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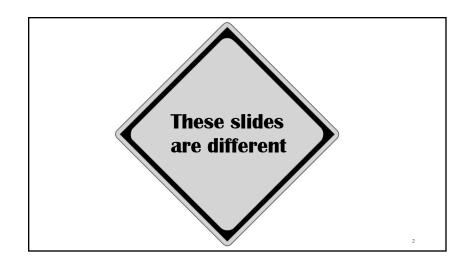
# Towards a formal typology of formality

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joint work with Elizabeth Ritter, UofCalgary







- There is no definition of formality
- Typological literature refers to **politeness** (deriving from Brown & Levinson 1978)

"While actual human relations of hierarchy, intimacy, and formality are complex and perhaps infinitely varied, their grammatical marking appears to be discrete, distinguishing only a small number of levels."

Portner et al. 2019





WALS on politeness (formality)

# Cross-linguistic variation in formality marking

### Type 1 Formality

French pronouns for addressee

formal

German pronouns for addresee

plain

Binary contrast

Same form for all types of formality contrasts

formal

Type 2 Formality

Korean pronouns for addressee

plain, intimate

plain, familiar between adults/

elderly male towards male tangsin plain between adults (restricted)

disrespectful toward a stranger

kutay poetic

caki plain and intimate (new)

between couple

towards a stranger, old-fashioned

kuccoc similar age, unsure of how to address

Open-ended class

Different forms for different kinds of social relations

(e.g., age, sex, status)

In a nutshell Towards a formal typology Type 1 formality: Type 2 formality: Recycled grammatical content Intrinsic lexical content Speech Act Speech Act Structure Structure DP Addressee vous tangsin tayk kutay caki..

### Overview

- Problem: The need for a typology of formality
  - · Existing typologies and their problems
- Proposal: Nominal speech act structure
- - · Distinguishing intrinsic content from recycled features in the SA-structure
- Independent evidence for nominal speech act structure
  - Impersonals
- Extending the analysis
  - · Logophors
  - · Demonstratives
- Conclusion

Formality in pronouns







Hier ist ihr Kaffee. Here is your.formal coffee

### Formality

German pronouns for addressee

du/dein plain sie/ihr formal

French pronouns for addressee

plain tu formal vous

# Formality in pronouns

Is there a grammar of formality

	singular	plural	forma	ıl
1	ich	wir		
2	du	ihr	sie	
3	er/sie/es	sie		

	singular	plural	formal
1	je	nous	
2	tu	vous	vous
3	il/elle	ils/elles	

Different patterns of syncretism

German pronouns for addressee **du** plain

Sie formal

French pronouns for addressee

tu plain vous formal

.

# Formality in pronouns

But politeness is more than absence of presupposition

- "a politeness consideration blocks the use of the singular, and therefore the Heim's maxim is satisfied by the use of the [unmarked] plural which has no inherent presupposition"
- "Since [...] the third Person feature is like [PI] without inherent presupposition, the shift from second
  to third person can be explained in the same way."

Sauerland (2003)

There are dedicated politeness markers

Tamil:



padj-k:ir-ār(i)/\*-ã/\*āŋ-ga(l) read-PRES 3sg.m.H)\*-3sg.m.M/\*-3-pl Macaulay, 2015 (3)

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### Formality in pronouns

P= plural S= 3rd person substitution for 2 M= dedicated formality marking

1	2	3	Languages	
P	P	M	Lyélé (Niger-Congo)	
	M	M	Xerente (Macro-Jê)	
	M	P	Amharic (Semitic)	
	P	M	Tamil (Dravidian), Bench (Omotic)	
	P+S	P+S	Nepali (Indo-Aryan)	
	M+S	M	Bengali (Indo-Aryan)	
	P+S	P	Hindi (Indo-Aryan)	
	P+S		Basque, old German	
	S		modern German, Italian, Hungarian	
	P		French, Turkish	

Table 1: Typology of methods of marking formality cross-referenced by person.

Macaulay, 2015 (3)

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# Formality in pronouns

But politeness does not imply inequality

Formality contrast is essentially a relationship between the author and either the addressee or third person  $\dots$ 

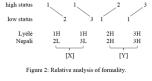
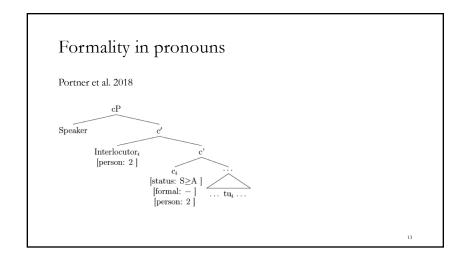


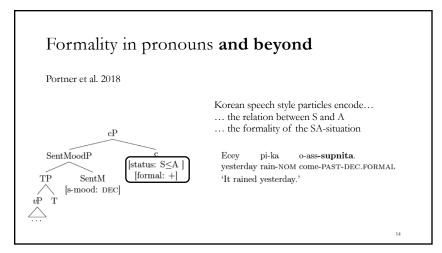


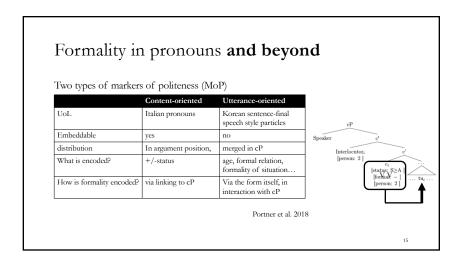


Figure 3: Feature geometry with [±STATUS].

Macaulay, 2015







# Problems with Portner et al.

### Empirical

· Pronouns of different formality can be coordinated

### Analytical

- There are (at least) two ways in which formality in pronouns is encoded:
  - Binary distinction of the tu/vu typ
  - Open-class distinctions of the Korean/Japanese type

### Theoretical

- What is εP?
  - · It is qualitatively different from CP:
  - $\bullet\,$  It encodes non-propositional, "utterance-oriented" content

### Pronouns of different status can be coordinated

### Korean

tangsin-hako caney-nun iccok-ulo anc-ci. (the speaker)

You-and you-TOP this.way sit-COMP

• 'You and you, sit here.' (addressed to speaker's wife and a son-in-law)

 tangsin-hako
 ne-nun
 mwe
 mek-ul-lay?

 You-and
 you-TOP
 what
 eat-IRR-COMP

 What will you and you eat; what would you and you like to eat?

 (addressed to speaker's husband and son)

dressed to speakers husband and sony

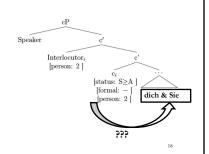
### Pronouns with different status can be coordinated

German

Ich habe dich und Sie gestern gesehen.

I have you.inf and you.form yesterday seen.

'I have seen you and you yesterday.'



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### Problems with Portner et al.

### Empirica

· Pronouns of different formality can be coordinated

### Analytica

- There are (at least) two ways in which formality in pronouns is encoded:
  - Binary distinction of the tu/vu typ
  - · Open-class distinctions of the Korean/Japanese type

### Theoretical

- What is cP?
  - · It is qualitatively different from CP:
  - · It encodes non-propositional, "utterance-oriented" content

2 types of formality in pronouns

Korean pronouns for addressee

ne plain, intimate

caney plain, familiar between adults/

elderly male towards male tangsin plain between adults (restricted)

disrespectful toward a stranger

kutay poetic

caki plain and intimate (new)

between couple

tayk towards a stranger, old-fashioned kuccoc similar age, unsure of how to address

Different forms for different kinds of social relations (e.g., age, sex, status) French pronouns for addressee

tu plain vous formal

German pronouns for addressee

du plain Sie formal

Binary contrast (+/-status)

· Same form for all types of formality contrasts

### Formality in Korean pronouns

Korean pronouns for addressee

ne plain, intimate

caney plain, familiar between adults/ elderly male towards male

tangsin plain between adults (restricted) disrespectful toward a stranger

kutay poetic

caki plain and intimate (new)

between couple tayk towards a stranger, old-fashioned

kuccoc similar age, unsure of how to address

	Content-oriented	Utterance-oriented
UoL	Italian pronouns	Korean sentence-final speech style particles
Embeddable	yes	no
distribution	merged in argument position	merged in cP
What is encoded?	+/-status	age, formal relation, formality of situation
How is formality encoded?	via linking to cP	Via the form itself, in interaction with cP

 Different forms for different kinds of social relations (e.g., age, sex, status)

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# A more fine-grained typology

	Content-oriented	??	Utterance-oriented
UoL	Italian pronouns	Korean pronouns	Korean sentence-final speech style particles
Embeddable	yes		no
distribution	merged in argument position		merged in cP
What is encoded?	+/-status	age, formal relation, fo	ormality of situation
How is formality encoded?	via linking to cP	555	Via the form itself, in interaction with cP

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# 2 types of formality in pronouns

UoL	Italian pronouns	Korean pronouns	Korean sentence-final speech style particles
Embeddable	yes		no
distribution	merged in argument position		merged in cP
What is encoded?	+/-status	age, formal relation, fo	ormality of situation
How is formality encoded?	via linking to cP	555	Via the form itself, in interaction with cP

### Conlusion

The encoding of formality in pronouns is not (entirely) dependent of the encoding of formality in speech-style particles

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### Problems with Portner et al.

### Empirical

· Pronouns of different formality can be coordinated

### Analytical

- There are (at least) two ways in which formality in pronouns is encoded:
  - Binary distinction of the tu/vu typ
  - Open-class distinctions of the Korean/Japanese type

### Theoretical

- What is εP?
  - · It is qualitatively different from CP:
  - · It encodes non-propositional, "utterance-oriented" content

### Interim conclusion

- Formality is part of grammar
- Formality is subject to variation
- We need to develop an adequate formal typology for formality
- Existing formal typologies cannot account for the facts

- Problem: The need for a typology of formality
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  - Demonstratives
- Conclusion

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# Nominal speech-act structure

The syntax of interactional language

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# What is Speech-act structure? • What is dP? • It is qualitatively different from CP: • It encodes non-propositional, "utterance-oriented" content • dP = "Speech Act Structure"

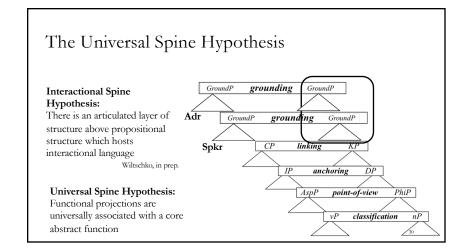
# What is Speech-act structure?

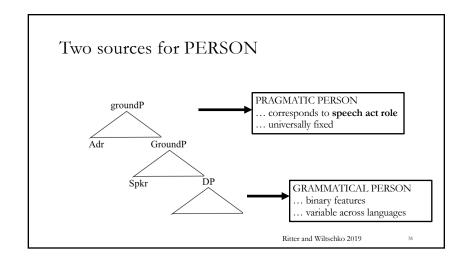
### Labels of SA-structure

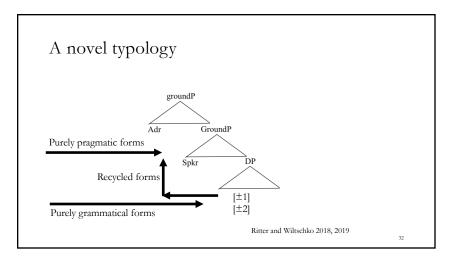
DiscourseP (Beninca 2001, Garzonio 2004)
PragP (Hill 2006)
SpeechActProjection (SAP, Hill 2007a,b)
Modal values (Speas & Tenny 2003, Speas 2004)
Attitude (Paul, 2014)
PartP (Haegeman 2015)

Speech acts are not primitives

Speech act theory has changed since the 60ies

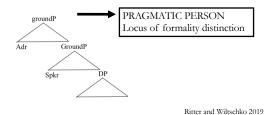






# Formality distinctions

- ... indicate social status relative to current speaker/addressee
- ... must access pragmatic information about different Speech act participants



Two types of formality in pronouns

Type 1 formality:

Recycled grammatical content

Type 2 formality:
Intrinsic lexical content

GroundP

Vous

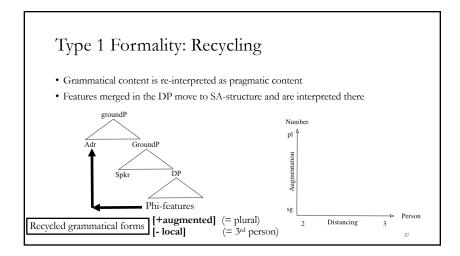
DP

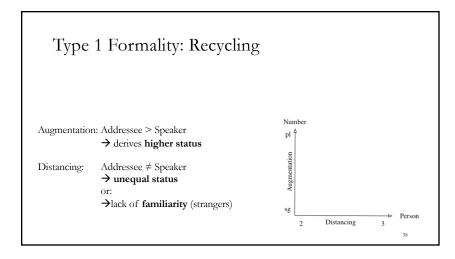
Type 2 formality:
Intrinsic lexical content

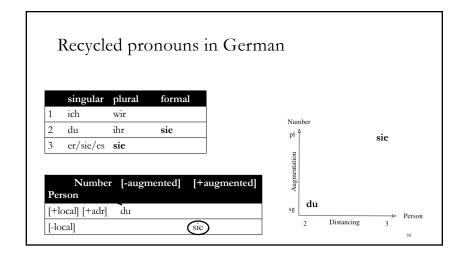
Or one
caney
tangsin
tayk
kutay
caki...

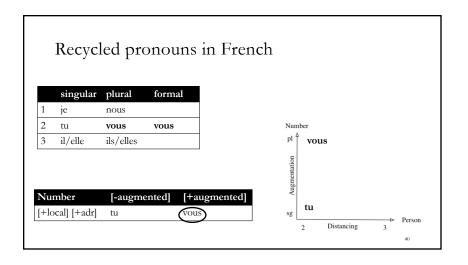
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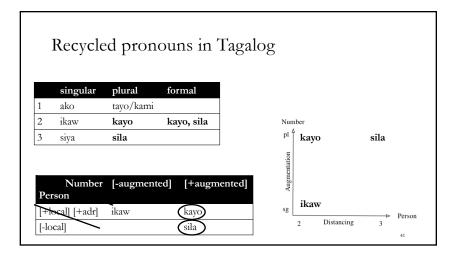
Type 1 Formality: Recycling

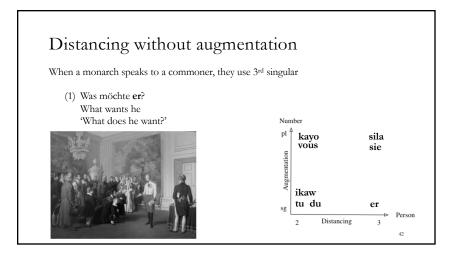




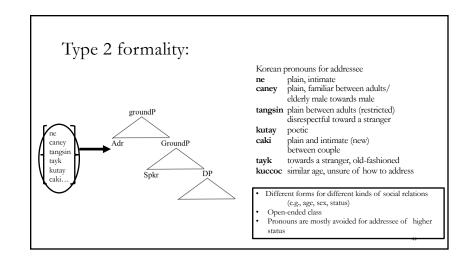


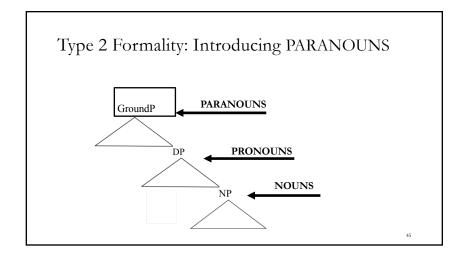




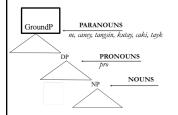


Type 2 Formality: **Paranouns** 





# Type 2 Formality: Introducing PARANOUNS



- Used in languages which avoid overt pronouns
- → Grammatical pronouns are silent (pro)
- → Unlike pronouns, they are pragmatically marked
- · Paranouns don't form paradigms or trigger agreement
- → Because they are not composed of contrastive phi-features
- → They have substantive (not grammatical) content
- "In languages like Japanese and Korean, a combination of person and number can be represented variously by a number of lexical items, reflecting semantic and pragmatic properties relative to social and psychological factors ..."
   (Kitagawa and Lehrer 1990: 753)

# Paranouns Japanese "personal pronouns are distinguished from nouns both morphologically and syntactically" But "the overall distribution of Japanese personal pronouns and, say, English personal pronouns is markedly distinct." Hinds (1971: 154)

### Paranouns are not restricted to Addressee

Korean paranouns for speakers:

na (plain)

ce (humble)

cim (only used by a king, archaic)

...

Japanese paranouns for speakers:

male: watakushi > kochira > watashi > boku > ore > washi

female: watakushi > kochira > watashi > atashi > uchi

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Two types of impersonal pronouns

PERSON	English	German	Example
1 /2	I/you	ich/du	You shouldn't text while driving
0	one	man	One shouldn't text while driving

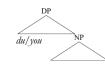
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# The grammar of impersonals

'man' impersonals

### impersonal uses of personal pronouns

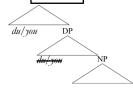
→ refers to anyone who could be an addressee



personal uses of personal pronouns

GroundP

→ refers to current addressee only



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### The grammar of impersonals

Impersonal use of personal pronouns is a rather widespread phenomenon in languages of the world

Kitagawa & Lehrer 1990: 739

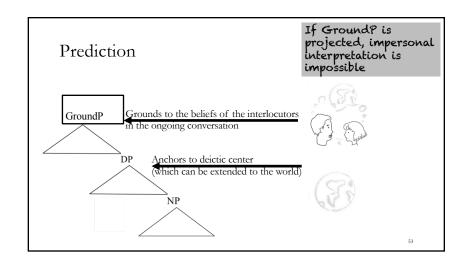
By using you the speaker "assimilates himself" to use Labere and Sankoff's phraseology, "to a much wider class of people, downgrading his own experience to incidental status in the discourse, phrasing it as something that could or would be anybody's (p. 281)

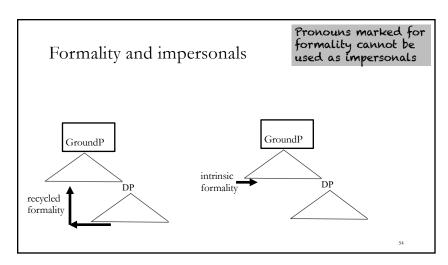
Kitagawa & Lehrer 1990: 749

Yesterday, we went to Sabino Canyon. And I was talking with this guy who happened to drop in on us. And all of a sudden he began to get agitated, and he swung at me. You react instinctively at a time like that. I hit him back.

Kitagawa & Lehrer 1990: 749 (28)

5.





### Paranouns cannot be used as impersonals

Although the extension of the  $2^{nd}$  person pronoun to an impersonal is widespread in languages, it is restricted to those with small, closed pronoun sets, thus excluding such languages as Japanese and Korean.

Kitagawa & Lehrer 1990: 739

"By definition, personal pronouns used impersonally are not restricted to the speech act context. But in languages like Japanese and Korean, the so-called (lexical) personal pronouns, especially those having to do with 1st and 2nd persons, are too closely tied to the actual speech act context. They are simply too loaded with semantic and pragmatic information."

Kitagawa and Lehrer 1990: 756

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# The grammar of impersonals

### Japanese:

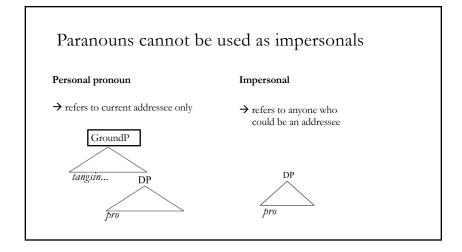
Sooiu toki-ni-wa honnooteki-ni ugoi-te sima-u. Such time-at-Top instinctively moving end-up-Pres Korean:

kirŏl-ttae-n paro hayngtong-il chwihae-yaci such-that-time-Top immediately action-Obj show-should

Kitagawa & Lehrer 1990: 755 (48,49)

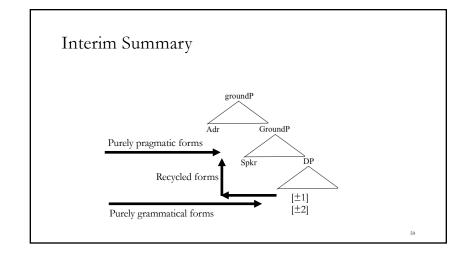
- · Impersonal sense is expressed by a zero pronoun
- Alternatively, it can be expressed by lexical nouns denoting 'person, such as hito in Japanese and saram or inkam in Korean

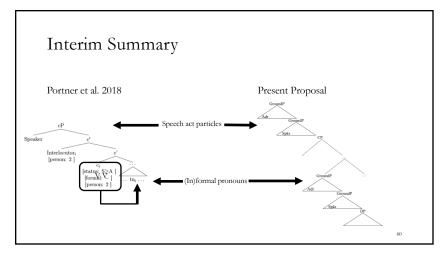
Kitagawa & Lehrer 1990: 755f.



# Formal pronouns in German

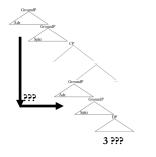
- Du sollst beim Autofahren nicht texten You shall.2sg at the cardriving not text 'You shouldn't text while driving'
  - i) Personal use
  - ii) Impersonal use
- (2) Sie sollen beim Autofahren nicht texten You<sub>formal</sub> shall.3pl at.the car.driving not text 'You shouldn't text while driving.'
  - i) Personal use
  - i) \*Impersonal use





# 2 more questions

- Can you get a dependency between clausal and nominal GroundP?
- Can you have GroundP above 3<sup>rd</sup> person DPs? And if so what is the role of GroundP?



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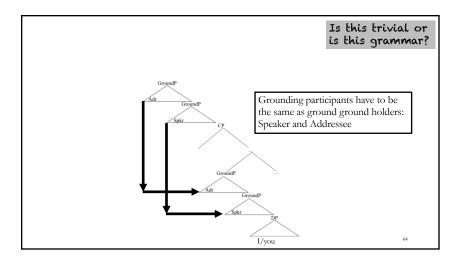
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# Is this trivial or is this grammar?

**Du** hast einen neuen Hund, **geu**. You have a new dog, conf 'You have a new dog, don't you?'

**Sie** haben einen neuen Hund **geu-ns** You<sub>formal</sub> have.3pl a new dog conf-formal

\*Du hast einen neuen Hund, geuns \*Sie haben einen neuen Hund, geu Grounding participants have to be the same as ground ground holders: Speaker and Addressee



### Logophors: some facts

Ewe: Logophors

a. Kofî be yè-dzo

say LOG-leave

'Kofi<sub>i</sub> said that he<sub>i/\*k</sub> left.'

b. Kofi be me-dzo

'Kofi said that I left.'

'Kofi<sub>i</sub> said that (s)he<sub>k/\*i</sub> left.' Clements 1975: 142

### Amharic: Shifting indexicals

John [ pro dʒägna nä-ññ

John [ pro hero COP-1sg.S ] 3sgm.s-say-AUX.3sgm.s

a. John says that I am a hero.

b. John says that he is a hero.

Anand 2006: 101

### Logophors: some facts

Shift Together

If one indexical of class  $\Psi$  picks up reference from context c, then all indexicals of class  $\Psi$  within the same minimal attitude complement must also pick up reference from context c. (The following are classes of indexicals: 1st person, 2nd person, person, locative, temporal.) (Deal 2017, 2018)

Amharic: Shifting indexicals

John [ pro dʒägna nä-ññ

John [ pro hero COP-1SG.S ] 3SGM.S-say-AUX.3SGM.S

a. John says that I am a hero.

b. John says that he is a hero. Anand 2006: 101

# Logophors: some facts

English: exempt anaphors

a. John<sub>i</sub> said to Mary that physicists like himself<sub>i</sub> were a godsend.

b. \*Mary said about John; that physicists like himself; were a godsend.

Kuno 1987: 123

· Korean: exempt anaphors

Cina<sub>i</sub>-nun kkwucwunha-n {caki-casin<sub>i</sub>/\*[ku papo]<sub>i</sub>}-(l)ul wuntong-i Cina-TOP regular-RC exercise-NOM the idiot -ACC pakkwuko issta-ko sayngkakhan-ta.

be-COMP think-DECL

'Cina, thinks that regular exercise is changing {her,/\*[the idiot],}

Ahn & Charnaval 2017: 21 (9)

### Logophors: analysis

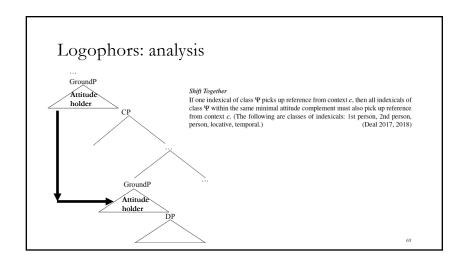
Exampt anaphor/logophor

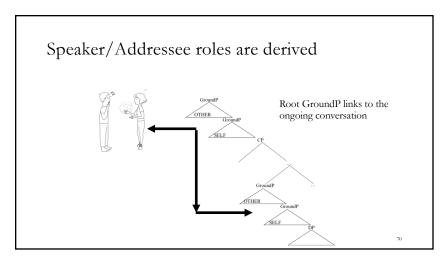
 $\dots$  (DP<sub>i</sub>)... [OP<sub>LOG-i</sub> ... himself<sub>exempt-i</sub> ...]

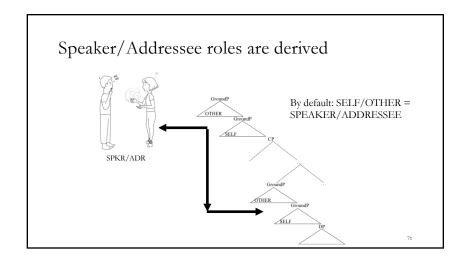
Anaphor

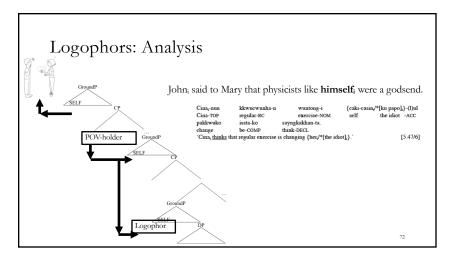


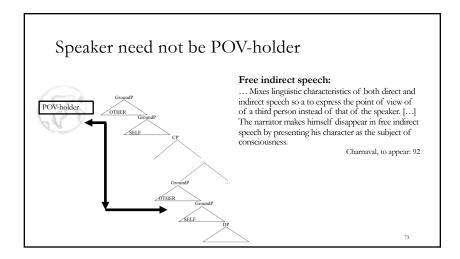
- · Logophoric operator introduces POV/attitude holder
- Logophoric operator → GroundP

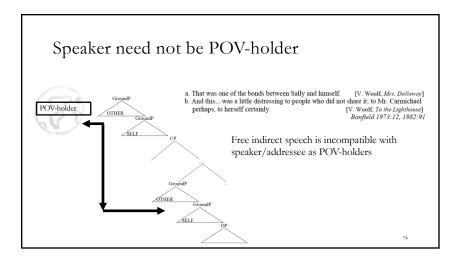


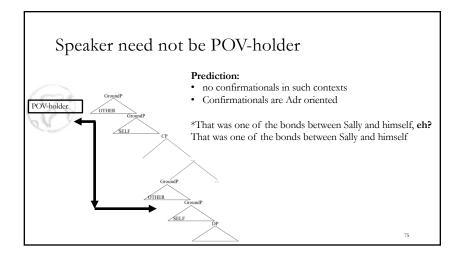












### Speaker need not be POV-holder

Kuroda 1973 distinguishes between the reportive and the nonreportive styles. In the reportive style, the narrator presents his point of view just like in regular cases of linguistic acts between a speaker and a hearer. In the nonreportive style however, there is no narrator present as an interpreter of the situation, but the various characters of the story can be presented as subjects of consciousness so that their internal feelings are directly represented. Several grammatical features characterize each style. For instance, the sentence-final particle *yo* (11 m telling you') is only compatible with the reportive style.

John-wa Bill-ga zibun-o home-ta toki Mary-no soba-ni i-ta (\*yo). John-top Bill-nom refl-acc praise-PST when Mary-GEN side-Loc be-PST PTCL 'John<sub>i</sub> was by Mary when Bill praised himself<sub>i</sub>.'

Kuroda 1973:385

# Speaker/Addressee roles are derived

Interpretation of SELF/OTHER

- SPEAKER / ADDRESSEE
- · POV holder
- · Locus of Empathy

"there seems to be no clear primitive role that we might call SPEAKER. Rather "speaker" seems to be simply one way of being a SOURCE. The pronoun I usually indicates that SELF and SOURCE are predicated of the external speaker"

"an unanalyzed notion of the "speaker" or the "I" simply does not allow for enough distinctions to be drawn when a range of languages are considered

Sells 1987: 462

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### 2 more questions

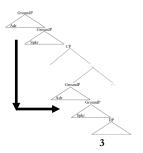
• Can you get a dependency between clausal and nominal GroundP?

### Yes!

• Can you have GroundP above 3<sup>rd</sup> person DPs?

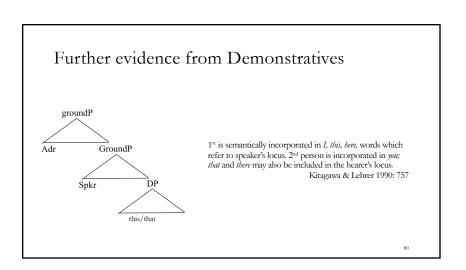
### Yes!

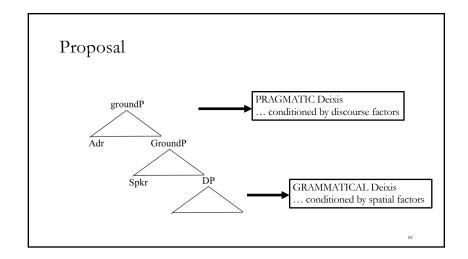
• And if so what is the role of GroundP?

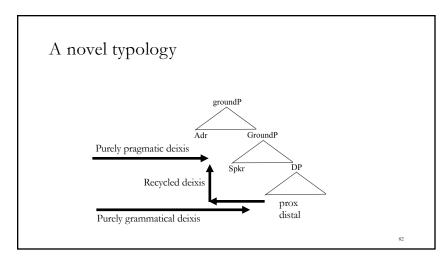


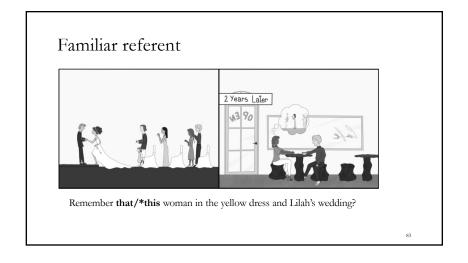
78

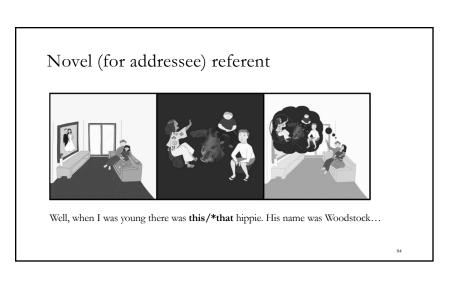
# GroundP GroundP Grounding structure is about mental worlds: Beliefs, attitudes, evaluations, discourse status,...) Propositional structure is about the world: propositions, individuals, eventualities,...

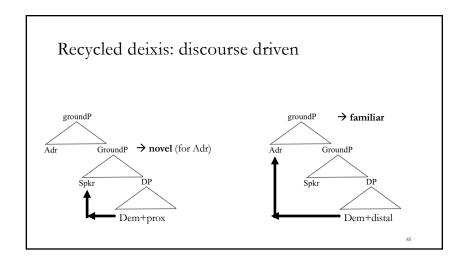




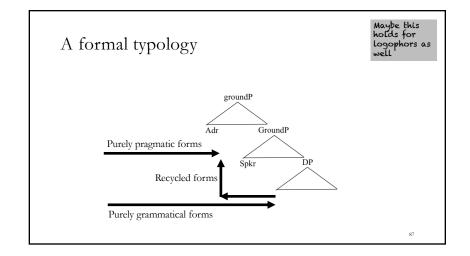


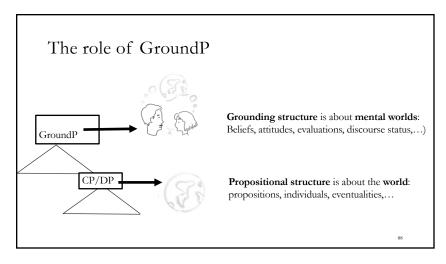




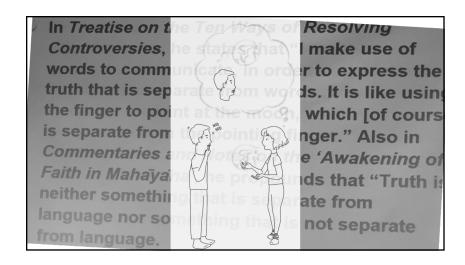


- Problem: The need for a typology of formality
  - · Existing typologies and their problems
- Proposal: Nominal speech act structure
- Analysis:
  - Distinguishing intrinsic content from recycled features in the SA-structure
- Independent evidence for nominal speech act structure
  - Impersonals
- Extending the analysis
  - Logophors
  - Demonstratives
- Conclusion

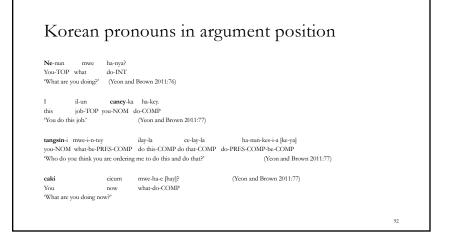




In Treatise on the Ten Ways of Resolving
Controversies, he states that "I make use of
words to communicate, in order to express the
truth that is separate from words. It is like using
the finger to point at the moon, which [of cours
is separate from the pointing finger." Also in
Commentaries and Notes on the 'Awakening of
Faith in Mahayana', he propounds that "Truth is
neither something that is separate from
language nor something that is not separate
from language.







### Korean pronouns in argument position

 Tayk-un eti-ey
 ka-si-e-yo
 (Yeon and Brown 2011:77)

 You-TOP
 where-LOC
 go-SUB.HOR-COMP-POL

 'Where are you going?'

Kuccok-un-yo? (Yeon and Brown 2011:78)

You(lit. that side)-TOP-POL

'How about you?'

Na-uy kyeyth-ey **kutay** eps-nun seysang iss-ul-swu-to eps-keyss-ci-yo I-GEN side-LOCyou not.exist-PRES world exist-IRR-COMP-also not.exist-IRR-COMP-POL

'There cannot be a world where you are not by my side.' (Yeon and Brown 2011:78)

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### Korean pronouns in argument position

Supheyin-eyse **ne**-lul po-ass-e.
Spain-LOC you-ACC see-PST-COMP

'I saw you in Spain.'

Supheyin-eyse caney-lul po-ass-ney.

Spain-LOC you-ACC see-PST-COMP

'I saw you in Spain.'

Supheyin-eyse tangsin-ul po-ass-ci.
Spain-LOC you-ACC see-PST-COMP

'I saw you in Spain.'

Supheyin-eyse **caki**-lul po-ass-e.
Spain-LOC you-ACC see-PST-COMP

'I saw you in Spain.'

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### Korean pronouns in argument position

Supheyin-eyse **kutay**-lul po-ass-e-yo.
Spain-LOC you-ACC see-PST-COMP-POL
T saw you in Spain.' (by an author in his/her journal) (poetic)

Supheyin-eyse **tayk**-ul po-ass-e-yo.
Spain-LOC you-ACC see-PST-COMP-POL

'I saw you in Spain.'

Supheyin-eyse **kuccok**-lul po-ass-e-yo.

Spain-LOC you-ACC see-PST-COMP-POL

'I saw you in Spain.'

Korean pronouns are embeddable

Supheyin-eyse **ne**-lul po-ass-ta-kokecicmal-ul hayss-e.
Spain-LOC you-ACC see-PST-DEC-COMP lie-ACC did-COMP

"I lied that I saw you in Spain."

Supheyin-eyse caney-lul po-ass-ta-kokecicmal-ul hayss-ney.

Spain-LOC you-ACC see-PST-COMP

'I lied that I saw you in Spain.'

Supheyin-eyse tangsin-ul po-ass-ta-kokecicmal-ul hayss-e-yo.

Spain-LOC you-ACC see-PST-COMP

I lied that I saw you in Spain.'

Supheyin-eyse caki-lul po-ass-ta-kokecicmal-ul hayss-e

Spain-LOC you-ACC see-PST-COMP

I lied that I saw you in Spain.'

# Korean pronouns are embeddable

po-ass-ta-ko kecicmal-ul ?Supheyin-eyse tayk-ul hayss-e-yo.

Spain-LOC you-ACC see-PST-COMP-POL

Tlied that I saw you in Spain.'(personally I do not use or hear the usage of tayk as much as other pronouns, it is a little unnatural to me)

po-ass-ta-ko kecicmal-ul Supheyin-eyse kuccok-ul hayss-e-yo.

Spain-LOC you-ACC see-PST-COMP-POL 'I lied that I saw you in Spain.'

Supheyin-eyse kutay-lul po-ass-ta-ko see-PST-COMP-POL kecicmal-ul hayss-tao.

Spain-LOC you-ACC

'I lied that I saw you in Spain.'