

Machine Learning Estimation on the Trace of Inverse Dirac Operator using the Gradient Boosting Decision Tree Regression

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We present our preliminary results on the machine learning estimation of $\text{Tr } M^{-n}$ from other observables with the gradient boosting decision tree regression, where M is the Dirac operator. Ordinarily, $\text{Tr } M^{-n}$ is obtained by linear CG solver for stochastic sources which needs considerable computational cost. Hence, we explore the possibility of cost reduction on the trace estimation by the adoption of gradient boosting decision tree algorithm. We also discuss effects of bias and its correction.

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ID	$L^3 \times T$	β	κ	c_{SW}	N_{conf}
0	$16^3 \times 4$	1.60	0.13575	2.065	5500
1	$16^3 \times 4$	1.60	0.13580	2.065	5500
2	$16^3 \times 4$	1.60	0.13585	2.065	5500

Table 1: Data used in this paper. These data are originally produced for Ref. [8]. Note that the first phase transition is observed in the ID-1 (the row with bold text).

1. Introduction

For Lattice QCD calculations on observables such as cumulants of the chiral order parameter, the trace of operators ($\text{Tr } O$) is often necessary where O represents an observable such as $O = M^{-1}$, inverse Dirac operator. Here, the trace of operator is often estimated with a stochastic source method [1]. Since $M = (\not{D} + m_0)$, the Dirac operator, is a large sparse matrix on the lattice, its inverse matrix obtained by a linear CG solver requires a considerable computational cost.

In this paper, we present our preliminary result on machine learning estimation of $\text{Tr } M^{-n}$ from other observables such as $\text{Tr } M^{-m}$ ($m < n$). As input observables, we also use plaquette and Polyakov loop obtained when generating gauge configurations with the hybrid Monte Carlo (HMC) algorithm [2–4]. Here, we use the gradient boosting decision tree regression method [5], based on the methodology of Yoon *et al.* [6]. Note that recently, a machine learning mapping between $\text{Tr } M^{-1}$ at different quark masses and gradient flow times was studied in the similar way [7].

For this preliminary analysis, we use the data originally produced for Ref. [8] where Oakforest-PACS system [9] and BQCD program [10] are used. In this data, we use $N_f = 4$ Wilson clover action [11] and Iwasaki gauge action [12, 13] as explained in Ref. [8]. The data used in this work are given in Table 1. We choose 3 datasets which have the same lattice size of $16^3 \times 4$, the lattice coupling constant $\beta = 1.60$, the clover coefficient $c_{\text{SW}} = 2.065$ and the number of gauge configurations $N_{\text{conf}} = 5500$ but different κ values. Especially, at the ID-1 in Table 1, a first phase transition is observed.

2. Analysis detail

Our notation and convention used in this work are summarized in Table 2. For the machine learning (ML) estimation, we perform the following two steps:

1. We train a model $f(X)$ using the data in the S_{TR}^X and S_{TR}^Y .
2. We input $X \in S_{\text{UL}}^X$ into the model $f(X)$ and obtain ML estimation $f(X) = Y^P \approx Y$.

Note that only $Z \in S_{\text{LB}}^Z \subset S^Z$ ($Z = X, Y$) can be used for the model training, which means that there may exist any kind of unwanted fluctuations or weird bias due to the *partial* data usage, in principle. Therefore, using the methodology given in Ref. [6], we do not use all S_{LB}^Z for the model training but use only $S_{\text{TR}}^Z \subset S_{\text{LB}}^Z$, the training set. We use remaining $S_{\text{BC}}^Z = S_{\text{LB}}^Z \setminus S_{\text{TR}}^Z$ for the bias correction. Then we calculate following two estimations:

$$\bar{Y}_{\mathcal{P}1} = \frac{1}{N_{\text{UL}}} \sum_{Y_i \in S_{\text{UL}}^Y} Y_i^P + \frac{1}{N_{\text{BC}}} \sum_{Y_j \in S_{\text{BC}}^Y} (Y_j - Y_j^P), \quad (1)$$

Symbol	Description
X, Y	observables used as input (X) and output (Y) (e.g., $X = \text{Tr } M^{-1}$, $Y = \text{Tr } M^{-2}$)
S^Z	the total dataset of $Z = X, Y$ where $S^Z = S_{\text{LB}}^Z \cup S_{\text{UL}}^Z$
S_{LB}^Z	the labeled set of $Z = X, Y$ where $S_{\text{LB}}^Z = S_{\text{TR}}^Z \cup S_{\text{BC}}^Z$
S_{TR}^Z	the training set of $Z = X, Y$
S_{BC}^Z	the bias correction set of $Z = X, Y$
S_{UL}^Z	the unlabeled set of $Z = X, Y$
N	the number of elements of S^Z where $N = S^X = S^Y $
N_{LB}	the number of elements of S_{LB}^Z where $N_{\text{LB}} = S_{\text{LB}}^X = S_{\text{LB}}^Y $
N_{TR}	the number of elements of S_{TR}^Z where $N_{\text{TR}} = S_{\text{TR}}^X = S_{\text{TR}}^Y $
N_{BC}	the number of elements of S_{BC}^Z where $N_{\text{BC}} = S_{\text{BC}}^X = S_{\text{BC}}^Y $
N_{UL}	the number of elements of S_{UL}^Z where $N_{\text{UL}} = S_{\text{UL}}^X = S_{\text{UL}}^Y $
$f(X)$	the model trained with S_{TR}^X and S_{TR}^Y
Y^P	the machine learning estimation on Y

Table 2: Notation and convention used in this paper for the explanation of our work.

$$\bar{Y}_{\varphi_2} = \frac{N_{\text{UL}}}{N} \bar{Y}_{\varphi_1} + \frac{N_{\text{LB}}}{N} \bar{Y}_{(\text{LB})} \quad \text{where} \quad N = N_{\text{LB}} + N_{\text{UL}}, \quad \bar{Y}_{(\text{LB})} = \frac{1}{N_{\text{LB}}} \sum_{Y_k \in S_{\text{LB}}^Y} Y_k. \quad (2)$$

Here, \bar{Y}_{φ_1} in Eq. (1) is the statistical average on Y^P with the bias correction. To improve the statistical precision, we further introduce \bar{Y}_{φ_2} in Eq. (2), the weighted average of \bar{Y}_{φ_1} and the original CG results in the labeled set, $\bar{Y}_{(\text{LB})}$. To obtain statistical errors, we use the bootstrap resampling method with $N_{\text{BS}} = 10,000$ where N_{BS} represents the number of bootstrap resamples.

For the ML estimation on Y using X , the strong correlation between X and Y is often required. In the Fig. 1, we report the correlation between $\text{Tr } M^{-n}$ ($n = 1, 2, 3, 4$), plaquette and Polyakov loop from two datasets: ID-0 (the heaviest quark) and ID-2 (the lightest quark). The red (yellow) color represents strong (weak) correlation between observables. Note that we need to be careful with $Y = \text{Tr } M^{-4}$ case, due to the weak correlation with other observables such as $X = \text{Tr } M^{-m}$ ($m = 1, 2, 3$), $X = \text{Plaquette}$ and $X = \text{Polyakov loop}$. Except for it, we observe strong correlations in most cases. Hence, using the overall tendency of strong correlation, we perform the ML estimation. We also check the results for $Y = \text{Tr } M^{-4}$ and compare it with the other analysis results for $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$).

For the economic efficiency of the ML estimation, that is, to reduce the computational cost from the linear CG solver, we should use the least possible S_{LB}^Z ($Z = X, Y$). Here, note that we need to use Y as well as Y^P for the bias correction. This means that we should grant sufficient statistics to the S_{BC}^Z among the S_{LB}^Z . In summary, we monitor the following two factors in this work:

1. We find out minimal $\mathcal{R}_{\text{LB}} \equiv \frac{N_{\text{LB}}}{N}$ where $N = N_{\text{LB}} + N_{\text{UL}}$ and $\mathcal{R}_{\text{LB}} = 5, 10, \dots, 50\%$.
2. We find out maximal $\mathcal{R}_{\text{TR}} \equiv \frac{N_{\text{TR}}}{N_{\text{LB}}}$ where $N_{\text{LB}} = N_{\text{TR}} + N_{\text{BC}}$ and $\mathcal{R}_{\text{TR}} = 10, 20, \dots, 90\%$.

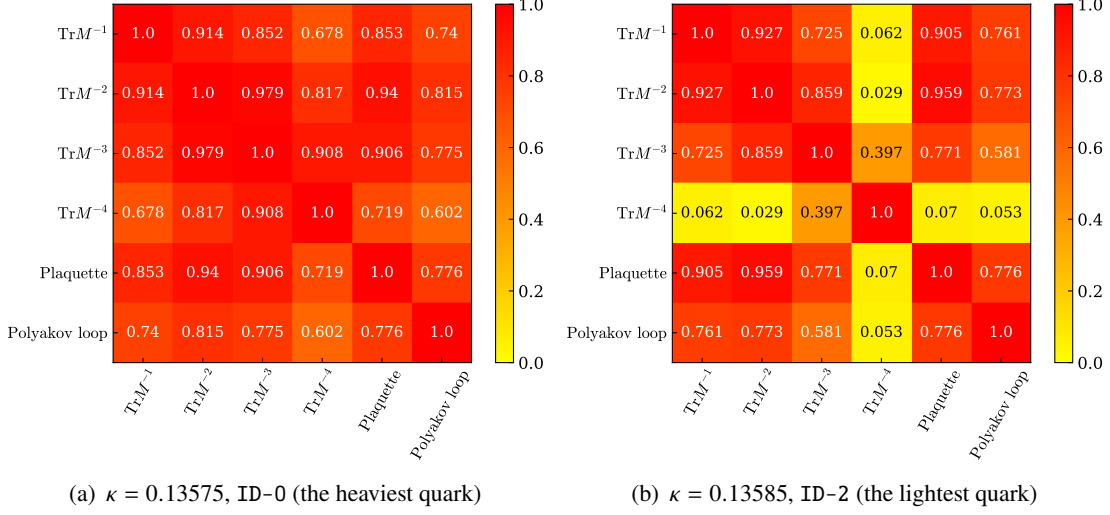


Figure 1: Correlation between physical observables.

Here, we also monitor $\mathcal{R}_{\text{TR}} = 0\%$ ($S_{\text{TR}}^Z = \emptyset$ for $Z = X, Y$) to check that S_{LB}^Y itself approaches to the true answer along the increase of \mathcal{R}_{LB} , that is, we do not perform ML estimation at $\mathcal{R}_{\text{TR}} = 0\%$ but observe only the statistical average and error of the S_{LB}^Y . We also monitor $\mathcal{R}_{\text{TR}} = 100\%$ ($S_{\text{BC}}^Z = \emptyset$) to check what happens when we do not use the bias correction method in the ML estimation.

For the ML estimation of $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3, 4$), we use the gradient boosting decision tree regression method [5]. To be specific, we use `LightGBM` [14] framework via `JuliaAI/MLJ.jl` [15]. We use 40 boosting stages of depth-3 trees with learning rate of 0.1 and sub-sampling of 0.7.

To check the usefulness of this method, we compare the ML estimation, $\{\bar{Y}_Q, \sigma_Q\}$ ($Q = \mathcal{P}_1, \mathcal{P}_2$), with the original CG result, $\{\bar{Y}_{\text{Orig}}, \sigma_{\text{Orig}}\}$. We prepare following two evaluation criteria (**EC-x**).

EC-1 We check whether statistical average of ML estimation and original CG results are close to each other or not.

- (a) If both of \bar{Y}_{Orig} and \bar{Y}_Q agree with 1σ level each other, then we grant score 2. (Fig. 2(a))
- (b) If only one of them is included in the other's 1σ error, then we grant score 1. (Fig. 2(b))
- (c) If \bar{Y}_{Orig} and \bar{Y}_Q do not agree with 1σ level each other, then we grant score 0. (Fig. 2(c))

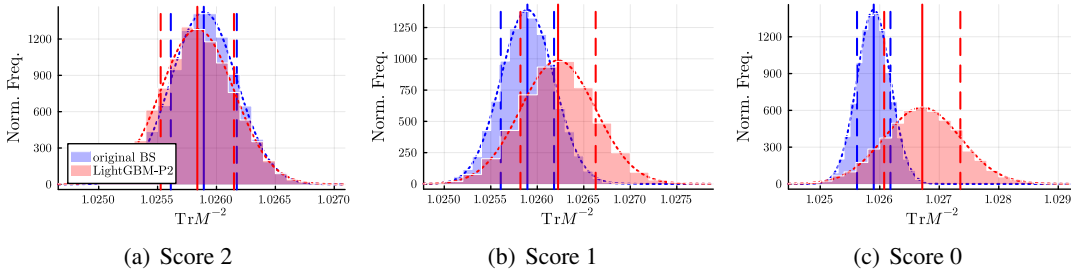


Figure 2: Histograms on the three possible cases can be occurred where blue (red) histogram represents original CG result (ML estimation). Here, data for $X = \text{Tr } M^{-1}$ and $Y = \text{Tr } M^{-2}$ are used. Vertical solid (dotted) lines represent statistical averages (1σ errors).

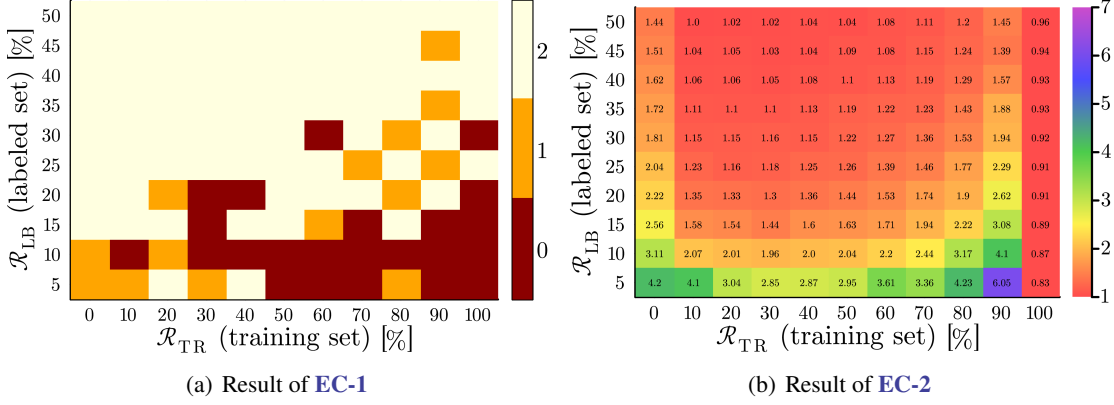


Figure 3: Results on (a) EC-1 and (b) EC-2 of $\mathcal{P}2$ estimation using $(X, Y) = (\text{Plaquette}, \text{Tr } M^{-3})$ for ID-0 dataset where the heaviest quark is used. White, orange, red color of (a) represents score 2, 1, 0, respectively. Here, the magnitude of \mathcal{R}_σ (Eq. (3)) in (b) is represented using the color of rainbow. For example, if $\mathcal{R}_\sigma \approx 7$ for certain point, then we observe purple-like color there.

$\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\}$	Plaquette	Polyakov loop	$\text{Tr } M^{-1}$	$\text{Tr } M^{-2}$	$\text{Tr } M^{-3}$
$\text{Tr } M^{-1}$	{40, 50}	{40, 40}			
$\text{Tr } M^{-2}$	{30, 40}	{35, 30}	{30, 40}		
$\text{Tr } M^{-3}$	{30, 40}	{40, 40}	{35, 40}	{25, 70}	
$\text{Tr } M^{-4}$	{45, 40}	{45, 40}	{45, 40}	{35, 40}	{25, 40}

Table 3: Results on $\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\}$ of $\mathcal{P}2$ estimation for ID-0 dataset where the heaviest quark is used. Here, the column and row represent the X (input) and Y (output), respectively. For example, $\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\} = \{30, 40\}$ represents that ML estimation got consistent score 2 at EC-1 and showed $\mathcal{R}_\sigma \leq 1.2$ at EC-2 in the $\mathcal{R}_{\text{LB}} \geq 30\%$ and $\mathcal{R}_{\text{TR}} \leq 40\%$ region.

EC-2 We check whether

$$\mathcal{R}_\sigma \equiv \frac{\sigma_Q}{\sigma_{\text{Orig}}} \approx 1, \quad (3)$$

that is, the statistical error of ML estimation, σ_Q , is close to that of original CG result, σ_{Orig} , or not. Currently, we are finding unambiguous explicit criterion for this. In this paper, we use $\mathcal{R}_\sigma \leq 1.2$ which is tentatively determined empirically, monitoring our preliminary results.

Therefore, if an ML estimation got score 2 at the EC-1 and turned out that $\mathcal{R}_\sigma \approx 1$ (tentatively $\mathcal{R}_\sigma \leq 1.2$ in this paper) at the EC-2, then this ML estimation can be thought that it imitates its original CG result as well as possible.

3. Results

Here we show our preliminary results on the ML estimation of $Y = \text{Tr } M^{-n}$. Note that we use single X for the ML estimation of Y in this analysis. As examples, we show results on EC-1 and

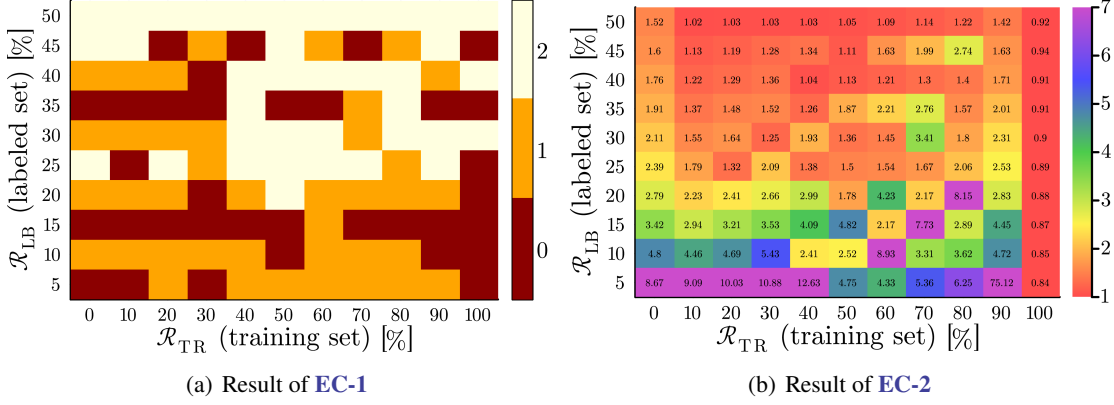


Figure 4: Results on (a) EC-1 and (b) EC-2 of $\mathcal{P}2$ estimation using $(X, Y) = (\text{Plaquette}, \text{Tr } M^{-3})$ for ID-2 dataset where the lightest quark is used. We use same notation as in Fig. 3.

$\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\}$	Plaquette	Polyakov loop	$\text{Tr } M^{-1}$	$\text{Tr } M^{-2}$	$\text{Tr } M^{-3}$
$\text{Tr } M^{-1}$	{30, 40}	{35, 30}			
$\text{Tr } M^{-2}$	{40, 80}	{40, 40}	{30, 50}		
$\text{Tr } M^{-3}$	N.A.	N.A.	N.A.	N.A.	
$\text{Tr } M^{-4}$	N.A.	N.A.	N.A.	N.A.	N.A.

Table 4: Results on $\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\}$ of $\mathcal{P}2$ estimation for ID-2 dataset where the lightest quark is used. We use same notation as in Table 3. Here, “N.A.” means that we cannot find consistent good region for EC-1 and EC-2.

EC-2 using $(X, Y) = (\text{Plaquette}, \text{Tr } M^{-3})$ for ID-0 dataset (Fig. 3), ID-1 dataset (Fig. 5), and ID-2 dataset (Fig. 4).

We report our results on ID-0 dataset where the heaviest quark is used in the measurement. In Fig. 3(a), we observe that we obtain score 2 consistently in the region of $\mathcal{R}_{\text{LB}} \gtrsim 30\%$ and $\mathcal{R}_{\text{TR}} \lesssim 50\%$ (EC-1). In Fig. 3(b), we observe that we obtain $\mathcal{R}_{\sigma} \leq 1.2$ in the region of $\mathcal{R}_{\text{LB}} \gtrsim 30\%$ and $\mathcal{R}_{\text{TR}} \lesssim 40\%$ (EC-2). As we can see from $\mathcal{R}_{\text{TR}} = 100\%$ column ($S_{\text{BC}}^Z = \emptyset$ for $Z = X, Y$) of Fig. 3(a), we need $\mathcal{R}_{\text{LB}} \gtrsim 35\%$, slightly larger \mathcal{R}_{LB} than those of $S_{\text{BC}}^Z \neq \emptyset$ case.

In Table 3, we report our analysis on all possible cases with single input (X) and output (Y) for ID-0 dataset. We found that the ML estimation on $Y = \text{Tr } M^{-n}$ works well for $\mathcal{R}_{\text{LB}} \gtrsim 40\%$ even when we use $X = \text{Plaquette}$ and $X = \text{Polyakov loop}$. We also found that the ML estimation on $Y = \text{Tr } M^{-4}$ needs more ratio of labeled set (\mathcal{R}_{LB}) than $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$). However, we need $\mathcal{R}_{\text{LB}} \gtrsim 25\%$ when $(X, Y) = (\text{Tr } M^{-2}, \text{Tr } M^{-3})$ and $(X, Y) = (\text{Tr } M^{-3}, \text{Tr } M^{-4})$.

Next, we report our results on ID-2 dataset where the lightest quark is used in the measurement. We cannot find consistent score-2 region (EC-1) from Fig. 4(a). We also cannot find consistent $\mathcal{R}_{\sigma} \leq 1.2$ region (EC-2) from Fig. 4(b). The ML estimation on $Y = \text{Tr } M^{-3}$ using $X = \text{Plaquette}$ does not work well for ID-2 dataset.

In Table 4, we report our analysis on all possible cases with single input (X) and output (Y) for ID-2 dataset. We found that only the ML estimation on $Y = \text{Tr } M^{-n}$ ($n = 1, 2$) works well for

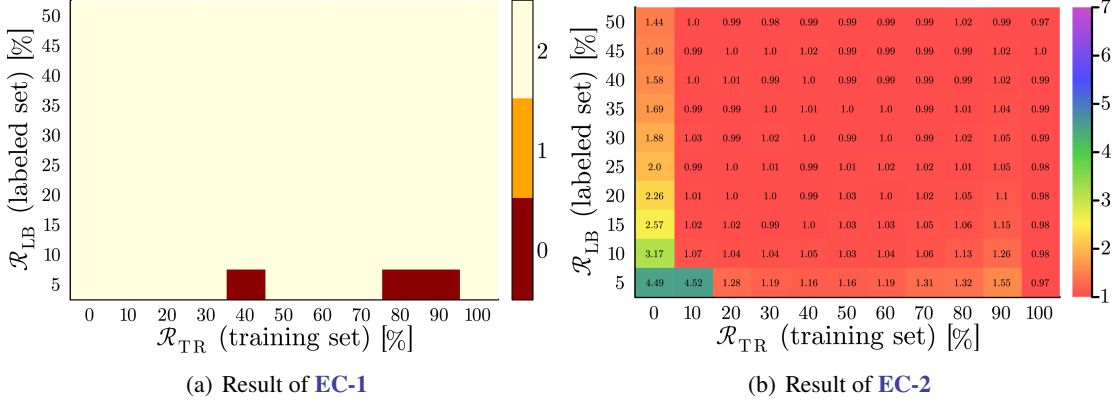


Figure 5: Results on (a) **EC-1** and (b) **EC-2** of $\mathcal{P}2$ estimation using $(X, Y) = (\text{Plaquette}, \text{Tr } M^{-3})$ for ID-1 dataset where the first order phase transition observed. We use same notation as in Fig. 3.

$\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\}$	Plaquette	Polyakov loop	$\text{Tr } M^{-1}$	$\text{Tr } M^{-2}$	$\text{Tr } M^{-3}$
$\text{Tr } M^{-1}$	{10, 80}	{10, 70}			
$\text{Tr } M^{-2}$	{10, 90}	{10, 70}	{10, 80}		
$\text{Tr } M^{-3}$	{10, 80}	{10, 70}	{10, 70}	{10, 90}	
$\text{Tr } M^{-4}$	{40, 70}	{40, 80}	{40, 80}	{40, 80}	{40, 80}

Table 5: Results on $\{\mathcal{R}_{\text{LB}}^{\geq}, \mathcal{R}_{\text{TR}}^{\leq}\}$ of $\mathcal{P}2$ estimation for ID-1 dataset where the first order phase transition is observed. We use same notation as in Table 3.

$\mathcal{R}_{\text{LB}} \geq 40\%$. The results on **EC-1** and **EC-2** for $Y = \text{Tr } M^{-n}$ ($n = 3, 4$) are all similar with Fig. 4.

Finally, we report our results on ID-1 dataset where the first order phase transition is observed. In Fig. 5(a), we observe that we obtain score 2 consistently in the region of $\mathcal{R}_{\text{LB}} \geq 10\%$ and $\mathcal{R}_{\text{TR}} \leq 90\%$ (**EC-1**). In Fig. 5(b), we observe that we obtain $\mathcal{R}_{\sigma} \leq 1.2$ in the region of $\mathcal{R}_{\text{LB}} \geq 10\%$ and $\mathcal{R}_{\text{TR}} \leq 80\%$ (**EC-2**).

In Table 5, we report our analysis on all possible cases with single input (X) and output (Y) for ID-1 dataset. We found that the ML estimation on $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$) works well for $\mathcal{R}_{\text{LB}} \geq 10\%$ even when we use $X = \text{Plaquette}$ and $X = \text{Polyakov loop}$. On the other hand, the ML estimation on $Y = \text{Tr } M^{-4}$ needs more ratio of labeled set (\mathcal{R}_{LB}) than $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$), *i.e.*, $\mathcal{R}_{\text{LB}} \geq 40\%$.

4. Summary and to-do list

We performed preliminary analysis on ML estimation on $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3, 4$) using $X = \text{Tr } M^{-m}$ ($m < n$), $X = \text{Plaquette}$ and $X = \text{Polyakov loop}$. Here, we used the gradient boosting decision tree regression method [5].

With the heaviest quark (ID-0 dataset), we observed that the ML estimation of $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$) showed consistently good results at $\mathcal{R}_{\text{LB}} \geq 40\%$ where $Y = \text{Tr } M^{-4}$ required slightly more \mathcal{R}_{LB} than $n = 1, 2, 3$ cases. With the lightest quark (ID-2 dataset), we observed that only the

ML estimation of $Y = \text{Tr } M^{-n}$ ($n = 1, 2$) works well at $\mathcal{R}_{\text{LB}} \gtrsim 40\%$. On the other hand, the ID-1 dataset where the first order phase transition is observed, we observed that the ML estimation of $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$) showed consistently good results at $\mathcal{R}_{\text{LB}} \gtrsim 10\%$. However, $Y = \text{Tr } M^{-4}$ still required $\mathcal{R}_{\text{LB}} \gtrsim 40\%$ even in this dataset.

In this preliminary result with three datasets, we observed that ML estimation of $Y = \text{Tr } M^{-n}$ works well with heavier quark mass. Especially, we observed that the ML estimation of $Y = \text{Tr } M^{-n}$ works quite well when the first order phase transition is observed at the dataset. However, the quality of $Y = \text{Tr } M^{-4}$ estimation is not good comparing with $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3$). To get better $Y = \text{Tr } M^{-4}$ estimation, we need to use $X = \text{Tr } M^{-3}$, for example (except for ID-2 dataset where the lightest quark is used).

In this paper, we used single input (X) for the ML estimation of $Y = \text{Tr } M^{-n}$ ($n = 1, 2, 3, 4$). We need to check whether we get better results when we use multiple inputs: for example, we use $X = \{\text{Plaquette}, \text{Tr } M^{-1}\}$ for the ML estimation of $Y = \text{Tr } M^{-4}$. This work is in progress.

We need to check whether we can obtain reliable cumulants of chiral order parameters such as susceptibility, skewness, kurtosis [8] using ML estimation. This work is also in progress.

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