- **Thematic (θ) roles**
- **Case and sentence structure**
- **Verbs of giving/receiving**

Background preparation:

- *Santorini & Kroch (2007), "Thematic roles"*

- **Article summary** is due **Th Nov 2** (12:30pm)
  - Goal: Use this assignment to focus your thinking about your final-project topic
  - Review the assignment information *and* the grading criteria before beginning
  - You are encouraged to **check in** with me by email on your article choice
  (please send link or DOI)

0. Course information

- A few notes about the **scope** of the **final project**:

  If you do an experiment, view it as a **pilot study**

  - For a course project, <u>IRB review</u> (for human research participants) is not required

  - <u>Statistical analysis</u> of data is not required in this course, but you may run stats if you choose

  - It may be acceptable to collect data from just a <u>few participants</u> (or even 1) — we can discuss

  - If you decide to expand your project later, you should consider IRB review, stats consultation, and expanding your participant pool

0. Today's plan

- Review: Some important social-context factors

  - Dimensions of politeness

  - In-group/out-group

  - SSS

- Expressing the participant structure of events/states

  - Introduction to thematic roles

  - Case and sentence structure

- Verbs of giving and receiving

  - How do they relate to all of the above?

1. Review: Some key social-context factors

- Dimensions of politeness ([handout](#))

    - What is involved in the **horizontal** dimension?

    - What is involved in the **vertical** dimension?

    - How do the concepts of in-**group/out-group** and **SSS** interact with these dimensions?

1. Review: Some key social-context factors

- Dimensions of politeness (handout)
  - **Horizontal** dimension
    - Horizontal distance to addressee (Formality of *relationship* or *situation*)
    - **In-group vs. out-group** relationships in **referents** of utterance

  - **Vertical** dimension — is there an **SSS**?
    - SSS **addressee**? (who you are talking *to*)
    - SSS **referent**? (who you are talking *about*)

2. Participants in events/states

- We can consider how an **event or state** is **expressed linguistically** from two perspectives:
  - What is the role that each participant plays in the situation? —> What **meaning** is conveyed?
    - **Thematic roles**

  - What is the **position** that each participant has in the **linguistic expression** of the situation? —> What **structure** is used?
    - **Case and sentence structure** (among other things, such as lexical choices)

3. Thematic roles

- **Thematic roles** (also called θ-roles, theta-roles)
  - A general theory of the **roles** that entities play with respect to a given event or state
    - Intended to be universal/cross-linguistic
    - Provides a way to talk about how similar meanings can be given different linguistic encodings within or across languages

  - See the Santorini & Kroch (2007) online syntax textbook, supplementary section on thematic roles)

3. Thematic roles

- We will focus on these roles for today's discussion:
  - Agent
  - Cause (how is this different from Agent?)
  - Recipient
  - Theme

- Which participant has which role in this **transfer** situation?

the student   *a strawberry*   *the cat*

3. Thematic roles

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  - Agent
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  - Theme

- Which participant has which role in this **transfer** situation?

agent → theme → recipient

3. Thematic roles

- The same event/state can often be linguistically expressed in several ways

    - What are some ways of expressing this transfer situation in English?

agent	theme	recipient
the student	*a strawberry*	*the cat*

3. Thematic roles

- What are some ways of expressing this transfer situation in English?

agent → theme → recipient

The student gave the cat a strawberry.

The student gave a strawberry to the cat.

The cat received a strawberry from the student.

The cat got a strawberry from the student.

The cat was given a strawberry by the student.

- How do these sentences differ?
  - Are any of them passive sentences?
  - What other differences can we observe?

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3. Thematic roles

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    - Are any of them passive sentences?
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	active/ passive	transfer type	other
The student gave the cat a strawberry.	active	GIVE	NP-NP
The student gave a strawberry to the cat.	active	GIVE	NP-PP
The cat received a strawberry from the student.	active	RECV	formal
The cat got a strawberry from the student.	active	RECV	casual
The cat was given a strawberry by the student.	passive	GIVE	

- **Passives** have specific morphology and syntax: *be* (or *get*) + PASSIVE PARTICIPLE (in English)

- There are different **structural positions** in a sentence that event/state participants can take with respect to the sentence's **predicate** (verb, etc.)

  - In some languages, these different positions involve different **morphology** → **case**

- We will focus on these positions for today's discussion:

  - Subject

  - Direct object

  - (Indirect object — see a little further below)

- Consider these sentences in English:

    (a) *Three hats fell off the shelf.*

    (b) *The composer wrote a new sonata for the orchestra.*

    - What is the subject of each sentence?

    - Does either sentence have a direct object?

- How can we **identify** <u>subject</u> and <u>direct object</u> in English?

- How to **identify** <u>subject</u> / <u>direct object</u> in English?

  Subject

  - <u>Position</u>: Occurs before the verb
    (except in certain questions)

  - <u>Morphology</u>: The verb agrees with the subject in person and number (residual in English)

  Direct object

  - <u>Position</u>: Occurs after the verb

  - <u>Morphology/syntax</u>: Bare noun phrase; does not need to occur with a preposition

4. Case and sentence structure, part 1

- Does **case** ever distinguish <u>subject</u> / <u>direct object</u> in English?

- Does **case** ever distinguish <u>subject</u> / <u>direct object</u> in English?

  - Only in the pronoun system!

    *I see **them**.*

    ***They** see **me**.*

  - **Case** (quick definition for our purposes):

    morphological marking that indicates or is required by differences in sentence position

- What is the difference between GIVE and RECEIVE, in terms of **thematic roles** vs. **sentence positions**?

agent   theme   recipient

The student <u>gave</u> a strawberry to the cat.

The cat <u>received</u> a strawberry from the student.

	agent	**theme**	**recipient**
GIVE			
RECEIVE			

5. The structure of GIVE/RECEIVE expressions

- What is the difference between GIVE and RECEIVE, in terms of **thematic roles** vs. **sentence positions**?

agent → theme → recipient

The student <u>gave</u> a strawberry to the cat.

The cat <u>received</u> a strawberry from the student.

	agent	**theme**	**recipient**
GIVE	subject	direct object	indirect object
RECEIVE	other	direct object	subject

5. The structure of GIVE/RECEIVE expressions

- Summary for English

	Agent (or **Cause**)	**Theme**	**Recipient**
GIVE	subject	direct object	indirect object (PP$_{to}$ or NP)
RECEIVE	PP$_{from}$	direct object	subject

- Can a similar classification system be extended to Japanese?
  - First: What identifies subject, direct object, indirect object in Japanese?

6. Case and sentence structure in Japanese

- How could we translate this into Japanese?

  Aya saw Ken.

- How could we translate this into Japanese?

  Aya saw Ken.

  Aya-wa   Ken-o   mi-ta.

  Aya-TOP   Ken-?   see-PAST

  Aya-ga   Ken-o   mi-ta   *(koto-wa   uresi-i)*

  Aya-?   Ken-?   see-PAST   fact-TOP happy-NPST

  - Because *-wa* is a topic marker, it does not diagnose subjects (more on this later)

24

6. Case and sentence structure in Japanese

- How can we identify subject / direct object?

  Aya saw Ken.

  *Aya-**ga** Ken-**o** mi-ta*

  Aya-NOM Ken-ACC see-PAST

  Subject

  - Morphology: *-ga* case suffix = nominative

  Direct object

  - Morphology: *-o* case suffix = accusative

  (Position is less useful — more on this later)

7. Giving/receiving verbs in Japanese

Group discussion

- Data set - <u>Giving and receiving</u>

  - Discuss "Scenario 1"

    - How can we translate *age*-? *moraw*-? How do thematic roles match up with structural positions (case marking) here — GIVE or RECEIVE?

    - How can we translate *kure*-? How is it different from the first two verbs?

Debriefing

- Data set - <u>Giving and receiving</u> | "Scenario 1"

	agent	**theme**	**recipient**	**type**
age-				
moraw-				
kure-				

- *kure-* 'give' or 'receive'?
  - What is the special condition?

27

Debriefing

- Data set - <u>Giving and receiving</u> | "Scenario 1"

	agent	**theme**	**recipient**	**type**
age-	subject	dir. object	ind. object	GIVE
moraw-	other	dir. object	subject	RECEIVE
kure-	subject	dir. object	ind. object **in-group**	GIVE

- *kure-* 'give' (not 'receive'!)
  - Recipient must be *in-group* compared to agent

28

7. Giving/receiving verbs in Japanese

Group discussion

- Data set - <u>Giving and receiving</u>

  - Discuss "Scenario 2"

    - How many GIVE verbs can be used when the speaker is the source?

    - Under what circumstances are they used? (Think about social-context factors)

    - Which GIVE verb from Scenario 1 can we *not* use here, and why not?

Debriefing

- Data set - <u>Giving and receiving</u> | "Scenario 2"

	agent	theme	recipient	type
age-				
sas-i-age-				
yar-				

Debriefing

- Data set - <u>Giving and receiving</u> | "Scenario 2"

	agent	theme	recipient	type
age-	subject	dir. object	ind. object	GIVE
sas-i-age-	subject	dir. object	ind. object **SSS**	GIVE
yar-	subject	dir. object	ind. object **equal or ↓**	GIVE

- *yar-* 'give'
  - Recipient equal or lower in hierarchy; casual

7. Giving/receiving verbs in Japanese

Debriefing

- Data set - <u>Giving and receiving</u> | "Scenario 2"
  - *kure-* is a GIVE verb that cannot be used in Scenario 2
    - Recipient can never be in-group (compared to agent) if speaker is agent!

7. Giving/receiving verbs in Japanese

Group discussion

- Data set - <u>Giving and receiving</u>
  - Discuss "Scenario 3"
    - What verb(s) can be used here when the speaker is the recipient?
    - What verb(s) can be used here when the speaker's friend is the recipient?
    - What social factors can we identify here?

7. Giving/receiving verbs in Japanese

Debriefing

- Data set - [Giving and receiving](#) | "Scenario 3"

	agent	**theme**	**recipient**	**type**
kudasar-				
itadak-				

Debriefing

- Data set - <u>Giving and receiving</u> | "Scenario 3"

	agent	**theme**	**recipient**	**type**
kudasar-	subject **SSS**	dir. object	ind. object **in-group**	GIVE
itadak-	other **SSS**	dir. object	subject **in-group**	RECEIVE

- *kudasar-* 'give' to in-group; agent is SSS

  - Irregular verb: *kudasar-u, kudasat-ta/kuda<u>s</u>i-ta, kudasa<u>i</u>mas-, kudasa<u>i</u>* (imperative=polite request)

8. Giving/receiving verbs — broader uses

- The use of GIVE/RECEIVE verbs in Japanese is pervasive, far beyond literal expressions of giving and receiving things — Why?

8. Giving/receiving verbs — broader uses

- The use of GIVE/RECEIVE verbs in Japanese is pervasive, far beyond literal expressions of giving, receiving
    - G/R verbs also used as **auxiliary verbs** to show that an action was performed 'for' someone else
      (this is known as a *benefactive* construction)
    - Expressed much more often than in English

- How to form these constructions:
    - Main verb in *-te* form
      (same phonological rules as *-ta* 'PAST')
    - G/R verb follows, bearing tense/neg./etc.

8. Giving/receiving verbs — broader uses

- **G/R** constructions are also a common way of making requests or "commands"

   Kite <u>kudasai</u>.　　　　'Please come.'

   Tabako-wa go-enryo <u>kudasai</u>.
   'Please refrain from smoking.'
   　　　enryo: VN meaning 'restraint'
   　　　go-: Sino-Japanese honorific prefix

   Misete <u>itadak</u>emasu ka?
   'Can I have you show it to me?'
   　　　mise-: 'to show'
   　　　itadak+e: "potential" ('able to') form

8. Giving/receiving verbs — broader uses

- Which type of request is more indirect: with 'give' or 'receive'?

    - *Receive*-based auxiliaries used to express "someone did something *for me/us*" — often!

8. Giving/receiving verbs — broader uses

- Example from a web site
  [[FAQ: Can customers choose their own phone number?]]

  お客様に　　　　　ご連絡を　　　　差し上げ、
  o-kyaku-sama-ni　go-renraku-o　SASIAGE,
  HON-customer-HON-DAT　*HON-contact-ACC*　*give.CONT*

  選んで　　いただく　ことは　　可能です
  erande　　ITADAKU　koto-wa　kanoo desu
  choose-TE receive　*thing-TOP*　*possible* COP

- Who is SSS here?