

How to license embedded instances of *no-da* and the politeness marker *mas* in Japanese:

CP recursion or Speech Act Phrase

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1. Outline of this study

- The *no-da/des* construction (Noda 1997, Kuno 1973, Kitagawa & Ross 1982 i.a.) and the politeness marking by *mas* (Miyagawa 2017) involve the speaker's attitude. They are possible only with complement clauses with the quotative marker *to*.
 - (1) **[A student reports the reason for her absence to her teacher]**
 Kaze-o hiki-**mas**-ita. Ame-ni nure-ta **no-desu**. (Kuno 1973:144)
 cold-ACC catch-POL-PAST rain-by get.wet-PAST NO DA.POL
 'I caught a cold. **(It is because)** I got wet in the rain.'
 - (2) a. Taroo-wa [Hanako-ga ki-ta **no-da**] **to** hookokus-ita. (**nonfactive**)
 Taroo-TOP Hanako-NOM come-PAST NO-DA TO report-PAST
 b. *Taroo-wa [Hanako-ga ki-ta **no-da**] **koto**-wo hookokus-ita. (**factive**)
 Taroo-TOP Hanako-NOM come-PAST-NO-DA KOTO-ACC report-PAST
 'Taro reported that Hanako came.'
 - (3) a. Taroo-wa [Hanako-ga ki-**mas**-ita] **to** hookokus-tia. (**nonfactive**)
 Taroo-TOP Hanako-NOM come-MAS-PAST C report-PAST
 b. *Taroo-wa [Hanako-ga ki-**mas**-ita] **koto**-wo hookokus-ita. (**factive**)
 Taroo-TOP Hanako-NOM come-MAS-PAST KOTO -ACC report-PAST
 'Taro reported that Hanako came.' (Miyagawa 2012:93)
- **Section 2** → Hopper & Thompson (1973, H&T) attempt to identify the range of non-root declarative clauses that allow the root transformations (RTs) listed by Emonds (1970, 2004); they have been characterized as 'assertive,' 'nonfactive' or 'novel' complements (Cattell 1978, Hegarty 1992).
- **Section 3** → H&T analyze RTs as emphatic. The *no-da* construction is also emphatic. If RTs and *no-da* are embedded, it has to be clarified which is the emphasizer: the speaker or the matrix subject.
- **Section 4** → Three pieces of evidence will be discussed to support the CP recursion analysis of embedded main clause phenomena (MCP)
 - Section 4.1** → The subject-auxiliary inversion (SAI) in non-root interrogative clauses of Irish English analyzed by McCloskey (1992, 2006).
 - Section 4.2** → *Que* + *wh*-interrogatives in Spanish analyzed by Lahiri (1991, 2002) based on Rivero (1980) among others.
 - Section 4.3** → The Japanese quotative marker *to* in interrogative complements discussed by Nishiguchi (1999) among others.
- **Section 5** attempts to offer a unified analysis of embedded MCP under the CP recursion approach.

2. The parallel distributions of *no-da* and of English RTs

- (4) a. The scout reported that [beyond the next hill stood a large fortress] (**speaking V**)
- b. I suppose that [most embarrassing of all was falling off the stage] (**mental process V**)
- c. Sally plans for Gary to marry her, and he recognizes that, [whether he likes it or not, marry her he will] (**semifactive V**)

- (5) a. *He was **surprised** that [never in my life had I seen a hippopotamus] (factive)
 b. *It was **impossible** that [each part he had examined carefully] (probability/likelihood)
- **Acceptable RTs (4a-c) in English** →
- (6) a. Taroo-wa [Hanako-ga yat-ta **no-da**] to/*koto-wo **hookokus**-ita. (speaking V)
 Taro-TOP Hanako-NOM do-PAST NO-DA TO/KOTO-ACC report-PAST
 ‘Taro exclaimed that it was OK with that.’
 b. Taroo-wa [Hanako-ga tuini kuru **no-da**] to/*koto-wo **soozoos**-ita. (mental process V)
 Taro-TOP Hanako-NOM finally come NO-DA TO/KOTO-ACC imagine-PAST
 ‘Taro imagined that Hanako would finally come.’
 c. Taroo-wa [Hanako-ga yat-ta **no-da**] to/*koto-ni **kizui**-ta. (semifactive V)
 Taro-TOP Hanako-NOM do-PAST NO-DA TO/KOTO-DAT discover-PAST
 ‘Taro discovered that Hanako did it.’
- **Unacceptable RTs (5a,b) in English** →
- (7) a. *Taroo-wa [Hanako-ga kaba-wo katteiru **no-da**] koto/no-ni **odoro**-ita. (factive)
 Taro-TOP Hanako-NOM hippopotamus keep NO-DA KOTO/NO -DAT be.surprized-PAST
 ‘Taro was surprised that Hanako kept a hippopotamus.’
 b. *[Taro-ga zenbu-no buhin-wo teineini kensas-ita **no-da**] koto/no-wa **arienai**.
 Taro-NOM all-GEN part-ACC carefully examine-PAST NO-DA KOTO/NO-TOP impossible
 ‘It is impossible that Taro examined every part carefully.’ (probability/likelihood)
- H&T regard RTs as **emphatic**, arguing correctly that “it is not appropriate to emphasize elements of a sentence whose proposition is already known, whose truth is presupposed, and whose content is relegated to the background.” RTs are disallowed in factive complements.

3. Stephenson’s (2007) Assessor Sensitivity/Immediateness Requirement

- Pearson (to appear) adopts the lexical entry for *believe* in (8) and extends this format to *say* and *want*, analyzing all of them as **attitude verbs**. (See also Heim&Kratzer 1998: chapter 12)
- (8) $[[\text{believe}]^g_w = \lambda p \in D_{\langle s, t \rangle}. \lambda x \in D_e. \text{Dox}_{x,w} \subseteq p, \text{ where } \text{Dox}_{x,w} = \{w' : \text{it is compatible with what } x \text{ believes in } w \text{ for } w \text{ to be } w'\}.$
- Stephenson (2005, 2007): If epistemic modals and predicates expressing personal taste (PPT) are embedded by more than one attitude verbs, it is the subject of the clause immediately containing the epistemic modals and PPT whose knowledge state or taste is relevant.
- (9) a. Mary_i thinks that **John_j** thinks it **must/might** be raining, but
 (i) I know it isn’t / (ii) she_i knows it isn’t / (iii) **#he_j knows it isn’t**.
 b. Mary_i thinks that **John_j** thinks the dip **tastes good**, but
 (i) I find it disgusting / (ii) she_i finds it disgusting / (iii) **#he_j finds it disgusting**.
- (10) **RTs in English**
- a. Sally plans for **Gary_i** to marry her, and **he_i** recognizes that, *whether he_i likes it or not*,
 [VP **marry her**] he_i will. (= (4c))
 b. (i) I don’t think he_i will / (ii) **#he_i doesn’t think he_i will**.

(11) the *no-da* construction

- a. Taro-wa *konomu to konom-aza-ru ni kakawara-zu* Hanako-to *kekkon-suru koto ni*
 Taro-TOP like or like-not-NONPAST on depend-not Hanako-with marry KOTO to
 naru **no-da** to *ninsikisitei-ru.*
 become NO-DA TO recognize-NONPAST
 ‘Taro recognizes that, whether he likes it or not, he will marry Hanako.’
- b. Demo (i) *watasi-wa soo nar-anai to omou* / (ii) *#kare-wa soo nar-anai to omottei-ru.*
 but I-TOP so become-not TO think kare-TOP so become-not TO think-NONPAST
 ‘But (i) I think it won’t happen / (ii) #he thinks that it won’t happen.’

(12) the politeness marking with *mas*

- a. Ootoo-wa ki-**mas**-u. (the speaker uses *mas* for the hearer)
 younger.brother-TOP come-MAS-NONPAST ‘My younger brother will come.’
- b. **Taroo-wa** [otooto-ga ki-**mas**-u] to **Yamada kyoozyu-ni it-ta.**
 Taro- TOP younger.brother-NOM come-MAS-NONPAST TO Yamada professor-to say-PAST
 ‘Taro; told Prof. Yamada that his; younger brother would come.’
 (Taro uses *mas* for Prof. Yamada. The speaker uses the nonpolite form for the hearer)
- c. Hanako-ga ki-**mas**-u kara uti-ni ite-**kudasai**/***kure.**
 Hanako-NOM come-MAS-NONPAST because home-at stay-IMP.POLITE/IMP.NONPOLITE
 ‘Since Hanako will come, please stay home.’ (adapted from Miyagawa 2017:96)
 (The speaker uses *mas/kudasai* for the hearer.)
- *Mas* in (12b) is not licensed by the **Speech Act Phrase** assumed in Miyagawa (2017), which encodes the speaker/hearer. *Mas*, the *no-da* construction and RTs in general obey the **Immediateness Requirement** on attitude predicates.

4. Evidence on CP recursion for MCP in interrogative complements

4.1 Subject-auxiliary inversion (SAI) in Irish English (McCloskey 1992, 2006)

(13) *Ask-type* (question) predicates

- a. **I wonder** [was he illiterate]
 b. She asked the stewards [was any member of the committee in the hall]
 c. I wonder [what is he like at all]
 d. I asked him [from what source could the reprisal come]

(14) *Know-type* (resolutive) predicates

- a. *It was amazing who did they invite. (McCloskey 2006:17)
 b. *How much had he grown really astonished me.

Declarative complements with *know-type/ask-type*

- (15) a. It was amazing that they invited John (**, #but they didn’t invite him**).
 b. That he had grown five inches taller astonished me (**, #but he had grown only two inches**).
 (16) *They wondered/asked that Susan had been nominated. (McCloskey 2006:29)

Immediateness Requirement on Semifactive predicates

- (17) a. *I found out how did they get into the building. (McCloskey 2006:3)
 b. *The police discovered who had they beaten up.

- c. *I usually know who might they hire.
 d. *I remember clearly how many people did they arrest.
- (18) a. ?Do you remember who did they hire? (McCloskey 2006:18)
 b. I don't know what is it at all?
 c. I've never found out if I'd asked him would he really have come with me.
- Following Rizzi and Roberts (1989), McCloskey argues that SAI cannot apply to finite interrogative complements in Standard English since **moving an auxiliary into C results in a violation of the matrix verb's selectional property**. If this is correct, it follows that embedded SAI in Irish English can somehow circumvent a selectional violation.
- Drawing on Iatridou & Kroch's (1992) analysis of embedded verb second (V2) among others (see also Haegeman 2006, de Cuba & Ürögdi 2010), McCloskey adopts the **CP recursion** structure, where **the higher C does not s-select the lower CP**.
- (19) But the simple analysis which suggests [_{CP} **that because American investment takes place here** [_{CP} **that we should be a lapdog for their efforts in the war**]] is one that I think is quite objectionable and quite offensive. (McCloskey 2006:23)

4.2 *Que* + *wh*-phrase in Spanish (Lahiri 1991, Rivero 1978, 1980, Suñer, 1989, Plann 1982, i.a.)

(20) *Ask-type*

- a. Te preguntan [_{CP} **que** [_{CP} **para qué** quieres el préstamo]]
 you ask.3p that for what want.2s the loan
 'They ask you what you want the loan for.'
- b. Pensó [_{CP} **que** [_{CP} **cuáles** seían adecuados]]
thought.3s that which.ones would.be appropriate
 'He wondered which ones would be appropriate.' (Rivero 1980:381-382)

(21) *Know-type*

- a. El detective sabe [_{CP} (***que**) [_{CP} quidn la mató]]
 the detective know.3s (*that) who her killed.3s
 'The detective knows who killed her.'
- b. Elena se enteró de [_{CP} (***que**) [_{CP} por qué no la habían invitado a la fiesta]]
 Elena found.out.3s (*that) for what not her had.3p invited to the party
 'Elena found out why they had not invited her to the party.' (Lahiri 1991:77)

4.3 *Ka to* in Japanese interrogative complements (Nishigauchi 1999)

(22) *Ask-type*

[Dare-ga kuru **ka-to**] omot-ta/tazune-ta/ibukat-ta/ kangae-ta/soozoo-ita.
 who-NOM come wondered/asked/ wondered/pondered/ imagined
 'I wonder/asked/wondered/pondered/imagine who would come.'

(23) *Know-type*

[Dare-ga kuru **ka (*-to)**] sit-ta/osie-ta/wasure-ta/oboe-te-iru/wakat-ta
 who-NOM come knew/told/ forgot/ remember/ found.out
 'I know/told/forgot/remember/found out who would come.'

(24) **Know-type taking a declarative with *koto***a. [Taro-ga ki-ta] **koto**-wo sitte-iru/osie-ta/wasurete-ita/oboete-iru.

Taro-NOM come-PAST KOTO-ACC know/told/have forget/remember

'I know/told (someone)/have forgotten/remember that Taro came.'

b. [Taro-ga ki-ta] **koto**-ga wakar-ta.

Taro-NOM come-PAST KOTO-NOM find.out-PAST

'I found out that Taro had come.'

(25) a. [Dare-ga kuru] **ka** *omow-ta/^{OK}tazune-ta/^{OK}ibukar-ta/^{OK}kangae-ta/^{OK}soozoos-ita.who-NOM come **Q** *think/ ^{OK}asked / ^{OK}wondered/^{OK}pondered/^{OK}imaginedb. [Taro-ga kuru] **to** ^{OK}omow-ta/*tazune-ta/*ibukar-ta/^{OK}kangae-ta/^{OK}soozoos-ita.Taro-NOM come **nonQ** ^{OK}thought/*asked/ *wondered/^{OK}pondered/^{OK}imagined**5. MCP, selection and CP recursion**(26) a. Aitat! **to** itta
ouch saidb. Tokyo-kara/hayaku **to** itta
Tokyo-from/quickly said(27) **Assumptions**

- (i) Natural languages have a complementizer (to be expressed as **C^{us}**) that is **unselective** for its clausal complement. **Only attitude verbs can select C^{us}**. *To* in Japanese, *che* in Spanish and *that* in Standard and Irish varieties of English are examples of C^{us}. Irish English has a nonovert C^{us}.
- (ii) C^{us} lacks semantic content and **can be transparent for the s-selectional relation** between its complement and an attitude verb selecting C^{us}.
- (iii) Natural languages have **an interrogative feature (to be expressed as [Q])** that constitutes an interrogative clause. It is bundled into lexical items like *ka* in Japanese, *if*, nonovert C or finite tenses in (Irish) English, and nonovert C^{us} in Irish English. (see Yasui 2014)

➤ Below, indicates **the presence of some selectional relation**, // its absence, and * a violation of selection.

5.1 Omow ('think') s-selects declarative with *to*(28) a. [**dare-ga** (who-NOM) kuru (come)] → matrix question with the rising intonationb. [[**dare-ga** (who-NOM) kuru (come)] **ka**[Q]] → *dare-ga* is licensed by *ka*
matrix question w/wo the rising intonationc. [[[[**dare-ga** (who-NOM) kuru (come)] **ka**[Q]]] **to**] omotta (thought)]
→ embedded question

(29) (28a) →

b. ? [[[**dare-ga** (who-NOM) kuru (come)] **to**] omotta (thought)] → *dare-ga* is not licensed by *to* but possible as a direct quote?

(30) a. [Taro-ga (Taro-NOM) kuru (come)] → matrix declarative or

interrogative with the rising intonation

b. [[Taro-ga (Taro-NOM) kuru (come)] **ka**] → matrix question with the rising intonation
or matrix declarative with *ka* as a S-final particle (SFP)c. [[[[Taro-ga (Taro-NOM) kuru (come)] **ka**(SFP)]] **to**] omotta (thought)] → embedded
declaratived. [[[[Taro-ga (Taro-NOM) kuru (come)] **ka doo-ka** (whether or not)]] **to**] omotta (thought)]
→ embedded question

(31) (30a) → (30b) →

c. *[[[Taro-ga (Taro-NOM) kuru (come)] **ka**] omotta (thought)]
 ↳ * ↳ *omow* does not select interrogative

(32) (30a) →

b. [[[Taro-ga (Taro-NOM) kuru (come)] **to**] omotta (thought)] → embedded declarative

5.2 *Tazune* ('ask') s-selects interrogative

(33) a. [**dare-ga** (who-NOM) kuru (come)]b. [[**dare-ga** (who-NOM) kuru (come)] **ka**[Q]]

c. [[[**dare-ga** (who-NOM) kuru] **ka**[Q]] tazuneta (asked)] → s-selection of *tazune* is satisfied by *ka*

(34) (33a) → (33b) →

c. [[[**dare-ga** (who-NOM) kuru] **ka**[Q]] **to**] tazuneta (asked)] → s-selection of *tazune* is not satisfied by *to*

← Assumption (27-ii): *to* is transparent

for s-selection

(35) (33a) →

b. ?[[[**dare-ga** (who-NOM) kuru (come)] **to**] tazuneta (asked)] → s-selection of *tazune* is not satisfied by *to* but possible as a direct quote?
 ↳ Assumption (27-ii)

(36) a. [Taro-ga (Taro-NOM) kuru (come)]

b. [[Taro-ga (Taro-NOM) kuru (come)] **ka**] → matrix question with the rising intonation or matrix declarative with *ka* as a S-final particle (SFP)

c. [[[[Taro-ga (Taro-NOM) kuru (come)] **ka**[Q]] **to**] tazuneta (asked)] → embedded alternate question
 ↳ Assumption (27-ii)

(37) (36a) →

b. ?[[[Taro-ga (Taro-NOM) kuru (come)] **to**] tazuneta (asked)] → s-selection of *tazune* is not satisfied by *to* but possible as a direct quote?
 ↳ Assumption (27-ii)

5.3 *Soozoos* ('imagine') s-selects declarative and interrogative

(38) [**dare-ga** (who-NOM) kuru (come)] **ka**[Q]] **to**] [v soozoosita (imagined)]

→ embedded question

soozoos s-selects declarative or interrogative?(39) [**dare-ga** (who-NOM) kuru (come)] **ka**[Q]] [v soozoosita (imagined)] → embedded question*soozoos* s-selects interrogative(40) [[[Taro-ga (Taro-NOM) kuru (come)] **ka**[Q]] soozoosita (imagined)]→ embedded alternate question. *soozoos* s-selects interrogative(41) [[[Taro-ga (Taro-NOM) kuru (come)] **to**] soozoosita (imagined)] → embedded declarative*soozoos* s-selects declarative

5.4 The *no-da* construction

➤ The Japanese copula distinguishes the **conclusive (CONCL)** and **noun-modifying (NMOD)** forms: *da* and *na*, respectively. *Da* of the *no-da* construction lacks the noun-modifying form. *Koto/no* are Ns.

(42) [[Taro-ga (Taro-NOM) kita (came)-**NMOD**] [N **koto/no**]-wo (ACC) hookokusita (reported)]

- (43) *[[Taro-ga (Taro-NOM) kita (came) **no-da-CONCL**] [**N koto/no**]-wo (ACC) hookokusita (reported)]
- (44) [[Taro-ga (Taro-NOM) kita (came) **no-da-CONCL**] **to**] hookokusita (reported)]

5.5 Questions in Standard English

- (27-iii) on page 5: Natural languages have an interrogative feature [Q], which is bundled into lexical items like *ka* in Japanese, *if*, nonovert C or finite tenses in (Irish) English, and nonovert C^{us} in Irish English.
- I argued in Yasui (2014) that **a finite verb with [Q] can internally merge with the clause containing it**, which should be an option under the current minimalist idea of free Merge.

- (45) a. [he {be, PAST, 3SG, NOM} illiterate] → matrix declarative
 b. He was illiterate.
- (46) a. [he {be, PAST, 3SG, NOM, Q} illiterate] → Merge {be, PAST, 3SG, NOM, Q} with (46a)
 b. [{be, PAST, 3SG, Q} [he {be, PAST, 3SG, Q} illiterate]] → matrix question
 c. **Was** he illiterate?
- (47) a. [he {be, PAST, 3SG, NOM} illiterate] → Merge *if* with (47a)
 b. [**if**[Q] [he {be, PAST, 3SG, NOM} illiterate]] → embedded alternate question
 c. [wonder [_{CP} **if**[Q] [he {be, PAST, 3SG, NOM} illiterate]]]
 d. I wonder if he was illiterate.
- (48) (46a) → (46b) → Merge *wonder* with (46b)
 c. [wonder [{be, PAST, 3SG, Q} [he {be, PAST, 3SG, Q} illiterate]]]
 → *wonder* cannot c-select V. Standard English lacks a nonovert C^{us}.
 d. *I wonder was he illiterate.

5.6 SAI in Irish varieties of English.

- (49) (46a) → (46b) → Merge C^{us} with (46b)
 c. [C^{us} [{be, PAST, 3SG, Q} [he {be, PAST, 3SG, Q} illiterate]]]
 d. [wonder [C^{us} [{be, PAST, 3SG, Q} [he {be, PAST, 3SG, Q} illiterate]]]] → s-selection by
wonder is not satisfied by C^{us}. It is satisfied by Q
 ← Assumption (27-ii)
 e. I wonder was he illiterate.
- (50) (46a) → (46b) → Merge *know* with (46b)
 c. [know [{be, PAST, 3SG, Q} [he {be, PAST, 3SG, Q} illiterate]]] → *know* does not select C^{us}.
know cannot c-select V.
 d. *I don't know was he illiterate/*I know was he illiterate.

5.7 RTs in English

- A clause to which some RT has applied is assumed to become a larger structure of a distinct category (=α). **English has two kinds of *that*: selective and unselective.**
- (51) a. [a large fortress stood beyond the next hill] → Locative inversion
 b. [**α** beyond the next hill stood a large fortress]

Extra data

Pseudo-clefts in English

What John bought is this. This is what John bought.

[A student reports the reason for her absence to her teacher](1) **Kaze-o hiki-mas-ita.** Ame-ni nure-ta **no-desu.** (Kuno 1973:144)

cold-ACC catch-POL-PAST rain-by get.wet-PAST NO DA.POL

'I caught a cold. (It is because) I got wet in the rain.'

(2) [Noticing **some sound outside**]

Ame-ga futteiru no-desu

rain-NOM falling NO DA.POL 'It is raining.'

Empty topic(1) → **Sore-wa** ame-ni nure-ta no-desu.

It-TOP rain-by get.wet-PAST NO DA.POL 'It was (because) I got wet in the rain.'

(2) → **Are-wa** ame-ga futteiru no-desu 'That (sound) is the falling of rain.'

that-TOP rain-NOM falling NO DA.POL

The *no-da* construction falls under **the topic construction** (Maki et al. 1999)