



## Confidence in Al systems Can we trust Al-based systems?

N. Asokan

https://asokan.org/asokan/

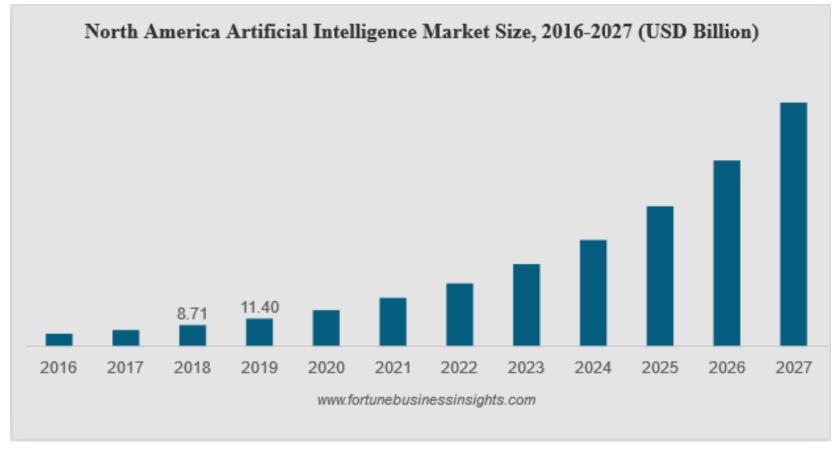
y @nasokan

#### **Outline**

- 1. Challenges in making AI systems trustworthy
- 2. A case study: ML model extraction
- 3. Conflicts between ML security/privacy techniques

# Challenges in making Al systems trustworthy

# Al will be pervasive



https://www.fortunebusinessinsights.com/industry-reports/artificial-intelligence-market-100114

#### **Forbes**

7,109 views | Oct 18, 2019, 01:56pm EDT

## **How Artifical Intelligence Is** Advancing Precision Medicine Policing Softw



Nicole Martin Former Contributor ①

Al & Big Data

PART OF A ZDNET SPECIAL FEATURE: CYBERSECURITY: LET'S GET TACTICAL

I write about digital marketing, data and privacy concerns.

https://www.forbes.com/sites/nicolemartin1/2019/10/18/how-artifical-intelligence-is-advancingprecision-medicine/#2f720a79a4d5

**Dozens of Cities Have Secretly Experimented** 

With Predictive

requests verify previously unconfir Recruiting with predictive policing company P



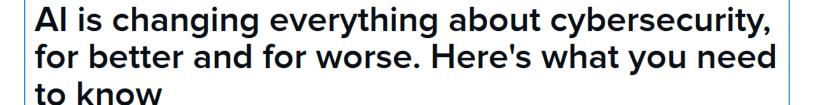
By Caroline Haskins

https://www.vice.com/en\_us/article/d3m experimented-with-predictive-policing-s

## Documents obtained by Motherbook How AI Is Uprooting



Falon Fatemi Contributor ①



Artificial intelligence and machine learning tools could go a long way to helping to fight cybercrime. But these technologies aren't a silver bullet, and could also be exploited by malicious hackers.

https://www.zdnet.com/article/ai-is-changing-everything-about-cybersecurity-for-better-and-for-worse-heres-what-you-need-to-know/



**Forbes** 

https://www.vice.com/en\_us/article/d3m7jq/dozens-of-cities-have-secretlyexperimented-with-predictive-policing-software

## **Challenges in making Al trustworthy**

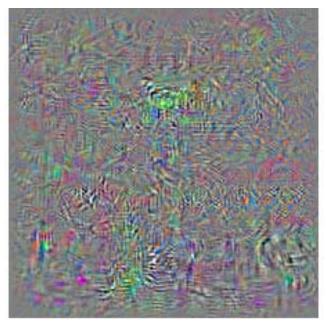
**Security concerns** 

**Privacy concerns** 

## **Evading machine learning models**



Which class is this? **School bus** 



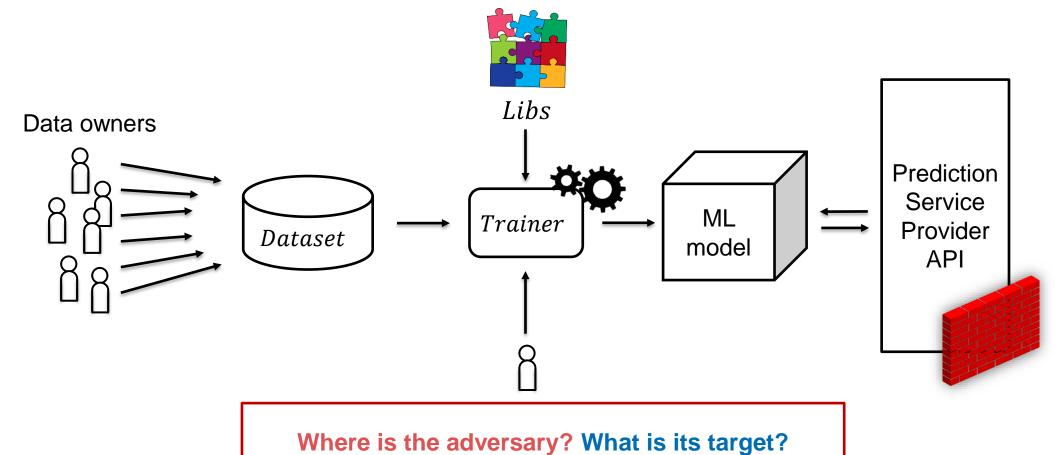


Which class is this? **Ostrich** 

**+ 0.1**·

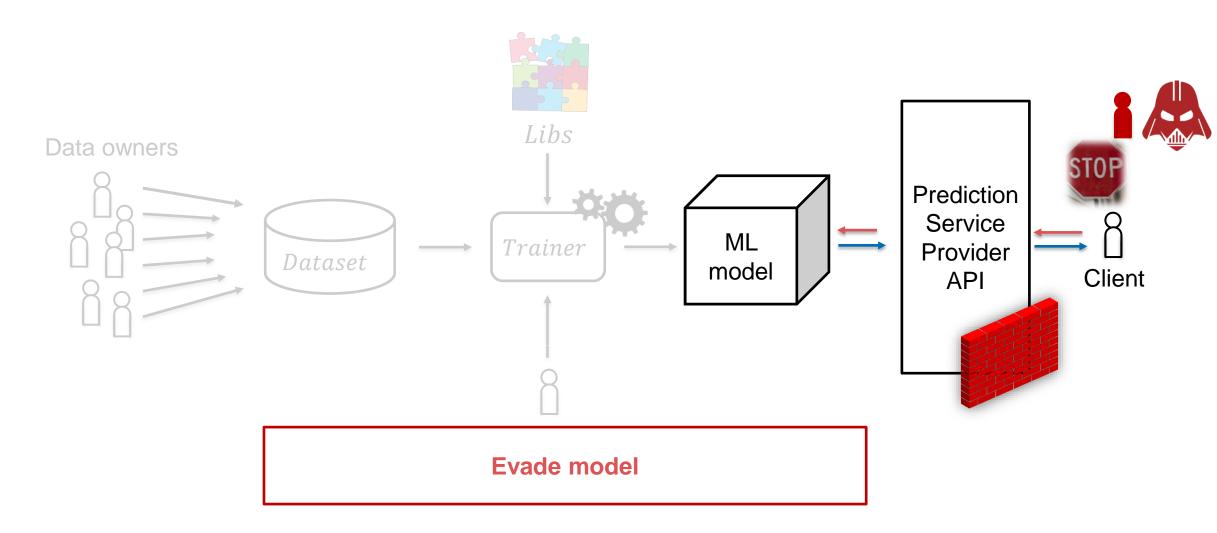
## **Machine Learning pipeline**



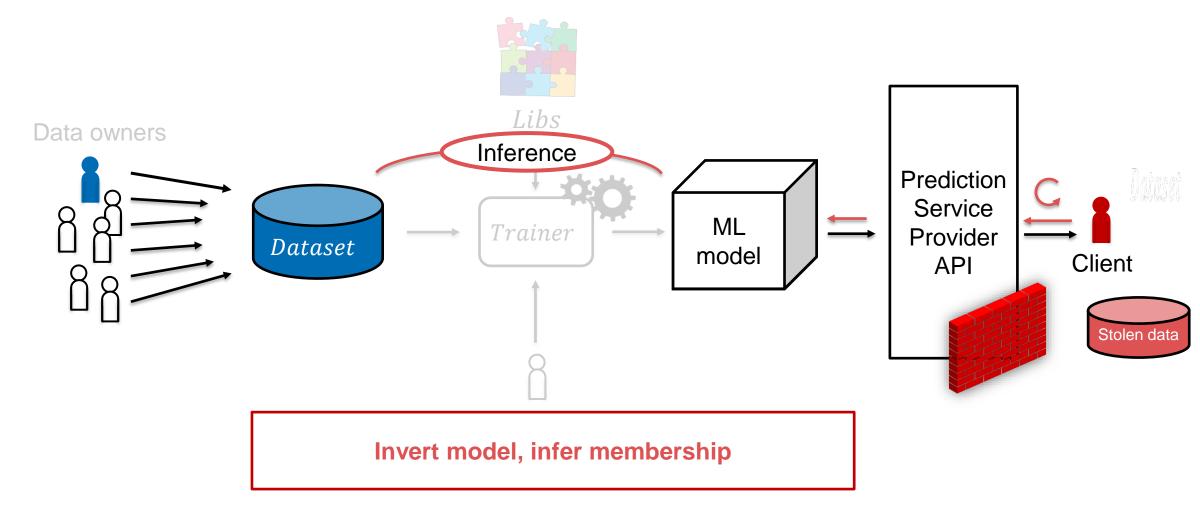




## **Compromised input – Model integrity**

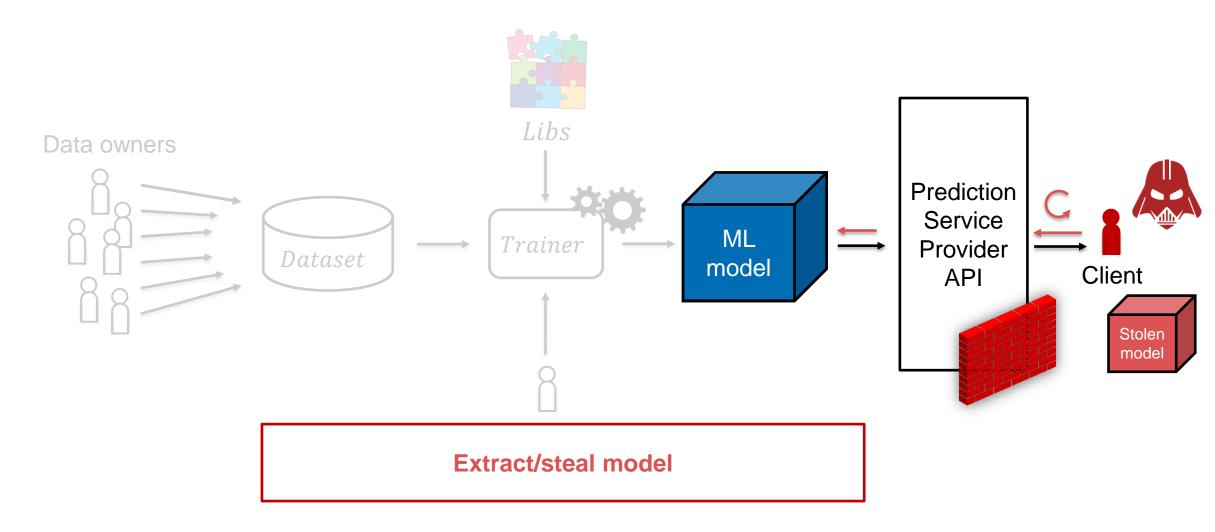


## Malicious client – Training data privacy

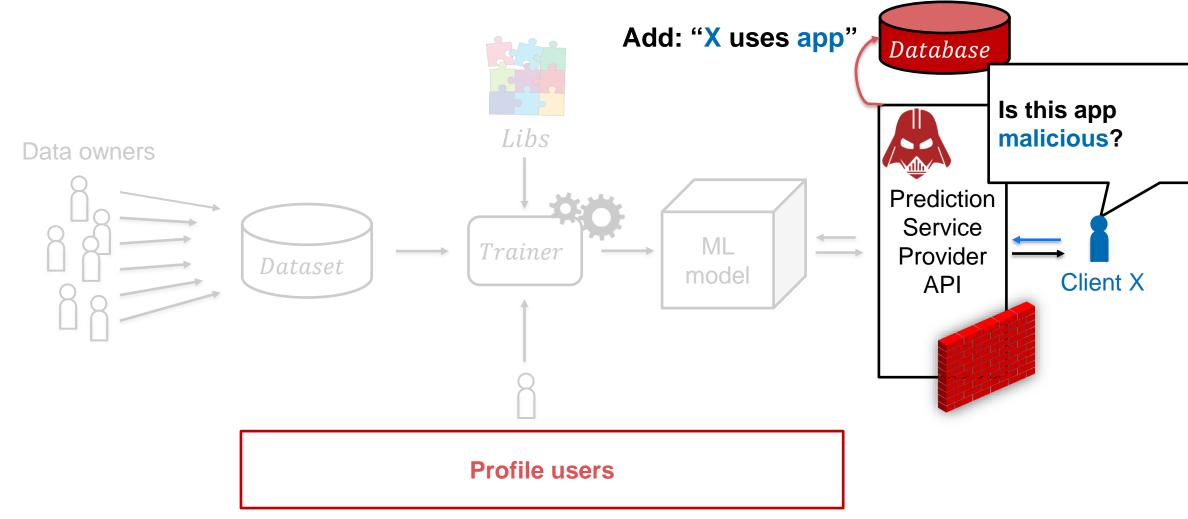


Shokri et al. - Membership Inference Attacks Against Machine Learning Models, IEEE S&P '16 (<a href="https://arxiv.org/pdf/1610.05820.pdf">https://arxiv.org/pdf/1610.05820.pdf</a>)
Fredrikson et al. - Model Inversion Attacks that Exploit Confidence Information and Basic Countermeasures, ACM CCS '15
<a href="https://www.cs.cmu.edu/~mfredrik/papers/fjr2015ccs.pdf">https://www.cs.cmu.edu/~mfredrik/papers/fjr2015ccs.pdf</a>

## Malicious client - Model confidentiality

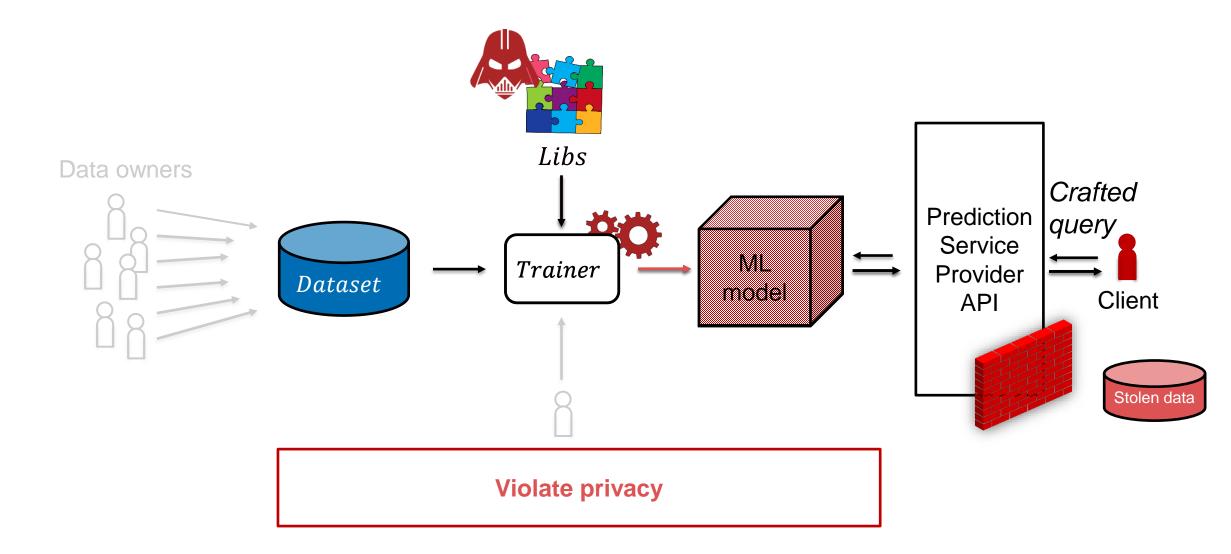


## Malicious prediction service – User profiles

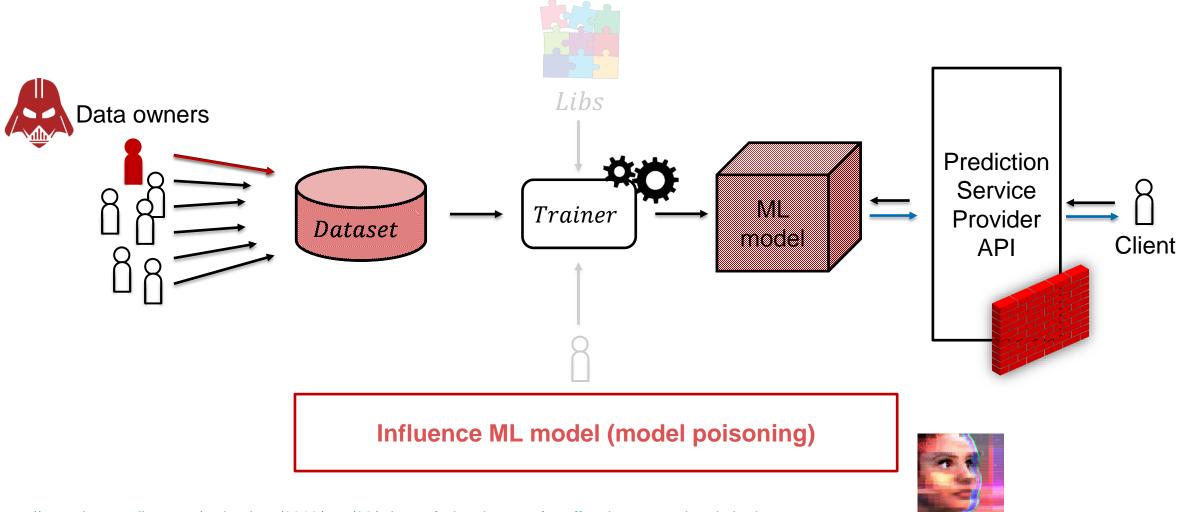


Malmi and Weber - You are what apps you use Demographic prediction based on user's apps, ICWSM '16 (<a href="https://arxiv.org/abs/1603.00059">https://arxiv.org/abs/1603.00059</a>)
Liu et al. - Oblivious Neural Network Predictions via MiniONN Transformations, ACM CCS '17 (<a href="https://ssg.aalto.fi/research/projects/mlsec/ppml/">https://ssg.aalto.fi/research/projects/mlsec/ppml/</a>)
Dowlin et al. - CryptoNets: Applying Neural Networks to Encrypted Data with High Throughput and Accuracy, ICML '16
(<a href="https://dl.acm.org/doi/10.5555/3045390.3045413">https://dl.acm.org/doi/10.5555/3045390.3045413</a>)

## Compromised toolchain – Training data privacy



### Malicious data owner – Model integrity



## Is malicious adversarial behaviour the only concern?



https://www.bbc.com/news/technology-54234822?fbclid=lwAR1T41\_HR6lluMKGRJbJdDrdpKdy Ai5mhQSdzs0QLDso41T-SR3wJfs Predictive policing algorithms are racist. They need to be dismantled.

Lack of transparency and biased training data mean these tools are not fit for purpose. If we can't fix them, we should ditch them.

by Will Douglas Heaven

MIT Technology Review

July 17, 2020

**Topics** 

Tech policy / Al Ethics

## Al is sending people to jail—and getting it wrong

Using historical data to train risk assessment tools could mean that machines are copying the mistakes of the past.

by Karen Hao

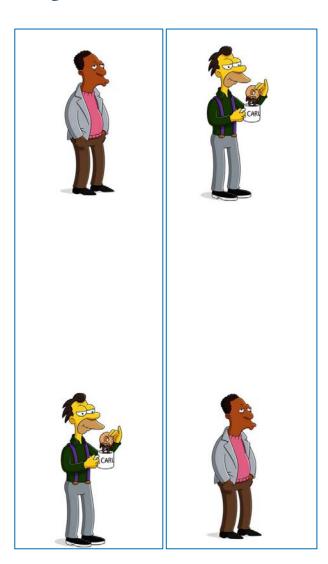
January 21, 2019

.com/2020/07/17/1005396/predictive-policingnachine-learning-bias-criminal-justice/

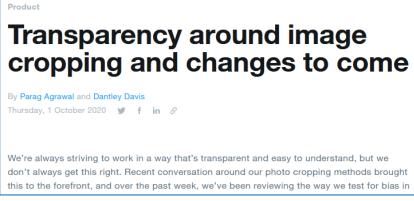
## Measures of accuracy are flawed, too



https://twitter.com/jsimonovski/status/1307542747197239296







https://blog.twitter.com/official/en\_us/topics/product/2020/transparency\_image-cropping.html

## **Summary: trustworthy AI systems**

**Security concerns** 

**Privacy concerns** 

**Ethical and legal concerns** 



Trustworthy Al: Meet these criteria even in the presence of "adversarial" behaviour







# Extraction of Complex DNN Models: Real Threat or Boogeyman?

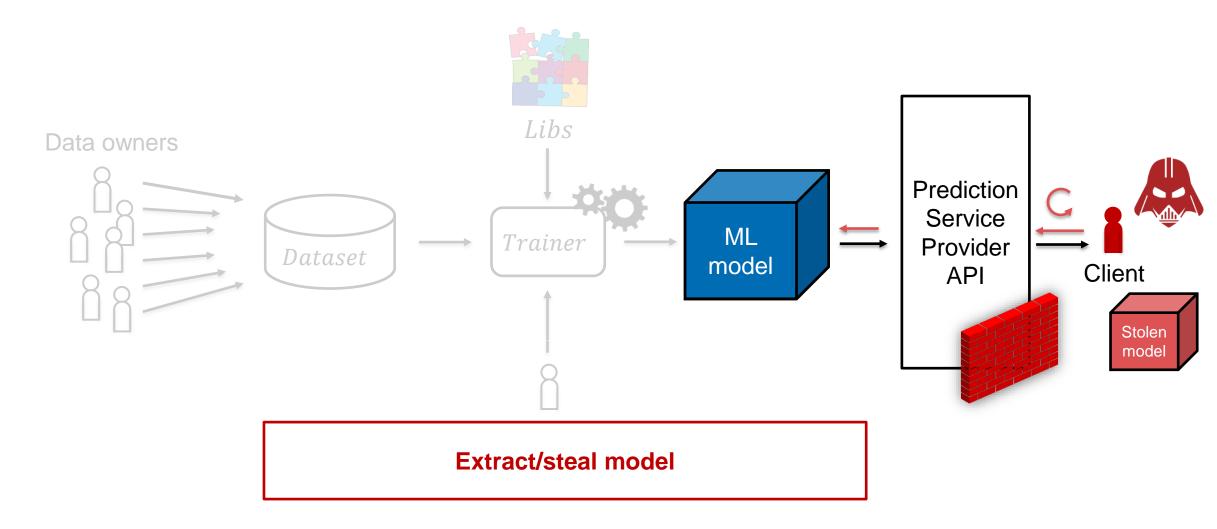
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(Joint work with Buse Gul Atli, Sebastian Szyller, Mika Juuti and Samuel Marchal)

## Malicious client - Model confidentiality



## Is model confidentiality important?

Machine learning models: business advantage and intellectual property (IP)

#### Cost of

- gathering relevant data
- labeling data
- expertise required to choose the right model training method
- resources expended in training

Adversary who steals the model can avoid these costs

## Type of model access: white box

#### White-box access: user

- has physical access to model
- knows its structure
- can observe execution (scientific packages, software on user-owned devices)

## How to prevent (white-box) model theft?

White-box model theft can be countered by

- Computation with encrypted models
- Protecting models using secure hardware
- Hosting models behind a firewalled cloud service

## Type of model access: black-box

#### Black-box access: user

- does not have physical access to model
- interacts via a well-defined interface ("prediction API"):
  - directly (translation, image classification)
  - indirectly (recommender systems)

Basic idea: hide the model itself, expose model functionality only via a prediction API

Is that enough to prevent model theft?

## **Extracting models via their prediction APIs**

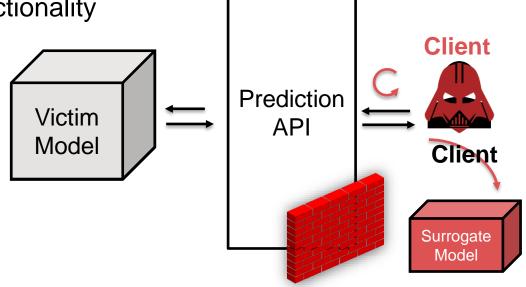
#### Prediction APIs are oracles that leak information

#### **Adversary**

- Malicious client
- Goal: construct surrogate model(\*) comparable w/ functionality
- Capability: access to prediction API or model outputs (\*) aka "student model" or "imitation model"

#### Prior work on extracting

- Logistic regression, decision trees<sup>[1]</sup>
- Simple CNN models<sup>[2]</sup>
- Querying API with synthetic samples



## **Extracting deep neural networks**

#### Against simple DNN models<sup>[1]</sup>

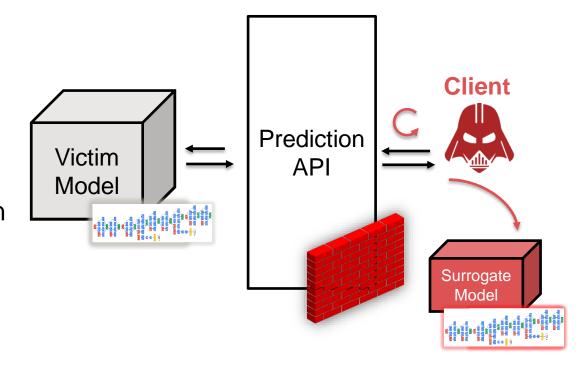
E.g., MNIST, GTSRB

#### **Adversary**

- knows general structure of the model
- has limited natural data from victim's domain.

#### **Approach**

- Hyperparameters CV-search
- Query using natural data for rough estimate decision boundaries, synthetic data to fine-tune
- Simple defense: distinguish between benign and adversarial queries

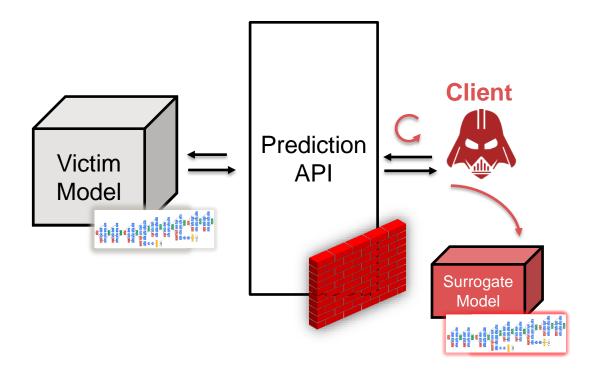


#### Is model extraction a realistic threat?

Can adversaries extract complex DNNs successfully?

Are common adversary models realistic?

Are current defenses effective?



## Extraction of Complex DNN Models: Knockoff nets<sup>[1]</sup>

#### Goal:

- Build a surrogate model that
  - steals model functionality of victim model
  - performs similarly on the same task with high classification accuracy

#### **Adversary capabilities:**

- Victim model knowledge:
  - None of train/test data, model internals, output semantics
  - Access to full prediction probability vector
- Access to natural samples, not (necessarily) from the same distribution as train/test data
- Access to pre-trained high-capacity model

## Analysis of Knockoff Nets: summary<sup>[2]</sup>



Reproduced empirical evaluation of Knockoff nets<sup>[1]</sup> to confirm its effectiveness

Revisited its adversary model in to make more realistic assumptions about the adversary

Attack effectiveness decreases if

- Surrogate and victim model architectures are different
- Victim model's prediction API has reduced granularity

Defense effectiveness decreases: Attacker has natural samples distributed like victim's training data

## **Extracting NLP Transformer models**

Techniques for extracting image classifiers don't always extend to NLP models

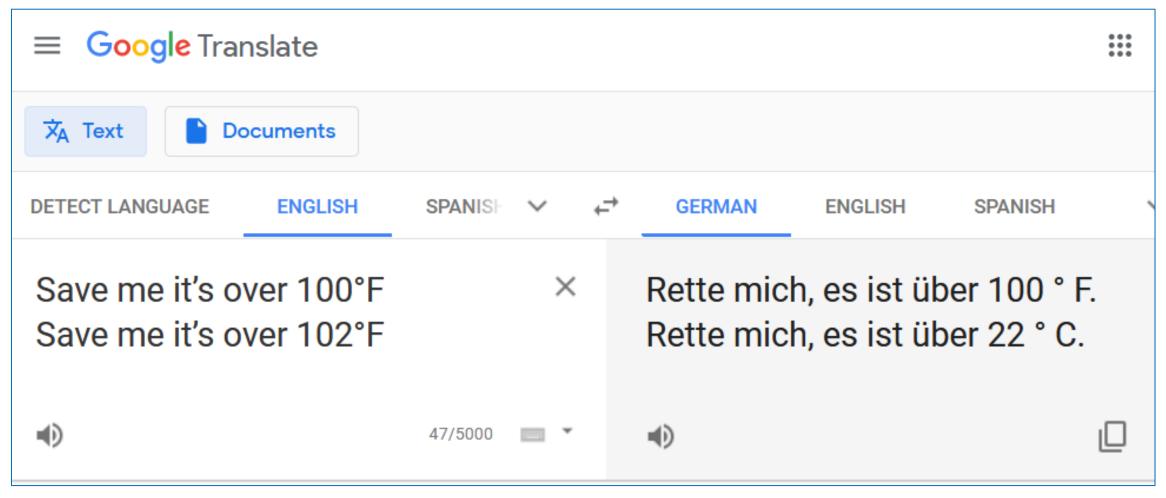
#### Transfer learning from pre-trained models is now very popular

But they make model extraction easier<sup>[1]</sup>

#### Krishna et al<sup>[1]</sup> show that a Knockoff-like attacks against BERT models are feasible

- Adversary unaware of target distribution or task of victim model
- Adversary queries are merely "natural" (randomly sampled sequences of words)
- In-distribution adversary queries can improve extraction efficacy

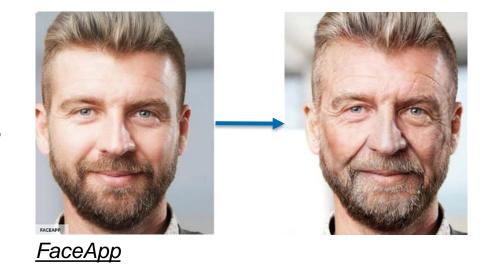
#### Wallace et al<sup>[2]</sup> extract real-world MT models, find transferable adversarial examples

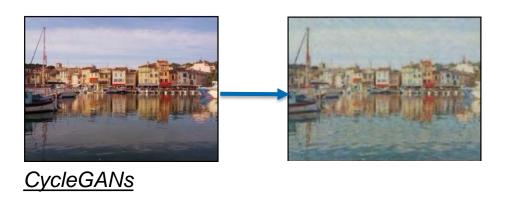


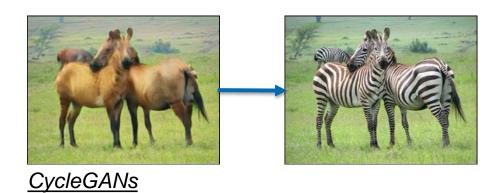
https://translate.google.com/#view=home&op=translate&sl=en&tl=de&text=Save%20me%20it%E2%80%99s%20over%20100%C2%B0F%0ASave%20me%20it%E2%80%99s%20over%20102%C2%B0F

## **Extracting Style-transfer models**

- GANS are effective for changing image style
  - coloring, face filters, style application
- Core feature in generative art and in social media apps
  - Selfie2Anime, FaceApp







## **Style transfer**

Original (unstyled)

Styled (victim)

Styled (ours)

**Task 1** *Monet painting* 



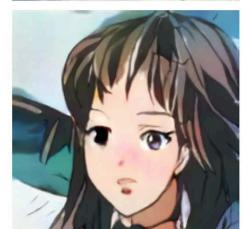




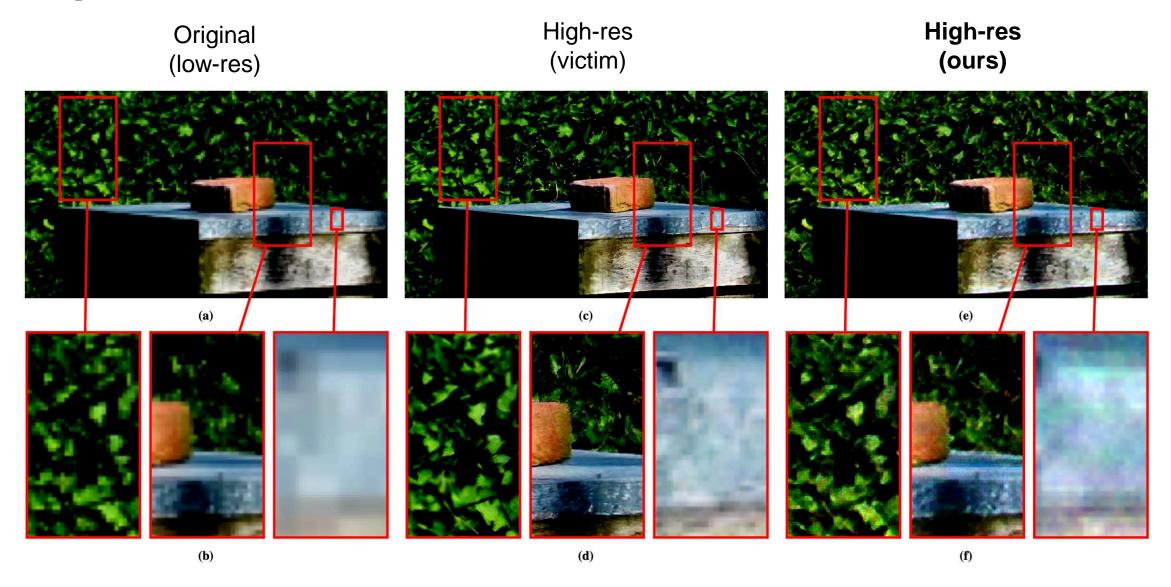
Task 2
Anime face







## **Super resolution**



## Defending against model theft

#### We can try to:

- prevent (or slow down<sup>[1]</sup>) model extraction, or
- detect<sup>[2]</sup> it

But current solutions are not effective.

#### Or deter the attacker by providing the means for ownership demonstration:

- model watermarking
- data watermarking
- fingerprinting

## White-box watermarking

#### Watermark embedding:

- Embed the watermark in the model during the training phase:
  - Choose incorrect labels for a set of samples (watermark set, WM)
  - Train using training data + watermark set

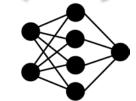
#### **Verification of ownership:**

- Adversary publicly exposes the stolen model
- Query the model with the watermark set
- Verify watermark predictions correspond to chosen labels



Watermark set





## **Existing watermarking of DNNs**

Assumes that the model is stolen exactly (white-box theft)
Protects only against physical theft of model<sup>[1]</sup>

#### Not robust against

- novel watermark removal attacks<sup>[2]</sup>
- model extraction attacks that reduce the effect of watermarks & modify decision surface

## DAWN: Dynamic Adversarial Watermarking of DNNs<sup>[1]</sup>

Goal: Watermark models obtained via model extraction

#### Our approach:

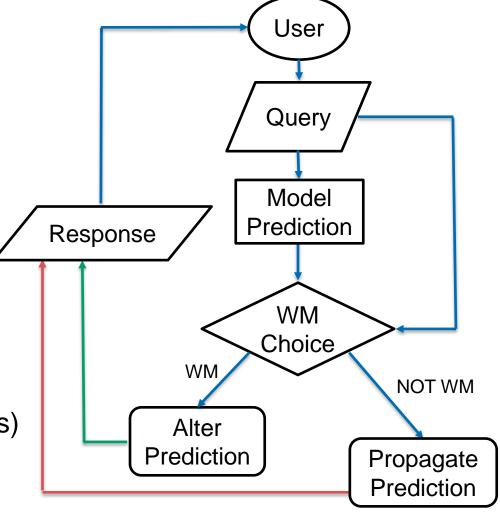
Implemented as part of the prediction API

Return incorrect predictions for several samples

Adversary forced to embed watermark while training.

### Watermarking evaluation:

- Unremovable and indistinguishable
- **Defend against** PRADA<sup>[2]</sup> and KnockOff <sup>[3]</sup>
- Preserve victim model utility (0.03-0.5% accuracy loss)



<sup>[2]</sup> Juuti et al. - PRADA: Protecting against DNN Model Stealing Attacks, EuroS&P '19 (https://arxiv.org/abs/1805.02628)

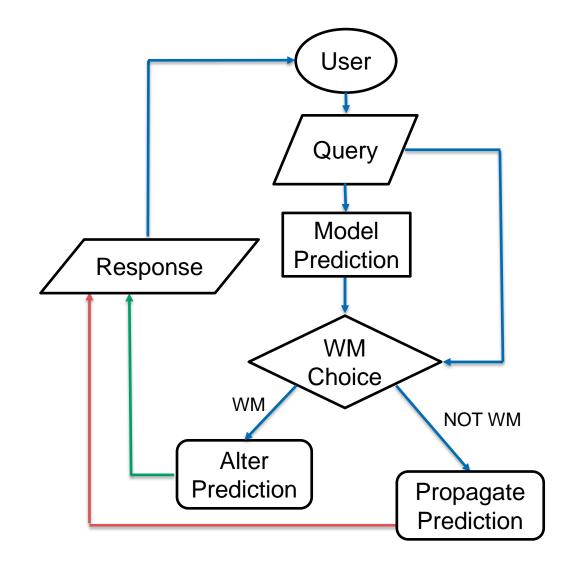
### Open issues in DAWN<sup>[1]</sup>

#### Indistinguishability

existence of a robust mapping function (for WM choice)

### Unremovability

- "double-stealing" can remove watermark (but impacts accuracy of surrogate model)
- adversary can try to return incorrect predictions on training data (but can be overcome)



### **Data/Model fingerprinting**

#### Radioactive data<sup>[1]</sup>

Intended for provenance, not robust in adversarial settings<sup>[2]</sup>

### **Conferrable adversarial examples**<sup>[2]</sup>

Computationally expensive

#### Dataset inference<sup>[3]</sup>

Susceptible to False positives?

- [1] Sablayrolles et al. Radioactive data: tracing through training, ICML'20 (https://arxiv.org/abs/2002.00937)
- [2] Atli Tegkul et al. On the Effectiveness of Dataset Watermarking, IWSPA@CODASPY '22 (https://arxiv.org/abs/2106.08746)
- [2] Lukas et al. Deep Neural Network Fingerprinting by Conferrable Adversarial Examples, ICLR '21 (https://openreview.net/forum?id=VqzVhqxkjH1)
- [3] Maini, et al. Dataset Inference Ownership Resolution in Machine Learning, ICLR '21 (https://openreview.net/pdf?id=hvdKKV2yt7T)

### **Summary: ML Model extraction**

**Complex DNN models can be extracted** 

Adversary models should match the application setting

No generally applicable defenses yet



More on our model extraction work at <a href="https://ssg.aalto.fi/research/projects/mlsec/model-extraction/">https://ssg.aalto.fi/research/projects/mlsec/model-extraction/</a>



# Conflicts Between ML Security/Privacy Techniques

Sebastian Szyller, N. Asokan



https://sebszyller.com

<u> https://asokan.org/asokan/</u>



@sebszyller

@nasokan

### Other ML security & privacy concerns



### There are considerations other than model ownership:

- model evasion (defense: adversarial training)
- training data reconstruction (defense: differential privacy)
- membership inference (defense: regularization, early stopping)
- model poisoning (defense: regularization, outlier/anomaly detection)

•

#### How does ownership demonstration interact with the other defenses?

#### We investigate pairwise interactions of:

model watermarking
differential privacy
data watermarking
with
adversarial training

### **Setup & Baselines**

### We use the following techniques (and corresponding metrics):

- Out-of-distribution (OOD) backdoor watermarking (test and watermark accuracy)
- Radioactive data (test accuracy and loss difference)
- Dataset Inference (verification confidence)
- DP-SGD (model accuracy for the given epsilon)
- Adversarial training with PGD (test and adv. accuracy for the given epsilon)

Dataset	No defense	Watermarking		Radio	active Data	Dataset Inference	DP-SGD (eps=3)	ADV. TR.	
	TEST	TEST	WM	TEST	Loss. Diff.	Confidence	TEST	TEST	ADV.
MNIST	0.99	0.99	0.97	0.98	0.284	<e-30< td=""><td>0.98</td><td>0.99</td><td>0.95</td></e-30<>	0.98	0.99	0.95
FMNIST	0.91	0.87	0.99	0.88	0.19	<e-30< td=""><td>0.86</td><td>0.87</td><td>0.69</td></e-30<>	0.86	0.87	0.69
CIFAR10	0.92	0.82	0.97	0.85	0.2	<e-30< td=""><td>0.38</td><td>0.82</td><td>0.82</td></e-30<>	0.38	0.82	0.82

### Interaction with differential privacy

### Differential privacy is a strong per-sample regulariser:

- Watermarking rendered ineffective
- Lower but still sufficient confidence for radioactive data
- No effect on the DI fingerprint

	DP-SGD (eps=3)
Dataset	TEST
MNIST	0.98
FMNIST	0.86
CIFAR10	0.38

Dataset	No defense			Radioactive Data				Dataset Inference					
		Baseline		Baselir		with	DP	Base	eline	W	rith DP	Baseline	with DP
	TEST.	TEST	WM	TEST	WM	TEST	Loss. Diff.	TEST	Loss. Diff.	Conf.	Conf.		
MNIST	0.99	0.99	0.97	0.97	0.30	0.98	0.284	0.97	0.091	<e-30< td=""><td><e-30< td=""></e-30<></td></e-30<>	<e-30< td=""></e-30<>		
FMNIST	0.91	0.87	0.99	0.86	0.28	0.85	0.19	0.84	0.11	<e-30< td=""><td><e-30< td=""></e-30<></td></e-30<>	<e-30< td=""></e-30<>		
CIFAR10	0.92	0.82	0.97	0.38	0.12	0.85	0.2	0.35	0.19	<e-30< td=""><td><e-30< td=""></e-30<></td></e-30<>	<e-30< td=""></e-30<>		

### Interaction with DP (tweaks and relaxations)

#### **Tweaking DP-SGD:**

- Naively increasing eps (less noise) does not improve WM accuracy
- Increasing gradient clipping threshold is better (not sufficient)

#### Tweaking the watermark:

- Bigger trigger set gives better WM accuracy (not sufficient)
- Training longer is better (not sufficient)

### With strict DP-SGD, OOD backdoor watermarking does not work.

#### What if we relax DP-SGD?

- Splitting the training into the DP part (genuine data) and non-DP (watermark) helps
- Watermark is embedded successfully (accuracy > 0.9)
- Privacy loss analysis is not tight anymore

### Interaction with adversarial training

### Adversarial training creates a robust L\_p bubble:

- Watermarking not affected but adversarial accuracy drops
- Significant drop in the confidence of radioactive data
- No effect on the DI fingerprint

	ADV. TR.					
Dataset	TEST	ADV.				
MNIST	0.99	0.95				
FMNIST	0.87	0.69				
CIFAR10	0.82	0.82				

	No		Watermarking			Radioactive Data					DI		
Dataset	defense	Baseline		with	vith ADV. TR.		Baseline		with ADV. TR.		₹.	Baseline	with ADV. TR.
	TEST	TEST	WM	TEST	WM	ADV	TEST	Loss. Diff.	TEST	Loss. Diff.	ADV	Conf.	Conf.
MNIST	0.99	0.99	0.97	0.97	0.99	0.88	0.98	0.284	0.97	0.001	0.95	<e-30< td=""><td><e-30< td=""></e-30<></td></e-30<>	<e-30< td=""></e-30<>
FMNIST	0.91	0.87	0.99	0.86	0.99	0.51	0.85	0.19	0.84	0.0007	0.69	<e-30< td=""><td><e-30< td=""></e-30<></td></e-30<>	<e-30< td=""></e-30<>
CIFAR10	0.92	0.82	0.97	0.78	0.97	0.65	0.85	0.2	0.81	0.003	0.81	<e-30< td=""><td><e-30< td=""></e-30<></td></e-30<>	<e-30< td=""></e-30<>

### False positives in Dataset Inference 1/2

#### We noticed false positives when DI is combined with other defenses:

- models would trigger confident FPs w.r.t. unrelated models (e.g. MNIST to FMNIST)
- But we saw FPs even in our DI baseline (i.e., without other defenses)

### We revisited the original<sup>1</sup> DI itself (CIFAR10):

- use the implementation from the official repo<sup>2</sup>
- Models provided in the repo work as intended
- We trained many independent models:
  - Without any other defense
  - We can reproduce the results from the paper, however...

### False positives in Dataset Inference 2/2

### We revisited the original<sup>1</sup> DI itself (CIFAR10):

- The original split for CIFAR10 uses:
  - the training set for the teacher model
  - the test set to train the independent model
  - the test set and the training set are used for the distinguisher (double-dip on the test set)
- We split CIFAR10 training set into two non-overlapping chunks (A and B):
  - one for the teacher (A), one for the independent model (B)
  - the test and the A set are used for the distinguisher
  - independent model B triggers a FP with high confidence

Model trained on:	Verification p-value
A (teacher)	e-23
Test (original)	0.1
B (independent)	e-12
A+B	e-13

### Interaction between ML security/privacy techniques

Property	Adversarial	Differential	Membership	Oblivious	Model/Gradient	Model	Model	Model	Data	Explainability	Fairness
	Training Privacy		Inference	Training	Inversion	Poisoning	Watermarking	Fingerprinting	Watermarking	Explamability	ranness
Adversarial Training	X	[5]	[9]	?	?	[7]	OURS	OURS	OURS	[11]	?
Differential Privacy		X	[3, 6]	?	?	?	OURS	OURS	OURS	?	[1, 2, 8]
Membership Inference			X	?	?	[10]	?	?	?	?	?
Oblivious Training				X	?	?	?	?	?	?	?
Model/Gradient Inversion					X	?	?	?	?	?	?
Model Poisoning						X	?	?	?	?	?
Model Watermarking							X	?	?	?	?
Model Fingerprinting								X	?	[4]	?
Data Watermarking									X	?	?
Fairness										X	?
Explainability											X

#### REFERENCES

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- [2] Victoria Cheng, Vinith M. Suriyakumar, Natalie Dullerud, Shalmali Joshi, and Marzyeh Ghassemi. 2021. Can You Fake It Until You Make It? Impacts of Differentially Private Synthetic Data on Downstream Classification Fairness. In Proceedings of the 2021 ACM Conference on Fairness, Accountability, and Transparency (FAccT '21). Association for Computing Machinery, New York, NY, USA, 149–160. https://doi.org/10.1145/3442188.3445879
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### **Summary: Conflicts among ML protection techniques**

Substantial on-going research on individual threats and protection techniques

But practitioners need to deploy multiple protection techniques in parallel

More work needed to understand conflicts among protection techniques

### **Overall summary**

- 1. Security, Privacy, and Fairness challenges need to be addressed in order to make Al-based systems trustworthy
  - Active research area
- 2. Model extraction is a real threat against ML-based systems
  - No clear general solutions yet
- 3. ML security/privacy techniques can conflict with one another
  - Needs more active research



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