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# On the nature of FormSet

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• some of these slides: FIND2023 workshop, Göttingen, Germany. Dec 2023

\*Also: Jason Ginsburg, Hiroshi Terada and Masumi Matsumoto (OKU)

# Human Language

- On Language, W. von Humboldt (1836):
  - "Language is an involuntary emanation of the mind, no work of nations, but a gift fallen to them by their inner destiny."
  - "Every language is produced by the original tendency or 'original talent' shared by all human beings."
- Chomsky (1964), *Logical Basis of Linguistic Theory*, cites Humboldt extensively.



# Strong Minimalist Thesis (SMT)

- Language is 'optimal'
- Maximal operational simplicity is not only desirable wrt. the theory
- It's a necessity (for *plausible evolution*)
- It's a necessity (for biological computation: slow brain)



# Merge

- Maximal simplicity doesn't necessarily mean "free" or fewer constraints (e.g. free Merge)
- Simple could be limiting options
- I-language is basically a thought-generating system (Chomsky MC)
- Following *Duality of Semantics,* there's a division of labor:
  - External Merge (EM): form  $\theta$ -configurations
  - Internal Merge (IM): *for other things*
- Displacement
  - IM: Q-formation, Focus etc.
  - (Chomsky) EXT: VP-fronting, Rightwards movement
  - \*IM: verbal head movement: unformulable (must be at EXT: Amalgamation)
  - linear adjacency constraints cannot be expressed here either



# Fact: Brain is slow

# **Computational efficiency** (and **bandwidth**) are important considerations for all organic systems:

our sensory apparatus can generate vast amounts of data (*sensor mismatch*)

a slow (chemical) brain limits what can be analyzed

*The War of Soups and Sparks* (Valenstein, 2005) 19<sup>th</sup> century belief that neurons were electrically connected. *Neurophysiologists believed only electrical transmission is fast enough to activate skeletal muscles.* Mid-20<sup>th</sup> century: biochemical.

we (selectively) throw out/ignore almost all of the signal

# Alfred Pasiek

### image from Reingrubber & Holcman (2011)

# Sensor/Brain Mismatch

 Sensor performance is incredibly good: sensitivity down to the single photon level (Tinsley et al., 2016)

**resolution** (77 cycles/°) (Curcio et al. 1990) – within a factor of 3 of an eagle's

we don't need/use it for scene analysis

Other sensors:

**olfactory thresholds** at parts per billion (ppb) (Wackermannová et al., 2016)

eardrums can detect tiny vibrations: down to the size of a hydrogen atom (Fletcher & Munson, 1933)

brain doesn't need/use this either

90% of the area is peripheral vision: 50% of the nerve fibers fovea pit (0.2mm diameter) 20/20 vision, color: 50%



Fig. 1.1. A drawing of a section through the human eye with a schematic enlargement of the retina.

**Avians**: *eye architecture*:

- one/two foveae (also denser)
- higher flicker fusion rates
- more types of cones



source: Reuters

# Sensor/Brain Mismatch

### Use it or lose it!

- <u>http://genomewiki.ucsc.edu/index.php/Opsin\_evolution:\_tri</u> <u>chromatic\_ancestral\_mammal</u>
- Despite 100 million years of playing catchup, no [Therian] mammal has ever regained the superior sharp tetrachromatic color vision enjoyed by the amniote common ancestor and contemporary turtles, birds and lizards.
- It's possible to have much better color vision than human -- and many earlier diverging vertebrate species do.



https://doi.org/10.1098/rspb.2016.1208

# Sensor/Brain Mismatch

# Cephalopods vs. *all* vertebrates



# Artificial Systems

- Problem also exists
  - <u>https://www.bbc.com/news/science-environment-68425211</u>
  - [Odysseus] had navigation issues whereby the onboard computer couldn't process precise laser range-finding data fast enough and had to rely solely on optical cameras for altitude and velocity information.
  - Result: broke a leg (30° ∠)



# Merge

by the 3<sup>rd</sup> Factor horrible combinatorics

- Operational Simplicity: Merge can't be free
  - No record of Merge is kept (Markovian)
    - "*a paper trail*" would be a memory device (Merge is memory-free)
    - even Merge itself can't peek at prior Merges (never mind outsiders to Merge)
  - also, Merge can't peek at relations computed at INT:
    - e.g. Labeling (for INT to decode structure, EXT),
    - FormCopy (affects EXT), etc.
  - Oblivious Merge:
    - Merge probing cannot refer to a Label (*maybe probing is done later*)

History = horrible combinatorics Plus, too powerful, permitting island violations

# Merge

- Can't tell if structure is built by IM or EM
  - because everything is an immutable set
  - No Tampering with Merge inputs or output (Tampering compromises maximal simplicity)
  - Note: feature valuation doesn't count as Tampering
  - No Deleting anything either ...
  - Phrases have no room for extra baggage (memory)
  - e.g. Labels or IM/EM-feature (.: Labels computed at INT/EXT)
- Duality would be nice, but cannot be detected (*or enforced*)
  - must be designed in?
  - : irreducible
- Caveat: must distinguish output of FormSet (a set) from Merge (*also* a set) *as different conditions apply.*

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# Theta-aware Merge

- Chomsky (p.c.):
  - Well, there are no marking for IM vs. EM.
  - INT reads the computed structure and determines how to interpret identical inscriptions.
  - That's true, but it doesn't mean that IM can't observe theta theory (and duality ...), crashing and hence cancelling the preferred derivation.
  - Theta positions are detectable everywhere.
- [T] All relations and structure-building operations (SBO) are thoughtrelated, with semantic properties interpreted at CI. (Chomsky MC)
- Merge is θ-aware & θ-driven:
  - EM builds θ-configurations efficiently (as quickly and simply as possible)

# Theta-aware Merge

- Efficiently as possible:
  - {XP, {v\*, {R, XP}}} most efficiently built by IM, but must be blocked.
  - Banned by Duality
  - cannot dispense with Duality
  - External Merge (EM): select X, Y ∈ WS
  - arguably more efficient to select X twice
  - But we don't see {X, X} in language (same X)
  - Don't see Agree(X, X) either
  - Assumption: X and Y are distinct WS elements
  - Chomsky (p.c.): one possibility might be Moro's analysis of copula, which derives "I am I/me" from {be, {I, I}}.

# Efficient Merge and Minimal Search

### Efficiently as possible

- External Merge (EM) (Chomsky p.c.):
  - We assume that Merge like other operations observes it.
  - That's why only members of WS, not their terms, are eligible for EM.

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- Operational Simplicity: Merge can't be freely applied
  - 3<sup>rd</sup> factor tied to biology: must be efficient
  - How many ways are there to freely Merge two heads a and b? (without Duality etc.)
- Example:
  - Initial WS: a b
  - 1 Merge (EM):
    - {a, b}
  - 2 Merges (IM):
    - {a, {a, b}} {b, {a, b}}
  - 3 Merges (IM):
    - {{a,b},{a,{a,b}}} {b,{a,{
    - {{a,b},{b,{a,b}}} {b,{b,{a,b}}} {a,{b,{a,b}}}

Duplicate should be listed twice!
same structure derived in 2 ways:
 {a<sub>1</sub>, {a<sub>2</sub>, b}}
1. {a<sub>1</sub>, {a<sub>1</sub>, {a<sub>2</sub>, b}}}
2. {a<sub>2</sub>, {a<sub>1</sub>, {a<sub>2</sub>, b}}}

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- Narrowing steps cannot involve *clever devices*:
  - example: filtering out duplicate structures
- Violates SMT: requires a memory device
  - need to know whether we've seen something before (**Dynamic Programming**)
- Language requires identical inscriptions (that have to be repetitions)
- Example (Chomsky):
  - the man who saw many people didn't see many people

### • Example:

- the man who saw many people didn't see many people
- WS:
  - {v\*, {see, many people}}
  - {who man} INFL  $C_{\text{rel}}$  the INFL Neg C
- Construct a relative clause e.g. *following* Cecchetto & Donati (2015):
  - {the, {man, {who man, { $C_{rel}$ , {who man, {INFL, {who man, {v\*, {see, many people}}}}}}}}}
- Now stuck!
  - would need to invent a new operation to deep fish out  $\{v^*, ...\}$  \*SMT
  - or subvert the Markovian assumption by *reaching back into history of Merge*
  - violates **Duality**: only EM can introduce a theta role-bearing item

- Narrowing steps cannot involve *clever devices*:
  - **Example:** Infinite Loop Filter:
    - \* $\pi\pi$ , where  $\pi$  = (IM  $O_1$ , ..., IM  $O_n$ ),  $n \ge 1$
    - (O<sub>i</sub> = selected subterm; cross- π compare selected O<sub>i</sub>)
- Example:
  - {<u>a</u>, b}
  - {<u>a</u><sub>1</sub>, {a<sub>2</sub>, b}}
  - {a<sub>1</sub>, {<u>a</u><sub>1</sub>, {a<sub>2</sub>, b}}}
  - {a<sub>1</sub>, {<u>a</u><sub>1</sub>, {a<sub>1</sub>, {a<sub>2</sub>, b}}}
  - { $a_1$ , { $\underline{a}_1$ , { $a_1$ , { $a_1$ , { $a_2$ , b}}}}

and so on ... without violating MS

Infinite Loop strategy:

select *a* and *b* alternately

## • Example:

- {a, <u>b</u>}
- {b, {<mark>a</mark>, b}}
- {a, {<u>b</u>, {a, b}}}
- {b, {<u>a</u>, {b, {a, b}}}
- {a, {<u>b</u>, {a, {b, {a, b}}}} and so on ...

- Proposed filter
  - new device (unless loop-free computation is in the evolutionary toolkit) \*SMT
  - can't rule all cases anyway (see below)
  - requires access to history of Merge (violates Markovian assumption)

### • Example:

- WS: a b
- {a, <u>b</u>}
- {b, <u>{a, b}</u>}
- {{a, b}, <u>{b, {a, b}}</u>}
- {{b, {a, b}}, <u>{{a, b}, {b, {a, b}}}</u>
- {{a, b}, {b, {a, b}}, <u>{{b, {a, b}}, {{a, b}, {b, {a, b}}}}</u>
  and so on ...



- Limited use of set theory for representation:
  - no {} (a true null)
  - no infinite sets (sets are finite, but an infinite number of them)
  - no union, intersection, difference, powerset operations
    - e.g. {a, b} U {b, c}  $\Rightarrow$  {a, c}
  - no equality (mathematics: *equals means same*)
  - not a set, perhaps a multi-set (repetitions) (also the WS isn't a set)
  - naïve set theory paradoxes seem not to apply
    - {*x*: P(*x*)}, P some property
    - Russell's Paradox: suppose P(x) is  $x \notin x$
    - Barber Paradox: how does the barber shave (himself)?

### Axiomatic Set Theory

- e.g. Zermelo-Fraenkel (ZF) Set Theory
  - axioms expressed in  $1^{st}$  order logic +  $\in$  (set membership)
  - Axiom of Extension: same set if same members
    - $x \in y$  iff  $x \in z$  implies y = z for all x
    - doesn't hold for language
    - we have "occurrences", possibly repetitions/copies

UG: sub-phrases are unordered

- Set theory allows for the construction of ordered elements too
- Define x < y iff  $x \in y$
- Example:
  - a < b, a sequence <a, b> = {a, {a, b}} (IM)
  - a < b < c, <a, b, c> = {a, {a, {b, c}}} (IM)
- Example:
  - ordinals {}, {{}}, {{}}, {{}}},
    - and so on ...
  - generally,  $successor(x) = x \cup \{x\}$  (John von Neumann)
  - $succ({}) = {} \cup {{}}$
  - $succ(\{\{\}\}) = \{\{\}\} \cup \{\{\{\}\}\}$
  - but language doesn't count! (cf. artificial language: e.g. nth last word signals an interrogative)

### • Question:

- does anything block the formation of ordered elements in this model?
- Note 1:
  - ordinal operation x U {x} not formulable under Simplest Merge (binary)
  - e.g. {Ø, {Ø}, {Ø, {Ø}}, {Ø, {Ø}}, {Ø, {Ø}}} cannot be constructed (Ø = {})
  - the above expression maps to 4 in  $\mathbb{N}$ .

### Why?

- Ø = 0
- $\{\emptyset\} = 1$
- $\{\emptyset, \{\emptyset\}\} = 2$
- $\{\emptyset, \{\emptyset\}, \{\emptyset, \{\emptyset\}\}\} = 3$

### • Note 2:

- the sequence <a, b, c> is represented by the set {a, {a, {b, {b, c}}}}
- this set can be formed by iterated External Merge (EM) from WS:
   a a b b c

 $b \ c \Rightarrow_{\mathsf{EM}} \{b, c\} \Rightarrow_{\mathsf{EM}} \{b, \{b, c\}\} \Rightarrow_{\mathsf{EM}} \{a, \{b, \{b, c\}\}\} \Rightarrow_{\mathsf{EM}} \{a, \{a, \{b, \{b, c\}\}\}\}$ 

2) this set **can also** be formed from a minimal WS:

a b c

 $b \ c \Rightarrow_{\mathsf{EM}} \{b, c\} \Rightarrow_{\mathsf{IM}} \{b, \{b, c\}\} \Rightarrow_{\mathsf{EM}} \{a, \{b, \{b, c\}\}\} \Rightarrow_{\mathsf{IM}} \{a, \{a, \{b, \{b, c\}\}\}\}$ 

- do these violate SMT?
- I-language builds thought objects only.
  - *Θ*-configurations + other projections

# Merge and FormSet

- Example:
  - (a) {like, Mary}
     (b) {narrow, hallway}
     (c) {long, hallway}
     (d) {dark, hallway}

predicative/substantive EM: predicate-argument (AP) suppose each also in WS

• FormSet ({...}, n≥2) (Chomsky *GK*):

2) {{long, hallway}, {narrow, hallway}, {dark, hallway}}

- Need a nominal to head the NP:
  - 3) {hallway, {{long, hallway}, {narrow, hallway}, {dark, hallway}}}
  - 4) *a long, narrow, (and) dark hallway* (*det PM* (Oishi, 2015))

# The Determiner

- Chomsky (p.c.):
  - Is this External Merge?
  - We're just ignoring functional elements, stick them in wherever you want.
  - And, of course, you know there's lots of things to say about them, so why does the definite article appear before the noun?
  - In fact, does the definite article even apply to the noun?
  - Maybe the definite article's a feature of the noun phrase.
  - Like in Semitic, for example, it's just distributed among the elements of the noun phrase.
- Hebrew:
  - 5) *ha-yeled ha-ze* 'this child'
  - Language-particular: attributive adjectives must agree in definiteness; and predicative adjectives are indicated syntactically, by the lack of an article in conjunction with a definite noun.

# Concord and Agreement

- Adjectival Phrase:
  - {A,  $N_{\phi.DEF}$ }
- At EXT, there are options. Assume sisterhood between A and N.
- 1. {A,  $N_{\phi,DEF}$ } N features expressed on A also (Concord)
  - Example: Arabic
  - *al*-rajul-u *al*-saʕid-u
  - DEF-man-NOM.SG.M DEF-happy-NOM.SG.M
  - 'the happy man'

- 2.  $DEF_{\phi} N_{\phi,DEF} N$  feature DEF (definite) spells out as a word.
  - Example: Hebrew
    - ha-yeled ha-ze
    - DEF-child. $\phi_{SG.M}$  this. $\phi_{SG.M}$
    - 'this child'

# FormSet

- Assume FormSet is generally available to computation
  - cognition beyond I-Language
  - Note: n = 2 not same as binary Merge due to different conditions
  - Note: n = 1? logical possibility unavailable to binary Merge, arithmetic!
- Simplicity:
  - members must be a coherent of set of syntactic objects (Chomsky)
  - **simplest formulation**: all members must be treated the same
  - members must obey some parallelism requirement for INT (and Merge)
    - find example of parallelism, might be FormSet!
- Example
  - 6) (a) {{long, hallway}, {narrow, hallway}, {dark, hallway}}
    - (b) {hallway, {{long, hallway}, {narrow, hallway}, {dark, hallway}}
    - operate in unison: IM one, same Merge ATB similarly

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# FormSet

- Case n = 1
  - a logical possibility unavailable to binary Merge
  - WS: x
  - {x}
  - $\{\{x\}\}$
  - {{{x}}} and so on
  - generally, successor(x) = {x}

# FormSet

- Chomsky GK (pg. 31):
  - unbounded unstructured sequences (UUS's)
  - 7) John, Bill, my friends, the actor who won the Oscar, ... ran, danced, took a vacation (respectively)
- FormSet ({...}):
  - 8) (a) S<sub>1</sub> = {John, Bill, my friends, the actor who won the Oscar}
    (b) S<sub>2</sub> = {ran, danced, took a vacation}
  - Members of S<sub>1</sub>: referential similarity (but not NUM)
  - Members of S<sub>2</sub>: predicatehood
  - S<sub>1</sub> and S<sub>2</sub> can have distinct cardinality (Chomsky *GK* fn. 47)

Example:

9) *the student who lives here who studies English whom I know* FormSet applies to:

10) (a) {student, {who {student, {lives here}}}

- (b) {student, {who, {student, {studies English}}}
- (c) {student, {who, {I, {know, student}}}}
- relative CPs need not be identical (Williams, 1978)

Optionally spelling out as:

11) the student who lives here, who studies English and whom I know

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[animation not visible in PDF version]

Initial SO is head of stream **:Operation** [[d!case!N],[live],[v\*!phi],[[student!D],[who\_rel!case!N]],[T!phi],[c\_rel!rel!T!phi]] **:Stream** 

here!D

• note 62: Fong & Ginsburg. Open Linguistics, vol. 9, no. 1, 2023.



36 the student who lives here who studies English



### Spell-out:

the student who -s live -acc here who -s study -acc E the student who live -s here -acc who study -s Englis the student who live -s here -acc who study -s Englis the student who lives here who studies English whor

One derivation found.

**Irrelevant**: implementation details: could be Box Theory **Important**: Parallelism (*members of a set treated uniformly*)

# Aside: are relations really computed?



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- Relative clause stacking parallel to PP stacking (Chomsky GK):
   12) (a) John lived on a farm with his family
   (b) John lived on a farm and with his family
- IM in unison, targets subject/object:
  - 13) (a) Which book did John buy and read?
    - (b) which book did John buy which book and read which book
    - (c) {{John, {v\*, {buy, which book}}}, {John, {v\*, {read, which book}}}}
  - 14) (a) John arrived and met Bill
    - (b) {{v, {arrive, John}, {John, {v\*, {meet, Bill}}}

# Output of FormSet and the target of IM

- Identical inscription target requirement (Williams 1978):
  15) (a) \*Who and when did John see and ignore him?
  (b) {{John, {v\*, {see, who}}}, {{John, {v\*, {ignore, him}}}, when}}
- FormSet :

16) (a) When and where did you see her?

(b) {C<sub>Q</sub>, {you, {INFL, {{<del>you,</del> {v\*, {see, her}}}, {when, where}}}}}

# Adjectival and Predicative Noun Phrases

Example:

17) (a) the politician is greedy and a charlatan

(b) {politician, {be, {{greedy, politician}, {charlatan, politician}}}}

Similarly:

18) (a) {hallway, **{**{long, hallway}, {narrow, hallway}, {dark, hallway}}}

- (b) the hallway is long, narrow and dark
- (c) the long, dark and narrow hallway
- (Di Scuillo 2022) complex cardinals
  - 19) (a) *two hundred and two* (additive complex)
    - (b) {two hundred, two}

# FormSet: Agree

- Given the NTC, how does S-V Agreement or Case assignment work?
- phrases don't have features: (Minimal) Search (must) find heads only
- a big question: do these things happen in Merge Syntax or at the interface?
- Examples:
  - 20) a. John, Bill, and the actor who won the Oscar are taking a vacation
    - b. S = {John, Bill, the actor who won the Oscar}
  - NUM PL can't be found in set S

(b) {you, I}

- NUM PL intrinsic property of {...}
- Possessives: yours and mine / mine and yours
- Case is not relevant for Raising to Object?

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# FormSet: Agree

### • Apparent D-N Agreement:

- 22) (a) this/\*these man and woman
  - (b) *\*this/these men and women*
  - (c) *\*this/\*these man and women*
  - (d) *\*this/\*these women and man*
  - (e) this man and these women

{this man, these women}

{man, woman}

{men, women}

{man, women}

- Agree **must** operate in unison across FormSet members
- EXT problem

# Noun Phrase Formation

Recap:

- 23) (a) {dark, hallway}
  - (b) {{dark, hallway}, hallway}
  - (c) a {{dark, hallway}, hallway}

Unaccusative:

- 24) (a) {arrive, train}
  - (b) {{arrive, train}, train}

Nominal head needed Det

EM: predicative-substantive

EM: predicative-substantive Nominal head needed

- {arrive, train} must be EXT as an adjectival
   (c) the arrived train / the train arrived
- (Radford 2009)
  - 25) (a) the recently arrived train is the delayed 8:28 for London Euston(b) the train arrived (at platform 4) is the delayed 8:28 for London Euston
- (Quirk et al. 1972):
  - 26) (a) the visible stars / the stars visible (INT: "individual"/stage level predicate)
    (b) the navigable river / the only river navigable during a drought

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# Noun Phrase Formation

### Causative/inchoative verb change:

- 26) (a) {change, man}
  - (b) {prt, {change, man}}
  - (c) {{prt, {change, <del>man</del>}}, man}
- EXT prt-change-man as changed
  - (d) A changed man
  - (e) A broken man

EM: predicate-argument prt: passive particle (*DbyP-style*) Nominal head needed

# Noun Phrase Formation

Radford (2009): doesn't apply to transitives and unergatives:

- 27) (a) \*The man *committed* suicide was a neighbour of mine
  - (b) \*The thief stolen the jewels was never captured
  - (c) \*The man overdosed was Joe Doe
  - (d) \*The yawned student eventually fell asleep in class

### Transitive predicate *steal*:

- 28) (a) {thief, {v\*, {steal, the jewels}}} predicate-arguments
  - (b) {{<del>thief</del>, {v\*, {steal, the jewels}}}, thief}

- Nominal head needed
- perfectly fine thought, can't EXT v\*-steal-the-jewels adjectivally
  - (c) \*The thief stolen the jewels (cf. the thief-stolen jewels)

# Secondary Predication and FormSet

Both okay in English:

- 29) (a) *paint green the red wall* (resultative)
  - (b) paint the red wall green
- A puzzle for FormSet:
  - 30) (a) {red, wall}

predicate-argument

- (b) {green, wall}
- (c) {{red, <del>wall</del>}, wall}}

Nominal head needed

- (d) {paint, the {{red, wall}, wall}}
- (e) {Peter, {v\*, {paint, *the* {{red, <del>wall</del>}, wall}}}}
- (f) {{Peter, {v\*, {paint, *the* {{red, <del>wall</del>}, wall}}}}, {green, wall}}

### • But:

(g) {paint, {green, {the, {{red, wall}, wall}}}
(compound predicate paint green)
(h) paint {{{red, wall}, {green, wall}}, wall}
(paint the red and green wall)

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# Serial Verbs and Deverbal Noun Compounds

- Evidence for FormSet from Japanese predicates?
- Serial Verbs:
  - binary: home-tataeru (admire-praise)
  - **ternary**: *oti-tuki-harau* (fall-attach-brush.off) 'completely stay calm'
- Deverbal noun compounds:
  - **binary**: *tumami-gui* (pinch-eating) *'eat with your fingers/to snack/go through partners one after another'*
  - **ternary**: *naki-ne-iri* (crying-sleeping-entering) 'refrain from complaining/put up with something without complaining'
- Note:
  - argument sharing (*need not be complete*) between individual predicates required
  - Valency Reduction compound predicate

# Serial Verbs and Deverbal Noun Compounds



Aggressive buying of pricey items from the elderly by unscrupulous businesses

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