

# **A computational framework for analysis of functional MRI data for developing imaging-derived biomarkers for HIV Associated Neurocognitive Disorders**

## **PhD Thesis Proposal**

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# Proposed research

- Computational approach for analysis of functional MRI data
- Focus on improved characterization of information flow within the brain
- Network analysis approaches for identifying changes in the brain during neurologic diseases
- Study of HIV Associated Neurocognitive disorders



# Functional Magnetic Resonance Imaging (fMRI)

- A technique for measuring brain activity over time using MRI
- Detects the changes in oxygenated blood flow, hence referred to as BOLD fMRI
- Resting state fMRI without any stimulus has been used to capture explicit patterns in brain activity
- Reproducible resting state networks have been observed

Background



Specific Aims



Directed  
Connectivity

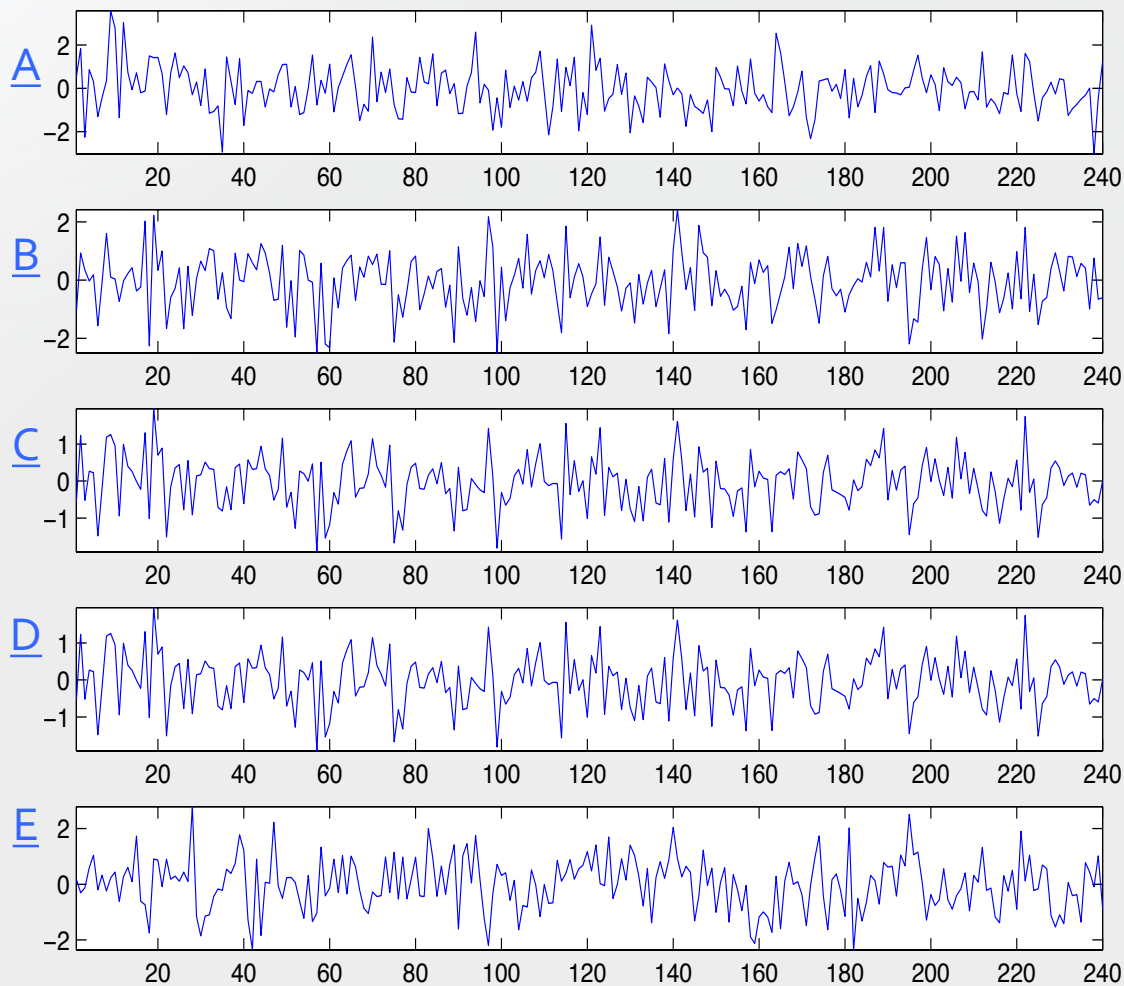
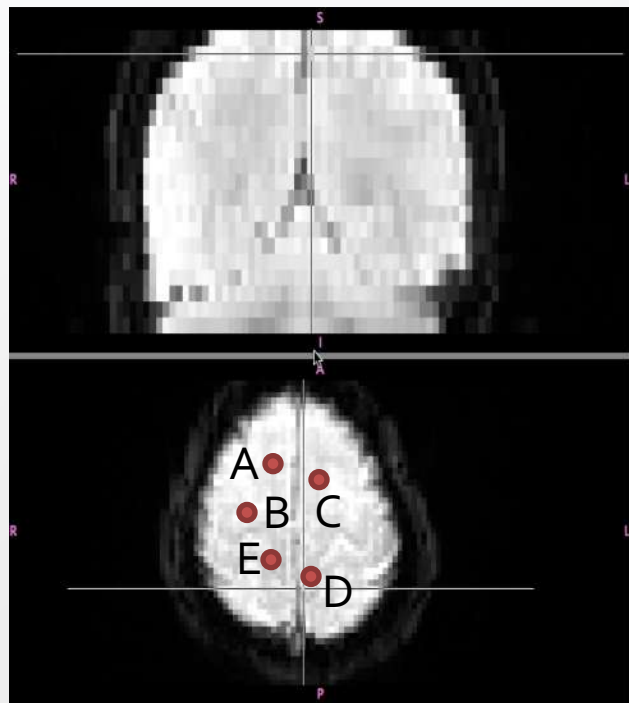


Network  
Analysis



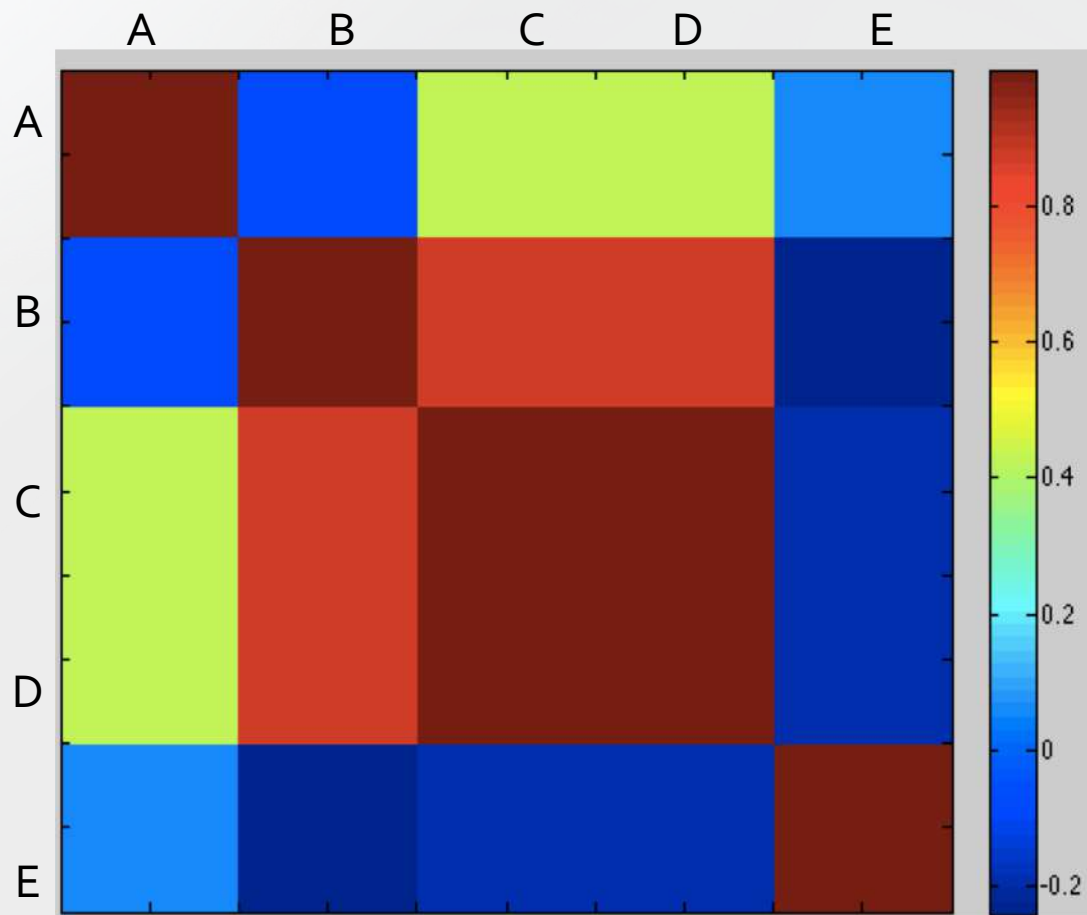
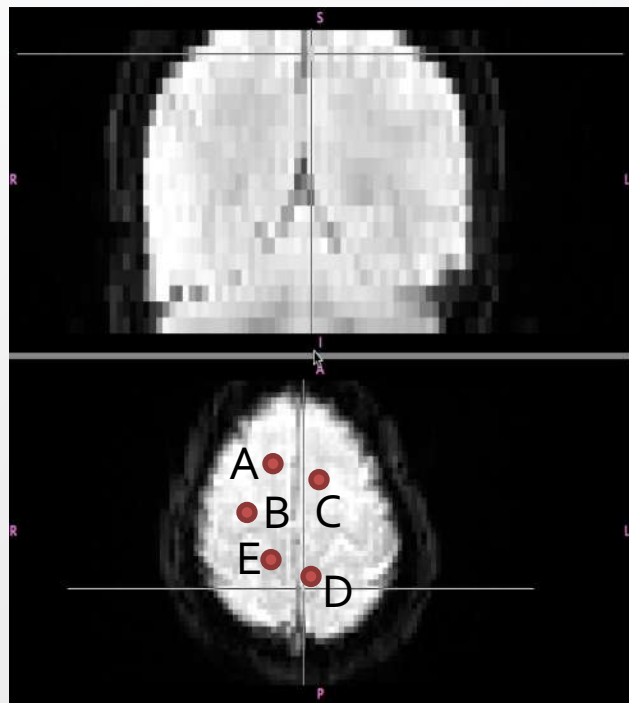
Brain Network in  
HAND

# fMRI time series





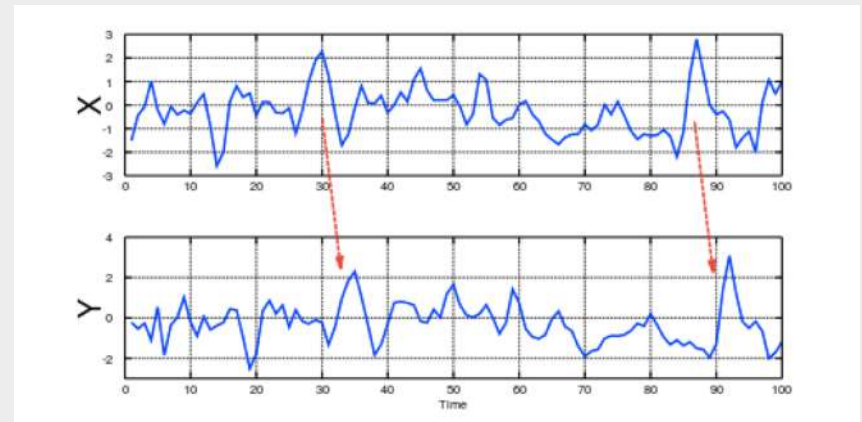
# fMRI time series





# Information Theory and Causality

- Methods in information science enable us to quantify the information flow between such time series
- Can one time series be helpful in forecasting another?
- Measuring such a prediction ability indicates the presence of a directional influence





# HIV Associated Neurocognitive Disorder (HAND)

- Reports estimate that about 1.2 million Americans and 40 million people worldwide live with HIV/AIDS
- HIV is capable of invading the brain soon after seroconversion and causing continuous neuronal injury
- Can eventually lead to deficits in multiple cognitive domains commonly referred to as HIV-associated neurocognitive disorders (HAND)
- Difficult to detect, particularly when mild impairment persists

Background



Specific Aims



Directed  
Connectivity

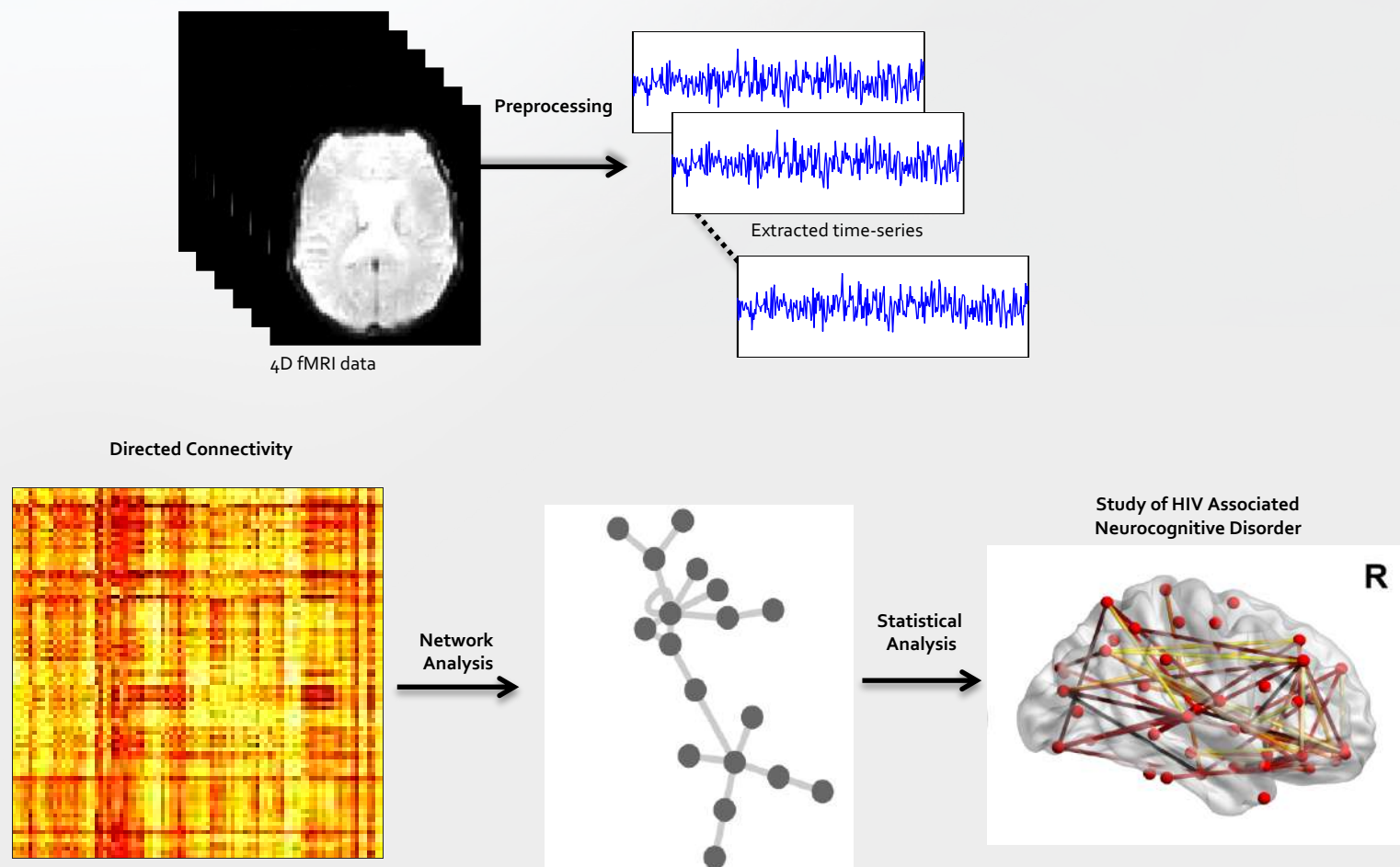


Network  
Analysis



Brain Network in  
HAND

# Outline







# Specific Aims

1. **To develop and evaluate novel time-series analysis methods for exploring connectivity in high-dimensional time-series ensemble.**
  - Develop the framework utilizing state-space reconstruction and radial basis function networks, for capturing non-linear pair-wise interactions in time-series.
  - Explore the applicability of multivariate time-series analysis methods for recovery of underlying network interactions using large-scale Granger causality.
  - Systematically test and evaluate the performance of the methods for adequate recovery of underlying network structure via the use of benchmark datasets and functional MRI simulations.



# Approach - Connectivity

- Existing methods have certain disadvantages owing to *a priori* assumptions, linear models
- Can the use of non-linear techniques enhance the characterization of connectivity?
- Mutual Connectivity Analysis using Generalized Radial Basis Function network (MCA-GRBF)



# Approach - Connectivity

- According to dynamical systems theory, the state of a system at every instant is controlled by its state variables
  - Two time-series are causally linked if they share a common state space
- fMRI time-series are not the actual state variables, but only a projection on a lower dimensional space
- Interactions can be better understood using state-space reconstruction
  - A time-delayed sequence of observations can be used to represent/understand the original state-space of systems



# Approach - Connectivity

- We can construct a  $d$ -dimensional state space

For a given time-series, say  $x(t)$

$$\mathbf{x}_t = \left( x(t), x(t+1), \dots, x(t+d) \right), t = 1, 2, \dots, l-d,$$

where,  $d$  is the embedding dimension

&  $l$  is the length of the time-series



- Exact embedding dimensions of a system are not known but can be estimated quantitatively (Cao's criterion)



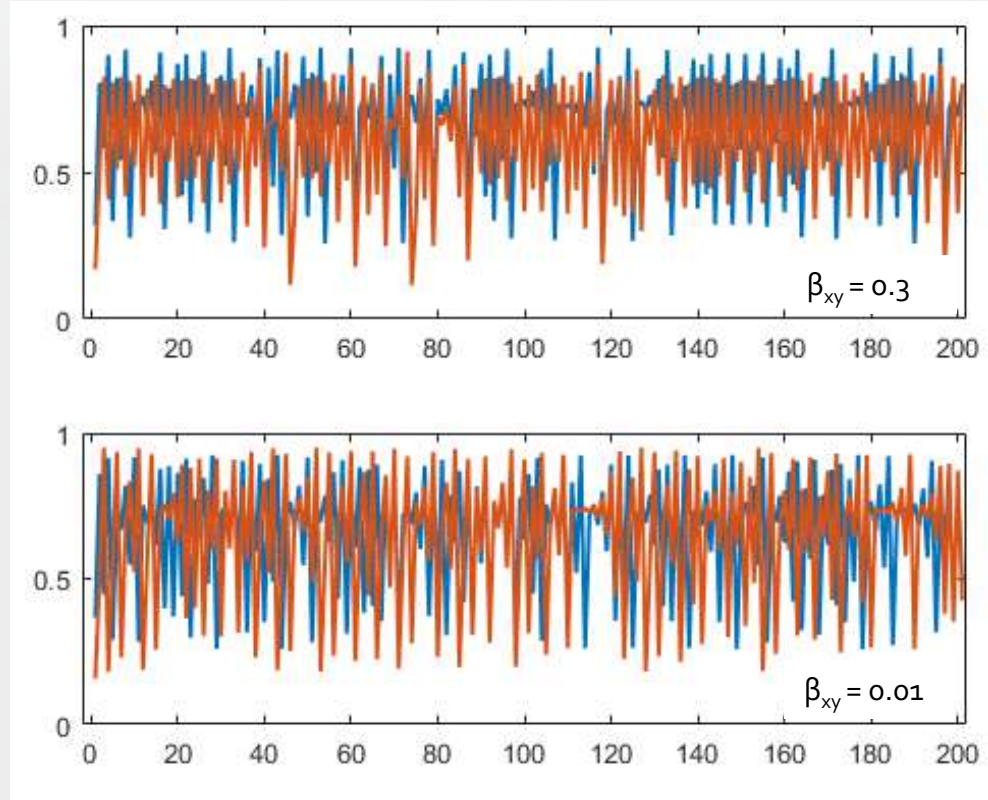
# Approach - Connectivity

Lotka-Volterra 2 species models\*

$$x(t+1) = x(t)(r_x - r_x x(t) - \beta_{xy} y(t))$$

$$y(t+1) = y(t)(r_y - r_y y(t) - \beta_{yx} x(t))$$

where,  $r_x = 3.7, r_y = 3.8, \beta_{yx} = 0.01$





# Approach - Connectivity

Lotka-Volterra 2 species models

$$x(t+1) = x(t)(r_x - r_x x(t) - \beta_{xy} y(t))$$

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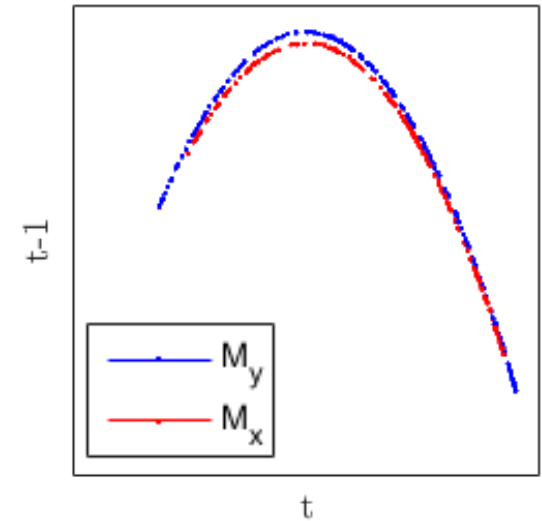
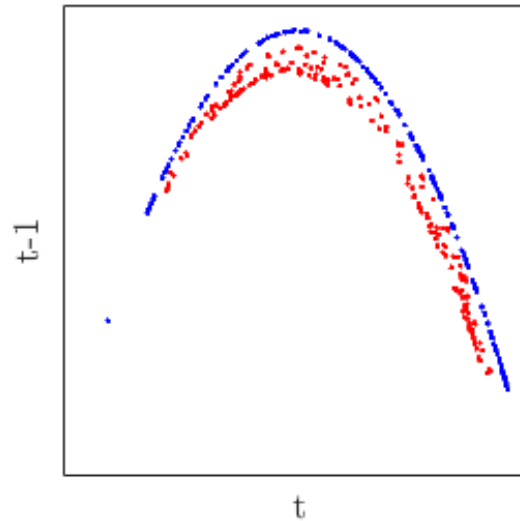
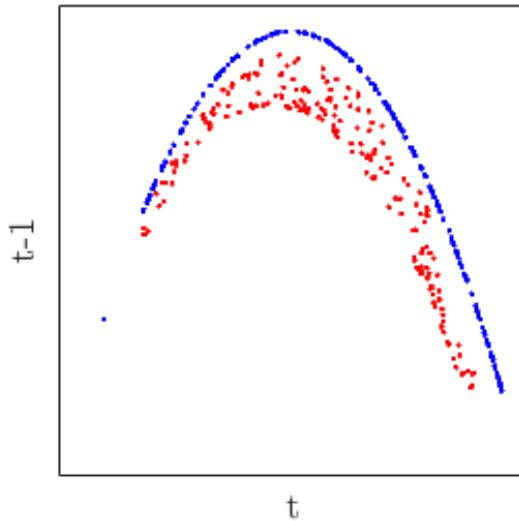
where,  $r_x = 3.7, r_y = 3.8, \beta_{yx} = 0.01$

$$\beta_{xy} = 0.3$$

$$\beta_{xy} = 0.15$$

$$\beta_{xy} = 0.01$$

$d = 2$





# Approach - Connectivity

Lotka-Volterra 2 species models

$$x(t+1) = x(t)(r_x - r_x x(t) - \beta_{xy} y(t))$$

$$y(t+1) = y(t)(r_y - r_y y(t) - \beta_{yx} x(t))$$

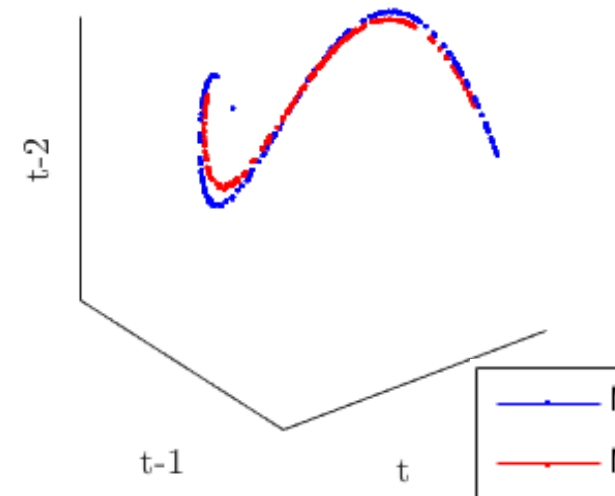
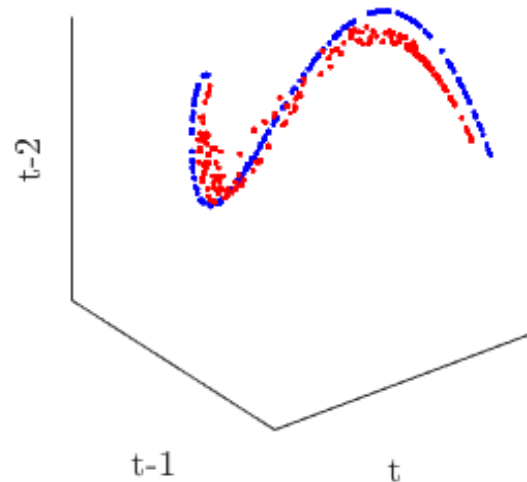
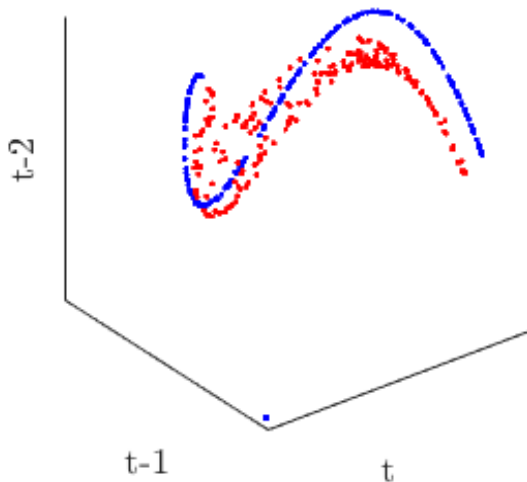
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$$\beta_{xy} = 0.3$$

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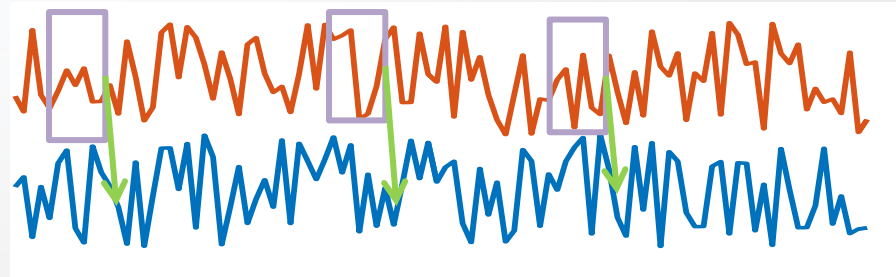
$d = 3$







# Approach - Connectivity



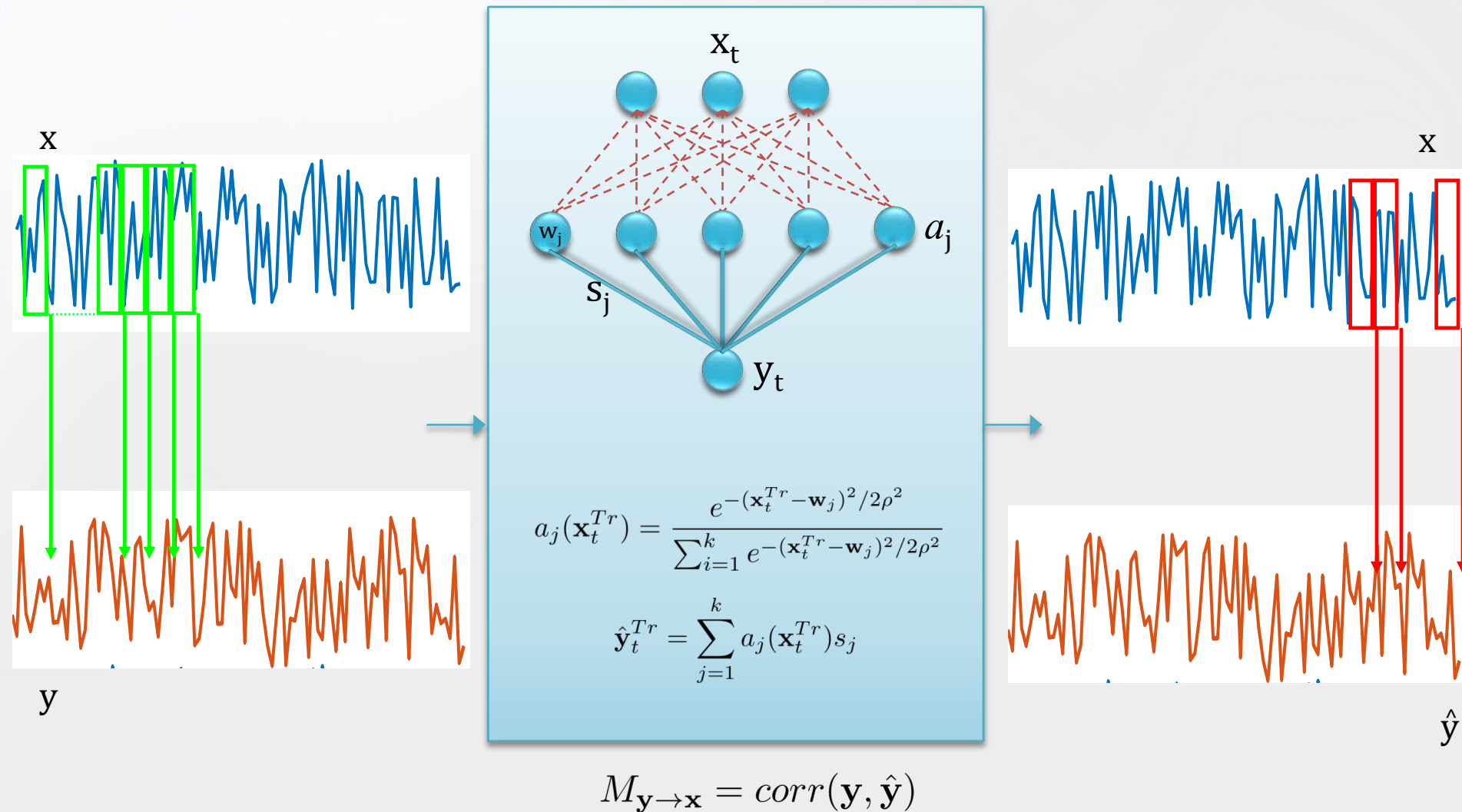
$$\mathbf{y}_t = \mathbf{f}(\mathbf{x}_t)$$

- Using a radial basis function neural network (Mutual Connectivity Analysis \*)
- An input, hidden and output layer
- Can the past of  $\mathbf{x}$  be used to predict/cross-map a future  $\mathbf{y}$





# Approach – MCA GRBF





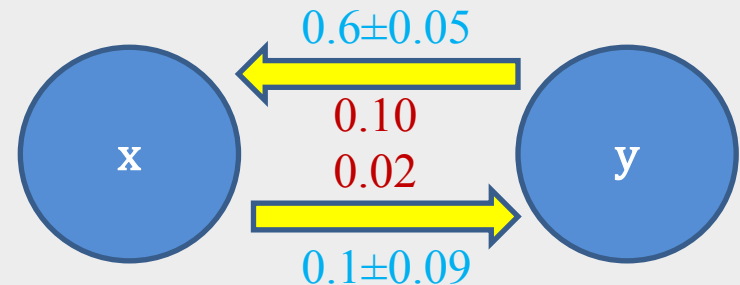
# Validation(s)

Lotka-Volterra 2 species models

$$x(t+1) = x(t)(r_x - r_x x(t) - \beta_{xy} y(t))$$

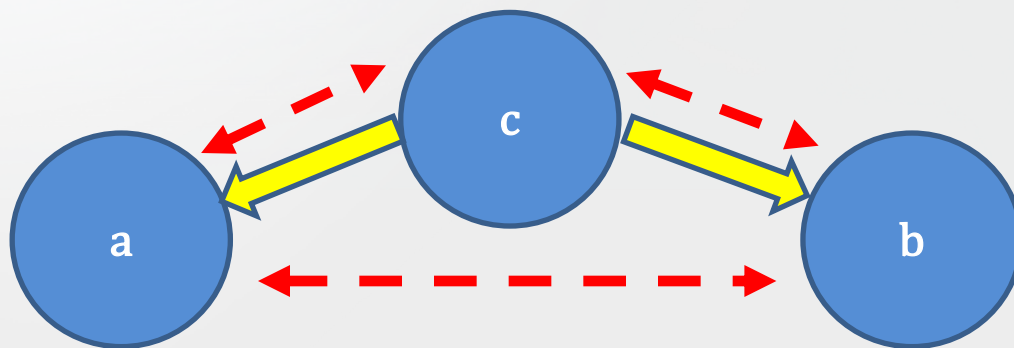
$$y(t+1) = y(t)(r_y - r_y y(t) - \beta_{yx} x(t))$$

where,  $r_x = 3.7, r_y = 3.8$





# Indirect interactions



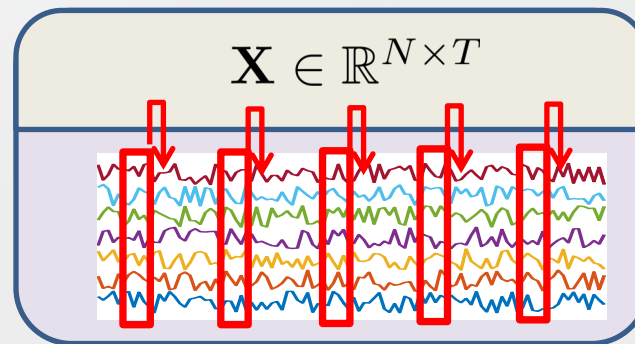


# Granger Causality

## Vector Auto-Regressive (VAR) Modelling

Consider a system,  $\mathbf{X}$ , with  $N$  time series.

$$x(t) = \sum_{j=1}^m \mathbf{A}\mathbf{R}_j x(t-j) + e(t)$$



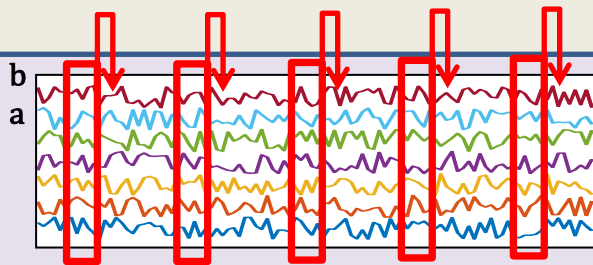
We get an estimate  $\hat{\mathbf{X}}$  using VAR modelling.  $\mathbf{A}\mathbf{R}_j \in \mathbb{R}^{N \times N}$  are the model parameters.  $m$  is the order of the process.



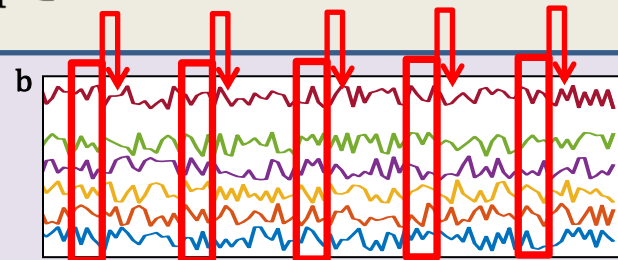
# Granger Causality\*

If the prediction quality of **b** improves when the past of **a** is used in its prediction as compared to its quality of prediction in the absence of **a**, then **a** *Granger Causes* **b**

Full ensemble of time series,  $\mathbf{X} \in \mathbb{R}^{N \times T}$



Time series ensemble without **a**.  
 $\mathbf{X}_{\setminus \mathbf{a}} \in \mathbb{R}^{N-1 \times T}$

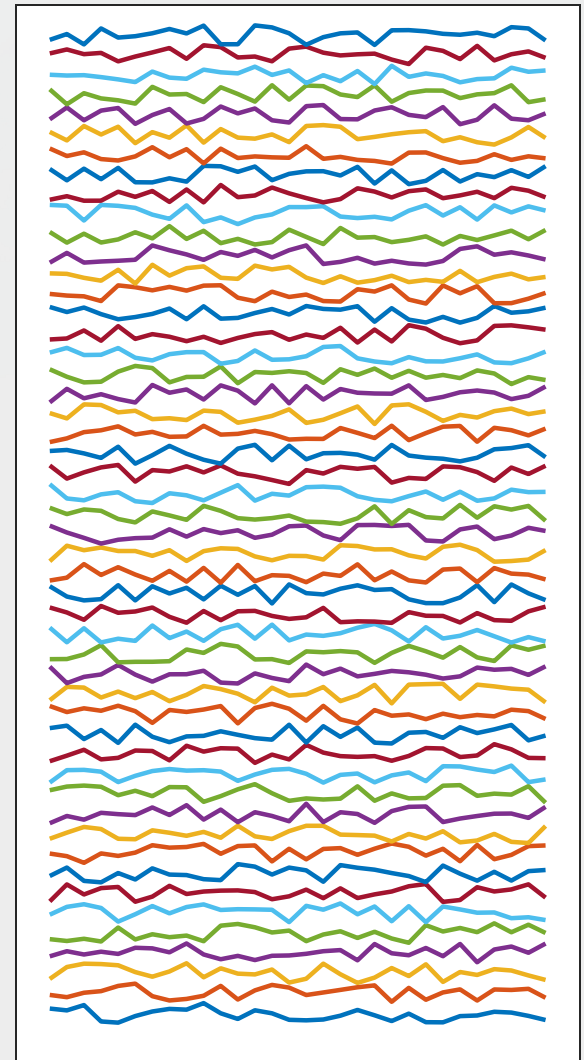


$$F_{\mathbf{a} \rightarrow \mathbf{b}} = \log \frac{\sigma(e_{\mathbf{b}|\mathbf{X}_{\setminus \mathbf{a}}})}{\sigma(e_{\mathbf{b}|\mathbf{X}})} \text{ where, } e_{\mathbf{b}|\mathbf{X}_{\setminus \mathbf{a}}} = \mathbf{b} - \hat{\mathbf{b}}_{\mathbf{X}_{\setminus \mathbf{a}}}$$



# Limitation(s)

- Cannot be extended to a full brain analysis as  $N \gg T$ 
  - As  $N$  increases number of parameter increase by  $N^2$
  - This results in an under-determined problem.
- Granger causality is generally applied on fMRI datasets through
  - a priori ROI selection
  - Longer time series





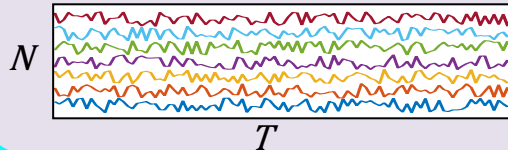
# Large scale Granger Causality (IsGC)\*

- We try to circumvent the  $N \gg T$  problem
- Incorporate an additional step of invertible dimension reduction
- We can obtain the ***directional information*** scores at ***voxel*** level, in a ***multivariate*** sense

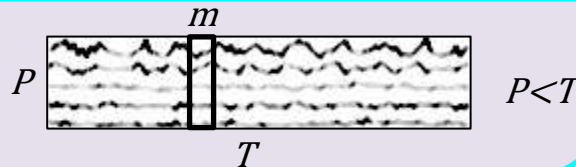


# Large scale Granger Causality (lsGC)

Full ensemble of time series,  $\mathbf{X} \in \mathbb{R}^{N \times T}$



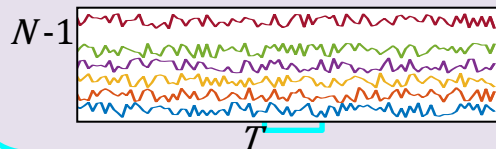
Dimension reduction using PCA on  $\mathbf{X}$ . We take 1<sup>st</sup>  $P$  components.  $\mathbf{Z} = \mathbf{W}\mathbf{X}$



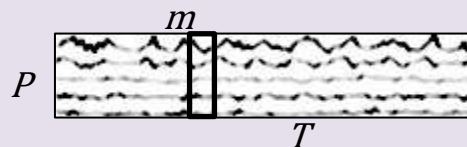
VAR results in estimating  $\hat{\mathbf{Z}}$ .  
Obtain  $\hat{\mathbf{X}} = \mathbf{W}^{-1}\hat{\mathbf{Z}}$

Time series ensemble without  $\mathbf{a}$ .

$\mathbf{X}_{\setminus \mathbf{a}} \in \mathbb{R}^{N-1 \times T}$



Dimension reduction using PCA on  $\mathbf{X}_{\setminus \mathbf{a}}$ . We take 1<sup>st</sup>  $P$  components.  $\mathbf{Z}_{\setminus \mathbf{a}} = \mathbf{W}_{\mathbf{a}}\mathbf{X}_{\setminus \mathbf{a}}$



$$F_{\mathbf{a} \rightarrow \mathbf{b}} = \log \frac{\sigma(e_{\mathbf{b}|\mathbf{X}_{\setminus \mathbf{a}}})}{\sigma(e_{\mathbf{b}|\mathbf{X}})}$$

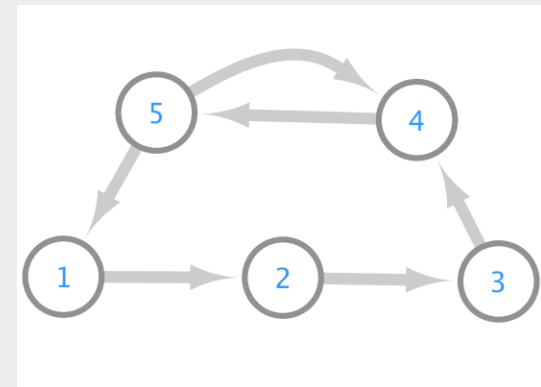
VAR results in estimating  $\hat{\mathbf{Z}}_{\setminus \mathbf{a}}$ .  
Obtain  $\hat{\mathbf{X}}_{\setminus \mathbf{a}} = \mathbf{W}_{\mathbf{a}}^{-1}\hat{\mathbf{Z}}_{\setminus \mathbf{a}}$





# Large scale Granger Causality (IsGC)

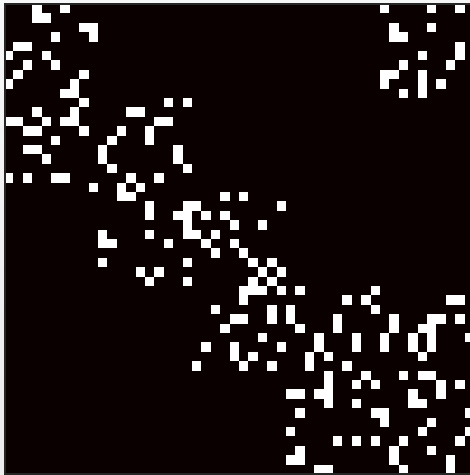
- To validate this IsGC we generated a system of time-series with known structure
- 50-dimensional stationary multivariate autoregressive (MVAR) processes of order two were generated
- Corresponding AR parameters were chosen according to Baccala et. al.
- Network consists of 5 clusters



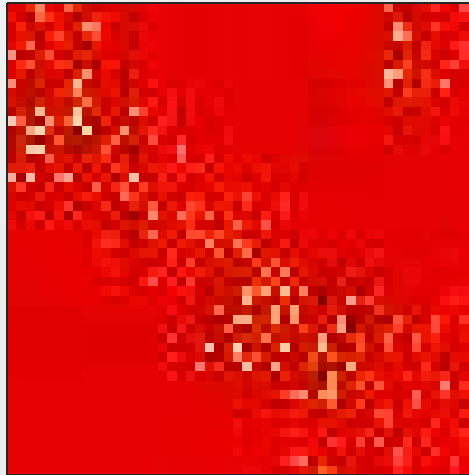


# Large scale Granger Causality (IsGC)

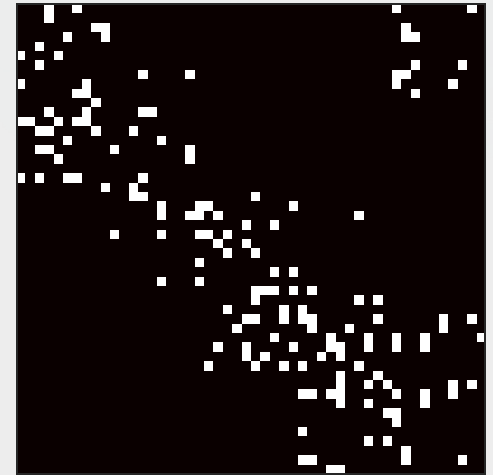
Network Structure



IsGC



Thresholded



AUC = 0.91

cscn = 0.87



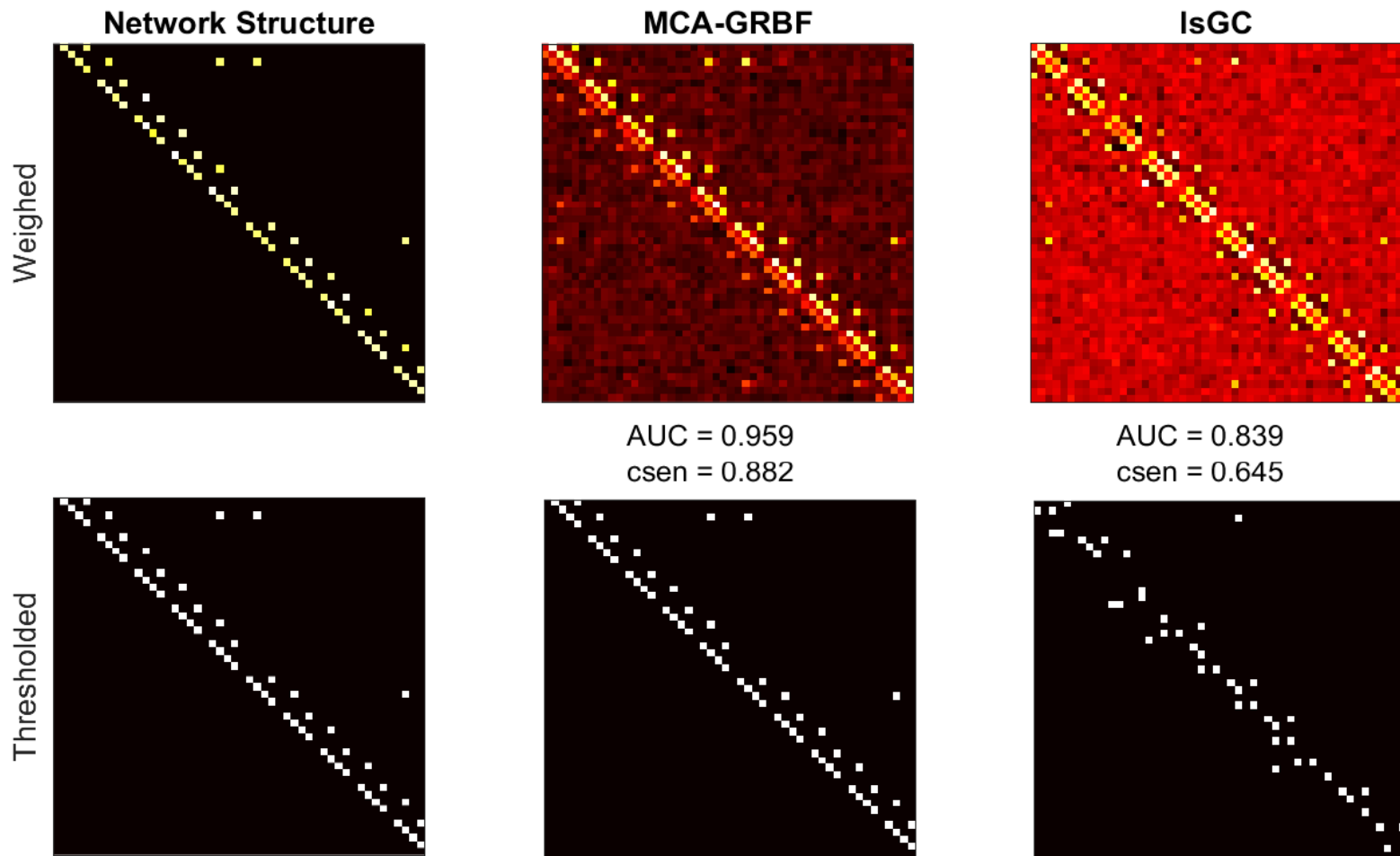
# Validation(s) – fMRI simulations

- Realistic fMRI simulations
  - As proposed by Smith et. al.\* specifically for validation of network modelling methods
  - Based on the dynamic causal modelling with non-linear hemodynamic response on top of a neural network
- Network of varied complexity can be used for simulation of BOLD time-series



# Validation(s) – fMRI simulations

Results over 50 iterations for each simulation





# Comparative Analysis

- Conventional Methods
  - Correlation based analysis (*linear, bivariate*)
  - Mutual information (*non-linear, bivariate*)
  - Partial correlation (*linear, multi-variate*)



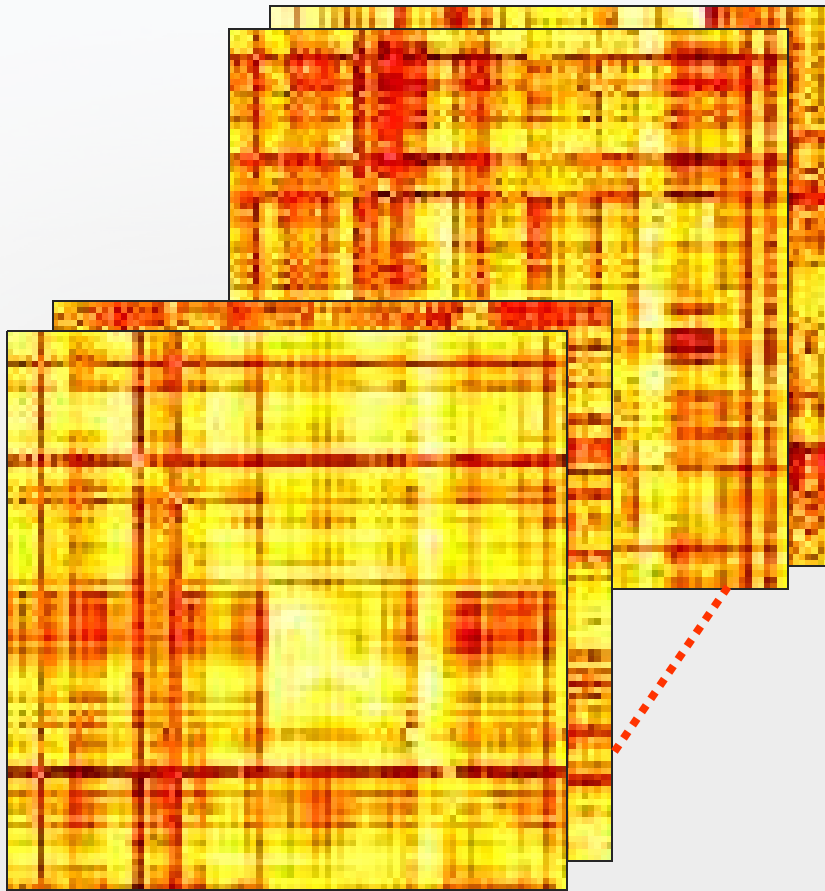
# Specific Aims

## 2. To model a suitable network analysis framework for identifying changes in the brain connectivity profiles.

- Quantitatively characterize the network profiles (at a global as well as regional level) based on graph theoretic approaches with the aim of developing imaging-derived biomarkers for disease.
- Apply and adapt the network based statistic framework for analyzing connectivity profiles to detect edge level effects of disease.
- Develop a statistical framework for performing seed-based connectivity in a non-linear and multivariate sense for studying whole-brain connectivity maps.



# Approach



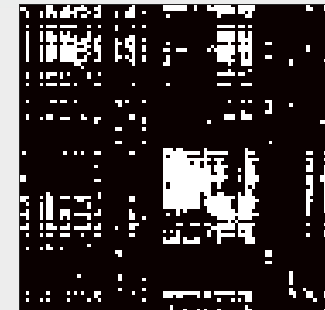
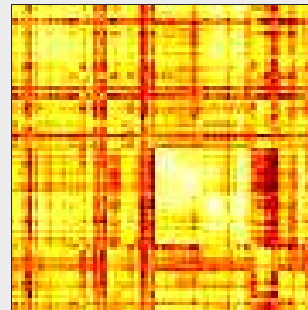
- The connectivity matrices obtained in Aim 1 can be considered as representative network graphs
- A graph consists of *nodes* and *edges* (pair-wise interactions)
- A system with  $N$  nodes results in a graph with  $N(N-1)$  edges.



# Approach – Graph Theoretic Measures

- Can characterize local or global properties
  - Can be specific to nodes or the actual links
  - If these are based on nodes then they are characterized by a distribution (based on the number of nodes).
- 

1. Functional Segregation
2. Functional Integration
3. Small World Properties
4. Network Motifs & Centrality
5. Resilience



- 
- **Degree** : Number of nodes connected to an individual node
  - **Distribution** : Degrees of all nodes comprise this. Mean is measure of density or the total wiring cost of the network.





# Global Graph Measures

Measure	Undirected definition	Explanation
Characteristic Path Length	$L = \frac{1}{n} \sum_{i \in N} L_i = \frac{1}{n} \sum_{i \in N} \frac{\sum_{j \in N, j \neq i} d_{ij}}{n-1}$ <p>where, <math>L_i</math> is the distance between node <math>i</math>, and all other nodes</p>	<p><i>Characteristic Path Length</i> is a measure of functional integration and is primarily influenced by long paths. The inverse (<i>global efficiency</i>) measure is considered a superior measure and is primarily influenced by short paths.</p>
Global Efficiency	$E = \frac{1}{n} \sum_{i \in N} E_i = \frac{1}{n} \sum_{i \in N} \frac{\sum_{j \in N, j \neq i} d_{ij}^{-1}}{n-1}$	
Clustering Coefficient	$C = \frac{1}{n} \sum_{i \in N} C_i = \frac{1}{n} \frac{2t_i}{k_i(k_i-1)}$ <p>where <math>C_i</math> is the clustering coefficient of node <math>i</math> (<math>C_i = 0</math> for <math>k_i &lt; 2</math>).</p>	The mean clustering coefficient represents the presence of clustered connectivity around individual nodes
Modularity	$Q = \sum_{u \in M} e_{uu} - \left( \sum_{v \in M} e_{uv} \right)^2$ <p>where, the network is fully subdivided into <math>M</math> non overlapping modules and <math>e_{uv}</math> is the proportion of all links that connect nodes in module <math>u</math> to those in <math>v</math></p>	Measures size and composition of individual smaller networks.
Small Worldness	$S = \frac{C/C_{rand}}{L/L_{rand}}$ <p>where, <math>C</math> and <math>C_{rand}</math> are the clustering coefficients, and <math>L</math> and <math>L_{rand}</math> are the characteristic path lengths of the respective tested network and a random network.</p>	Describes how well a network is clustered when compared to a random graph of the same size. Small-world networks often have $S \gg 1$

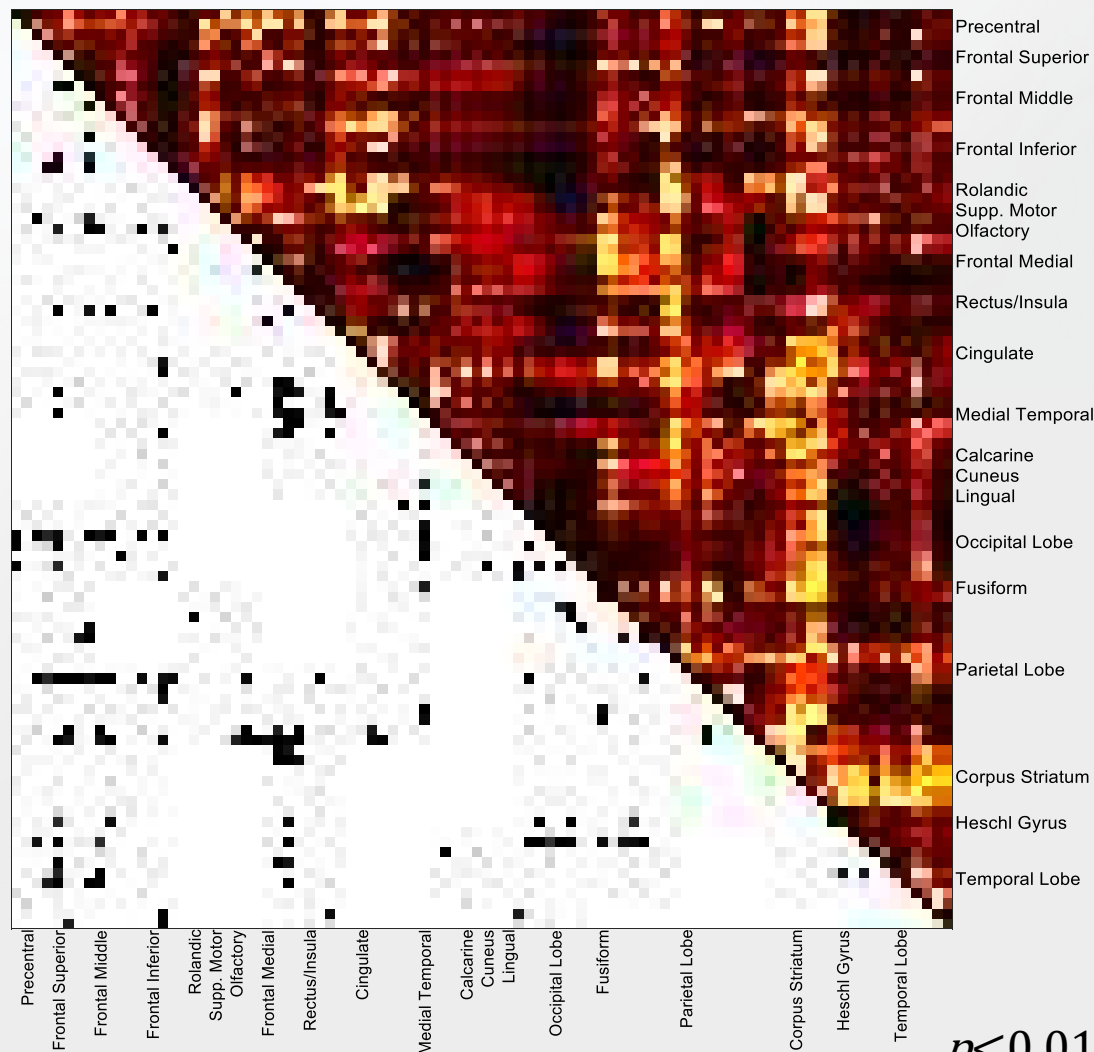


# Regional Characteristics

Measure	Undirected definition	Explanation
Degree	$k_i = \sum_{j \in N} a_{ij}$	Defined for each node $i$ ; Represents the total number of links connected to a node. It is a marker of network development and resilience.
Local Efficiency	$E_{loc} = \frac{1}{n} \sum_{i \in N} E_{loc,i} = \frac{1}{n} \frac{\sum_{j,h \in N, j \neq i} a_{ij} a_{ih} [d_{jh} N_i]^{-1}}{k_i(k_i - 1)}$ <p>where, <math>E_{loc,i}</math> is the local efficiency of node <math>i</math>, and <math>d_{jh}(N_i)</math> is the length of the shortest path between <math>j</math> and <math>h</math>, that contains only neighbors of <math>i</math>.</p>	Characterizes the efficiency of node connections at a smaller scale.
Clustering Coefficient	$C = \frac{1}{n} \sum_{i \in N} C_i = \frac{1}{n} \frac{2t_i}{k_i(k_i - 1)}$ <p>where <math>C_i</math> is the clustering coefficient of node <math>i</math> (<math>C_i = 0</math> for <math>k_i &lt; 2</math>).</p>	The mean clustering coefficient represents the presence of clustered connectivity around individual nodes
Betweenness Centrality	$b(i) = \frac{1}{(n-1)(n-2)} \sum_{\substack{h,j \in N \\ h \neq j, h \neq i, i \neq j}} \frac{\rho_{hj}(i)}{\rho_{hj}}$ <p>where, <math>\rho_{hj}</math> is the number of shortest paths between <math>h</math> and <math>j</math>, and <math>\rho_{hj}(i)</math> is the number of shortest paths between <math>h</math> and <math>j</math> passing through node <math>i</math></p>	Summarizes the importance of a particular node in the full network

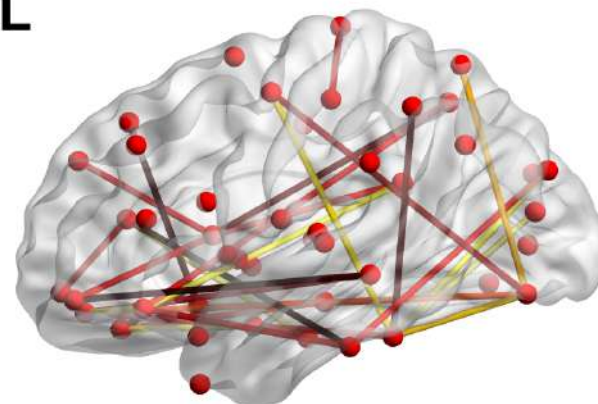


# Edge-specific differences

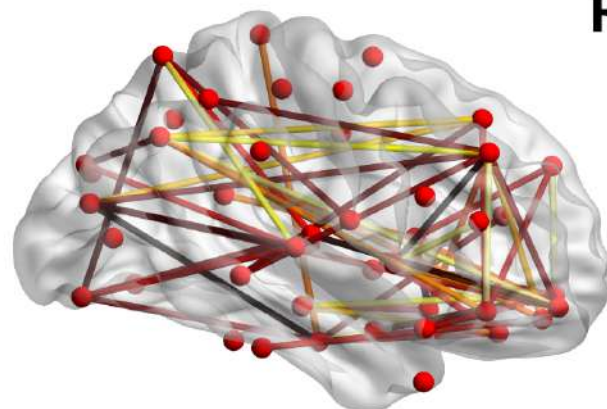


$p < 0.01$

L

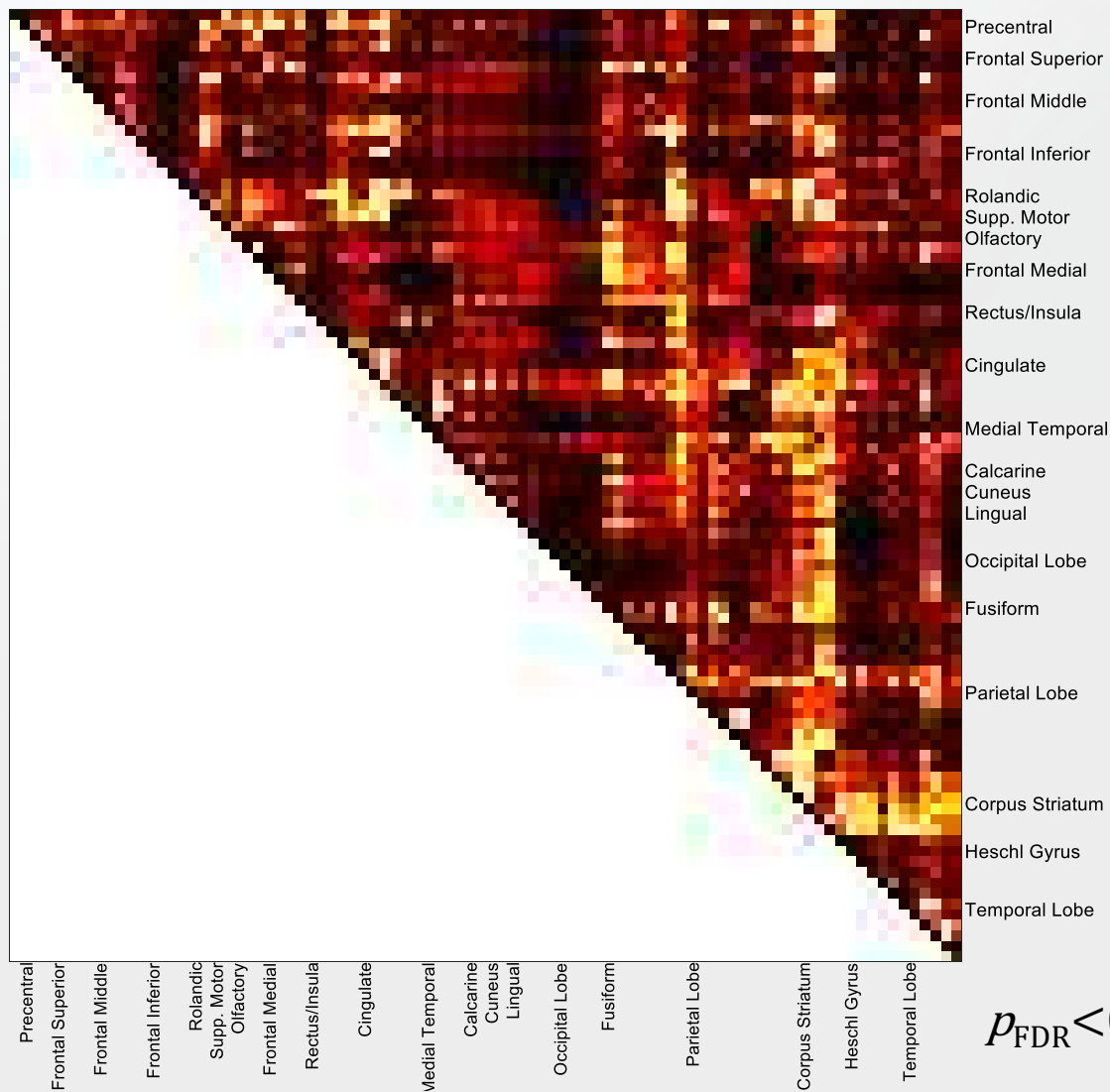
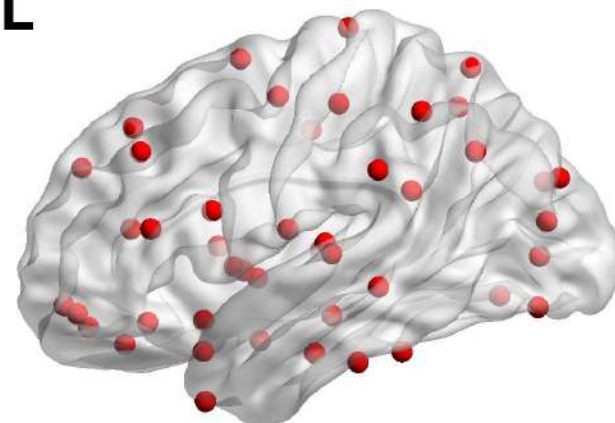
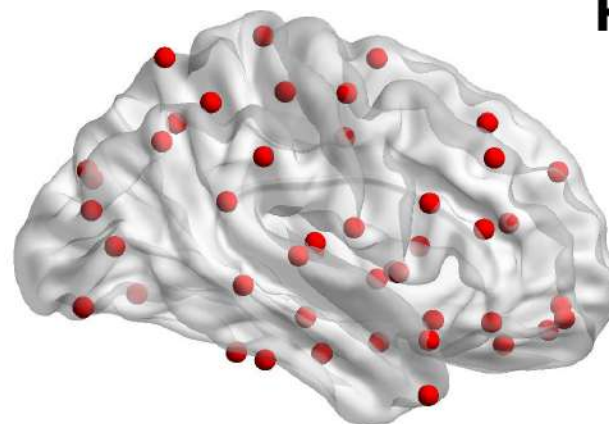


R





# Edge-specific differences


**L**

**R**


$$p_{\text{FDR}} < 0.05$$



# Network-Based Statistic\*

- The NBS approach offers better control over Family wise error when multiple comparisons are required.
- It seeks to identify connected nodes or clusters instead of focusing only on individual links.



# Network-Based Statistic\*

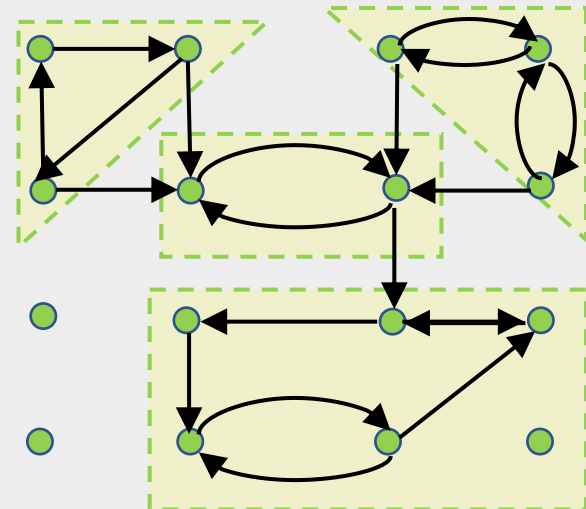
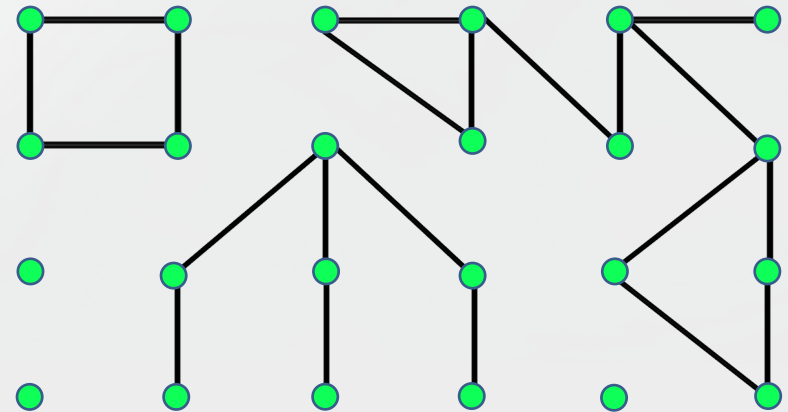
- A  $t$ -statistic is computed for each link to define a set of links above a threshold of ( $p=0.05$ ).
- A non-parametric permutation approach (5000 permutations) is used to estimate the significance of the individual components (each of size  $M_i$ ).
- The null distribution of the maximal component size for each iteration is obtained
- The corrected  $p$ -value is determined by calculating the proportion of the 5000 permutations for which the maximal connected component was larger than  $M_i$ .





# Network-Based Statistic

- The critical step here is the detection of connected components
- In the case of undirected networks, it is done via a simple breadth first search
- For directed networks, 'strongly' connected components can be obtained using Kosaraju's algorithm





# Seed Based Connectivity

- Define a seed or a region of interest in the brain
- Compute connectivity with all other voxels
- Gives an option of quantifying the extent of connections
- A more interpretable notion of connectivity
- With methods developed in Aim 1 we can also detect the notion of directed connectivity





# Seed Based Connectivity – MCA-GRBF

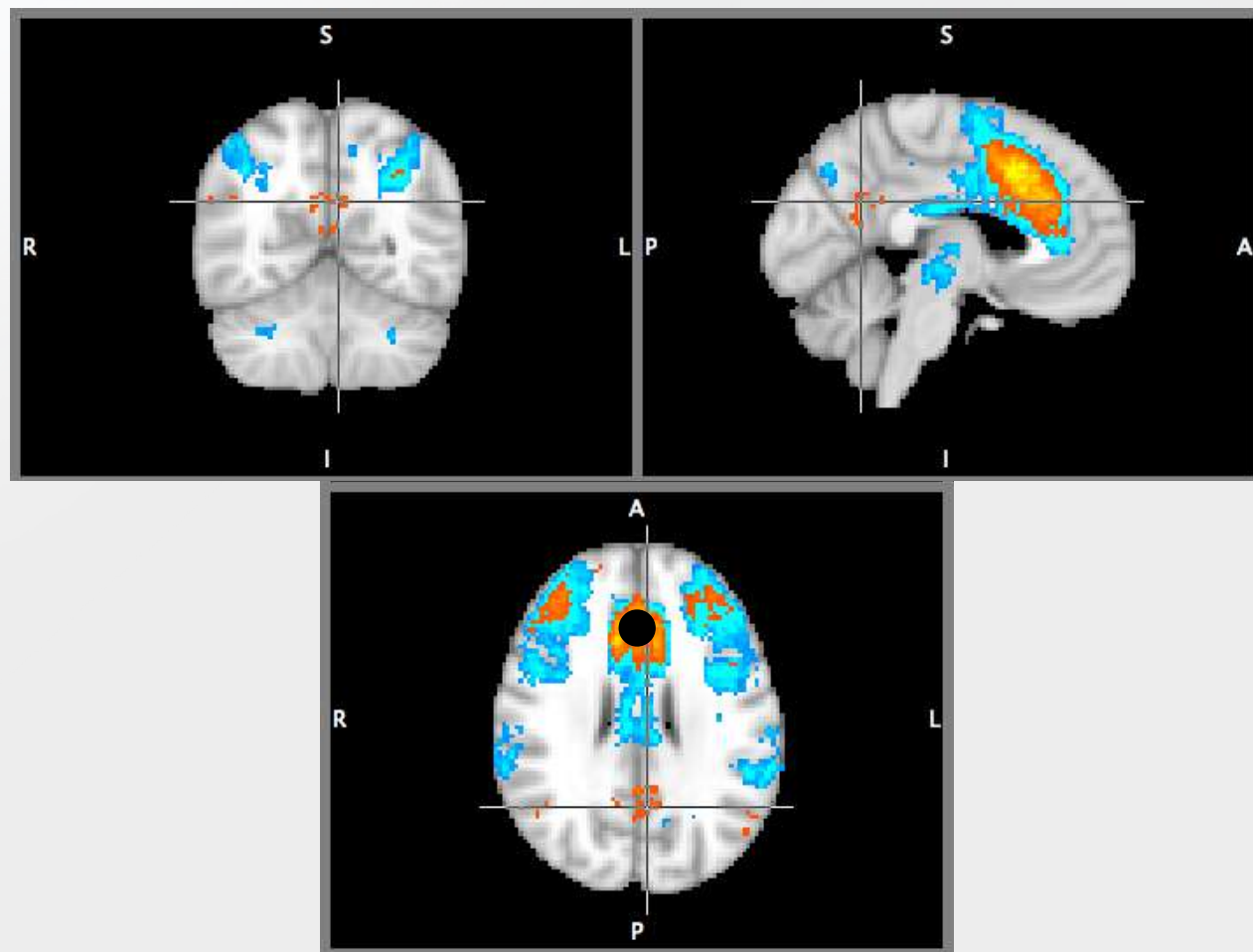
## *Preliminary Result*

Seed –  
Anterior Cingulate  
Gyrus

Blue/Light Blue –  
Correlation Map

Red/Yellow –  
MCA-GRBF

Simple Mean Effect  
 $p < 0.05$ , FDR  
corrected





# Seed Based Connectivity – MCA-GRBF

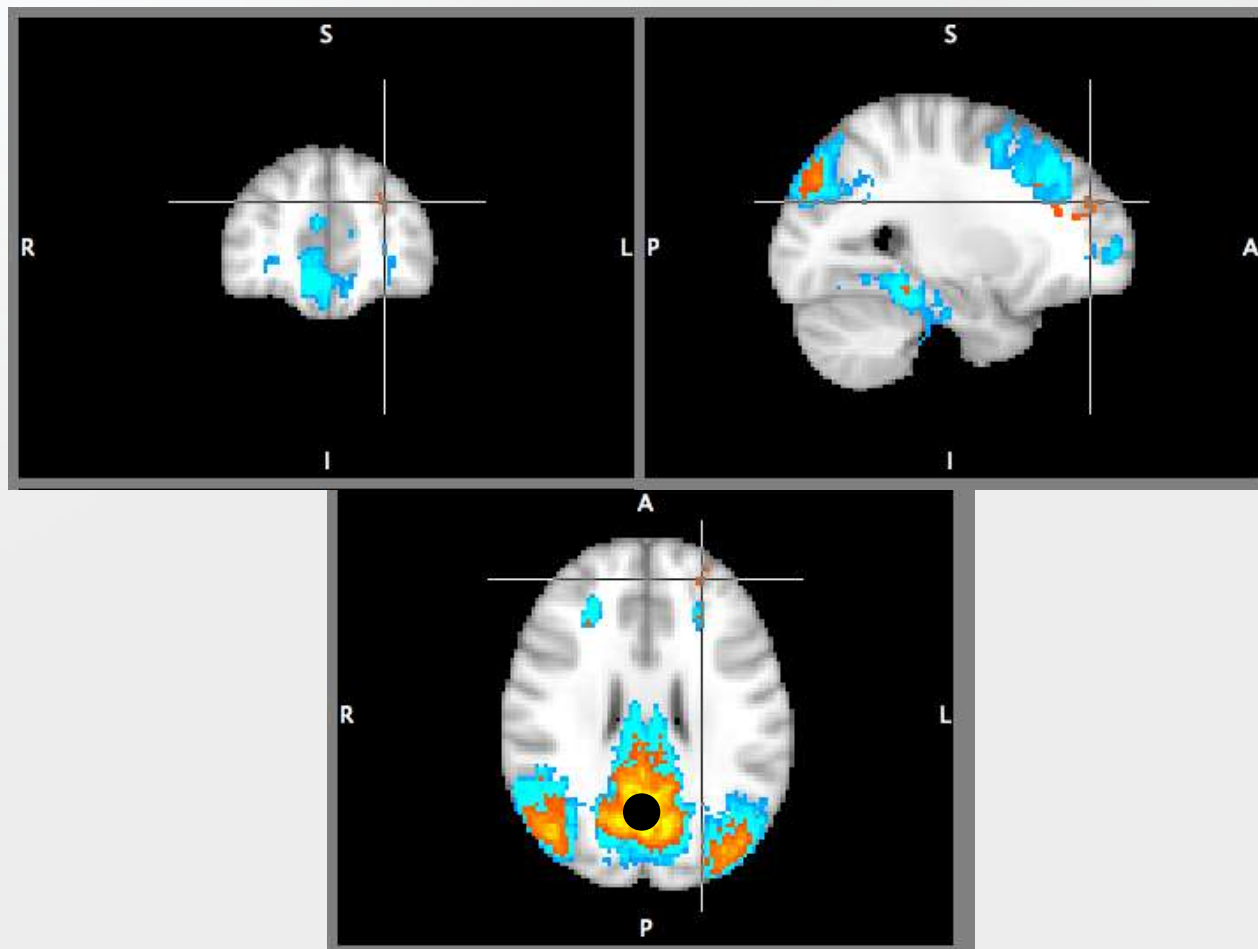
## *Preliminary Result*

Seed –  
Posterior Cingulate  
Gyrus

Blue/Light Blue –  
Correlation Map

Red/Yellow –  
MCA-GRBF

Simple Mean Effect  
 $p < 0.05$ , FDR  
corrected





# Seed Based Connectivity

- Conventionally, most studies are based on a correlation analysis
  - Bivariate in nature
- Directional information (seed-to-voxel as well as voxel to seed) effects can be studied
- Multivariate techniques for such an analysis are less explored
- The IsGC framework can enable a purely multivariate seed based analysis, not performed previously



# Specific Aims

3. **To quantitatively evaluate our system in a clinical pilot study by performing an in-depth assessment of changes in resting-state brain activity in subjects with HIV infection.**
  - Preprocess and analyze clinical, neuropsychological testing and neuroimaging data acquired in a pilot study for identifying subjects with HAND based on current clinical standards.
  - Evaluate relationships between neuropsychological testing scores and connectivity derived summary measures, for assessing their applicability as clinical biomarkers.
  - Assess regional changes in brain networks occurring as a result of neural injury caused by HIV infection.



# HIV Associated Neurocognitive Disorder (HAND)

- Synpato-dendritic complex has been shown to loose its densely branched structure during HIV infection
- Can occur long before symptoms manifest in an individual
- Such damage can trigger changes in global connectivity
- The efficacy of treatment paradigm (particularly cART – combined anti-retroviral therapy) has helped dramatically control viral loads HIV+ individuals leading to longer life expectancy



# HIV Associated Neurocognitive Disorder (HAND)

- Before cART severe dementia could affect ~20% of the individuals
- Following cART, the incidence of severe disabling dementia has reduced however milder forms of the disorder are prevalent
- Neuropsychologic performance testing is the clinical standard for both diagnosis and monitoring
  - It can miss subtle effects of disease



# Approach – Data

- 40 subjects were recruited at the University of Rochester Medical Center, as part of a NIH funded study (R01-DA-034977).
- Imaging Protocol:
  - MPRAGE scan (TI = 950 ms, TE/TR = 3.87 ms/1,620 ms, 1-mm isotropic resolution)
  - 4 gradient echo (GE) EPI sequences, with the following parameters: 25 contiguous axial slices, 4mm slice thickness, TR=1650 ms, TE= 23ms, 96x96 matrix – 240 time points
- Detailed neuropsychological testing
  - executive function, information processing speed, attention and working memory, learning, memory, motor function etc.



# Demographics & Clinical characteristics

	HIV-	HIV+
<b>Number of Patients</b>	20	20
<b>Age - in years</b>	41.45 (9.98)	41.60 (15.42)
<b>Gender (Num. female/male)</b>	9/11	5/15
<b>Nadir CD4 (cells/mm<sup>3</sup>)</b>	-NA-	314.63 (211.94)
<b>CD4 (cells/mm<sup>3</sup>)</b>	-NA-	702.8 (464.5)
<b>VL (log<sub>10</sub> scale)</b>	-NA-	1.76 (1.79)
<b>HIV - in years</b>	-NA-	11.44 (9.11)
<b><u>NP Z-scores</u></b>		
<b>Attention</b>	0.432 (0.8)	-0.541 (1.042)
<b>Executive</b>	0.284 (0.982)	-0.36 (0.953)
<b>Learning</b>	0.363 (0.915)	-0.323 (0.878)
<b>Memory</b>	0.345 (1.04)	-0.254 (0.76)
<b>Motor</b>	0.536 (0.664)	-0.54 (0.957)
<b>Speed of Information Processing</b>	0.366 (0.769)	-0.42 (1.066)
<b>Overall</b>	2.327 (2.842)	-2.41 (3.711)
<b><u>HAND Classification (%)</u></b>		
<b>WNL</b>	-NA-	6 (30%)
<b>ANI</b>	-NA-	12 (60%)
<b>MND</b>	-NA-	2 (10%)





# Approach – Data

- Standard preprocessing
  - Motion correction
  - Linear detrending
  - Correction for interleaved acquisition
  - Normalization the MNI template
- Anatomic Parcellation
  - AAL template (90 regions)
  - Dosenbach template (160 regions)

Background



Specific Aims



Directed  
Connectivity

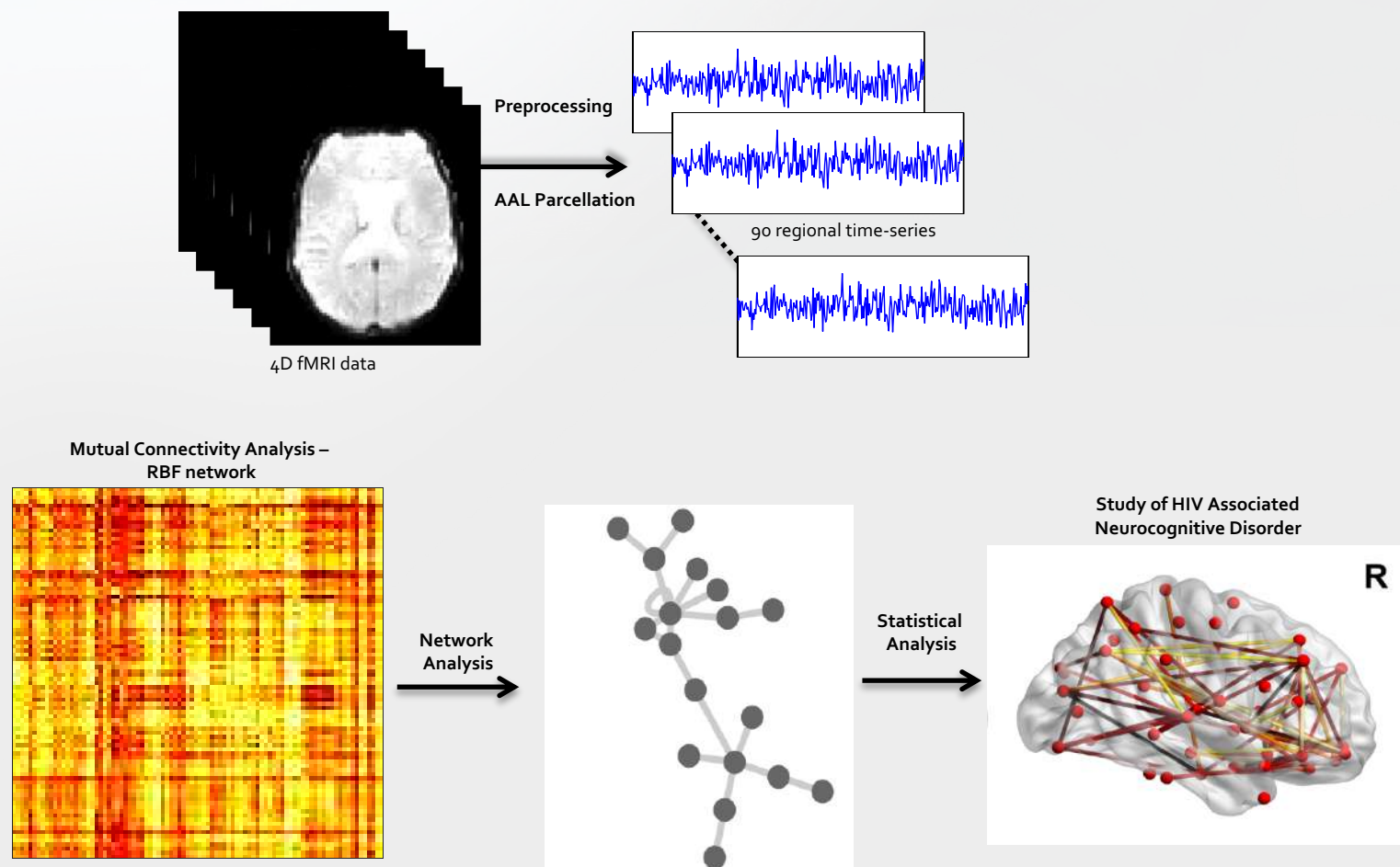


Network  
Analysis



Brain Network in  
HAND

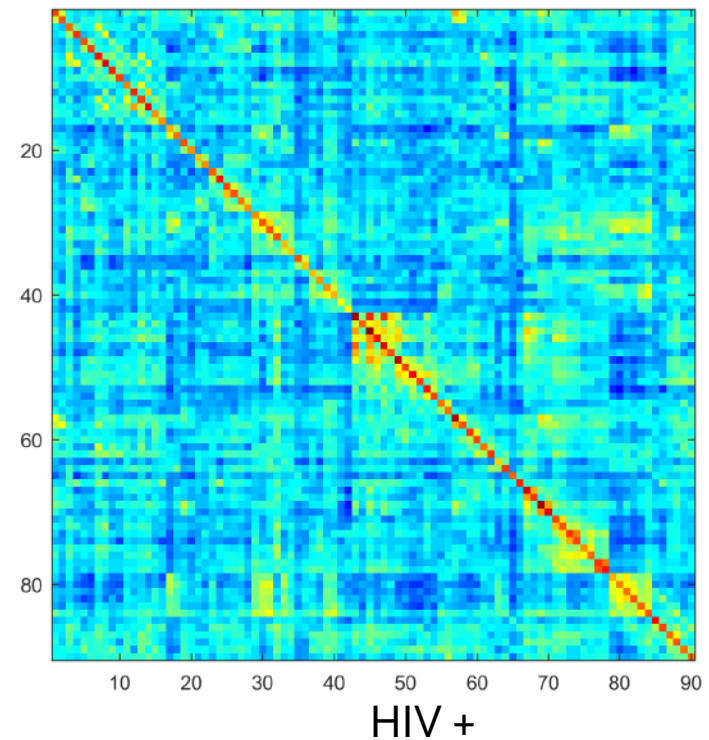
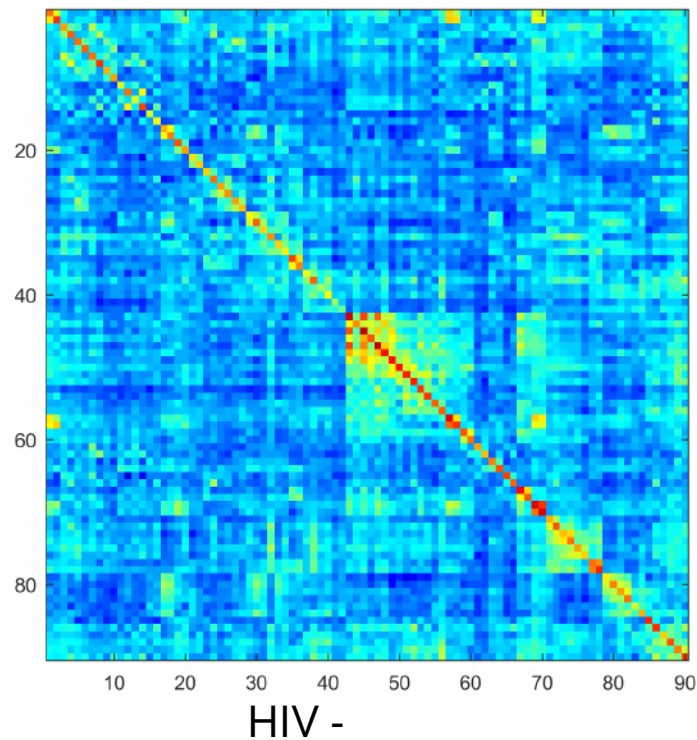
# Approach





# Non-Linear Connectivity

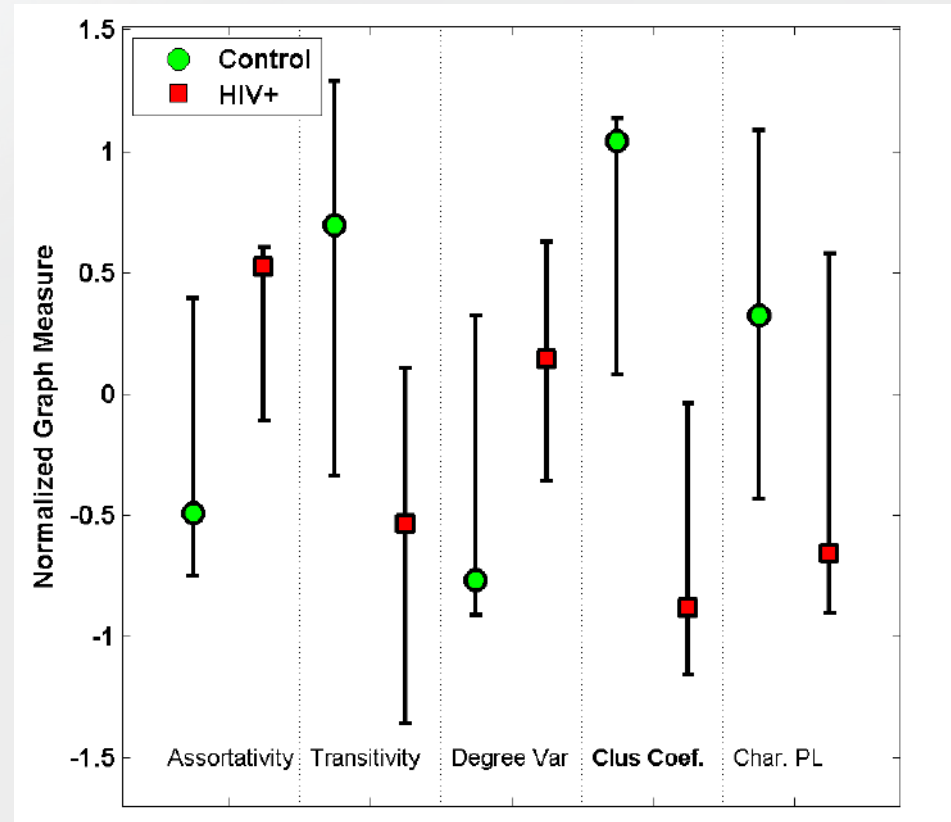
- Mean Group Matrices – MCA GRBF





# Global Graph Statistics

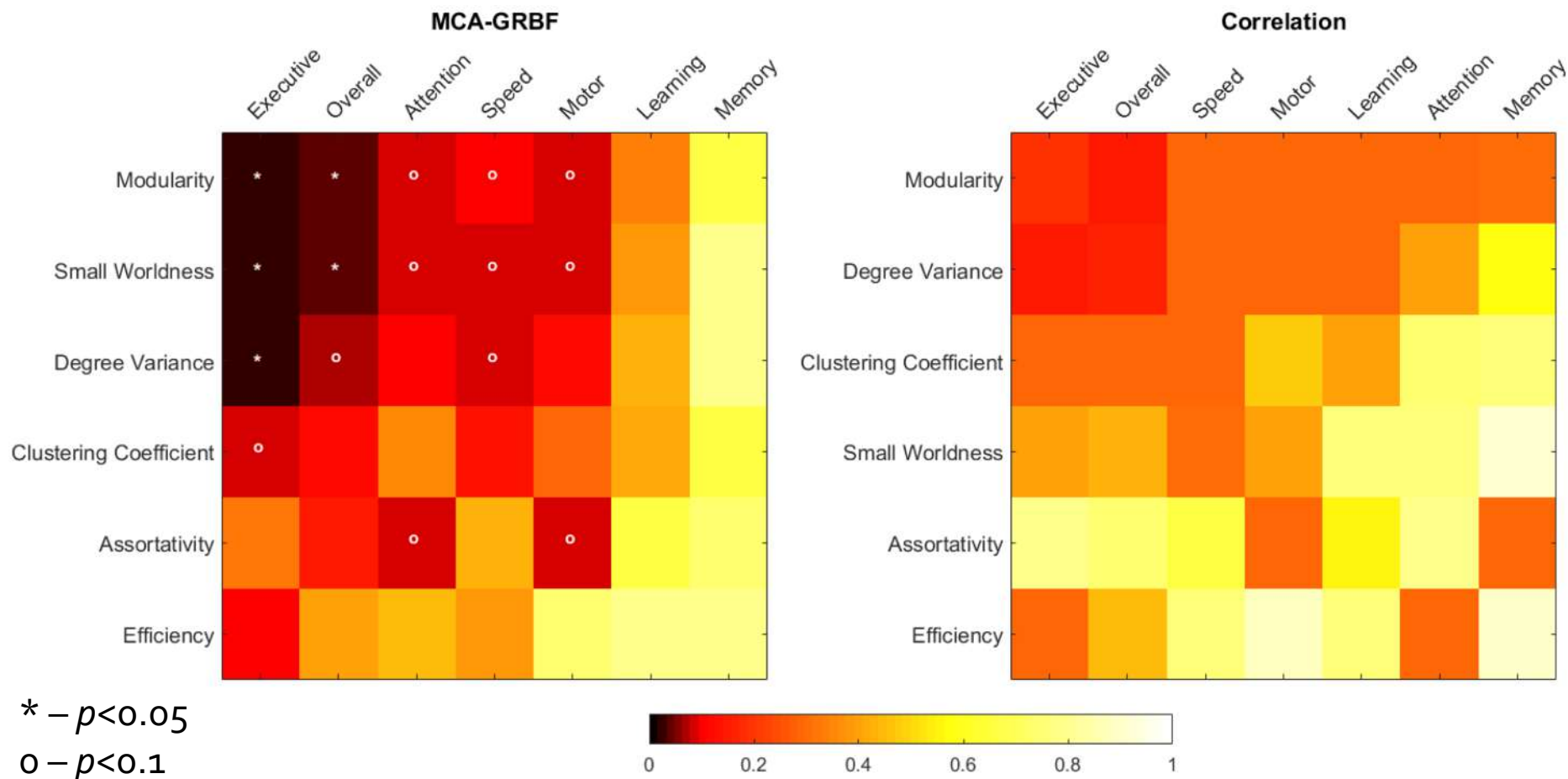
- Comparison between subjects with and without HIV infection
- Regression analysis when controlled for age and gender





# Global Graph Statistics

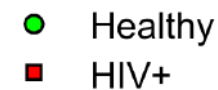
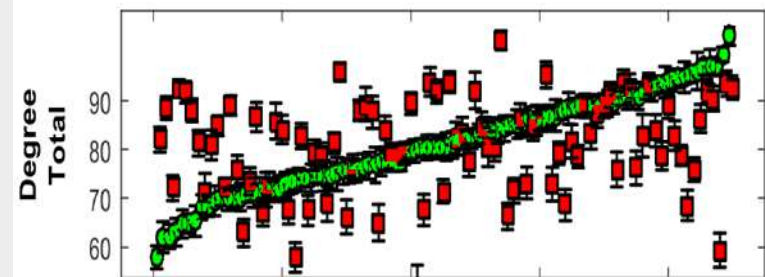
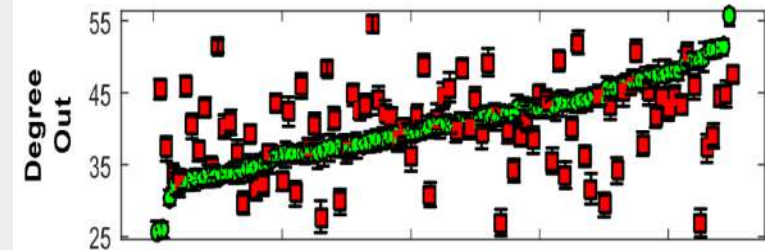
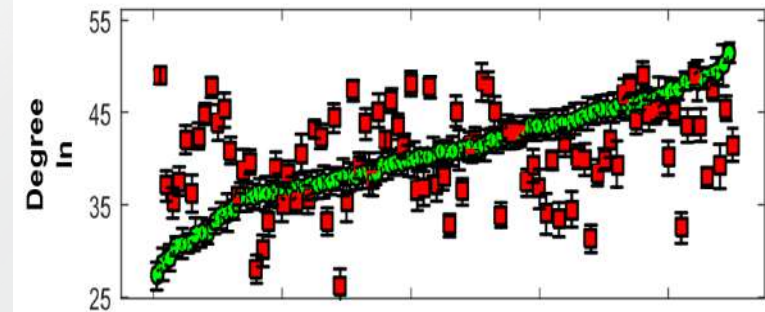
- Associations with NP assessment scores





# Regional Properties (Preliminary Data)

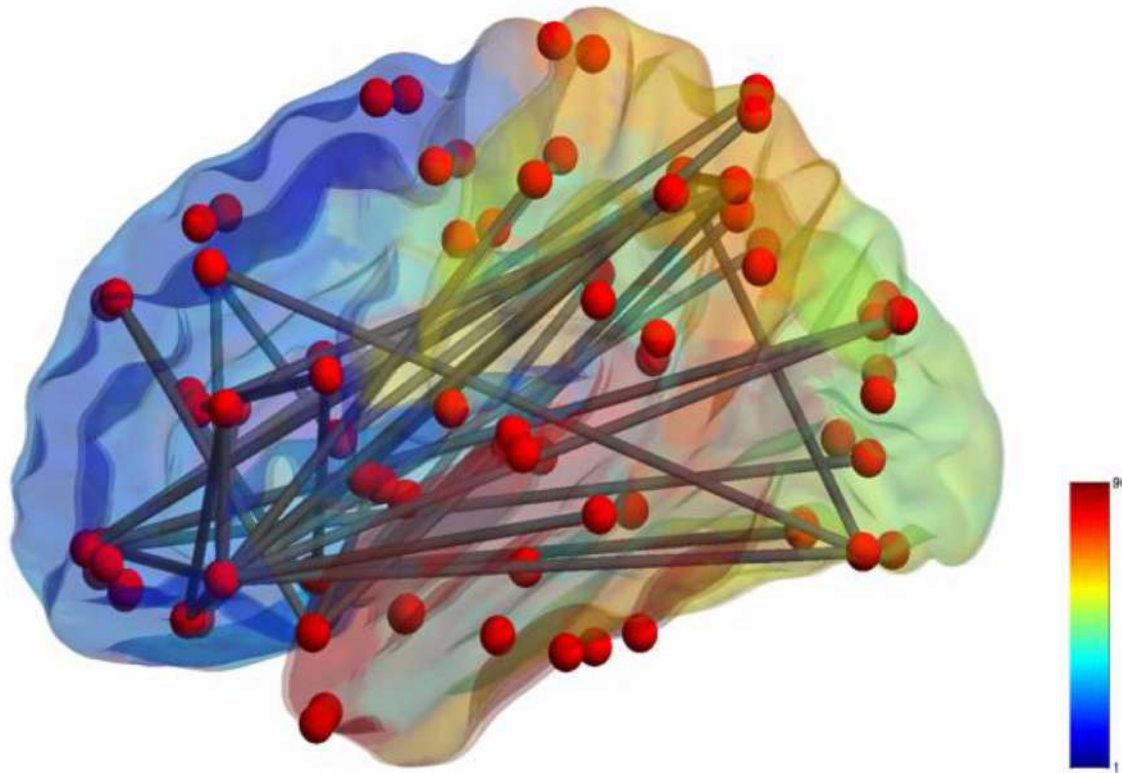
- The properties of each node or region being analyzed can be quantified.
- Can the directional properties show differences?







# NBS – Expected outcome





# Seed Based Analysis

- Certain regions of the brain are more susceptible to damage by HIV
- Clinical presentation of HAND has changed due to the efficacy of cART
- Primarily affects the FSTC (fronto-striato-thalamo-cortical) circuits
- Candidate seed regions
  - Basal Ganglia
  - Inferior Frontal Cortex
  - Posterior Cingulate Cortex





# Expected Goals

- Novel time-series analysis methods for improved characterization of brain connectivity
- Statistical framework for analysis of network data
- Insights for improved diagnosis of HAND



# Current Progress

1. **To develop and evaluate novel time-series analysis methods for exploring connectivity in high-dimensional time-series ensemble.**
  - Develop the framework utilizing state-space reconstruction and radial basis function networks, for capturing non-linear pair-wise interactions in time-series.
  - Explore the applicability of multivariate time-series analysis methods for recovery of underlying network interactions using large-scale Granger causality.
  - Systematically test and evaluate the performance of the methods for adequate recovery of underlying network structure via the use of benchmark datasets and functional MRI simulations.
2. **To model a suitable network analysis framework for identifying changes in the brain connectivity profiles.**
  - Quantitatively characterize the network profiles (at a global as well as regional level) based on graph theoretic approaches with the aim of developing imaging-derived biomarkers for disease.
  - Apply and adapt the network based statistic framework for analyzing connectivity profiles to detect edge level effects of disease.
  - Develop a statistical framework for performing seed-based connectivity in a non-linear and multivariate sense for studying whole-brain connectivity maps.
3. **To quantitatively evaluate our system in a clinical pilot study by performing an in-depth assessment of changes in resting-state brain activity in subjects with HIV infection.**
  - Preprocess and analyze clinical, neuropsychological testing and neuroimaging data acquired in a pilot study for identifying subjects with HAND based on current clinical standards.
  - Evaluate relationships between neuropsychological testing scores and connectivity derived summary measures, for assessing their applicability as clinical biomarkers.
  - Assess regional changes in brain networks occurring as a result of neural injury caused by HIV infection.



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