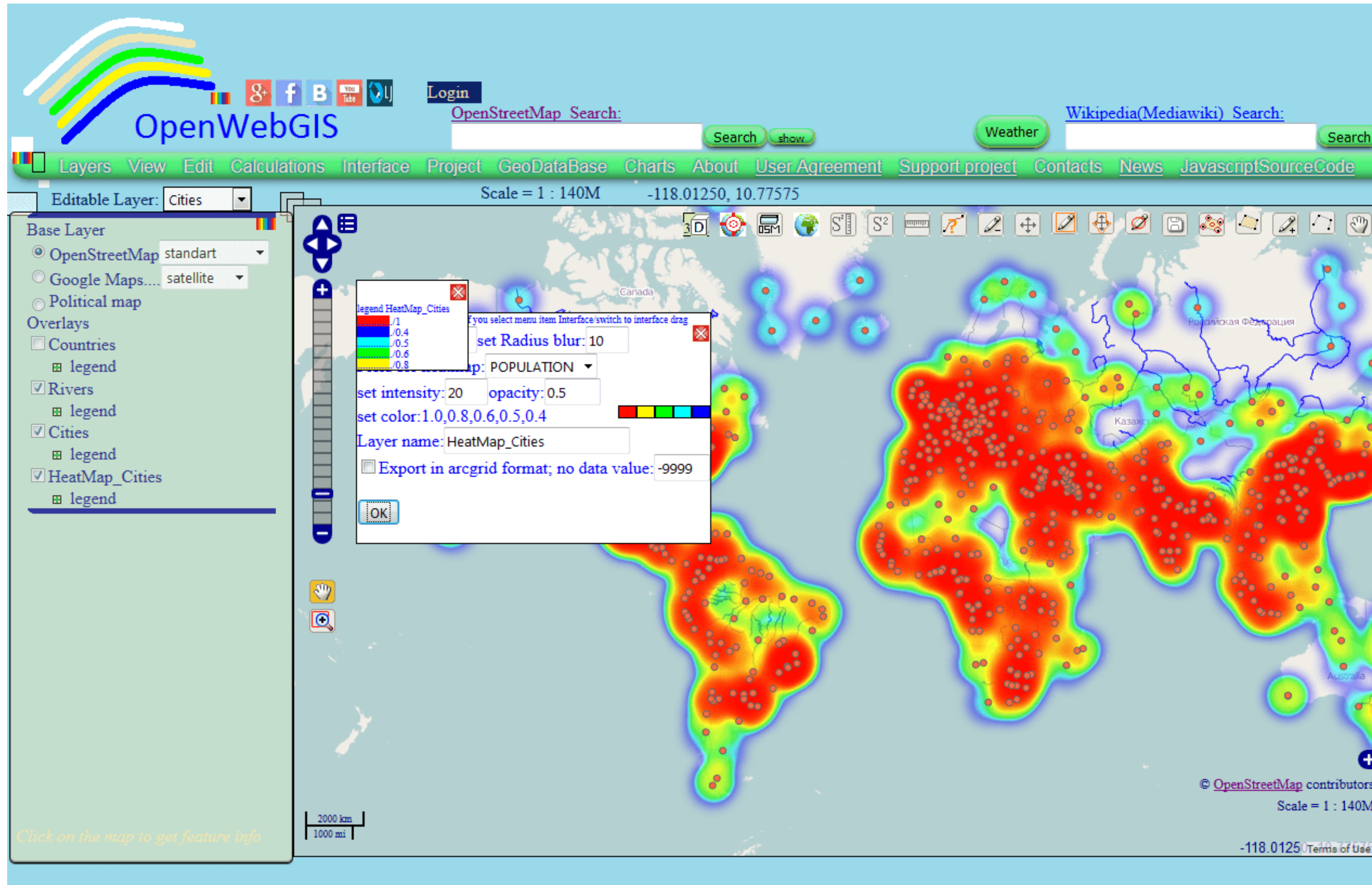
Kernel density — how smooth depends on variance / “width” of the Gaussian



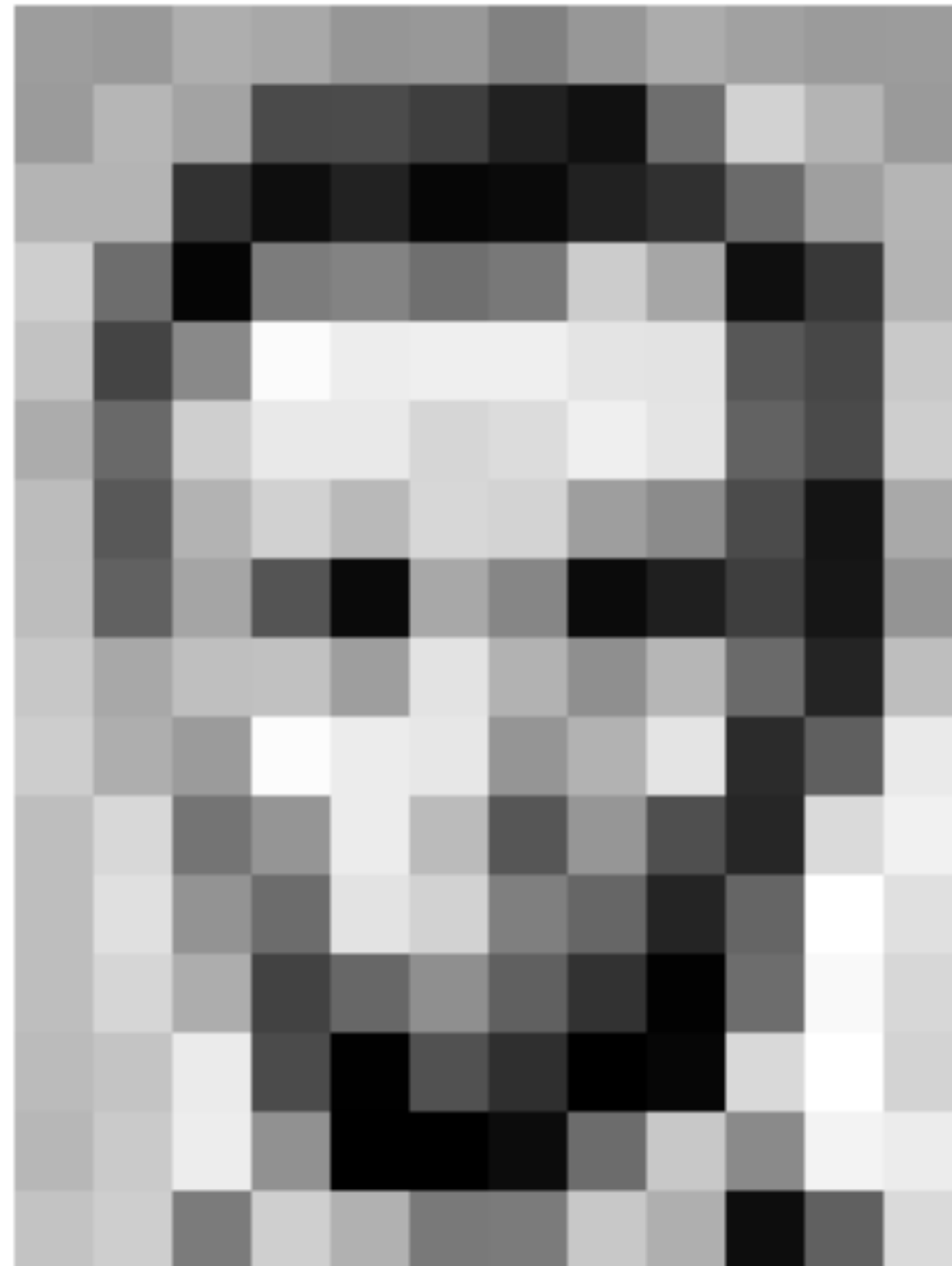
Kernel density — smooth in two dimensions



Kernel density — this is familiar in “heatmaps”



Now imagine an image as two-dimensional data — a grid of pixel intensities

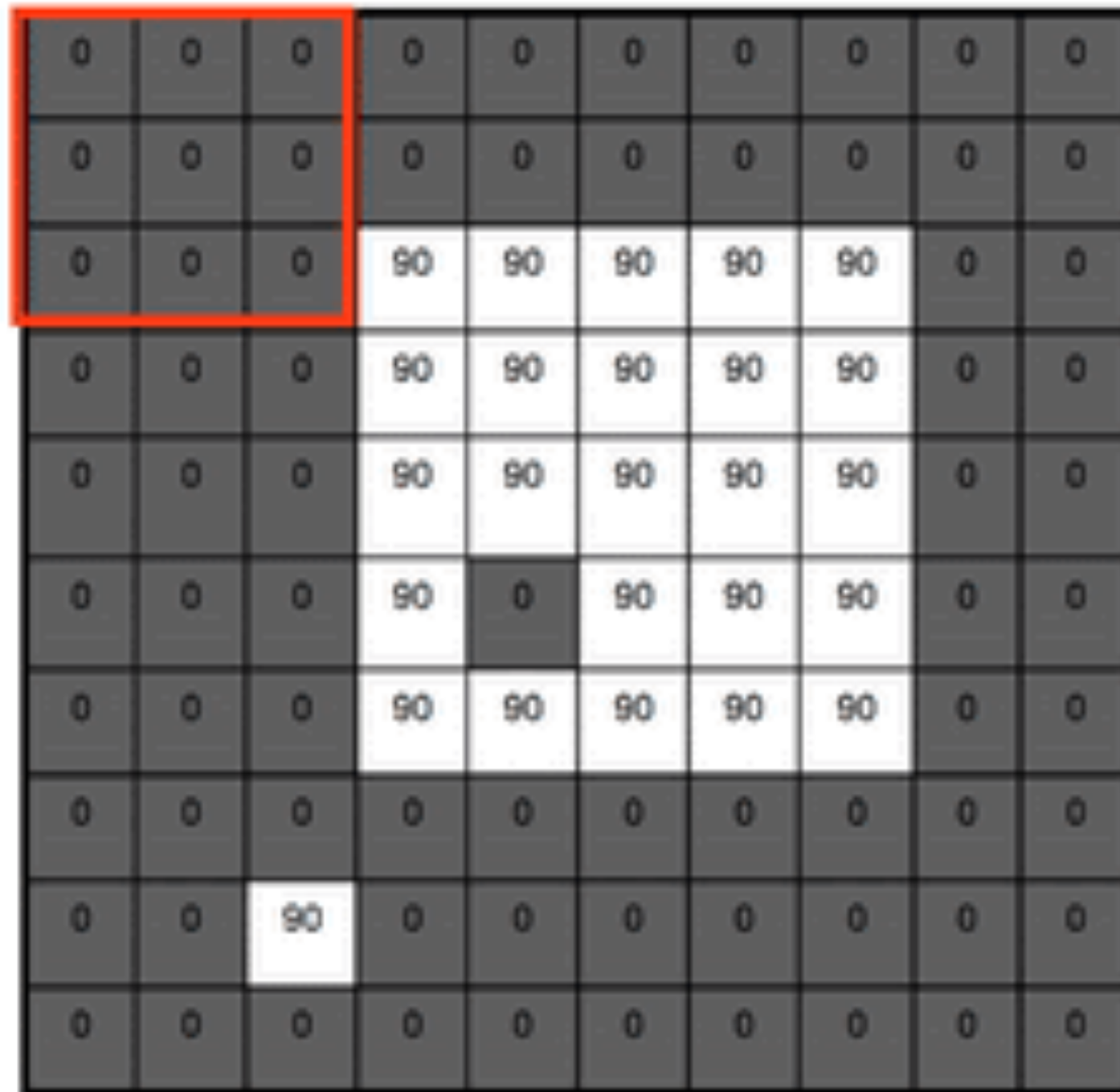


157	153	174	168	150	152	129	151	172	161	155	156
155	182	163	74	75	62	33	17	110	210	180	154
180	180	50	14	34	6	10	33	48	106	159	181
206	109	5	124	131	111	120	204	166	15	56	180
194	68	137	251	257	239	239	228	227	87	71	201
172	106	207	233	233	214	220	239	228	98	74	206
188	88	179	209	185	215	211	158	139	75	20	169
189	97	165	84	10	168	134	11	31	62	22	148
199	168	191	193	158	227	178	143	182	105	36	190
205	174	155	252	236	231	149	178	228	43	95	234
190	216	116	149	236	187	85	150	79	38	218	241
190	224	147	108	227	210	127	102	36	101	255	224
190	214	173	66	103	143	96	50	2	109	249	215
187	196	235	75	1	81	47	0	6	217	255	211
183	202	237	145	0	0	12	108	200	138	243	236
195	206	123	207	177	121	123	200	175	13	96	218

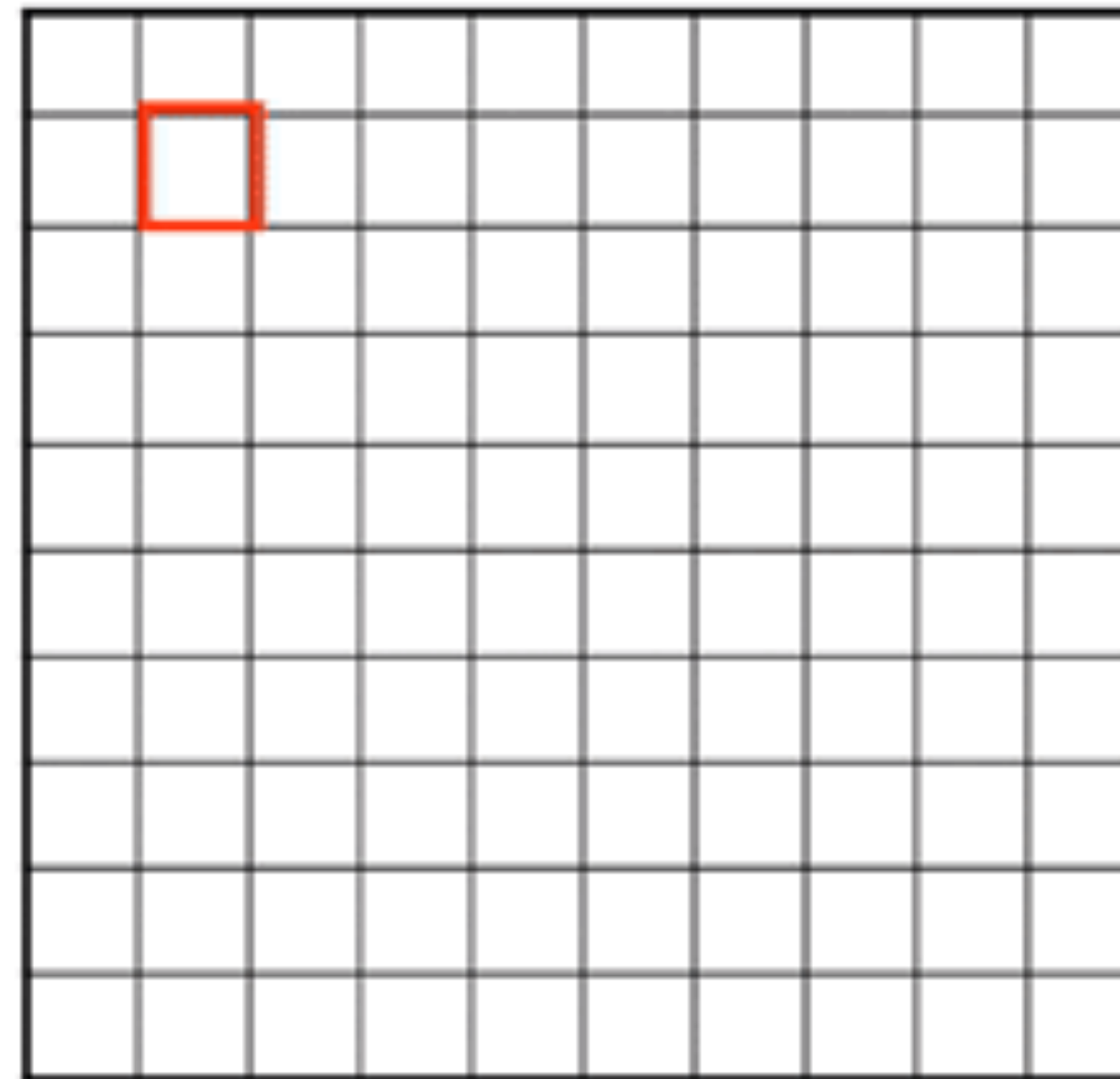
157	153	174	168	150	152	129	151	172	161	155	156
155	182	163	74	75	62	33	17	110	210	180	154
180	180	50	14	34	6	10	33	48	106	159	181
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194	68	137	251	237	239	239	228	227	87	71	201
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189	97	165	84	10	168	134	11	31	62	22	148
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190	216	116	149	236	187	85	150	79	38	218	241
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An image *filter* is a kernel - a small window we *convolve* over an image.
The filter illustrated here averages the nine pixels in the window.

$$F[x, y]$$



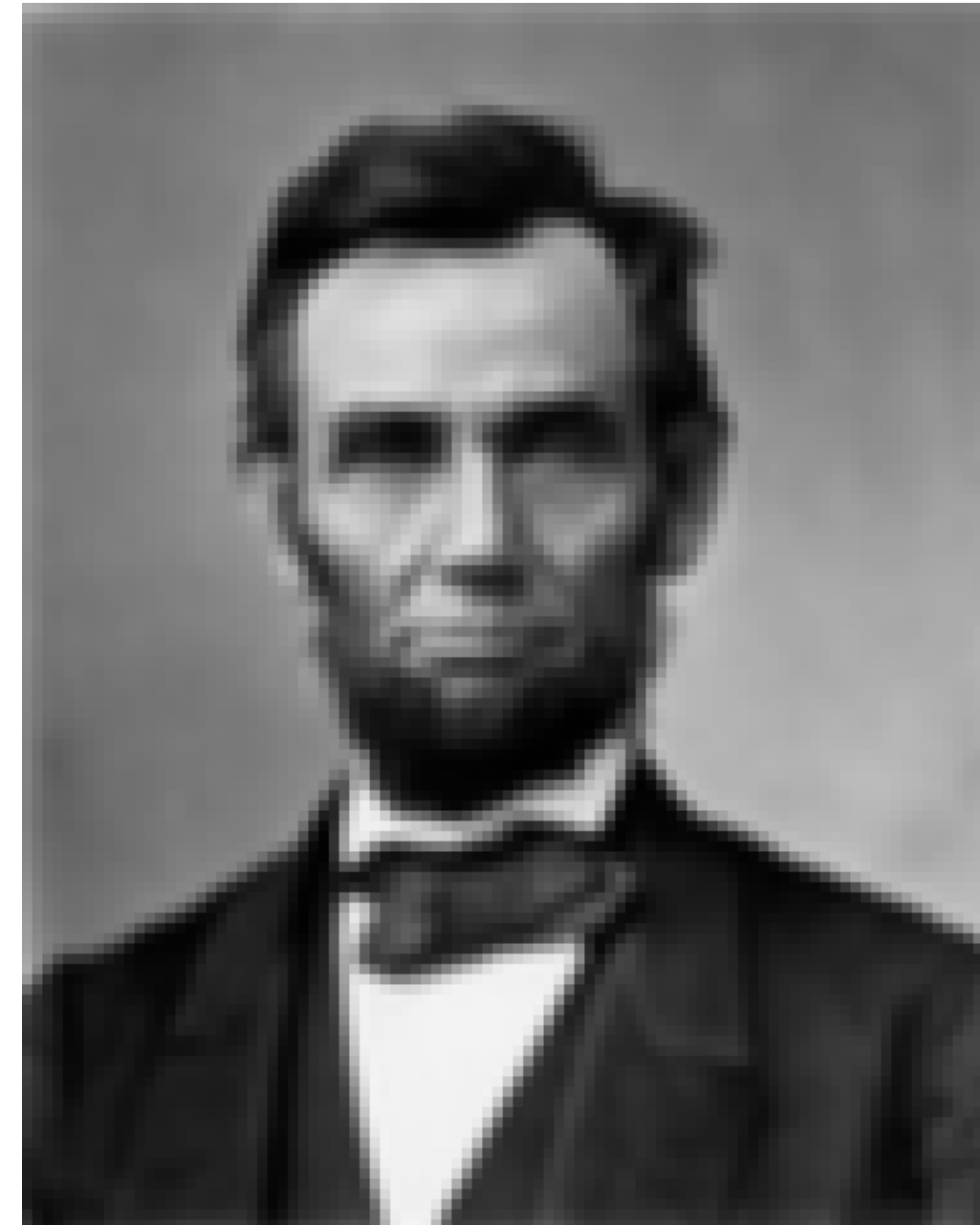
$$G[x, y]$$



A ~Gaussian kernel (high in the middle, lower away from the middle)
acts as a smoothing or “blur filter”

0.0625	0.125	0.0625
0.125	0.25	0.125
0.0625	0.125	0.0625

(a) Blur kernel.

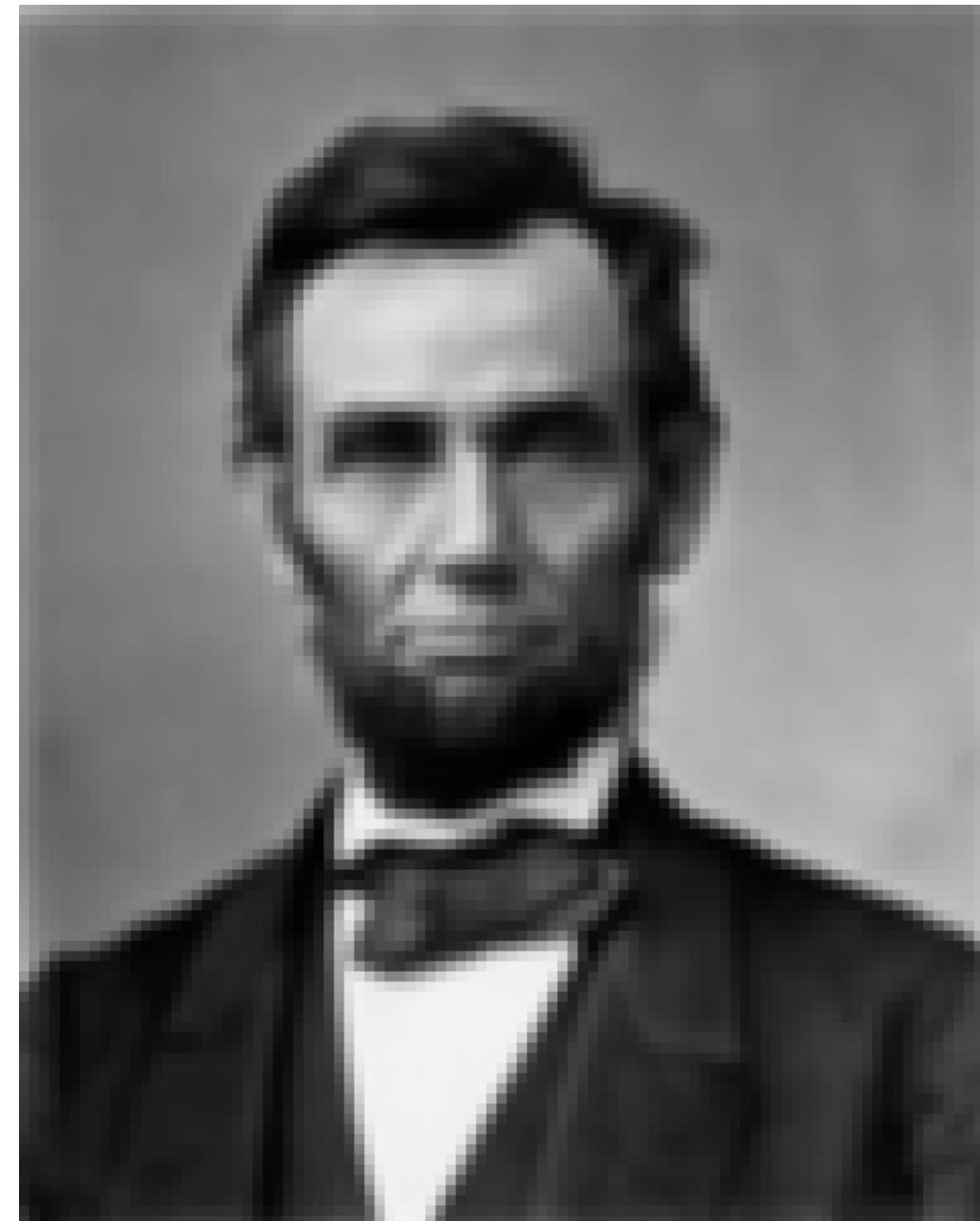


(b) Blur kernel applied.

The kernel on the right acts as an “edge filter”

0.0625	0.125	0.0625
0.125	0.25	0.125
0.0625	0.125	0.0625

(a) Blur kernel.



(b) Blur kernel applied.

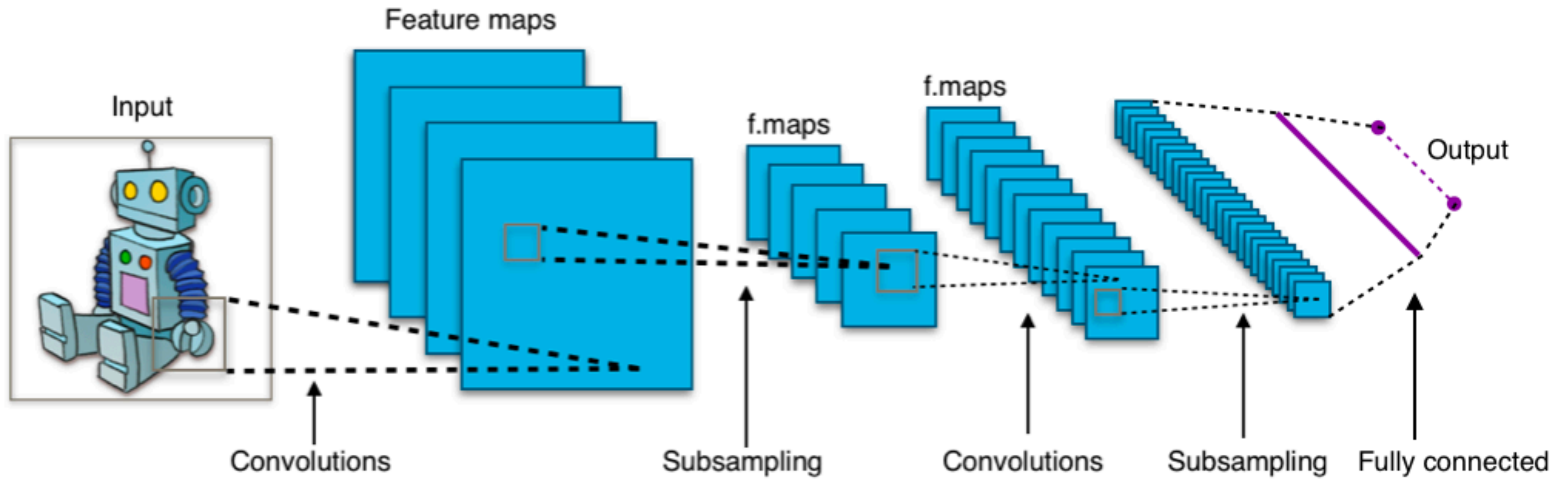
-1	-1	-1
-1	8	-1
-1	-1	-1

(c) Edge kernel.

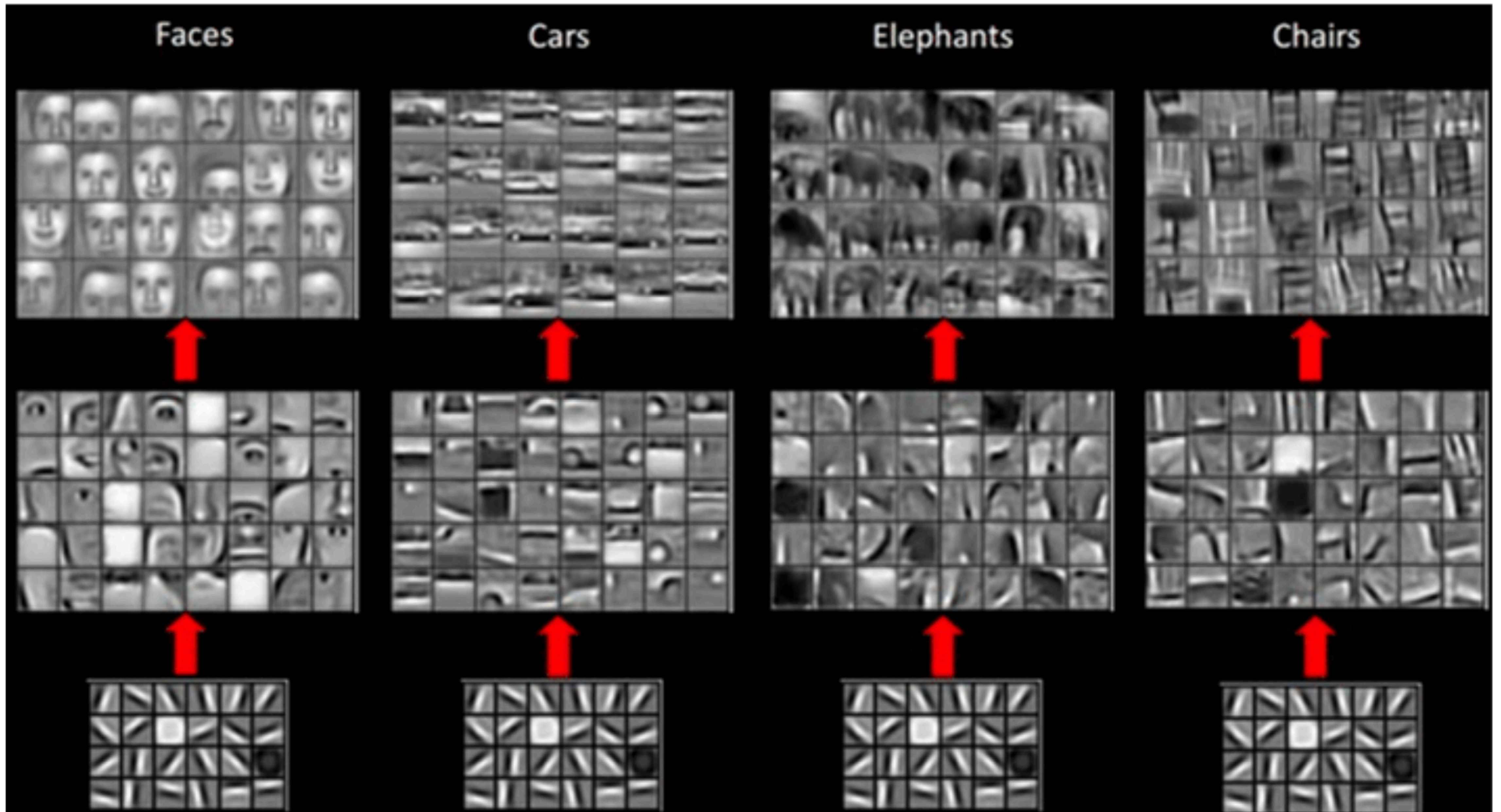


(d) Edge kernel applied.

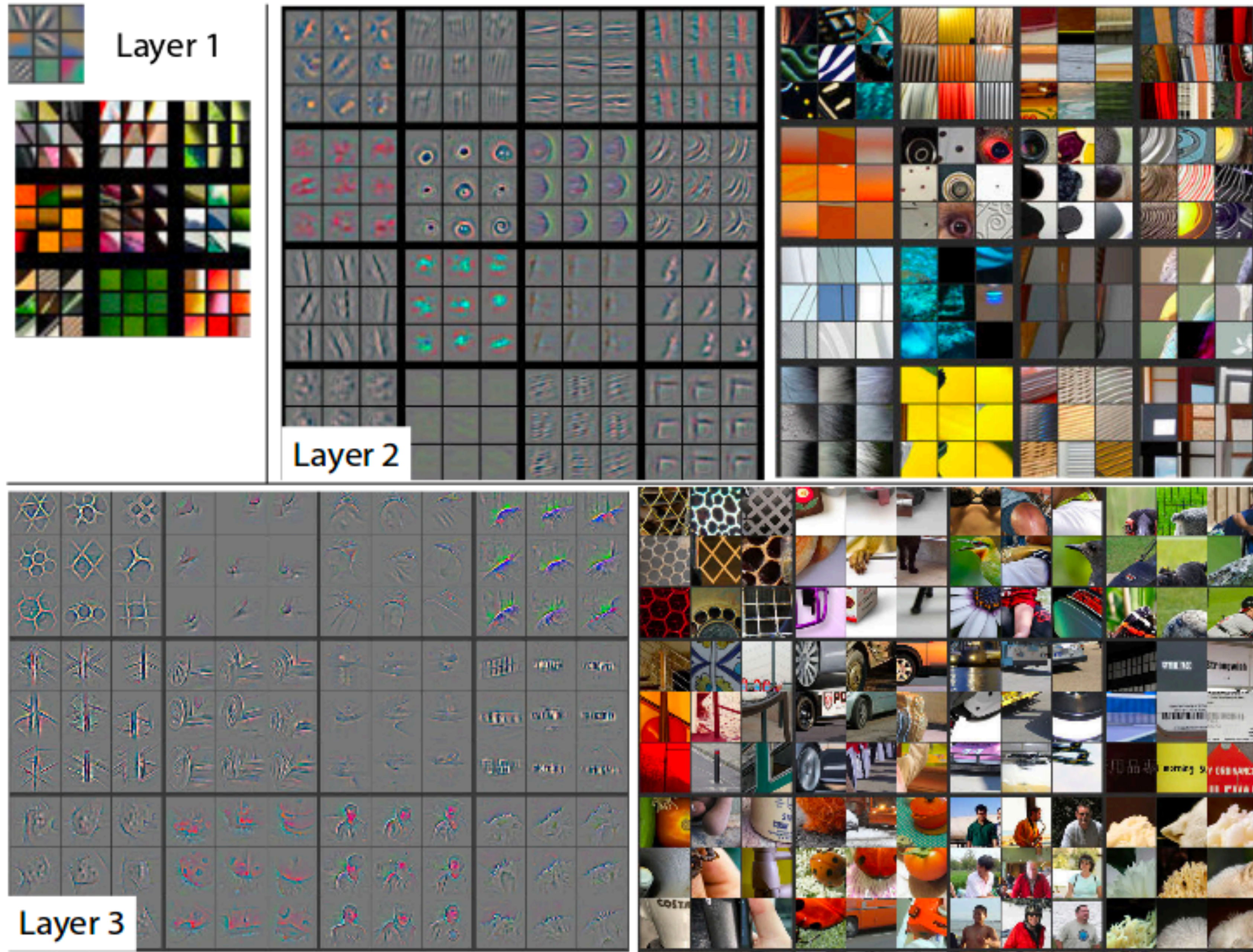
Figure 8: Effect of convolutional image kernels.



CNN layers learn filters to detect and combine higher level “features”



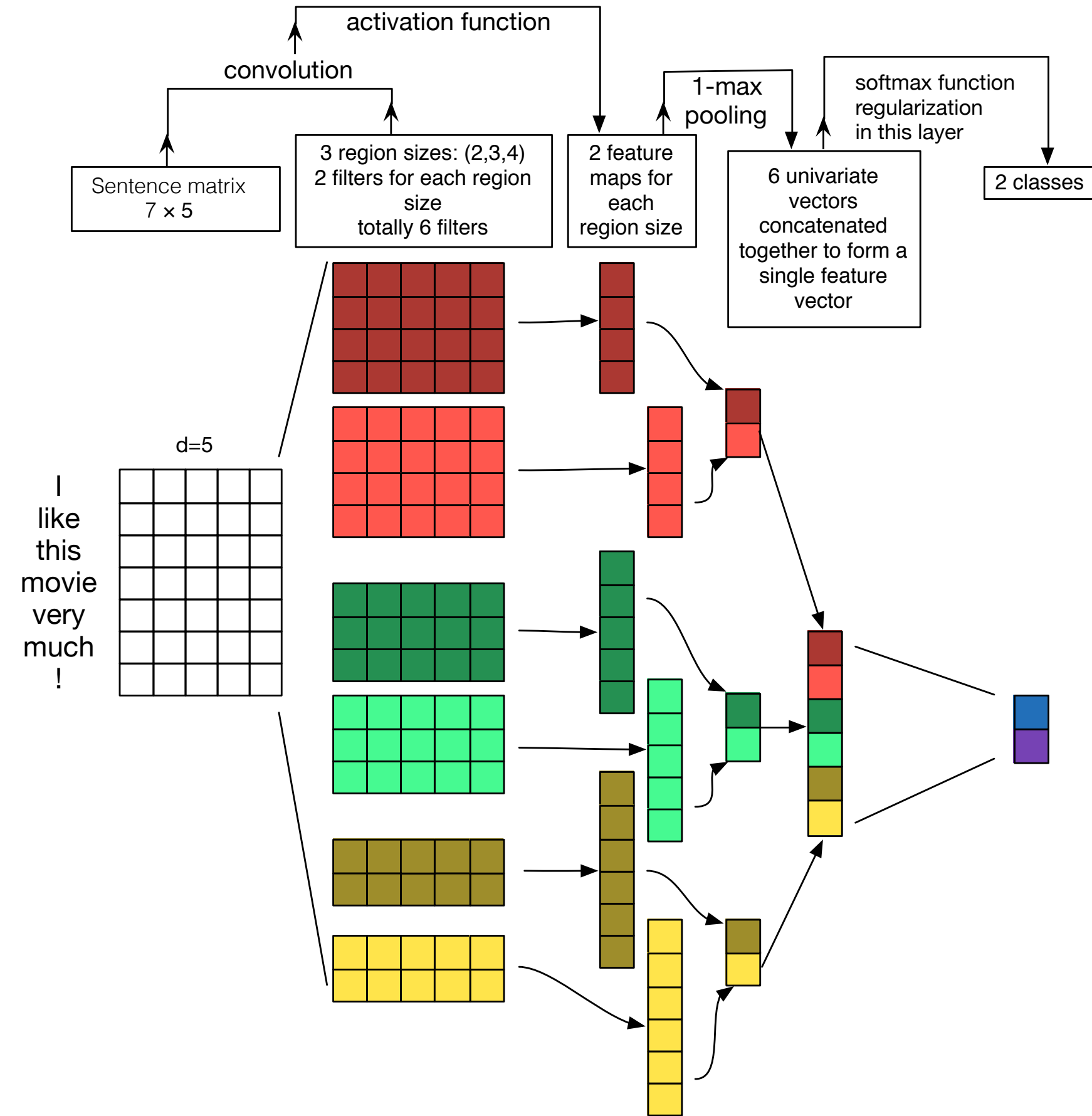
CNN layers learn filters to detect and combine higher level “features”



Convolutional Neural Network Visualization (Images)

<http://scs.ryerson.ca/~aharley/vis/>

Typical CNN architecture for NLP



7-gram features detected by CNN

POSITIVE

lovely	comedic	moments	and	several	fine	performances
good	script	,	good	dialogue	,	funny
sustains	throughout	is	daring	,	inventive	and
well	written	,	nicely	acted	and	beautifully
remarkably	solid	and	subtly	satirical	tour	de

NEGATIVE

,	nonexistent	plot	and	pretentious	visual	style
it	fails	the	most	basic	test	as
so	stupid	,	so	ill	conceived	,
,	too	dull	and	pretentious	to	be
hood	rats	butt	their	ugly	heads	in

'NOT'

n't	have	any	huge	laughs	in	its
no	movement	,	no	,	not	much
n't	stop	me	from	enjoying	much	of
not	that	kung	pow	is	n't	funny
not	a	moment	that	is	not	false

'TOO'

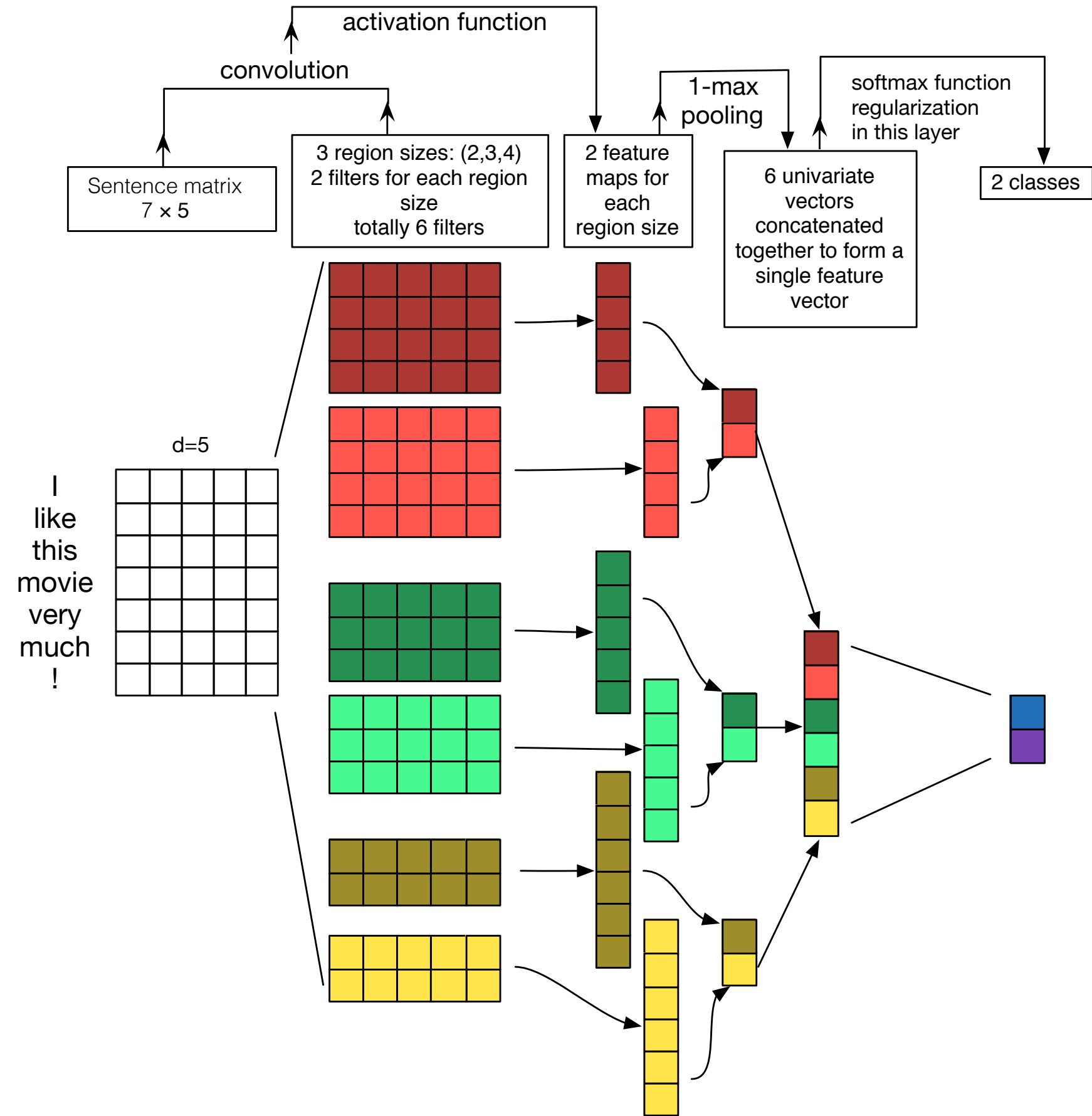
,	too	dull	and	pretentious	to	be
either	too	serious	or	too	lighthearted	,
too	slow	,	too	long	and	too
feels	too	formulaic	and	too	familiar	to
is	too	predictable	and	too	self	conscious

Figure 1: Illustration of a CNN architecture for sentence classification. We depict three filter region sizes: 2, 3 and 4, each of which has 2 filters. Filters perform convolutions on the sentence matrix and generate (variable-length) feature maps; 1-max pooling is performed over each map, i.e., the largest number from each feature map is recorded. Thus a univariate feature vector is generated from all six maps, and these 6 features are concatenated to form a feature vector for the penultimate layer. The final softmax layer then receives this feature vector as input and uses it to classify the sentence; here we assume binary classification and hence depict two possible output states.

Source: Kalchbrenner, et al. (2014)

Source: Zhang and Wallace (2015)

Typical CNN architecture for NLP



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Source: Kalchbrenner, et al. (2014)

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Build the model

```
inputs = keras.Input(shape=(None,), dtype="int32")
x = layers.Embedding(max_features, 16)(inputs) #
x = layers.Conv1D(filters=128, kernel_size=5, strides=1, padding='same', activation='relu')(x) #
x = layers.GlobalMaxPooling1D()(x)
x = layers.Dense(16, activation = 'relu')(x)
outputs = layers.Dense(1, activation="sigmoid")(x) #
model = keras.Model(inputs, outputs) #
model.summary()
```

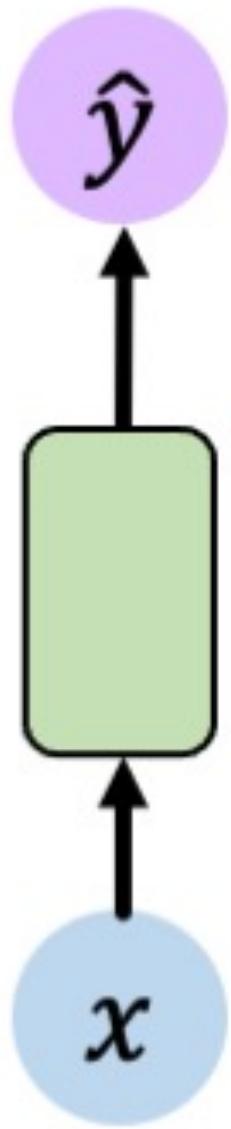
Model: "model_1"

Layer (type)	Output Shape	Param #
input_4 (InputLayer)	[(None, None)]	0
embedding_3 (Embedding)	(None, None, 16)	80000
conv1d_3 (Conv1D)	(None, None, 128)	10368
global_max_pooling1d_2 (Glob	(None, 128)	0
dense_4 (Dense)	(None, 16)	2064
dense_5 (Dense)	(None, 1)	17

=====
Total params: 92,449
Trainable params: 92,449
Non-trainable params: 0
=====

Modeling sequence with recurrence

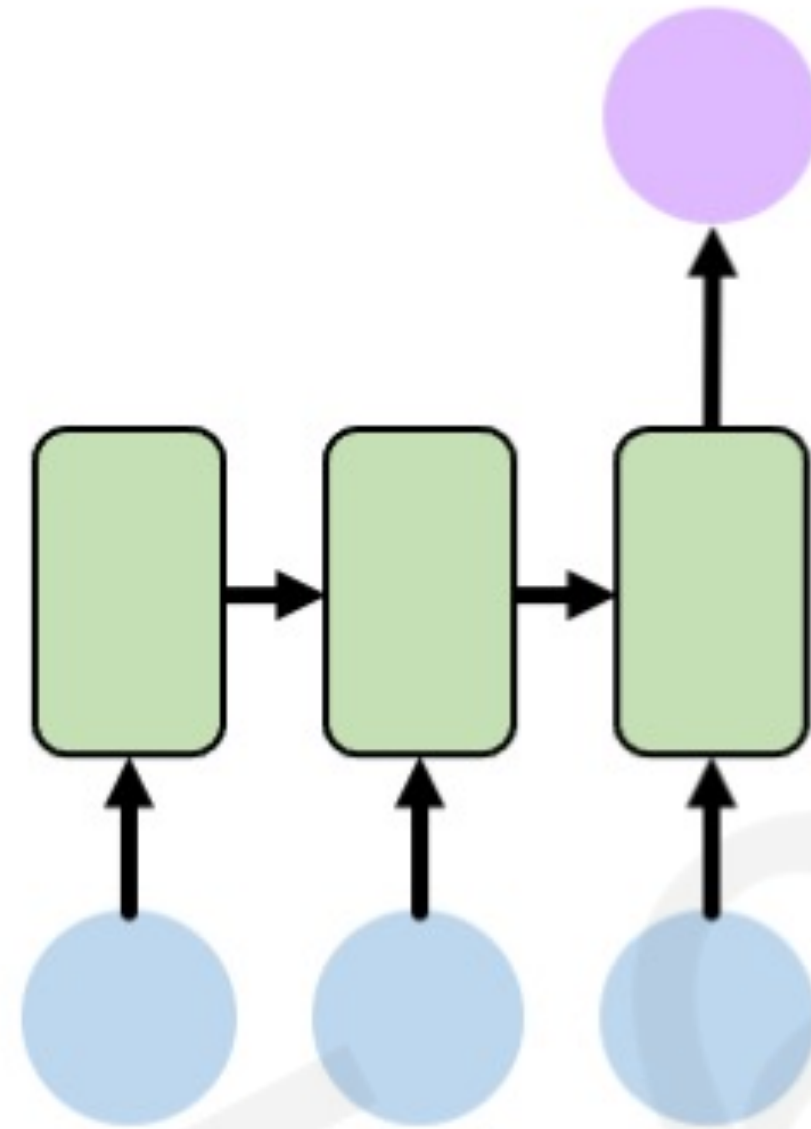
Sequence Modeling Applications



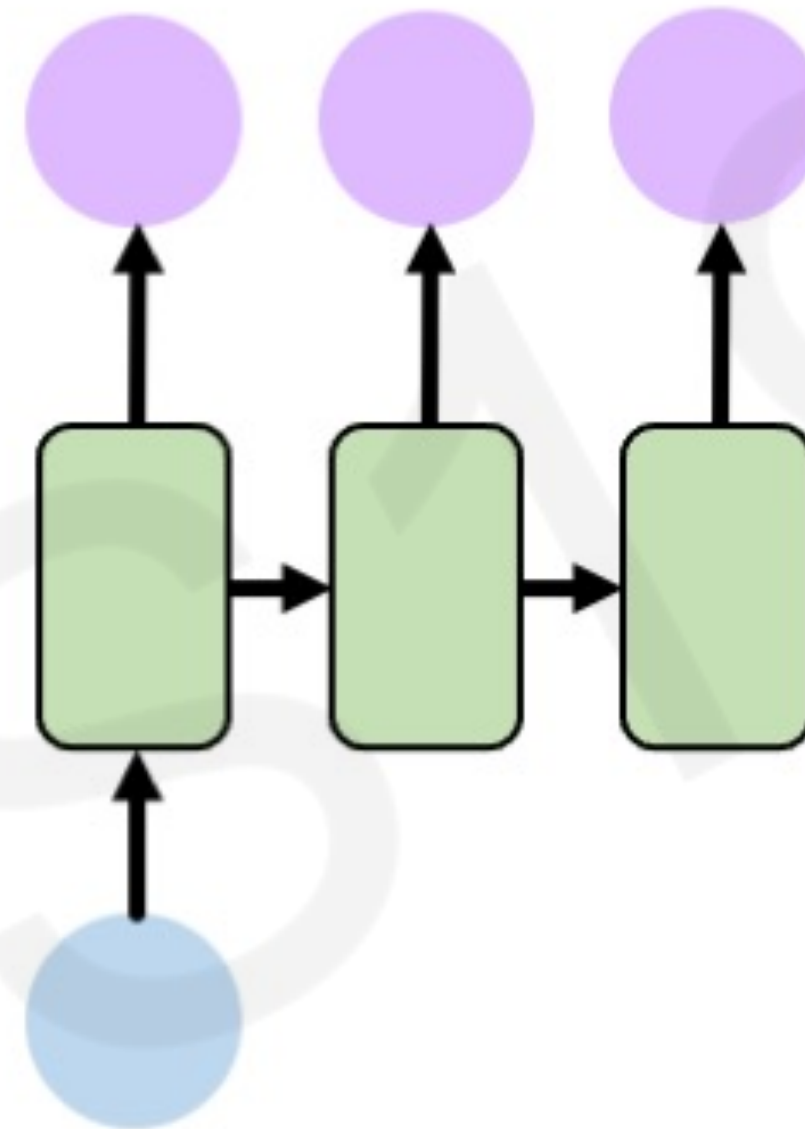
One to One
Binary Classification



“Will I pass this class?”
Student → Pass?



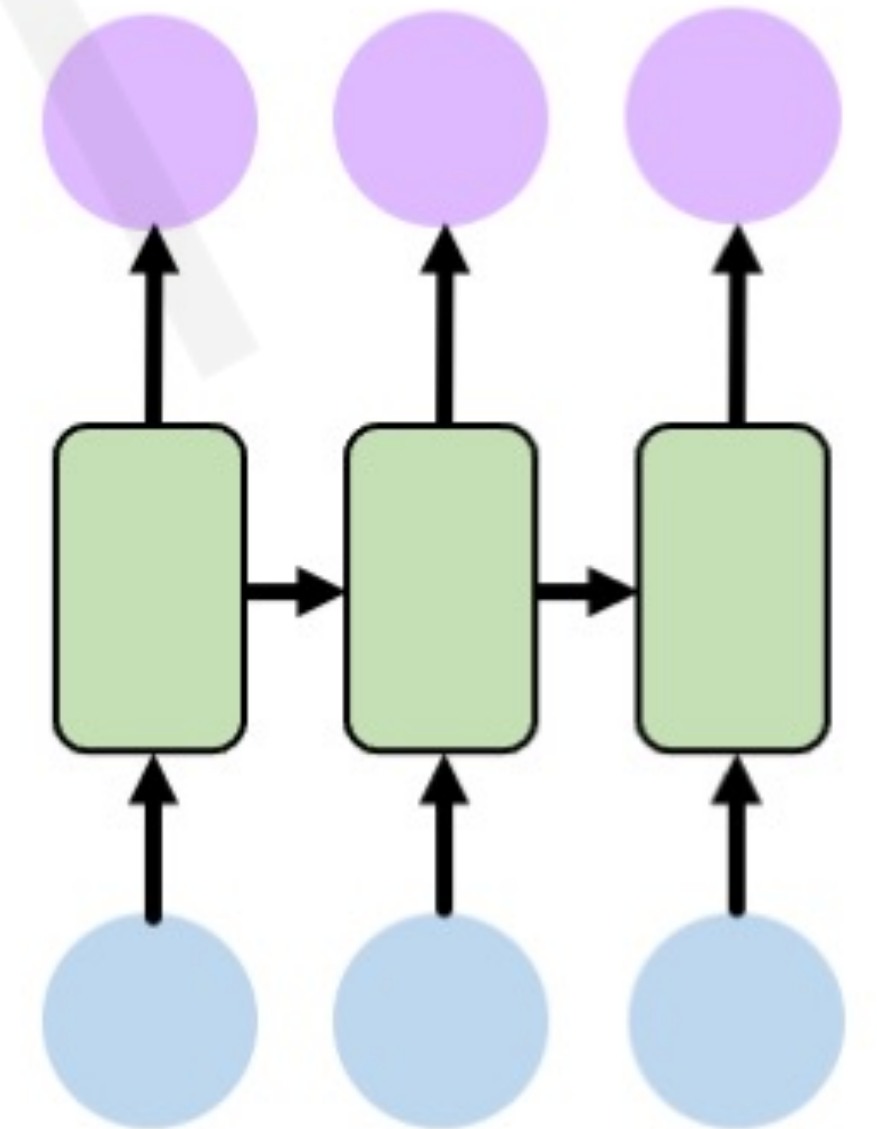
Many to One
Sentiment Classification



One to Many
Image Captioning



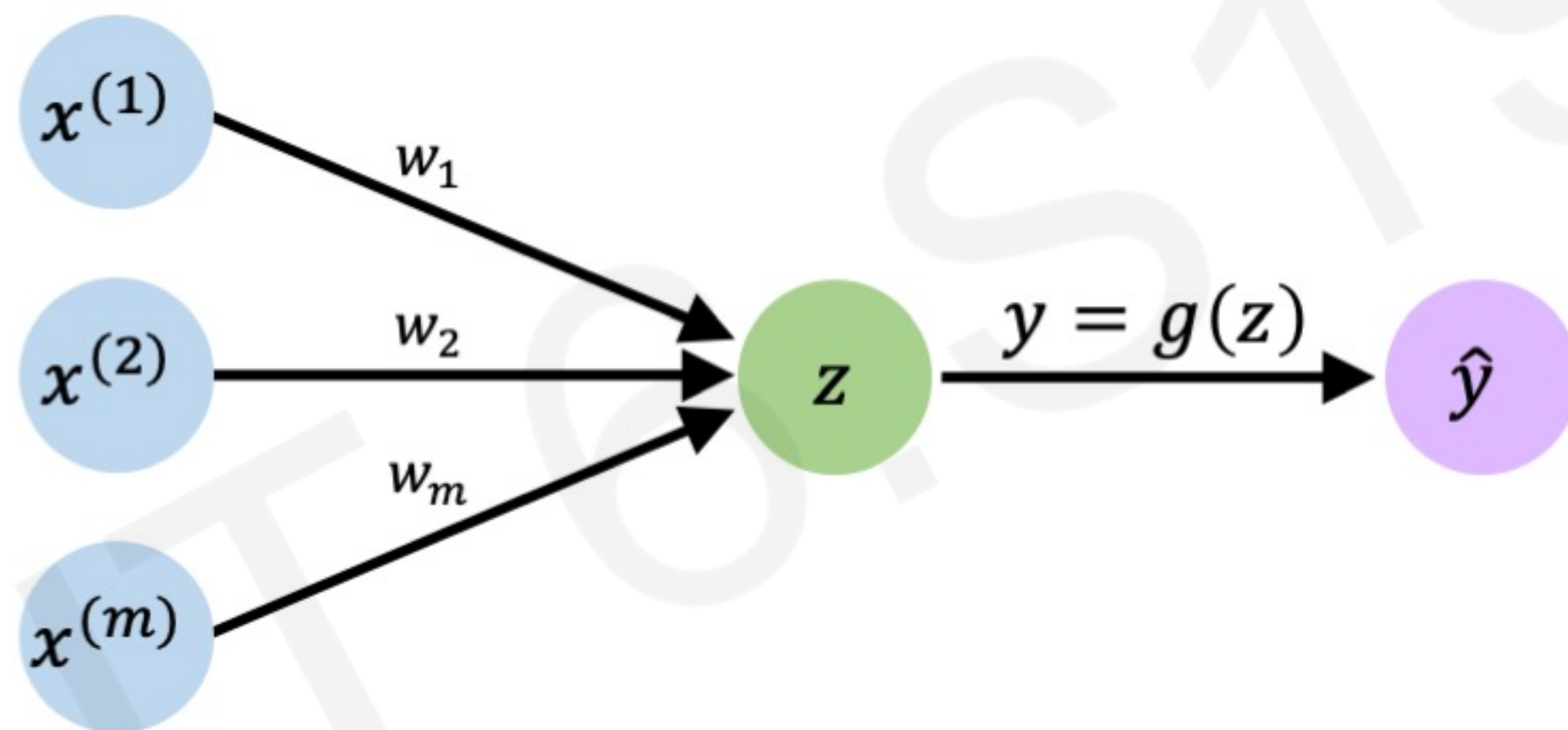
“A baseball player throws a ball.”



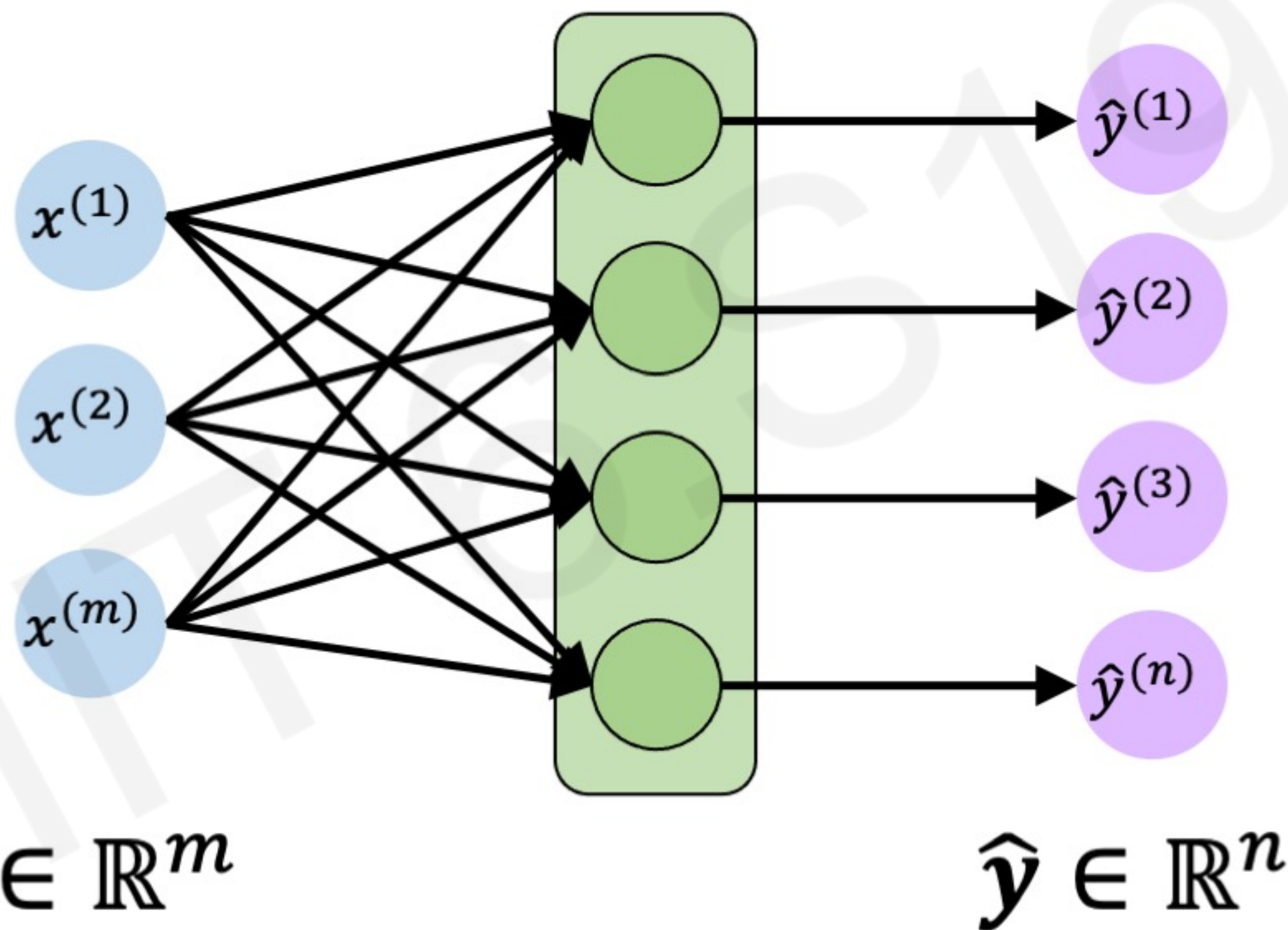
Many to Many
Machine Translation



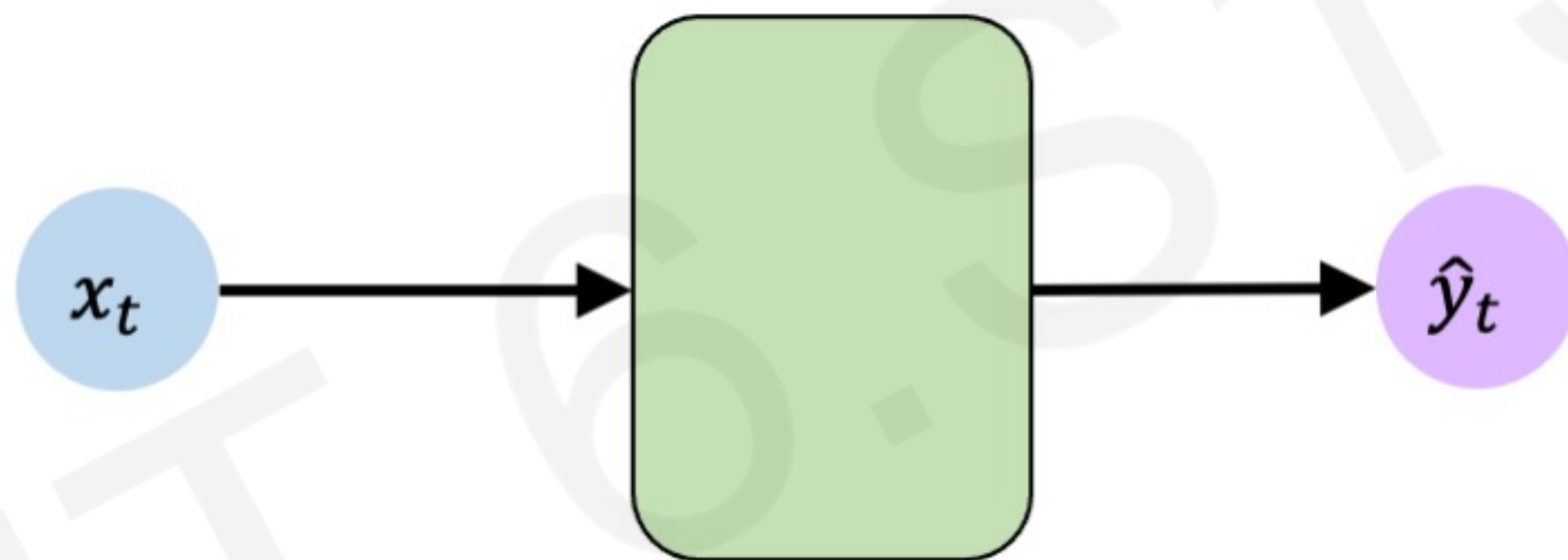
The Perceptron Revisited



Feed-Forward Networks Revisited



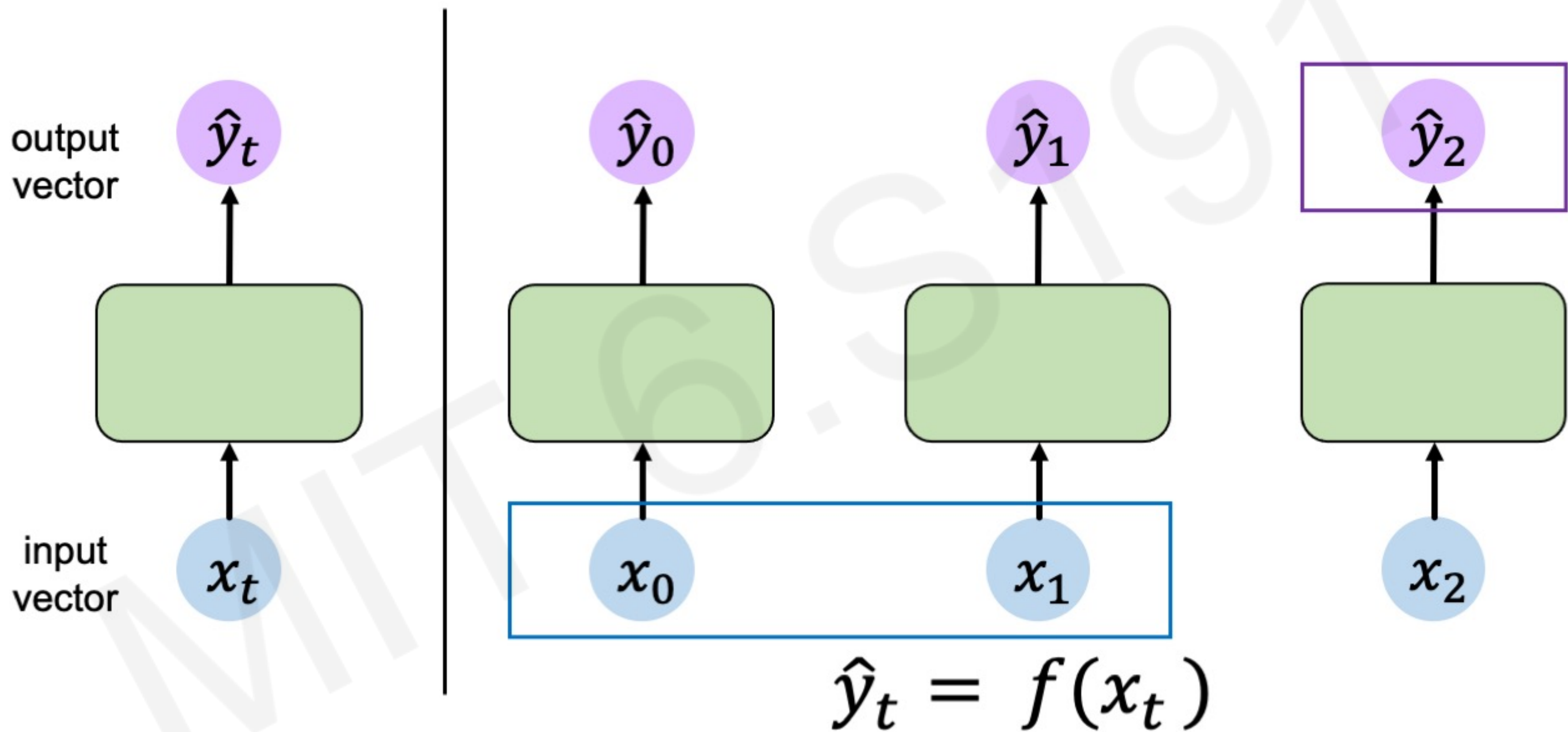
Feed-Forward Networks Revisited



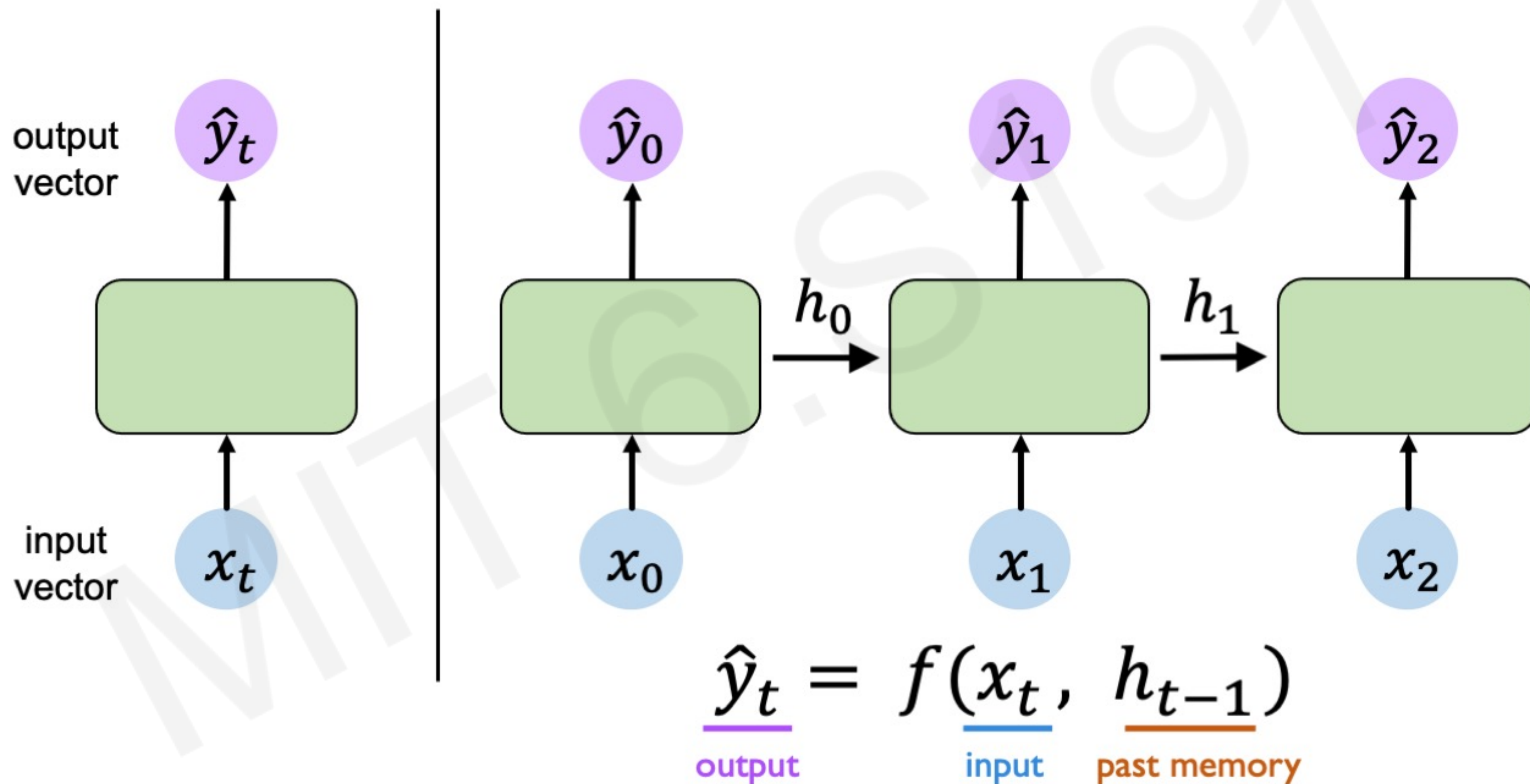
$$x_t \in \mathbb{R}^m$$

$$\hat{y}_t \in \mathbb{R}^n$$

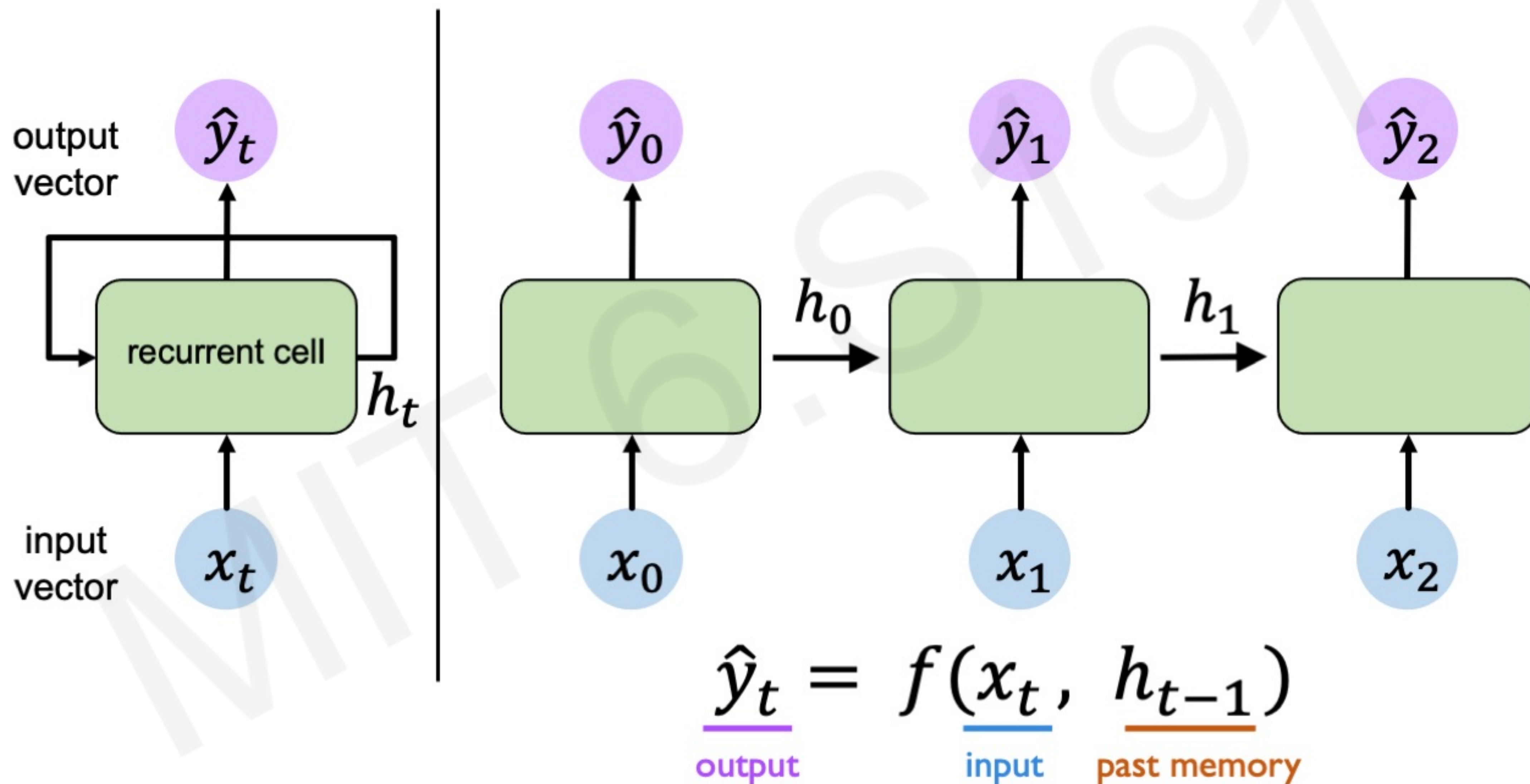
Handling Individual Time Steps



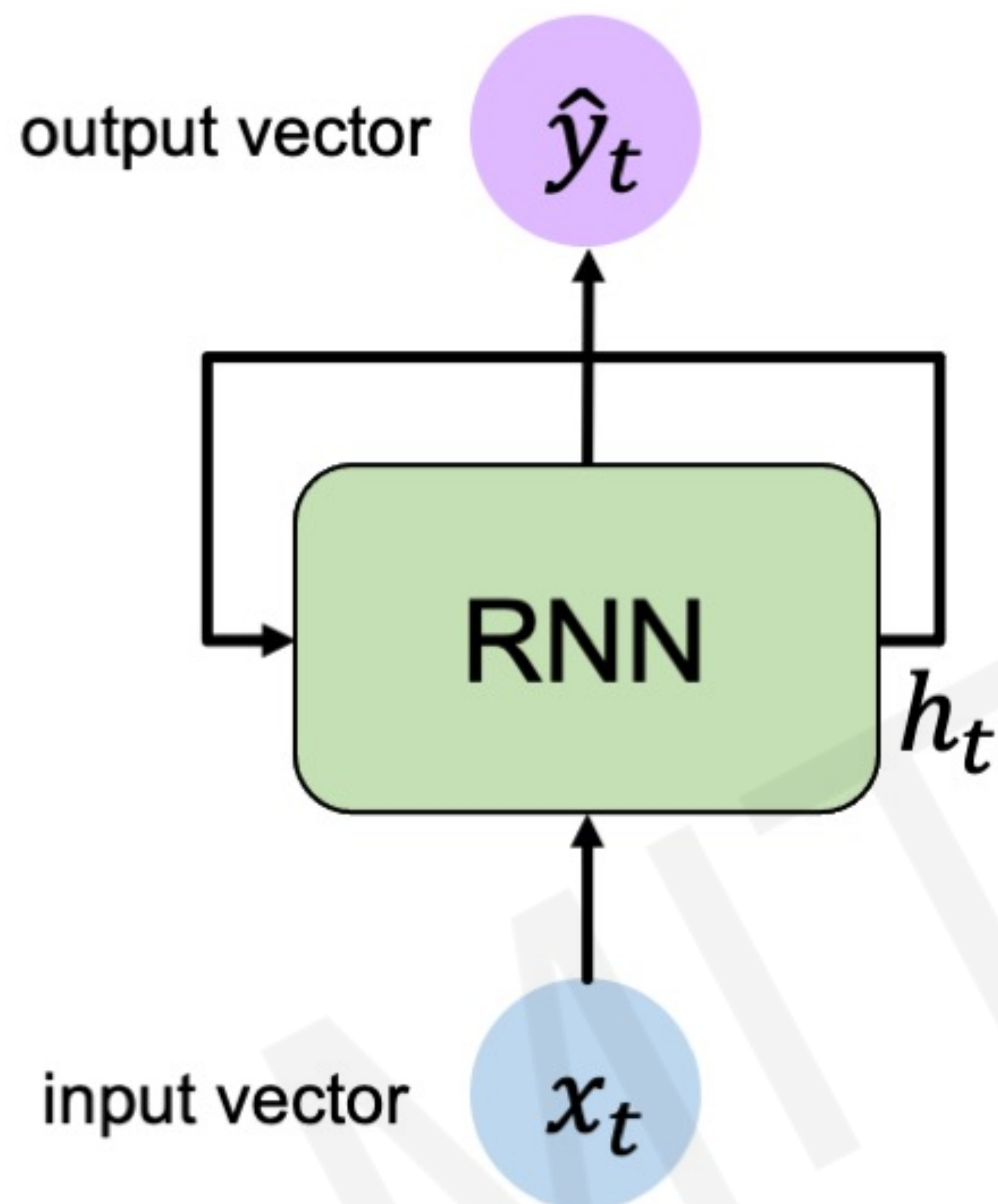
Neurons with Recurrence



Neurons with Recurrence



Recurrent Neural Networks (RNNs)



Apply a **recurrence relation** at every time step to process a sequence:

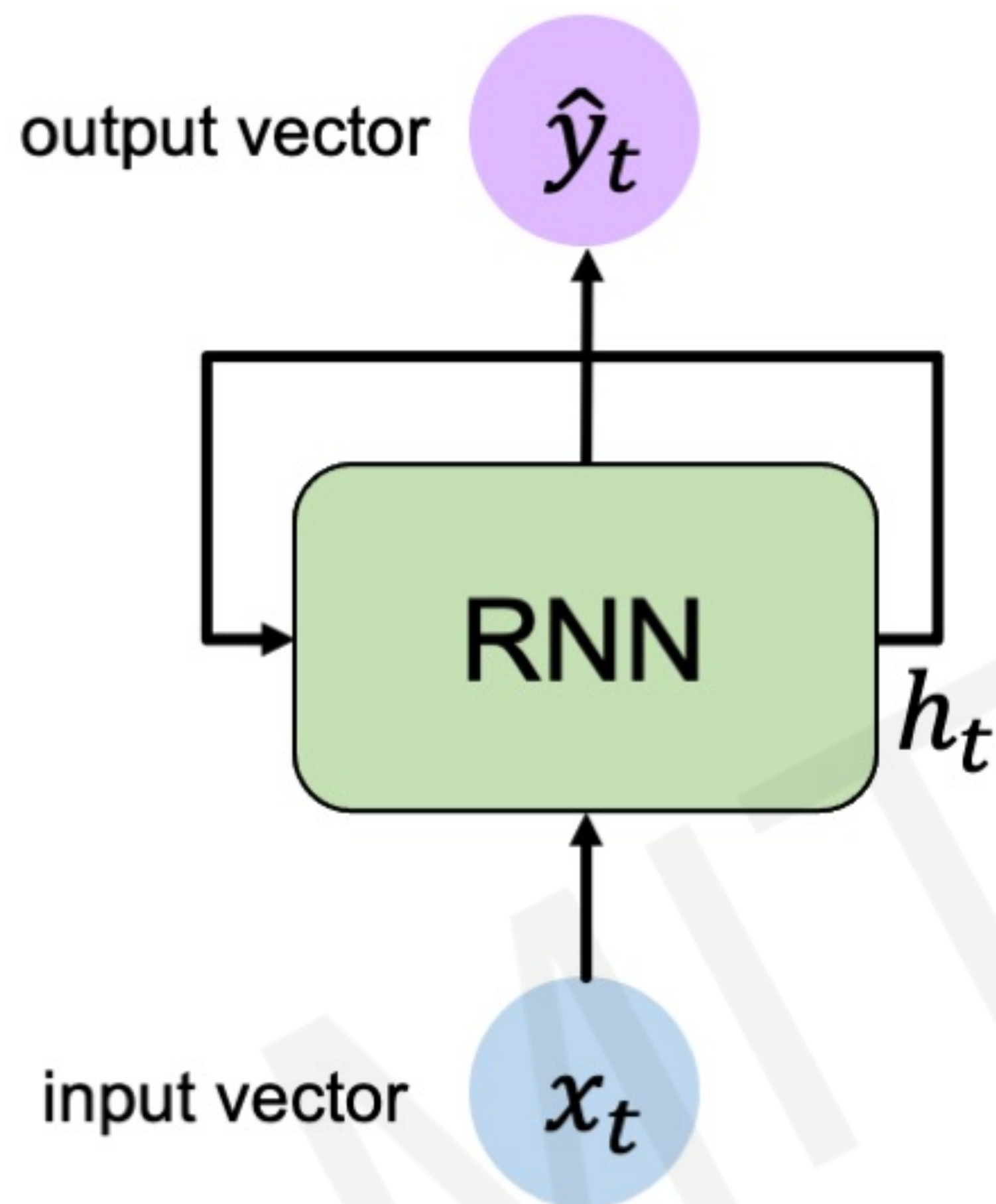
$$h_t = f_W(x_t, h_{t-1})$$

cell state function with weights W input old state

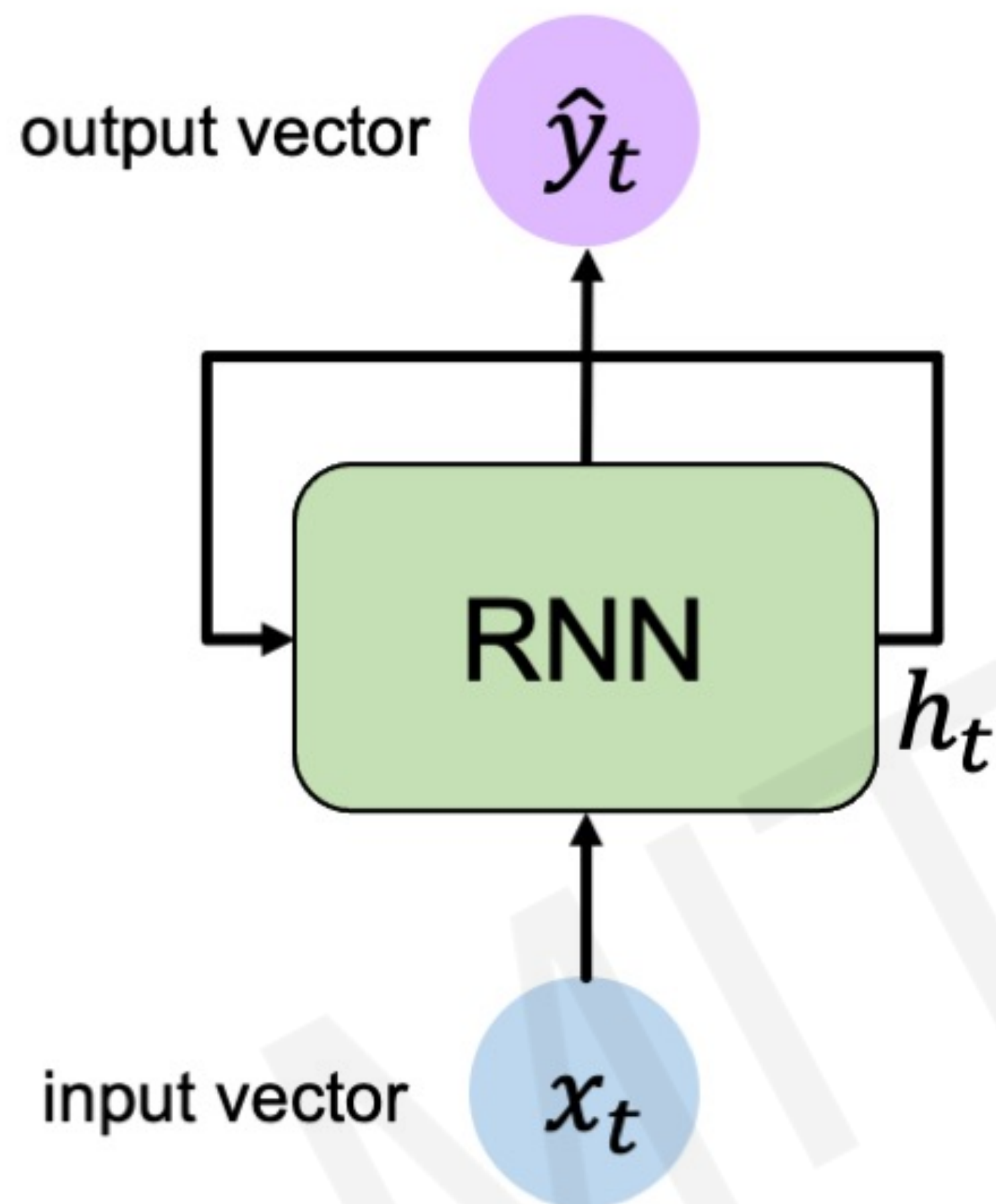
Note: the same function and set of parameters are used at every time step

RNNs have a **state**, h_t , that is updated **at each time step** as a sequence is processed

RNN State Update and Output



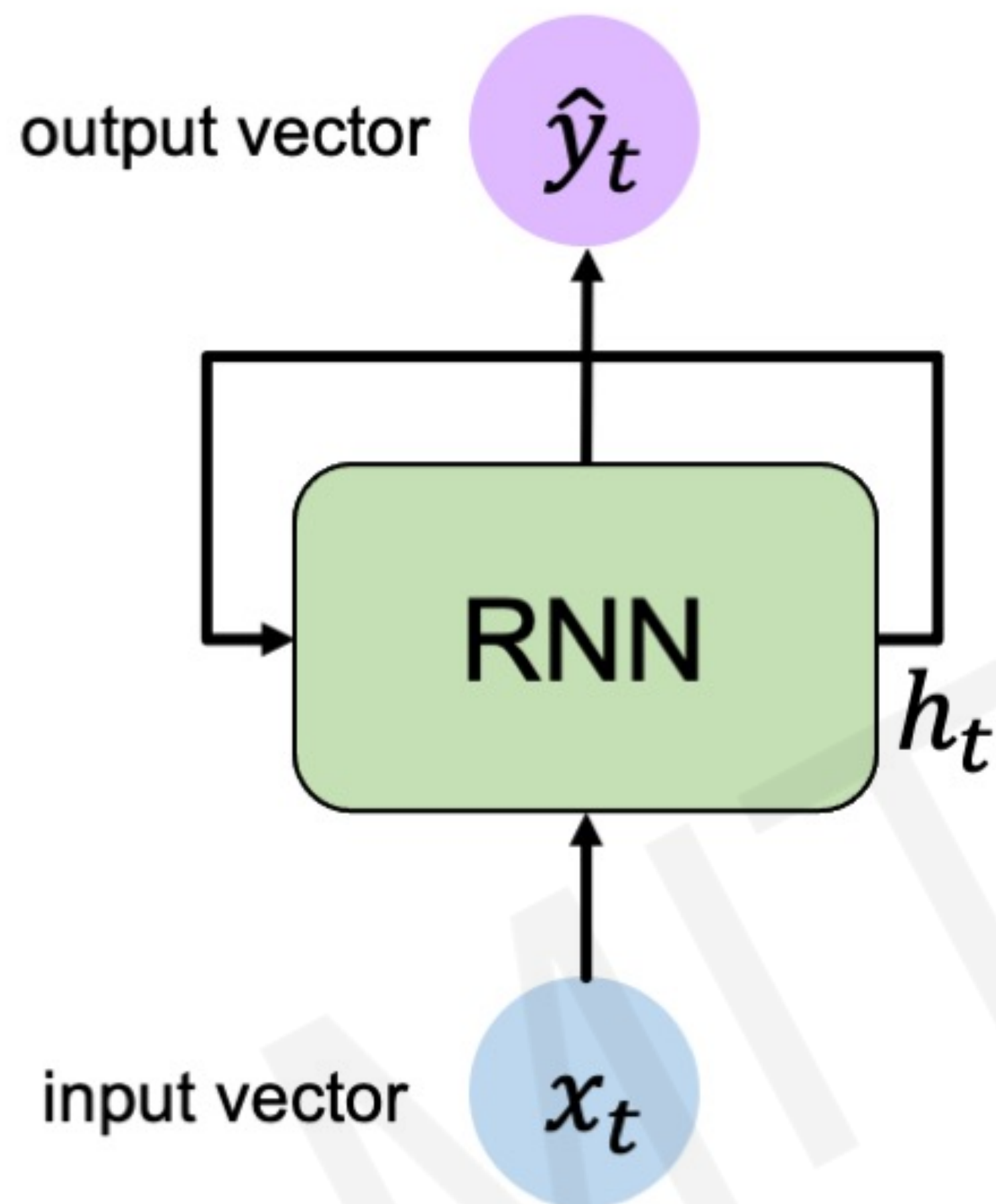
RNN State Update and Output



Input Vector

x_t

RNN State Update and Output



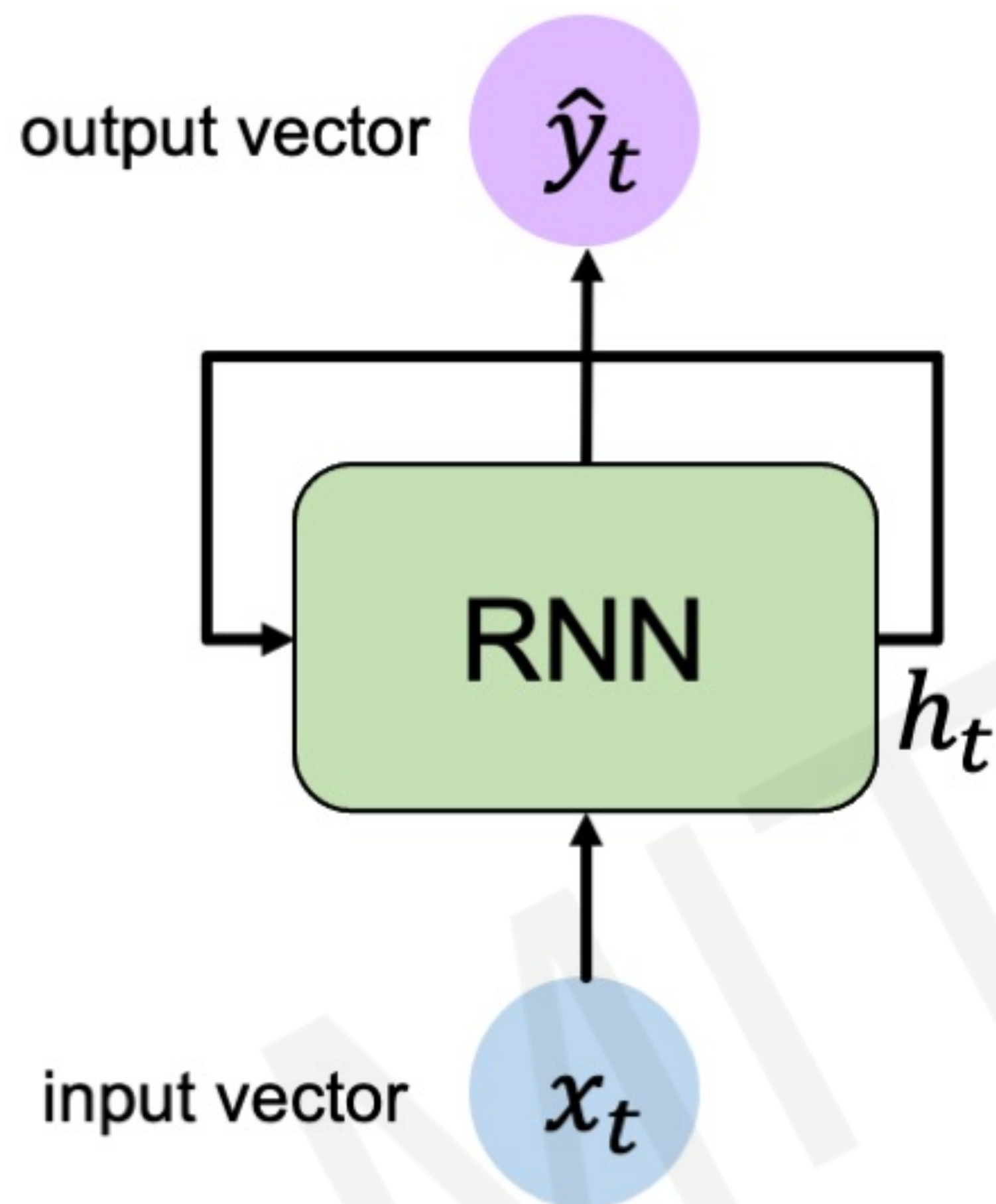
Update Hidden State

$$h_t = \tanh(W_{hh}^T h_{t-1} + W_{xh}^T x_t)$$

Input Vector

x_t

RNN State Update and Output



Output Vector

$$\hat{y}_t = \mathbf{W}_{hy}^T h_t$$

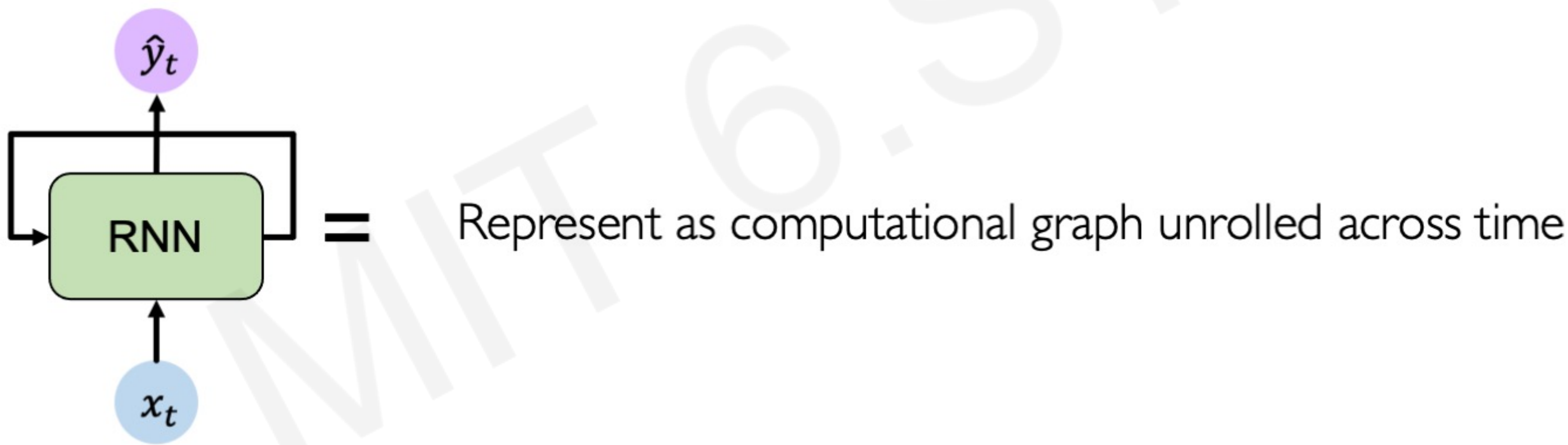
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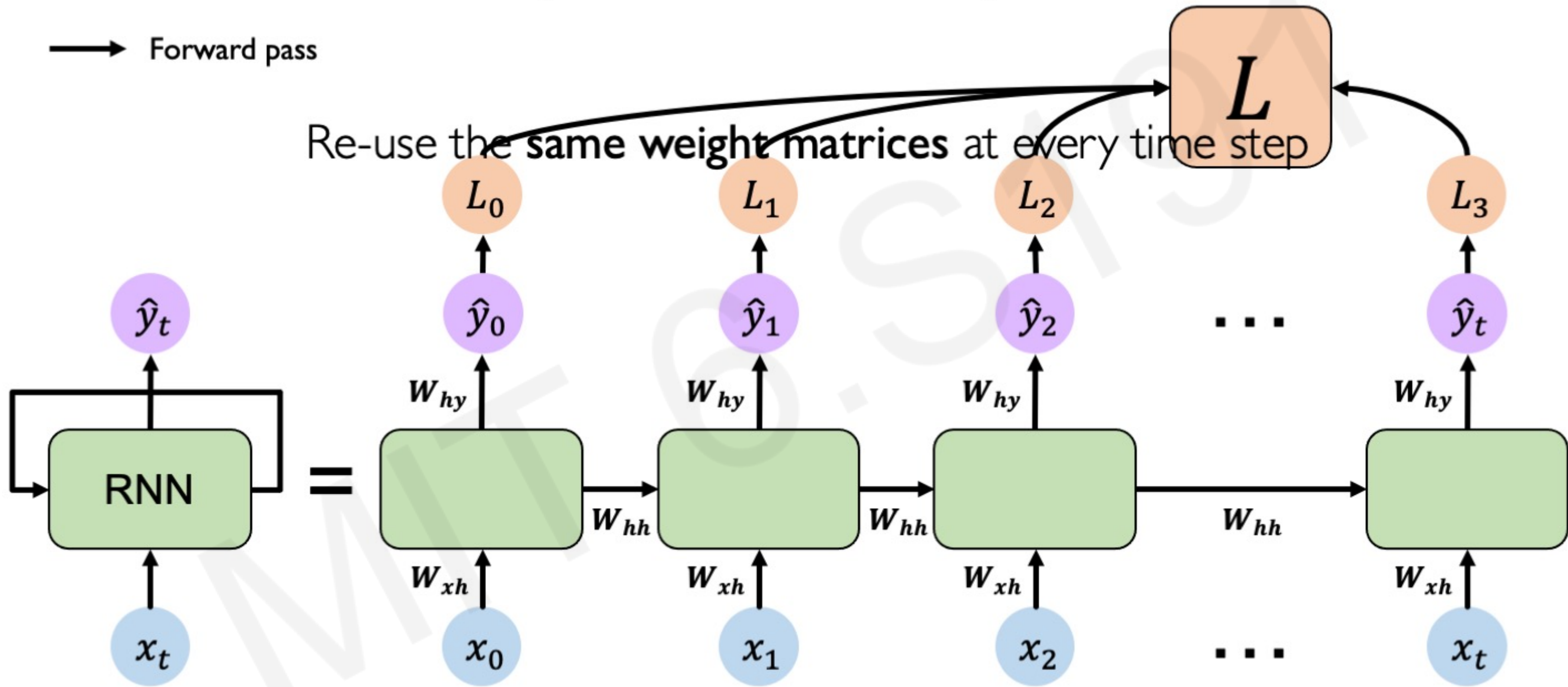
Input Vector

x_t

RNNs: Computational Graph Across Time



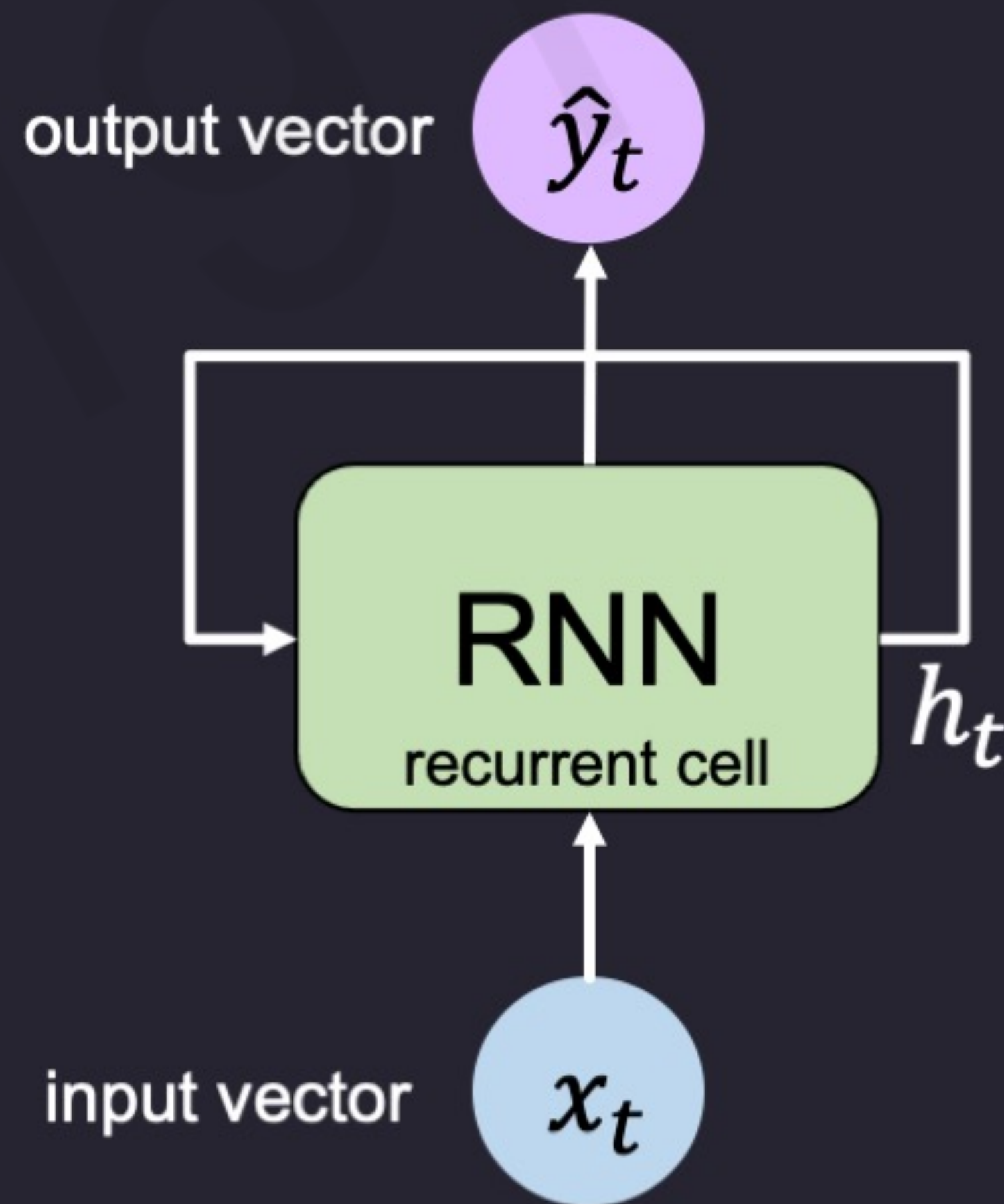
RNNs: Computational Graph Across Time



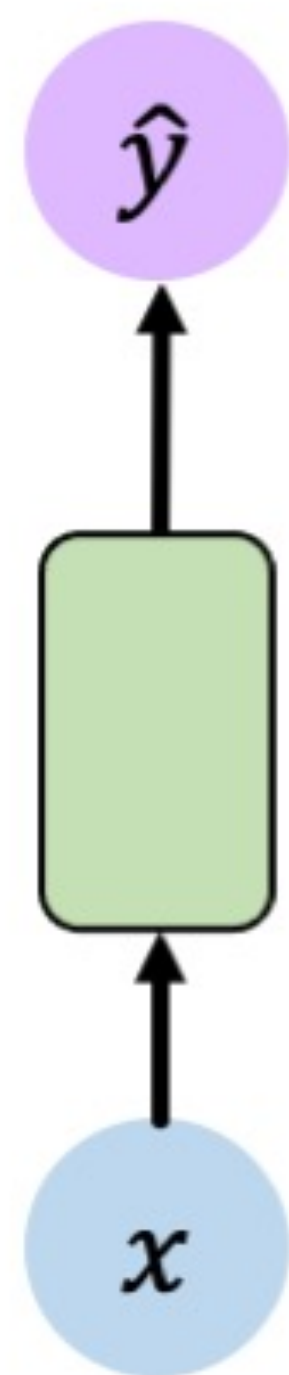
RNN Implementation in TensorFlow



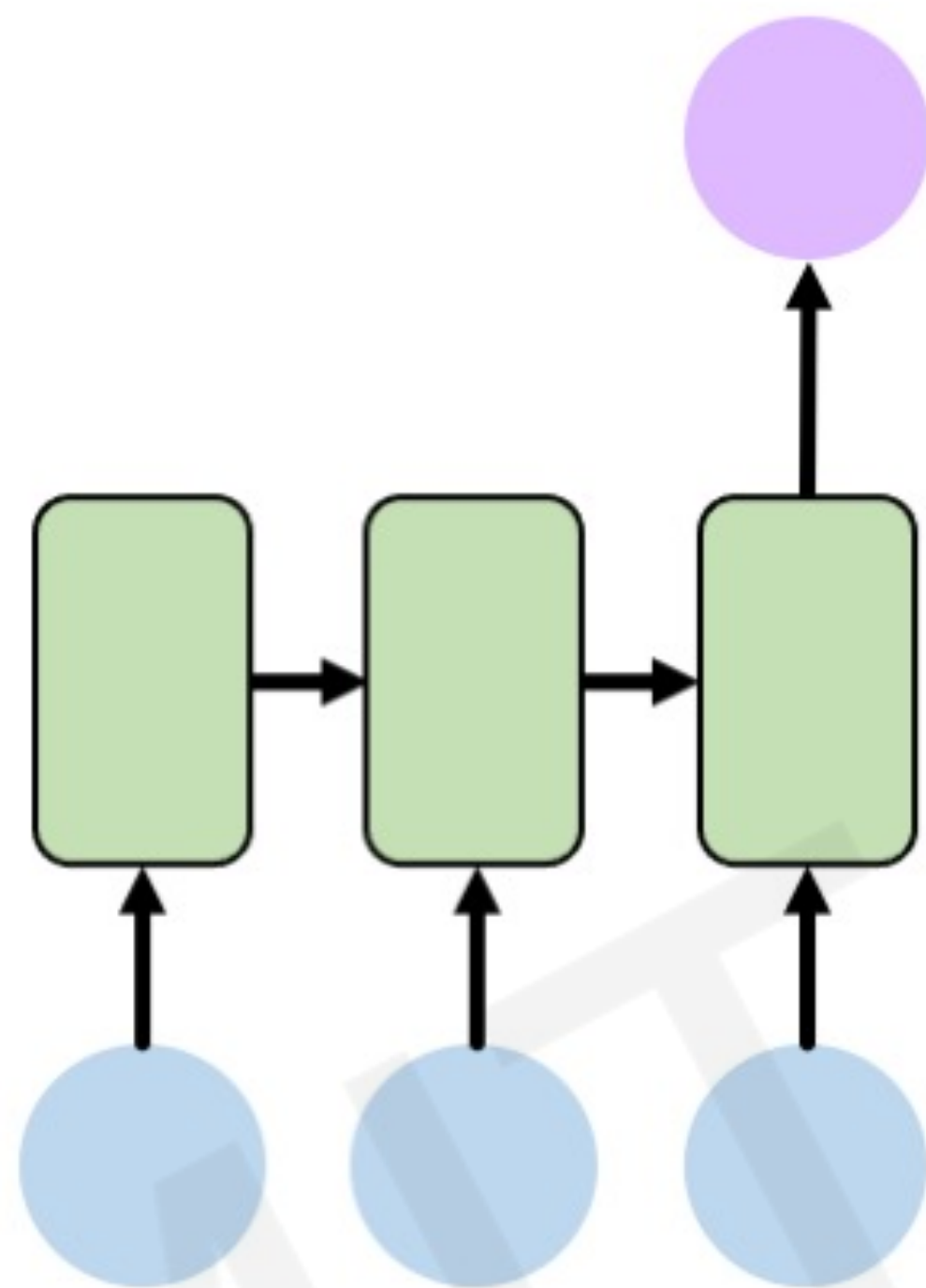
```
tf.keras.layers.SimpleRNN(rnn_units)
```



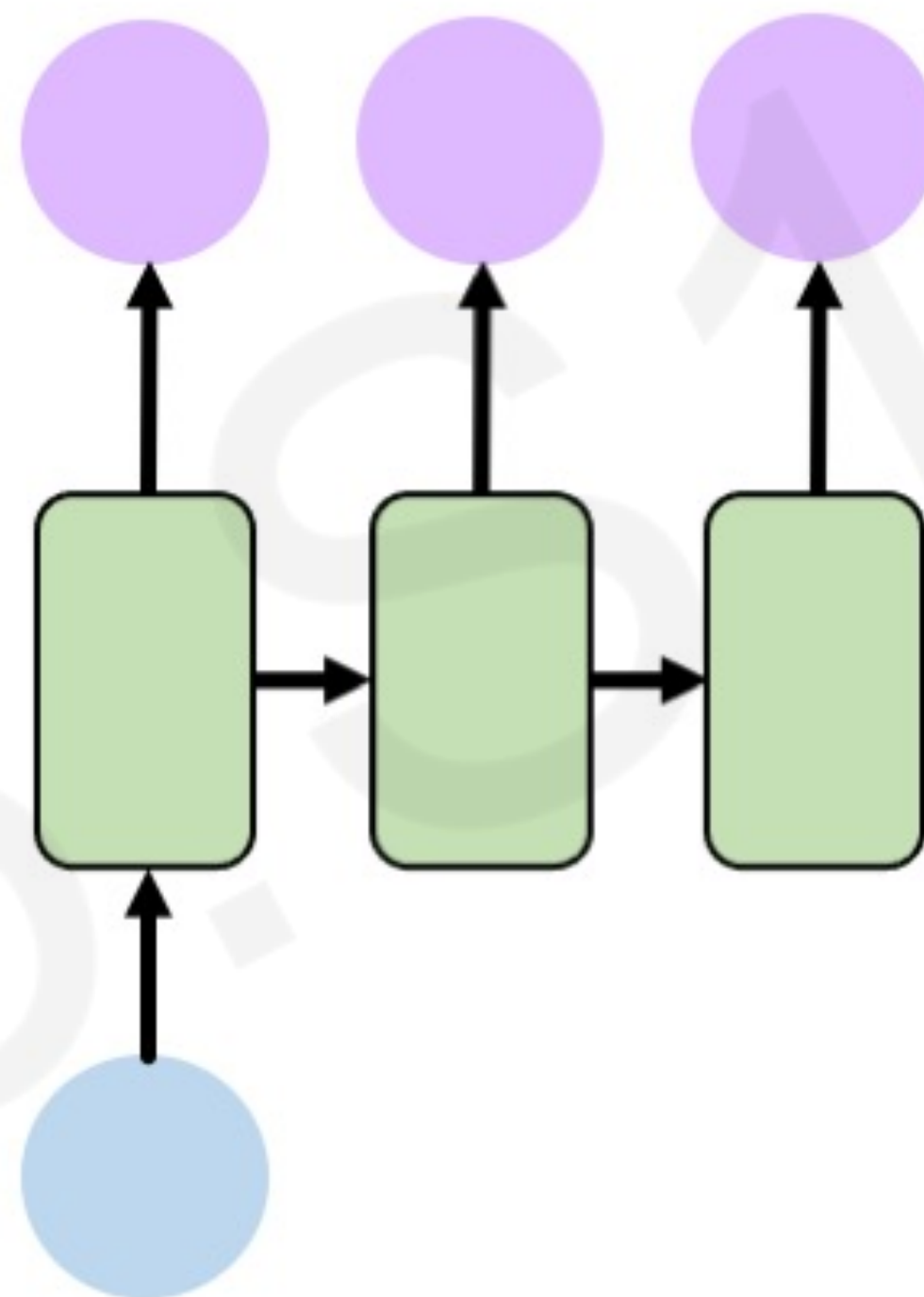
RNNs for Sequence Modeling



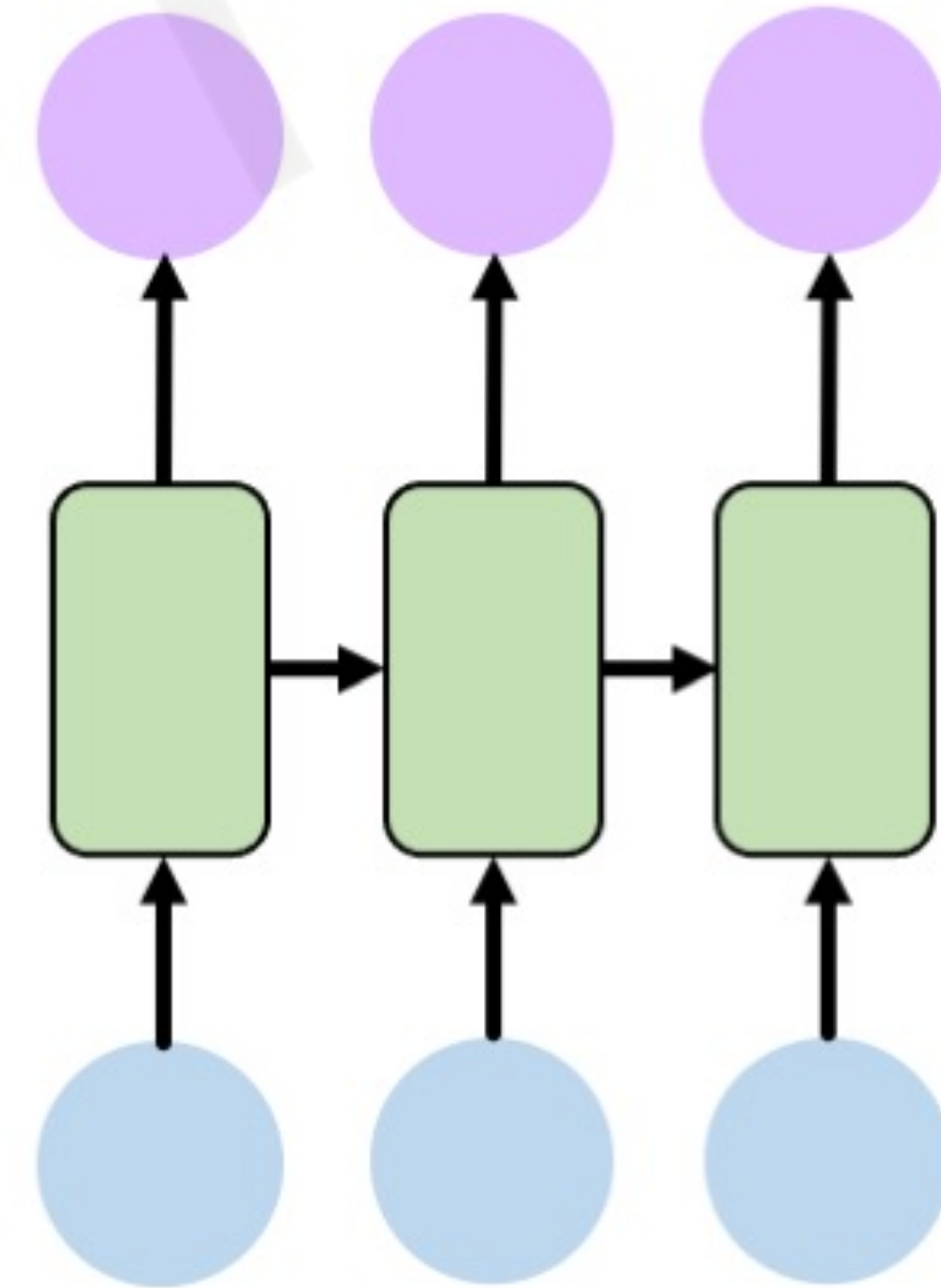
One to One
"Vanilla" NN
Binary classification



Many to One
Sentiment Classification



One to Many
Text Generation
Image Captioning



Many to Many
Translation & Forecasting
Music Generation

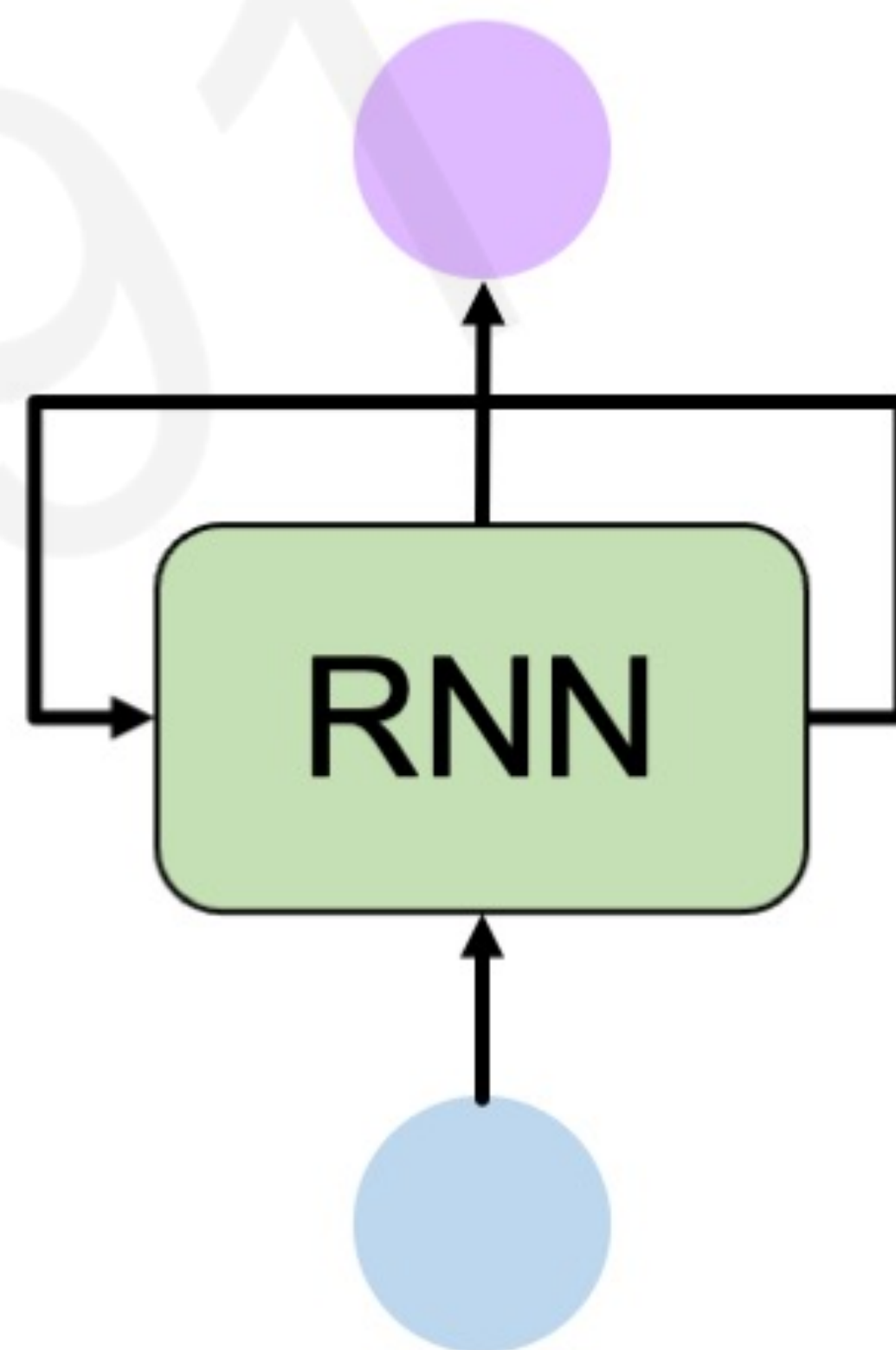
... and many other architectures and applications



Sequence Modeling: Design Criteria

To model sequences, we need to:

1. Handle **variable-length** sequences
2. Track **long-term** dependencies
3. Maintain information about **order**
4. **Share parameters** across the sequence



Recurrent Neural Networks (RNNs) meet these sequence modeling design criteria

A Sequence Modeling Problem: Predict the Next Word

“This morning I took my cat for a walk.”

MIT 6.S191

A Sequence Modeling Problem: Predict the Next Word

“This morning I took my cat for a walk.”

given these words

A Sequence Modeling Problem: Predict the Next Word

“This morning I took my cat for a walk.”

given these words

predict the
next word

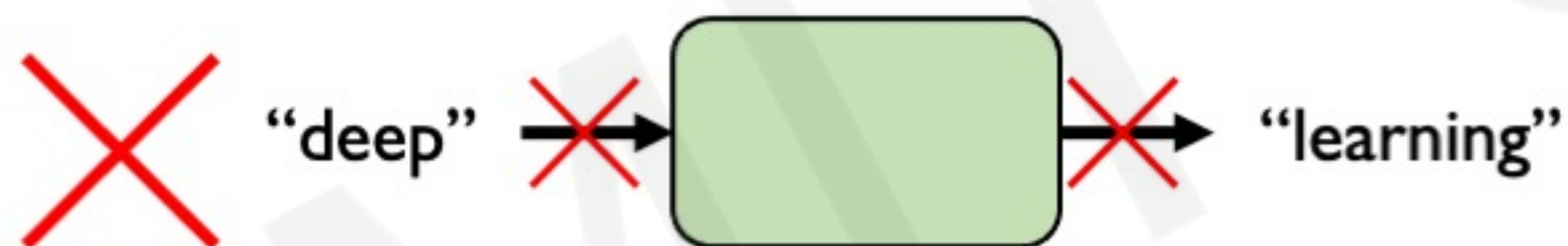
A Sequence Modeling Problem: Predict the Next Word

“This morning I took my cat for a walk.”

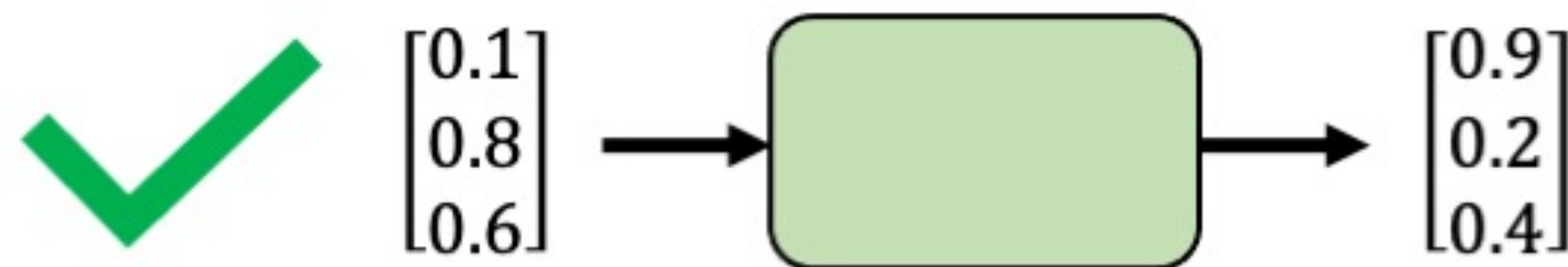
given these words

predict the
next word

Representing Language to a Neural Network



Neural networks cannot interpret words



Neural networks require numerical inputs

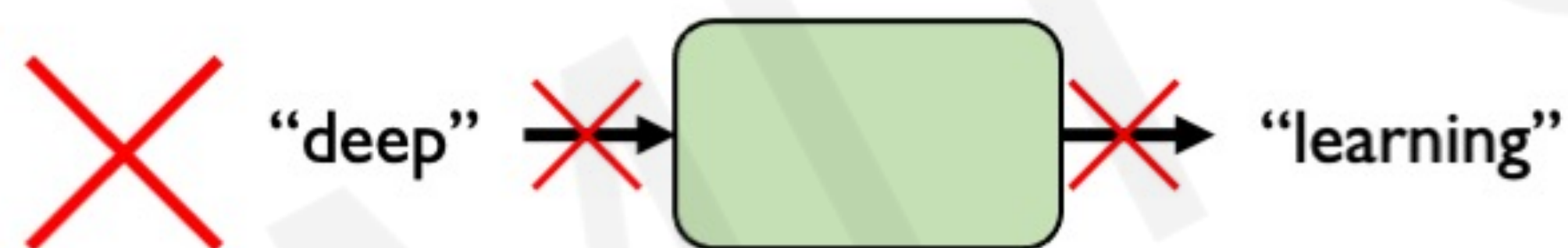
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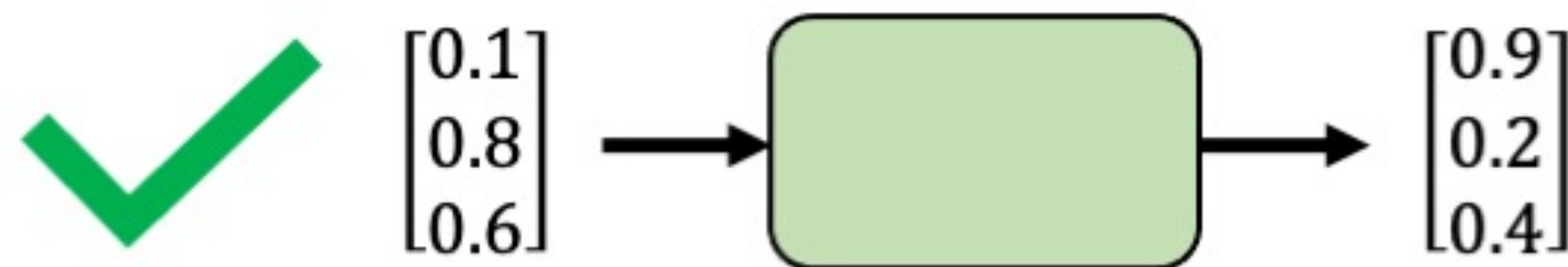
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Representing Language to a Neural Network

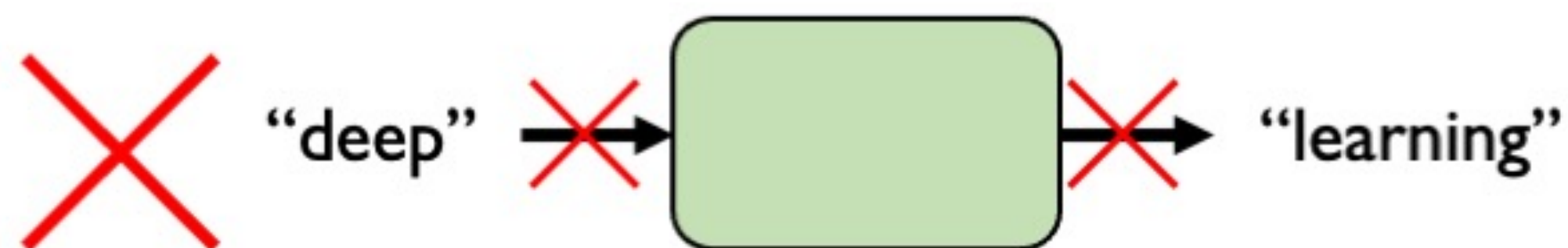


Neural networks cannot interpret words

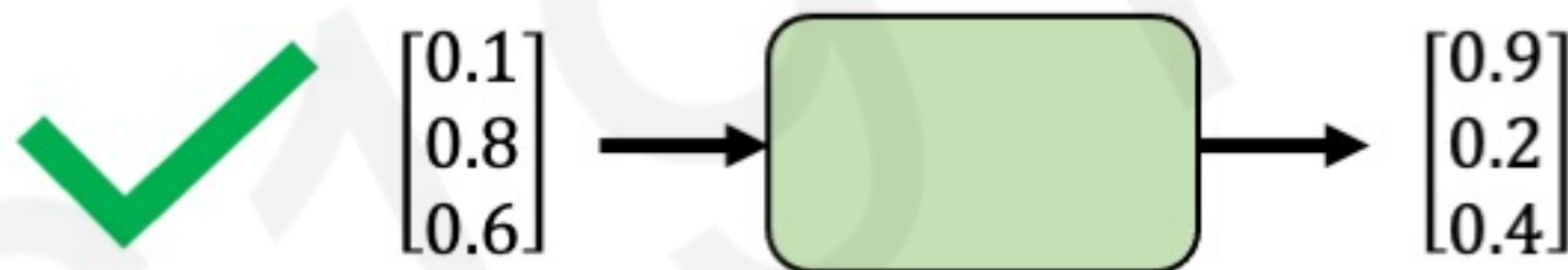


Neural networks require numerical inputs

Encoding Language for a Neural Network

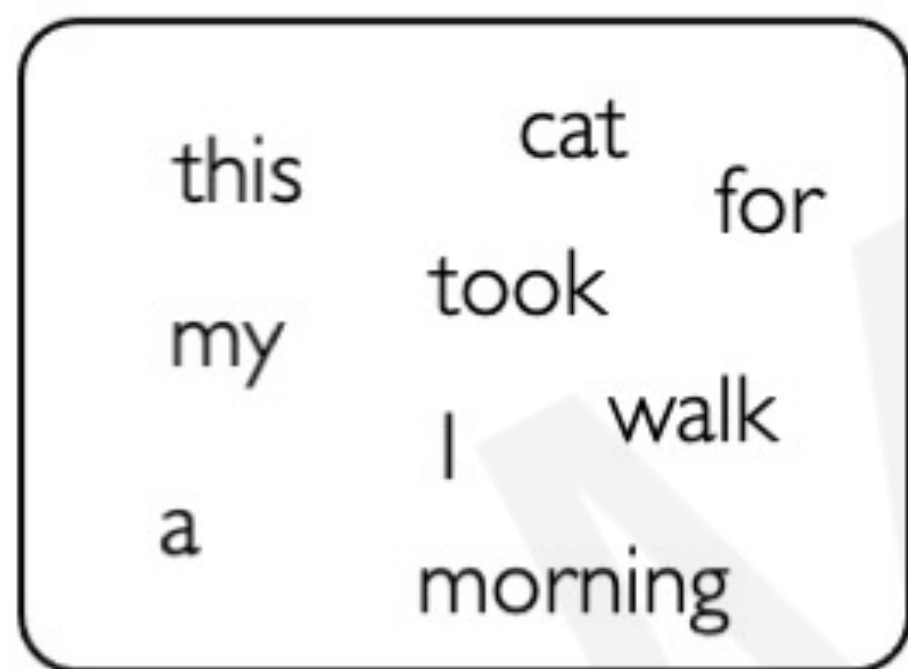


Neural networks cannot interpret words

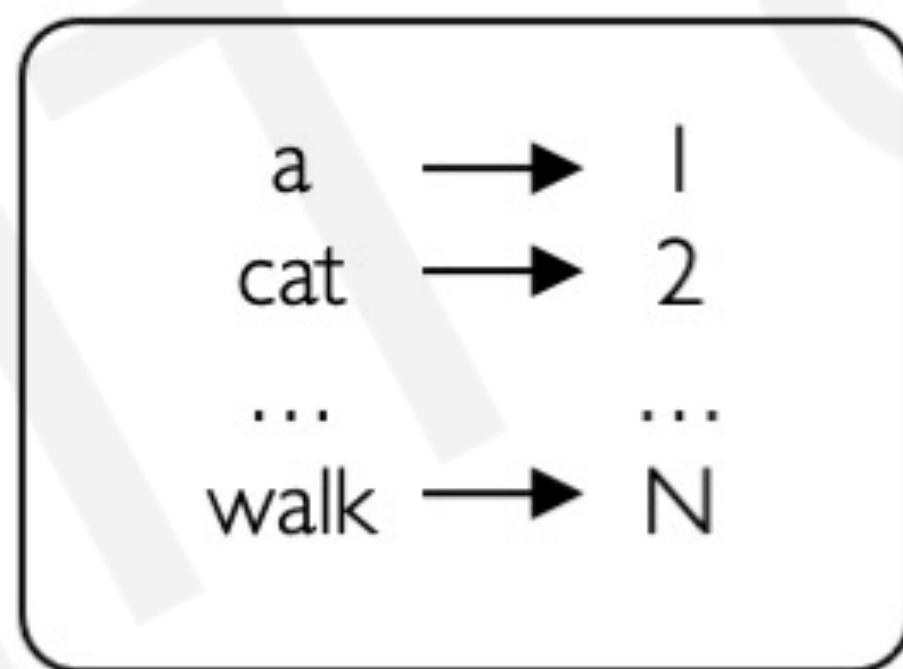


Neural networks require numerical inputs

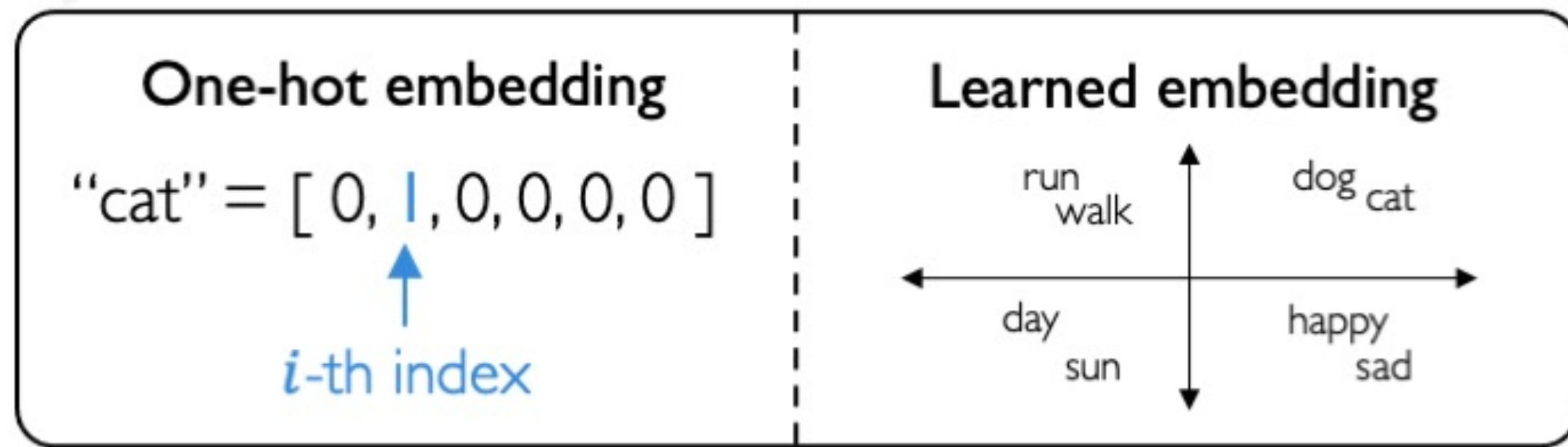
Embedding: transform indexes into a vector of fixed size.



1. Vocabulary:
Corpus of words



2. Indexing:
Word to index



3. Embedding:
Index to fixed-sized vector

Handle Variable Sequence Lengths

The food was great

vs.

We visited a restaurant for lunch

vs.

We were hungry but cleaned the house before eating

Model Long-Term Dependencies

“**France** is where I grew up, but I now live in Boston. I speak fluent ____.”



We need information from **the distant past** to accurately predict the correct word.

Capture Differences in Sequence Order



The food was good, not bad at all.

vs.

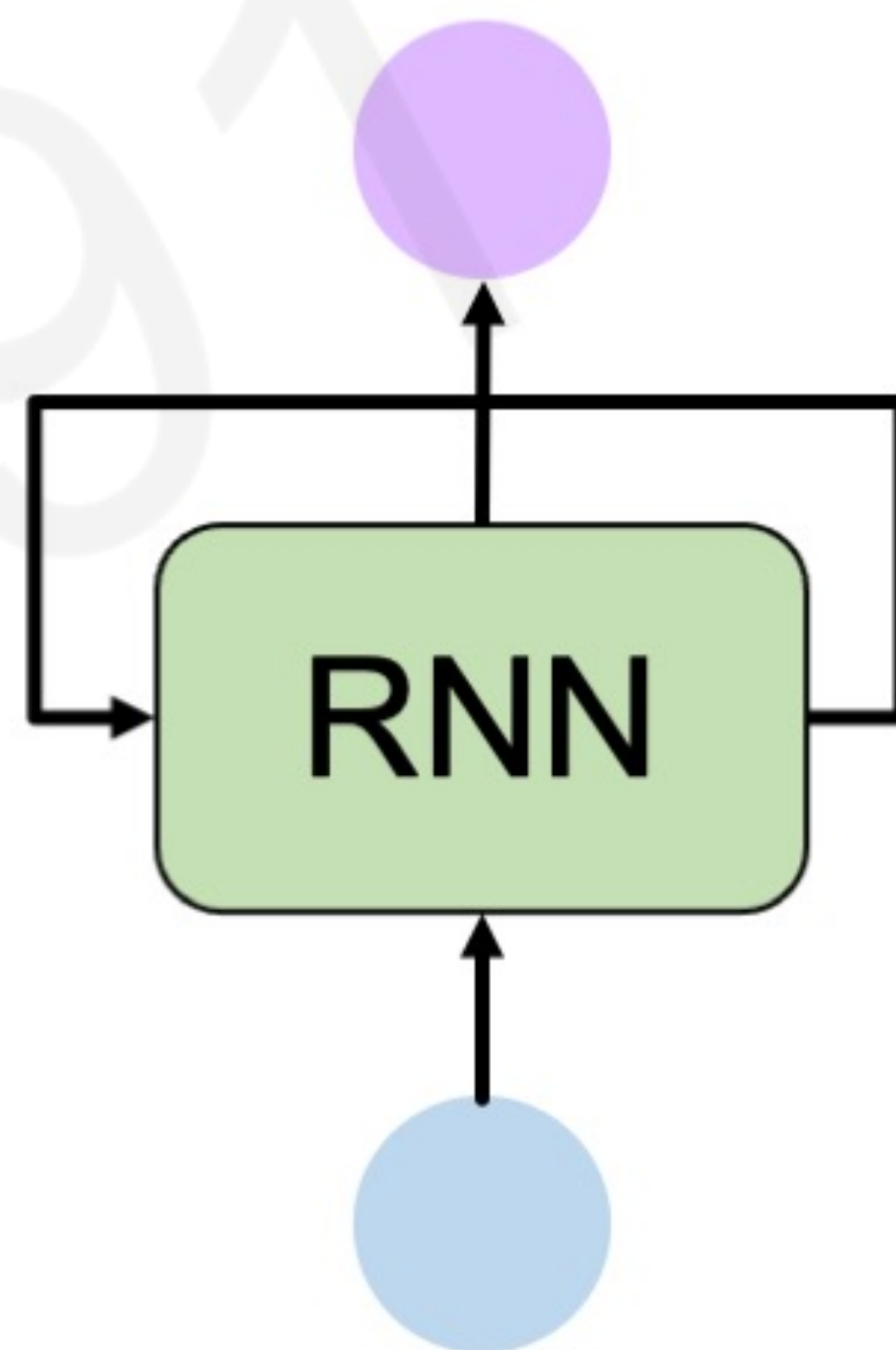
The food was bad, not good at all.



Sequence Modeling: Design Criteria

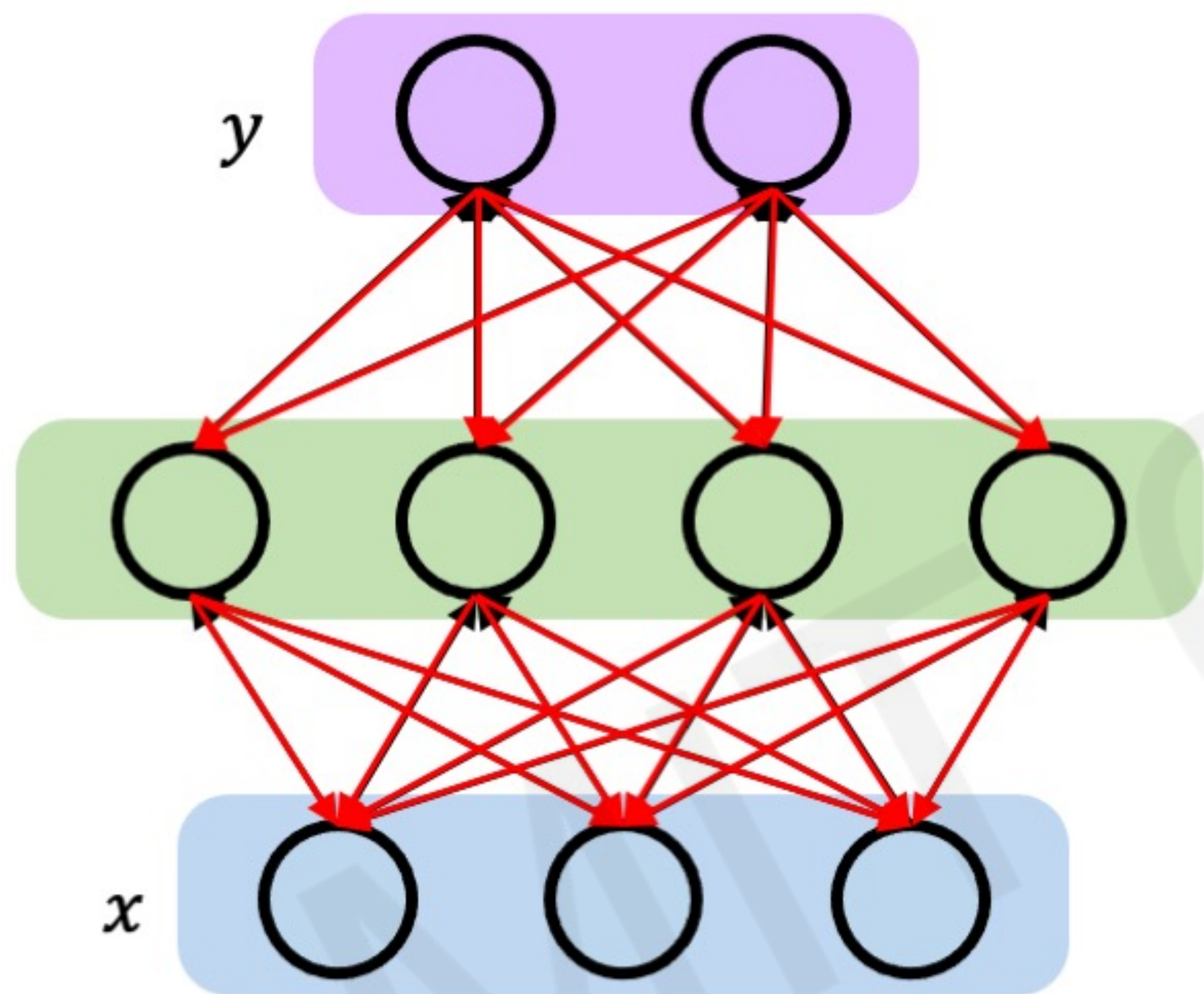
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3. Maintain information about **order**
4. **Share parameters** across the sequence



Recurrent Neural Networks (RNNs) meet these sequence modeling design criteria

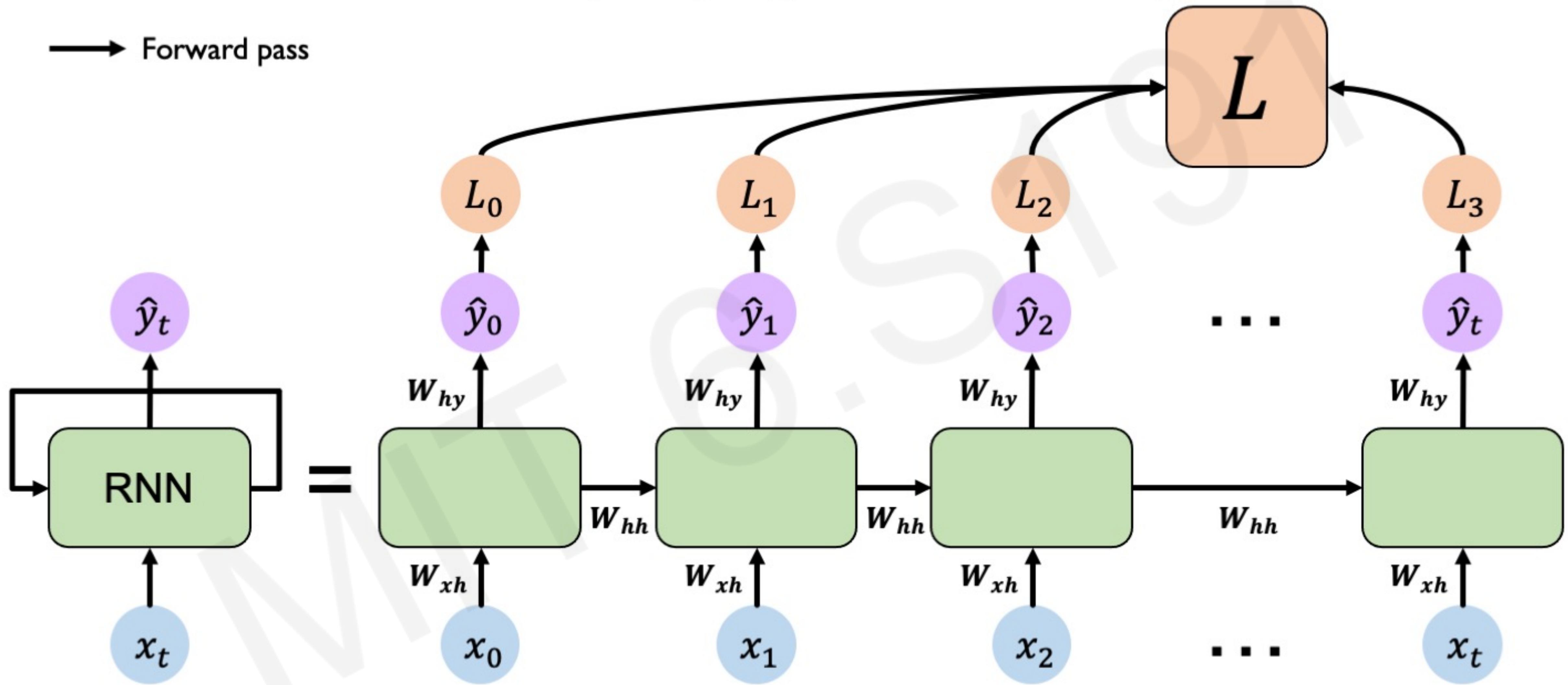
Recall: Backpropagation in Feed Forward Models



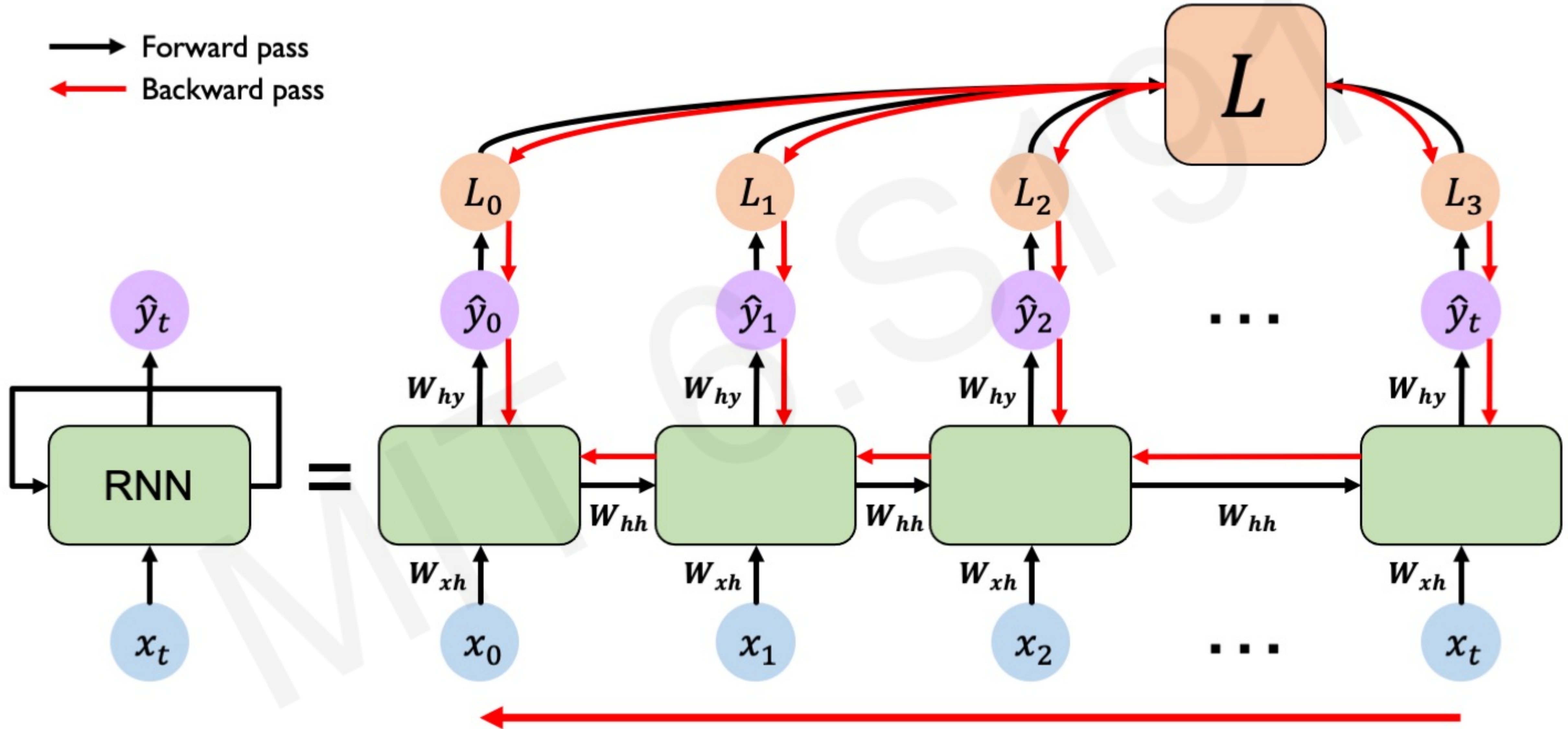
Backpropagation algorithm:

1. Take the derivative (gradient) of the loss with respect to each parameter
2. Shift parameters in order to minimize loss

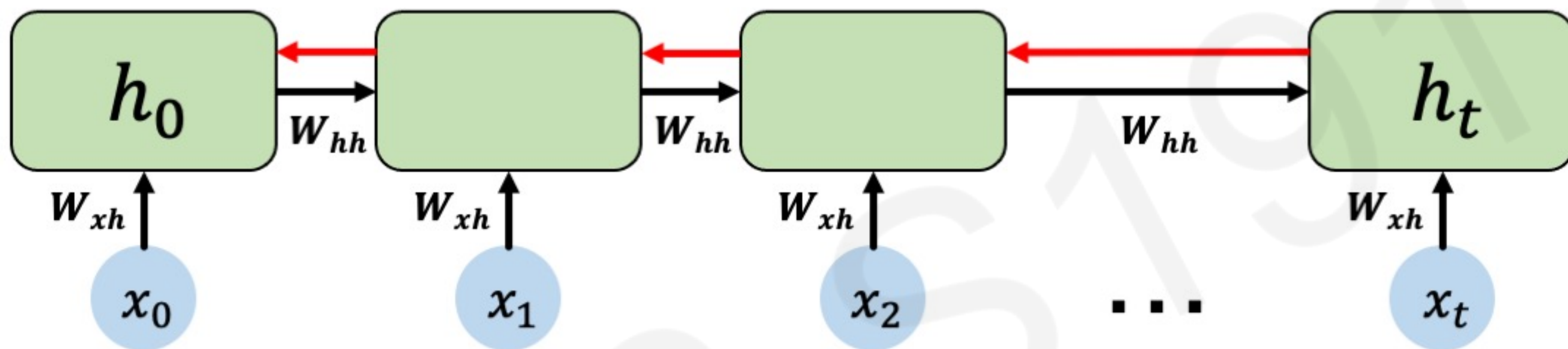
RNNs: Backpropagation Through Time



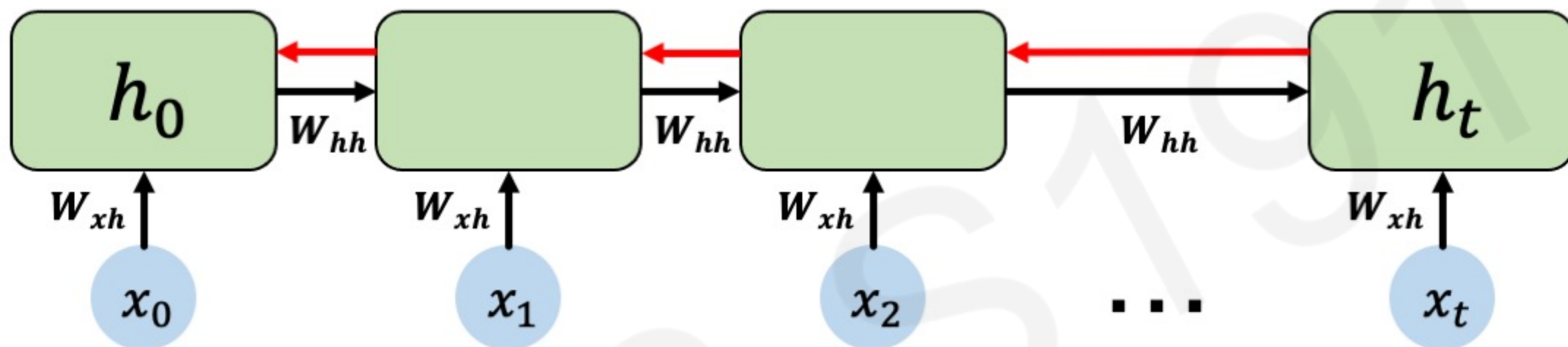
RNNs: Backpropagation Through Time



Standard RNN Gradient Flow

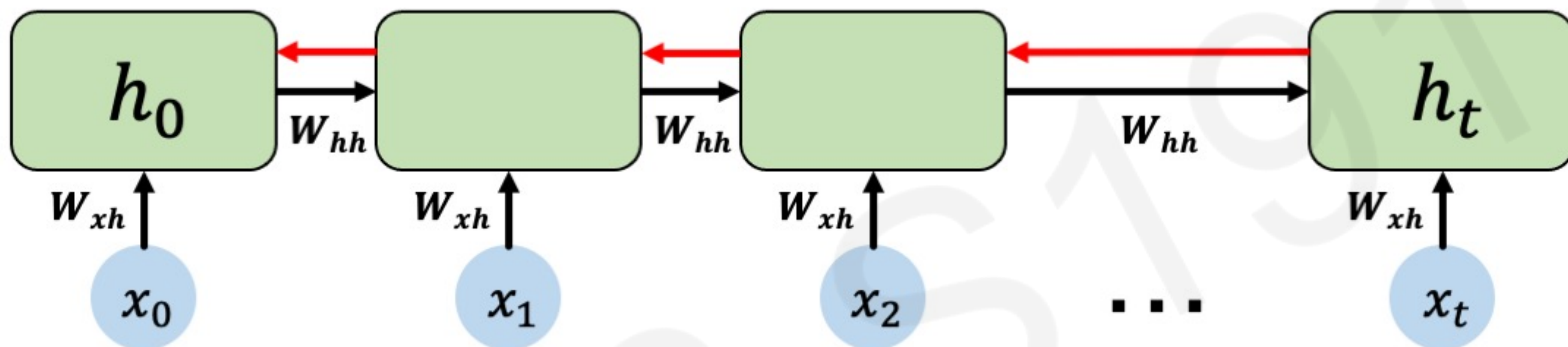


Standard RNN Gradient Flow



Computing the gradient wrt h_0 involves **many factors of W_{hh}** + repeated gradient computation!

Standard RNN Gradient Flow: Exploding Gradients

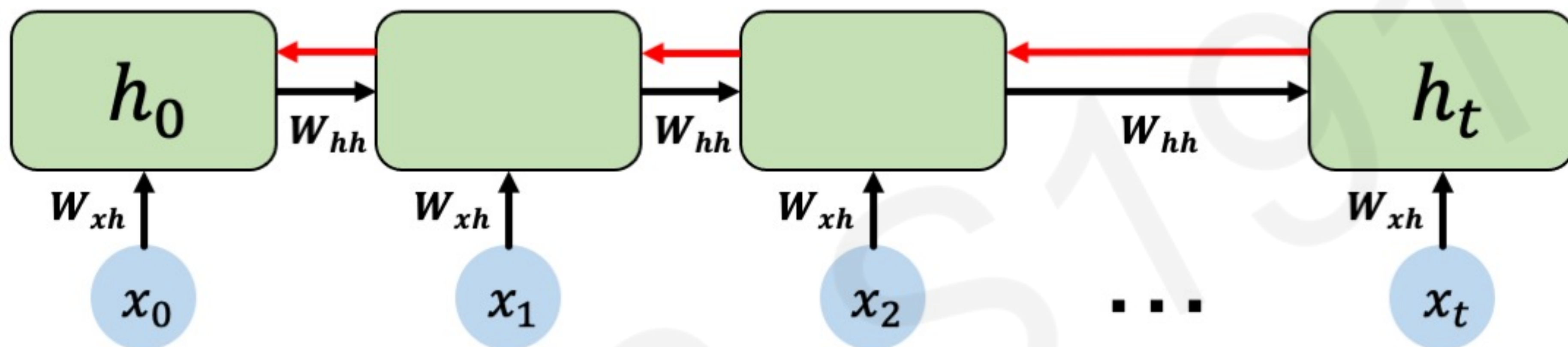


Computing the gradient wrt h_0 involves **many factors of W_{hh}** + **repeated gradient computation!**

Many values > 1 :
exploding gradients

Gradient clipping to
scale big gradients

Standard RNN Gradient Flow: Vanishing Gradients



Computing the gradient wrt h_0 involves **many factors of W_{hh}** + **repeated gradient computation!**

Many values > 1 :
exploding gradients

Gradient clipping to
scale big gradients

Many values < 1 :
vanishing gradients

1. Activation function
2. Weight initialization
3. Network architecture

The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

MIT 6.S191

The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

Multiply many **small numbers** together

MIT 6.S191

The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

Multiply many **small numbers** together



Errors due to further back time steps
have smaller and smaller gradients

The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

Multiply many **small numbers** together



Errors due to further back time steps
have smaller and smaller gradients



Bias parameters to capture short-term
dependencies

The Problem of Long-Term Dependencies

“The clouds are in the ____”

Why are vanishing gradients a problem?

Multiply many **small numbers** together



Errors due to further back time steps
have smaller and smaller gradients



Bias parameters to capture short-term
dependencies

The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

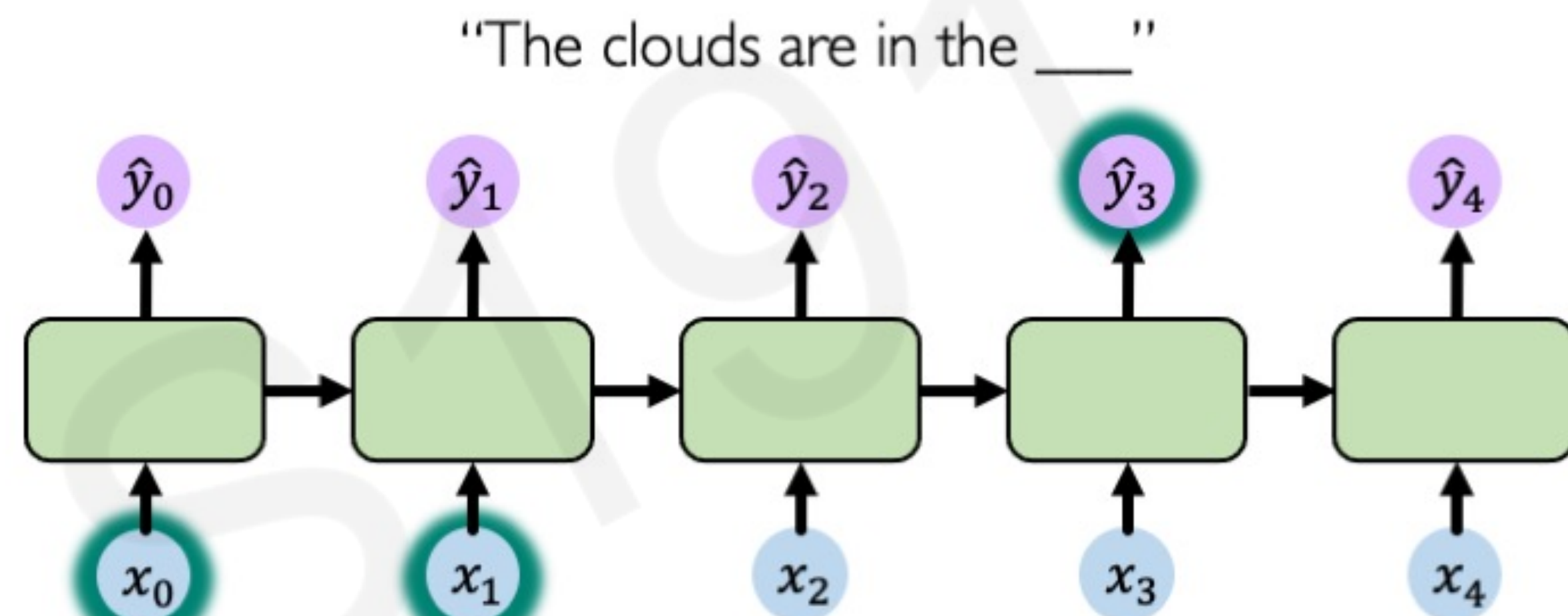
Multiply many **small numbers** together



Errors due to further back time steps have smaller and smaller gradients



Bias parameters to capture short-term dependencies



The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

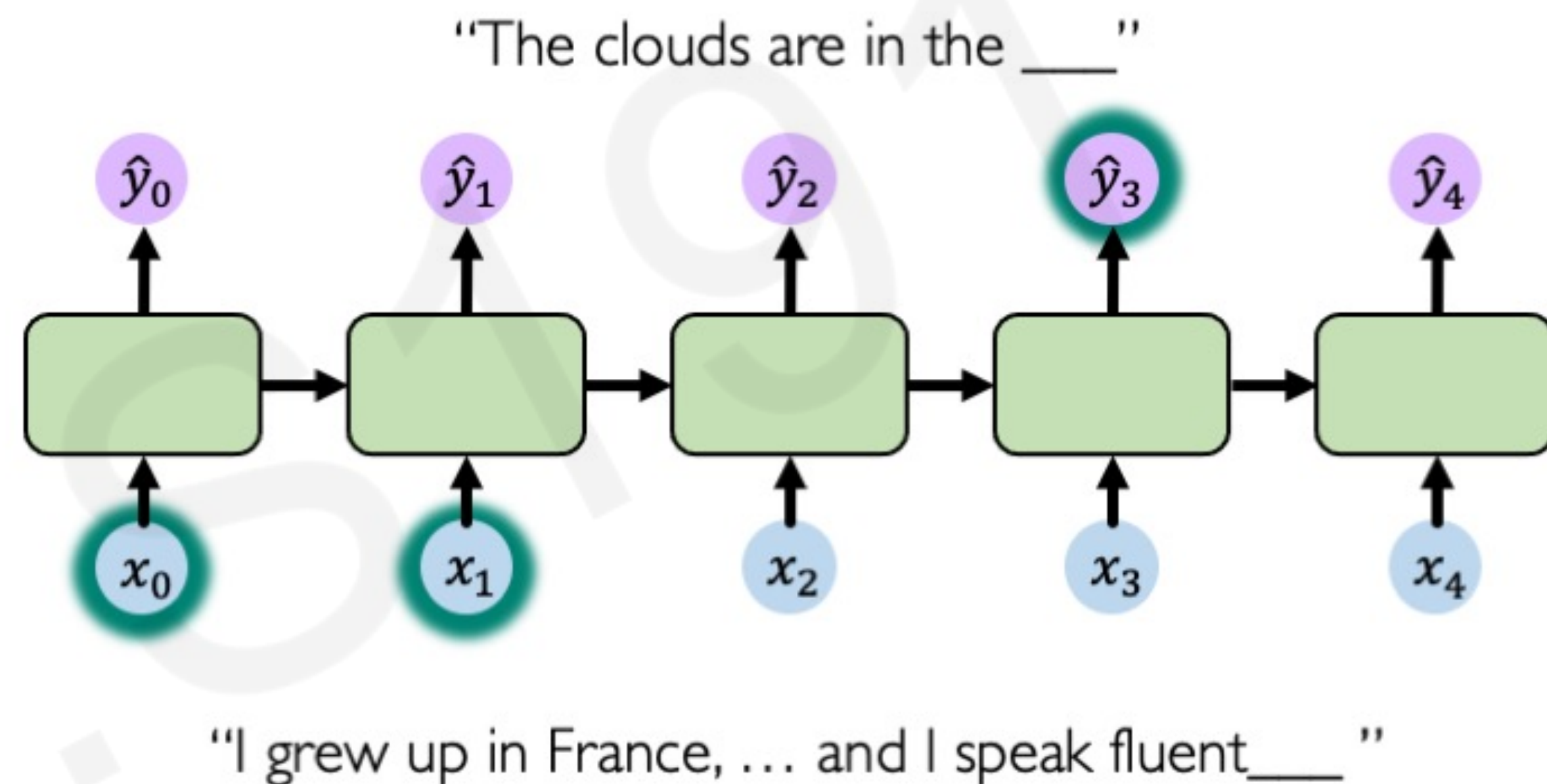
Multiply many **small numbers** together



Errors due to further back time steps have smaller and smaller gradients



Bias parameters to capture short-term dependencies



The Problem of Long-Term Dependencies

Why are vanishing gradients a problem?

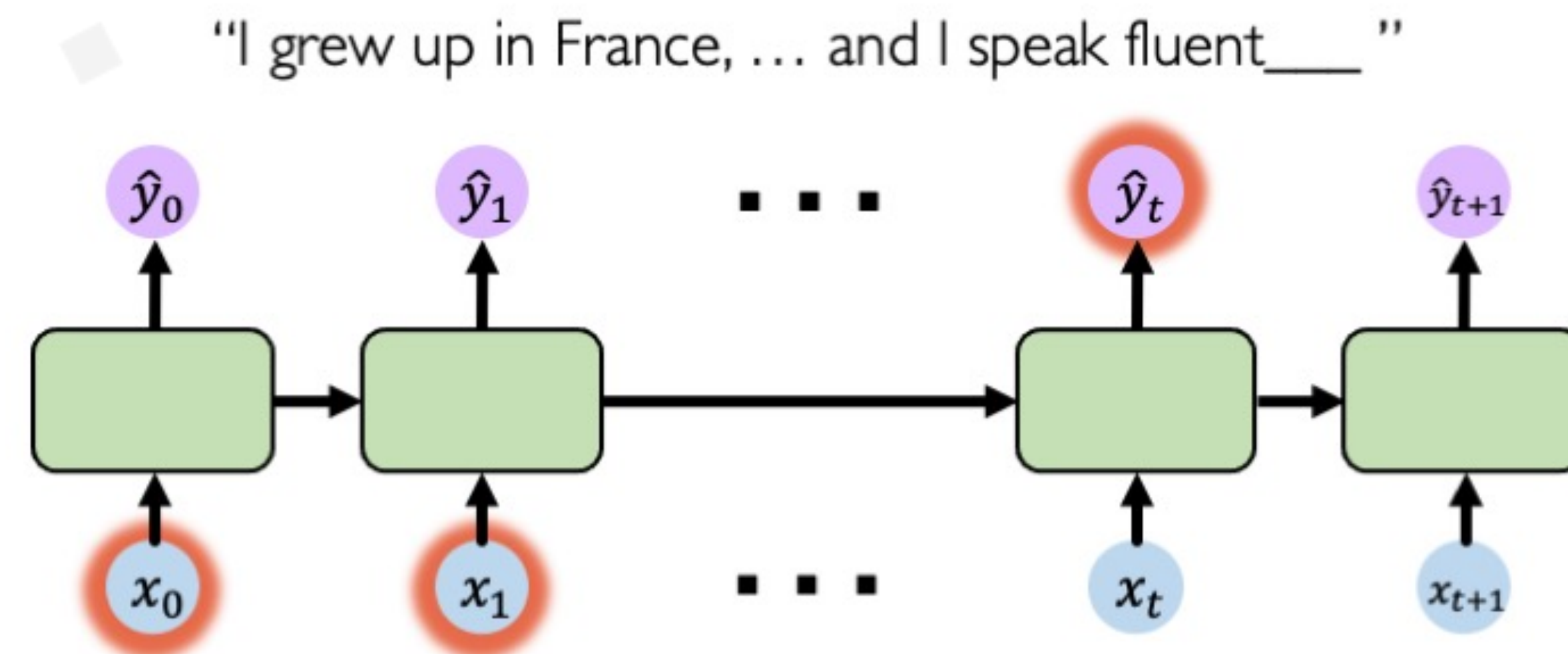
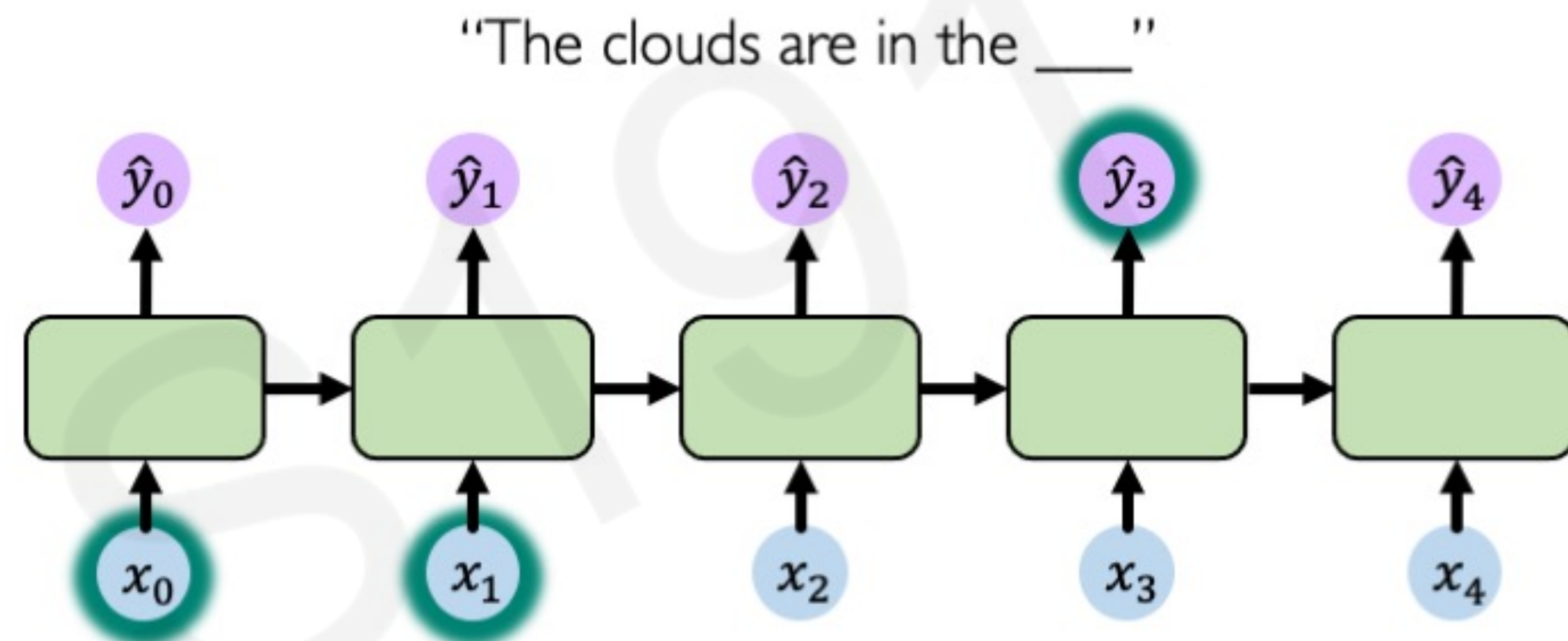
Multiply many **small numbers** together



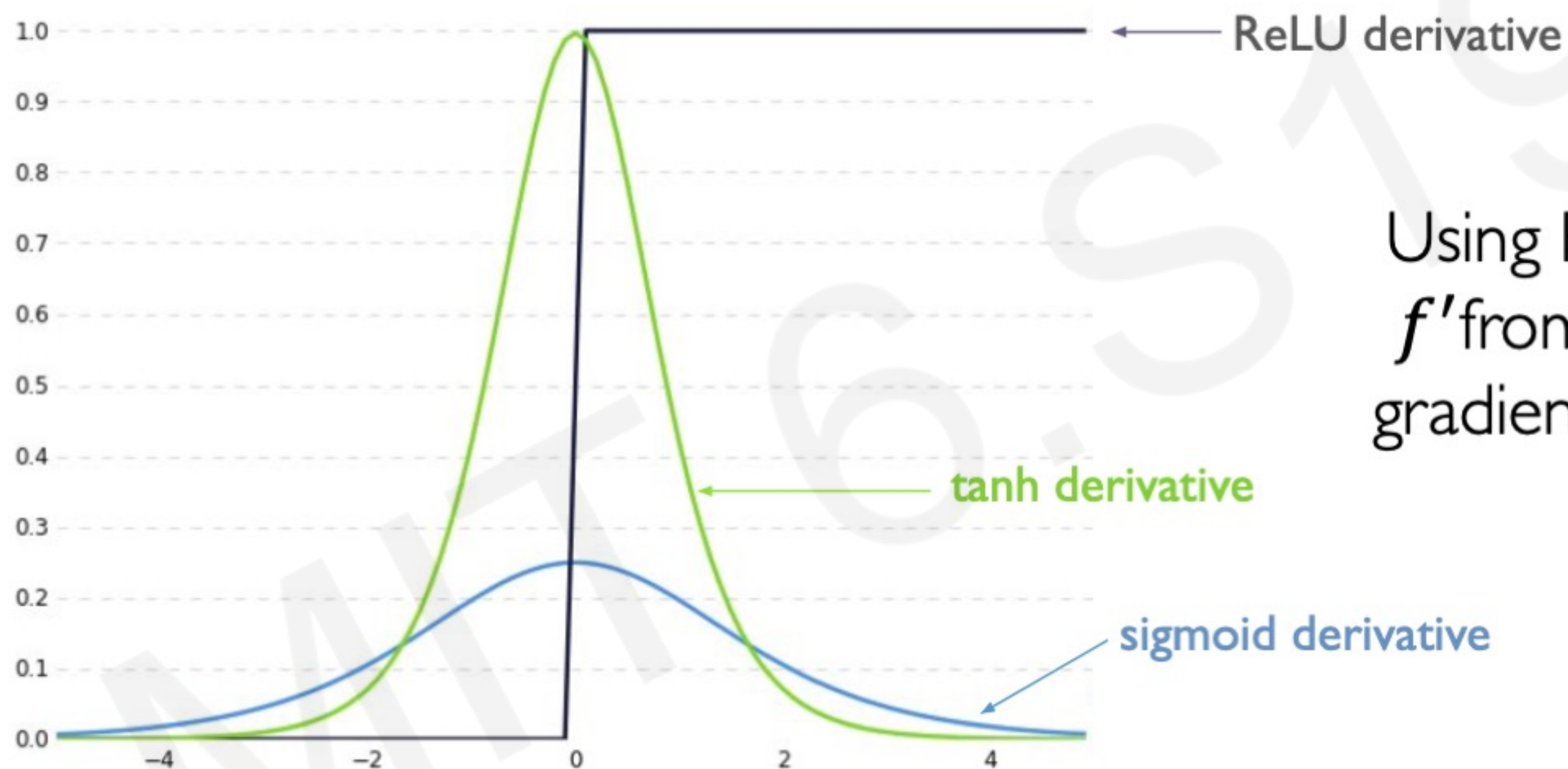
Errors due to further back time steps have smaller and smaller gradients



Bias parameters to capture short-term dependencies



Trick #1: Activation Functions



Using ReLU prevents f' from shrinking the gradients when $x > 0$

Trick #2: Parameter Initialization

SKIP

Initialize **weights** to identity matrix

Initialize **biases** to zero

$$I_n = \begin{pmatrix} 1 & 0 & 0 & \cdots & 0 \\ 0 & 1 & 0 & \cdots & 0 \\ 0 & 0 & 1 & \cdots & 0 \\ \vdots & \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & 0 & \cdots & 1 \end{pmatrix}$$

This helps prevent the weights from shrinking to zero.

Solution #3: Gated Cells

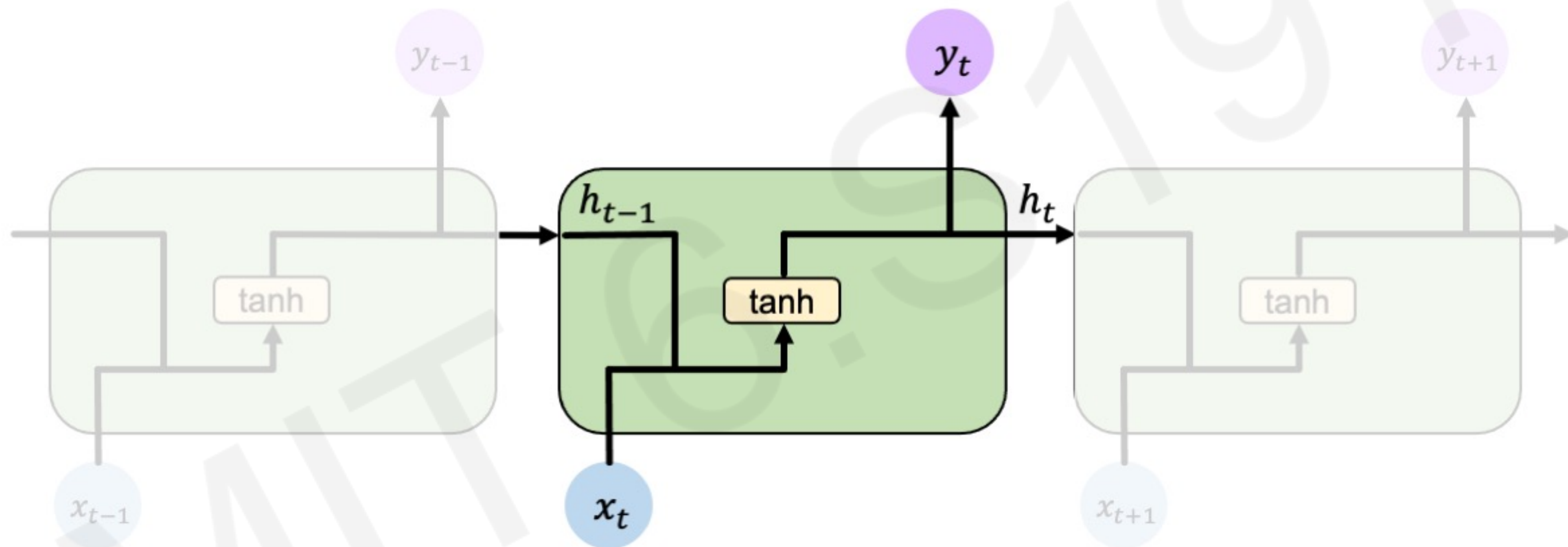
Idea: use a more **complex recurrent unit with gates** to control what information is passed through



Long Short Term Memory (LSTMs) networks rely on a gated cell to track information throughout many time steps.

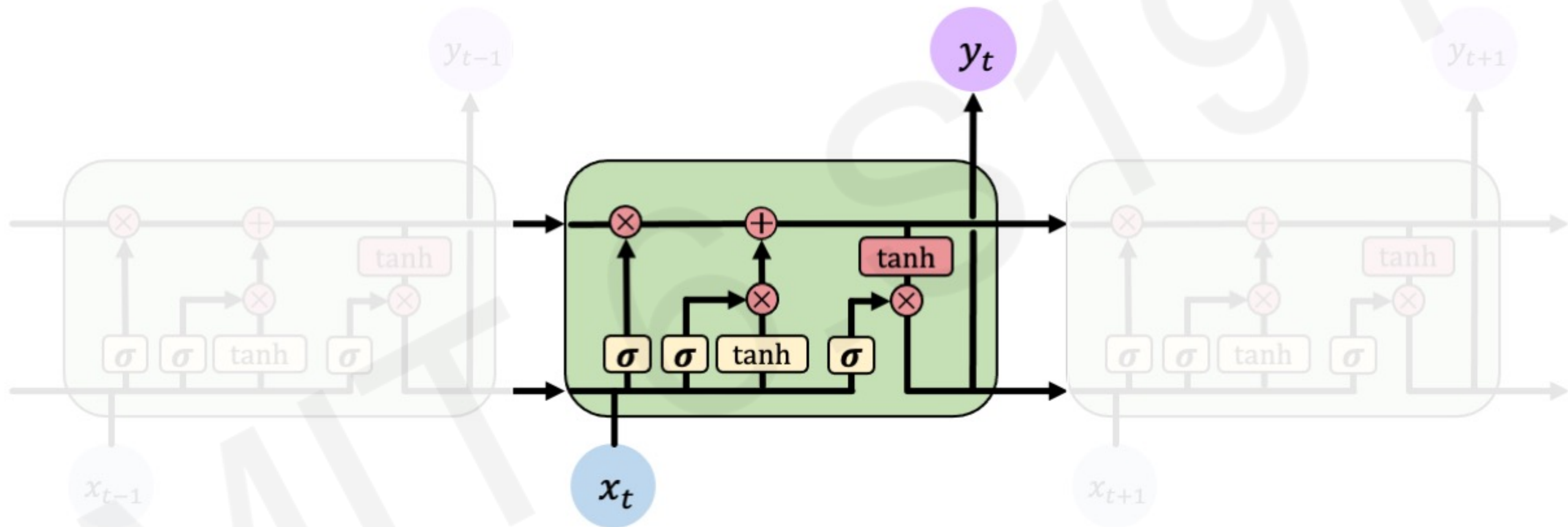
Standard RNN

In a standard RNN, repeating modules contain a **simple computation node**




Long Short Term Memory (LSTMs)

LSTM modules contain **computational blocks** that **control information flow**

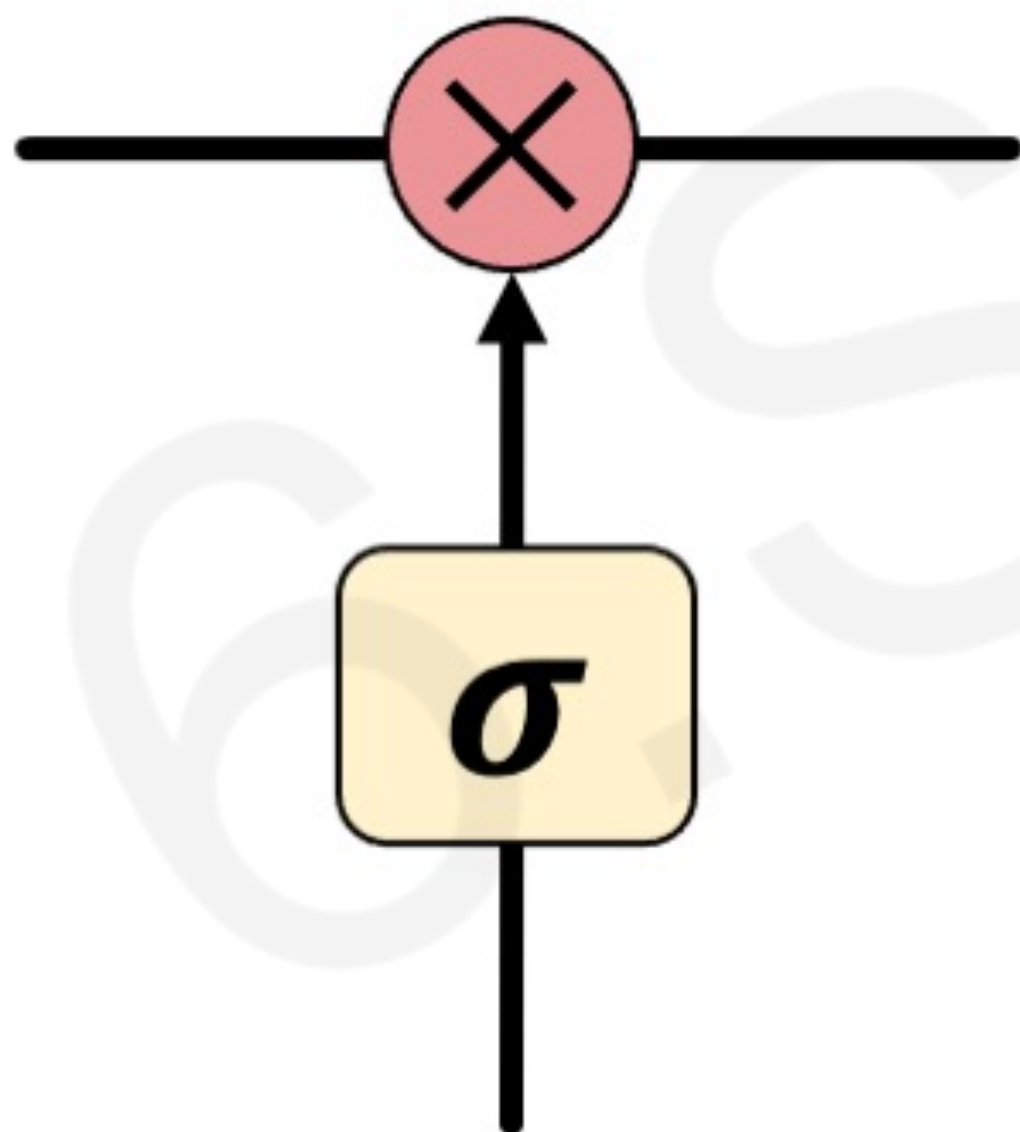


LSTM cells are able to track information throughout many timesteps

```
 tf.keras.layers.LSTM(num_units)
```

Long Short Term Memory (LSTMs)

Information is **added** or **removed** through structures called **gates**

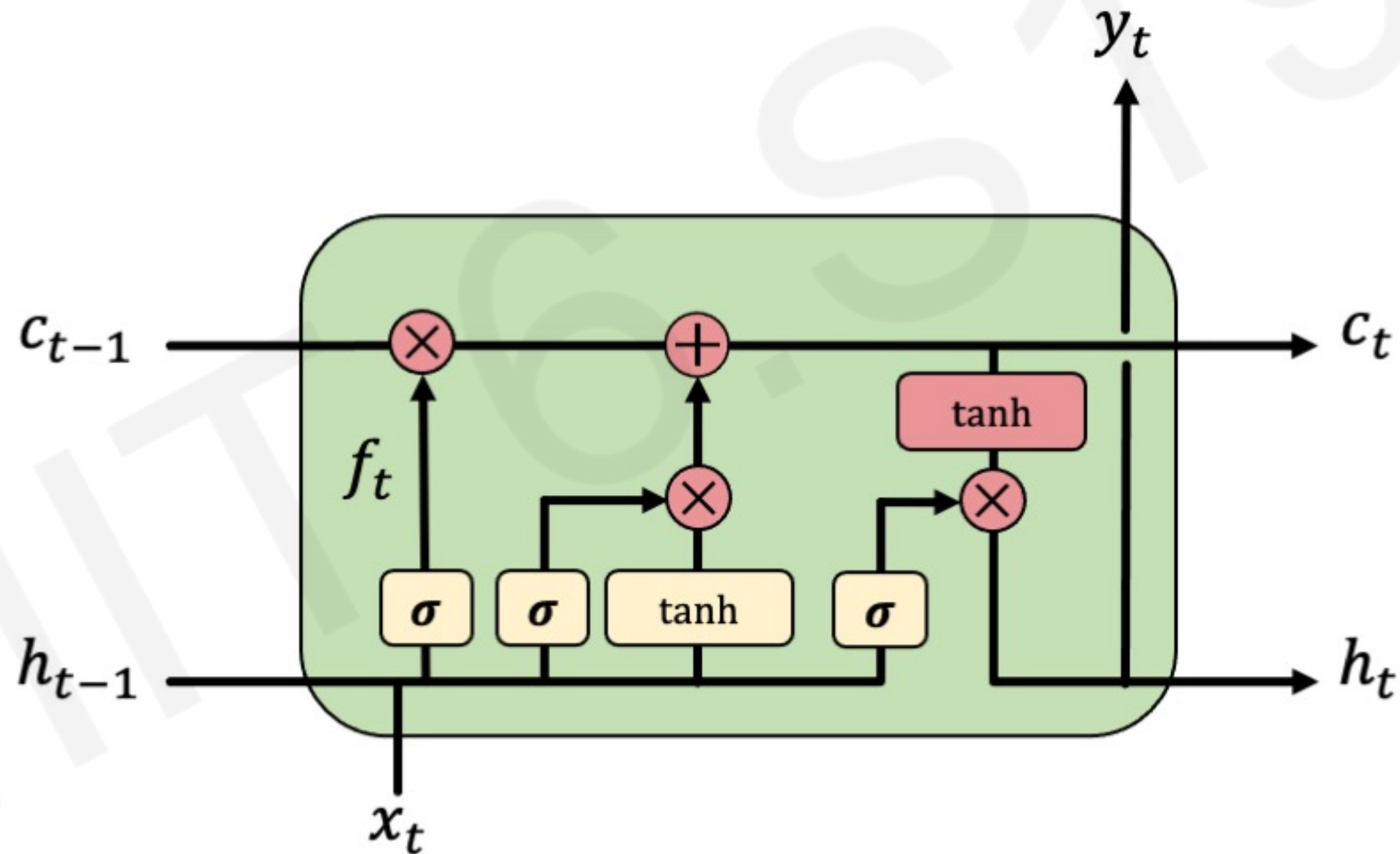


Gates optionally let information through, for example via a sigmoid neural net layer and pointwise multiplication

Long Short Term Memory (LSTMs)

How do LSTMs work?

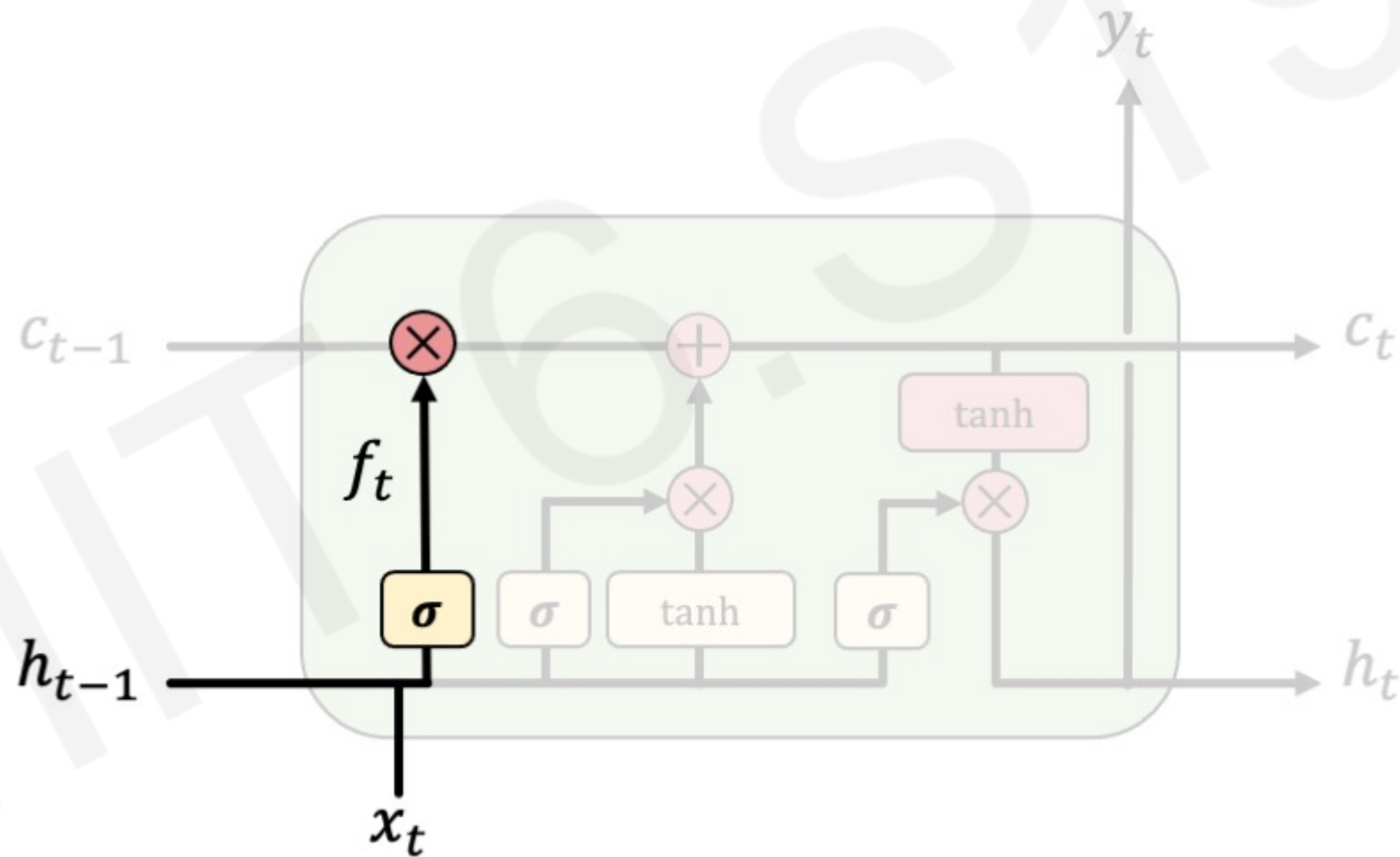
1) Forget 2) Store 3) Update 4) Output



Long Short Term Memory (LSTMs)

1) **Forget** 2) Store 3) Update 4) Output

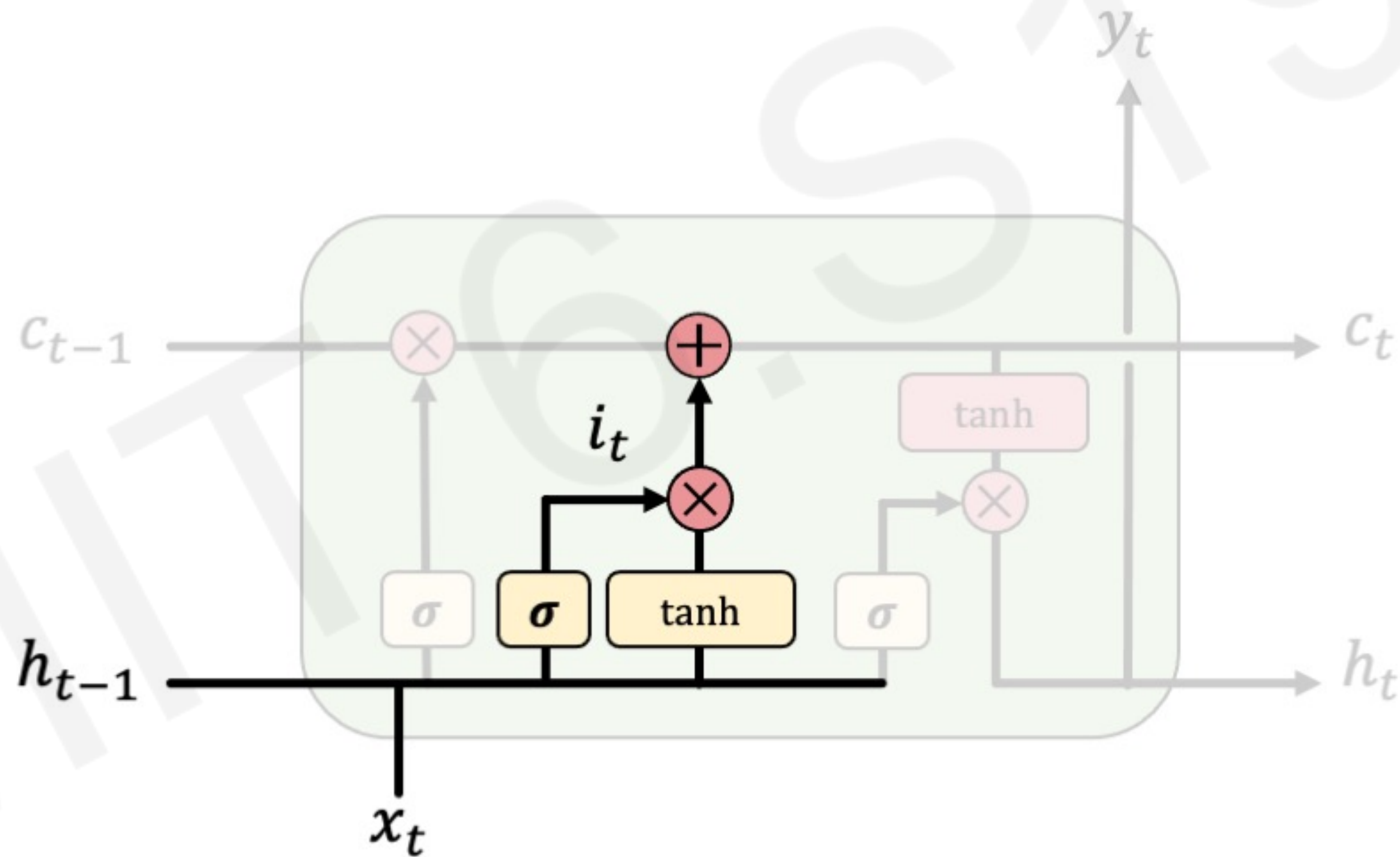
LSTMs **forget irrelevant** parts of the previous state



Long Short Term Memory (LSTMs)

1) Forget **2) Store** 3) Update 4) Output

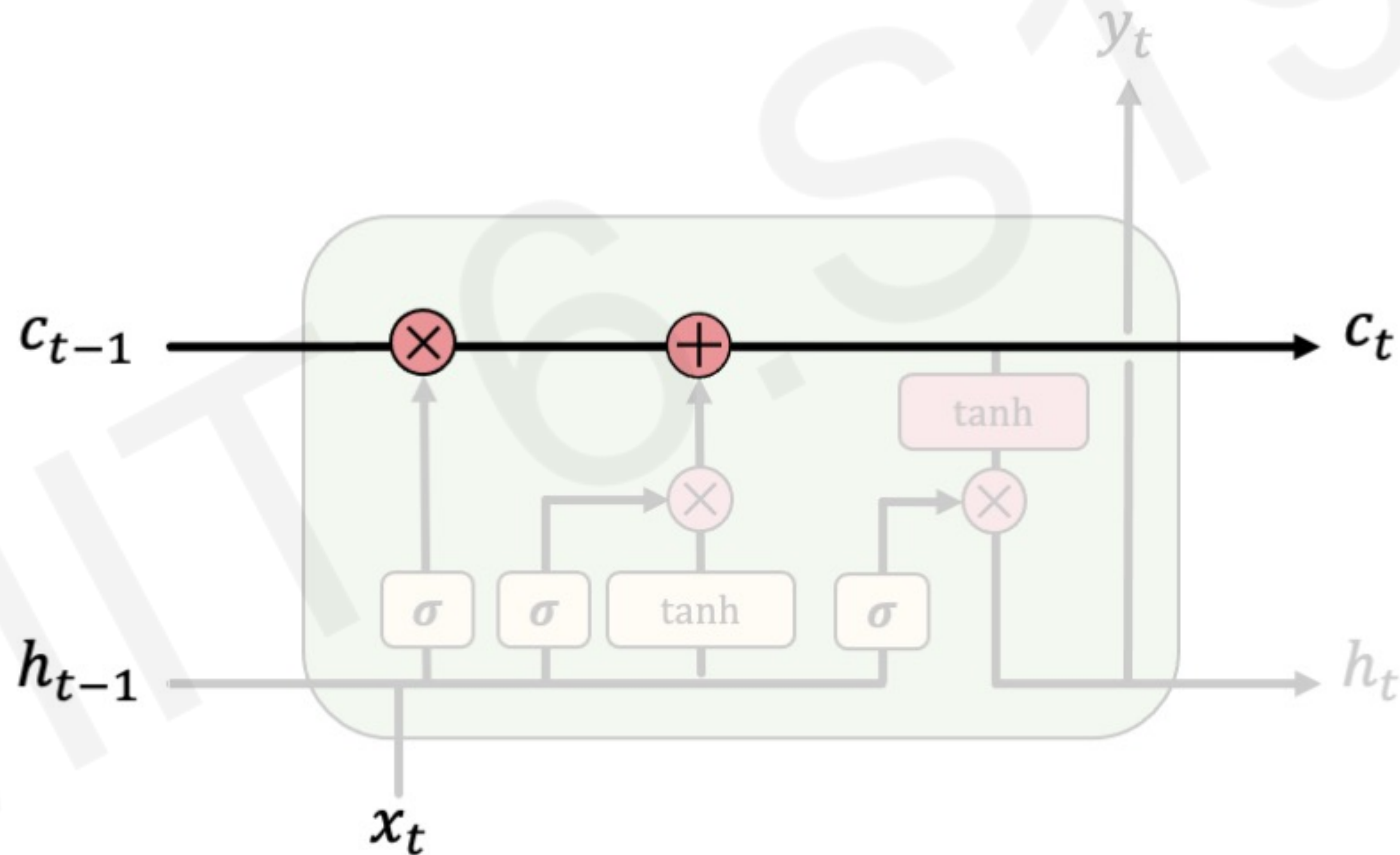
LSTMs **store relevant** new information into the cell state



Long Short Term Memory (LSTMs)

1) Forget 2) Store 3) **Update** 4) Output

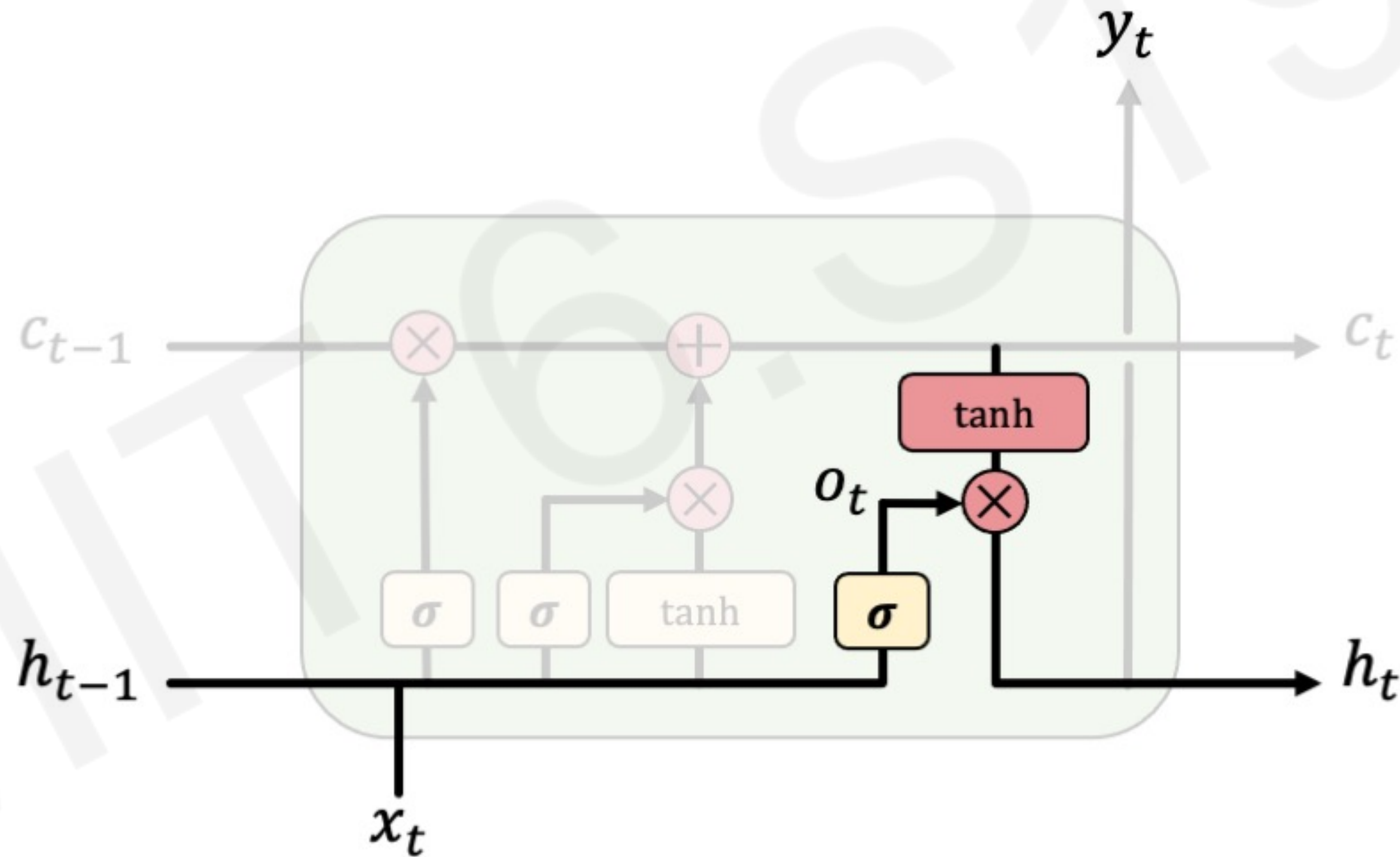
LSTMs **selectively update** cell state values



Long Short Term Memory (LSTMs)

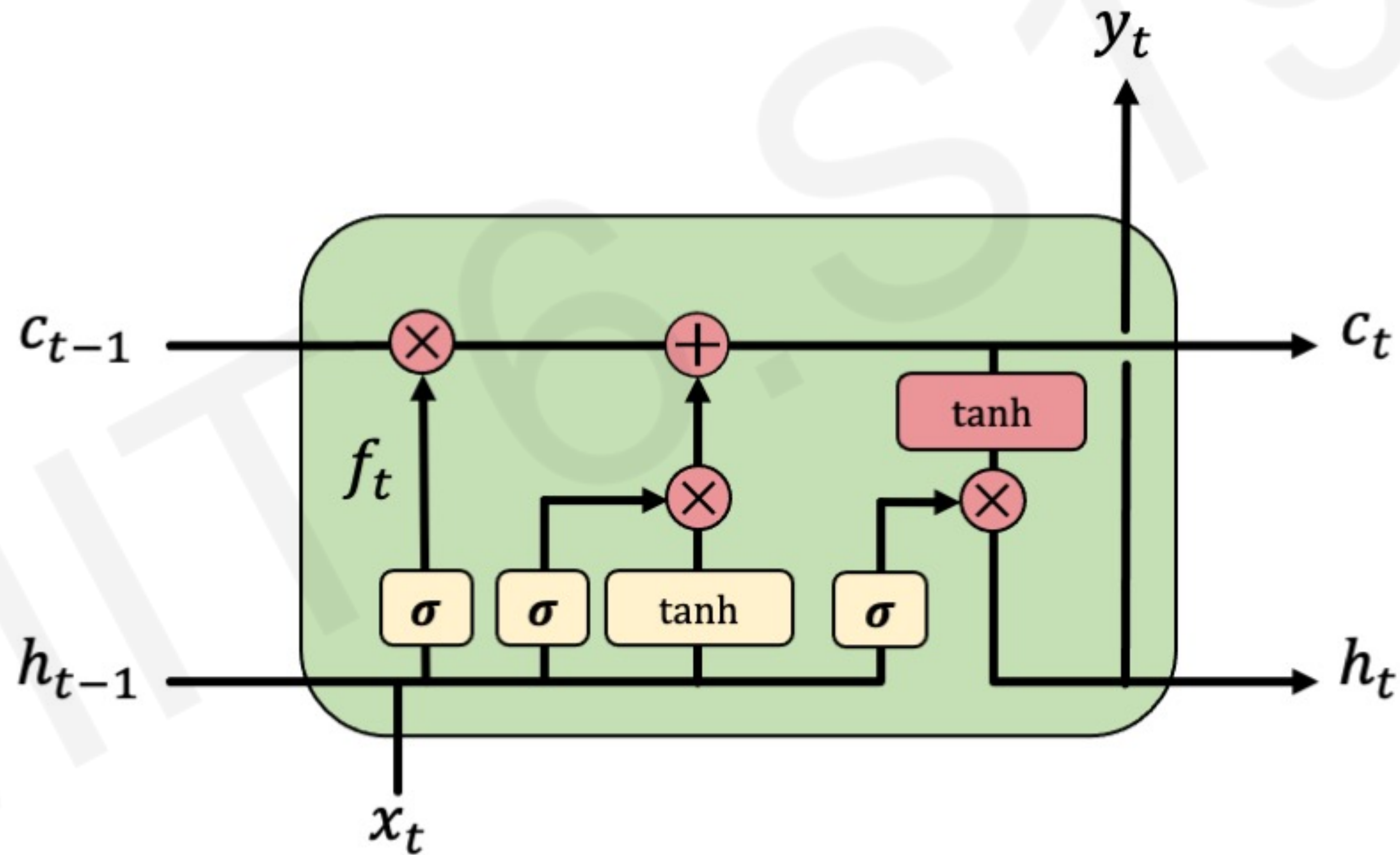
1) Forget 2) Store 3) Update 4) **Output**

The **output gate** controls what information is sent to the next time step



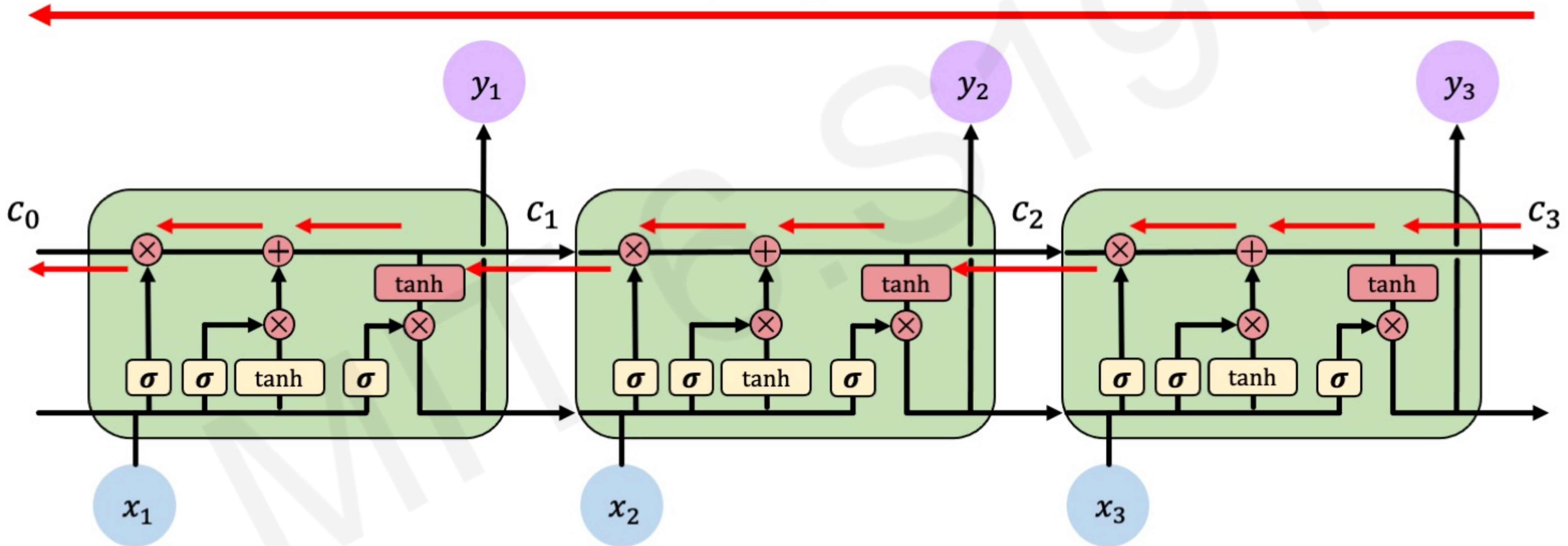
Long Short Term Memory (LSTMs)

1) Forget 2) Store 3) Update 4) Output



LSTM Gradient Flow

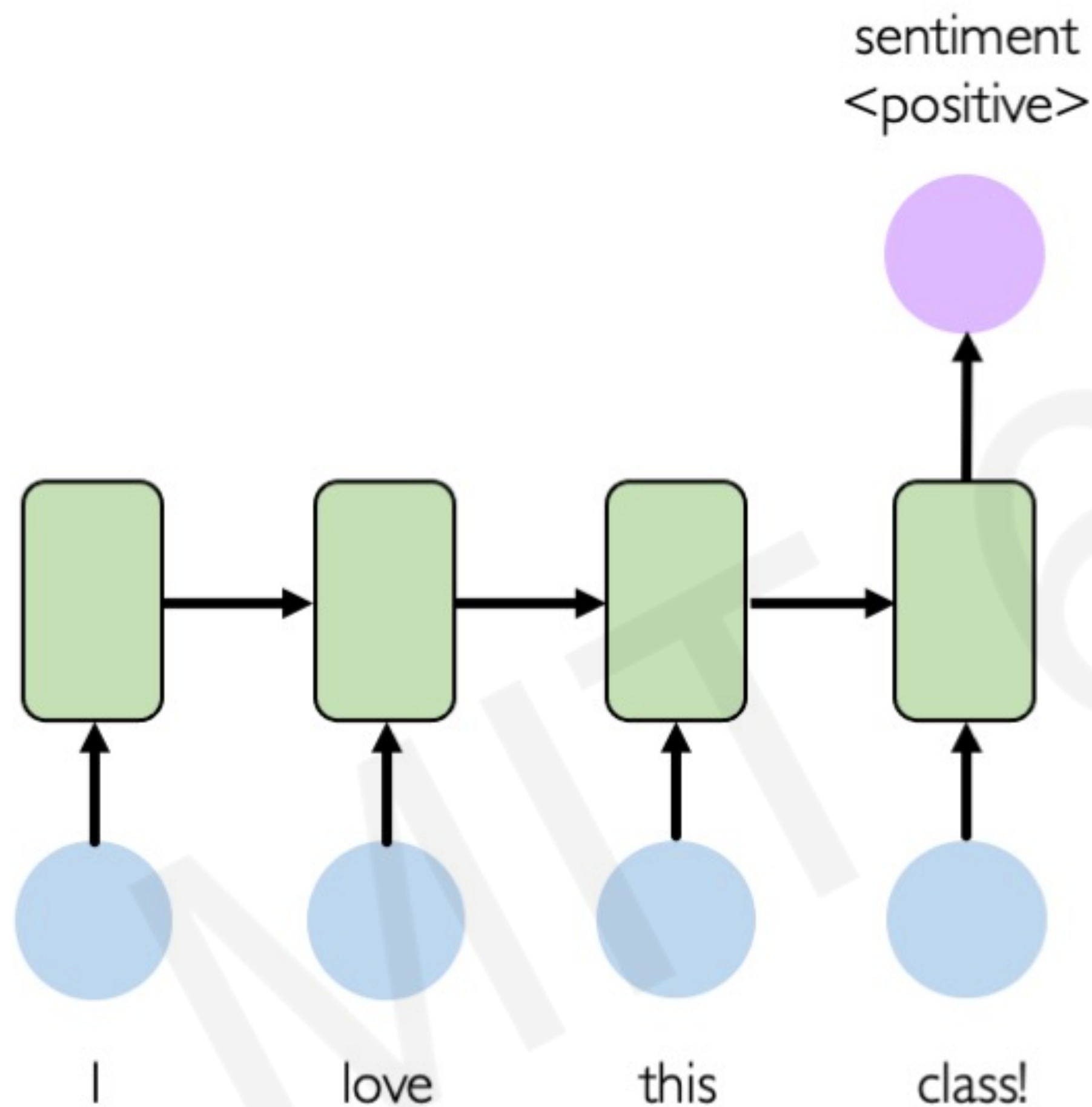
Uninterrupted gradient flow!



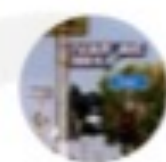
LSTMs: Key Concepts

1. Maintain a **separate cell state** from what is outputted
2. Use **gates** to control the **flow of information**
 - **Forget** gate gets rid of irrelevant information
 - **Store** relevant information from current input
 - Selectively **update** cell state
 - **Output** gate returns a filtered version of the cell state
3. Backpropagation through time with **uninterrupted gradient flow**

Example Task: Sentiment Classification



Tweet sentiment classification



Ivar Hagendoorn
@IvarHagendoorn

Follow



The @MIT Introduction to #DeepLearning is definitely one of the best courses of its kind currently available online introtodeeplearning.com

12:45 PM - 12 Feb 2018



Angels-Cave
@AngelsCave

Follow



Replying to @Kazuki2048

I wouldn't mind a bit of snow right now. We haven't had any in my bit of the Midlands this winter! :(

2:19 AM - 25 Jan 2019

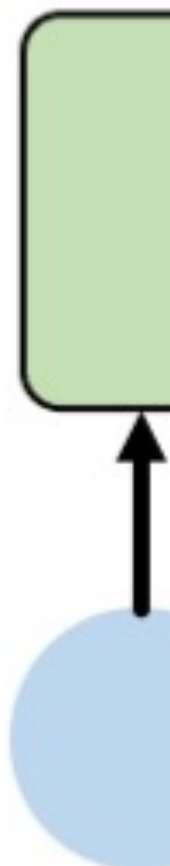
Example Task: Sentiment Classification

```
[ ] inputs = keras.Input(shape=(None,), dtype="int32")
x = layers.Embedding(max_features, 16)(inputs) # define a 16-dimensional Embedding layer that acts on "inputs"
x = layers.LSTM(16)(x) # Add a 16-node LSTM that acts on the output of the Embedding layer
outputs = layers.Dense(1, activation="sigmoid")(x) # define a 1-node sigmoid / classifier layer that acts on
model = keras.Model(inputs, outputs) # define the model as inputs -> outputs
model.summary()
```

Model: "model"

Layer (type)	Output Shape	Param #
input_3 (InputLayer)	[(None, None)]	0
embedding_1 (Embedding)	(None, None, 16)	80000
lstm_1 (LSTM)	(None, 16)	2112
dense_1 (Dense)	(None, 1)	17

Total params: 82,129
Trainable params: 82,129
Non-trainable params: 0



I

love

this

class!

winter! :(

2:19 AM - 25 Jan 2019



is
id



e
this

Example Task: Sentiment Classification

```
[ ] inputs = keras.Input(shape=(None,), dtype="int32")
x = layers.Embedding(max_features, 16)(inputs) # define a 16-dimensional Embedding layer that acts on "inputs"
x = layers.Bidirectional(layers.LSTM(16))(x) # Add a 16-node bi-LSTM that acts on the output of the Embedding layer
outputs = layers.Dense(1, activation="sigmoid")(x) # define a 1-node sigmoid / classifier layer that acts on the output of the bi-LSTM
model = keras.Model(inputs, outputs) # define the model as inputs -> outputs
model.summary()
```

Model: "model_1"

Layer (type)	Output Shape	Param #
input_4 (InputLayer)	[(None, None)]	0
embedding_2 (Embedding)	(None, None, 16)	80000
bidirectional (Bidirectional)	(None, 32)	4224
dense_2 (Dense)	(None, 1)	33

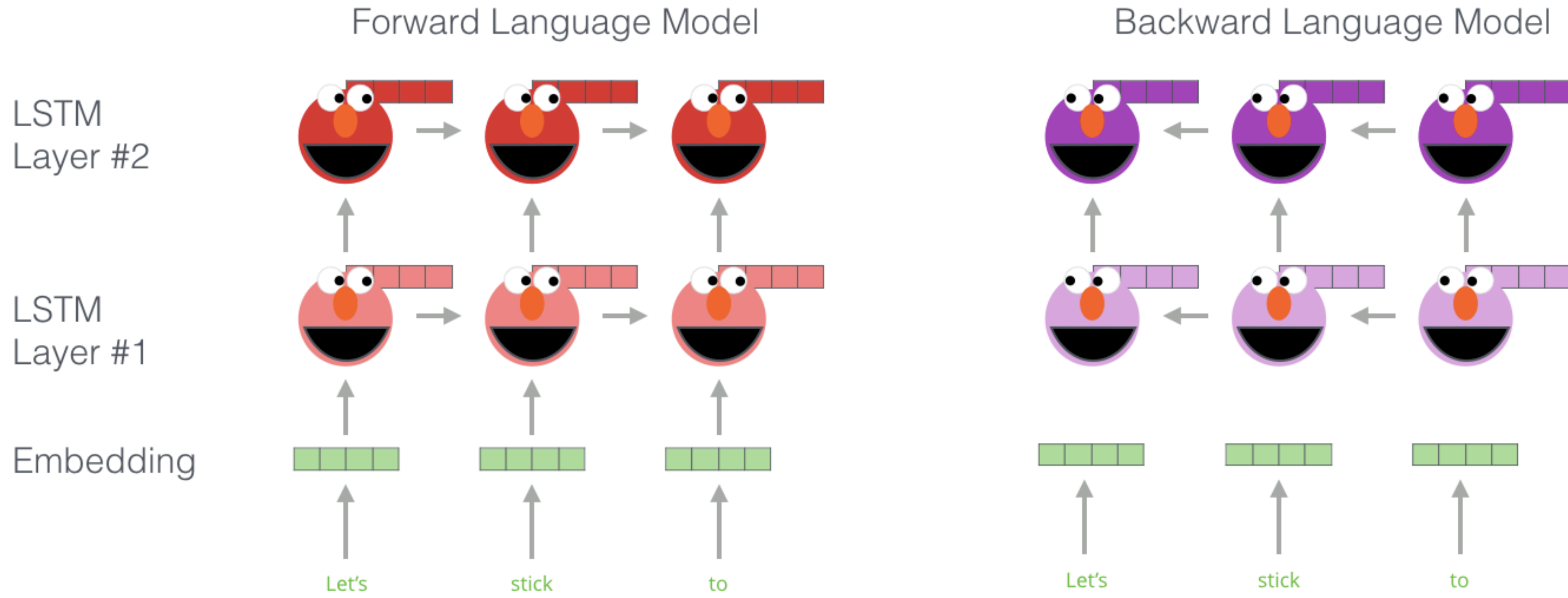
Total params: 84,257
Trainable params: 84,257
Non-trainable params: 0

2:19 AM - 25 Jan 2019

One big bi-LSTM success was ELMo — contextual embeddings



Embedding of "stick" in "Let's stick to" - Step #1



Embedding of “stick” in “Let’s stick to” - Step #2

1- Concatenate hidden layers



2- Multiply each vector by a weight based on the task

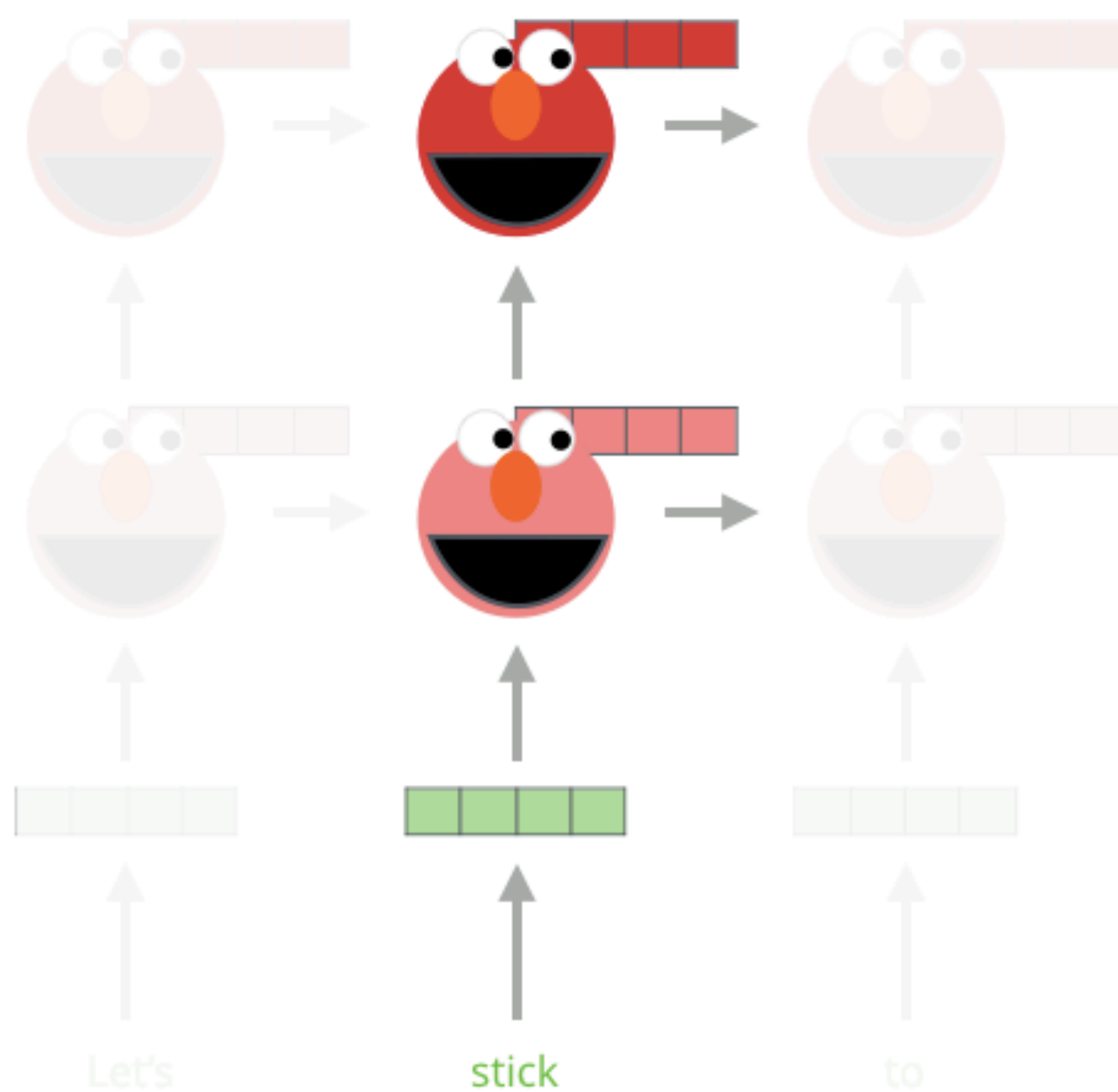


3- Sum the (now weighted) vectors

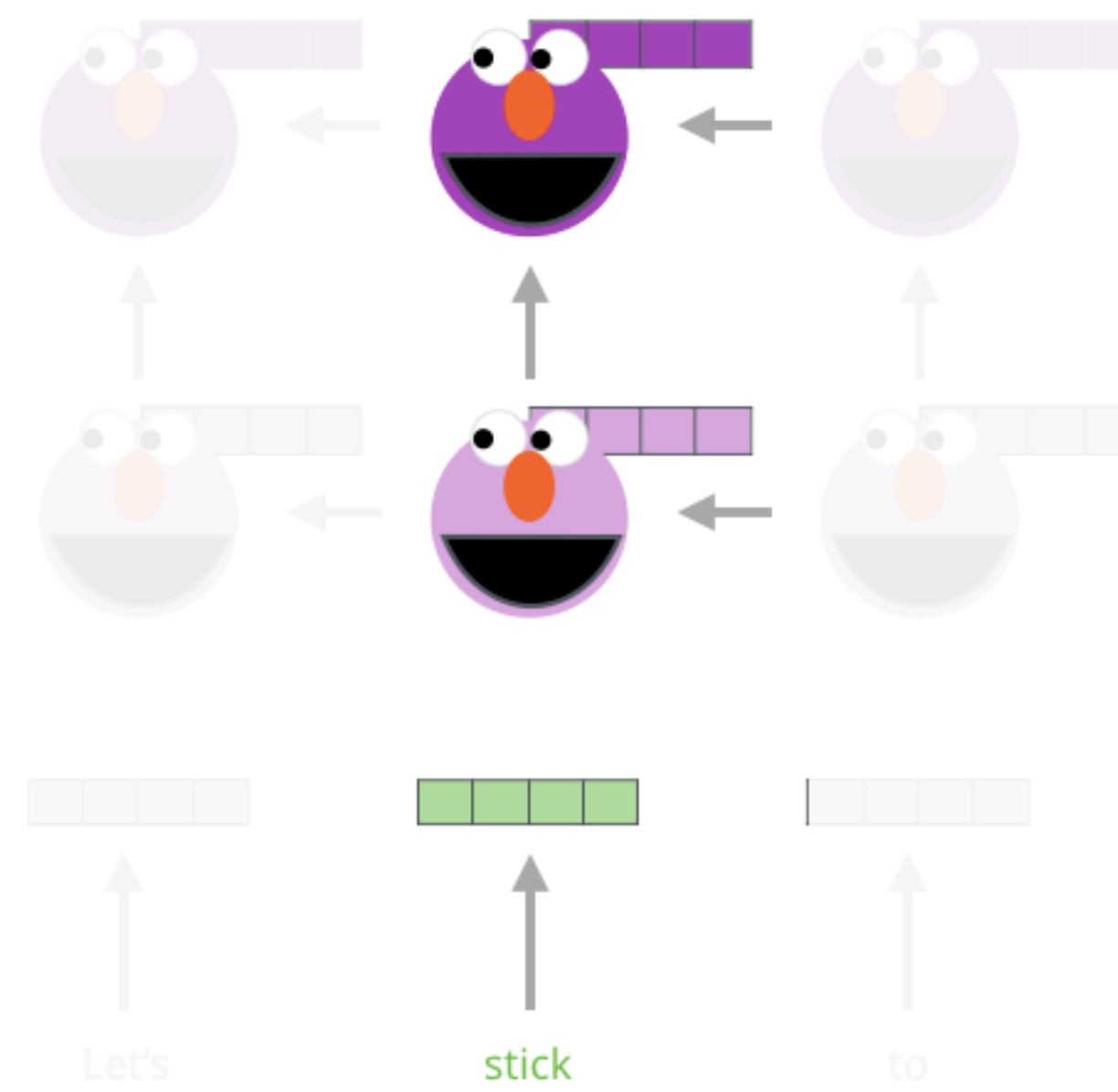


ELMo embedding of “stick” for this task in this context

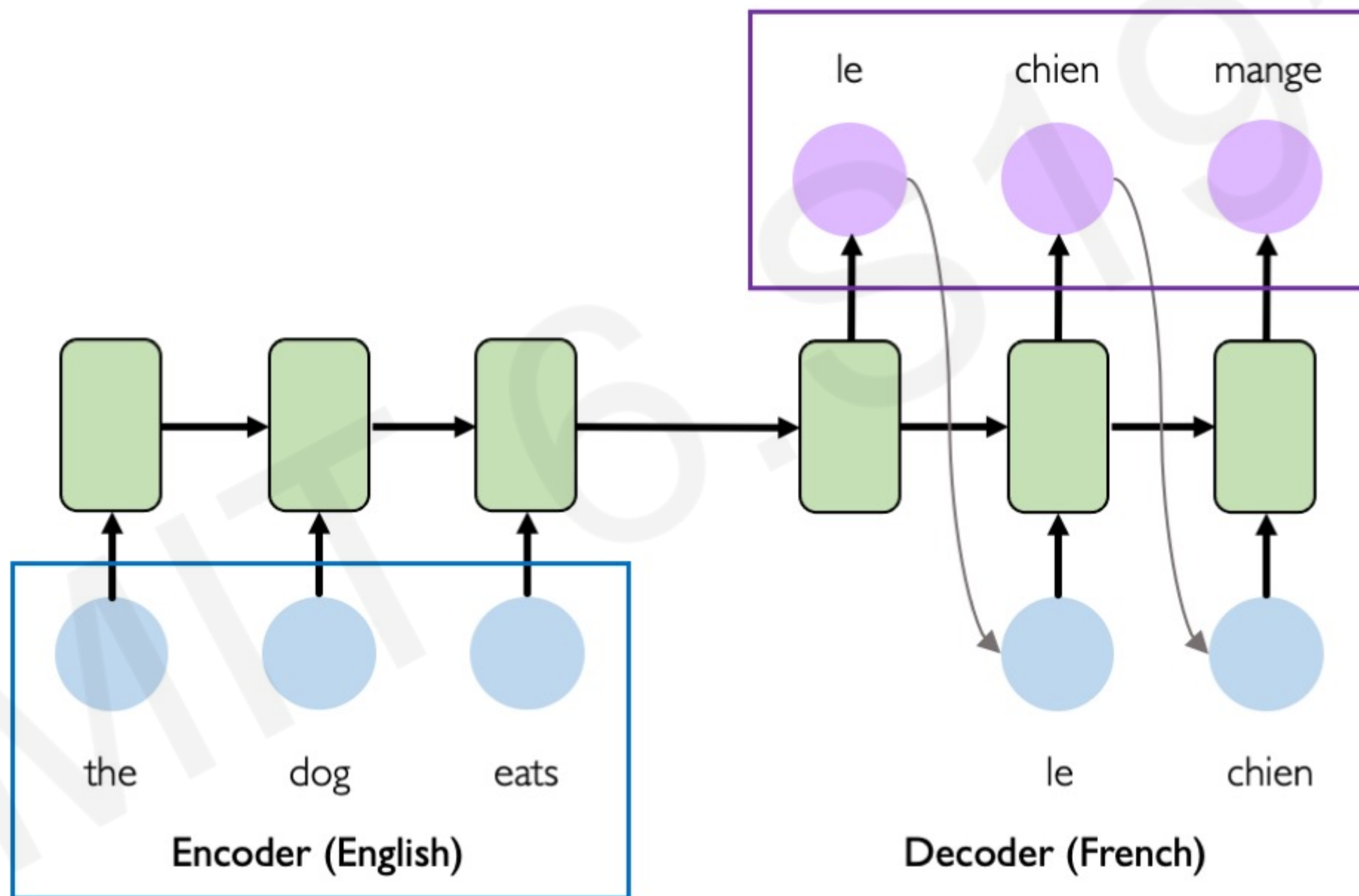
Forward Language Model



Backward Language Model

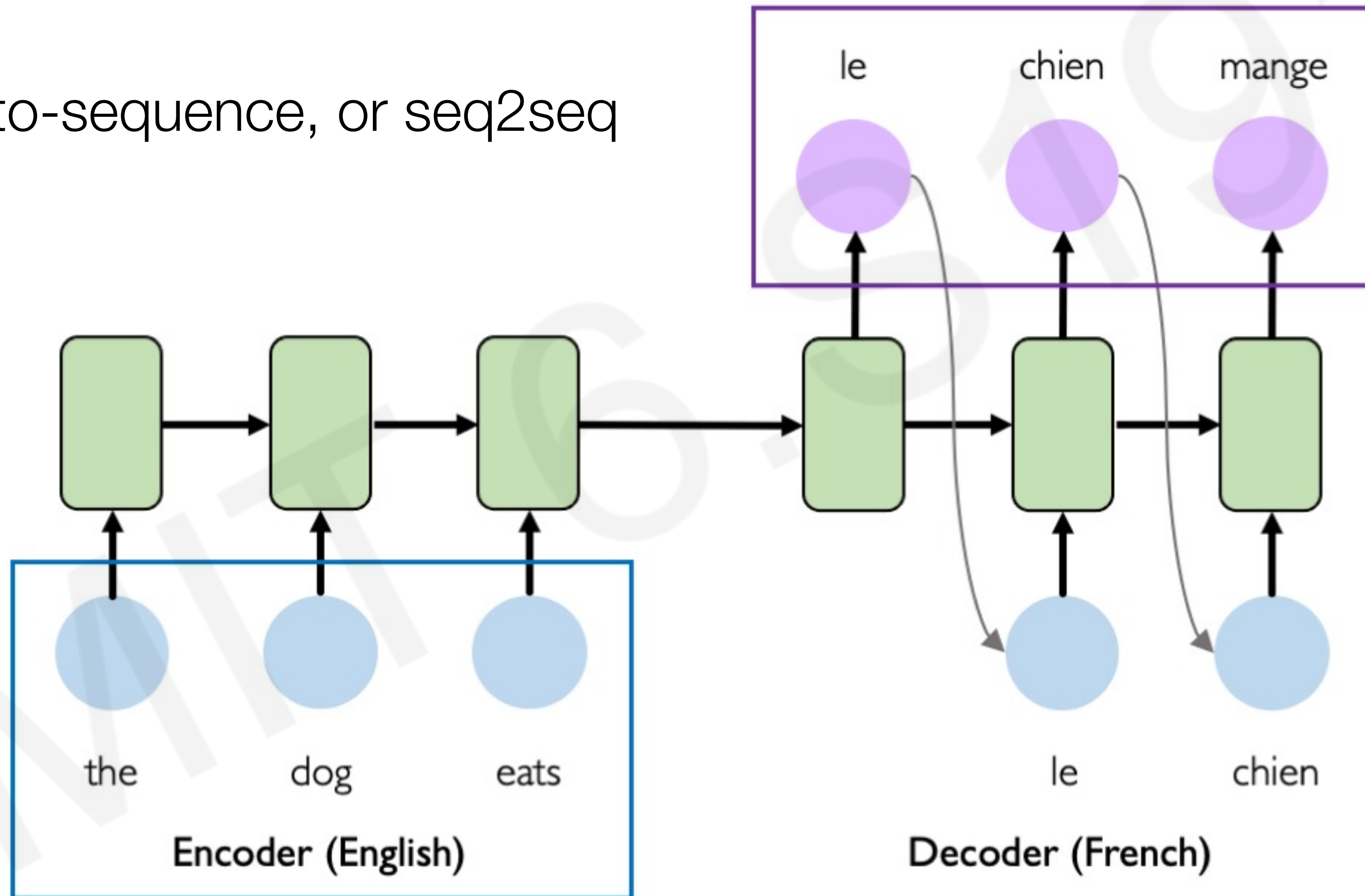


Example Task: Machine Translation



Example Task: Machine Translation

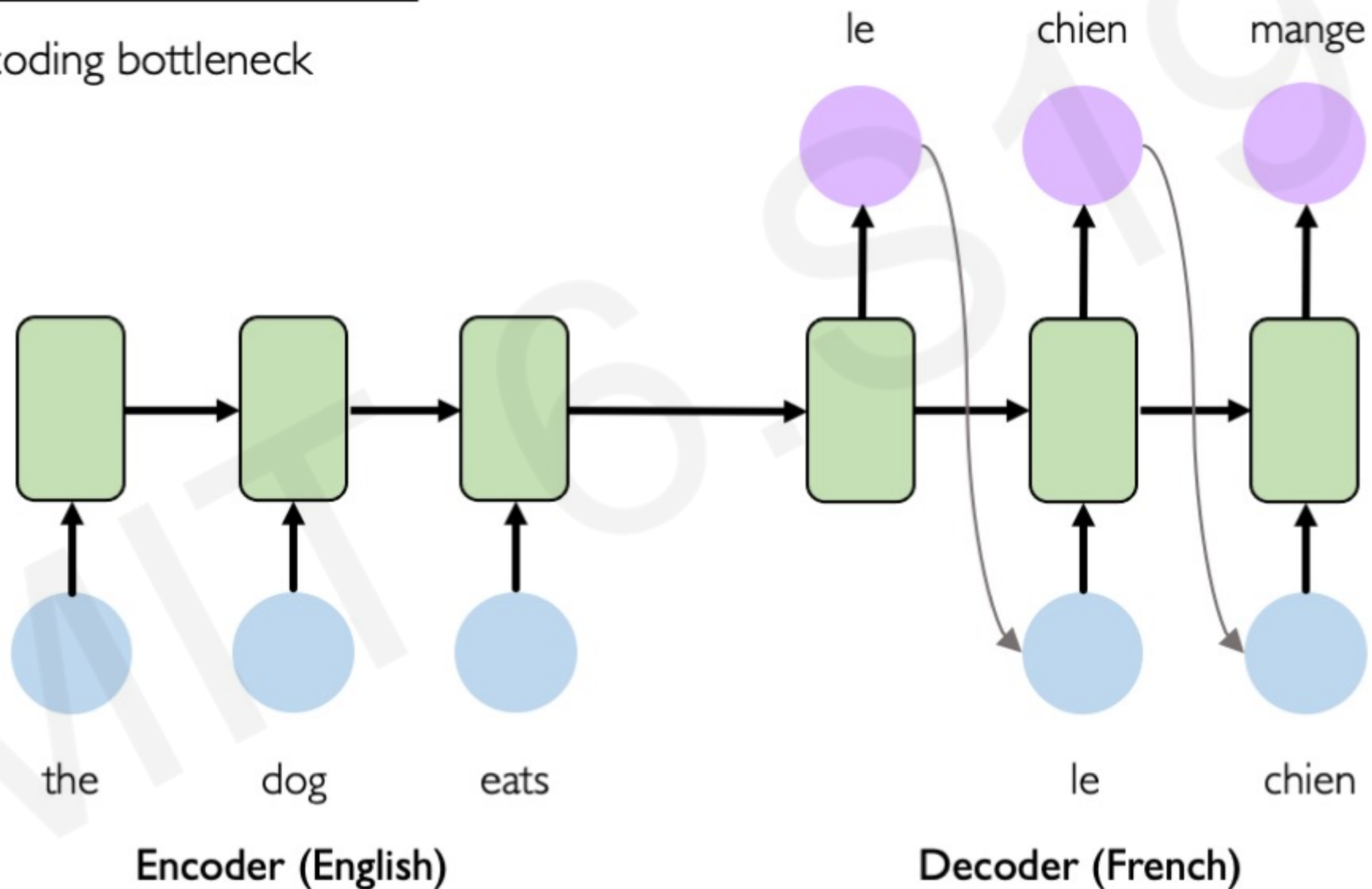
Sequence-to-sequence, or seq2seq



Example Task: Machine Translation

Potential Issues

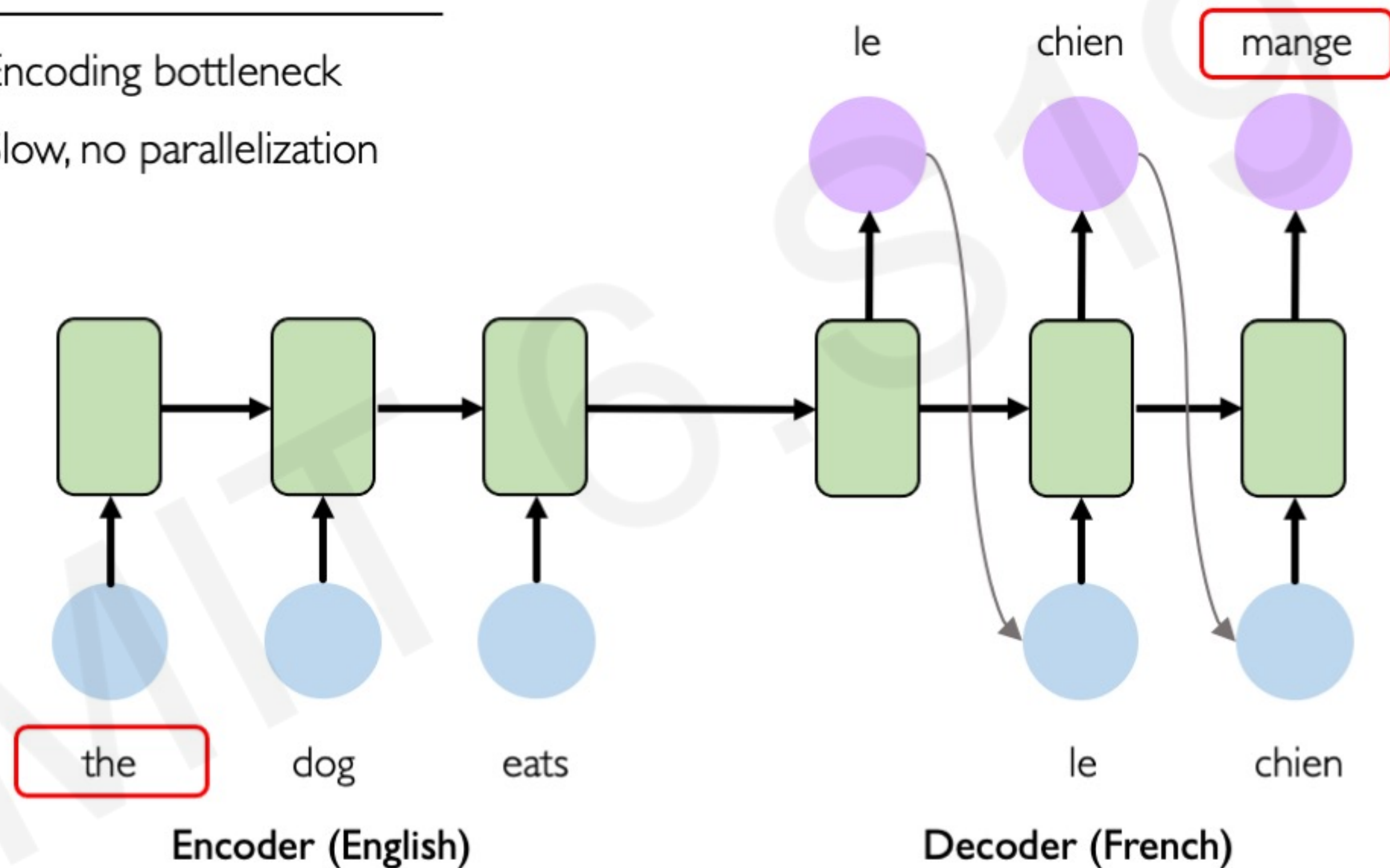
🔹 Encoding bottleneck



Example Task: Machine Translation




Potential Issues

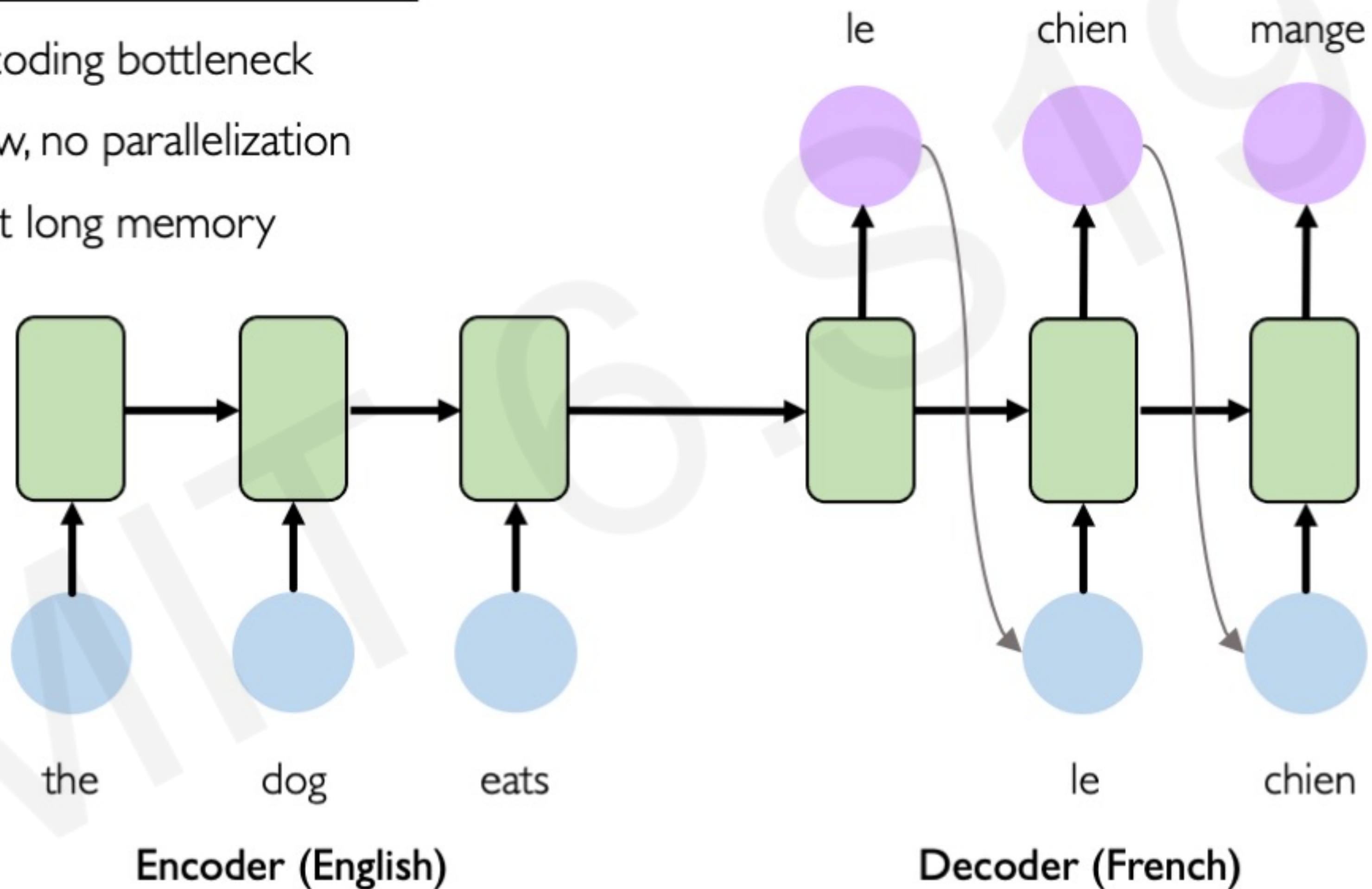
- ⚠ Encoding bottleneck
- 🕒 Slow, no parallelization



Example Task: Machine Translation

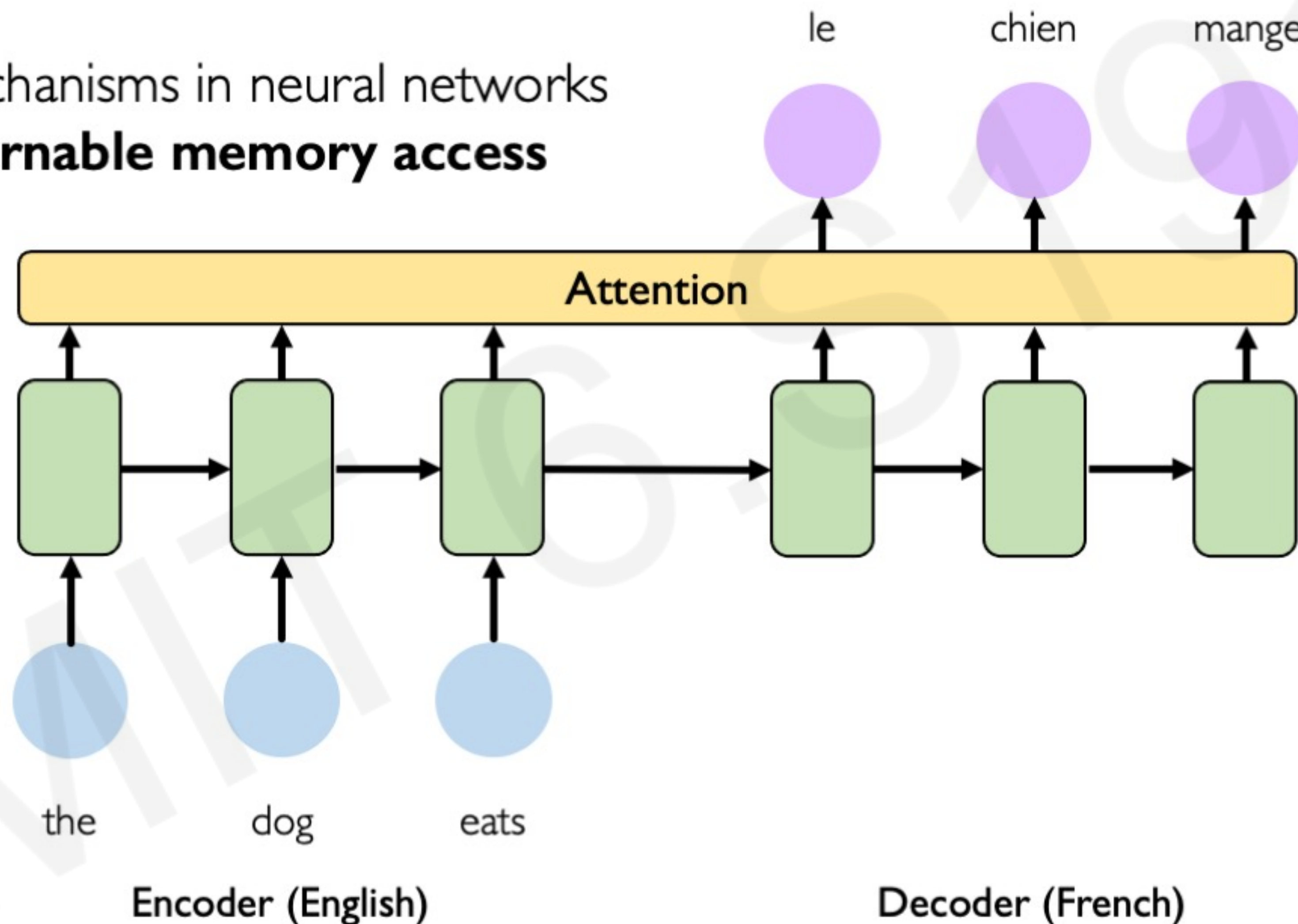
Potential Issues

-  Encoding bottleneck
-  Slow, no parallelization
-  Not long memory



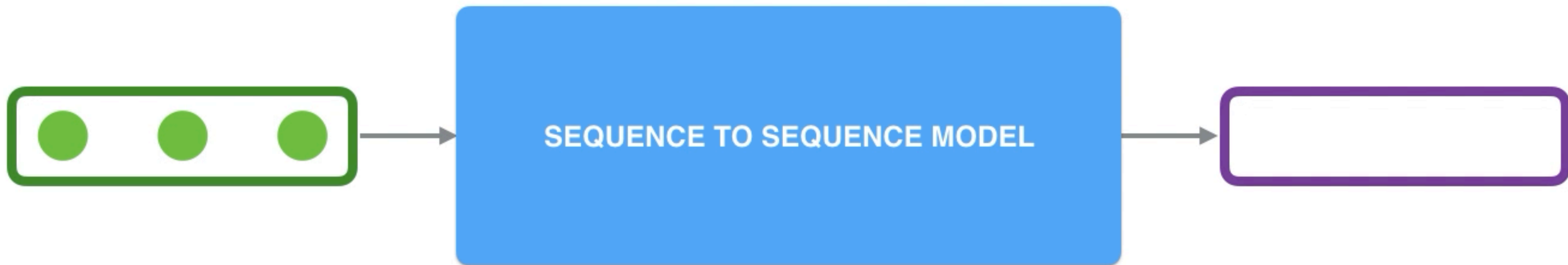
Example Task: Machine Translation

Attention mechanisms in neural networks provide **learnable memory access**



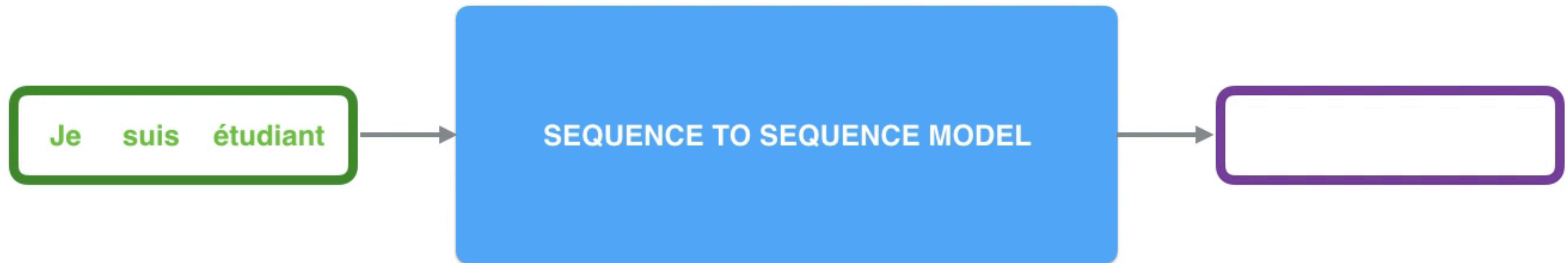
Attention

Following images/videos from Jay Alammam, “The Illustrated Transformer” and “Visualizing a Neural Machine Translation Model (Mechanics of Seq2seq Models with Attention)”

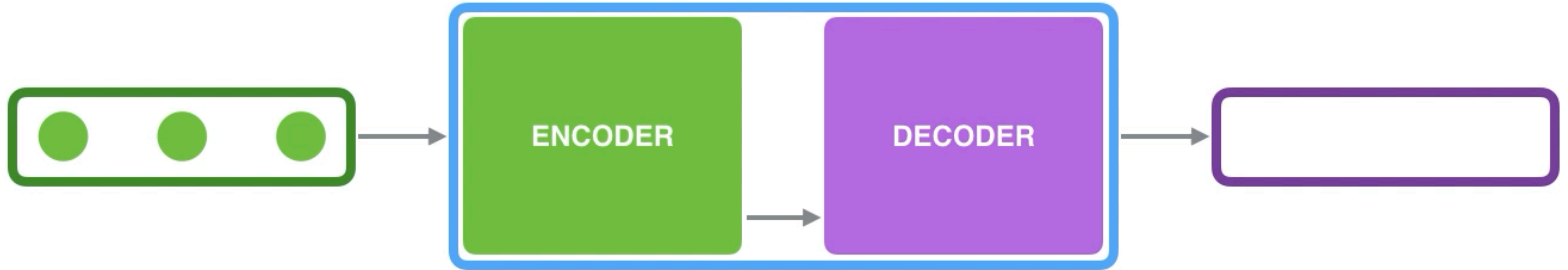


Neural Machine Translation

SEQUENCE TO SEQUENCE MODEL

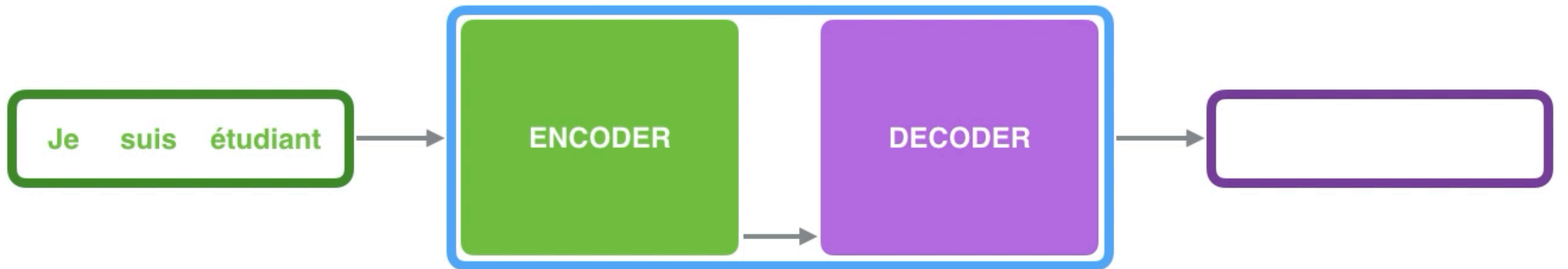


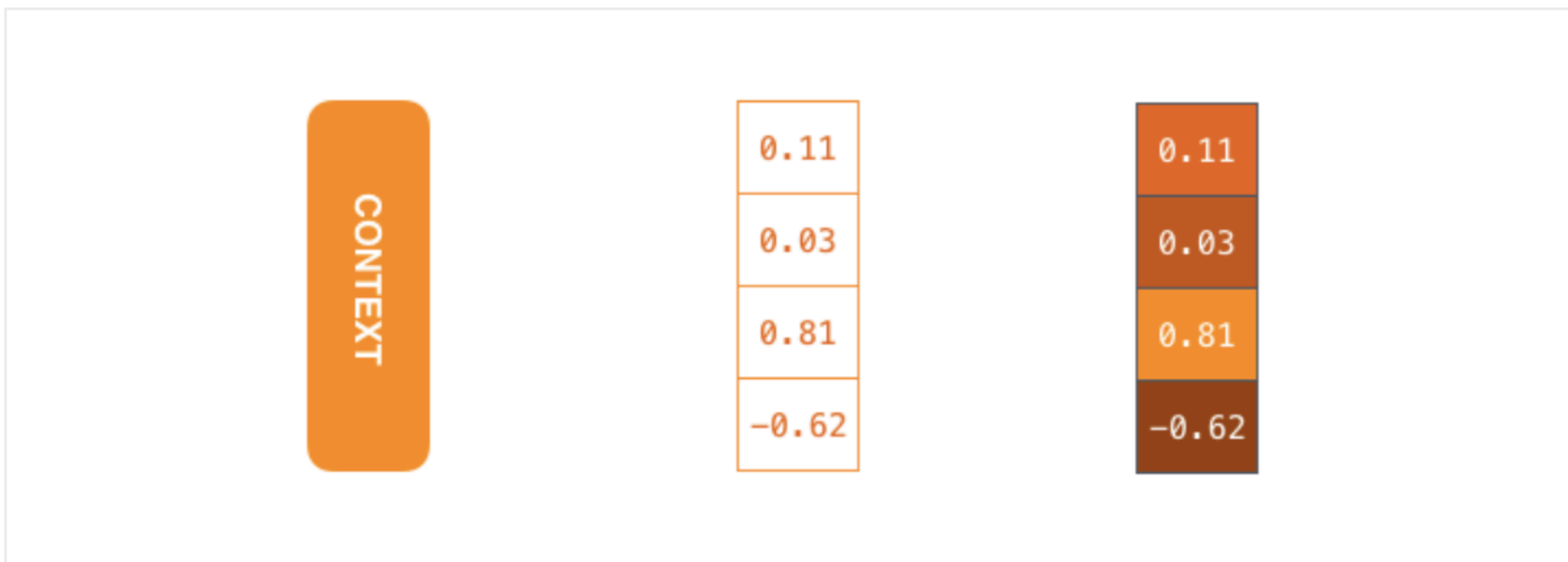
SEQUENCE TO SEQUENCE MODEL



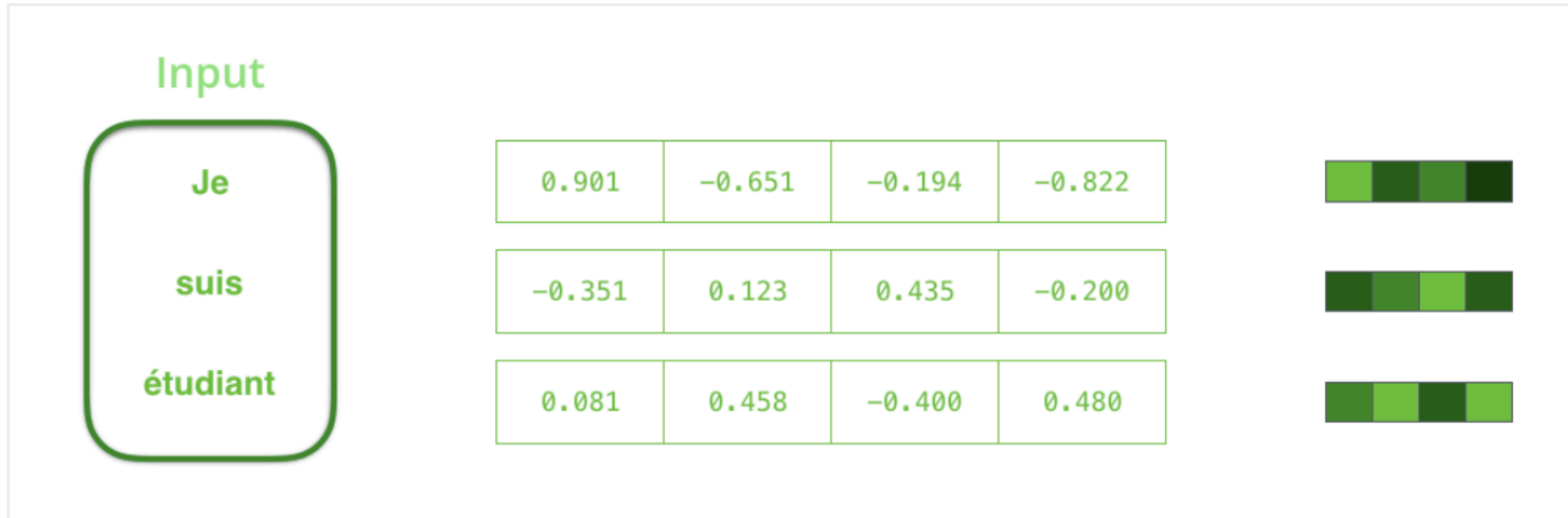
Neural Machine Translation

SEQUENCE TO SEQUENCE MODEL





The **context** is a vector of floats. Later in this post we will visualize vectors in color by assigning brighter colors to the cells with higher values.

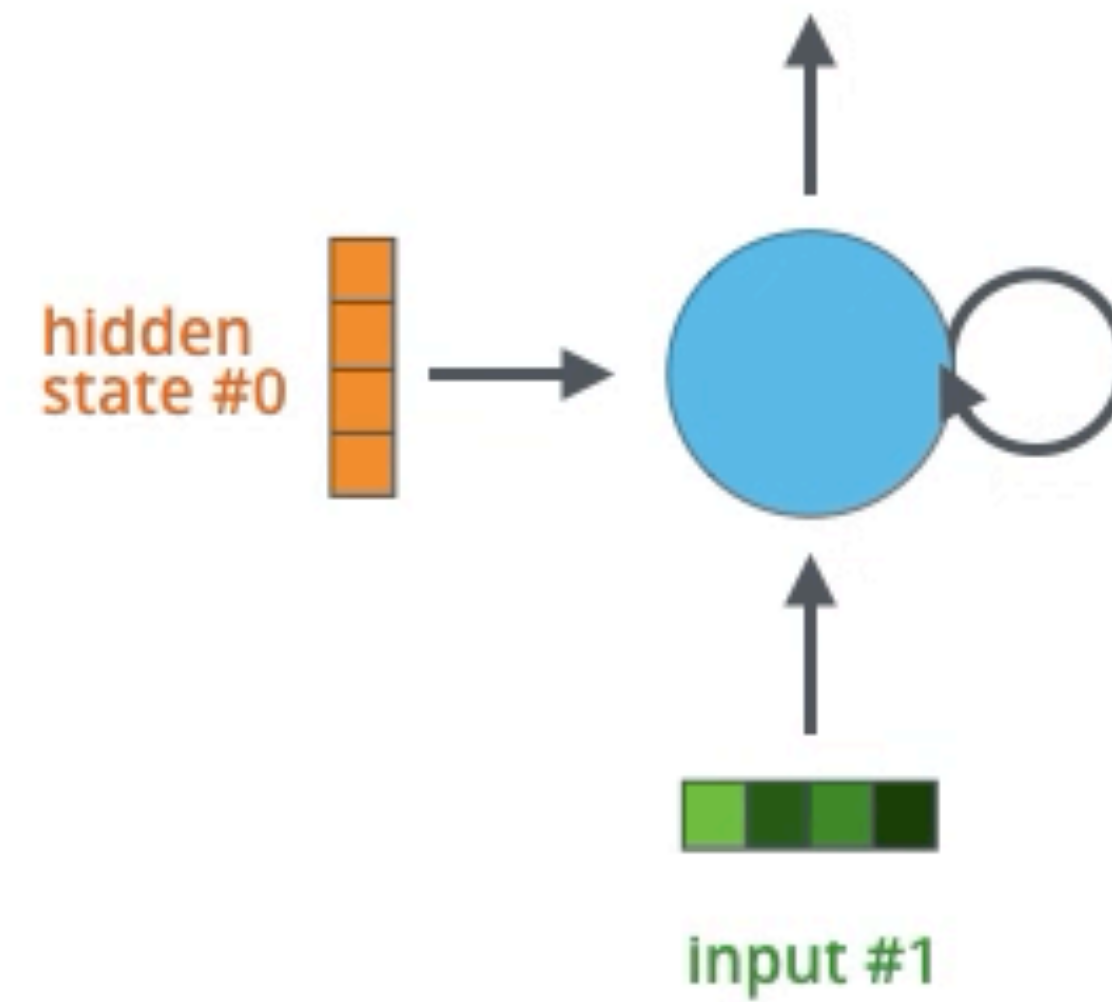


We need to turn the input words into vectors before processing them. That transformation is done using a [word embedding](#) algorithm. We can use [pre-trained embeddings](#) or train our own embedding on our dataset. Embedding vectors of size 200 or 300 are typical, we're showing a vector of size four for simplicity.

Recurrent Neural Network

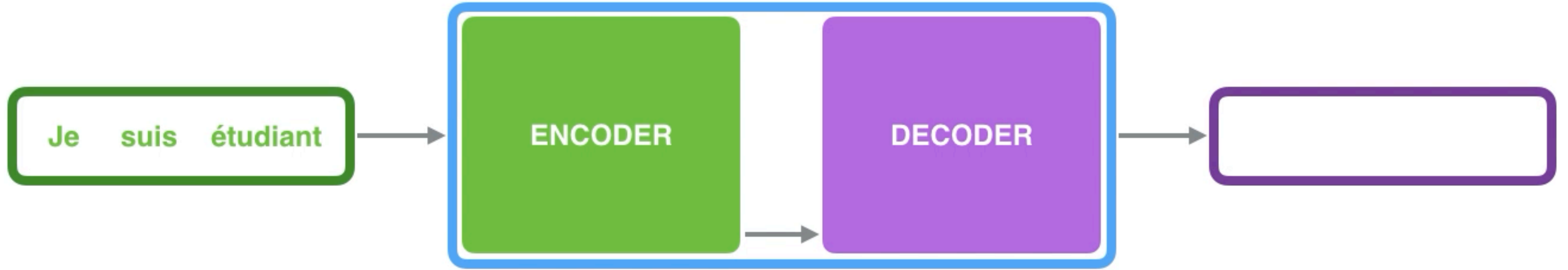
Time step #1:

An RNN takes two input vectors:

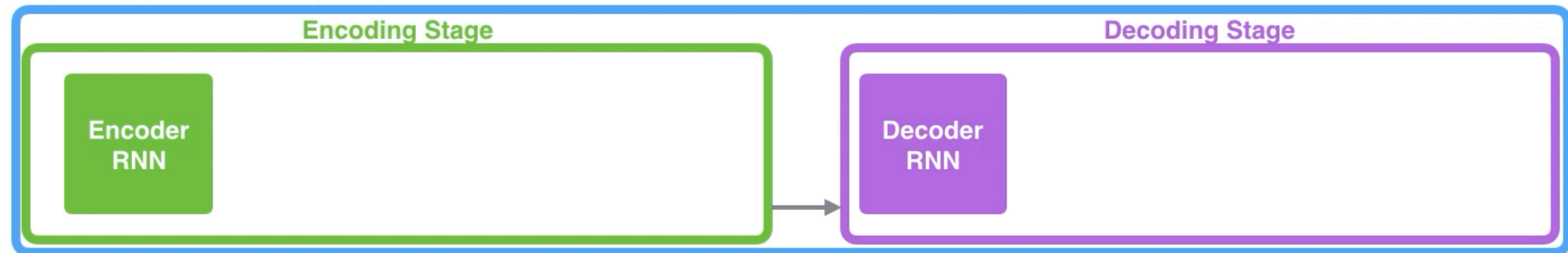


Time step:

Neural Machine Translation SEQUENCE TO SEQUENCE MODEL



Neural Machine Translation SEQUENCE TO SEQUENCE MODEL



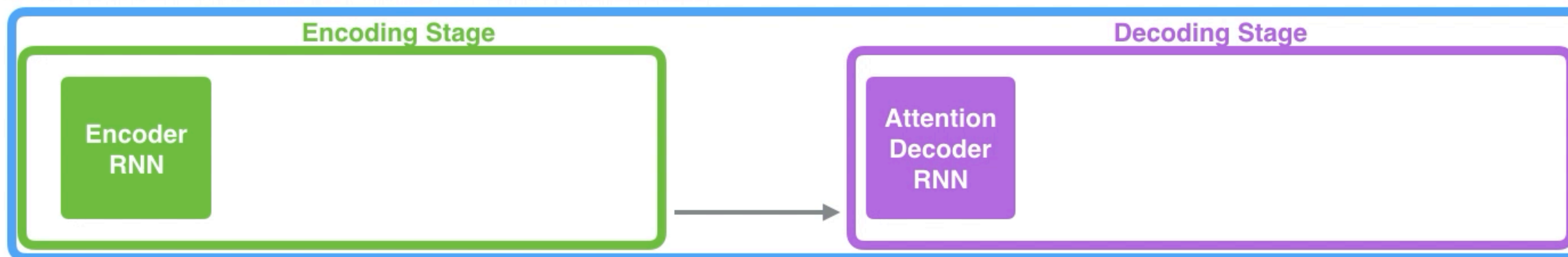
Je

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Neural Machine Translation

SEQUENCE TO SEQUENCE MODEL WITH ATTENTION



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suis

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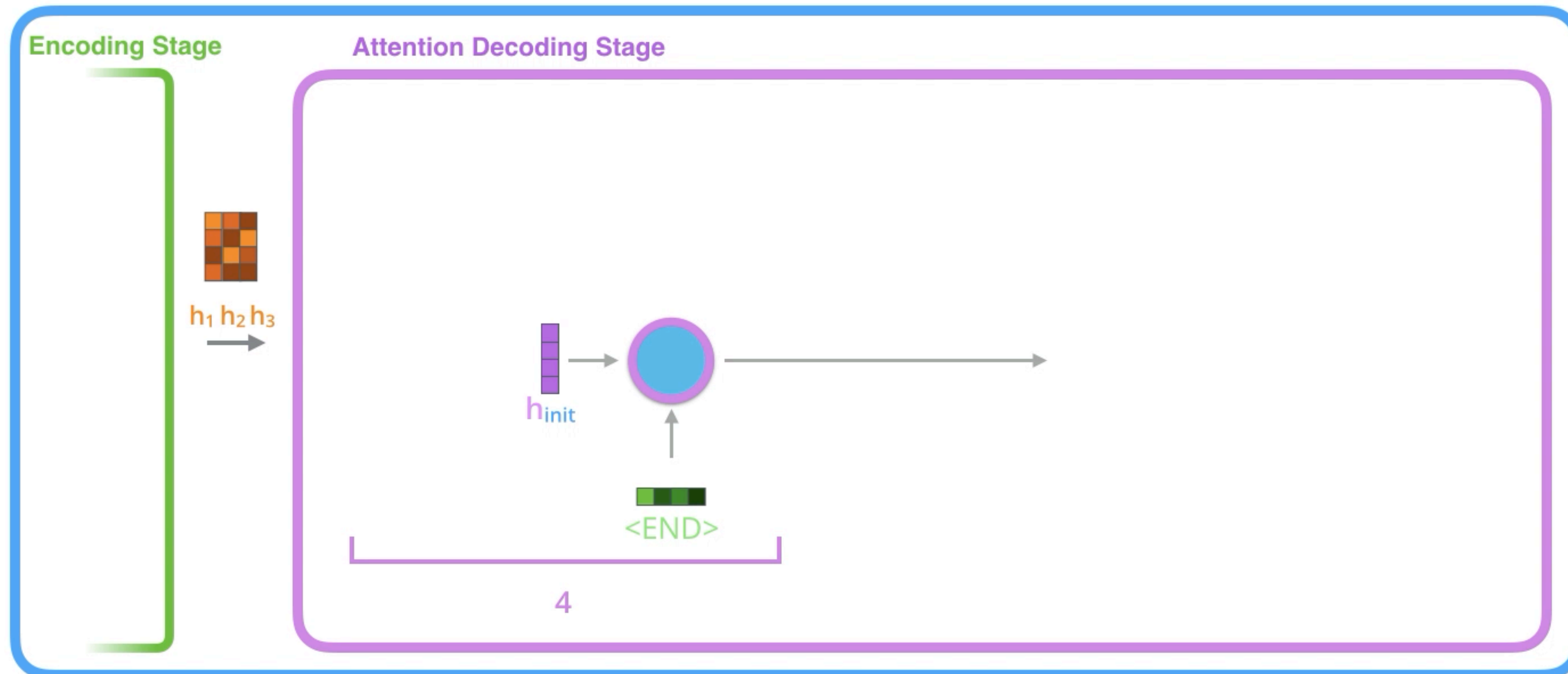
Attention at time step 4



1. The attention decoder RNN takes in the embedding of the $\langle \text{END} \rangle$ token, and an **initial decoder hidden state**.
2. The RNN processes its inputs, producing an output and a **new hidden state** vector (h_4). The output is discarded.
3. Attention Step: We use the **encoder hidden states** and the h_4 vector to calculate a context vector (C_4) for this time step.
4. We concatenate h_4 and C_4 into one vector.
5. We pass this vector through a **feedforward neural network** (one trained jointly with the model).
6. The **output** of the feedforward neural networks indicates the output word of this time step.
7. Repeat for the next time steps

Neural Machine Translation

SEQUENCE TO SEQUENCE MODEL WITH ATTENTION



Encoder
hidden
state

Je

hidden
state #1

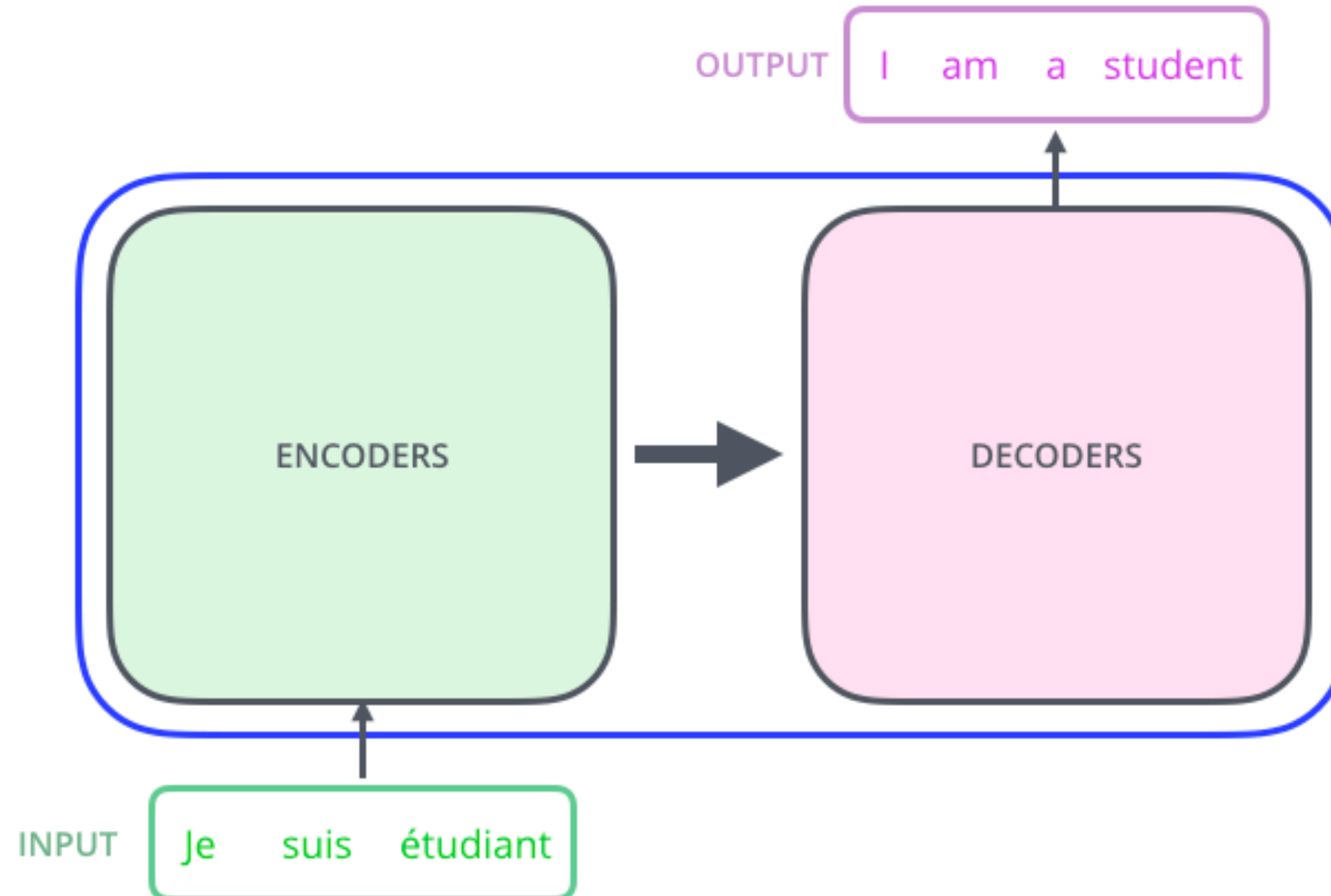
suis

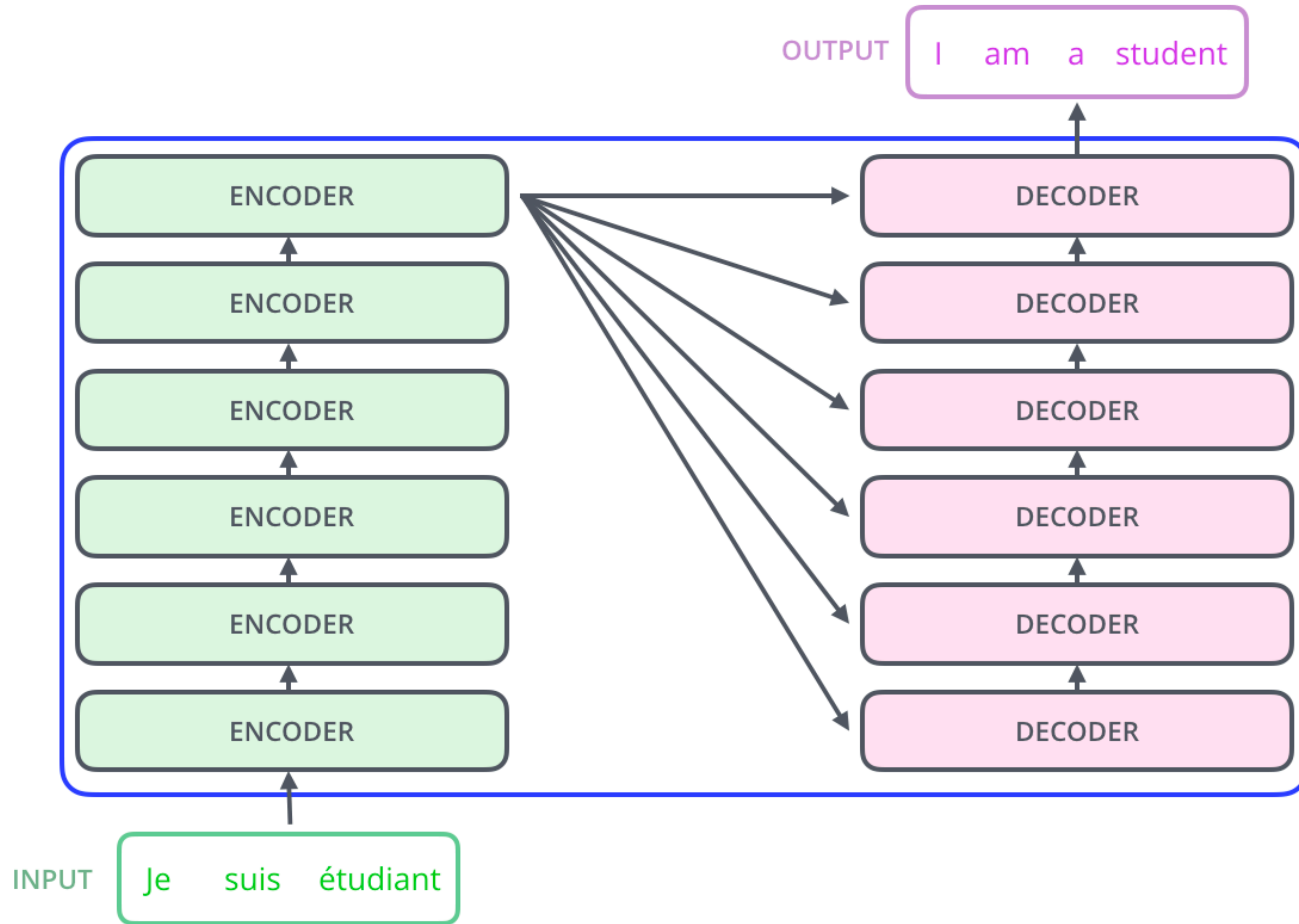
hidden
state #2

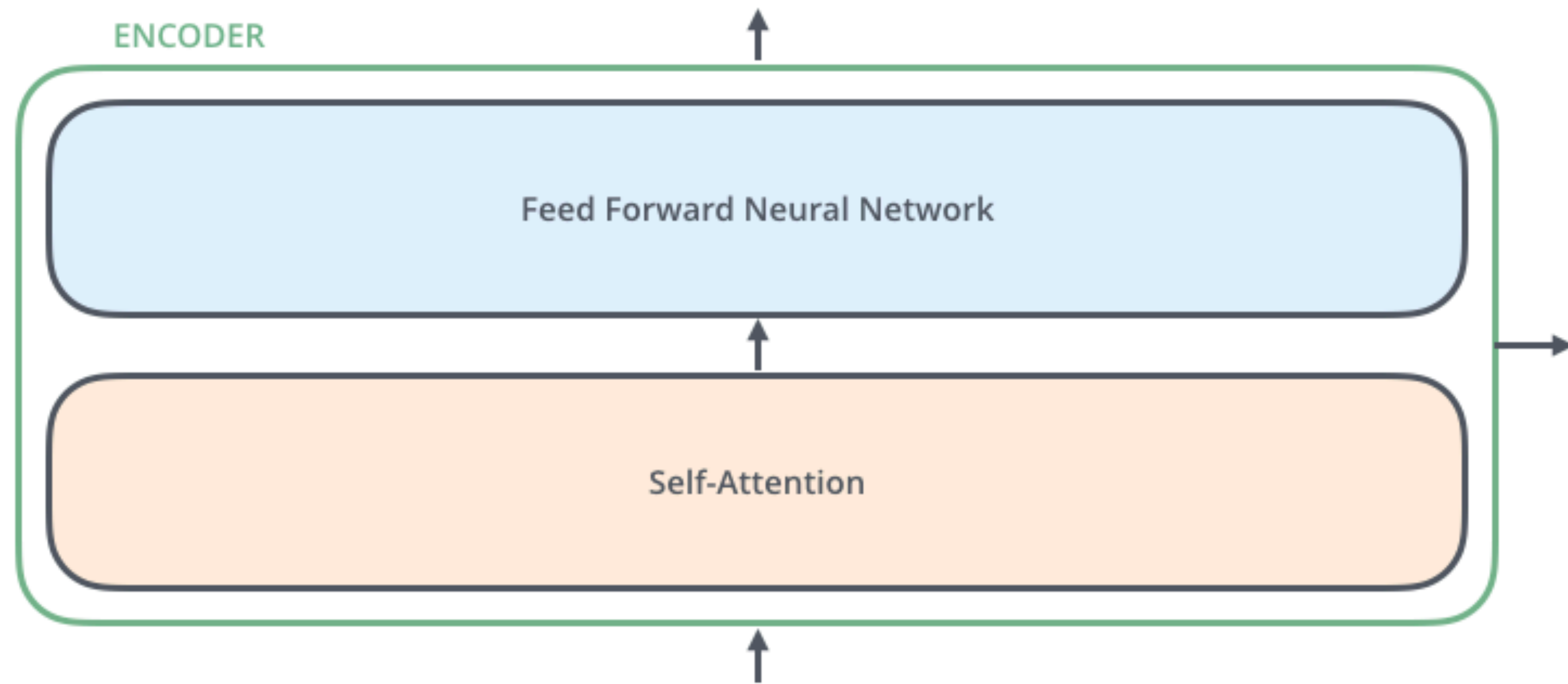
étudiant

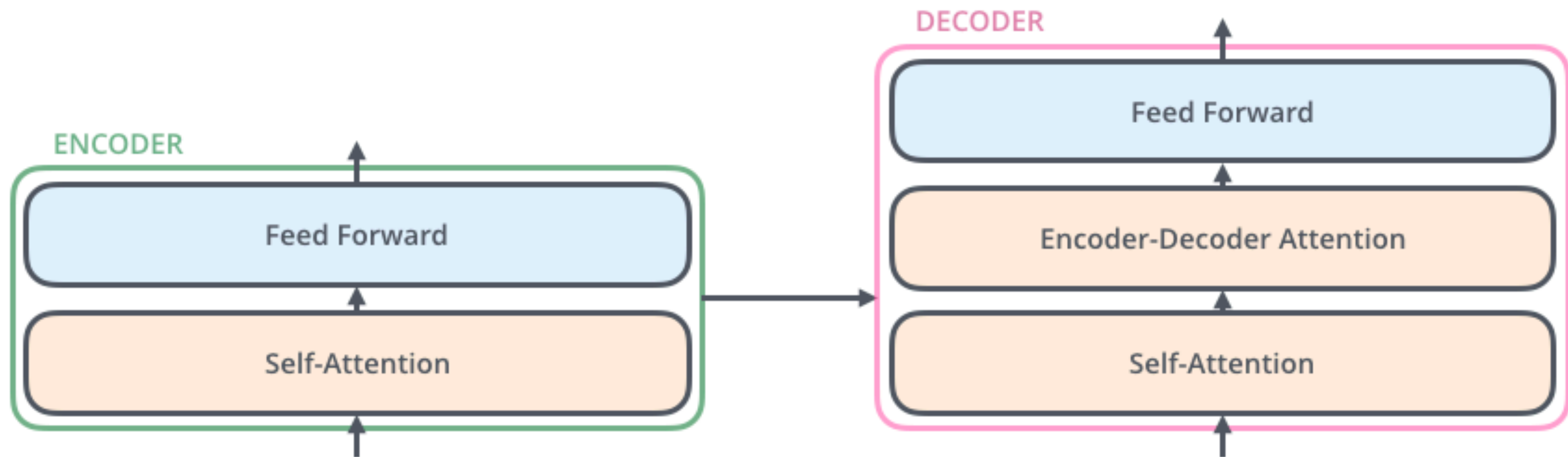
hidden
state #3

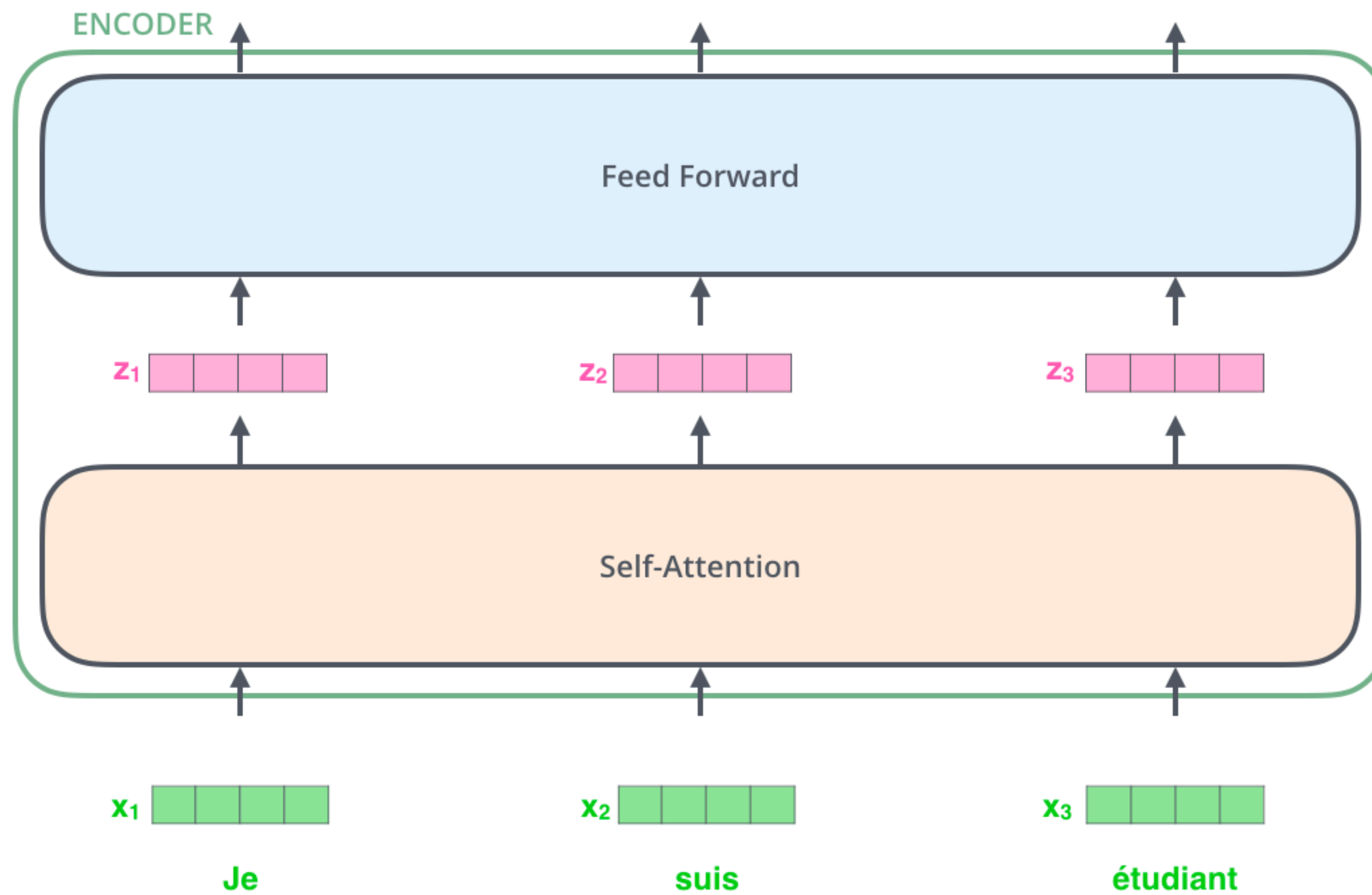
The transformer (“Attention is All You Need”)

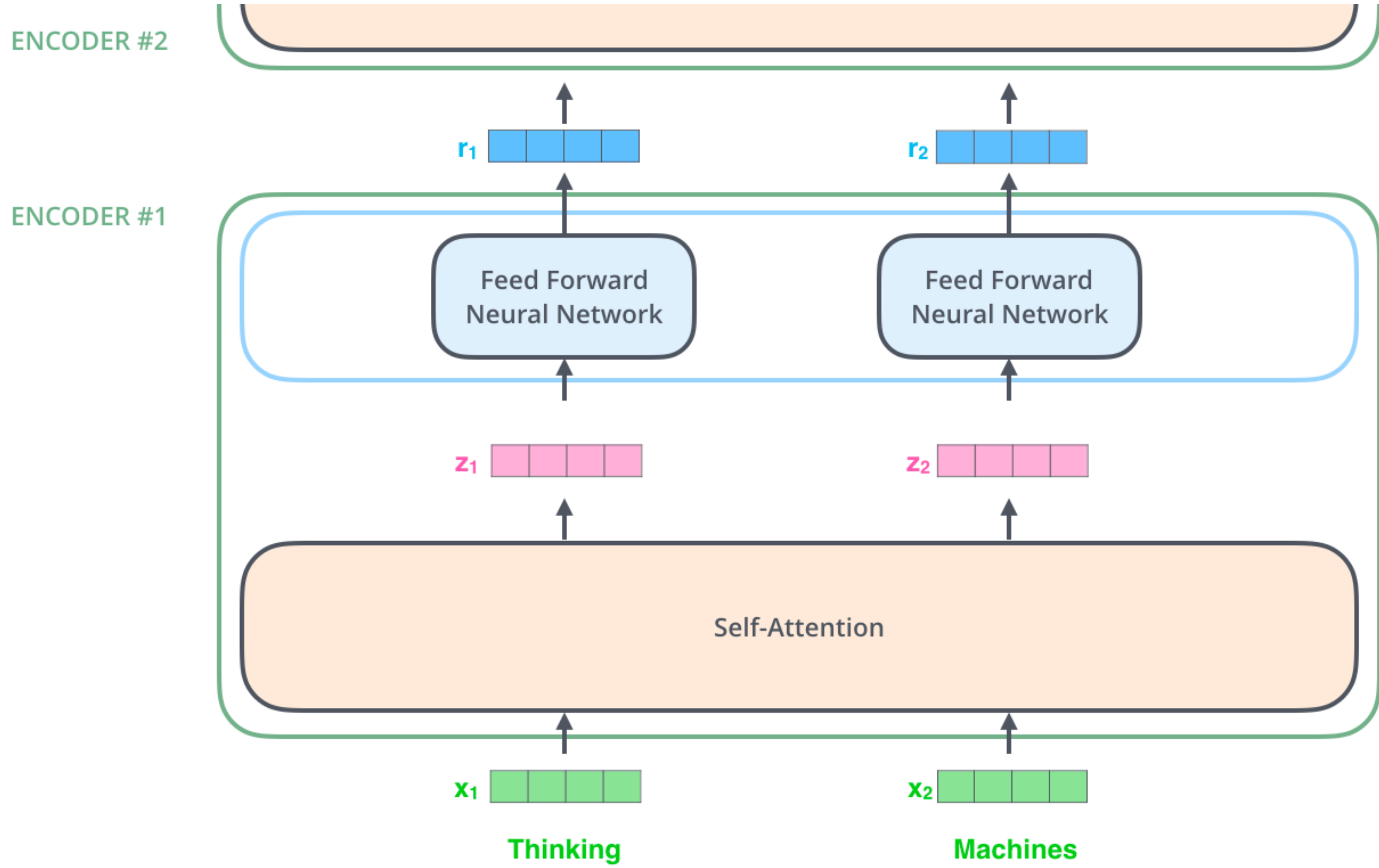




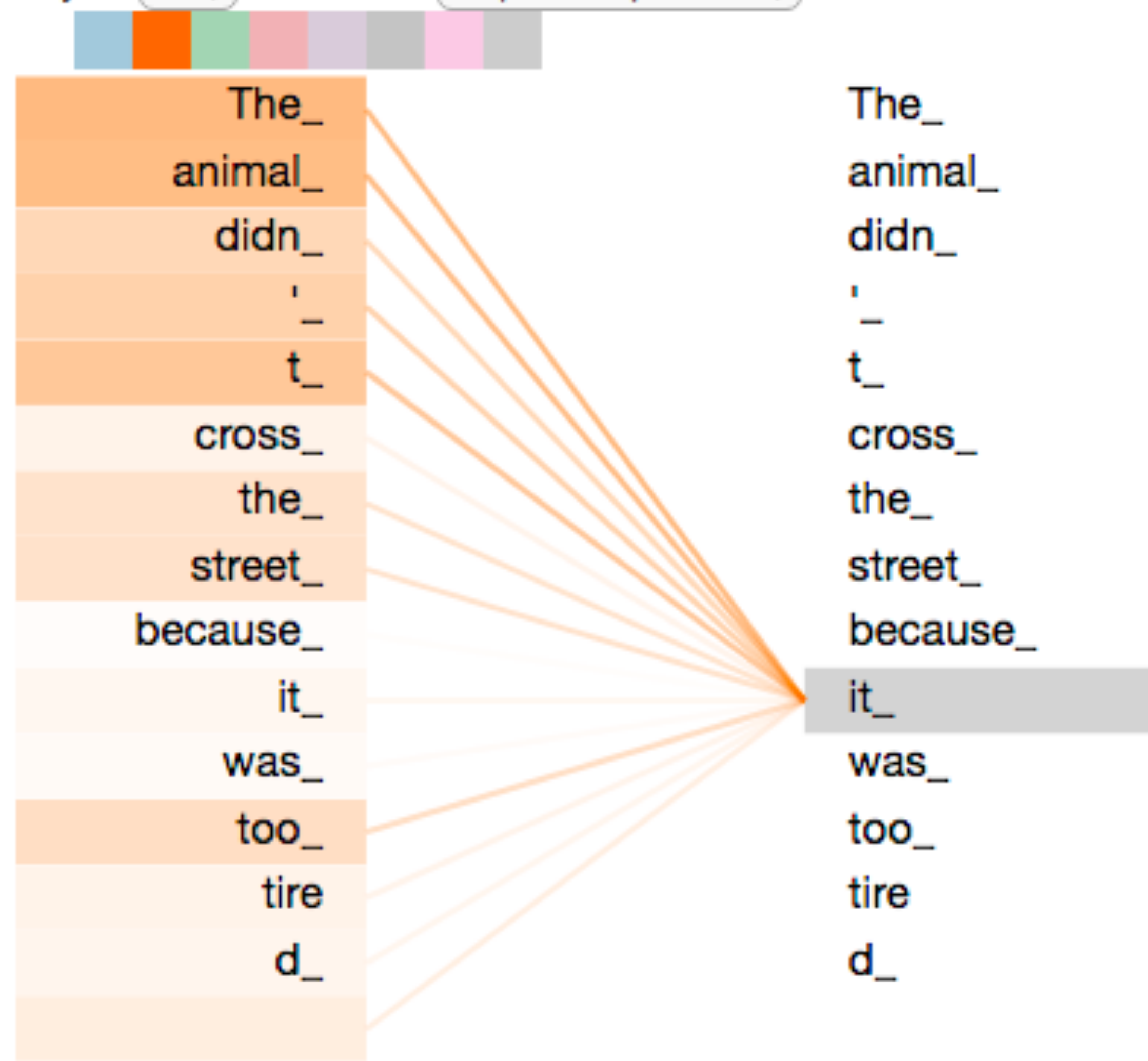






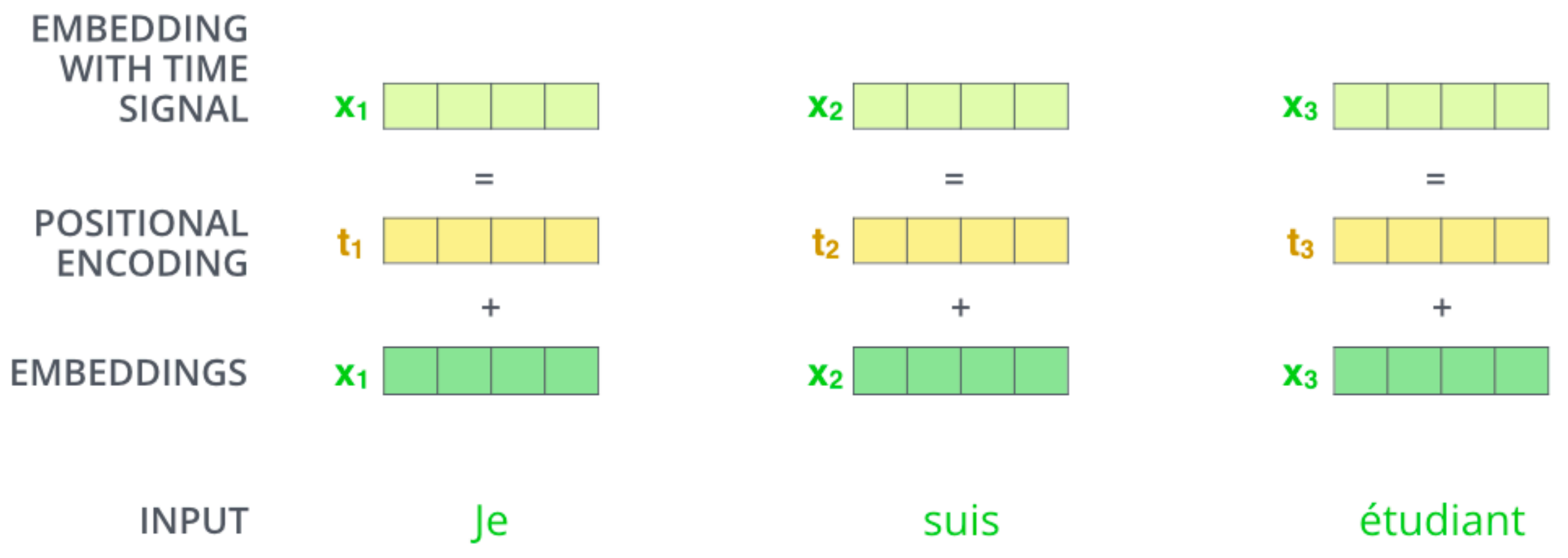
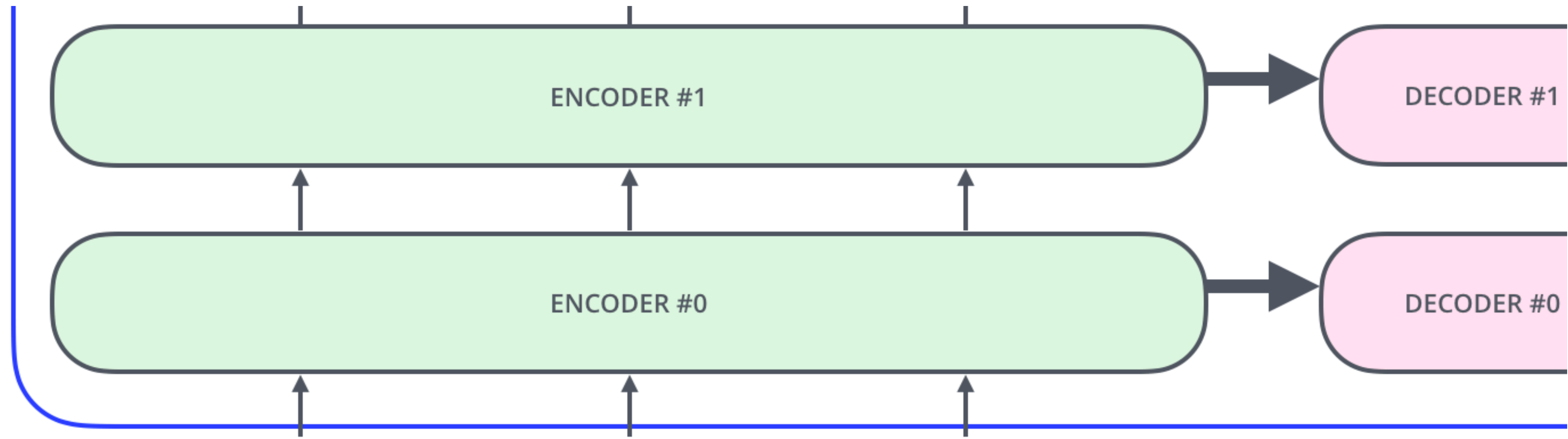


Layer: 5 Attention: Input - Input

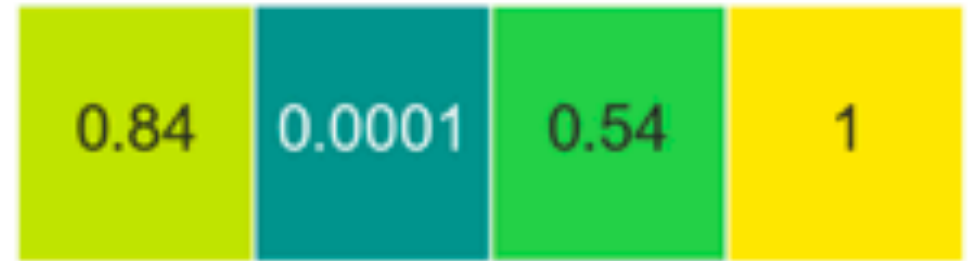


Matrix math of self-attention - yada yada yada

Multi-headed attention - blah blah blah



POSITIONAL
ENCODING

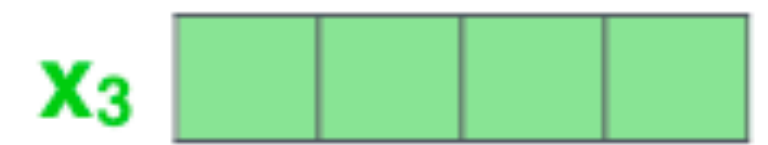
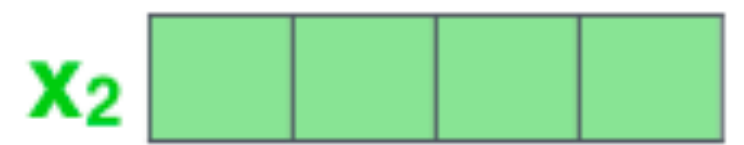
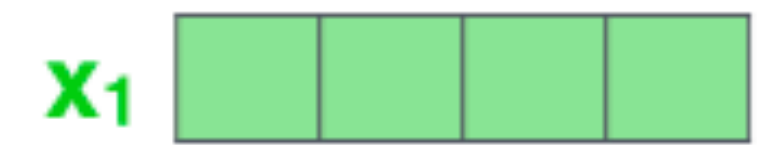


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EMBEDDINGS



INPUT

Je

suis

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