# Topic-Aware Variational Auto-Encoders for Controllable Text Generation

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#### Abstract

 In this paper, we propose Topic-Aware Variational Auto-Encoders for Controllable Text Generation (TA-VAE). Distinct from ex- isting VAE based approaches, we explicitly model document topic and sequence apart: a text variational auto-encoder (VAE) is utilized for sequence modeling, whose posterior is re- molded by a Householder flow to be compat- ible with the non-isotropic allocation of texts (with diverse topics) in latent space; a varia- tional topic model with its prior conditioned on well-crafted sequential posterior to take advan- tage from acquired text sequential information. Besides, an explicit discriminator (based on the topic encoder) as well as a mutual information maximization term (on topic latent code and **observed data)** are additionally added to en- hance the utterance of topic behalf. Encourag- ing experimental results on real-world datasets demonstrate that the proposed model not only learns interpretable topic representations, but is fully capable of generating high-quality para- graphs that are grammatically reasonable and semantically consistent.

#### **<sup>025</sup>** 1 Introduction

 In recent years, considerable advanced network architectures are employed to design robust and effective language models (LMs) for text gener- ation. These language models gain apparent im- provement in varied generation tasks, including machine translation [\(Bahdanau et al.,](#page-8-0) [2014\)](#page-8-0), sum- marization [\(Rush et al.,](#page-9-0) [2015\)](#page-9-0) and question answer- ing [\(Iyyer et al.,](#page-8-1) [2014\)](#page-8-1). However, generating texts that fulfil expected attributions (e.g., topics, sen- timent) remains a mountain to climb. However, methods incorporate explicit constraints [\(Mei et al.,](#page-9-1) [2015;](#page-9-1) [Wiseman et al.,](#page-9-2) [2018;](#page-9-2) [Jain et al.,](#page-8-2) [2018\)](#page-8-2) often face challenges like dull syntax, semantical discon- tinuity [\(Wiseman et al.,](#page-9-3) [2017\)](#page-9-3) and rigorous model requirement [\(Garbacea and Mei,](#page-8-3) [2020\)](#page-8-3). Yet gener-ation with implicit constraints is more compatible

to produce authentic texts, and also in favor of **042** downstream tasks by catching hold of high-quality **043** linguistic representations. **044**

Compared with other approaches to produce tex- **045** tual content, such as those based on generative **046** adversarial networks (GANs) or plain recurrent **047** neural network (RNN), VAE is suitable for text **048** generation with implicit constraints, because its **049** flexible latent representation is capable of captur- **050** ing integral properties of input, such as style, topic, **051** [a](#page-8-4)nd high-level linguistic or semantic features [\(Fang](#page-8-4) **052** [et al.,](#page-8-4) [2019\)](#page-8-4). Nevertheless, a plain text VAE with **053** one monopolistic latent space is faced with latent **054** vacancy dilemma [\(Xu et al.,](#page-9-4) [2020\)](#page-9-4), which makes it **055** notoriously unsuitable for controllable text gener- **056** ation. By infusing side knowledge to VAE-based **057** LMs, techniques for generating desired sentences **058** are widely explored [\(Wang et al.,](#page-9-5) [2019;](#page-9-5) [Tang et al.,](#page-9-6) **059** [2019;](#page-9-6) [Rezaee and Ferraro,](#page-9-7) [2020\)](#page-9-7). **060**

However, other problems arise in practice may **061** limit the modeling capacity and empirical perfor- **062** mance of VAE-based models. KL collapse is one **063** of the major challenges that are widely concerned **064** [\(Bowman et al.,](#page-8-5) [2015\)](#page-8-5). Several approaches have **065** been devised to handle this issue, including opti- **066** [m](#page-9-9)izing decoder architectures [\(Yang et al.,](#page-9-8) [2017;](#page-9-8) [Se-](#page-9-9) **067** [meniuta et al.,](#page-9-9) [2017;](#page-9-9) [Li et al.,](#page-8-6) [2020a\)](#page-8-6), inventing aux- **068** iliary objectives [\(Zhao et al.,](#page-9-10) [2017a,](#page-9-10)[b;](#page-9-11) [Xiao et al.,](#page-9-12) **069** [2018;](#page-9-12) [Fang et al.,](#page-8-4) [2019;](#page-8-4) [Dai et al.,](#page-8-7) [2020\)](#page-8-7), novel en- **070** [c](#page-8-8)oder training schedule [\(Bowman et al.,](#page-8-5) [2015;](#page-8-5) [Fu](#page-8-8) **071** [et al.,](#page-8-8) [2019\)](#page-8-8), flexible latent code posterior [\(Wang](#page-9-5) **072** [et al.,](#page-9-5) [2019\)](#page-9-5), etc. These methods generally share a **073** same goal: to impair the ability of powerful recurrent decoder and strengthen the expression of latent **075** space. The second issue associated with a VAE to **076** generate topic-specified texts is rooted in the as- **077** sumption of its variational posterior, which usually **078** accepts a spherical Gaussian distributions with di- **079** agonal co-variance matrices. Thus the true poste- **080** rior can only be well approximated by the possible **081** variational one when it is in the exact same fam- **082**

 ily [\(Cremer et al.,](#page-8-9) [2018\)](#page-8-9). To address such plight, latent information with external help beyond only [o](#page-9-12)ne single continuous space was considered [\(Xiao](#page-9-12) [et al.,](#page-9-12) [2018\)](#page-9-12), but its training can not be regarded as end-to-end. As a fixup, methods that extract both text syntax and topic information simultaneously were proposed [\(Tang et al.,](#page-9-6) [2019\)](#page-9-6), but they suffered from an oversimplified representation in sequence component for analogous samples (i.e., isotropic Gaussian) for both hidden codes. Flexible latent modeling had also attracted attention [\(Wang et al.,](#page-9-5) [2019;](#page-9-5) [Dai et al.,](#page-8-7) [2020\)](#page-8-7), whereas it confused the text structure knowledge and topic information, which made the model less interpretable.

097 These methods (1) ignore the nature that topic- specified sentences are not analogous thus their rep- resentations are unlike to be fit in isotropic space; (2) neglect that modeling diverse topic information from scratch is harder than text sequential model- ing using RNNs, so external help for topic learning benefits; (3) may confuse topic and sequence mod- eling in a holistic continuous space, which makes them suffer from interpretability and mode collapse issues for controllable generation.

 In this paper we address these limitations and propose TA-VAE. As illustrated in Figure [1,](#page-2-0) our model essentially consists of a topic modeling part and a sequence modeling part, which equip their own continuous latent space and are both optimized based on VAE. In detail, TA-VAE discards the spherical Gaussian assumption of latent sequence component and replace its posterior with a more flexible Gaussian distribution using Householder flow. In order to maximize the utilization of coher- ent sequence latent space, we also condition the topic prior on expressive sequence posterior, which acts like a prophet in the topic learning process and brings about a leap forward on both language modeling and topic concentration level. Moreover, we estimate and maximize the mutual information between topic representations and input data to dis- till document topic knowledge, and also adjust the topic encoder as a discriminator to aggregate the topic expression.

**Contributions.** (1) We present TA-VAE, a novel approach to document topic modeling and control- lable text generation based on VAE. (2) We clearly separate topic modeling and text generation pro- cess, propose to condition the topic latent on flex- ible sequence latent distribution parametrized by Householder flow. (3) We adapt a topic discriminator and a latent mutual information term to regular- **134** ize topic learning, and further verify their effective- **135** ness in multi-tasks. (4) The overall effectiveness **136** is validated by consistently remarkable results on **137** language modeling, topic modeling, classification **138** and unsupervised style transfer tasks. Our model **139** reaches the state-of-the-art performance on text per- **140** plexity for better quality of output content, and **141** the topic latent classification accuracy for higher **142** interpretability of topic learning. **143**

#### 2 TA-VAE Methodology **<sup>144</sup>**

In this section, we will firstly introduce variational **145** auto-encoder for text generation, then the proposed **146** model. Since TA-VAE is essentially: a topic model **147** for topic recognition and a conditional encoder- **148** decoder frame for text generation, we will start **149** from these two parts and then dive into their joint **150** training stage and model enhanced components. A **151** graphic illustration of the model is in the left part **152** of Figure [1.](#page-2-0) Observed variables are in gray, while **153** unseen variables are in white. Solid lines represent **154** the inference process, dashed lines work during **155** the training process. The corresponding model **156** structure is in the right part of Figure [1.](#page-2-0) **157** 

#### 2.1 Text Variational Auto-Encoder **158**

Latent variable models (LVM) such as VAE-based **159** models aim at minimizing the average negative log **160** likelihood (NLL) of data  $X$ . They achieve this goal 161 by updating the evidence lower bound (ELBO) of **162**  $p_{\theta}(X)$ , which consists of a reconstruction loss and 163 a regularization term on latent z: **164**

<span id="page-1-0"></span>
$$
\log p(\boldsymbol{X}) \geq \mathbb{E}_{q(\boldsymbol{z}|\boldsymbol{X})} [\log p(\boldsymbol{X} \mid \boldsymbol{z})] - \mathbb{D}_{\text{KL}}(q(\boldsymbol{z} \mid \boldsymbol{X}) || p(\boldsymbol{z})). \tag{1}
$$

(1) **165**

Yet the existing LVM-related works mainly assume 166 the latent code z follows an isotropic Gaussian with **167** diagonal covariance matrix [\(Kingma and Welling,](#page-8-10) **168** [2013;](#page-8-10) [Rezende et al.,](#page-9-13) [2014;](#page-9-13) [Bowman et al.,](#page-8-5) [2015\)](#page-8-5), **169** which can only be well and truly gained on if the **170** actual latent distribution is exactly a Gaussian. This **171** hypothesis leaves huge defects when it comes to **172** modeling samples with obvious variations (e.g., **173** topic-controlled sentences). **174**

In recent years, *normalizing flow* (NF) [\(Rezende](#page-9-14) **175** [and Mohamed,](#page-9-14) [2015\)](#page-9-14) as a practical framework has **176** [b](#page-8-11)een widely employed to generative models [\(Dinh](#page-8-11) **177** [et al.,](#page-8-11) [2014;](#page-8-11) [Ziegler and Rush,](#page-9-15) [2019;](#page-9-15) [Ding and](#page-8-12) **178** [Gimpel,](#page-8-12) [2021\)](#page-8-12). By starting with a relatively simple distribution (e.g., Gaussian), it uses a series of **180**

<span id="page-2-0"></span>

Figure 1: Graphic model of (a) modeling of sequence and topic latent codes without any dependency between  $z_t$ and  $z<sub>s</sub>$  as most previous works, (b) conditional assumption between topic and sequence latent codes described in our model. (c) Model structure of TA-VAE. The overall architecture observes the Encoder-Decoder framework, which leverages two separate models for sequence and topic modeling.

 invertible functions to form the overall transforma- tion and obtain a flexible representation of data. Latent distributions parameterized with NF are no longer constrained to a specific distribution family, allowing more accurate estimation towards the data pattern. For a VAE-based generative model, the normalizing flow can be used to enrich the poste- rior of it with small or even none modifications in the architecture of the encoder and the decoder [\(Tomczak and Welling,](#page-9-16) [2016\)](#page-9-16).

#### **191** 2.2 From Texts to Topic Knowledge Learning

 Bag-of-Word (BoW) is a generally recognized in- put manner for a topic model, thus we utilize such method for our neural topic part. We define c to 195 be the corpus size, and  $d \in \mathbb{Z}_+^c$  as the BoW repre-**sentation of a document**  $\mathbf{X} = [x_1, x_2, ..., x_n]$  **with** 197 length *n*, which indicates that every document has *c*  elements with non-negative count. As in a standard latent Dirichlet allocation (LDA) model, we first assume there are T topics, and ideally each is rep- resented as one dimension of the document-level Dirichlet parameter. Although recurrent features of texts can be caught by RNNs preferably, sometimes topic knowledge is less faithful to be accurately modeled. To synchronously obtain both informa- tion from a text corpus, topic modeling component can surely benefit from some extra helps. As a result, we share the well-expressive sequential posterior from the sequence part to ease the bur- den of learning topic knowledge groundlessly for the topic component. The generative process of our topic part can then be accomplished via the

output probability of each word token, which can **213** be specified as: (1) draw  $z_s$  from the sequence 214 posterior:  $z_s \sim q(z_s|X)$ ; (2) generate topic prior 215 condition on  $z_s$ :  $p(z_t | z_s) = f_z(z_s)$ ; (3) draw 216  $z_t$  from its learned prior:  $z_t \sim p(z_t | z_s)$ ; (4) 217 generate output probability of topic words from **218** topic decoder:  $[p(y_1), ..., p(y_c)] = g(z_t)$ . Here 219  $f_z(\cdot)$  and  $g(\cdot)$  are two functions acting on  $z_s$  and 220  $z_t$  respectively,  $X$  is the original document and 221  $Y = [y_1, y_2, ..., y_c]$  is the reconstructed words 222 from topic decoder, which are non-sequential. In **223** detail, function  $f_z(\cdot)$  is implemented with a neural 224 linear layer with bias, while  $q(\cdot)$  consists of one 225 linear layer with batch normalization and a soft- **226** max function. The recovery process of topic model **227** (see Appendix [A.1.1](#page-10-0) for the complete proof) can **228** be specified as: **229**

$$
p(\boldsymbol{Y}) = \int_{z_t} \int_{z_s} p(\boldsymbol{Y}, z_s, z_t) dz_s dz_t.
$$
 (2)

To preferably depict the topic distribution of docu- **231** ments,  $z_t$  follows Dirichlet as mentioned above.  $232$ 

Since the neural topic component is constructed **233** in the fashion of VAE, the ELBO of this component **234** is in the following form: **235**

$$
\mathcal{L}_T = \mathbb{E}_{q(\boldsymbol{z}_s|\boldsymbol{X})q(\boldsymbol{z}_t|\boldsymbol{X},\boldsymbol{z}_s)} [\log(p(\boldsymbol{Y} \mid \boldsymbol{z}_t, \boldsymbol{z}_s))]
$$
  
 
$$
- \lambda_T \mathbb{E}_{q(\boldsymbol{z}_s|\boldsymbol{X})} [\mathbb{D}_{\mathrm{KL}}(q(\boldsymbol{z}_t \mid \boldsymbol{X}, \boldsymbol{z}_s)||p(\boldsymbol{z}_t \mid \boldsymbol{z}_s))],
$$
 (3)

with  $q(z_t | X, z_s)$  and  $p(z_t | z_s)$  to be the poste- 237 rior and conditional prior of  $z_t$  respectively. 238

#### **239** 2.3 From Latent Codes to Guided Text **240** Generation

 Text modeling stage can be roughly split into two phases under the framework of variational encoder- decoder, namely text recurrent feature capture and joint generation with obtained topic guidance. Re- current structure of texts is sequentially corre- lated, thus we utilize a text variational auto-encoder (textVAE) [\(Bowman et al.,](#page-8-5) [2015\)](#page-8-5) to model the se- quential features of textual sequences. To be spe-249 cific, we assign variable  $z<sub>s</sub>$  from a continuous la- tent space that follows non-isotropic Gaussian for sequential feature modeling. When it comes to con- ditional language generation, controlled LMs aim at generating attribute-specified contents, which requires applicable mix plans for topic knowledge and text sequential information. In our model, there are two moments for them to be fully integrated.

**As mentioned above, a flexible posterior of**  $z_s$ 258 is utilized as a condition for topic latent  $z_t$  update. During training, this connection not only assists topic model to learn with the help of basic sentence 261 understanding, but also pushes  $z_s$  to be updated in the direction of learned topic messages through backpropagation. For the recurrent decoder, we concatenate two obtained latent variables from sep-**arate components as the holistic code**  $z = [z_s, z_t]$  and further feed to the decoder as its direct input. **For a reconstructed document**  $\overline{X}$  **output from the**  proposed method, its probability likelihood can be calculated as follow:

$$
p(\hat{\bm{X}} \mid \bm{z}) = \prod_{i=1}^{n} p(x_i \mid x_{1:i-1}, \bm{z}) = \prod_{i=1}^{n} p(x_i \mid \bm{h_i}, \bm{z}),
$$
  
270 (4)

271 where  $h_i$  is the *i*-th hidden state of the decoder **272** RNN that satisfies  $h_i = \text{Decoder}(h_{i-1}, x_{i-1}, z)$ . **273** Overall, the ELBO of our customized sequence **274** VAE is:

<span id="page-3-0"></span>
$$
\mathcal{L}_S = \mathbb{E}_{q(\boldsymbol{z}_t, \boldsymbol{z}_s | \boldsymbol{X})} [\log(p(\boldsymbol{X} \mid \boldsymbol{z}_t, \boldsymbol{z}_s))]
$$

$$
- \lambda_S \mathbb{D}_{\text{KL}}(q(\boldsymbol{z}_s \mid \boldsymbol{X}) || p(\boldsymbol{z}_s)).
$$
(5)

**276** Note that, the ELBOs of these two separate compo-**277** nents are essentially corelative and can be rewritten **278** in a unified manner (see Appendix [A.1.2\)](#page-10-1).

### **279 2.4 Householder Flow for**  $q(z_s | X)$ **280** Approximation

281 **Endowing sequence posterior**  $q(z_s | X)$  with high **282** flexibility, so TA-VAE can not only models topic-283 specified texts but provides timely help for  $z_t$  learning. We apply a linear normalizing flow: House- **284** [h](#page-9-17)older flow [\(Tomczak and Welling,](#page-9-16) [2016;](#page-9-16) [Zhang](#page-9-17) **285** [et al.,](#page-9-17) [2018;](#page-9-17) [Wang et al.,](#page-9-5) [2019\)](#page-9-5) to leverage this **286** process. Householder flow is made up of a series **287** of *Householder transformations*. When applying **288** to distribution estimation, it is not only capable **289** of generating more flexible sequential posteriors **290** thanks to its nature as a flow, but significantly sim- **291** plifies the objective of flow-based variational meth- **292** ods. Because there stands  $\log \left| \det \frac{\partial H_k z_k - 1}{\partial z_k - 1} \right|$ for  $k \in [1, K]$ . By starting from a simple pos- $= 0$  293 terior with the full covariance matrix  $z_{s(0)}$  from 295 sequence encoder, a K-layer Householder flow is **296** inflicted to it in order to better approximate the **297** true posterior that befits various topics. The loss **298** function of our sequence part in Eq. [\(5\)](#page-3-0) should be **299** modified as:  $300$ 

$$
\mathbb{E}_{q(\boldsymbol{z}_t, \boldsymbol{z}_{s(0)}|\boldsymbol{X})} [\log(p(\boldsymbol{X} \mid \boldsymbol{z}_t, \boldsymbol{z}_{s(\boldsymbol{K})}))]
$$
  
 
$$
- \lambda_S \mathbb{D}_{\text{KL}}(q(\boldsymbol{z}_{s(0)} \mid \boldsymbol{X}) || p(\boldsymbol{z}_{s(\boldsymbol{K})})).
$$
 (6)

(6) **301**

Though we only use flow to directly produce se- **302** quence posterior, the approximation method is also **303** conducive to the topic latent  $z_t$  due to its condi-  $304$ tional assumption on  $z_s$ . Note that, distinct from  $305$ TGVAE [\(Wang et al.,](#page-9-5) [2019\)](#page-9-5), which also utilizes **306** Householder flow but does not divide topic and **307** sequence modeling and requires Gaussian mixture **308** model (GMM) to parameterize the hidden space, **309** our method is more simple and effective to employ **310** (check Section [3.3](#page-5-0) for experimental results). A de- **311** tailed introduction about flow-based VAE models **312** is in Appendix [A.2.](#page-11-0) **313**

# 2.5 Topic-Aware Objectives **314**

#### 2.5.1 Discriminator **315**

In the explicit manner, we expect the generated sen- **316** tences could approach to the input texts in terms **317** of topic representation as much as possible. We **318** resort to a discriminator that is similar to the one **319** described in [Tang et al.](#page-9-6) [\(2019\)](#page-9-6) to fulfill this goal. **320** Formally, we re-input the output from our gener- **321** ative scheme  $\hat{X}$  to the topic modeling part. The  $322$ updated objective of our discriminator setting is: **323**

$$
\mathcal{L}_D = \mathbb{E}_{p(\boldsymbol{z}_s)p(\boldsymbol{z}_t)} \left[ \log q(\boldsymbol{z}_t \mid \boldsymbol{\hat{X}}) \right]. \tag{7}
$$

However, topic discriminator in [Tang et al.](#page-9-6) [\(2019\)](#page-9-6) **325** transfers tokens by word embedding and inevitably **326** demands the same size between the hidden layers **327** of topic encoder and word embedding, instead, we **328** employs the BoW input as the embedding from **329** topic encoder to avoid such dilemma. **330**

<span id="page-4-0"></span>

Model	<b>APNEWS IMDB</b>		BNC	PTB
LSTM LM	64.13	72.14	102.89	116.2
<b>LSTM+LDA</b>	57.05	69.58	96.42	
<b>Topic-RNN</b>	56.77	68.74	94.66	97.3
<b>TDLM</b>	53.00	63.67	87.42	
<b>LSTM VAE</b>	75.89	86.16	105.10	96.0
VAE+HF	71.60	83.67	104.82	
<b>TCNLM</b>	52.75	63.98	87.98	
<b>TGVAE</b>	48.73	57.11	87.86	
<b>DVAE</b>				33.4
<b>TATGM</b>	47.23	52.01	80.78	
rGBN-RNN	42.71	51.36	79.13	
VRTM	47.78	51.08	86.33	55.82
iVAE				53.44
<b>APo-VAE</b>				53.02
Ours ↓	36.35	36.53	76.34	27.25

Table 1: Text quality analysis in terms of text perplexity (*PPL*). All topic language models remain the same topic latent size (if available) of 50.

<span id="page-4-1"></span>

Dataset   $F=0$ $F=5$ $F=10$ $F=20$			
<b>IMDB</b>   52.01 37.48 36.53 35.75			
	<b>PTB</b> $\begin{array}{ l} 49.06 \quad 27.40 \quad 27.25 \quad 26.94 \end{array}$		

Table 2: *PPL* of our models on test set with various number of flow layers (represented by F).

#### **331** 2.5.2 Mutual Information Maximization

 Inspired by infoVAE [\(Zhao et al.,](#page-9-10) [2017a\)](#page-9-10), which adds a mutual information (MI) term between la- tent codes for direct output  $(z<sub>s</sub>)$  and the input data  $(X)$  to avoid vanished representations, we encourage the model to explicitly maximize the MI term between input data and the conditioned 338 topic latent code (instead of  $z<sub>s</sub>$  for direct textual 339 output)  $I(X; z_t | z_s)$ . Maximizing such MI term between observed data and conditioned topic la- tent can be factored into two items related to KL 342 divergence  $\mathbb{D}_{\text{KL}}(q(\mathbf{z_t} \mid \mathbf{X}, \mathbf{z_s}) || p(\mathbf{z_t} \mid \mathbf{z_s}))$  and  $\mathbb{D}_{\text{KL}}(q(\mathbf{z_t} \mid \mathbf{z_s}) || p(\mathbf{z_t} \mid \mathbf{z_s})).$  A detailed proof can be found in Appendix [A.1.3.](#page-10-2) Finally, we can rewrite the holistic ELBO of the proposed model into an equivalent form:

$$
\mathcal{L}_{\text{info}} = \mathbb{D}_{\text{KL}}(q(\mathbf{z_t} \mid \mathbf{z_s}) || p(\mathbf{z_t} \mid \mathbf{z_s})),
$$
  

$$
\mathcal{L} = \mathcal{L}_S + \mathcal{L}_T + \lambda_D \mathcal{L}_D - \lambda_{\text{info}} \mathcal{L}_{\text{info}},
$$
 (8)

348  $\lambda_D$  and  $\lambda_{\text{info}}$  are weights of the discriminator loss **349** and mutual information loss severally.

#### 3 Experimental Results and Analysis **<sup>350</sup>**

#### 3.1 Datasets **351**

We conduct our experiments on five publicly avail-<br>352 able datasets (APNEWS, IMDB, BNC, PTB and **353** Yelp15). Details are listed in Appendix [A.3.1.](#page-11-1) 354

#### 3.2 Baselines **355**

In our experiments, we compare against baseline **356** methods that mostly consider both topic and syn- **357** tax information into generation: **358**

Language model (LM) based methods: LSTM **359** LDA is a LSTM language model with learned LDA **360** representations infuses into its hidden states. Topic- **361** RNN [\(Dieng et al.,](#page-8-13) [2016\)](#page-8-13) blends topic distribution **362** from an LDA component using gate mechanism, **363** and trains jointly with the language model. TDLM **364** [\(Lau et al.,](#page-8-14) [2017\)](#page-8-14) employs a convolutional network **365** for topic model and also concatenates it with hid- **366** den states of RNN. rGBN-RNN [\(Guo et al.,](#page-8-15) [2020\)](#page-8-15) **367** brings a gamma belief network as a topic model, **368** infuses learned topic information into RNN to im- **369** prove model capability. **370** 

VAE-based methods: TCNLM [\(Wang et al.,](#page-9-18) **371** [2018\)](#page-9-18) utilizes a neural topic model based on the **372** VAE paradigm, and a multiple experts network to **373** generate texts. TGVAE [\(Wang et al.,](#page-9-5) [2019\)](#page-9-5) con- **374** sists of the same topic model of TCNLM, but a  $375$ textVAE with Gaussian mixture prior and a House- **376** holder flow to approximate its posterior. DVAE  $377$ [\(Xiao et al.,](#page-9-12) [2018\)](#page-9-12) incorporates an external LDA **378** model to improve textVAE. TATGM [\(Tang et al.,](#page-9-6) **379** [2019\)](#page-9-6) applies multivariant Gaussian for both topic **380** and sequence latent codes, and concatenates them **381** for generation. VRTM [\(Rezaee and Ferraro,](#page-9-7) [2020\)](#page-9-7) **382** blends RNN hidden state with a binary vector sign **383** to judge topic expression. iVAE [\(Fang et al.,](#page-8-4) [2019\)](#page-8-4) **384** parameterizes hidden space with sample method **385** and replace KL divergence with mutual informa- **386** tion. APo-VAE [\(Dai et al.,](#page-8-7) [2020\)](#page-8-7) makes the latent **387** space a Riemannian manifold with learnable prior **388** and posterior. Note that, both iVAE and APo-VAE **389** only equip latent codes for sequence modeling. **390**

Though VAE-based models with mighty en- **391** coder/decoder (i.e., pre-trained language models **392** such as GPT-2 [\(Radford et al.,](#page-9-19) [2019\)](#page-9-19)) are recently **393** [e](#page-8-6)xplored and show optimistic empirical results [\(Li](#page-8-6) **394** [et al.,](#page-8-6) [2020a;](#page-8-6) [Fang et al.,](#page-8-16) [2021\)](#page-8-16), they are not suit- **395** able for being baseline candidates because they nei- **396** ther derive topic latent space nor use RNN-based **397** decoder trained from scratch for generation (fine- **398** tuning two large pre-trained language models based **399**

<span id="page-5-1"></span>

<b>Methods</b> <b>Metrics</b>			<b>APNEWS</b>			<b>IMDB</b>		<b>BNC</b>			<b>PTB</b>		
		$B-2$	$B-3$	$B-4$	$B-2$	$B-3$	$B-4$	$B-2$	$B-3$	$B-4$	$B-2$	$B-3$	<b>B-4</b>
	<b>VAE</b>	0.564	0.278	0.192	0.597	0.315	0.219	0.479	0.266	0.169	0.5215	0.3633	0.2642
	VAE+HF	0.570	0.279	0.195	0.610	0.322	0.221	0.483	0.270	0.169	0.5565	0.3616	0.2529
	$TGVAE(T=10)$	0.584	0.327	0.202	0.621	0.357	0.223	0.518	0.283	0.173			
	$TGVAE(T=30)$	0.627	0.335	0.207	0.655	0.369	0.243	0.528	0.291	0.182			
test-BLEU <sup>+</sup>	$TGVAE(T=50)$	0.629	0.340	0.210	0.652	0.372	0.239	0.535	0.290	0.188			
	$Ours(T=10)$	0.6512	0.3862	0.2358	0.7202	0.4505	0.2470	0.6997	0.5947	0.4934	0.6824	0.4847	0.3564
	$Ours(T=30)$	0.6434	0.3776	0.2374	0.7037	0.4347	0.2566	0.6791	0.5473	0.4502	0.6705	0.4779	0.3438
	$Ours(T=50)$	0.6757	0.3983	0.2432	0.7542	0.4753	0.2755	0.7681	0.6610	0.5672	0.6924	0.5076	0.3733
	Ours $w/o$ Dis $(T=50)$	0.6596	0.4100	0.2497	0.7447	0.4637	0.2678	0.7316	0.6234	0.5292	0.6484	0.4587	0.3297
	<b>VAE</b>	0.2166	0.3491	0.3071	0.1843	0.3394	0.3364	0.2273	0.3448	0.2812	0.2033	0.4055	0.3843
	VAE+HF	0.2077	0.3439	0.3121	0.1689	0.3363	0.3401	0.2242	0.3456	0.2809	0.2174	0.4292	0.3692
	$TGVAE(T=10)$	0.2524	0.3916	0.3248	0.1883	0.3872	0.3446	0.2571	0.3645	0.2874			
	$TGVAE(T=30)$	0.2904	0.4081	0.3324	0.2441	0.4014	0.3693	0.2837	0.3750	0.2998			
<b>BLEU-F1</b> <sup>+</sup>	$TGVAE(T=50)$	0.2942	0.4124	0.3368	0.2544	0.4036	0.3651	0.2985	0.3751	0.3079			
	$Ours(T=10)$	0.3720	0.4088	0.3362	0.3193	0.4265	0.3501	0.2875	0.3299	0.3513	0.3233	0.3998	0.4027
	$Ours(T=30)$	0.4007	0.4268	0.3484	0.3371	0.4337	0.3642	0.2933	0.3564	0.3845	0.3562	0.4350	0.4168
	$Ours(T=50)$	0.3813	0.4281	0.3487	0.3272	0.4415	0.3809	0.3358	0.3725	0.3989	0.3459	0.4246	0.4241
	Ours $w/o$ Dis $(T=50)$	0.3842	0.4228	0.3490	0.3148	0.4310	0.3709	0.3284	0.3653	0.3850	0.3287	0.4093	0.3986

Table 3: Text quality analysis in terms of *test*-BLEU and BLEU-F1 score. T is the topic number.

<span id="page-5-2"></span>

<b>Methods</b>	<b>APNEWS</b>	<b>IMDB</b>	<b>BNC</b>	<b>PTB</b>	Yelp15
LDA	0.125	0.084	0.106	0.118	0.087
<b>TDLM</b>	0.149	0.104	0.102		
<b>Topic-RNN</b>	0.134	0.103	0.102		
<b>TCNLM</b>	0.159	0.106	0.114		
<b>TGVAE</b>	0.157	0.105	0.113		
<b>TATGM</b>	0.171	0.121	0.115		0.114
Ours	0.159	0.099		0.148	0.135
Ours w/o Dis	0.155	0.092	0.109	0.130	0.123
Ours w/o $\mathcal{L}_{\text{info}}$	0.165	0.084	0.118	0.142	0.127

Table 4: NPMI scores for topic coherence evaluation.

 on VAE requires vast amount of resources). Among all forementioned baselines, the rGBN-RNN model performs currently the best in terms of text quality metrics, and the TATGM model reaches state-of-the-art values on metrics about topic coherence.

#### <span id="page-5-0"></span>**405** 3.3 Evaluations and Analysis

#### **406** 3.3.1 Text Perplexity

 One important role our model plays is language model. For any language model, quality of its gen- erated sentences is of priority. We adopted text per- plexity (PPL) to evaluate the model at the content level (whether the content is relevant and grammati- cal). The perplexity values of the baselines and our TA-VAE across four evaluation sets are shown in Table [1.](#page-4-0) We also present experiments demonstrat- ing the performance of our methods with different layer settings in Table [2.](#page-4-1) From these tables, (1) TA- VAE outperforms other baselines across all bench- mark datasets; (2) Householder flow in sequence latent level improves the PPL value by over 10 absolute points on both IMDB and PTB. Besides, with the increase of flow layers, the PPL value 421 gradually decrease; (3) Our models without flow **422** parametrization can still reach competitive PPL re- **423** sults on IMDB and PTB compared with baselines, **424** which yields convincing effectiveness of the model 425 design. The flow layer number was chosen to 10 **426** for the rest experiments, more discussions are in **427** Appendix [A.5.1.](#page-15-0) **428**

#### 3.3.2 BLEU **429**

Following [Wang et al.](#page-9-5) [\(2019\)](#page-9-5); [Guo et al.](#page-8-15) [\(2020\)](#page-8-15), **430** we used *test*-BLEU to evaluate the quality of gen- **431** erated sentences with a set of texts from the test **432** sets as reference, and *self*-BLEU to evaluate the **433** diversity of generated contents [\(Zhu et al.,](#page-9-20) [2018\)](#page-9-20). **434** It is well known that, there intrinsically exists a **435** trade-off between text quality and text diversity. **436** Motivated by [Gu et al.](#page-8-17) [\(2018\)](#page-8-17); [Li et al.](#page-8-18) [\(2020b\)](#page-8-18), we **437** proposed to employ BLEU-F1 score to evaluate the **438** overall metric involving text quality and diversity **439** simultaneously:  $440$ 

$$
BLEU-F1 = \frac{2 \times test-BLEU \times (1 - self-BLEU)}{test-BLEU + (1 - self-BLEU)}.
$$
\n(9)

(9) **441**

For the baseline methods, three VAE-based topic **442** language models were selected, among which **443** VAE+HF and TGVAE are two systems utilizing **444** Householder flow like the proposed TA-VAE does. **445** Since BLEU-related indexes require specific word **446** output and comparison, we believe the discrimina- **447** tor can play a more important role in this process, **448** because it is optimized on the word-token-level, we **449** report model performances with or without it. For- **450**

<span id="page-6-0"></span>

Models	<b>APNEWS</b>	<b>IMDB</b>	<b>BNC</b>	PTB
LDA VB $(T=10)$	$2.29*$	$2.29*$	$2.30*$	1.75
$VRTM(T=10)$	$2.15*$	$1.56*$	1.76*	1.70
Ours(T=10) $\downarrow$	1.32	1.46	1.59	1.46
LDA VB $(T=30)$	$3.39*$	$3.39*$	$3.39*$	2.91
$VRTM(T=30)$	2.82	2.98	2.88	2.77
Ours(T=30) $\downarrow$	2.57	2.73	2.68	2.84
LDA VB $(T=50)$	$3.90*$	$3.90*$	$3.90*$	3.53
$VRTM(T=50)$	3.30	3.40	3.39	3.34
Ours $(T=50)$	3.01	3.26	3.13	3.25
Ours(T=50) w/o Dis $\downarrow$	3.00	3.32	3.17	3.28
Ours(T=50) w/o $\mathcal{L}_{info} \downarrow$	3.02	3.30	3.15	3.26
Ours $(T=50)$ w/o HF	3.25	3.40	3.31	3.32

<span id="page-6-1"></span>Model  $z_t$   $z_s$   $z$ **VAE** N/A N/A 27.2 LDA N/A N/A 30.44  $DVAE$   $N/A$   $N/A$   $42.4$ TATGM 34.36 35.37 46.03 **Ours(T=10)**  $43.81 \pm 0.78$   $46.97 \pm 0.29$   $47.28 \pm 0.58$ **Ours(T=30)**  $45.28 \pm 0.85$   $46.56 \pm 0.48$   $47.81 \pm 0.47$  $\overline{\text{Ours}}(T=50)$  46.25 $\pm$ 0.59 48.09 $\pm$ 0.38 48.75 $\pm$ 0.42 Ours(T=50) w/o Dis 47.09±0.27 46.56±0.84 48.06±0.84 Ours(T=50) w/o  $\mathcal{L}_{info}$  43.22 $\pm$ 0.45 45.69 $\pm$ 0.63 47.12 $\pm$ 1.13

Table 6: Latent classification accuracy on Yelp15. N/A means not applicable for the current method.

Table 5: Inferred document topic entropy. Statistics with  $*$  are from [Rezaee and Ferraro](#page-9-7) [\(2020\)](#page-9-7).

 mally, we carried out all the BLEU-related experi- ments using benchmark tool Texygen [\(Zhu et al.,](#page-9-20) [2018\)](#page-9-20). From the *test*-BLEU and BLEU-F1 scores in Table [3,](#page-5-1) we could see that our TA-VAE model is superior to the baselines in terms of BLEU-F1 as well as *test*-BLEU in most cases, and the dis- criminator is a strong performer in improving text quality (higher *test*-BLEU values in all circum- stances). Moreover, values of TA-VAE on BLEU- F1 change much smoother than others from B-2 to B-3. One possible reason is that TA-VAE pro- duces more coherent texts (under the framework of n-gram language model) than other baselines do. The full statistics, discussions, experimental settings are available in Appendix [A.5.2.](#page-15-1)

#### **466** 3.3.3 Normalized PMI

 [Chang et al.](#page-8-19) [\(2009\)](#page-8-19) argued that metrics for text quality (e.g., PPL, BLEU) are not suitable for mea- suring topic inference ability due to its low correla- tion with attribute knowledge. Hence we followed [Lau et al.](#page-8-14) [\(2017\)](#page-8-14) and tested our topic model using normalized PMI (NPMI). Detailed setup can be found in Appendix [A.3.5.](#page-14-0) The numbers of topics remained 50 among all baselines. The flow layer number was 10 for all TA-VAE models. From Ta- ble [4,](#page-5-2) we find that the discriminator gives more **improvement than**  $\mathcal{L}_{\text{info}}$  **does. It is because NPMI**  calculation requires explicit topic word outputs, which indicates that discriminator is more adept at. While informative penalty is an implicit optimized **proposal, that is,**  $\mathcal{L}_{info}$  **helps reinforce the topic**  model in the latent spaces with more efficiency than the direct output of topic modeling part.

**484** Though the primary goal of the proposed model **485** is to generate sentences with matching attributes in-**486** stead of topic words production [\(Wang et al.,](#page-9-5) [2019\)](#page-9-5). Our model exhibits competitive scores compared **487** with baselines. In result, the topic modeling component as an independent topic model to be a side **489** product of our model is qualified. 490

#### 3.3.4 Document-Level Topic Entropy **491**

Topic entropy [\(Rezaee and Ferraro,](#page-9-7) [2020\)](#page-9-7) reflects **492** the concentration degree of a topic model. By cal- **493** culating the entropy value of the topic latent rep- **494** resentations, we can obtain the focus intensity of **495** the topic modeling part with different documents. **496** The lower entropy is, the less topics a topic model 497 infers for one document, i.e., the higher concentra- **498** tion level for one script. From Table [5,](#page-6-0) we find that **499** our model performs well among different baselines. **500** Besides, both advanced objectives make efforts to **501** form the topic modeling component a more dedi- **502** cated one. To verify the validity of conditioning  $z_t$  503 on expressive  $z_s$ , we additionally display topic en-  $504$ tropy value without flow approximation. It is very **505** obvious that, flexible  $z_s$  largely prompts topic ex-  $506$ pression of the model. All in all, these make clear **507** that TA-VAE is competent to provide consistent **508** and accurate topic analyses. **509** 

#### 3.3.5 Latent Codes Classification **510**

Do latent codes really distinguish different text **511** attributes? To answer that question, we conducted **512** a supervised classification task on latent variables **513** of various types on Yelp15. Higher the accuracy is, **514** more precise topic guidance TA-VAE captures. **515**

Specific experimental setting can be found in  $516$ Appendix [A.3.6.](#page-14-1) From Table [6](#page-6-1) we can draw the 517 following conclusions: firstly, the proposed TA- **518** VAE model under different settings takes top posi- **519** tions regarding to the test accuracy, which demon- **520** strates the advantage of our model to learn attribute **521** knowledge from its latent spaces. Secondly, both **522** topic-aware objectives contribute to distinct senti- **523**

<span id="page-7-1"></span>

#1	#2	#3	#4	#5	#6	#7	#8	#9
gay	1raq	57-year	plane	tea	rain	deputies	mark	museum
marriage	soldier	19-year	crashed	gop	rains	deputy	staff	art
anti	svria	collision	miles	nomination	snow	commissioners	clinton	festival
ruling	troops	$21$ -year	wildfire	democrat	unemployment	maricopa	lead	music
congress	torces	tractor	engine	challenger	storms	patrol	elections	ZOO

Table 7: Top-5 topic words from nine topics generated by 50 topic TA-VAE models on APNEWS (cherry-picked).

<span id="page-7-0"></span>Int. 1 • ok. the waiter was rude to us, we did n't know what we wanted to do with our food ... we were told that they were not busy at all<br>•very disappointing

- Int. 2 •very disappointing . the only thing that was not the best thing about this place is that they do n't care about the quality of the food !!! we were not impressed with the service, food was bad, service was horrible •not very disappointed . the only thing that was not the best thing about this place is that they do n't care about
- Int. 3 the quality of the food ! ! ! we were not impressed with the service , food was good , service was horrible . we . will be back to try their  $\langle$ unk>
- Int. 4 •not bad . the food was not bad , we had to ask for the <unk>sauce . we were told that they were not only to be able to get our food to be delivered . we were told that they were n't even busy , but we were not impressed with the service . we will be back to try this place again !
- Int. 5 •not bad . the food was not bad , but the <unk>was not too salty . we were told that they were n't even able to get our food to be delivered to the kitchen . we were told that they were n't even busy . we had a great time to go to this place , the service was great !
- Int. 6 •not bad at all ! the food was not bad at all ! the only thing i would say was that the service was great . we were greeted by the owner and he was very friendly and helpful . we will be back for sure . •not sure what i wanted to say about this place but the service was great . we were in the area for a few minutes

Int. 7 and they were very nice . they were very friendly and helpful . i would recommend this place to anyone who likes the <unk> .

- Int. 8 this place is amazing and the breakfast is delicious and the staff is very friendly . i will be back
- Int. 9 •this starbucks is my favorite breakfast spot, i have been to a few times . i have a good time and i have a good

time . the coffee is very good and the staff is very friendly . i will be back .

Table 8: Text style transfer generation from **negative** to **positive** by traversing learned topic representation.

 ments in sentences, but the implicit informative penalty devotes more, which can be ascribed to the direct devotion in latent spaces of  $\mathcal{L}_{info}$ . Moreover, statistics with only topic latent codes are sometimes inferior to accuracy inferred from se- quence latent representations. We argue that, since labels in Yelp15 dataset are specified as sentiment attributes, a positive sentence may only differ from a negative sentence by several non-topic words (i.e., "happy" and "not happy"), which is more correlated with the sequential expression. Finally, different topic numbers give different outcomes. Models with 50 topic numbers reach the highest accuracy in three settings. While results with only topic rep- resentations get improved with the increase of topic numbers, results with only sequence latent seem to be less effected in this process. This can be natu- rally explained as a greater information capacity of z<sub>t</sub> with a larger topic number.

### **543** 3.3.6 Sentiment Transfer & Topic Words **544** Generation

 We expect each dimension of the latent representa- tions derives a topic in texts. As a result, we con- ducted sentence generation tasks via latent traversal and interpolation to demonstrate the capability of learned knowledge of TA-VAE. As shown in Table

[8,](#page-7-0) there is a sentiment transformation from nega- **550** tive to positive by traversing latent codes. Adjacent **551** sentences share a similar context structure while **552** gradually converted sentiment, that is to say, by **553** manipulating expressive learned latent spaces, we **554** could obtain effective implicit guidance for context **555** generation while maintaining consistent structure. **556** More textual examples are presented in Appendix **557** [A.4](#page-14-2) due to the page length limit. Besides, we also **558** selected 9 dimensions in the topic representation, 559 and printed the top-5 topic words in Table [7.](#page-7-1) **560** 

#### 4 Conclusion **<sup>561</sup>**

We have proposed an unsupervised conditional text 562 generation model TA-VAE, with theoretical justifi- **563** cation on feasibility and remarkable empirical per- **564** formance. TA-VAE proves a better generalization **565** ability for language modeling with learned topic **566** guidance based on the efficient latent dependency **567** assumption and inference method of Householder **568** flow. More importantly, TA-VAE demonstrates its **569** superiority on validating the effectiveness of topic **570** enhanced modifications with promising results in **571** related tasks, and it can further derive meaningful **572** learning representations to guide text generation. **573**

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#### **<sup>788</sup>** A Appendix

#### **789** A.1 Proofs

 We do the mathematical proof of reconstruction process in the topic modeling part, decomposition 792 of  $I(X; z_t | z_s)$  and the separation of KL diver-gence of two modeling parts in this section.

### <span id="page-10-0"></span>**794** A.1.1 Reconstruction Process in the Topic **795** Modeling Part

796 We assume X is the input text data,  $\alpha$  is the document-level topic parameter, Y is the output of the topic modeling component. Then the recon-struction of topic modeling part is:

$$
p(\mathbf{X} \mid \boldsymbol{\alpha}) = p(\mathbf{Y}) =
$$
\n
$$
\int_{z_t} \int_{z_s} p(z_t) \left( \prod_{i=1}^m p(y_i \mid z_t) p(z_t \mid z_s) p(z_s) \right) dz_s dz_t
$$
\n
$$
= \int_{z_t} \int_{z_s} p(z_t) \left( \prod_{i=1}^m p(y_i, z_s \mid z_t) \right) dz_s dz_t
$$
\n
$$
= \int_{z_t} \int_{z_s} p(z_t) p(\mathbf{Y}, z_s \mid z_t) dz_s dz_t
$$
\n
$$
= \int_{z_t} \int_{z_s} p(\mathbf{Y}, z_s, z_t) dz_s dz_t
$$
\n
$$
= \int_{z_t} \int_{z_s} p(\mathbf{X}, z_s, z_t \mid \boldsymbol{\alpha}) dz_s dz_t,
$$
\n(10)

 The relation between **X** and **Y** is  $Y = X \mid \alpha$ . The second equation above can stand because of the approximation method of the marginal probability of a word in documents:  $p(y_i \mid z_t)p(z_t \mid$  $z_{\bf s}$ ) $p(z_{\bf s}) = p(y_i \mid z_{\bf t}) p(z_{\bf t}, z_{\bf s}) = p(y_i, z_{\bf s} \mid z_{\bf t}).$ 

#### <span id="page-10-1"></span>**806** A.1.2 From the Overall KL to Separate 807 **Modes**

 We will give a more intuitive explanation of the derivation of KL terms from separate modeling component (sequence and topic) in TA-VAE. The overall KL term of TA-VAE model under the paradigm of two VAEs can be modeled as:

$$
\mathbb{D}_{KL}(q(\boldsymbol{z_t}, \boldsymbol{z_s} \mid \boldsymbol{X}) || p(\boldsymbol{z_t}, \boldsymbol{z_s})), \qquad (11)
$$

 where we treat two different latent representations as one and calculate its regularization penalty using KL divergence. However, Eq.[\(11\)](#page-10-3) can be factorized into two terms with regard to sequence and topic latents respectively, that is: 818

$$
\mathbb{D}_{KL}(q(z_t, z_s | \mathbf{X}) || p(z_t, z_s))
$$
\n
$$
= q(z_t, z_s | \mathbf{X}) \log [q(z_t, z_s | \mathbf{X})] - \log [p(z_t, z_s)]
$$
\n
$$
= q(z_t, z_s | \mathbf{X}) \log \left[ \frac{q(z_t, z_s, \mathbf{X})}{q(z_s, \mathbf{X})} \cdot \frac{q(z_s, \mathbf{X})}{q(\mathbf{X})} \right]
$$
\n
$$
- q(z_t, z_s | \mathbf{X}) \log \left[ \frac{p(z_t, z_s)}{p(z_t)} \cdot p(z_t) \right]
$$
\n
$$
= q(z_t, z_s | \mathbf{X}) \{ \log [q(z_t | z_s, \mathbf{X})] - \log [p(z_t | z_s)] \}
$$
\n
$$
+ q(z_s | \mathbf{X}) \{ \log [q(z_s | \mathbf{X})] - \log p(z_s) \}
$$
\n
$$
= q(z_s | \mathbf{X}) q(z_t | z_s, \mathbf{X}) \log \frac{q(z_t | z_s, \mathbf{X})}{p(z_t | z_s)}
$$
\n
$$
+ q(z_s | \mathbf{X}) \log \frac{q(z_s | \mathbf{X})}{p(z_s)}
$$
\n
$$
= \mathbb{E}_{q(z_t | \mathbf{X})} [\mathbb{D}_{KL}(q(z_t | \mathbf{X}, z_s) || p(z_t | z_s))]
$$
\nKL Term in Topic Modeling Component\n+
$$
\mathbb{D}_{KL}(q(z_s | \mathbf{X}) || p(z_s))
$$
.\nKL Term in Sequence Modeling Component\n(12)

The third equation can stand because we replace **820**  $q(z_t, z_s | X)$  with  $q(z_s | X)$  in the second term 821 for the third equation. At last, we discover that the **822** overall KL term of the system is well approximated **823** by two distinct KL penalties related to components **824** in TA-VAE model. **825**

## <span id="page-10-2"></span>**A.1.3** Decomposition of  $I(X; z_t | z_s)$  826

To avoid inferring meaningless latent representa- **827** tions with regard to the true data  $X$ , we add a  $828$ mutual information maximization term between **829**  $X$  and topic latent code  $z_t$ . In practice, topic la- **830** tent space is conditioned on sequence latent rep- **831** resentation  $z_s$  in TA-VAE setup. So we calculate  $832$  $I(X; z_t | z_s)$  instead. 833

<span id="page-10-4"></span><span id="page-10-3"></span>
$$
I(X; z_t | z_s)
$$
\n
$$
= \int_X \int_{z_t} q((z_t | z_s), X) \log \frac{q((z_t | z_s), X)}{q(z_t | z_s)q(X)} dz_t dX
$$
\n
$$
= \int_X \int_{z_t} q(z_t | z_s, X) p(X) \log \frac{q(z_t | z_s, X)}{q(z_t | z_s)} dz_t dX
$$
\n
$$
= \int_X \int_{z_t} q(z_t | z_s, X) p(X) \left[ \log \frac{q(z_t | z_s, X)}{p(z_t | z_s)} \right] dz_t dX
$$
\n
$$
- \int_X \int_{z_t} q((z_t | z_s), X) \left[ \log \frac{q(z_t | z_s)}{p(z_t | z_s)} \right] dz_t dX
$$
\n
$$
= \mathbb{E}_{p(X)} \left[ \int_{z_t} q(z_t | z_s, X) \left[ \log \frac{q(z_t | z_s, X)}{p(z_t | z_s)} \right] dz_t \right]
$$
\n
$$
- \int_{z_t} q(z_t | z_s) \left[ \log \frac{q(z_t | z_s)}{p(z_t | z_s)} \right] dz_t
$$
\n
$$
= \mathbb{E}_{p(X)} \left[ \mathbb{D}_{KL}(q(z_t | X, z_s) || p(z_t | z_s)) \right]
$$
\n
$$
- \mathbb{D}_{KL}(q(z_t | z_s) || p(z_t | z_s)). \tag{13}
$$

(13) **834**

 The whole continued equality can stand because we make the following assumption: we assume the observed data X has no direct impact on 838 latent variable  $z_s$ , which can explain the sec- ond decomposition equation. This is also the main reason for adding the auxiliary mutual in- formation maximization between observed data and latent codes for effective inference. Be- sides, we approximate KL term in topic modeling **part**  $\left(\mathbb{E}_{q(\boldsymbol{z_t}|\boldsymbol{X})}\left[\mathbb{D}_{\text{KL}}(q(\boldsymbol{z_t} \mid \boldsymbol{X}, \boldsymbol{z_s})\| p(\boldsymbol{z_t} \mid \boldsymbol{z_s}))\right]\right)$  by the first KL penalty in the last equation from Eq.[\(13\)](#page-10-4), which helps upgrade the holistic model ELBO in a uniform way. Finally the holistic ELBO of TA-VAE model is

849  

$$
\mathcal{L}_{\text{info}} = \mathbb{D}_{\text{KL}}(q(\mathbf{z_t} \mid \mathbf{z_s}) \| p(\mathbf{z_t} \mid \mathbf{z_s})),
$$

$$
\mathcal{L} = \mathcal{L}_S + \mathcal{L}_T + \lambda_D \mathcal{L}_D - \lambda_{\text{info}} \mathcal{L}_{\text{info}}.
$$
(14)

**850**

<span id="page-11-0"></span>**851** A.2 Introduction of Flow-based VAE and

# **852** Householder Transformation

**853** A.2.1 Flow-based VAE

**854** [I](#page-9-14)n recent years, *normalizing flow* (NF) [\(Rezende](#page-9-14) **855** [and Mohamed,](#page-9-14) [2015\)](#page-9-14) as a practical framework to **856** approximate flexible posterior distributions by start-

 ing with a relatively simple one (e.g., Gaussian) has been widely employed to generative models [\(Dinh et al.,](#page-8-11) [2014,](#page-8-11) [2016\)](#page-8-20). Formally, given an ini-860 tial distribution  $\mathcal{D}_0$  and a data point  $z_0 \sim \mathcal{D}_0$ , we aim to find the true and complex distribution  $\mathcal{D}_K$  of data by orienting a specific variable  $z_K$ from it. This process should be accomplished

# **864** by an invertible and intuitively complex function 865  $f(\cdot)$ , such that  $f(z_0) = z_K$ . To build the pow-866 erful modeling function  $f(\cdot)$ , a series of invert-867 ible transformations  $F = \{f_i\}_{i=1}^K$  are stacked 868 into a chain and applied on  $z_0$ . Methodologically, 869 they play the same role as  $f(\cdot)$  with  $\mathcal{D}_0$ , that is: 870  $f(z_0) = z_K \triangleq f_K(...f_2(f_1(z_0)))$ . The last it-871 erate gives a random variable  $z_K$  with more flex-**872** ibility. For a VAE-based generative model, the **873** normalizing flow can be used to enrich the poste-

 Constant invertible transformations on a data point are equivalent to coordinate changes of the system. As a result, once we choose the transforma- tion f(·) for which the Jacobian-determinant can be computed, the training objective from Eq. [\(1\)](#page-1-0)

**874** rior of it with small or even none modifications in **875** the architecture of the encoder and the decoder.

should be refactored as follow: **881** 

$$
\log p(\boldsymbol{X})
$$
\n
$$
\geq \mathbb{E}_{q(\boldsymbol{z_0}|\boldsymbol{X})} \left[ \log p(\boldsymbol{X} \mid \boldsymbol{z_K}) + \sum_{k=1}^{K} \log \left| \det \frac{\partial f_k}{\partial \boldsymbol{z_{k-1}}} \right| \right]
$$
\n
$$
- \mathbb{D}_{\text{KL}}(q(\boldsymbol{z_0} \mid \boldsymbol{X}) \|\boldsymbol{p}(\boldsymbol{z_k})), \tag{15}
$$

here the original latent code  $z$  is replaced by  $z_K$ , 883 which is more competent to build a flexible posterior distribution. **885**

#### A.2.2 Householder Transformation **886**

The *Householder transformation* [\(Householder,](#page-8-21) **887** [1958\)](#page-8-21) is defined as follows. For a given vector **888**  $z_{k-1}$ , the reflection hyperplane can be defined by 889 a vector  $v_k \in \mathbb{R}^n$  (also known as *Householder vec-* 890 *tor*), which is orthogonal to the hyperplane. Then 891 the reflection of  $z_{k-1}$  to  $z_k$  regard to the hyper- 892 plane can be described as [\(Tomczak and Welling,](#page-9-16) **893** [2016\)](#page-9-16): **894**

$$
\boldsymbol{z_k} = \boldsymbol{H_k} \cdot \boldsymbol{z_{k-1}} = (I - 2 \frac{\boldsymbol{v_k} \boldsymbol{v_k}^{\mathrm{T}}}{\|\boldsymbol{v_k}\|^2}) \cdot \boldsymbol{z_{k-1}},
$$

where  $H_k = I - 2 \frac{v_k v_k^{\mathrm{T}}}{||v_k||^2}$  $\frac{\partial \mathbf{v_k} \partial \mathbf{k}^{\mathsf{T}}}{\partial \|\mathbf{v_k}\|^2}$  is called the *Householder* 896 *Matrix*. Householder matrix is orthogonal, so the 897 absolute value of its Jacobian determinant is al- **898** ways 1. This property also makes a Householder **899** transformation to be volume-preserving. **900**

#### A.3 Experimental Details **901**

#### <span id="page-11-1"></span>A.3.1 Dataset Details **902**

We evaluated the performance of TA-VAE on five **903** [p](#page-9-21)ublic corpora, namely APNEWS<sup>[1](#page-11-2)</sup>, IMDB [\(Maas](#page-9-21) 904 [et al.,](#page-9-21) [2011\)](#page-9-21), BNC [\(Consortium et al.,](#page-8-22) [2007\)](#page-8-22), PTB **905** [\(Marcus et al.,](#page-9-22) [1993\)](#page-9-22) and Yelp15<sup>[2](#page-11-3)</sup>. The first three 906 corpora are the same datasets including the train, **907** validation and test splits, as used by prior works, **908** which are publicly available<sup>[3](#page-11-4)</sup> and widely used. For **909** the first four datasets (APNEWS, IMDB, BNC, **910** PTB), we fixed the maximum sequence length to **911** 80 and maximum vocabulary size to 40, 000. For **912** Yelp15, we followed the work in [\(Tang et al.,](#page-9-6) [2019\)](#page-9-6) 913 and set the maximum sentence length to 150 while **914** maximum vocabulary size to 20, 000. In the pre- **915** process procedure, we first used the publicly pro- **916** vided tokenizer and followed past works [\(Lau et al.,](#page-8-14) **917** [2017;](#page-8-14) [Xiao et al.,](#page-9-12) [2018;](#page-9-12) [Tang et al.,](#page-9-6) [2019\)](#page-9-6) to low- **918** ercase all texts, then mapped the most frequent **919**

(15) **882**

(16) **895**

<span id="page-11-2"></span><sup>1</sup><https://www.ap.org/en-gb/>

<span id="page-11-3"></span><sup>2</sup><https://www.yelp.com/dataset>

<span id="page-11-4"></span><sup>3</sup>[https://github.com/jhlau/](https://github.com/jhlau/topically-driven-language-model)

[topically-driven-language-model](https://github.com/jhlau/topically-driven-language-model)



Table 9: Statistical summary of five datasets.

<span id="page-12-0"></span>

Table 10: Top-5 topic words from nine topics generated from 50 topic TA-VAE models (cherry-picked).

 and infrequent words (those in the top 0.03% of frequency and appear less than 100 documents) to a special token (i.e. ⟨UNK⟩ token). We set the minimum frequency to 2 for all corpus except [B](#page-8-13)NC, which was 8 to avoid over-fitting [\(Dieng](#page-8-13) [et al.,](#page-8-13) [2016\)](#page-8-13) and expedite training process. The full statistics of datasets is presented in Table 1.

#### **927** A.3.2 Overall Model Settings

 We used pre-trained GloVe [\(Pennington et al.,](#page-9-23) [2014\)](#page-9-23) word vector to initialize the 200-dimensional word embedding layer. Bag-of-Word (BoW) en- coder was a 2-layer feedforward neural network with 200 hidden units. The sequential encoder level **Bi-LSTM** had  $2 \times 300$  hidden states, while the de- coder LSTM had 300. Weight decay was set as 935 10<sup>-5</sup> with dropout ratio 0.2 for all RNNs. The size 936 of  $z_s$  was fixed to 32. We employed the Adam [\(Kingma and Ba,](#page-8-23) [2014\)](#page-8-23) optimizer using a batch of 938 32 training samples and learning rate of 10<sup>-4</sup> for all the model training. All models were trained for 80 epochs except the ones on BNC (100 epochs for ad- equate training) on a single GeForce GTX 1080Ti GPU. We set the max clip norm of gradient to 5.0 for avoiding gradiant explosion. Moreover, to take

full advantage of learned latent knowledge as well **944** as making topic modeling part to be more concen- **945** trated, we trained the model with  $\lambda_S : \lambda_T = 1 : 3$  946 and used cyclical schedule [\(Fu et al.,](#page-8-8) [2019\)](#page-8-8) with 4 947 cycles through all training epochs for KL anneal- **948** ing. The weight of discriminator  $\lambda_D$  and infor- **949** mative penalty  $\lambda_{\text{info}}$  were 0.3 and 500 respectively 950 followed infoVAE [\(Zhao et al.,](#page-9-10) [2017a\)](#page-9-10). As for **951** Householder flow implementation, we formally fol- **952** [l](#page-9-16)owed the experimental settings in [\(Tomczak and](#page-9-16) **953** [Welling,](#page-9-16) [2016\)](#page-9-16), but with the change that  $q(z_{s(0)})$  954 was a simple Gaussian with full covariance matrix. **955** Finally, we assigned the pre-defined parameter  $\tau$  956 in discriminator to 0.02 during training and 1.0 at **957** inference stage as described in [\(Tang et al.,](#page-9-6) [2019\)](#page-9-6). **958** In the generation procedure, we calculated text per- **959** plexity as the negative exponential value of the **960** negative log-likelihood (NLL) averaged over the **961** sum of words. We adopted models that perform the **962** best on validation sets and reported results on test **963** sets. 964

#### A.3.3 Implementation of Discriminator **965**

In detail, we employ Gumbel-Softmax [\(Jang et al.,](#page-8-24) **966** [2016\)](#page-8-24) for the implementation because of the inhos- **967**

<span id="page-13-0"></span>

Table 11: Generated sentences on five datasets from trained TA-VAE models (randomly sampled).

<span id="page-13-1"></span>

Table 12: Text style transfer generation from positive to slightly negative by traversing learned topic representations (cherry-picked).



Table 13: Generated sentences by interpolating latent codes.

**968** pitality of discrete tokens for backpropagation. Our **969** choice of discriminator can be depicted as follow:

**970** • Gain the conditional probability of at the i-th 971 **time step**  $p(\hat{x}_i | \hat{x}_{1:i}, z) = [p_1, p_2, ..., p_n],$ 

972 • Obtain 
$$
a_i = \frac{\exp(\log(p_i) + g_i)/\tau}{\sum_{j=1}^n \exp(\log(p_j) + g_j)/\tau},
$$

**973** • Approximate the *i*-th reconstructed word by 974  $\hat{x}_i = \mathbf{a}^T \mathbf{W}_b$ 

**here**  $g_i$  and  $g_j$  are separately drawn from a Gumbel- Softmax distribution between 0 and 1. Parameter  $τ$  is set in advance during both training and inference 978 stages.  $\boldsymbol{a} = \{a_i\}_{i=1}^n$  is the vector for token approx-**imation, while**  $W_b$  **denotes the BoW input from**  topic encoder. This setting has technical advan- tage compared with the discriminator in [Tang et al.](#page-9-6) [\(2019\)](#page-9-6), which transfers tokens by word embedding and inevitably demands the same size between the hidden layers of topic encoder and word embed-**985** ding.

## **986** A.3.4 Implementation of Mutual Information **987** Maximazation

 In practice, we followed previous explorations, and **replaced KL divergence in**  $\mathbb{D}_{\text{KL}}(q(z_t | z_s) || p(z_t |$  $z_s$ )) with another divergence Maximum-Mean [D](#page-9-24)iscrepancy (MMD) [\(Gretton et al.,](#page-8-25) [2012;](#page-8-25) [Li](#page-9-24) [et al.,](#page-9-24) [2015\)](#page-9-24) that can be efficiently optimized over. Maximum-Mean Discrepancy efficiently quantifies the distance between two distributions using the kernel trick. For the given distributions q, p, and 996 variables drawn from them  $z \sim p, z' \sim q$  we ap-proximated MMD term with the Gaussian kernel, that is: **998**

$$
\mathbb{D}_{\text{MMD}}(p,q) = \mathbb{E}_{p(\boldsymbol{z})p(\boldsymbol{z}')}[k(\boldsymbol{z},\boldsymbol{z}')] \n+ \mathbb{E}_{q(\boldsymbol{z})q(\boldsymbol{z}')}[k(\boldsymbol{z},\boldsymbol{z}')] \qquad (17) \n- \mathbb{E}_{p(\boldsymbol{z})q(\boldsymbol{z}')}[k(\boldsymbol{z},\boldsymbol{z}')],
$$

where the function  $k(\cdot)$  is a Gaussian kernel. **1000** 

#### <span id="page-14-0"></span>**A.3.5 NPMI Details** 1001

Given the top-n words of a topic, coherence is computed based on the sum of pairwise NPMI scores **1003** between topic words. We averaged topic coherence **1004** over the top  $5/10/15/20$  topic words. To aggregate 1005 topic coherence scores, we calculated the mean co- **1006** herence over topics [\(Dieng et al.,](#page-8-13) [2016;](#page-8-13) [Lau et al.,](#page-8-14) **1007** [2017;](#page-8-14) [Wang et al.,](#page-9-5) [2019;](#page-9-5) [Tang et al.,](#page-9-6) [2019\)](#page-9-6). **1008**

#### <span id="page-14-1"></span>A.3.6 Classification Details **1009**

For any model to be tested, we first obtained the 1010 latent representations from a well-trained TA-VAE 1011 model with 10 flow layers of the training sets, then 1012 randomly sampled 2,000 examples to train a 2layer feedforward neural network with softmax 1014 function. As for final classification results, we **1015** recorded the model with highest accuracy on valida- **1016** tion set for final result. We trained the classifier five **1017** times with every setup and reported the averaged 1018 classification accuracy as well as its standardized **1019** deviation. **1020**

#### <span id="page-14-2"></span>A.4 Texts & Topic Words Generation **1021**

#### A.4.1 Generated Topics **1022**

For topic word generation, we used the decoder 1023 of topic modeling part to produce probability of **1024** each token in a corpora, and sorted words with the **1025** highest five probabilities as top-5 topic word output. **1026** We selected nine channels from TA-VAE models **1027** with 50 topic latent dimensions. And generated 1028 top-5 topic words from them severally. Results are **1029** shown in Table [10.](#page-12-0) **1030** 

#### **A.4.2 Sampled Texts 1031**

We randomly sampled sequence latent code  $z_s$  **1032** from its prior  $N(0, I)$ , and generated sentences 1033 from it on well-trained TA-VAE models on five **1034** datasets. Textual results are presented in Table [11.](#page-13-0) **1035**

#### A.4.3 Style Transfer Generation and **1036 Interpolated Sentences** 1037

For well-expressive attribute representation spaces, 1038 we expect they contain distinct attribute and can be **1039** easily manipulated. For sentence generation with **1040** transferred styles, we traversed the value in one **1041**

 latent dimension of latent variables from −10.0 to 10.0 by a step size of 2.0. Results in Table [12](#page-13-1) show a transformation from positive sentiment to relatively negative (i.e., with negative expressions "n't been ... twice", "overpriced"). For interpolation task. We used linear interpolation strategy, this process can be specified as follows:

- 1049 1. Given two samples  $x_i, x_j$  from train set.
- **1050** 2. Obtain their sequential latent code
- **1051** and topic latent code respectively
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# 1052  $(z_{s(i)}, z_{t(i)}), (z_{s(j)}, z_{t(j)}).$

 3. For both types of latent variables we use lin-**car interpolation**  $z_{\text{type}} = z_{\text{type}(i)} \cdot (1 - \tau) +$  $z_{\text{type}(j)} \cdot \tau$  where  $z_{\text{type}} \in \{z_s, z_t\}$  and  $\tau$  in-creases from 0 to 1 by a step size of 0.2.

 We can see there is a maintenance from the original text key phrases or structure (e.g., "the company", "lawmakers are consider", inverted form) and se- mantics (e.g., positive, business, law) as well as a transformation between two given examples. We can observe smooth and sensible interpolation re- sults for almost arbitrary input pairs. This demon- strates our TA-VAE model learns meaningful latent **1065** spaces.

# **1066** A.5 Full Statistical Results

# <span id="page-15-0"></span>**1067** A.5.1 Text Perplexity and KL Divergence

 We present PPL values of models with varied flow layer numbers also with or without two auxiliary objectives respectively, as well as KL values of both modeling components (sequence and topic) from a top-down order in Table [15.](#page-16-0) For PPL results, our model outperforms all baselines on different settings. However, when flow layers are not elabo- rately designed (i.e., flow layer that is shallow for 5 layers or too deep for 20 layers), models with the proposed two auxiliary functions do not noticeably outperform models without them. As for observed KL values, firstly, models with medium-sized flow layers are more likely to reach a lower KL value in  $z_t$ , which is equivalent to a more competent topic modeling part. Secondly, sequential KL values are much lower than topic KL values. On the one hand, this can be attributed to a more powerful fitting tool (i.e., Householder flow) for sequential posterior to approximate the true distribution of its represen- [t](#page-9-6)ation. On the other hand, as mentioned in [\(Tang](#page-9-6) [et al.,](#page-9-6) [2019\)](#page-9-6), the topic information reveals much of the diversity of texts, which leads to higher KL **1090** values.



Table 14: Generated sentences by interpolating latent codes.

# <span id="page-15-1"></span>A.5.2 Full Results of BLEU 1091

We used benchmark tool Texygen [\(Zhu et al.,](#page-9-20) [2018\)](#page-9-20) 1092 to do all the BLEU-related calculations. We show **1093** results of our model only with or without discrim- **1094** inator, which we believe is more important for **1095** token-level upgrade, because the mutual informa- **1096** tion term is directly optimized in the topic latent **1097** space  $z_t$ , rather than in sequence embedding  $z_s$  or **1098** token level like the discriminator does. From the **1099** full results in Table [16,](#page-17-0) we can see that our model **1100** outperforms all baselines in *test*-BLEU metric, yet **1101** is only superior to other models on *self*-BLEU un- **1102** der B-2 in major cases. This phenomenon demon- **1103** strates that the proposed model is qualified to pro- **1104** duce texts with high quality, but has difficulty in **1105** generating texts with high diversity. Nevertheless, **1106** the overall metric BLEU-F1 shows the superior- **1107** ity of TA-VAE model in a well weighted trade-off **1108 between text quality and diversity.** 1109

<span id="page-16-0"></span>

Table 15: Text quality analysis in terms of perplexity and KL value. Sequence and topic KL values are arranged in the top-down order.

<span id="page-17-0"></span>

Table 16: Full BLEU result in terms of test-BLEU, self-BLEU and BLEU-F1 scores. Table 16: Full BLEU result in terms of *test*-BLEU, *self*-BLEU and BLEU-F1 scores.