

# Three Improvements to the HPSG Model Theory

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# Problems with HPSG model theory

**Aim:** propose **three orthogonal improvements to the standard HPSG model theory** (RSRL; Richter 2004):

- solve the long-standing “Höhle’s problem” of spurious ambiguities,
- solve various problems stemming from the insistence on **exhaustive models**,
- propose a **second-order extension** to deal with the analysis of unlike category coordination in Yatabe 2004.

The first two problems are to some extent dealt with in Richter 2007: “Closer to the Truth: A New Model Theory for HPSG”.



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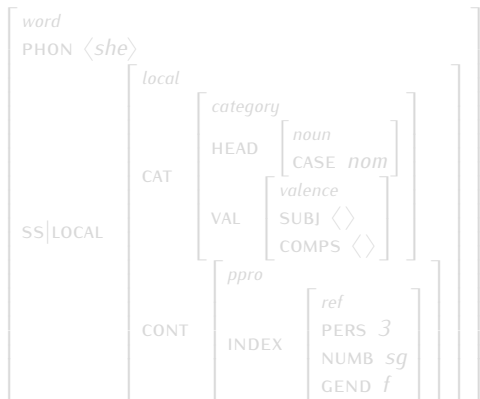
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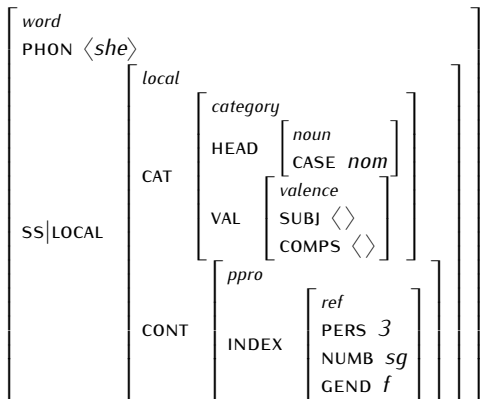


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- **5208**, taking into account verbal HEAD values,
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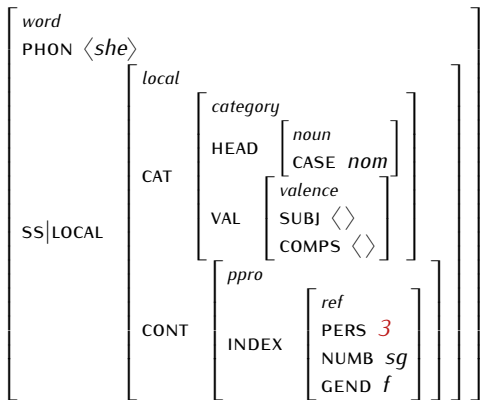
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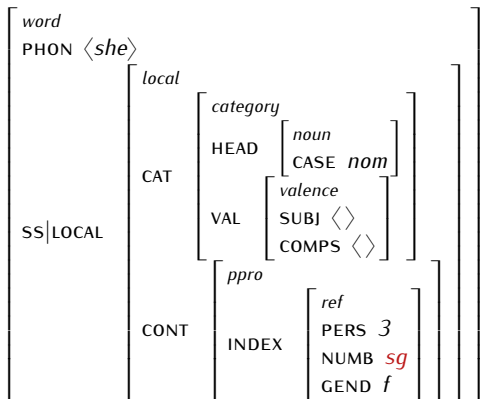


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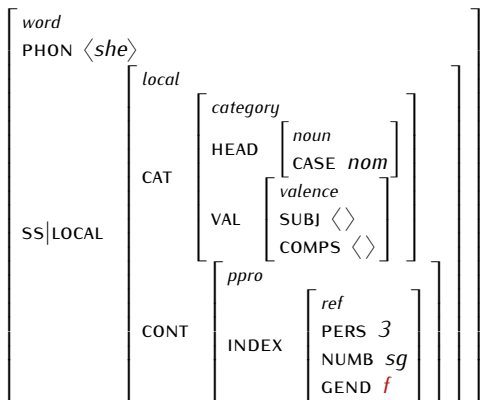


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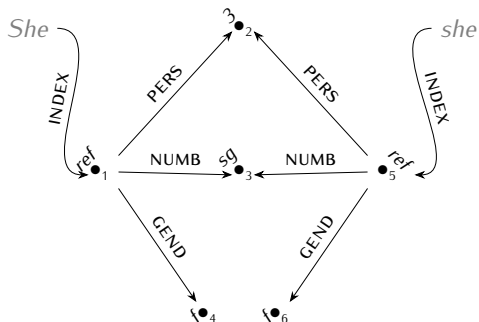


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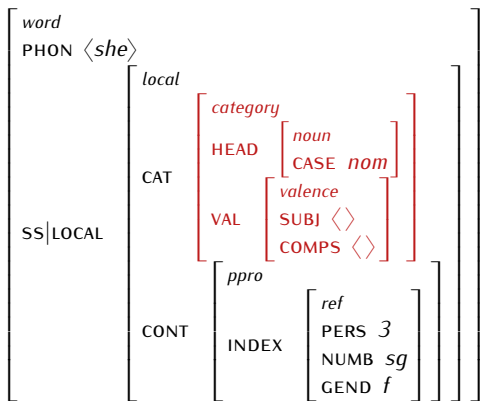


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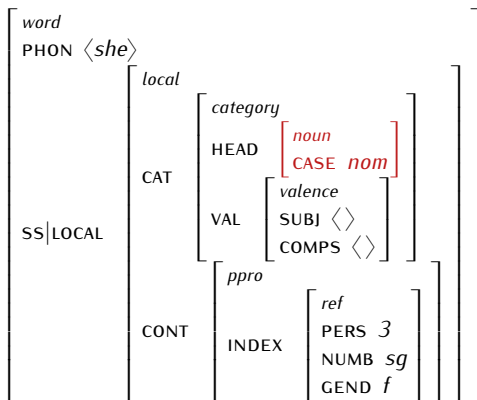


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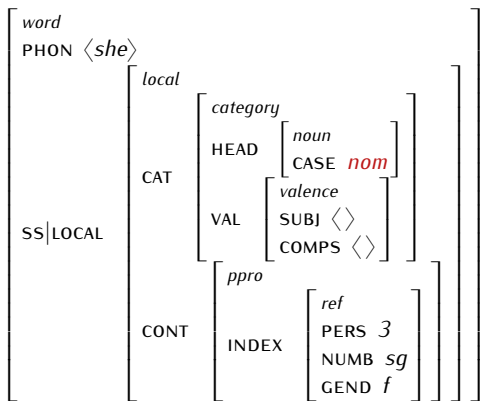


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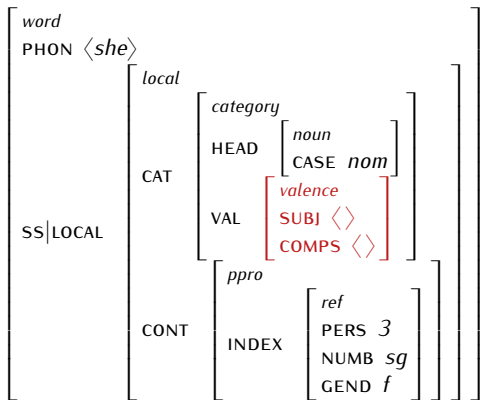


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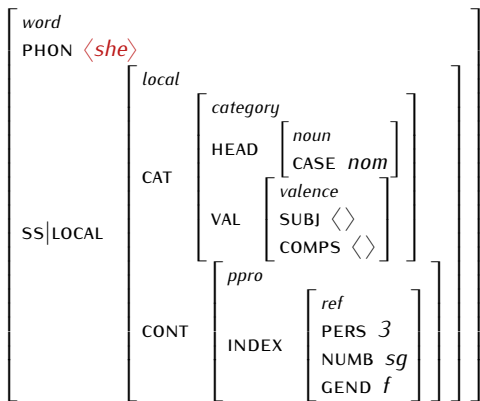
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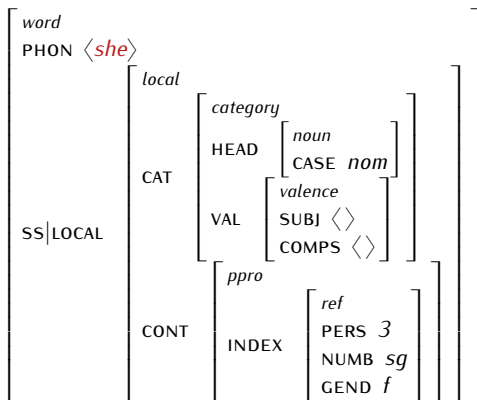


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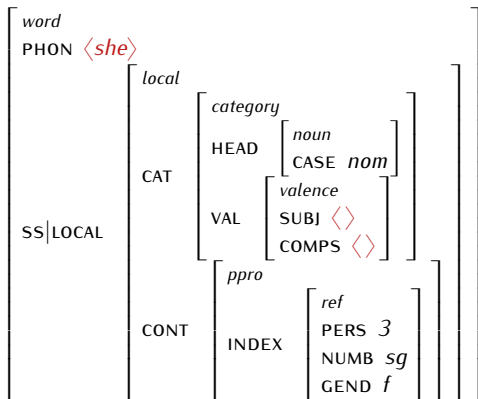


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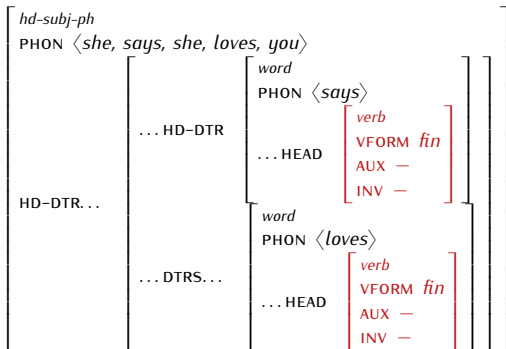


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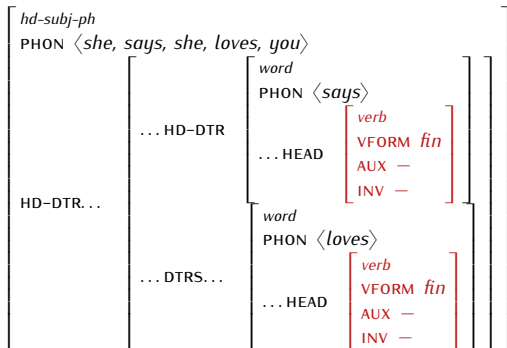


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- the **standard HPSG binding theory** relies on same-looking INDEX values not being necessarily same,
- otherwise, reliance on the non-identity of indiscernibles very rare in HPSG, but not unheard of:
  - Höhle 1999: §2.4 assumes that some “identities are not token but type identities”,
  - Meurers 1998: 326, fn. 42 assumes “that the HEAD values of different head projections are never (accidentally) token identical, which could be explicitly enforced by a constraint on unembedded signs.”

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This is a **complete solution** if the grammar does not produce any other cyclic structures.

If there are **other cyclic structures**:

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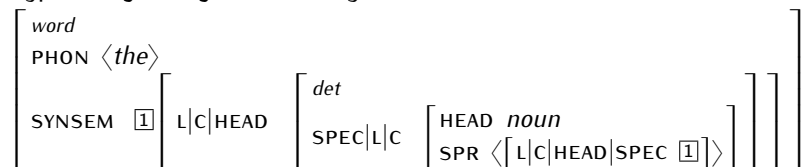
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Typical **cyclicity** in HPSG grammars:



In the following, assume the two NPs *the dog* have the same INDEX value:

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Then there are **two analyses**, with the indiscernible NPs identical or not.

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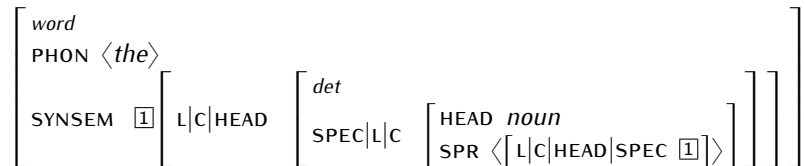
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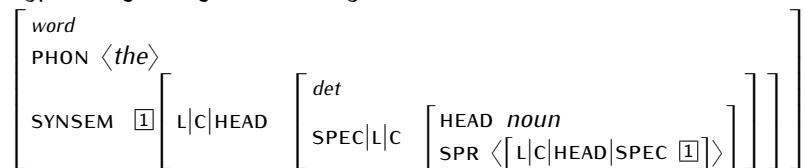
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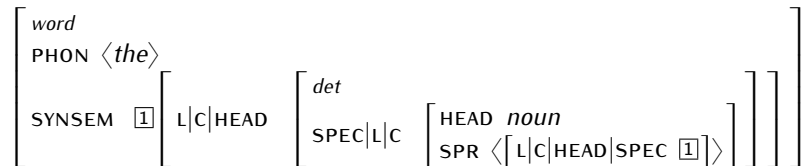
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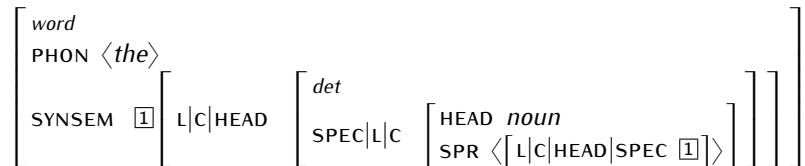
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Sailer 2003: 116:

$$\forall \mathbb{1} \forall \mathbb{2} \text{ are-copies}(\mathbb{1}, \mathbb{2}) \leftrightarrow \left( \bigvee_{\sigma \in \mathcal{S}} (\mathbb{1} \sim \sigma \wedge \mathbb{2} \sim \sigma) \wedge \bigwedge_{\alpha \in \mathcal{A}} (\mathbb{1}\alpha \approx \mathbb{2}\alpha \rightarrow \text{are-copies}(\mathbb{1}\alpha, \mathbb{2}\alpha)) \right)$$

Idea: recursion with memory, immune to cycles – nothing is intensional:

$$\forall \mathbb{1} \forall \mathbb{2} \text{ are-copies}(\mathbb{1}, \mathbb{2}) \leftrightarrow \text{Rcopies}(\langle \rangle, \mathbb{1}, \langle \rangle, \mathbb{2})$$

$$\forall \mathbb{1} \forall \mathbb{2} \text{ Rcopies}(\llbracket \mathbb{1} \rrbracket, \mathbb{1}, \llbracket \mathbb{2} \rrbracket, \mathbb{2}) \leftrightarrow$$

$$\text{member2}(\mathbb{1}, \llbracket \mathbb{1} \rrbracket, \mathbb{2}, \llbracket \mathbb{2} \rrbracket) \vee$$

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$$\text{member2}(\mathbb{1}, \langle \llbracket \mathbb{1}h \rrbracket | \llbracket \mathbb{1}t \rrbracket \rangle, \mathbb{2}, \langle \llbracket \mathbb{2}h \rrbracket | \llbracket \mathbb{2}t \rrbracket \rangle) \leftrightarrow$$

$$(\mathbb{1} \approx \llbracket \mathbb{1}h \rrbracket \wedge \mathbb{2} \approx \llbracket \mathbb{2}h \rrbracket) \vee \text{member2}(\mathbb{1}, \llbracket \mathbb{1}t \rrbracket, \mathbb{2}, \llbracket \mathbb{2}t \rrbracket)$$

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# Exhaustive models

King 1999 (and Richter 2004, 2007): **(R)SRL models are exhaustive**:

- each licensed **configuration** must actually be **present in the model**,
- intuition: (R)SRL models are **models of whole languages**, not models of single utterances.

This idea leads to **multiple problems** (cf. Richter 2007):

- **twin structures**: shared by different utterances,
- **(monster) stranded structures**: not parts of utterances,
- **ontological problem**: compatibility with the idea that objects in models are linguistic tokens (rather than mathematical idealisations).

Also:

- this intuition is **not shared by other mathematical / formal linguists** (Blackburn, Pullum, Kaplan...),
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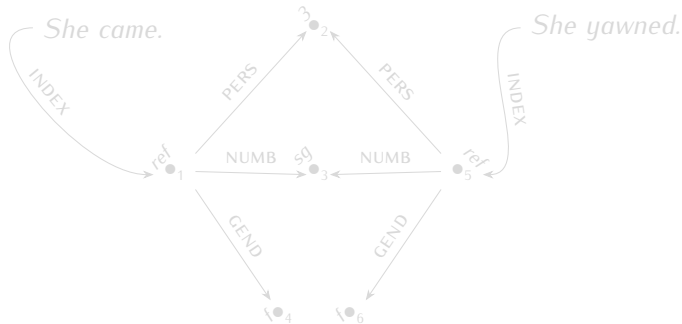
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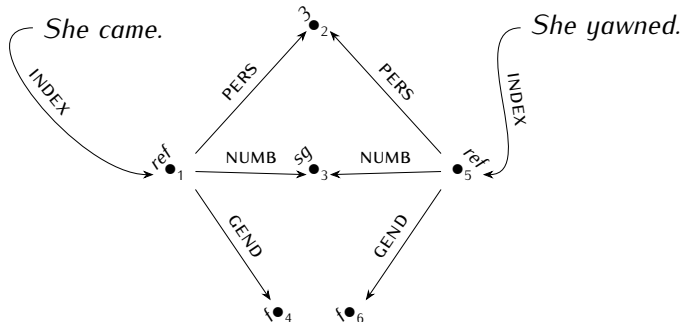


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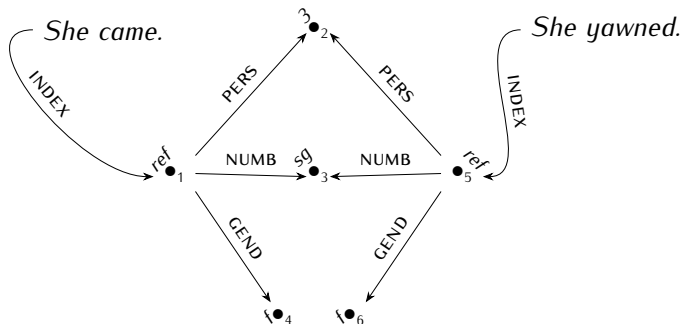


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Richter 2007: a typical HPSG grammar licenses as separate configurations, e.g., ***phrases with nonempty SLASH values***.

Elements of SLASH are **of sort *local***.

Various HPSG principles formulated as **constraints on *signs* constrain *local* configurations** within those *signs*.

But **unrealised elements of SLASH are not subject to such principles**; they may contain very strange *local* objects.

Hence, exhaustive models contain **configurations of *phrases* (with non-empty SLASH values) that never occur in utterances**.

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# Solution: Richter 2007

## Extension of signature:

*top* EMBEDDED *u\_sign*  
*sign* ...  
*e\_sign*  
*e\_word*  
*e\_phrase*  
*u\_sign*  
*u\_word*  
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*word*  
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*u\_word*  
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 ...  
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## Extension of theory:

- UNIQUE U-SIGN CONDITION:  

$$\forall \boxed{1} \forall \boxed{2} ((\boxed{1} \sim u\_sign \wedge \boxed{2} \sim u\_sign) \rightarrow \boxed{1} \approx \boxed{2})$$
- U-SIGN COMPONENT CONDITION:  

$$\forall \boxed{1} (\boxed{1} \sim top \rightarrow \exists \boxed{2} (\boxed{2} \sim u\_sign \wedge \text{component}(\boxed{1}, \boxed{2})))$$

## Solves the above problems:

- **no twin structures:** everything is a component of a single *u\_sign*,
- **no stranded structures:** ditto (assuming *u\_sign*  $\rightarrow$  empty SLASH, etc.).

## At a cost:

- **more complex signature** (and theory),
- **conceptual problem:** the value of, e.g., CASE contains the whole utterance?

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- more complex signature (and theory),
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# Problem: Linguistic tokens in models

King 1999 posits two **contradictory requirements about models**:

- that they be **exhaustive**,
- that model **objects** are (components of) utterance **tokens**.

Exhaustivity implies that models contain all licensed configurations.

But **not all configurations correspond to actual utterance tokens**.

So there must be **non-actual utterance tokens**.

“To Pollard [(p.c. to Richter)], the **concept of non-actual tokens is contradictory and nonsensical**” (Richter 2004: 119).

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## Solution: Rooted models of utterances

A **solution** to all of the above (see extended slides for RSRL technicalities):

- rooted models,
- of single utterances.

Solves all the problems above:

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- no non-actual tokens:
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# Solution: Technicalities 1

Assume the standard notion of **signature** (we ignore chains throughout):

## Definition (signature)

$\Sigma$  is a signature iff

$\Sigma$  is a septuple  $\langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ ,

$\langle S, \sqsubseteq \rangle$  is a partial order,

$S_{max} = \{ \sigma \in S \mid \text{for each } \sigma' \in S, \text{ if } \sigma' \sqsubseteq \sigma \text{ then } \sigma = \sigma' \}$ ,

$A$  is a set,

$F$  is a partial function from  $S \times A$  to  $S$ ,

for each  $\sigma_1 \in S$ , for each  $\sigma_2 \in S$ , for each  $\phi \in A$ ,

if  $F(\sigma_1, \phi)$  is defined and  $\sigma_2 \sqsubseteq \sigma_1$

then  $F(\sigma_2, \phi)$  is defined and  $F(\sigma_2, \phi) \sqsubseteq F(\sigma_1, \phi)$ ,

$R$  is a finite set, and

$Ar$  is a total function from  $R$  to the positive integers.

# Solution: Technicalities 2

We extend the notion of **terms** –  $\dot{r}$  will refer to the root of the utterance:

## Definition (terms)

For each signature  $\Sigma = \langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ , the set of terms  $T^\Sigma$  is the smallest set such that

$\dot{r} \in T^\Sigma$ ,

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for each  $x \in V$ ,  $x \in T^\Sigma$ ,

for each  $\phi \in A$  and each  $\tau \in T^\Sigma$ ,  $\tau\phi \in T^\Sigma$ .

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# Solution: Technicalities 3

Standard definition of **formulæ**:

## Definition (formulæ)

For each signature  $\Sigma = \langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ , the set of formulæ  $D^\Sigma$  is the smallest set such that

for each  $\sigma \in S$ , for each  $\tau \in T^\Sigma$ ,  $\tau \sim \sigma \in D^\Sigma$ ,

for each  $\tau_1, \tau_2 \in T^\Sigma$ ,  $\tau_1 \approx \tau_2 \in D^\Sigma$ ,

for each  $\rho \in R$ , for each  $x_1, \dots, x_{Ar(\rho)} \in V$ ,  $\rho(x_1, \dots, x_{Ar(\rho)}) \in D^\Sigma$ ,

for each  $x \in V$ , for each  $\delta \in D^\Sigma$ ,  $\exists x \delta \in D^\Sigma$ , (analogous for  $\forall$ )

for each  $\delta \in D^\Sigma$ ,  $\neg \delta \in D^\Sigma$ ,

for each  $\delta_1, \delta_2 \in D^\Sigma$ , and  $(\delta_1 \wedge \delta_2) \in D^\Sigma$ . (analogous for  $\vee, \rightarrow, \leftrightarrow$ )

# Solution: Technicalities 4

Trivial extension of the definition of **free variables** to handle the term  $\dot{r}$ :

## Definition (free variables)

For each signature  $\Sigma = \langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ ,  $FV$  is the function from terms and formulæ to free variables in them:

$$FV(\dot{r}) = \{\},$$

$$FV(\cdot) = \{\},$$

$$\text{for each } x \in V, FV(x) = \{x\},$$

$$\text{for each } \tau \in T^\Sigma, \text{ for each } \phi \in A, FV(\tau\phi) = FV(\tau),$$

$$\text{for each } \tau \in T^\Sigma, \text{ for each } \sigma \in S, FV(\tau \sim \sigma) = FV(\tau),$$

$$\text{for each } \tau_1, \tau_2 \in T^\Sigma, FV(\tau_1 \approx \tau_2) = FV(\tau_1) \cup FV(\tau_2),$$

$$\text{for each } \rho \in R, \text{ for each } x_1, \dots, x_{Ar(\rho)} \in V,$$

$$FV(\rho(x_1, \dots, x_{Ar(\rho)})) = \{x_1, \dots, x_{Ar(\rho)}\},$$

$$\text{for each } \delta \in D^\Sigma, \text{ for each } x \in V, FV(\exists x\delta) = FV(\delta) \setminus \{x\}, \quad (\text{also } \forall)$$

$$\text{for each } \delta \in D^\Sigma, FV(\neg\delta) = FV(\delta),$$

$$\text{for each } \delta_1, \delta_2 \in D^\Sigma, FV((\delta_1 \wedge \delta_2)) = FV(\delta_1) \cup FV(\delta_2). \quad (\text{also } \vee, \rightarrow, \leftrightarrow)$$

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$$\text{for each } \tau \in T^\Sigma, \text{ for each } \sigma \in S, FV(\tau \sim \sigma) = FV(\tau),$$

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$$\text{for each } \rho \in R, \text{ for each } x_1, \dots, x_{Ar(\rho)} \in V,$$

$$FV(\rho(x_1, \dots, x_{Ar(\rho)})) = \{x_1, \dots, x_{Ar(\rho)}\},$$

$$\text{for each } \delta \in D^\Sigma, \text{ for each } x \in V, FV(\exists x\delta) = FV(\delta) \setminus \{x\}, \quad (\text{also } \forall)$$

$$\text{for each } \delta \in D^\Sigma, FV(\neg\delta) = FV(\delta),$$

$$\text{for each } \delta_1, \delta_2 \in D^\Sigma, FV((\delta_1 \wedge \delta_2)) = FV(\delta_1) \cup FV(\delta_2). \quad (\text{also } \vee, \rightarrow, \leftrightarrow)$$

# Solution: Technicalities 5

Standard definition of **descriptions**:

## Definition (descriptions)

For each signature  $\Sigma$ , the set of descriptions  $D_0^\Sigma = \{\delta \in D^\Sigma \mid FV(\delta) = \{\}\}$ .

# Solution: Technicalities 6

Definition of **interpretation** now singles out one element of the universe:

## Definition (interpretation)

For each signature  $\Sigma = \langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ ,  $I = \langle U, r, S, A, R \rangle$  is an  $\Sigma$  interpretation iff

$U$  is a set,

$r \in U$ ,

$S$  is a total function from  $U$  to  $S_{max}$ ,

$A$  is a total function from  $A$  to the set of partial functions from  $U$  to  $U$ ,

for each  $\phi \in A$  and each  $u \in U$

if  $A(\phi)(u)$  is defined

then  $F(S(u), \phi)$  is defined, and  $S(A(\phi)(u)) \sqsubseteq F(S(u), \phi)$ , and

for each  $\phi \in A$  and each  $u \in U$ ,

if  $F(S(u), \phi)$  is defined then  $A(\phi)(u)$  is defined,

$R$  is a total function from  $R$  to the power set of  $\bigcup_{n \in \mathbb{N}} U^n$ , and

for each  $\rho \in R$ ,  $R(\rho) \subseteq U^{Ar(\rho)}$ .

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# Solution: Technicalities 7

Standard definition of **variable assignments**:

## Definition (variable assignments)

For each signature  $\Sigma$ , for each  $\Sigma$  interpretation  $I = \langle U, r, S, A, R \rangle$ ,  $G_I = U^V$  is the set of variable assignments in  $I$ .

# Solution: Technicalities 8

Standard **term interpretation**, extended so that the interpretation of  $\dot{r}$  is  $r$ :

## Definition (term interpretation)

For each signature  $\Sigma = \langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ , for each  $\Sigma$  interpretation  $I = \langle U, r, S, A, R \rangle$ , for each  $g \in G_I$ , the term interpretation  $T_I^g$  is the total function from  $T^\Sigma$  to the set of partial functions from  $U$  to  $U$  such that for each  $u \in U$ ,

$T_I^g(\dot{r})(u)$  is defined and  $T_I^g(\dot{r})(u) = r$ ,

$T_I^g(\dot{:})(u)$  is defined and  $T_I^g(\dot{:})(u) = u$ ,

for each  $x \in V$ ,  $T_I^g(x)(u)$  is defined and  $T_I^g(x)(u) = g(x)$ ,

for each  $\tau \in T^\Sigma$ , for each  $\phi \in A$ ,

$T_I^g(\tau\phi)(u)$  is defined iff  $T_I^g(\tau)(u)$  is defined

and  $A(\phi)(T_I^g(\tau)(u))$  is defined, and

if  $T_I^g(\tau\phi)(u)$  is defined then  $T_I^g(\tau\phi)(u) = A(\phi)(T_I^g(\tau)(u))$ .



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# Solution: Technicalities 9

**Formula denotation** – now quantification is over the whole universe (i.e., over all the components of the utterance, similarly to Richter 2007):

## Definition (formula denotation)

For each signature  $\Sigma = \langle S, \sqsubseteq, S_{max}, A, F, R, Ar \rangle$ , for each  $\Sigma$  interpretation  $I = \langle U, r, S, A, R \rangle$ , for each  $g \in G_I$ , the formula denotation function  $D_I^g$  is the total function from  $D^\Sigma$  to the power set of  $U$  such that

$$D_I^g(\tau \sim \sigma) = \left\{ u \in U \mid \begin{array}{l} T_I^g(\tau)(u) \text{ is defined, and} \\ S(T_I^g(\tau)(u)) \sqsubseteq \sigma \end{array} \right\},$$

for each  $\tau_1, \tau_2 \in T^\Sigma$ ,

$$D_I^g(\tau_1 \approx \tau_2) = \left\{ u \in U \mid \begin{array}{l} T_I^g(\tau_1)(u) \text{ is defined,} \\ T_I^g(\tau_2)(u) \text{ is defined, and} \\ T_I^g(\tau_1)(u) = T_I^g(\tau_2)(u) \end{array} \right\},$$

for each  $\rho \in R$ , for each  $x_1, \dots, x_{Ar(\rho)} \in V$ ,

$$D_I^g(\rho(x_1, \dots, x_{Ar(\rho)})) = \{ u \in U \mid \langle g(x_1), \dots, g(x_{Ar(\rho)}) \rangle \in R(\rho) \},$$

...

# Solution: Technicalities 10

## Definition (formula denotation contd.)

...

for each  $x \in V$ , for each  $\delta \in D^\Sigma$ ,

$$D_1^g(\exists x \delta) = \left\{ u \in U \mid \begin{array}{l} \text{for some } u' \in U \\ u \in D_1^{g[x \mapsto u']}(\delta) \end{array} \right\},$$

for each  $x \in V$ , for each  $\delta \in D^\Sigma$ ,

$$D_1^g(\forall x \delta) = \left\{ u \in U \mid \begin{array}{l} \text{for each } u' \in U \\ u \in D_1^{g[x \mapsto u']}(\delta) \end{array} \right\},$$

for each  $\delta \in D^\Sigma$ ,  $D_1^g(-\delta) = U \setminus D_1^g(\delta)$ ,

for each  $\delta_1, \delta_2 \in D^\Sigma$ ,  $D_1^g((\delta_1 \wedge \delta_2)) = D_1^g(\delta_1) \cap D_1^g(\delta_2)$

for each  $\delta_1, \delta_2 \in D^\Sigma$ ,  $D_1^g((\delta_1 \vee \delta_2)) = D_1^g(\delta_1) \cup D_1^g(\delta_2)$

for each  $\delta_1, \delta_2 \in D^\Sigma$ ,  $D_1^g((\delta_1 \rightarrow \delta_2)) = (U \setminus D_1^g(\delta_1)) \cup D_1^g(\delta_2)$ , and

for each  $\delta_1, \delta_2 \in D^\Sigma$ ,

$$D_1^g((\delta_1 \leftrightarrow \delta_2)) = ((U \setminus D_1^g(\delta_1)) \cap (U \setminus D_1^g(\delta_2))) \cup (D_1^g(\delta_1) \cap D_1^g(\delta_2)).$$

# Solution: Technicalities 10

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# Solution: Technicalities 11

Standard definition of **description denotation**:

## Definition (description denotation)

For each signature  $\Sigma$ , for each  $\Sigma$  interpretation  $I = \langle U, r, S, A, R \rangle$ , the description denotation function  $D_I$  is the total function from  $D_0^\Sigma$  to the power set of  $U$  such that  $D_I(\delta) = \{ u \in U \mid \text{for each } g \in G_I, u \in D_1^g(\delta) \}$ .

# Solution: Technicalities 12

So far we know that  $\hat{r}$  **points at a distinguished model element**  $r$ .

We want to make sure that  $r$  is the root...

- $\forall \mathbb{1}$  component( $\mathbb{1}$ ,  $\hat{r}$ )                      i.e.:  $\exists \mathbb{0}$  ( $\mathbb{0} \approx \hat{r} \wedge \forall \mathbb{1}$  component( $\mathbb{1}$ ,  $\mathbb{0}$ ))

... of an utterance:

- $\hat{r}$  SYNSEM NONLOCAL SLASH  $\sim$  *eset*
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## Solution: Comparisons and summary

### Rooted models – not an original idea:

- discussed in modal logic (*rooted* or *point generated* models; Blackburn *et al.* 2010: 56),
- these are exactly Pollard's (1999: §6) **singly generated** models.

### Here, we **additionally**:

- require that such rooted models correspond to **utterances**,
- allow terms to **refer to the root** directly.

### This view is **ontologically agnostic**; model objects may be:

- utterance tokens and their parts** (King 1999),
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## Yatabe 2004 on unlike category coordination

Yatabe 2004 deals with **unlike category coordination**, e.g. (Bayer 1996):

- We emphasized [[Mr. Colson's many qualifications]<sub>NP</sub> and [that he had worked at the White House]<sub>CP</sub>].
- We emphasized [[that Mr. Colson had worked at the White House]<sub>CP</sub> and [his many other qualifications]<sub>NP</sub>].

His lexical entry for *emphasized*:

- $$\left[ \begin{array}{l} \text{PHON } \langle \textit{emphasized} \rangle \\ \dots \text{VALENCE} \left[ \begin{array}{l} \text{SUBJ } \langle \dots \text{HEAD } c \left( \begin{array}{l} \textit{noun} \\ \text{CASE } \textit{nom} \end{array} \right) \rangle \\ \text{COMPS } \langle \dots \text{HEAD } c(\textit{noun} \vee \textit{comp}) \rangle \end{array} \right] \end{array} \right]$$

The key idea is the use of the **distributive functor**,  $c$ :

- $$\boxed{1} : c(\alpha) \equiv \boxed{1} : \alpha \vee (\boxed{1} : [\text{ARGS } \langle \boxed{a_1}, \dots, \boxed{a_n} \rangle] \wedge \boxed{a_1} : \alpha \wedge \dots \wedge \boxed{a_n} : \alpha)$$

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## Unlike category coordination (UCC) in HPSG:

- **linearisation-based approaches** to UCC were **popular in HPSG in 2000s** (e.g., Crysmann 2003, Beavers and Sag 2004, Chaves 2006, 2007, 2008),
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# Reformulation in second-order RSRL

## Yatabe 2004:

- $$\left[ \begin{array}{l} \text{PHON } \langle \textit{emphasized} \rangle \\ \dots \text{VALENCE } \left[ \begin{array}{l} \text{SUBJ } \langle \dots \text{HEAD } c \left( \begin{array}{l} \textit{noun} \\ \text{CASE } \textit{nom} \end{array} \right) \rangle \\ \text{COMPS } \langle \dots \text{HEAD } c(\textit{noun} \vee \textit{comp}) \rangle \end{array} \right] \end{array} \right]$$
- $$\boxed{1} : c(\alpha) \equiv \boxed{1} : \alpha \vee (\boxed{1} : [\text{ARGS } \langle \boxed{a_1}, \dots, \boxed{a_n} \rangle] \wedge \boxed{a_1} : \alpha \wedge \dots \wedge \boxed{a_n} : \alpha)$$

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- signatures specify types of arguments of relation symbols (each either  $e$  or  $et$ );
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## Solutions:

- “Höhle’s problem”:
  - General Identity Principle (GIP; Sailer 2003: 116),
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**Thank you for your attention!**

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