

Sharpening the empirical claims of generative syntax through formalization

Tim Hunter

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NASSLLI, June 2014

Part 1: Grammars and cognitive hypotheses

What is a grammar?

What can grammars do?

Concrete illustration of a target: Surprisal

Parts 2–4: Assembling the pieces

Minimalist Grammars (MGs)

MGs and MCFGs

Probabilities on MGs

Part 5: Learning and wrap-up

Something slightly different: Learning model

Recap and open questions

Sharpening the empirical claims of generative syntax
through formalization

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Part 2

Minimalist Grammars

Outline

5 Notation and Basics

6 Example fragment

7 Recursion

8 Derivation trees

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Wait a minute!

“I thought the whole point was deciding between candidate sets of primitive derivational operations! Isn't it begging the question to set everything in stone at the beginning like this?”

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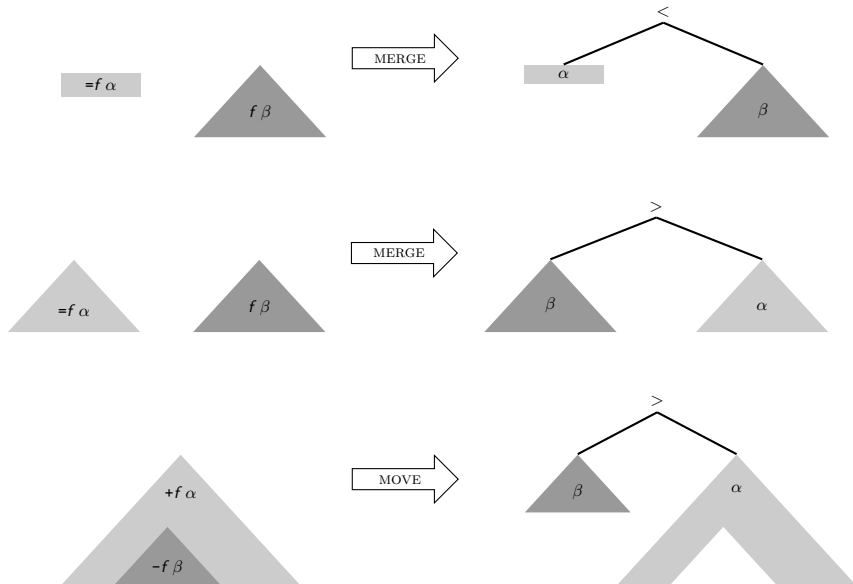
- We're not setting this in stone — we will look at alternatives.
- But we need a concrete starting point so that we can make the differences concrete.
- What's coming up is meant as a relatively neutral/“mainstream” starting point.

Minimalist Grammars

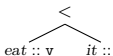
Defining a grammar in the MG formalism is defining a set Lex of lexical items

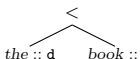
- A lexical item is a string with a sequence of features.
e.g. $like :: =d =d v$, $mary :: d$, $who :: d -wh$
- Generates the closure of the $Lex \subset Expr$ under two derivational operations:
 - $MERGE : Expr \times Expr \xrightarrow{\text{partial}} Expr$
 - $MOVE : Expr \xrightarrow{\text{partial}} Expr$
- Each feature encodes a requirement that must be met by applying a particular derivational operation.
 - $MERGE$ checks $=f$ and f
 - $MOVE$ checks $+f$ and $-f$
- A derived expression is complete when it has only a single feature remaining unchecked.

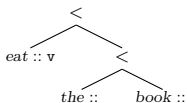
Merge and move

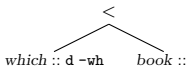


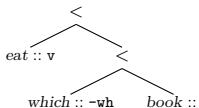
Examples

$$\text{MERGE}(\text{eat} :: \text{=d v}, \text{it} :: \text{d}) =$$


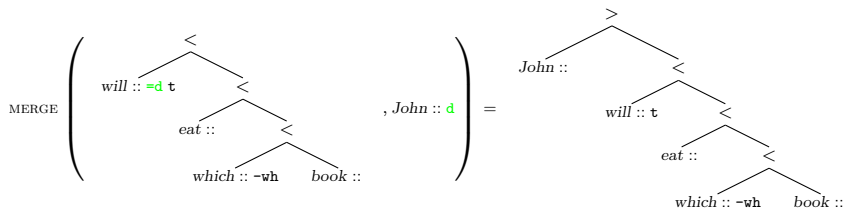
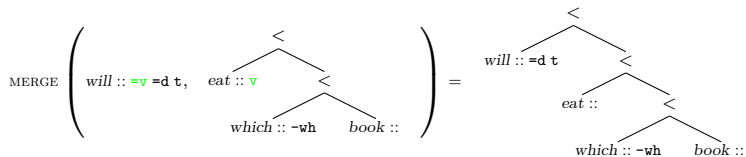
$$\text{MERGE}(\text{the} :: \text{=n d}, \text{book} :: \text{n}) =$$


$$\text{MERGE} \left(\text{eat} :: \text{=d v}, \begin{array}{c} < \\ \text{the} :: \text{d} \quad \text{book} :: \end{array} \right) =$$


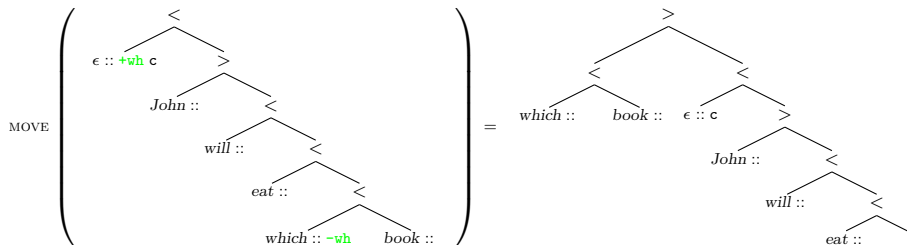
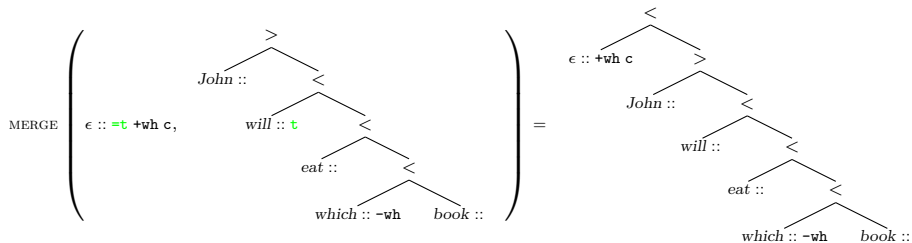
$$\text{MERGE}(\text{which} :: \text{=n d -wh}, \text{book} :: \text{n}) =$$


$$\text{MERGE} \left(\text{eat} :: \text{=d v}, \begin{array}{c} < \\ \text{which} :: \text{d -wh} \quad \text{book} :: \end{array} \right) =$$


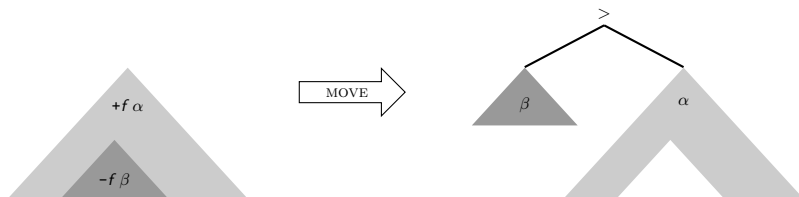
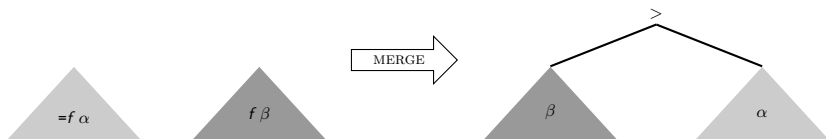
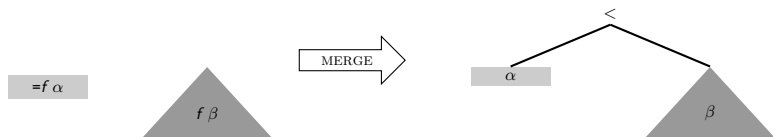
Examples



Examples



Merge and move



Definitions

$$\text{MERGE}(e_1[=f \alpha], e_2[f \beta]) = \begin{cases} [< e_1[\alpha] e_2[\beta]] & \text{if } e_1[=f \alpha] \in \text{Lex} \\ [> e_2[\beta] e_1[\alpha]] & \text{otherwise} \end{cases}$$

$$\text{MOVE}(e_1[+f \alpha]) = [> e_2[\beta] e'_1[\alpha]]$$

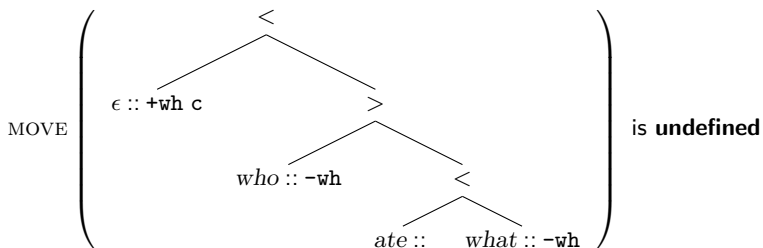
where $e_2[-f \beta]$ is a unique subtree of $e_1[+f \alpha]$

and e'_1 is like e_1 but with $e_2[-f \beta]$ replaced by an empty leaf node

Shortest Move Constraint

How do we know which subtree should be displaced when we apply MOVE?

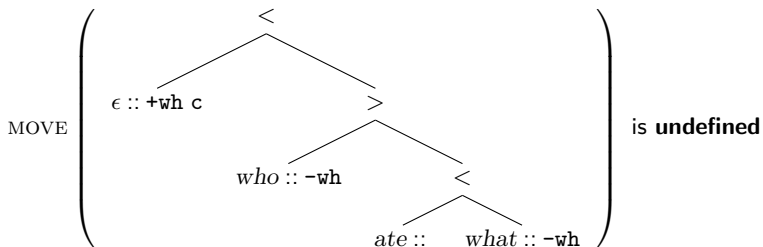
By stipulation, there can only ever be one candidate. This is the [Shortest Move Constraint \(SMC\)](#).



Shortest Move Constraint

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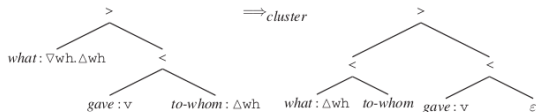
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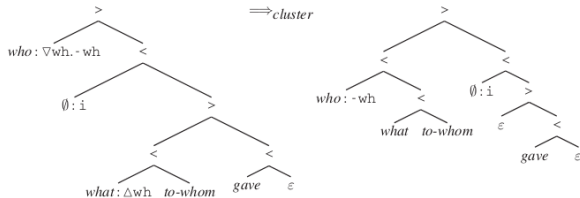
Q: Multiple wh-movement?

A: Clustering!

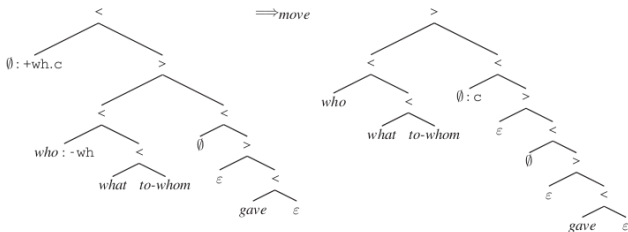
(7) a.



b.



c.



Notation

=d v or =dp vp?

Categorial grammar:

- Primitive symbols for “complete” things, e.g. S, NP
- Derived symbols for “incomplete” things, e.g. $S \setminus NP$
- Lexical category can specify “what’s missing”

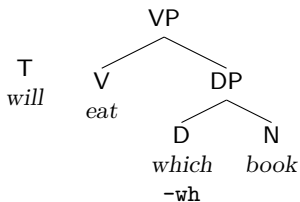
Traditional X-bar theory:

- Primitive symbols for “incomplete” things, e.g. V, T
- Derived symbols for “complete” things, e.g. VP, TP (= V'' , T'')
- Separate subcategorization info specifies “what’s missing”

MGs:

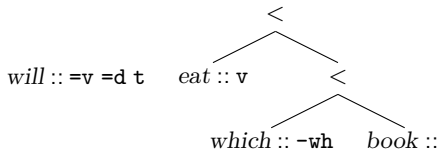
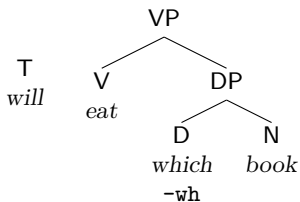
- Primitive symbols for “complete” things, like CG
- So t means “a complete projection of T”, not “a T head”

Notation comparison



	Conventional notation	MG notation
'eat which book' is a VP	VP label on root	v on 'eat'
'which book' must move	-wh on 'which'	-wh on 'which'
'will' combines with a VP	implicit	=v on 'will'

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A Minimalist Grammar

cake :: d

John :: d -k

eat :: =d =d v

will :: =v +k t

what :: d -wh

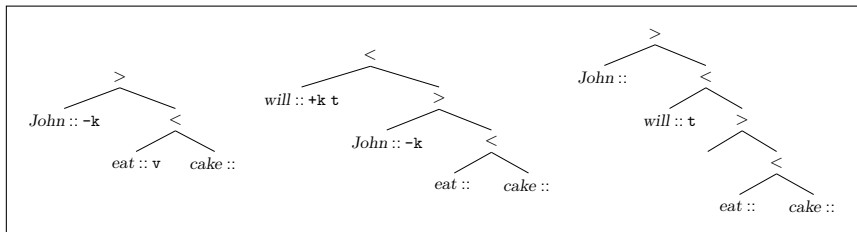
who :: d -k -wh

ϵ :: =t +wh c

ϵ :: =t c

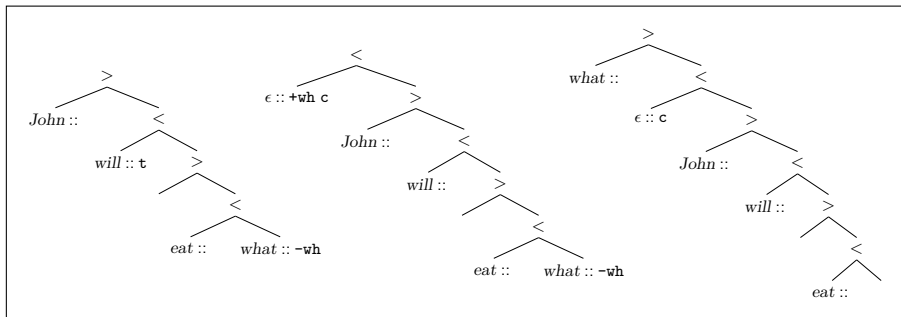
A Minimalist Grammar

cake :: d
John :: d -k
eat :: =d =d v
will :: =v +k t
what :: d -wh
who :: d -k -wh
 ϵ :: =t +wh c
 ϵ :: =t c



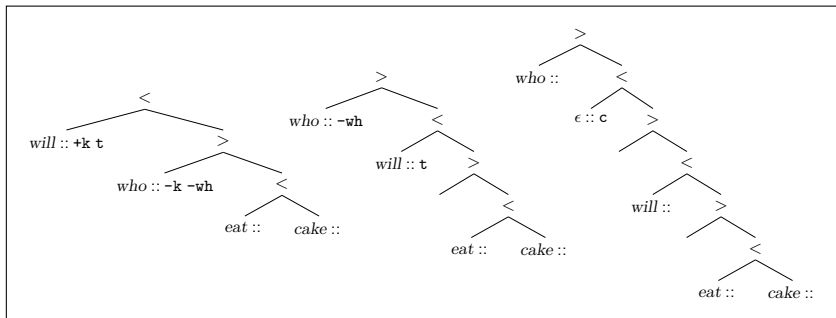
A Minimalist Grammar

cake :: d *what* :: d -wh
John :: d -k *who* :: d -k -wh
eat :: =d =d v ϵ :: =t +wh c
will :: =v +k t ϵ :: =t c



A Minimalist Grammar

cake :: d *what* :: d -wh
John :: d -k *who* :: d -k -wh
eat :: =d =d v ϵ :: =t +wh c
will :: =v +k t ϵ :: =t c



A Minimalist Grammar . . . which overgenerates

cake :: d

John :: d -k

eat :: =d =d v

will :: =v +k t

what :: d -wh

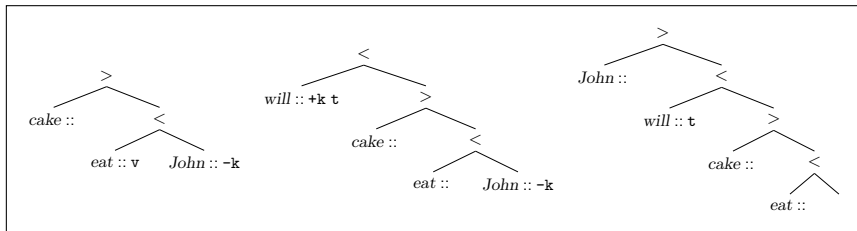
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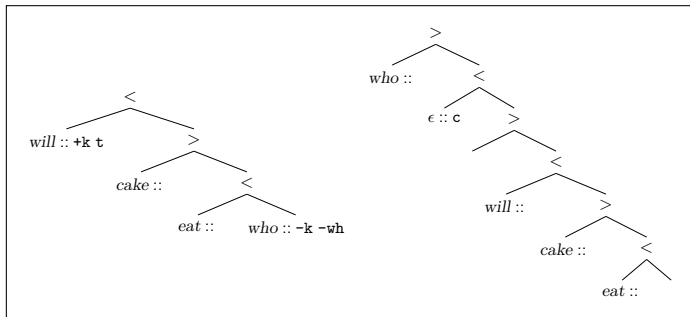
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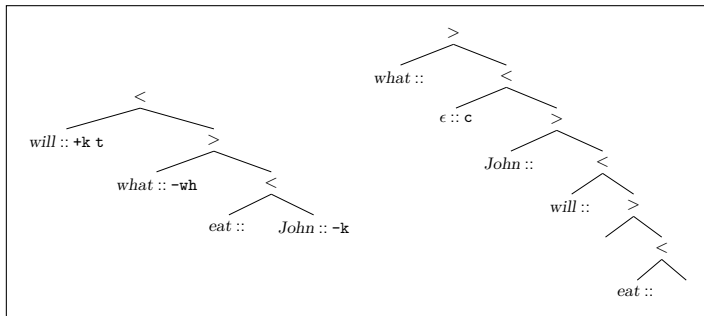
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John will eat cake *John will cake eat*
what John will eat *what John will eat*
who will eat cake *who will cake eat*

A Minimalist Grammar . . . which overgenerates

cake :: d *what* :: d -wh
John :: d -k *who* :: d -k -wh
eat :: =d =d v ϵ :: =t +wh c
will :: =v +k t ϵ :: =t c

John will eat cake *John will cake eat*
what John will eat *what John will eat*
who will eat cake *who will cake eat*

S	→ NP VP	VP	→ V NP
NP	→ <i>John</i>	VP	→ <i>runs</i>
NP	→ <i>Mary</i>	VP	→ <i>walks</i>
		V	→ <i>loves</i>

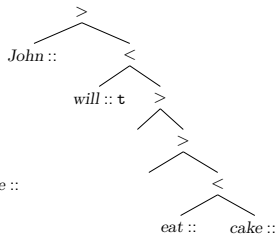
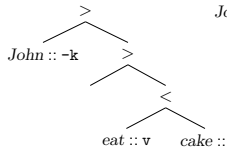
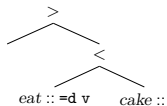
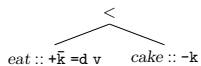
<i>John runs</i>	<i>Mary runs</i>
<i>John walks</i>	<i>Mary walks</i>
<i>John loves John</i>	<i>Mary loves John</i>
<i>John loves Mary</i>	<i>Mary loves Mary</i>

First solution: covert movement

<i>cake</i> :: d -k	<i>what</i> :: d -k -wh
<i>John</i> :: d -k	<i>who</i> :: d -k -wh
<i>eat</i> :: =d + \bar{k} =d v	ϵ :: =t +wh c
<i>will</i> :: =v +k t	ϵ :: =t c

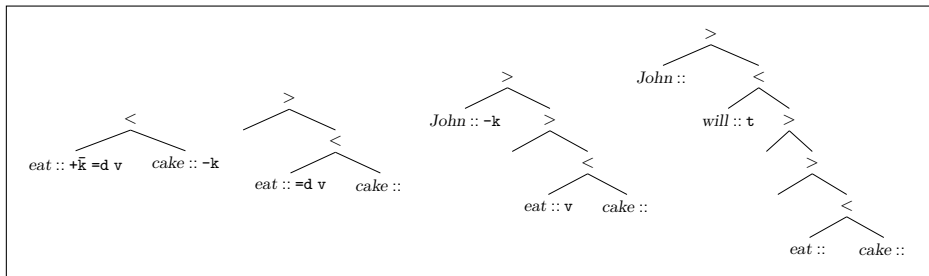
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First solution: covert movement

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John :: d -k *who* :: d -k -wh
eat :: =d + \bar{k} =d v ϵ :: =t +wh c
will :: =v +k t ϵ :: =t c



Note order of features on *eat*!

Second solution

Separate d into subj and obj

<i>cake</i> :: obj	<i>what</i> :: obj -wh
<i>John</i> :: subj -k	<i>who</i> :: subj -k -wh
<i>eat</i> :: =obj =subj v	ϵ :: =t +wh c
<i>will</i> :: =v +k t	ϵ :: =t c

Problem “solved”:

John will eat cake
what John will eat
who will eat cake

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Adding recursion

cake :: obj

John :: subj -k

eat :: =obj =subj v

will :: =v +k t

what :: obj -wh

who :: subj -k -wh

ϵ :: =t +wh c

ϵ :: =t c

to :: =v inf

seem :: =inf v

Adding recursion

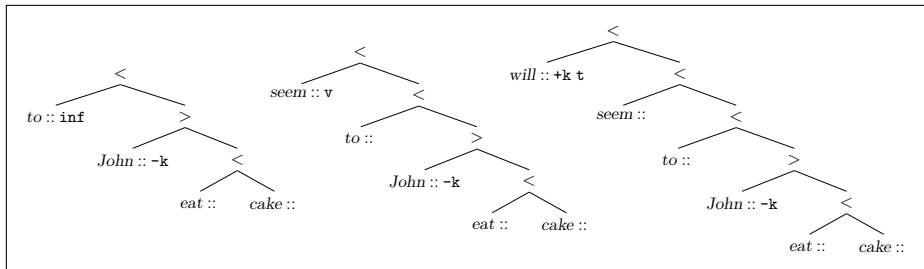
<i>cake</i> :: obj	<i>what</i> :: obj -wh	<i>to</i> :: =v inf
<i>John</i> :: subj -k	<i>who</i> :: subj -k -wh	<i>seem</i> :: =inf v
<i>eat</i> :: =obj =subj v	ϵ :: =t +wh c	
<i>will</i> :: =v +k t	ϵ :: =t c	

<i>John will eat cake</i>	<i>John will seem to eat cake</i>	...
<i>what John will eat</i>	<i>what John will seem to eat</i>	...
<i>who will eat cake</i>	<i>who will seem to eat cake</i>	...

Adding recursion

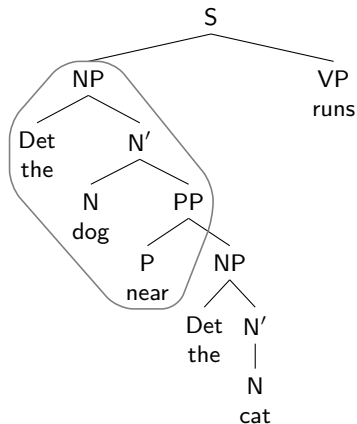
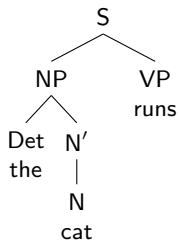
cake :: obj *what* :: obj -wh *to* :: =v inf
John :: subj -k *who* :: subj -k -wh *seem* :: =inf v
eat :: =obj =subj v ϵ :: =t +wh c
will :: =v +k t ϵ :: =t c

John will eat cake *John will seem to eat cake* ...
what John will eat *what John will seem to eat* ...
who will eat cake *who will seem to eat cake* ...

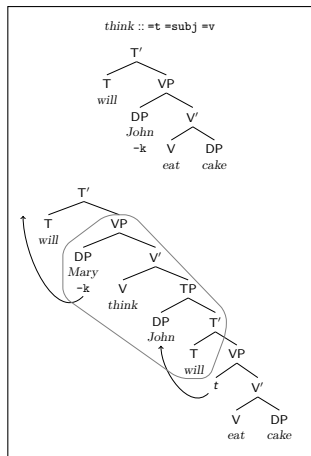
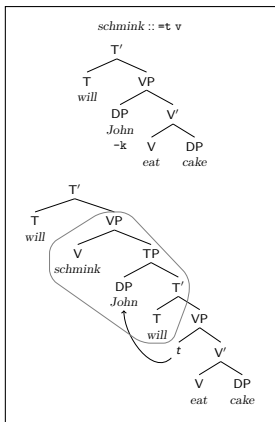
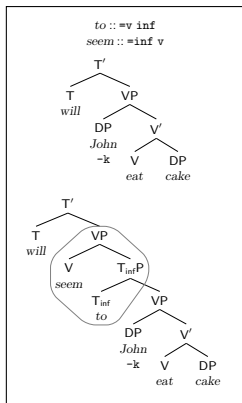


Reminder: Recursion in a CFG

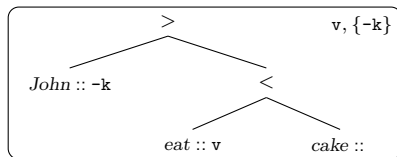
$S \rightarrow NP VP$ $VP \rightarrow runs$
 $NP \rightarrow Det N'$ $Det \rightarrow the$
 $N' \rightarrow N$ $N \rightarrow dog$
 $N' \rightarrow N PP$ $N \rightarrow cat$
 $PP \rightarrow P NP$ $P \rightarrow near$



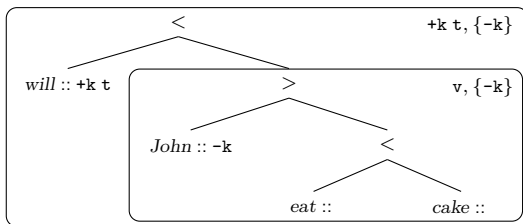
Which lexical items will produce recursion?



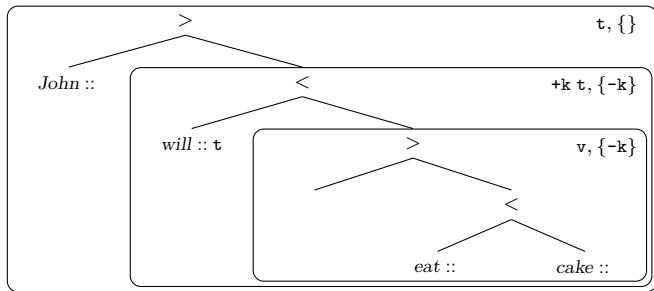
The old derivation



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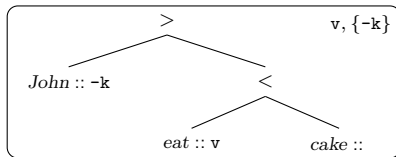
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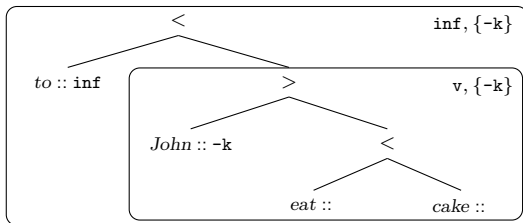


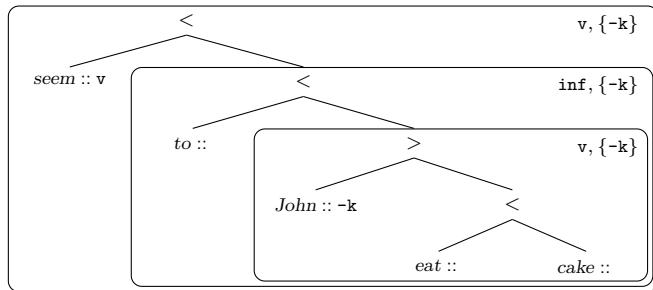
Derivation with *seem*

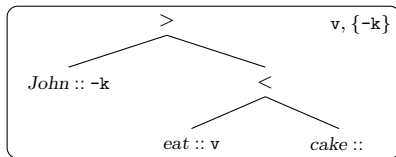
to :: =v inf

seem :: =inf v



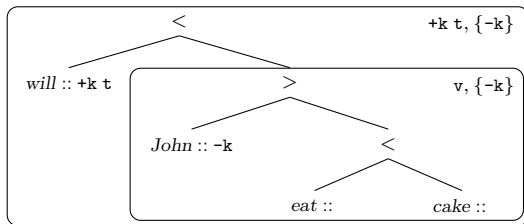
Derivation with *seem* $to :: =v \text{ inf}$ $seem :: =\text{inf } v$ 

Derivation with *seem* $to :: =v \text{ inf}$ $seem :: =\text{inf } v$ 

Derivation with *schmink* $schmink :: =t v$ 

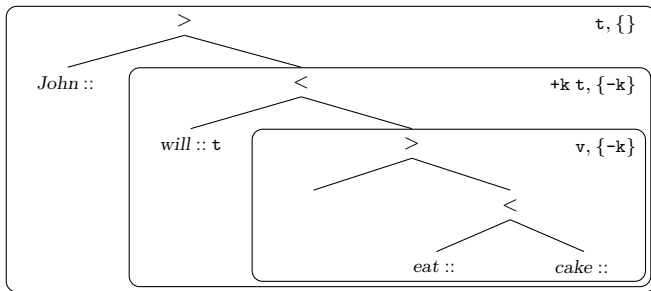
Derivation with *schmink*

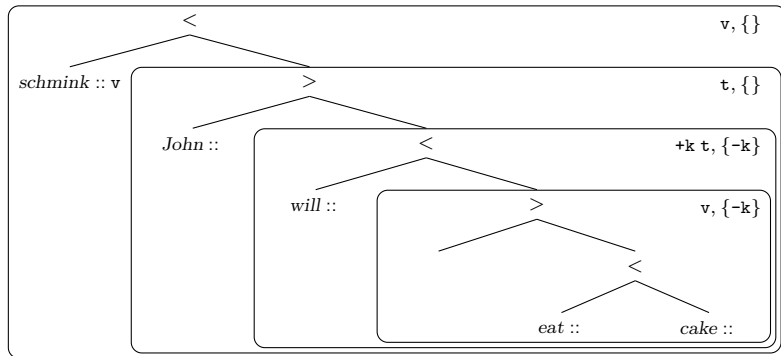
schmink ::= =t v



Derivation with *schmink*

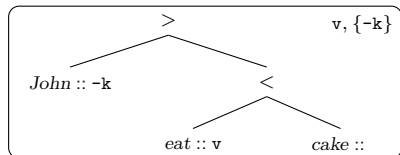
schmink ::= =**t** v



Derivation with *schmink* $schmink :: =t v$ 

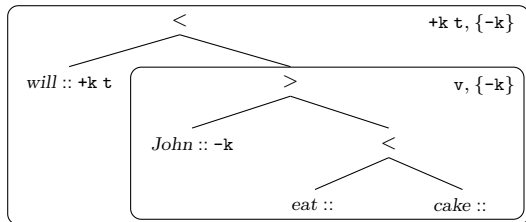
Derivation with *think*

think :: =t =subj v



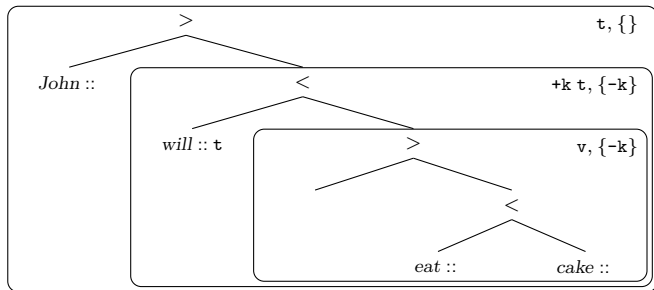
Derivation with *think*

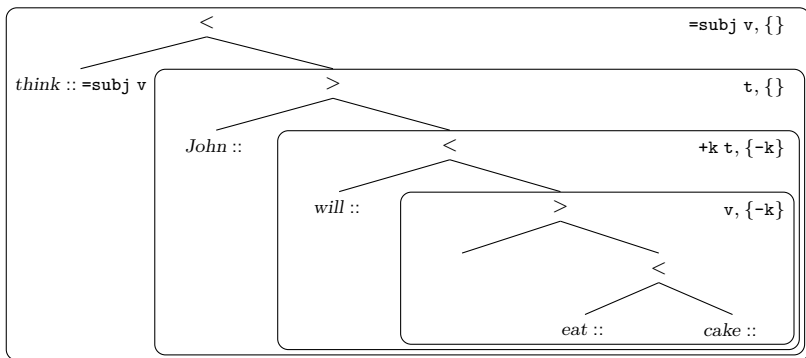
think :: =t =subj v

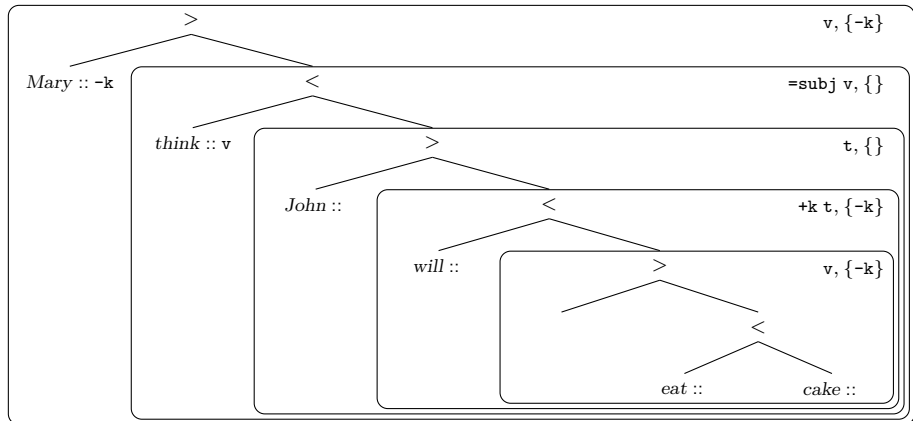


Derivation with *think*

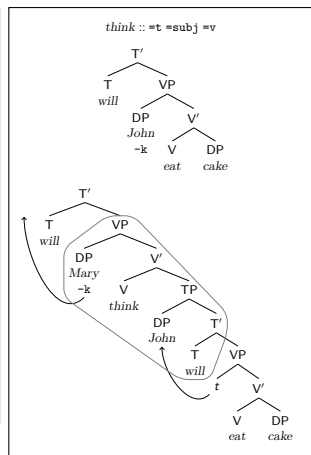
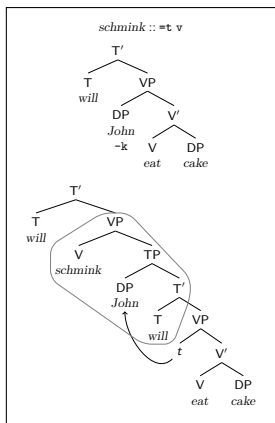
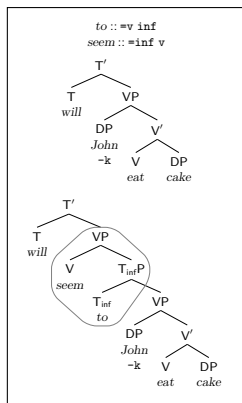
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Derivation with *think*
 $think :: =t =subj v$


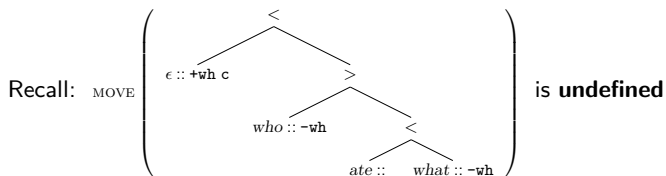
Derivation with *think* $think :: =t =subj v$ 

Which lexical items will produce recursion?



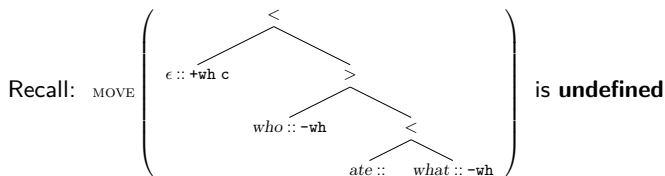
Importance of the SMC

The SMC ensures that there is a **finite number of types** (that we care about).



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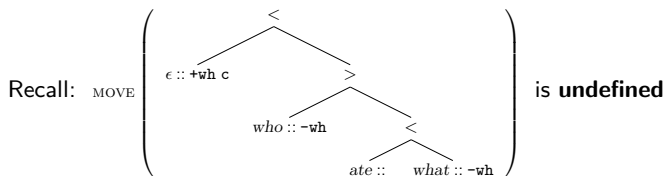
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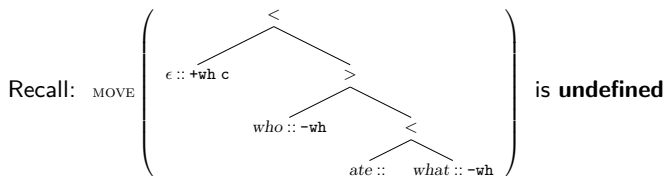
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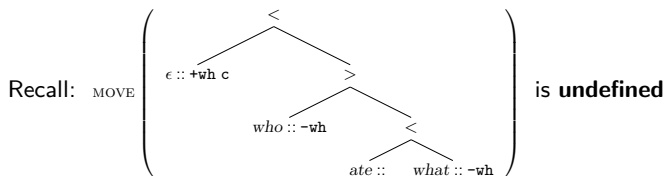
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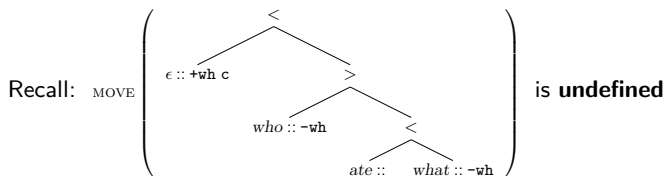
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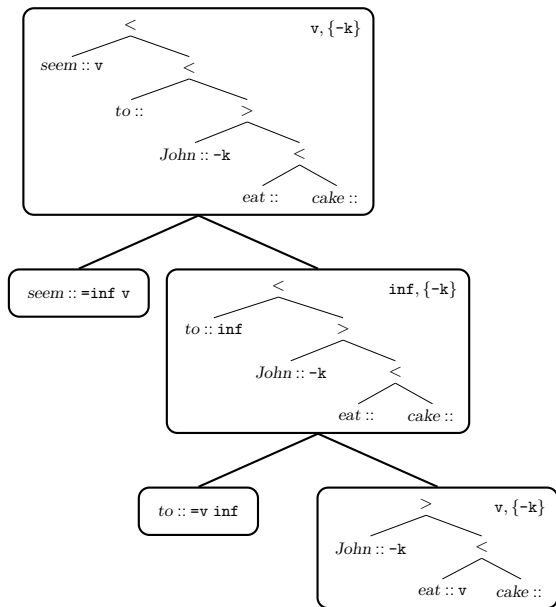
Outline

5 Notation and Basics

6 Example fragment

7 Recursion

8 Derivation trees

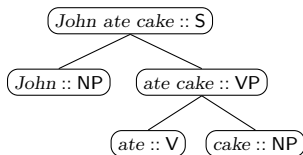


A possible concern

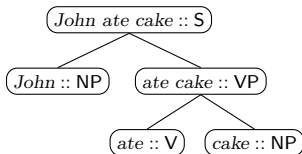
Question

“But hasn't our eventual derived expression lost the information that 'cake' is a DP?”

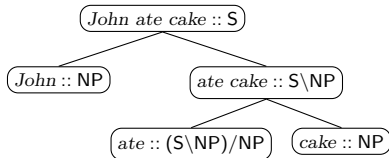
Derivations



Derivations



$$\frac{
 \frac{
 \text{John} :: \text{NP} \quad \text{ate} :: (\text{S} \setminus \text{NP}) / \text{NP} \quad \text{cake} :: \text{NP}
 }{
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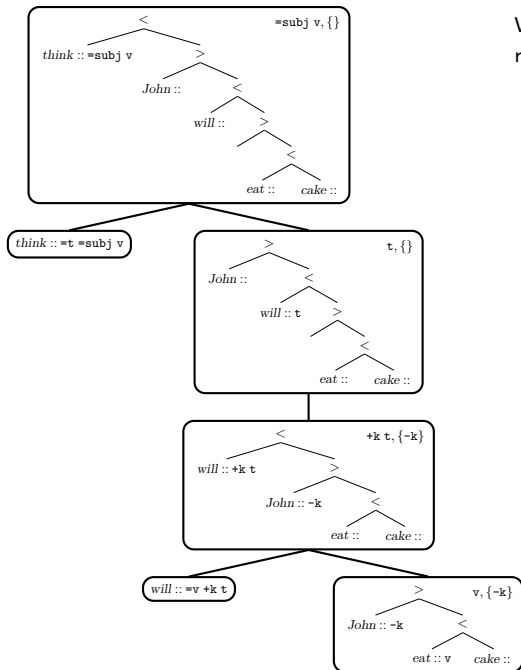
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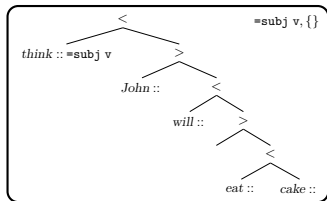
Answer

Yes, but only in the same way that *John ate cake :: S* has also lost this information.

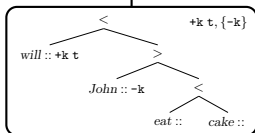
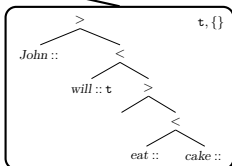
The point is not that we can look at the whole derivation to retrieve this, it's that that info has already done its job.

We separate the **derivational precursor** relation from the **part-whole** relation

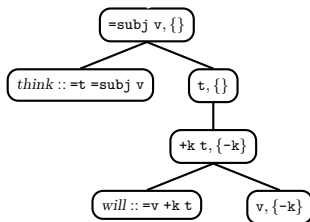
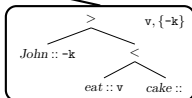


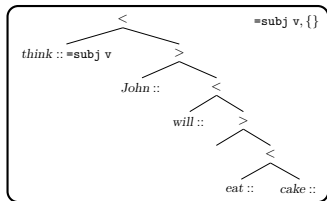


$\text{think} :: =\text{t } =\text{subj } v$

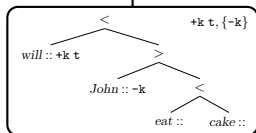
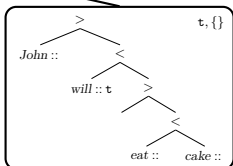


$\text{will} :: =v +k t$

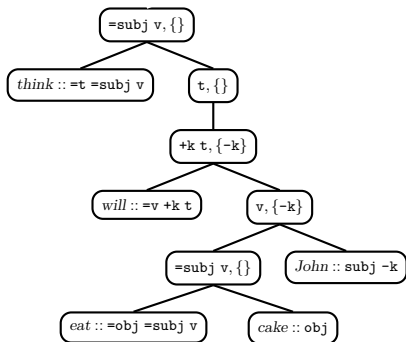
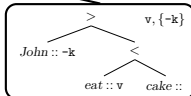


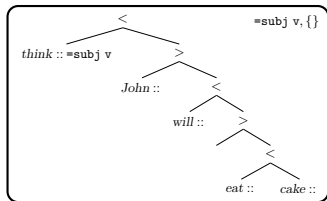


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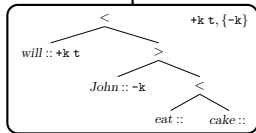
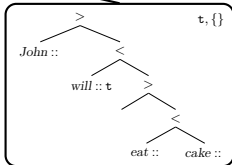


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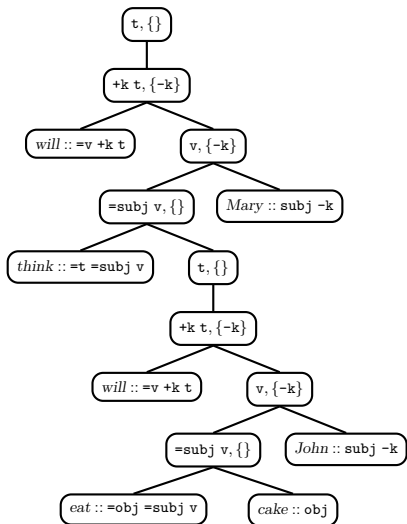
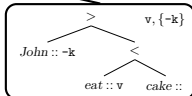




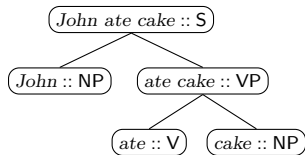
think :: =t =subj v



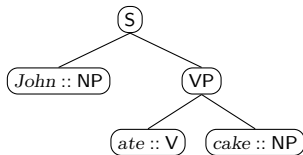
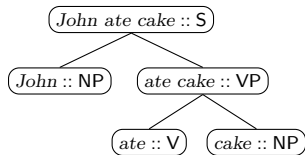
will :: =v +k t



Labeling of internal nodes

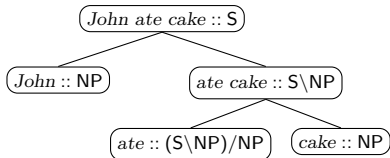


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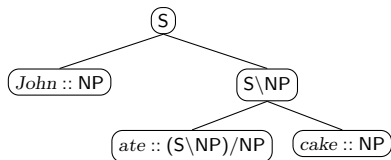
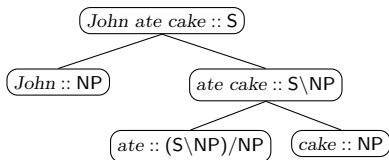
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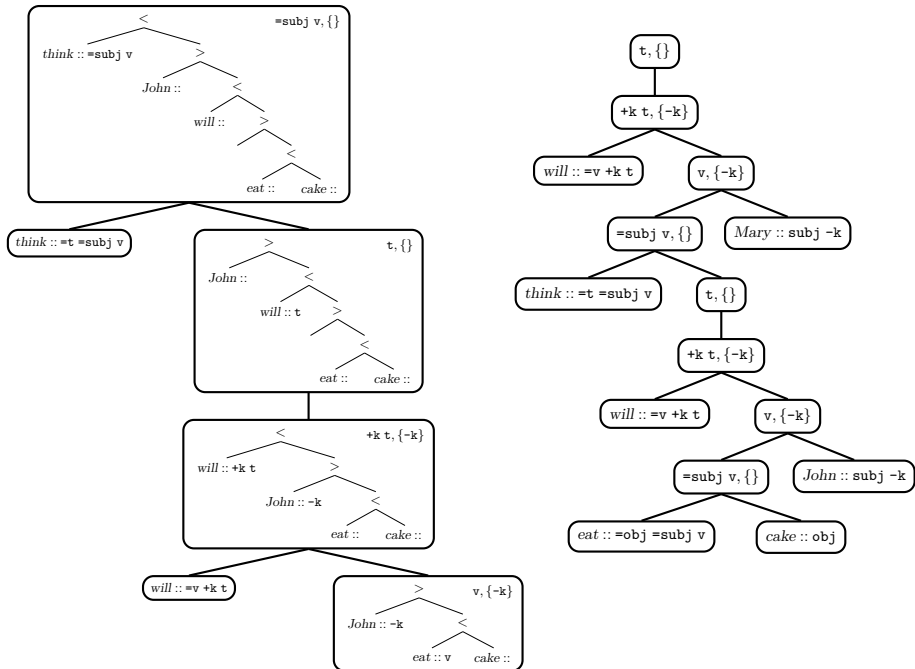
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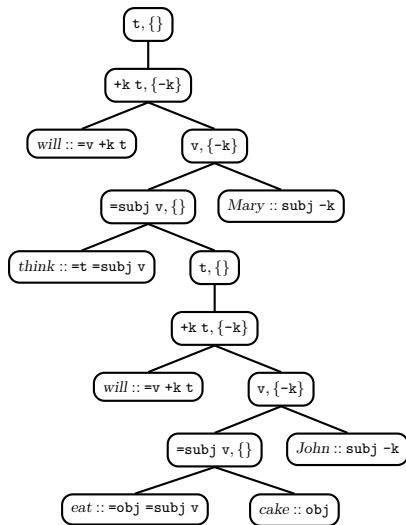


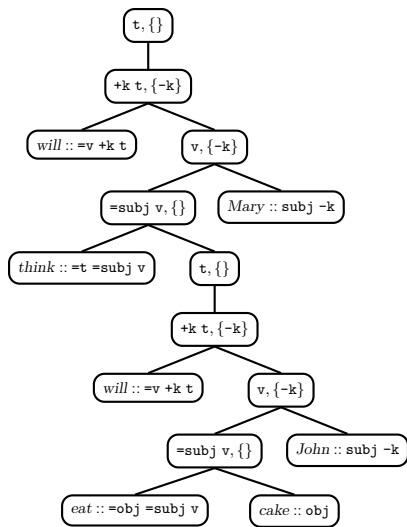
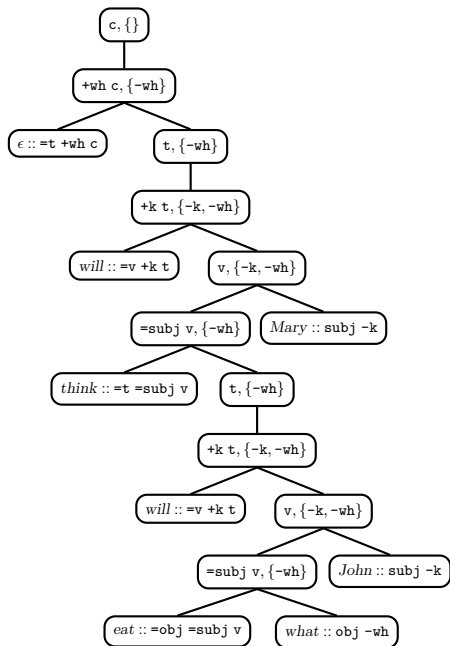
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Context-free structure

Schemas for MERGE steps:

$$\begin{aligned} \langle \gamma, \alpha_1, \dots, \alpha_j, \beta_1, \dots, \beta_k \rangle &\rightarrow \langle =\mathbf{f}\gamma, \alpha_1, \dots, \alpha_j \rangle \quad \langle \mathbf{f}, \beta_1, \dots, \beta_k \rangle \\ \langle \gamma, \alpha_1, \dots, \alpha_j, \delta, \beta_1, \dots, \beta_k \rangle &\rightarrow \langle =\mathbf{f}\gamma, \alpha_1, \dots, \alpha_j \rangle \quad \langle \mathbf{f}\delta, \beta_1, \dots, \beta_k \rangle \end{aligned}$$

Schemas for MOVE steps:

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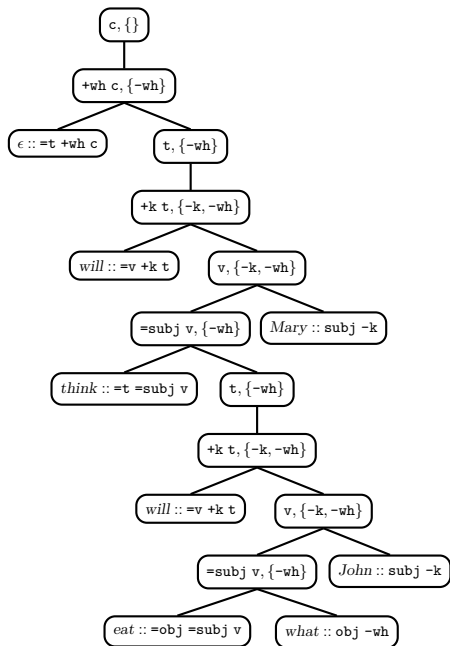
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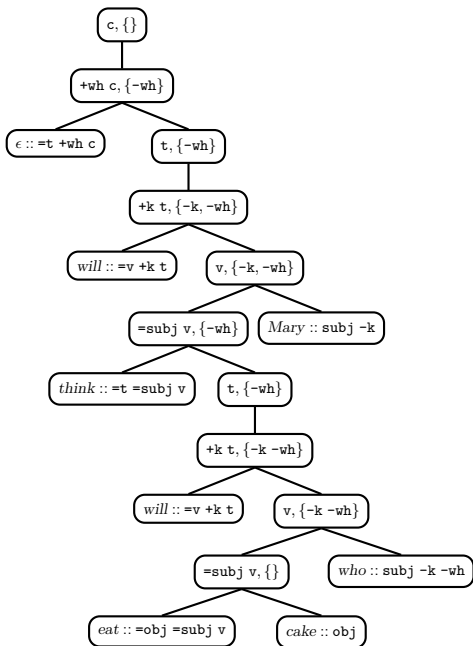
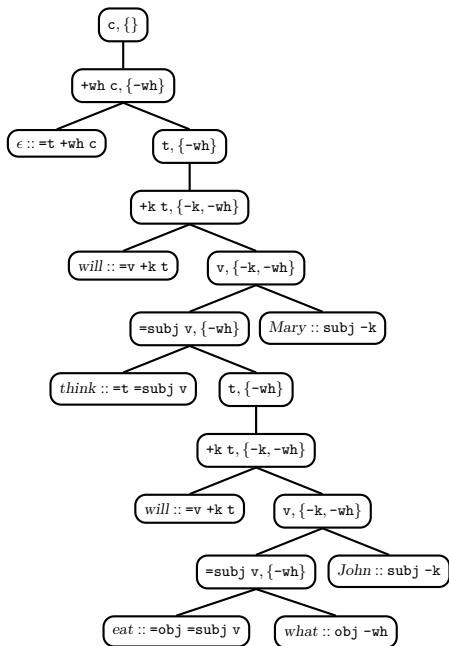
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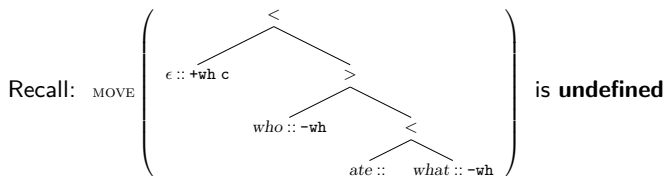
- MOVE steps **change** something without **combining** it with anything
- Compare with unary CFG rules, or type-raising in CCG, or ...





Importance of the SMC

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