### Strict Locality in Syntax

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#### $Local \rightarrow finitely bounded$



(window size 2)

(window size 4)

Long-distance  $\rightarrow$  no finite bound



#### 1. Lexical/category selection

Ex. Some verbs select a DP complement, others select a PP

#### 2. Functional hierarchies

Ex. We might<sub>T</sub> have<sub>Perf</sub> been<sub>Prog</sub> being<sub>Pass</sub> watched.

#### 3. Adjunct ordering

Ex. ✓ big red truck ?? red big truck

Can these phenomena be unified somehow?

Finitely bounded dependencies fall within the formal class of **strictly local (SL)** languages.

- In phonology: local phonotactics (Heinz 2018)
- In syntax: lexical selection (Graf 2018)

This talk: functional hierarchies and adjunct ordering are also SL.

 $\rightarrow$  Their existence is unsurprising from a computational perspective.

Together, these patterns exhaust the logically possible SL patterns.

- Functional hierarchies: linear paths, optionality
- Adjunct ordering: linear paths, iteration
- Lexical selection: branching and looping paths

I will illustrate this using the **finite-state automaton (FSA)** representations of the SL grammars.

**Proposal:** SL computations are the basis for linguistic structure building across domains.

- 1. Introduction to SL
  - Examples from phonology
- 2. SL in syntax intuitions
  - Lexical selection
  - Functional hierarchies
  - Adjunct ordering
- 3. SL in syntax technical implementation
  - C-strings
  - Spines
- 4. SL as a structure-building operation



**Defining characteristic:** a string is well-formed iff all of its substrings of some fixed length are well-formed.

- *G* = set of well-formed substrings
- *k* = the length of the substrings
- **SL-k** SL for substrings of length *k*

#### Example: CV Alternation (SL-2)

C stands for any consonant, V stands for any vowel, \$ stands for beginning/end of string.

#### Example: Japanese phonotactics (SL-2)

Syllable template: (C) (j) V (N)

Example words: aoi, kotowaza, sjunkan

$$G = \left\{ \begin{array}{cccc} \$C & VC & NC \\ \$j & Cj & Vj & Nj \\ \$V & CV & jV & VV & NV \\ & & VN & \\ & & V\$ & N\$ \end{array} \right\}$$

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We can visualize an SL grammar using a finite-state automaton (FSA).



SL is a subclass of the languages expressible by FSAs.

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# SL in Syntax



Plan of attack:

- 1. Functional hierarchies (SL-2)
- 2. Adjunct ordering (SL-2)
- 3. Lexical selection (SL-3)

Example: English clausal hierarchy

T < (Neg) < (Perf) < (Prog) < (Pass) < v

	Т	Neg	Perf	Prog	Pass	v <b>+V</b>	
John	will					eat	ice cream.
John	will		have			eaten	ice cream.
John	will			be		eating	ice cream.
John	will		have	been		eating	ice cream.
The ice cream	will	not	have	been	being	eaten.	

Functional hierarchies are awkward to express using selection.

- T may select Neg/Perf/Prog/Pass/lv
- Neg may select Perf/Prog/Pass/lv

• ...

Another (unsatisfying) alternative: stipulate that every projection is always (vacuously) present.

Both of these analyses fail to capture the intuition behind the pattern: the identity of one element completely determines what may come next.

A functional hierarchy simply an SL-2 pattern.

Grammar for English clausal hierarchy

$$G = \begin{cases} T \text{ Neg} \\ T \text{ Perf} & \text{Neg Perf} \\ T \text{ Prog} & \text{Neg Prog} & \text{Perf Prog} \\ T \text{ Pass} & \text{Neg Pass} & \text{Perf Pass} & \text{Prog Pass} \\ T \text{ Iv} & \text{Neg Iv} & \text{Perf Iv} & \text{Prog Iv} & \text{Pass Iv} \end{cases}$$

### **Functional Hierarchies (4)**

#### FSA for English Clausal Hierarchy



Adjectives and adverbs often have a preferred order, though it is difficult to say exactly what this order is.

- ✓ cute little spotted puppy
- ? little cute spotted puppy
- ? cute spotted little puppy
- ?? little spotted cute puppy

Items in the same group can be iterated.

✓ *cute cute cute little spotted puppy* 

Some descriptions of adjective ordering:

- opinion < size < physical quality < shape < age ... (Cambridge Dictionary)
- size < length < height < speed < depth < width ... (Scott 2002)
- more subjective < less subjective (Scontras et al. 2017)

In mathematical terms, all of these are **preorders** (Larson 2021).

- $\rightarrow$  They can be encoded with an SL-2 grammar.
- We could do this with a functional hierarchy (Cinque 1999, et seq.).
- Or we can do it directly.

A preorder is a relation that is reflexive and transitive.
# Adjunct Ordering (3)

#### FSA schematic for adjunct ordering



Syntactic representations are trees, not strings.

Two possible approaches:

- Define a set of treelets that combine to form larger trees (Rogers 1997)
- Extract string paths from the tree, and define an SL grammar for those strings (Graf and Shafiei 2019)

I will take the latter approach.

## **Dependency Trees**



Every element of the tree is a lexical item. The rightmost daughter of a node is its complement; other daughters are specifiers. See Graf and Kostyszyn (2021) and references therein.

# Dependency Trees



Every element of the tree is a lexical item. The rightmost daughter of a node is its complement; other daughters are specifiers. See Graf and Kostyszyn (2021) and references therein.

 $F^-$  = category feature  $F^+$  = selector feature



Note: the feature system is based on Minimalist Grammars (Stabler 1997).

We will extract a string path from the tree in which selectors and selectees appear close to each other.



This string is called a command string (c-string). Details to come shortly.

#### What the SL grammar looks like

### Lexical Selection (3)

#### **FSA for Lexical Selection**



Lexical selection, functional hierarchies, and adjunct ordering are all SL.

It is not necessary to literally treat a functional hierarchy as selection, or adjunct ordering as a functional hierarchy.

At the same time, all three are instances of the same kind of abstract pattern.

# The Technical Details



## C-Strings

The **command string (c-string)** of a node is a path from the root which visits the node's c-commanders along the way on the way.

**Example:** c-strings for *cat* and *mat* 



# C-Strings (2)

In the dependency tree, the c-string of a node includes:

- all of its ancestors
- and the left siblings of its ancestors

The order is a blend of c-command and m-command.

- Heads precede specifiers (m-command)
- Specifiers precede complements (c-command)

This is a natural **derivational order** w.r.t. feature checking.

• The complement is the first to have all of its features checked, followed by the specifier, and then the head.

See Graf and Shafiei (2019) for details.

Which c-strings do we use?

Those that trace the complement spine of the tree, or of a subtree.



A computational device called a **sensing tree automaton** can enforce a c-string grammars for every spine in the tree (Graf and De Santo 2019).

## SL as Structure Building Computation

## Structure Building with SL

The same grammar that can recognize whether a structure is well-formed can also generate structures that conform to the grammar.



 $\rightarrow$  SL can be thought of as the basis of linguistic structure building.

# \$ (s

 $\rightarrow$  SL can be thought of as the basis of linguistic structure building.

# \$ s j

 $\rightarrow$  SL can be thought of as the basis of linguistic structure building.

\$ s j u

 $\rightarrow$  SL can be thought of as the basis of linguistic structure building.

\$ s j u n

 $\rightarrow$  SL can be thought of as the basis of linguistic structure building.

### \$ s j u n k

- $\rightarrow$  SL can be thought of as the basis of linguistic structure building.
- \$sjunkan\$

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v











Some characteristics of the model:

- It is a graph-theoretic model
- Unlike set-theoretic Merge (Chomsky 1995) but reminiscent of Chomsky's earlier work (Chomsky 1956; Chomsky 1959)
- It has a natural cognitive interpretation (Lambert et al. 2021)

Functional hierarchies and adjunct hierarchies are unsurprising from a computational perspective. They are just further examples of SL patterns.

- They are extremely similar to lexical selection, and to the patterns we see in local phonotactics.
- C-strings allow us to decompose syntactic patterns in a way that makes them easier to analyze.
- Finite state automata allow us to visualize complex SL languages in an intuitive manner.

SL computations are a promising candidate for the basis of linguistic structure building.

• The same grammar that recognizes a string or tree also contains the information needed to build the structure.

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#### Extras

#### Dependency Tree Comparison



# Putting Everything Together

We must have been watching the cute little spotted puppy.



Most long-distance dependencies are tier-based strictly local (TSL), a generalization of SL in which non-salient items are ignored (Heinz 2018; Graf 2022a).

	Local (SL)	Long-Distance (TSL)
Phonology	Local Phonotactics (Heinz 2018)	Harmony/Disharmony (Heinz 2018)
Syntax	Category Selection (Graf 2018) Functional Hierarchies Adjunct Ordering	Movement (Graf 2022b) Case (Vu et al. 2019; Hanson 2023) NPI Licensing (Graf and Shafiei 2019) Binding (Graf and Shafiei 2019) Phi-Agreement (Hanson, in prep.)

Strictly local languages are extremely restricted in expressive power. They lie at the very bottom of the hierarchy of formal languages (McNaughton and Papert 1971).

- 1. The patterns they can encode are extremely restricted.
- 2. They are efficient to process.
- 3. They are easy to learn, though you need to guess the window size *k*.

- 1. The patterns that SL languages encode are extremely restricted.
  - No relationship between symbols at arbitrary distance
  - No boolean conditions: e.g. you can have ABC and XYZ, but not both
  - No counting of substrings: e.g. you can have ABC only up to three times

- 2. SL languages are efficient to process.
  - The size of the grammar is at most  $|\Sigma|^k$ , where  $\Sigma$  is the set of symbols.
  - Testing or generating a string takes linear time, e.g. when implemented as a finite state machine.

- 3. SL languages are easy to learn.
  - Just keep track of all attested substrings of size *k*.
    - $\rightarrow$  string extension learning (Garcia et al. 1990; Heinz 2010)
  - The required computations are cognitively plausible (Lambert et al. 2021).
  - The time to process the input data is linear.
  - Very little data is needed (compared to more expressive classes).

## The Chomsky Hierarchy



# The Subregular Hierarchy



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