# Natural Language Processing (CSE 490U): Language Models

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January 6-9, 2017

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- ▶ Sometimes true:  $p(X = x, Y = y) = p(X = x) \cdot p(Y = y)$
- ► The difference between *true* and *estimated* probability distributions

## Language Models: Definitions

- $ightharpoonup \mathcal V$  is a finite set of (discrete) symbols (© "words" or possibly characters);  $V=|\mathcal V|$
- $\blacktriangleright$   $\mathcal{V}^{\dagger}$  is the (infinite) set of sequences of symbols from  $\mathcal{V}$  whose final symbol is (
- ▶  $p: \mathcal{V}^{\dagger} \to \mathbb{R}$ , such that:
  - $\qquad \qquad \mathbf{For\ any}\ \boldsymbol{x} \in \mathcal{V}^\dagger\text{, } p(\boldsymbol{x}) \geq 0$

$$\sum_{\boldsymbol{x} \in \mathcal{V}^{\dagger}} p(\boldsymbol{X} = \boldsymbol{x}) = 1$$

(I.e., p is a proper probability distribution.)

Language modeling: estimate p from examples,  $x_{1:n} = \langle x_1, x_2, \dots, x_n \rangle$ .

## Immediate Objections

- 1. Why would we want to do this?
- 2. Are the nonnegativity and sum-to-one constraints really necessary?
- 3. Is "finite  $\mathcal{V}$ " realistic?

A pattern for modeling a pair of random variables, X and Y:

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- $lackbox{ }Y$  is the plaintext, the true message, the missing information, the output
- ► *X* is the ciphertext, the garbled message, the observable evidence, the input
- ▶ Decoding: select y given X = x.

$$y^* = \operatorname*{argmax}_y p(y \mid x)$$

$$= \operatorname*{argmax}_y \frac{p(x \mid y) \cdot p(y)}{p(x)}$$

$$= \operatorname*{argmax}_y \underbrace{p(x \mid y)}_{\text{channel model source model}} \cdot \underbrace{p(y)}_{\text{channel model source model}}$$

# Noisy Channel Example: Speech Recognition

$$\boxed{\mathsf{source}} \longrightarrow \mathsf{sequence} \ \mathsf{in} \ \mathcal{V}^\dagger \longrightarrow \boxed{\mathsf{channel}} \longrightarrow \mathsf{acoustics}$$

- ▶ Acoustic model defines  $p(\text{sounds} \mid \boldsymbol{x})$  (channel)
- ▶ Language model defines p(x) (source)

## Noisy Channel Example: Speech Recognition

Credit: Luke Zettlemoyer

word sequence $\log p(\text{acoustics} \mid \text{word sequence})$	
the station signs are in deep in english	-14732
the stations signs are in deep in english	-14735
the station signs are in deep into english	-14739
the station 's signs are in deep in english	-14740
the station signs are in deep in the english	-14741
the station signs are indeed in english	-14757
the station 's signs are indeed in english	-14760
the station signs are indians in english	-14790
the station signs are indian in english	-14799
the stations signs are indians in english	-14807
the stations signs are indians and english	-14815

## Noisy Channel Example: Machine Translation

Also knowing nothing official about, but having guessed and inferred considerable about, the powerful new mechanized methods in cryptography—methods which I believe succeed even when one does not know what language has been coded—one naturally wonders if the problem of translation could conceivably be treated as a problem in cryptography. When I look at an article in Russian, I say: "This is really written in English, but it has been coded in some strange symbols. I will now proceed to decode."

Warren Weaver, 1955

## Noisy Channel Examples

- ► Speech recognition
- ► Machine translation
- ► Optical character recognition
- Spelling and grammar correction

## Immediate Objections

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Intuitively, language models should assign high probability to real language they have not seen before.

For out-of-sample ("held-out" or "test") data  $\bar{x}_{1:m}$ :

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- lacksquare Log-probability of  $ar{oldsymbol{x}}_{1:m}$  is  $\sum_{i=1}^m \log_2 p(ar{oldsymbol{x}}_i)$
- lacktriangle Average log-probability per word of  $ar{m{x}}_{1:m}$  is

$$l = \frac{1}{M} \sum_{i=1}^{m} \log_2 p(\bar{x}_i)$$

if  $M = \sum_{i=1}^{m} |\bar{x}_i|$  (total number of words in the corpus)

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Lower is better.

# **Understanding Perplexity**

$$-\frac{1}{M} \sum_{i=1}^{m} \log_2 p(\bar{x}_i)$$

#### It's a branching factor!

- ▶ Assign probability of 1 to the test data ⇒ perplexity = 1
- ▶ Assign probability of  $\frac{1}{|\mathcal{V}|}$  to every word  $\Rightarrow$  perplexity  $= |\mathcal{V}|$
- Assign probability of 0 to anything  $\Rightarrow$  perplexity  $= \infty$ 
  - ▶ This motivates a stricter constraint than we had before:
    - lacktriangledown For any  $oldsymbol{x}\in\mathcal{V}^{\dagger}$ ,  $p(oldsymbol{x})>0$

## Perplexity

- Perplexity on conventionally accepted test sets is often reported in papers.
- ► Generally, I won't discuss perplexity numbers much, because:
  - ▶ Perplexity is only an intermediate measure of performance.
  - Understanding the models is more important than remembering how well they perform on particular train/test sets.
- If you're curious, look up numbers in the literature; always take them with a grain of salt!

#### Immediate Objections

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Is "finite  $\mathcal{V}$ " realistic?

No

## Is "finite $\mathcal{V}$ " realistic?

```
No no no notta Nº /no //no (no |no
```

## The Language Modeling Problem

```
Input: x_{1:n} ("training data")
Output: p: \mathcal{V}^\dagger \to \mathbb{R}^+
© p should be a "useful" measure of plausibility (not grammaticality).
```

# A Trivial Language Model

$$p(\boldsymbol{x}) = \frac{|\{i \mid \boldsymbol{x}_i = \boldsymbol{x}\}|}{n} = \frac{c_{\boldsymbol{x}_{1:n}}(\boldsymbol{x})}{n}$$

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What if x is not in the training data?

# Using the Chain Rule

$$p(\mathbf{X} = \mathbf{x}) = \begin{pmatrix} p(X_1 = x_1) \\ \cdot p(X_2 = x_2 \mid X_1 = x_1) \\ \cdot p(X_3 = x_3 \mid \mathbf{X}_{1:2} = \mathbf{x}_{1:2}) \\ \vdots \\ \cdot p(X_{\ell} = \bigcirc \mid \mathbf{X}_{1:\ell-1} = \mathbf{x}_{1:\ell-1}) \end{pmatrix}$$
$$= \prod_{i=1}^{\ell} p(X_j = x_j \mid \mathbf{X}_{1:j-1} = \mathbf{x}_{1:j-1})$$

## **Unigram Model**

$$\begin{split} p(\boldsymbol{X} = \boldsymbol{x}) &= \prod_{j=1}^{\ell} p(X_j = x_j \mid \boldsymbol{X}_{1:j-1} = \boldsymbol{x}_{1:j-1}) \\ &\stackrel{\text{assumption}}{=} \prod_{j=1}^{\ell} p_{\boldsymbol{\theta}}(X_j = x_j) = \prod_{j=1}^{\ell} \theta_{x_j} \approx \prod_{j=1}^{\ell} \hat{\theta}_{x_j} \end{split}$$

Maximum likelihood estimate:

$$\forall v \in \mathcal{V}, \hat{\theta}_v = \frac{|\{i, j \mid [\boldsymbol{x}_i]_j = v\}|}{N}$$
$$= \frac{c_{\boldsymbol{x}_{1:n}}(v)}{N}$$

where  $N = \sum_{i=1}^{n} |\boldsymbol{x}_i|$ .

Also known as "relative frequency estimation."



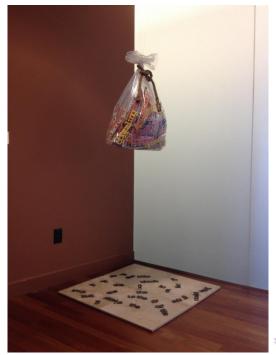
### Responses to Some of Your Questions

I speak roughly 1.3 languages.

Homeworks are mostly programming assignments. They are public, but other than maybe some commentary, solutions won't be public.

#### Interested in research?

- ► Faculty doing NLP at UW: http://nlp.washington.edu
- Summer internship application form: https://goo.gl/forms/mwirJD7utUMimVH92



### **Unigram Model**

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$$\forall v \in \mathcal{V}, \hat{\theta}_v = \frac{|\{i, j \mid [\boldsymbol{x}_i]_j = v\}|}{N}$$
$$= \frac{c_{\boldsymbol{x}_{1:n}}(v)}{N}$$

where  $N = \sum_{i=1}^{n} |\boldsymbol{x}_i|$ .

Also known as "relative frequency estimation."



### Unigram Models: Assessment

#### Pros:

- Easy to understand
- Cheap
- Good enough for information retrieval (maybe)

#### Cons:

- "Bag of words" assumption is linguistically inaccurate
  - ▶  $p(\text{the the the the}) \gg p(\text{I want ice cream})$
- Data sparseness; high variance in the estimator
- "Out of vocabulary" problem

### Markov Models ≡ n-gram Models

$$\begin{split} p(\boldsymbol{X} = \boldsymbol{x}) &= \prod_{j=1}^{\ell} p(X_j = x_j \mid \boldsymbol{X}_{1:j-1} = \boldsymbol{x}_{1:j-1}) \\ &\stackrel{\text{assumption}}{=} \prod_{j=1}^{\ell} p_{\boldsymbol{\theta}}(X_j = x_j \mid \boldsymbol{X}_{j-\mathsf{n}+1:j-1} = \boldsymbol{x}_{j-\mathsf{n}+1:j-1}) \end{split}$$

- (n-1)th-order Markov assumption  $\equiv$  n-gram model
  - ▶ Unigram model is the n = 1 case
  - ▶ For a long time, trigram models (n = 3) were widely used
  - ▶ 5-gram models (n = 5) are not uncommon now in MT

# Estimating n-Gram Models

$$p_{\boldsymbol{\theta}}(\boldsymbol{x}) = \begin{array}{ccc} & \prod_{j=1}^{\ell} \theta_{x_j} & \prod_{j=1}^{\ell} \theta_{x_j \mid x_{j-1}} & \prod_{j=1}^{\ell} \theta_{x_j \mid x_{j-2} x_{j-1}} \\ & \\ \text{Parameters:} & \theta_v & \theta_{v \mid v'} & \theta_{v \mid v'' v'} \\ \forall v \in \mathcal{V} & \forall v \in \mathcal{V}, v' \in \mathcal{V} \cup \{\bigcirc\} & \forall v \in \mathcal{V}, v', v'' \in \mathcal{V} \cup \{\bigcirc\} \\ & \\ \text{MLE:} & \frac{c(v)}{N} & \frac{c(v'v)}{c(v')} & \frac{c(v''v'v)}{c(v''v')} \end{array}$$

General case:

$$\prod_{j=1}^\ell \theta_{x_j|\boldsymbol{x}_{j-\mathsf{n}+1:j-1}}$$

$$\theta_{v|oldsymbol{h}}, \ orall v \in \mathcal{V}, oldsymbol{h} \in (\mathcal{V} \cup \{\bigcirc\})^{\mathsf{n}-1}$$

$$\frac{c(\boldsymbol{h}v)}{c(\boldsymbol{h})}$$

#### The Problem with MLE

- ► The curse of dimensionality: the number of parameters grows exponentially in n
- ▶ Data sparseness: most n-grams will never be observed, even if they are linguistically plausible
- ▶ No one actually uses the MLE!

# Smoothing

A few years ago, I'd have spent a whole lecture on this! ©

- ▶ Simple method: add  $\lambda > 0$  to every count (including zero-counts) before normalizing
- lacktriangle What makes it hard: ensuring that each  $oldsymbol{ heta} \in riangle^{|\mathcal{V}|}$ 
  - Otherwise, perplexity calculations break
- Longstanding champion: modified Kneser-Ney smoothing (Chen and Goodman, 1998)
- Stupid backoff: reasonable, easy solution when you don't care about perplexity (Brants et al., 2007)

### Interpolation

If p and q are both language models, then so is

$$\alpha p + (1 - \alpha)q$$

for any  $\alpha \in [0,1]$ .

- ► This idea underlies many smoothing methods
- lacktriangle Often a new model q only beats a reigning champion p when interpolated with it
- ▶ How to pick the "hyperparameter"  $\alpha$ ?

## Algorithms To Know

- lacktriangle Score a sentence x
- lacktriangle Train from a corpus  $oldsymbol{x}_{1:n}$
- lacktriangle Sample a sentence given  $oldsymbol{ heta}$

### n-gram Models: Assessment

#### Pros:

- ► Easy to understand
- Cheap (with modern hardware; Lin and Dyer, 2010)
- Good enough for machine translation, speech recognition, . . .

#### Cons:

- Markov assumption is linguistically inaccurate
  - (But not as bad as unigram models!)
- Data sparseness; high variance in the estimator
- "Out of vocabulary" problem

### Dealing with Out-of-Vocabulary Terms

- ▶ Define a special OOV or "unknown" symbol UNK. Transform some (or all) rare words in the training data to UNK.
  - ③ You cannot fairly compare two language models that apply different UNK treatments!
- ▶ Build a language model at the *character* level.

#### To-Do List

► Collins (2011); Jurafsky and Martin (2016)

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#### Extras

(Unigram Model)

The maximum likelihood estimation problem:

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n})$$

(Unigram Model)

Logarithm is a monotonic function.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n}) = \exp \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n})$$

(Unigram Model)

Each sequence is an independent sample from the model.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n}) = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^{n} p_{\boldsymbol{\theta}}(\boldsymbol{x}_i)$$

(Unigram Model)

Plug in the form of the unigram model.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^n p_{\boldsymbol{\theta}}(\boldsymbol{x}_i) = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^n \prod_{j=1}^{\ell_i} \theta_{[\boldsymbol{x}_i]_j}$$

(Unigram Model)

Log of product equals sum of logs.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^{n} \prod_{j=1}^{\ell_i} \theta_{[\boldsymbol{x}_i]_j} = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{i=1}^{n} \sum_{j=1}^{\ell_i} \log \theta_{[\boldsymbol{x}_i]_j}$$

(Unigram Model)

Convert from tokens to types.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{i=1}^{n} \sum_{j=1}^{\ell_i} \log \theta_{[\boldsymbol{x}_i]_j} = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v$$

(Unigram Model)

Convert to a minimization problem (for consistency with textbooks).

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v = \min_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v$$

(Unigram Model)

Lagrange multiplier to convert to a less constrained problem.

$$\begin{split} \min_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} &- \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v \\ &= \max_{\boldsymbol{\mu} \geq 0} \min_{\boldsymbol{\theta} \in \mathbb{R}_{\geq 0}^{|\mathcal{V}|}} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left(1 - \sum_{v \in \mathcal{V}} \theta_v\right) \\ &= \min_{\boldsymbol{\theta} \in \mathbb{R}_{\geq 0}^{|\mathcal{V}|}} \max_{\boldsymbol{\mu} \geq 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left(1 - \sum_{v \in \mathcal{V}} \theta_v\right) \end{split}$$

Intuitively, if  $\sum_{v \in \mathcal{V}} \theta_v$  gets too big,  $\mu$  will push toward  $+\infty$ .

For more about Lagrange multipliers, see Dan Klein's tutorial (reference at the end of these slides).

# Relative Frequency Estimation is the MLE (Unigram Model)

Use first-order conditions to solve for  ${\pmb{\theta}}$  in terms of  $\mu.$ 

$$\begin{split} \min_{\boldsymbol{\theta} \in \mathbb{R}_{\geq 0}^{|\mathcal{V}|}} \max_{\mu \geq 0} &- \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left(1 - \sum_{v \in \mathcal{V}} \theta_v\right) \\ & \text{fixing } \mu \text{, for all } v \text{, set: } 0 = \frac{\partial}{\partial \theta_v} \\ &= \frac{-c_{\boldsymbol{x}_{1:n}}(v)}{\theta_v} + \mu \\ & \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{u} \end{split}$$

### Relative Frequency Estimation is the MLE (Unigram Model)

Plug in for each  $\theta_n$ .

$$\min_{\boldsymbol{\theta} \in \mathbb{R}_{\geq 0}^{|\mathcal{V}|}} \max_{\mu \geq 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left( 1 - \sum_{v \in \mathcal{V}} \theta_v \right)$$
$$= \max_{\mu \geq 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} - \mu \left( 1 - \sum_{v \in \mathcal{V}} \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} \right)$$

Remember: 
$$\forall v \in \mathcal{V}$$
,

Remember: 
$$\forall v \in \mathcal{V}, \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu}$$

(Unigram Model)

Rearrange terms  $\left(a\log\frac{a}{b}=a\log a-a\log b\text{ and }N=\sum_{v\in\mathcal{V}}c_{\boldsymbol{x}_{1:n}}(v)\right).$ 

$$\max_{\mu \ge 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} - \mu \left( 1 - \sum_{v \in \mathcal{V}} \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} \right)$$
$$= \max_{\mu \ge 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log \mu - \mu + N$$

Remember: 
$$\forall v \in \mathcal{V}, \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu}$$

(Unigram Model)

Use first-order conditions to solve for  $\mu$ .

$$\begin{aligned} \max_{\mu \geq 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log \mu - \mu + N \\ &\text{set: } 0 = \frac{\partial}{\partial \mu} \\ &= \frac{N}{\mu} - 1 \\ &\mu = N \end{aligned}$$

Remember: 
$$\forall v \in \mathcal{V}, \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu}$$

(Unigram Model)

Plug in for  $\mu$ .

$$\begin{aligned} \max_{\mu \geq 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log \mu - \mu + N \\ = - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log N \end{aligned}$$

$$\forall v \in \mathcal{V}, \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{N}$$

... and that's the relative frequency estimate!

## Language Models as (Weighted) Finite-State Automata

(Deterministic) finite-state automaton:

- $\blacktriangleright$  Set of k states  $\mathcal{S}$ 
  - ▶ Initial state  $s_0 \in \mathcal{S}$
  - ▶ Final states  $\mathcal{F} \subseteq \mathcal{S}$
- ightharpoonup Alphabet  $\Sigma$
- ▶ Transitions  $\delta : \mathcal{S} \times \Sigma \to \mathcal{S}$

A length  $\ell$  string x is in the language of the automaton iff there is a path  $\langle s_0, \dots, s_\ell \rangle$  such that  $s_\ell \in \mathcal{F}$  and

$$\bigwedge_{i=1}^{\ell} [[s_i = \delta(s_{i-1}, x_i)]]$$

# Language Models as (Weighted) Finite-State Automata

(Deterministic) finite-state automaton:

 $\blacktriangleright$  Set of k states  $\mathcal S$ 

histories

▶ Initial state  $s_0 \in \mathcal{S}$ ▶ Final states  $\mathcal{F} \subseteq \mathcal{S}$ 

histories ending in

- ightharpoonup Alphabet  $\Sigma$
- ▶ Transitions  $\delta: \mathcal{S} \times \Sigma \to \mathcal{S} \times \mathbb{R}_{\geq 0}$

A **weighted** FSA defines a weight for every transition; e.g.,  $w(\boldsymbol{h}, v, \delta(\boldsymbol{h}, v)) = \theta_{v|\boldsymbol{h}}$ 

A length  $\ell$  string x is in the language of the automaton iff there is a path  $\langle s_0, \dots, s_\ell \rangle$  such that  $s_\ell \in \mathcal{F}$  and

$$\bigwedge_{i=1}^{\ell} [[s_i = \delta(s_{i-1}, x_i)]]$$

The score of the string is the product of transition weights.

$$score(\boldsymbol{x}) \prod_{i=1}^{\ell} w(\boldsymbol{h}_i, x_i, \delta(\boldsymbol{h}_i, x_i))$$

### Class-Based Language Models

Brown et al. (1992)

Suppose we have a hard clustering of  $\mathcal{V}$ , cl :  $\mathcal{V} \to \{1,\dots,k\}$ , where  $k \ll |\mathcal{V}|$ .

	n-gram	class-based
$p_{m{ heta}}(m{x}) =$	$\prod_{j=1}^\ell  heta_{x_j oldsymbol{x}_{j-n+1:j-1}}$	$\prod_{j=1}^{\ell} \theta_{x_j cl(x_j)} \gamma_{cl(x_j) cl(x_{j-1})}$
Parameters:	$\stackrel{\circ}{ heta}_{v m{h}}$	$ heta_{v cl(v)} \qquad \gamma_{i j}$
MLE:	$\frac{\forall v \in \mathcal{V}, \mathbf{h} \in (\mathcal{V} \cup \{\bigcirc\})^{n-1}}{c(\mathbf{h})}$	$ \frac{c(v)}{c(cl(v))} \qquad \frac{\forall i, j \in \{1, \dots, k\}}{c(j)} $