The grammar of exceptional scope

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Goals for today

- Give a general theory of the **exceptional scope** behavior of indefinites, focus, and *wh*-in-situ.
- Based on a new kind of **alternative semantics**, where alternatives interact with their semantic context by **taking scope**.
- I'll argue that we should prefer this kind of approach to standard varieties of alternative semantics:
 - More compositional
 - Better predictions when multiple sources of alternatives
 - A more robust treatment of binding
 - Super modular, extensible (e.g., if we have time, to dynamics)

Islands and alternatives

Exceptional scope Standard alternative semantics

Proposal: alternatives take scope

Basic pieces Deriving exceptional scope

Why scope?

Compositionality Selectivity Binding

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Some data

- Each of the following can be interpreted in a way that gives the **bolded** thing apparent scope outside a syntactic (island).
 - (1) If $\langle a \text{ rich relative of mine dies} \rangle$, I'll inherit a house. $(\exists > if)$
 - (2) I only complain when **(BILL** leaves the lights on).
 - (3) Taro-wa (dare-ga katta mochi-o) tabemasita ka? Taro-top who-nom bought rice cake-acc ate Q 'Who is the x such that Taro ate rice cakes that x bought?'

[Examples after Reinhart 1997; Rooth 1996; Kratzer & Shimoyama 2002]

What we might hope for

- Rooth (1985, 1992, 1996) developed a theory that countenanced island-sensitivity for focus (more on that theory shortly).
- However:

The group of island-escaping operators does not appear to be an arbitrary one.... [Their] semantic similarity, together with the common insensitivity to scope islands, suggest that we should not be satisfied with a theory which treats focus as sui generis. (Rooth 1996)

- To date, hasn't happened:
 - Extant accounts are piecemeal accounts.
 - Even so, they over- and/or under- generate for their more narrowly construed empirical domains.

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Alternative semantics

- Some expressions introduce alternatives into the semantics, causing us to calculate a number of meanings in parallel.
- E.g., indefinites might be taken to denote sets of individuals:

 $\llbracket a \text{ linguist} \rrbracket^g = \{x \mid LING x\}$

Cf. the standard generalized-quantifier semantics:

 $\llbracket a \text{ linguist} \rrbracket^g = \lambda \kappa. \exists x. \text{ling } x \land \kappa x$

Composing alternatives

- Compositional challenge: $[a \text{ linguist}]^g$ is type $e \rightarrow t$, but occurs in places where something of type e standardly expected.
- > The usual way to go: first, suppose that everything denotes a set:

 $\llbracket John \rrbracket^g = \{J\} \qquad \llbracket met \rrbracket^g = \{met\} \qquad \llbracket a \text{ ling} \rrbracket^g = \{x \mid ling x\}$

Then, to compose these sets, use *point-wise* functional application (PWFA) (e.g. Hamblin 1973; Rooth 1985):

 $\llbracket A B \rrbracket^{9} = \{ f x \mid f \in \llbracket A \rrbracket^{9} \land x \in \llbracket B \rrbracket^{9} \}$

An example

• A basic example, John met a linguist:

 $\{MET x | LING x\}$ J {Met x | Ling x} $\{MET\}$ $\{x \mid LING x\}$

 As we climb the tree, the alternatives expand, eventually yielding a set of propositions, one per linguist.

Getting traction on island-insensitivity

Island-insensitivity is a consequence of PWFA. Here's an alternatives-based derivation of the *relative-of-mine* conditional:



 The indefinite acquires a kind of "scope" over the conditional, yielding various conditional propositions "about" various relatives.

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Proposal summarized

- In general, when we posit enriched meanings (e.g., sets of alternatives), we have a choice:
 - A fancier lexicon, enriched modes of composition (i.e., PWFA).
 - Greasing the skids some other way.
- My proposal: door #2. No PWFA, no ubiquitous lexical sets.
- Instead, resolve the type mismatch introduced by a set of alternatives by scoping it (cf. quantifiers in object position)!
- Allows us to reframe (and *generalize*) the compositional issue to a problem of integrating **fancy** things (e.g., things that denote sets) with **boring** things (e.g., things that do not).

Greasing the skids

- All this requires is a couple **type-shifters**.
- ▶ First, ⊡ turns a boring thing into a (minimally) fancy thing:

$$x \coloneqq \{x\}$$

 Second: ·* turns a set m into a scope-taker by feeding each member of m to a scope κ and unioning the resulting sets.

$$\mathfrak{m}^{\star} \coloneqq \lambda \kappa . \bigcup_{\mathfrak{x} \in \mathfrak{m}} \kappa \mathfrak{x}$$

• \Box and \cdot^* entail PWFA:

$$\mathfrak{m}^{\star}\left(\lambda f. \mathfrak{n}^{\star}\left(\lambda x. f x\right)\right) = \{f x \mid f \in \mathfrak{m} \land x \in \mathfrak{n}\}$$

Fancy, boring types

Typing judgments, where Fa should be read as "a fancy a". In this case, a fancy a is simply a set of a's, so Fa = {a} = {a} = t:

$$:: a \to Fa \qquad \cdot^* :: Fa \to (a \to Fb) \to Fb$$

▶ • • and ·* build a bridge between fancy things (sets of alternatives) and boring things (familiar denotations). Schematically:

$$\underbrace{\mathbb{m}^{\star}}_{(a \to Fb) \to Fb} \left(\lambda x. \boxed{\ldots x \ldots} \right)$$

An example

• An example of how this works to derive the same result as PWFA for *John met a linguist*:



• Gives the expected set of propositions, about different linguists:

 $\left\{\mathsf{MET}\, x\,\mathsf{J} \;\middle|\; \mathsf{LING}\, x\right\}$

► This pattern will be repeated time and again. The alternative generator takes scope via ·*, and ⊡ applies to its remnant.

Multiple alternative generators

Cases with multiple sources of alternatives such as a linguist met a philosopher require two applications of ·*, and two scopings:

$$A-LING^{*} (\lambda x. A-PHIL^{*} (\lambda y. MET y x))$$
$$= \{MET y x \mid LING x \land PHIL y\}$$

This is the same result PWFA would give.

Getting closure

We can define a categorematic closure operation to extract a truth-condition from a set of propositions:

 $!m \coloneqq \exists p \in m.p$

• For example, applying ! to what we obtained for *a linguist met a philosopher* yields:

 $\exists x. \text{Ling } x \land \exists y. \text{Phily} \land \text{Mety} x$

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Exceptional scope?

Since we manage alternatives via scope, it may appear as if we have given up an account of exceptional scope-taking:

(4) If **(a rich relative of mine** dies**)**, I'll inherit a house.

• In fact, this is not so! The grammar generates an exceptional scope reading for this case by *scoping the island*:



> The result is the same set of alternatives derived by PWFA:

 $\{ \text{dies } x \Rightarrow \text{house } | \text{ relative } x \}$

Why does this work?



- The alternativeness induced by the indefinite is inherited by the island, and then transmitted to the conditional via ·*.
- In other words, the island is "about" relatives in the same way as the indefinite! ·* simply passes this aboutness to the conditional.
- So we explain exceptional scope as the result of LF pied-piping (Nishigauchi 1990; von Stechow 1996): movement of the island gives the appearance of exceptional scope for things on the island.

Antecedents

- These shifters are already familiar!
- ▶ ⊡ is Karttunen 1977's C₀, aka Partee 1986's ident.
- $\{x \mid \text{LING } x\}^* = \lambda \kappa$. $\bigcup_{\text{LING } x} \kappa x$ is the meaning Cresti 1995 assigns to *which linguist* (see also Heim 2000; Ciardelli & Roelofsen 2015).
 - ▶ But none of these folks factor out ·* separately.

The Monad Slide

• \Box and \cdot^* are decompositions of LIFT (e.g. Partee 1986):

$$x^* = \text{LIFT } x = \lambda \kappa. \kappa x$$

- They also form something known in category theory & computer science as a monad (e.g. Moggi 1989; Wadler 1992, 1995).
 - In general, monads are *really* good at allowing (arbitrarily) fancy things to interact with boring things.
 - See e.g. Shan 2002; Giorgolo & Asudeh 2012; Unger 2012; Charlow 2014 for discussions of monads in natural language semantics.

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Compositionality (YMMV)

 The semantics is more compositional than PWFA-based grammars, which rely on syncategorematic rules for (e.g.) closure operations (see e.g. Rooth 1992; Kratzer & Shimoyama 2002):

$$[\![!X]\!]_{\mathsf{PWFA}}^g \coloneqq \{\exists p \in [\![X]\!]^g.p\}$$

- The reason: PWFA-style grammars are simply *built to point-wise compose sets*. If ever you want to do anything else (like quantify over a set), you need a new composition rule.
 - Cf. Simons 2005; Rooth & Dong 2011.

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Selective exceptional scope for indefinites

- Datum: indefinites can take *selective* scope outside islands. E.g., the following allows an any-old-lawyer, one-rich-relative reading:
 - (5) If **(a good lawyer** visits **a relative of mine)**, I'll get a house!
- The reading of interest, truth-conditionally:

 $\exists y. \text{ relative } y \land ((\exists x. \text{ lawyer } x \land \text{ visits } y x) \Rightarrow \text{HOUSE})$

Selective exceptional scope for focus

- A closely related case in the domain of focus interpretation (cf. examples in Rooth 1996; Wold 1996; Beck 2006; Krifka 2006):
 - (6) A: [John only gripes (when MARY leaves lights on)]₃.
 B: No, C₃ ~ [he only gripes (when SUE leaves lights on)].

Selective exceptional scope for *wh*-in-situ

- It's possible for a *wh*-island-bound in-situ *wh* to take matrix scope, even as the other island-bound *wh* takes local scope (Baker 1970):
 - (7) *What do you know (who bought _)?
 - (8) Who knows (who bought what)?A knows who bought X, B knows who bought Y, ...
- Possible even in *wh*-in-situ languages with otherwise robust *wh*-island effects (Dayal 1996; Nishigauchi 1999). E.g., Japanese:
 - (9) Dare-ga (Mary-ga doko-de nani-o katta ka) sitte imasu ka? who-Nom Mary-Nom where-at what-Acc bought ка know be-ноN ка 'Who knows where Mary bought what?'

Selectivity and PWFA

- Repeating the example with multiple indefinites:
 - (5) If **(a good lawyer** visits **a relative of mine)**, I'll get a house!
- Considering examples like these, Rooth concludes:

[Their] theoretical imact is quite dramatic: the recursive definition of alternatives [SC: i.e. PWFA-based semantics] has no advantage over the scoping approach to the logical form of focus. (Rooth 1996)

PWFA doesn't do selective scope-taking, since it only generates flat alternative sets. E.g., for our multiple indefs example:

 $[\![\langle \cdots \rangle]\!]^g_{\mathsf{PWFA}} = \{\mathsf{VISITS}\, y\, x \mid \mathsf{LAWYER}\, x \land \mathsf{RELATIVE}\, y\}$

• Using this set, there's no way to give one indefinite scope over the conditional without bringing the other along for the ride.¹

¹Though you *could* posit an existential closure operator somewhere inside the island in (5), this isn't a general solution.

How about our theory?

- It might seem that we're similarly out of luck.
- Suppose we derived a meaning for a persuasive lawyer visits a relative of mine along these lines:

A-RELATIVE^{*}
$$(\lambda y. \textbf{A-LAWYER}^* (\lambda x. [visits y x]))$$

= $\{visits y x \mid LAWYER x \land RELATIVE y\}$

But LF pied-piping this meaning over the conditional gives both indefinites widest scope!

 $\left\{\text{VISITS } y \: x \; \middle| \; \text{LAWYER } x \land \text{Relative } y\right\}^{\star} \left(\lambda p. \: \ldots \: \Rightarrow \: \ldots \: \right)$

Selectivity lurks

• However! An alternative derivation for the island lurks.

A.RELATIVE^{*}
$$\left(\lambda y. \left[\textbf{A.LAWYER}^* \left(\lambda x. \left[\forall ISITS y x \right] \right) \right] \right)$$

► The key bit is the extra . This gives rise to a *higher-order* alternative set, type FFt (cf. e.g. Dayal 1996, 2002; Fox 2012):

 $\big\{\{\mathsf{VISITS}\, y\, x \mid \mathsf{LAWYER}\, x\} \mid \mathsf{RELATIVE}\, y\big\}$

▶ I.e., if the lawyers are L₁ and L₂, and my relatives are R₁ and R₂:

 $\left\{ \left\{ VISITS R_1 L_1, VISITS R_1 L_2 \right\}, \\ \left\{ VISITS R_2 L_1, VISITS R_2 L_2 \right\} \right\}$

How it works

• LF pied-piping the higher-order alternative set derives the selective exceptional scope reading:



The result is exactly what we're looking for (any-old-lawyer, one-rich-relative):

$$\{(\exists x. \text{Lawyer } x \land \text{Visits } y x) \Rightarrow \text{HOUSE} | \text{Relative } y\}$$

Why it works



- The finely-articulated higher-order alternative set lets us separate the relative-alternatives from the lawyer-alternatives.
- The island, when derived in this way, is "about" relatives in a way it isn't "about" lawyers. ·* spreads this aboutness to the conditional.
- The inner layer of alternatives **semantically reconstructs** (Cresti 1995) i.e., gets sent back down the tree to meet !.
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Abstraction

- Binding creates headaches for PWFA (e.g. Shan 2004; Romero & Novel 2013; Charlow 2014; Ciardelli & Roelofsen 2015).
- E.g., Kratzer & Shimoyama 2002's abstraction definition, below, over-generates alternative functions. [[n X]]⁹ is no longer guaranteed to be "about" the same things as [[X]]⁹.

$$\llbracket n X \rrbracket_{\mathsf{PWFA}}^{g} \coloneqq \{ f \mid \forall x. f x \in \llbracket X \rrbracket^{g[n \to x]} \}$$

- Problematic prediction: nobody met a linguist can mean that nobody met every linguist. See Charlow 2014 (§5.5) for details.
- ► Jettisoning PWFA in favor of standard FA (with ⊡ and ·* greasing the skids) gives us access to a standard abstraction operation.

Glass houses, etc.

- Yet it may appear that we have binding issues of our own.
- Ex. (10) has a reading giving the island-bound indefinite widest scope, even as the pronoun on the island is bound by the subject.
 - (10) Every linguist_i is overjoyed whenever (a famous expert on indefinites cites her_i).
- How is this consistent with our theory? Shouldn't scoping the island over the quantifier unbind the pronoun?

Binding reconstruction

- It's true: we can't handle data like this if binding requires LF c-command (as in e.g. Heim & Kratzer 1998). Given the situation with two indefinites on an island, this comes as a surprise.
- What we require is a (minimal) shift in perspective, to a semantics that allows **binding reconstruction** à la Sternefeld 1998, 2001.
- The key is allowing things to denote *functions from assignments* into values (cf. Montague 1974; Bennett 1979; Rooth 1985[!]).
- An example of how this goes for her, mother, Polly, likes:

$$\left(\begin{array}{c} \lambda F. \lambda g. LIKES \left(F g[0 \rightarrow P]\right) P \right) \left(\lambda g. g_0'S \text{ MOM}\right) \\ \hline Polly_0 \text{ likes} \\ = \lambda g. LIKES \left(P'S \text{ MOM}\right) F \\ \end{array}\right)$$

Generalized fanciness

- Implementing this perspective simply means tweaking our notion of what a "fancy" meaning is.
- Echoing the theory of binding reconstruction, we'll now take fancy a's to be functions from assignments (type s) into sets of a's.

$$F\mathfrak{a} \coloneqq \mathfrak{s} \to \{\mathfrak{a}\}$$

▶ This in turn implies minimally tweaked versions of ⊡ and ·*:²

$$\boxed{\mathbf{x}} \coloneqq \lambda g. \{\mathbf{x}\} \qquad \qquad \mathbf{m}^{\star} \coloneqq \lambda \kappa. \lambda g. \bigcup_{\mathbf{x} \in \mathbf{m}g} \kappa \mathbf{x} g$$

• Such that (cf. $[A B]_{PWFA}^g = \{fx \mid f \in [A]^g \land x \in [B]^g\}$): $m^* (\lambda f. n^* (\lambda x. fx)) = \lambda g. \{fx \mid f \in m g \land x \in n g\}$

²Still a monad, still decompositions of LIFT!

How this works

The derivation of (10) is entirely parallel to the two-indefinites case. We build a higher-order FFt and reconstruct the inner layer:



 The tree invokes >, a placeholder for your fave way to do binding (e.g. Partee 1973's Derived VP Rule, Büring 2005's β-binding).

Roofing

We shouldn't be able to wide-scope the indefinite in roofing configurations (e.g. Schwarz 2001; Brasoveanu & Farkas 2011):

(11) No candidate_i submitted a paper he_i wrote.

• We make the correct prediction. Here's how we'd go about trying to give this indefinite scope over the subject:

$$\left(\overline{\lambda g. \{y \mid \underbrace{\mathsf{WROTE} \ y \ g_0}_{ABOUT \ ME}}\right)^* \left(\lambda y. \mathsf{NO-CAND} \left(\lambda x. \underbrace{\mathsf{SUBMITTED} \ y \ x}_{ABOUT \ ME}\right)^*\right)$$

The resulting set of propositions are "about" things that g₀ wrote (given an assignment g). Binding fails!

Roofing (cont.)

This improves on choice-functional accounts of exceptional scope (e.g. Reinhart 1997), which can assign roofed indefinites a kind of wide scope (Schwarz 2001; see also Geurts 2000):

$\exists f. \text{ no-candidate} (\lambda x. \text{ submitted} (f \{y \mid \text{wrote } y x\}) x) \\ \approx \text{ no candidate submitted every paper he wrote}$

About which Heim 2011 remarks:

We may have to concede what Fodor and Sag and most subsequent authors wanted to avoid: indefinites are existential quantifiers that enjoy a greater degree of scopal mobility... (Heim 2011: 1022)

• I hope to have shown that we *don't* have to concede this.

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Basic data

- A familiar data point: Indefinites behave more like names than quantifiers with respect to anaphoric phenomena.
 - (12) {Polly_{*i*}, a linguist_{*i*}, *every linguist_{*i*}} came in. She_{*i*} sat.

Discourse referents

 Dynamic semantics: sentences add discourse referents to the "conversational scoreboard" (e.g. Groenendijk & Stokhof 1991):

 $g \longrightarrow \llbracket \text{Polly came in} \rrbracket \longrightarrow g + P$

Indefinites (but not quantifiers) also set up discourse referents. In case four linguists came in – A, B, C, and D – we'll have:

$$g \longrightarrow [a \text{ linguist came in}]$$
 $\begin{array}{c} g + A \\ g + B \\ g + C \\ g + D \end{array}$

• Formally captured by modeling meanings as relations on states. For example, here is a candidate meaning for *a linguist came in*:

$$\lambda g.\left\{g+x \; \middle| \; \text{Ling} \; x \land \text{Came} \; x\right\}$$

Incorporating dynamics

- Dynamics relies on the ability to output modified assignments (indeed, given indefinites, to output *alternative* assignments).
- One way to think of this is in terms of a new "fancy" type:

$$\mathsf{Fa} \coloneqq \mathsf{s} \to \big\{ \langle \mathsf{a}, \mathsf{s} \rangle \big\}$$

▶ The relevant ⊡ and ·* again essentially follow from the types:³

$$\mathbf{x} \coloneqq \lambda g. \{ \langle \mathbf{x}, g \rangle \} \qquad \qquad \mathbf{m}^* \coloneqq \lambda \kappa. \lambda g. \bigcup_{\substack{\langle \mathbf{x}, \mathbf{h} \rangle \in \mathbf{m}g}} \kappa \mathbf{x} \mathbf{h}$$

Gives the following enriched functional application:

$$\mathfrak{m}^{\star}\left(\lambda f. \mathfrak{n}^{\star}\left(\lambda x. fx\right)\right) = \lambda g. \left\{\langle fx, i\rangle \mid \langle f, h\rangle \in \mathfrak{m} \, g \wedge \langle x, i\rangle \in \mathfrak{n} \, h\right\}$$

³Still a monad, still decompositions of LIFT!

Dynamic binding via LF pied-piping

Remarkably, rejiggering the semantics in this way predicts that dynamic binding *also* arises via a kind of LF pied-piping:



- Unlike standard dynamic approaches, this derivation doesn't require a notion of dynamic conjunction.
 - In keeping with the approach I've been advocating, conjunction is boring and interacts with fancy things via \bigcirc and \cdot^* .

Dynamics and exceptional scope: binding and sloppiness

Proper names can bind pronouns, no matter how embedded:

(13) If e.o. (who hates $Walt_i$) comes, I'll feel bad for him_i If e.o. (who hates $PETE_i$) comes, I won't (feel bad for him_i).

 Predicted: so long as the (island) can scope over the pronoun, the proper name can bind the pronoun. Dynamics and exceptional scope: max discourse anaphora

- Maximal drefs contributed by deeply embedded quantifiers:
 - (14) Everyone heard the rumor that (at most six [senators]_{*i*} [supported Cruz's filibuster]_{*j*}). It turned out to be erroneous: they_{*i*∩*j*} numbered at least ten.
- Suggests even quantifiers take a kind of exceptional scope.
- Predicted if quantifiers introduce maximal drefs, as is standard in modern dynamic semantics (Kamp & Reyle 1993):

At-most-six-senators = $\lambda \kappa$. λg . $\{(|sen \cap X| \le 6, g + X)\}$ where $X = sen \cap \{x \mid \exists (p, h) \in \kappa x g. p\}$

Summing up

Fa	x	m*	[[a linguist]] _{Fe}	[sheo] _{Fe}
a	x	λκ. κ m	N/A	go
$\{a\}$	$\{x\}$	$\lambda \kappa . \bigcup_{x \in m} \kappa x$	$\{x \mid \operatorname{ling} x\}$	$\{g_0\}$
$s \to \{ \mathfrak{a} \}$	$\lambda g.\left\{ x\right\}$	$\lambda \kappa g. \bigcup_{x \in mg} \kappa x g$	$\lambda g. \{x \mid \text{ling } x\}$	$\lambda g. \{g_0\}$
$s \rightarrow \big\{ \big< \mathfrak{a}, s \big> \big\}$	$\lambda g.\left\{ \left\langle x,g\right\rangle \right\}$	$\lambda \kappa g. \bigcup_{\langle x,h \rangle \in mg} \kappa x h$	$\lambda g.\left\{ \left\langle x,g\right\rangle \mid\text{ling}x\right\}$	$\lambda g.\left\{ \left\langle g_{0},g\right\rangle \right\}$

Progressively enriching a grammar with alternatives, alternatives + assignment-sensitivity, and alternatives + assignment modification.

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- My bottom line: use alternatives, and let them take scope.⁴
- ▶ ⊡ and ·* allow a robust account of alternatives, avoiding many of the pitfalls of PWFA (and other theories of exceptional scope).
- The approach is **really** flexible:
 - Folding in dynamics is a piece of cake.
 - Suggests that dynamic and alternative semantics have all along been palping different parts of the indefiniteness elephant.

⁴The centrality of scope-taking to natural language semantics has likewise been emphasized in work on *continuations* (e.g. Barker & Shan 2014).

Last words

 I focused on English indefinites, but the same strategy allows us to give parallel, empirically robust accounts of focus and in situ wh (and, potentially, of how they *interact*):

> The group of island-escaping operators does not appear to be an arbitrary one.... [Their] semantic similarity, together with the common insensitivity to scope islands, suggest that we should not be satisfied with a theory which treats focus as sui generis. We would like to replace the focus-specific definition with a theory in which focus is one of a family of island-insensitive operators which, roughly, use restricted variables to name families of propositions, open propositions, and/or their existential closures. It is not at all clear to me how this should be done. (Rooth 1996)

I hope to have shed some light on this. Thanks!

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