

DEPENDENT CASE*

LING 24.951 – November 30, 2022

Giovanni Roversi

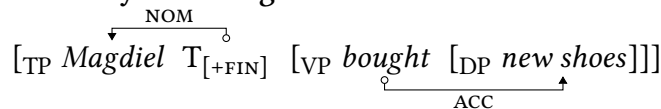
MIT

1 TWO VIEWS OF CASE: LICENSING AND/OR MORPHOLOGY?

► What we've told you so far about case:

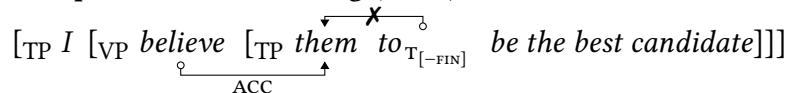
- ▷ Some languages have overt case marking: Russian, Latin, ...
- ▷ Classic Chomsky/Vergnaud idea: English (and others) have it too, it's just (mostly) phonologically null. Why would we want this at all?
- ▷ **Case as a way to account for *licensing of nominals***. Case is the part of the grammar that tells us “if you're a DP, you can be here and here but not here”.
- ▷ Case is assigned to a DP by **dedicated lexical heads**:
 - ▷ $T_{[+FIN]}$ assigns NOM to its specifier
 - ▷ V/v assigns ACC to its complement

(1) **Ordinary case assignment:**

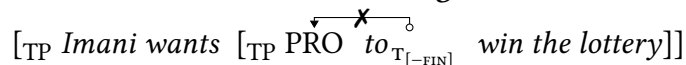


- ▷ $T_{[-FIN]}$ can't assign any case and that's why you can't have an ordinary subject in non-finite clauses...
- ▷ Unless you can get that subject case-licensed elsely, like ECM (2)
- ▷ ... Or unless that subject is PRO, which doesn't need Case (3)

(2) **Exceptional Case Marking (ECM):**



(3) **PRO doesn't need Case licensing:**



- ▷ If you're not assigned Case, you **don't pass the Case Filter**, and you cause disaster and terror.

* Most of this hand-out is *heavily* based on slides by Suzana Fong.

- ▶ Traditional Minimalist model (Chomsky 2000, 2001): Case and Agree are two facets of the same phenomenon (will become relevant later)
 - ▷ Finite T agrees with subject AND assigns it case
 - ▷ v assigns case to the object... and agrees with it, but in English it's null
- ▶ Easy to forget if you look at English, easier to remember if you look at Russian, but: case is also a **morphological phenomenon**.
 - ▷ What morphological material a DP surfaces with depending on its larger syntactic environment.
- ▶ Does **Case morphology** correlate with/map onto **nominal licensing**?
 - ▷ Traditional Chomsky/Vergnaud answer: yes!
 - ▷ Because they are the same thing. Case morphology *is* nominal licensing.
 - ▷ Today's answer: **no!**
 - ▷ They're two different systems altogether, and shouldn't be reconciled.
 - ▷ We'll poke at corners of grammars where the two come hopelessly apart
 - ▷ If they are two different things, you need two theories: one of morphological case, and one of licensing
- ▶ **Dependent case**: a theory of *morphological case*
 - ▷ Doesn't account for nominal licensing, *by design*:
 - ▷ There are phenomena where nominal licensing and morphological case come apart, so you *don't* want them to be handled by the same system
 - ▷ How do Dependent case people handle nominal licensing?
 - ▷ Not today's problem!
- ▶ Today's game: we'll contrast two theories
 - ▷ **Case-as-licensing (CaL)**: the traditional view, where Case is the signal of nominal licensing, and is assigned by dedicated functional heads (by Agree)¹
 - ▷ **Dependent case (DepC)**: a configurational theory of case assignment, that explicitly says morphological case has nothing to do with nominal licensing

2 DEPENDENT CASE: BIRD-EYE OVERVIEW

- ▶ ... *A configurational theory of case assignment*. What does this mean?
- ▶ Case is *not* assigned by dedicated functional heads.

¹ In theory, these two things don't need to go together. You could imagine a theory where morphological case is *not* the same as nominal licensing, it's its own thing, but it's still assigned by dedicated functional heads via Agree instead of by the DepC algorithm. Not for today. See [barany.sheehan2022](#).

(7) **Step 3:** assign **unmarked case** to the remaining DPs. (“fill in the gaps”)

- a. [TP [Magdiel]_[Case: NOM] T_[+FIN] bought [new shoes]_[Case: ACC]]
 b. [TP [Magdiel]_[Case: ERG] T_[+FIN] bought [new shoes]_[Case: ABS]]

- ▶ What happens with ECM? Remember our case competition domain was *finite* TPs
- ▶ Since the lower non-finite TP doesn't count as a boundary, there's still case competition between the matrix subject and the embedded one, and that one gets assigned dependent case

(8) [TP I believe [TP them to_{T[-FIN]} be the best candidate]]
 $\begin{array}{c} \overset{\circ}{} \text{-----} \overset{\circ}{} \\ \longrightarrow \text{ACC} \end{array}$

2.2 INTERIM SUMMARY: CAL VS DEPC

- ▶ **Case-as-Licensing:** case is both responsible for licensing DPs *and* it's what gets spelled out as morphological case
 - ▷ Case Filter: if a DP does not get assigned case by a dedicated functional head, the derivation crashes
- ▶ **Dependent Case:** case is *only* the morphology that a DP appears with, depending on the syntactic configuration it's in, and, crucially, the presence/absence of other case competitors
 - ▷ Case is *not* responsible for licensing

3 A PROBLEM FOR CAL: ICELANDIC NOM OBJECTS

3.1 DESCRIPTION OF THE DATA

- ▶ Certain verbs idiosyncratically assign **lexical DAT** to their **subject**:

(9) *henni* / **hún* *leiðist* *bók-in* *sín*
she.DAT she.NOM bores book-DEF.NOM.SG self's
 'She finds her (own) book boring.'

- ▶ Correlated property: the **object** is **NOM**, and is **agreed with** by the verb

(10) *Jóni* **líkað-i* / *líkuð-u* [*þess-ir* *sokk-ar*]_O
 Jón.DAT liked-3SG liked-3PL these-NOM.PL socks-NOM.PL
 'Jón liked these socks'

- ▷ Traditional CaL view: good! We keep a correlation between NOM case and agreement with finite T.
- ▷ Me pointing this out should be an omen of warning

- ▶ Wait a minute: how do we know that the DAT argument is really the subject, when it's not nominative and the verb doesn't agree with it?
 - ▷ Raising and control target subjects.
 - ▷ The DAT argument of *leiðast* is targeted by raising and control.

(11) **Raising:**

henni_i virðist [—_i hafa leiðst bókin]
 she.DAT seems have bored book.DEF.NOM.SG
 'She seems to have found the book boring.'

(12) **Control:**

hún_i vonast til [að PRO_i leiðast ekki bókin]
 she.NOM hopes prep to PRO_{DAT} bore.INF not book.DEF.NOM.SG
 'She hopes not to find the book boring.'

3.2 TWO DIFFERENT ACCOUNTS

- ▶ How to account for the DAT/NOM pattern in (13)=(9)?

(13) *henni leiðist bókin sín*
 she.DAT bores book.DEF.NOM.SG self's
 'She finds her (own) book boring.'

- ▶ **CaL:** finite T in Icelandic might be exceptionally able to assign NOM to an object; after all, it agrees with it too

(14)
$$\left[\text{TP } \underset{\text{DAT}}{\overset{\circ}{\uparrow}} \textit{she} \text{ T}_{[+\text{FIN}]} \textit{bores} \overset{\text{NOM}}{\underset{\circ}{\downarrow}} [\textit{book self's}] \right]$$

- ▶ **DepC:** remember that NOM is *unmarked case*. Let's go through the algorithm:

- ▷ **Step 1:** lexical/inherent case. This particular verb assigns DAT to its subject:

(15)
$$\left[\text{TP } \underset{\text{DAT}}{\overset{\circ}{\uparrow}} \textit{she} \text{ T}_{[+\text{FIN}]} \textit{bores} [\textit{book self's}]_{[\text{Case: —}]} \right]$$

- ▷ **Step 2:** case competition? We only have *one* DP that's caseless, so **no**. Dependent case is *not* assigned.

- ▷ So far this explains why the object is not ACC

- ▷ **Step 3:** assign unmarked case. We have one DP that's still caseless, so we assign it unmarked case = NOM:

(16)
$$\left[\text{TP } \textit{she.DAT} \text{ T}_{[+\text{FIN}]} \textit{bores} [\textit{book self's}]_{[\text{Case: NOM}]} \right]$$

3.3 TESTING THE PREDICTIONS

- ▶ **So far:** DepC and CaL seem equivalent, but propose very different sources for NOM:
 - ▷ CaL: finite T (via Agree).
 - ▷ DepC: unmarked case.
- ▶ How do we test who's right? **Predictions.** What would happen to the object of *leiðast* in a **non-finite** environment (an embedded TP)?
 - ▷ **CaL:** no agreement with T, because it's non-finite, so **no nominative**.
 - ▷ **DepC:** as long as there is no case competitor, **should be nominative**.

(17) *Ég tel [henni hafa leiðst bókin]*
 I believe.1SG she.DAT have bored book.DEF.NOM.SG
 'I believe her to have found the book boring.'

- ▶ **CaL struggles here:** the object is still nominative even without agreement with T
- ▶ **DepC:** if we assume slightly different case competition domains than English, this works just fine.
 - ▷ Say that all TPs in Icelandic are a domain for case competition, both finite and non-finite
 - ▷ Case assignment works cyclically and bottom up (from smaller to larger domains); for every domain, do the algorithm.
- ▶ **Domain 1:** embedded TP. **Domain 2:** matrix TP. Derivation step by step:

(18) **Starting point:** no case anywhere
 $I_{[Case: _]} believe.1SG [she_{[Case: _]} have bored the.book_{[Case: _]}]$

(19) **Domain 1:**

a. **Step 1:** assign inherent case

$I_{[Case: _]} believe.1SG [she_{[Case: DAT]} \overset{\uparrow}{\underbrace{have\ bored}_{DAT}} the.book_{[Case: _]}]$

b. **Step 2:** no case competition *within this domain* = no dependent case.

c. **Step 3:** unmarked case to the one caseless DP left.

$I_{[Case: _]} believe.1SG [she_{[Case: DAT]} have bored the.book_{[Case: NOM]}]$

(20) **Domain 2:**

a. **Step 1:** no inherent case to assign

b. **Step 2:** only one caseless DP = no case competition = no dependent case

c. **Step 3:** the only caseless DP left gets unmarked case

$I_{[Case: NOM]} believe.1SG [she_{[Case: DAT]} have bored the.book_{[Case: NOM]}]$

- **Making sure:** can our step-by-step algorithm handle the basic NOM/ACC pattern? Yes, in the same way.

- (21) a. *Hún sá myndina sína.*
 she.NOM saw the.picture.ACC self's.ACC
 'She saw her (own) picture.'
- b. *Ég tel [hana hafa séð myndina]*
 I believe.1SG she.ACC have seen the.picture.ACC
 'I believe her to have seen the picture.'

- Exercise: do the step by step derivation of (21b).

4 ERG AND ACC: DEPENDENT CASES

4.1 A NATURAL CLASS?

- We've been grouping together ERG and ACC as kinda two versions of the same thing:
 - ▷ You have DP1 c-commanding DP2: either you mark the lower one (= ACC) or you mark the higher one (= ERG).
- Other than being neat, does this actually hold?
- Let's remember **Burzio's generalization**: if you don't assign a θ -role to a subject, you can't assign ACC

- (22) a. *Charlie pet the dog*
 b. *The dog was pet*
 c. **It was petted the dog*
- (23) a. *The student arrived*
 b. **It arrived the student*

- We can have a similar generalization about ERG: if you don't assign a θ -role to an object, you can't have ERG.

- (24) **Hindi:** ERG/ABS alignment in perfective aspect
- a. *Raam-ne RoTii khaayii thii*
 Ram.M-ERG bread.F.ABS eat.PERF.F be.PST.F
 'Ram had eaten bread'
- b. *Siita(*-ne) aayii*
 Sita.F-ERG arrived.PERF.F
 'Sita arrived'

- It seems that both ACC and ERG are *dependent* on the presence of another argument.

4.2 DISSOCIATING AGENTS AND ERGATIVE

- ▶ Influential proposal about ergative case in a case-by-dedicated-heads theory: it's always **inherent case**, assigned by v_{AGENT} to its specifier
- ▶ It makes sense: you get ERG on transitive subjects, which presumably (?) are introduced in a position different from that of intransitive subjects
- ▶ Two different proposals side by side:
 - ▷ **Dedicated heads**: " v_{AGENT} assigns inherent ERG to its specifier"
 - ▷ **Pure DepC**: "if you have DP1 c-commanding DP2, assign ERG to DP1"
- ▶ How to tell these apart?
- ▶ We'd need a situation where we have two DPs, one c-commanding the other, but none of these are in spec, vP_{AGENT} = none of these are the external arguments
 - ▷ We'd also want to avoid ditransitive structures, to avoid complications
- ▶ Can we have this? Yes! **Applicatives of unaccusatives** (Baker 2014, Deal 2019)
 - ▷ **Unaccusatives**: only one argument, and it's internal.
 - ▷ **Applicatives**: add one argument, but it's not the external argument.
- ▶ **Nez Perce**: tripartite system.
 - ▷ Subjects of intransitives: NOM
 - ▷ Subjects of transitive verbs: ERG
 - ▷ Objects of transitive verbs: ACC

(25) *Angel-Ø hi-pnip-se*
 Angel-NOM 3SBJ-sleep-IMPERF
 'Angel is sleeping'

(26) *Angel-nim hi-naas-wapayata-ca ma-may'as-na*
 Angel-ERG 3SBJ-PL.OBJ-help-IMPERF PL-child-ACC
 'Angel is helping the children'

- ▶ **Identifying unaccusatives**: they form a passive participle-ish; unergatives can't.

(27) *pro lilooy-nin' / *tiy'-iin' wee-s*
 2SG be.happy-PART laugh-PART be-PRES
 'You are happy / *laughed'

(28) *pro hii-we-s paay-nin' / *kuu-yiin'*
 3SG 3SBJ-be-PRES come-PART go-PART
 'He is come / *gone'

► **Verbs with three arguments:**

▷ Goal higher than theme. ACC only on goal, and unmarked case (NOM) on theme.

- (29) *'aayat-onm pe-'eny-Ø-e haacwal-a tam'aamiin-Ø*
 woman-ERG 3/3-give-PERF-REM.PST boy-ACC cake.NOM
 'The lady gave the boy cake'

▷ Think for yourself: how to account for these with DepC?

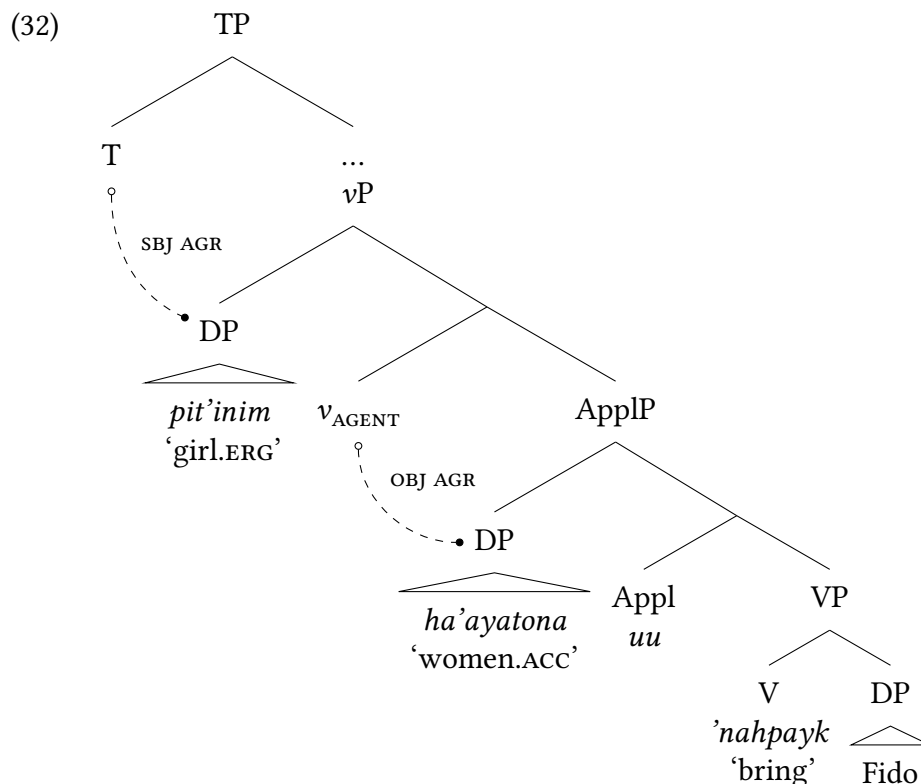
► **Applicatives:** add one argument, lower than external argument and higher than internal argument.

(30) **Applicative on unergative** \implies 2-place predicate:

- a. *Kit'ic-Ø hi-wii-qa-na*
 Kit'ic.NOM 3SBJ-cry-HAB.PAST-REM.PAST
 'Kit'ic used to meow'
- b. *Kit'ic-nim pee-wii-nuu-qa-na Besi-ne*
 Kit'ic-ERG 3/3-cry-APPL-HAB.PAST-REM.PAST Bessie-ACC
 'Kit'ic used to meow at Bessie'

(31) **Applicative on transitive** \implies 3-place predicate:

- a. *pro paa-'nahpayk-Ø-a Fido-ne*
 3SG.(ERG) 3/3-bring-PERF-REM.PAST Fido-ACC
 'She brought Fido'
- b. *Pit'in-im ha-'ayato-na hi-naac-'nahpayk-oo-Ø-ya Fido-Ø*
 girl-ERG PL-woman-ACC 3SBJ-PL.OBJ-bring-APPL-PERF-REM.PAST Fido.NOM
 'The girl brought Fido to the women'

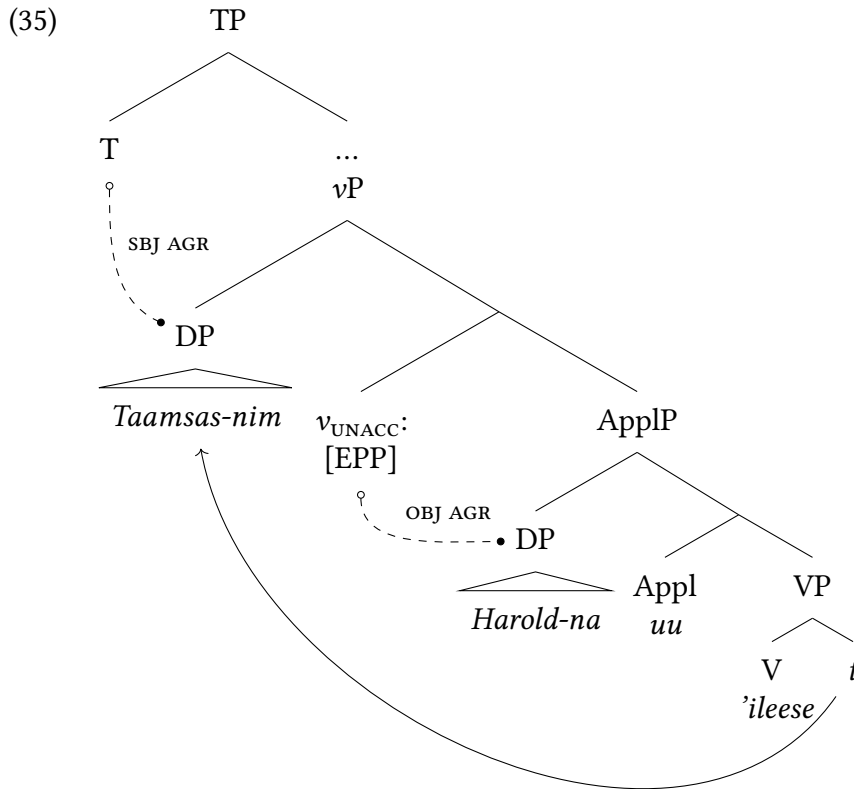


- ▶ Unergatives: same thing, but no complement of VP
- ▶ **Applicatives of unaccusatives:** What do our theories predict?
 - ▷ **Ergative as inherent case:** the applied argument shouldn't count at all. Ergative is assigned by v to the argument in its specifier. In an applicativized unaccusative, there's no such thing, so, **no ergative**.
 - ▷ **Ergative as dependent case:** ergative is assigned to the higher of two DPs in a given domain. Applicatives might create such a configuration, so, possibly **yes ergative**.
- ▶ **Applicatives of unaccusatives:** What do we find?
 - ▷ The original theme becomes **ergative**, the applied argument is accusative (free word order)

(33) *Taamsas-nim pee-'leese-nuu-Ø-ye* *Harold-ne*
 Taamsas-ERG 3/3-make.noise-APPL-PERF-REM.PAST Harold-ACC
 'Taamsas made noise at Harold'

(34) *Angel-na pa-pay-noo-Ø-ya* *sik'eem-nim*
Angel-ACC 3/3-COME-APPL-PERF-PAST.REM **horse-ERG**
 'The horse came to Angel'

- ... Kinda surprising. There's arguments from agreement and condition C to say that the theme does move across the applied argument (not reproduced here):



- If this movement really does happen (and we have good reasons to believe that it does), this creates precisely the configuration we were looking for:
- DP1 c-commanding DP2; *neither* is in spec, vP_{AGENT} .
- Remember our predictions:
 - ▷ **Ergative as inherent case:** the applied argument shouldn't count at all. Ergative is assigned by v to the argument in its specifier. In an applicativized unaccusative, there's no such thing, so, **no ergative**.
 - ▷ **Ergative as dependent case:** ergative is assigned to the higher of two DPs in a given domain. Applicatives might create such a configuration, so, possibly **yes ergative**.
- DepC has the right predictions. The theme, despite not being an external argument, raises to a position where it couldn't possibly be assigned an agentive θ -role, but it c-commands another DP = triggers **upward dependent case**.

4.3 KORYAK: NEAT DEPENDENT CASE

- ▶ Another clear example where for a DP to have ERG, it just needs to c-command another DP.
- ▶ Certain verbs can either assign lexical case (DAT) to their objects, or they can also not do that:

(36) *kajŋ-a* \emptyset -*peŋŋ-a-nen* *ʔalve-ʔal*
 bear-ERG 3.SBJ-attack-EP-3SG.A>3.O wild.reindeer-ABS.SG
 ‘The bear attacked the wild reindeer’

(37) *kajŋ-a-n* \emptyset -*peŋŋ-e* *ʔalva-ŋ*
 bear-EP-ABS.SG 3.SBJ-attack-AOR wild.reindeer-DAT
 ‘The bear attacked the wild reindeer’

(38) * *kajŋ-a* \emptyset -*peŋŋ-a-nen* *ʔalva-ŋ*
 bear-ERG 3.SBJ-attack-EP-3SG.A>3.O wild.reindeer-DAT

- ▶ If you don’t assign lexical case:
 - ▷ Case competition: upward dependent case, subject gets ERG
 - ▷ Object is left caseless: unmarked case = ABS
- ▶ If you *do* assign lexical case:
 - ▷ Object gets DAT
 - ▷ No case competition = no ERG on subject
 - ▷ Subject is left caseless: unmarked case = ABS
- ▶ (38) can’t be generated: to get ERG, you need a c-commanded caseless DP.
- ▶ Same argument can be done with **incorporation**:
 - ▷ If you have a full object DP, you get ERG/ABS (39a)
 - ▷ If you incorporate the object, the subject must be ABS and not ERG (39b)

(39) a. *jejyutcewŋalʔ-a-jək* *na-ko-jəlŋ-a-ŋ-na-w* *kali-w*
 student-EP-NSG.ERG INV-PRS-read-EP-PRS-3.O-3PL book-ABS.PL
 ‘The students are reading books’

b. *jejyutcewŋalʔ-u* \emptyset -*ko-kale-jəlŋ-al-la-ŋ- \emptyset*
 student-ABS.PL 3.SBJ-PRS-book-read-VBLZ-PL-PRS-3.SBJ
 ‘The students are reading books’

- ▶ Even more excitingly: **wh-movement triggers case competition**, in a successive-cyclic way (Abramovitz 2020).
 - ▷ **Disclaimer:** Rafael's analysis is actually more complex, with the wh-word moving through every intermediate phase boundary, so every spec,vP and every spec,CP. I present a rather simplified version that keeps the spirit of the story intact.
- ▶ **Successive cyclicality:** movement proceeds through every landing site, not in one go:

(40) [CP Who did Bill hear [CP that Mary said [CP that John saw]]]?

- ▶ As you can imagine, this might *do things* to our case competition domains, and wreak some havoc.
- ▶ To check this, you need wh-fronting. Koryak has wh-fronting.
- ▶ If a verb has a clausal object, that doesn't count as a case competitor: the subject takes absolutive (41)
 - ▷ Schematized in (42): to get case competition you need two DPs, not just a DP and something else.

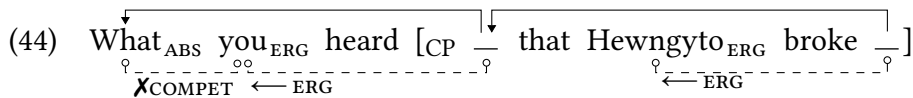
(41) **yəmmo** t-ə-valom-ə-k [CP əno ?ewŋəto-na-k
 1SG.ABS 1SG.SBJ-EP-hear-EP-1SG.SBJ that Hewngyto-OBL.SG-ERG
 Ø-j-ə-tcim-aw-nin kojŋ-o]
 3.SBJ-CS-EP-break-VBLZ-3SG.A>3.O cup-ABS.PL
 'I heard that Hewngyto broke cups'

(42) I_{ABS} heard [OBJ=CP that Hewngyto_{ERG} broke cups_{ABS}]

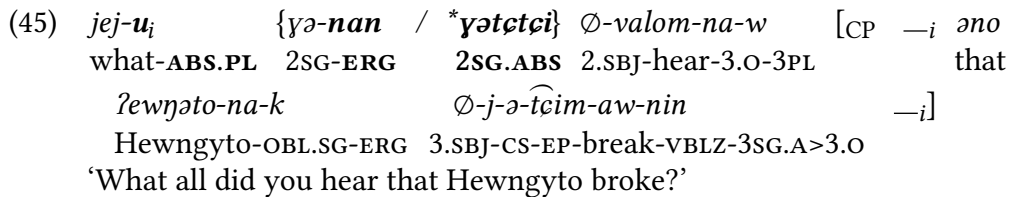
- ▶ What happens with **long-distance wh-extraction**? Different predictions depending on how the movement goes.
- ▶ **If the wh-word moves in one fell swoop:** (43)
 - ▷ It starts off as caseless: case-competition with embedded subject, which c-commands it, so it gets ergative.
 - ▷ The wh-word is still caseless. It moves right to the matrix spec,CP: triggers case competition with matrix subject, which *it c-commands*; therefore, the wh-word should get ergative and the subject absolutive

(43) What_{ERG} you_{ABS} heard [OBJ=CP that Hewngyto_{ERG} broke]

- ▶ **If the wh-word indeed does stop over at every intermediate landing site: (44)**
 - ▷ It starts off as caseless: case-competition with embedded subject, which c-commands it, so it gets ergative.
 - ▷ Then it moves to the embedded spec,CP. Here, it's c-commanded by the matrix subject, and it's local enough to it that it triggers case competition. Therefore, the matrix subject gets **ergative**, not absolutive.
 - ▷ Then, it moves further to the matrix spec,CP. At this point, the matrix subject is not caseless (it's ergative), so it doesn't count as a case competitor. The wh-word remains caseless = unmarked case = absolutive.



- ▶ So what's right then? (44). The wh-word moves successive cyclically and triggers dependent case at every step.



5 TAKING STOCK

- ▶ A different theory of case, divorcing morphological case from nominal licensing.
- ▶ Dissociation between case and licensing:
 - ▷ Objects can be nominative even when the verb doesn't agree with them (Icelandic) = impossible in a CaL world.
 - ▷ Do we still need nominal licensing? Probably, possibly, but case is not that
- ▶ Why are ERG and ACC grouped together?
 - ▷ They are *dependent* on the presence of another DP.
 - ▷ They are *not* connected to theta-roles: you can get the morphology even in the "wrong" structural positions, as long as the right conditions are created.
- ▶ Do we need *both* DepC *and* (morphological) case assigned by functional heads via Agree? Some say yes, some say no...
 - ▷ We'd need to see both phenomena that Case-by-Agree can't account for (e.g., applicatives of unaccusatives), *and* phenomena that DepC can't account for