

CAS LX 522 Syntax I

Raising, etc.
(8.2.6-8.4)

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Reminder: Try

- *Try* embeds a nonfinite CP, headed by the special null C with the [null] case feature.
- In turn, the subject must be PRO, in order to successfully check that feature of C.
- If the [case] feature of any other DP is valued and checked as [null], the derivation crashes: only PRO can have null case.
- The embedded clause must be nonfinite (T can't itself have a [nom] feature).
- If the [nom] feature of T checks the [case] feature of the subject, nothing is left to check C's [null] feature.

Try

Here, the [null] feature of C will match, value, and check the [case] feature of PRO, checking itself in the process.

Believe

Another place where nonfinite clauses can be embedded is under the verb *believe*.

1) I believe [him to be innocent].

Here, we have an accusative subject, and a nonfinite T that is not capable of checking case.

How is the (accusative) case of *him* checked?

This relates to the fact that *believe* can also simply take a DP object:

2) I believe him.

So, how is the accusative case of *him* checked here?

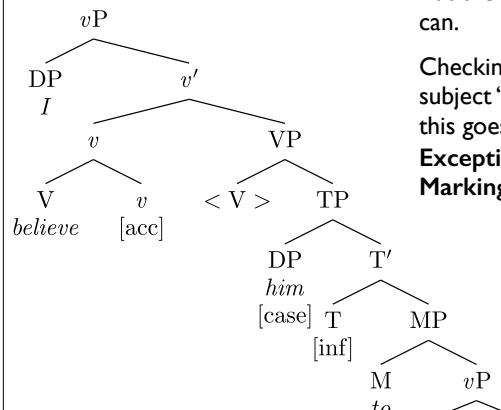
ECM

The idea is that *believe* (actually the *v* that combines with the V *believe*) has an [acc] feature that can check the case of *him* in *I believe him*.

Suppose that *believe* can either have a DP or a TP as its complement.

What do we expect?

ECM



Nonfinite T cannot check the case feature of *him*. But the higher *v* of *believe* can.

Checking the case of a subject "from above" like this goes by the name **Exceptional Case Marking (ECM)**.

Arranging to leave

A somewhat similar phenomenon occurs with verbs like *arrange*.

- 1) Harry arranged for Tom to leave MI-5.
- Here, we have:
 - Nonfinite T, which cannot check case.
 - An overt subject (*Tom*) in the accusative.
 - The word *for*, which we classify as C.
- For*, as a P, checks accusative case (*He baked a cake for her*). If the C *for* also has an [acc] feature, it could check the [case] feature on *Tom*.

Arranging to leave

Arrange-type verbs can take a CP complement.

- 1) Harry arranged for Tom to leave MI-5.
 - 2) Tom arranged PRO to leave MI-5.
- Notice that it is also possible to say
 - But this is expected.
 - Nonfinite T, cannot check case.
 - The null C with [null] case can check the case of PRO.
 - An overt subject can't get null case:
 - *Harry arranged Tom to leave MI-5.
 - PRO cannot get anything but null case:
 - *Tom arranged for to leave MI-5.

Summary

Complementizers indicate clause type (*that/∅* for declaratives, *if/whether* for interrogatives).

Some verbs embed clauses. Finite clauses are always CPs.

Some verbs can embed nonfinite clauses, some embedding TP and others embedding CP.

Believe (*expect*, ...) embed TP and check accusative case (ECM verbs).

Try (*want*, ...) embed CP. This can either be:

C[null], checking null case on PRO.

for[acc], checking acc case on an overt subject. Not all verbs allow this option (*want* does, *try* doesn't).

Sentences inside sentences

So, to recap: **embedded sentences**.

Embedded sentences can be finite:

1) Shannon claimed [that she could catch a fish].

Or nonfinite:

2) Michael wants [PRO to leave].

3) Jin wants [Michael to return the watch].

4) Sun arranged [for him to return the watch].

Embedded clauses

Embedded finite clauses are CPs, with a complementizer (*that* or \emptyset).

- 1) Shannon claimed [_{CP} that she could catch a fish].
- 2) Shannon claimed [_{CP} \emptyset she could catch a fish].

Embedded nonfinite clauses have *to*, and can be CPs or bare TPs—the distinction is determined by case properties of the verb.

- 3) Michael wants [_{CP} \emptyset_{NULL} PRO_{NULL} to leave]
- 4) Jin wants_{ACC} [_{TP} Michael_{ACC} to return the watch].
- 5) Sun arranged [_{CP} for_{ACC} him_{ACC} to return the watch].

Nonfinite T does not assign case, so the subject must get case (have its [case] feature checked) in some other way.

Seems

Now, we'll turn to another kind of embedded nonfinite clause.

- Charlie seems [to dislike bees].

This looks a little bit like:

- Charlie tried [to sneak away].

Which is really:

- Charlie tried [PRO to sneak away].
- *Charlie* is the Agent of *try*.
- PRO (=Charlie) is the Agent of *sneak*.
- So, what about *Charlie seems to dislike bees*?
What θ -roles go to *Charlie*?

Charlie seems to receive (just) one θ -role

Seems can also embed a finite clause, so consider the pair:

- 1) Charlie seems to dislike bees.
- 2) It seems that Charlie dislikes bees.

The *it* in the second sentence is the same *it* we find in *It rained*. *It* does not get a θ -role, because *rain* doesn't have any θ -roles. We only have *it* there because sentences need subjects (EPP:T has a $[\mu D^*]$ feature).

So what θ -roles does *seem* assign?

Seem seems to assign (just) one θ -role.

What *seem* (and *appear*) mean when paired with an embedded sentence is that the proposition expressed by the embedded sentence appears true.

There's only one participant in a seeming, the Proposition.

- 1) It seems [that *seem* assigns one θ -role].

So, *seem* assigns a Proposition θ -role (structurally, to its sister, the CP daughter of V'), and nothing else (hence, *it* is needed to check the EPP feature).

Back to Charlie

- 1) It seems [that Charlie dislikes bees].
- 2) Charlie seems [to dislike bees].

These two sentences mean basically the same thing.

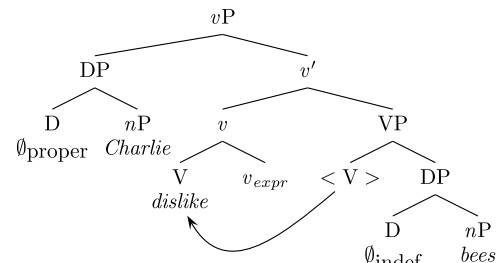
Dislike assigns two θ -roles, we might say Experiencer and Theme.

It's the same verb *dislike* in both sentences. So, we presume that the bottom of both trees will look the same...

Disliking bees

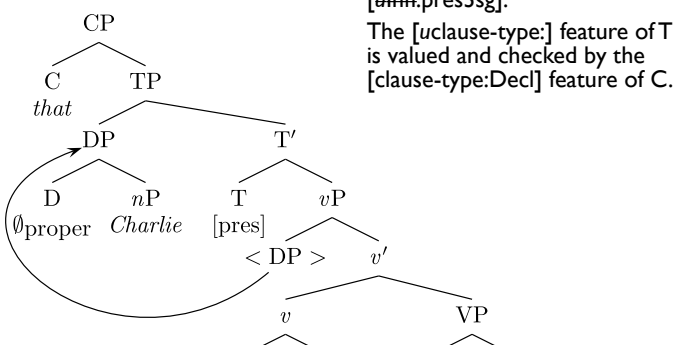
Starting with *It seems that Charlie dislikes bees*, we would build a vP that looks like this:

- V (*dislike*) assigns a Theme θ -role to the DP *bees*.
- $V_{\text{Experiencer}}$ assigns an Experiencer θ -role to the DP *Charlie*.



Disliking bees

And then we add T and C to get *that Charlie dislikes bees*...



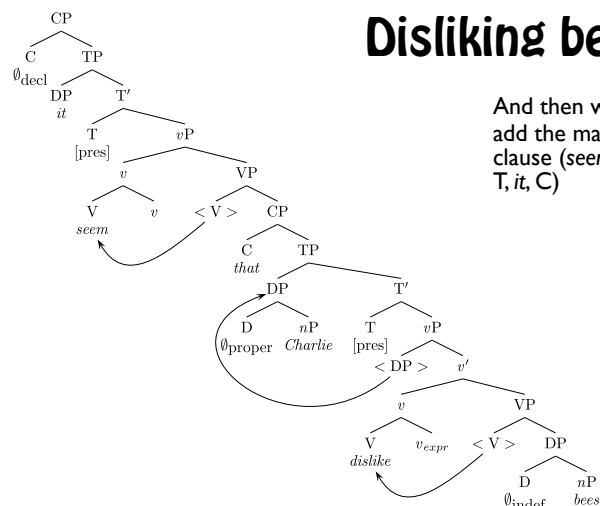
The $[\text{case}]$ feature of *Charlie* is valued and checked by the $[\text{nom}]$ feature of T.

The $[\mu \text{Infl}]$ feature of *v* is valued and checked by T: $[\mu \text{Infl}:\text{pres3sg}]$.

The $[\mu \text{clause-type:}]$ feature of T is valued and checked by the $[\text{clause-type:Decl}]$ feature of C.

Disliking bees

And then we add the main clause (*seem*, *v*, T, *it*, C)



- Does *Charlie* get a θ -role from *seem*?
- Well, no. *Seem* only assigns the one θ -role.
- So, unlike in *Charlie tried [PRO to elude the bees]*, we have as many DPs as we have θ -roles.

Disliking bees

- So, what θ -role does *Charlie* get?
- Still seems to be the Experiencer of *dislike*.
- So, suppose that *Charlie* starts out in the same place, SpecvP.
- But now, after building vP, we add a nonfinite T...

Disliking bees

- Can we add a C to this?
- Let's assume *not*, by the following reasoning:
- The only C that is compatible with a nonfinite T is \emptyset_{NULL} , that assigns null case to PRO. *Charlie* is not PRO, so it can't get null case. So, this is just a TP, not a CP.

Disliking bees

- So, we add *seem*, taking our TP (*Charlie to dislike bees*) as its Proposition complement.

Disliking bees

- We add T...
- Charlie* has [case].
- Checked ([nom]) by T
- T has [nom], [uD*], and [u ϕ :] features to check.
- [nom] checked valuing case on *Charlie*. [u ϕ :3sg] matches [ϕ :3sg] feature on *Charlie*. [uD*] remains.
- seem* (v) has [uInfl:].
- [uInfl:pres3sg], valued by [tense:pres] and [u ϕ :3sg] on T.

Disliking bees

Finally, we move *Charlie* up to check the EPP ([uD*]) feature of T: (Subject (-to-subject)) Raising

Disliking bees

Idioms

Recall our idea about idioms: For something to have an idiomatic interpretation (an interpretation not literally derivable from its component words), the pieces need to be very close together when initially Merged.

1) Ortega took a dive.

Now, we have idiomatic interpretations here:

- 2) It seems that the jig is up.
- 3) It seems that the cat is out of the bag.
- 4) It seems that the cat has your tongue.

Idioms

If pieces of the idiom move away after the original Merge, we can still get the idiomatic interpretation:

- 1) [The cat]_i seems _{t_i} to have your tongue.
- 2) [The cat]_i seems _{t_i} to be out of the bag.
- 3) [The jig]_i seems _{t_i} to be up.

The important thing is that they be originally Merged together (the θ -role needs to be assigned by the predicate to the noun). Compare:

- 4) [The cat] tried to have your tongue.
 - 5) [The cat] arranged to be out of the bag.
- (What's different? Why no idiomatic meaning?)

Other raising verbs

So far, we've only talked about *seem*, but there are a couple of other raising verbs as well.

- [The cat]_i is likely [_{TP} _{t_i} to be out of the bag].
- [The cat]_i appears [_{TP} _{t_i} to have his tongue].
- [The jig]_i proved [_{TP} _{t_i} to be up].
- [The cat]_i began [_{TP} _{t_i} to get his tongue].

What these verbs (in this use, anyway) have in common is that they have no external θ -role and an internal Proposition θ -role.

Object control

One last type of nonfinite complement, those that appear with verbs like *persuade*.

- 1) Sayid persuaded Kate to stay.
- Once again, we think through the “participants” to get a handle on whether we have enough DPs for the θ -roles.

Stay has only one participant, *Kate*.

Persuade has three—the one doing the persuading (*Sayid*), the one being persuaded (*Kate*), and the proposition in question ([_{TP} *Kate* to stay]).

So we *don't* have enough DPs for the job—*Kate* appears to be playing two roles (one from *stay*, one from *persuade*). This sounds like a job for PRO.

Object control

- Sayid persuaded Kate to stay.
- Sayid persuaded Kate [_{CP} \emptyset_{NULL} PRO_{NULL} to stay]

Again we have PRO, as we do in

- Kate tried [_{CP} \emptyset_{NULL} PRO_{NULL} to see]

But in *Sayid persuaded Kate to stay*, what “controls” PRO?

Persuasion and promises

- Not all ditransitive control verbs are *object* control verbs.
 - Though all object control verbs are ditransitives.
 - 1) David persuaded Sherry [PRO to leave]
 - 2) David promised Sherry [PRO to run for office]
 - 3) Chase asked Jack [PRO to be allowed to continue]
 - 4) Chase asked Jack [PRO to get off his case]
 - Whether a verb is a subject control verb or an object control verb is an individual property of the verb. *Promise* is recorded in our lexicon as a subject control verb, *persuade* as an object control verb.

ECM verbs

ECM verbs also take infinitive complements, but with an overt subject (that checks accusative case with the ECM verb).

- Tony found [Michelle to be charming]
 - Tony found [that Michelle was charming]
- Jack expected [Tony to take the day off]
 - Jack expected [that Tony would take the day off]

Raising verbs

Raising verbs have no Agent/Experiencer in SpecvP, and take a nonfinite complement. The subject of the embedded complement moves into their subject position:

- Jack seems [<Jack> to be tired]
 - It seems [that Jack is tired]
- The time appears [<the time> to have expired]
 - It appears [that the time has expired]
- The President happened [<the P.> to have a pen]
 - It happened [that the President had a pen]

Verb classes in summary

ECM verbs, e.g., *believe, find*

- I believe [_{TP} him to have told the truth].
 - We find [_{TP} these truths to be self-evident]. (or *hold*)
- Subject control verbs, e.g., *attempt, promise*
- Kim_k promised Jack [_{CP} \emptyset_{NULL} PRO_k to avoid kidnappers].
 - Kim_k will try [_{CP} \emptyset_{NULL} PRO_k to avoid kidnappers].

Object control verbs, e.g., *convince, ask*

- I convinced her_k [_{CP} \emptyset_{NULL} PRO_k to drive to work].
- Jack asked Kim_k [_{CP} \emptyset_{NULL} PRO_k to avoid kidnappers].

Raising verbs, e.g., *appear, seem*

- I appear [_{TP} <I> to have missed the bus].
- Jack seems [_{TP} <Jack> to need a nap].

One more argument for PRO

Principle A: An anaphor must be bound in its binding domain.

- Jack hoped [that Kim would explain herself]
- Jack wanted [Kim to explain herself]
- *Jack hoped [that Kim would call himself]
- *Jack wanted [Kim to call himself]
- Jack hoped [PRO to see Kim]
- Jack hoped [PRO to exonerate himself]

Principle B: A pronoun must be free in its binding domain.

- Jack hoped [that Chase would exonerate him]
- Jack wanted [Chase to exonerate him]
- Jack hoped [PRO to exonerate him]