

Chapter 15

Island phenomena and related matters

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Extraction constraints on long-distance dependencies – so-called *islands* – have been the subject of intense linguistic and psycholinguistic research for the last half century. Despite of their importance in syntactic theory, the heterogeneity of island constraints has posed many difficult challenges to linguistic theories, not just HPSG. Island phenomena are unlikely to be due to a unitary syntactic constraint given the fact that virtually all such island constraints have known exceptions. Rather, it is more likely that island constraints result from a combination of independently motivated syntactic, semantic, pragmatic and processing phenomena. The present chapter is somewhat different from others in this volume in that its focus is not on HPSG analyses of some phenomena, but rather on the nature of the phenomena itself. This is because there is evidence that most of the phenomena are not purely grammatical, and to that extent independent from HPSG or indeed any theory of grammar. One may call this view of island phenomena ‘minimalist’ in the sense that much of it does not involve formal grammar.

1 Introduction

This chapter provides an overview of various island effects that have received attention from members of the HPSG community. I begin with the extraction constraints peculiar to coordinate structures, which not only have a special status in the history of HPSG but also because they illustrate well the non-unitary nature of island constraints. I then argue that, at a deeper level, some of these constraints are in fact present in many other island types, though not necessarily all. For example, I take it as relatively clear that *factive islands* are purely pragmatic in nature (Oshima 2007), as are *negative islands* (Kroch 1989; Szabolcsi & Zwarts 1993; Abrusán 2011; Fox & Hackl 2006; Abrusán & Spector 2011), although



one can quibble about the particular technical details of how such accounts are best articulated. Similarly, the *NP Constraint* in the sense of Horn (1972) is likely to be semantic-pragmatic in nature (Kuno 1987; Godard 1992; Davies & Dubinsky 2009). Conversely, I take it as relatively uncontroversial that the *Clause Non-Final Incomplete Constituent Constraint* is due to processing difficulty (Hukari & Levine 1991; Fodor 1992). In the present chapter I focus on islands that have garnered more attention from members of the HPSG community, and that have caused more controversy cross-theoretically.

2 Background

As already detailed in Borsley & Crysman (2018), Chapter 13 of this volume, HPSG encodes filler-gap dependencies in terms of a set-valued feature *SLASH*. Because the theory consists of a feature-based declarative system of constraints, virtually all that goes on in the grammar involves constraints stating which value a given feature takes. By allowing *SLASH* sets to be unioned, it follows that constructions in which multiple gaps are linked to the same filler are trivially obtained, as in (1).

- (1) a. Which celebrity did [the article insult _ more than it praised _]?
- b. Which celebrity did you expect [[the pictures of _] to bother _ the most]?
- c. Which celebrity did you [inform _ [that the police was coming to arrest _]]?
- d. Which celebrity did you [compare [the memoir of _] [with a movie about _]]?
- e. Which celebrity did you [hire _ [without auditioning _ first]]?
- f. Which celebrity did you [meet _ at a party] and [dated _ for a few months]]?

But another advantage of encoding the presence of filler-gap dependencies as a feature is that certain lexical items and constructions can easily impose idiosyncratic constraints on *SLASH* values. For example, to account for languages that do not allow preposition stranding, it suffices to state that prepositions are necessarily specified as [*SLASH* {}]. Thus, their complements cannot appear in *SLASH* instead of *COMPS*. The converse also occurs. Certain uses of the verb *assure*, for example, are lexically required to have on complement in *SLASH* rather than in *COMPS*. Thus, extraction is obligatory as (2) shows.

- (2) a. * I can assure you him to be the most competent.
 b. Who_i can you assure me __i to be the most competent?
 (Kayne 1980).

As we shall see, it would be rather trivial to impose the classic island constraints in the standard syntactic environments in which they arise.¹ The problem is that island effects are riddled with exceptions which defy purely syntactic accounts of the phenomena.

3 The Coordinate Structure Constraint

Ross (1967) first observed that coordinate structures impose various constraints on long-distance dependencies, shown in (3), collectively dubbed the *Coordinate Structure Constraint*. For perspicuity, I follow Grosu (1973a) in referring to (i) as the *Conjunct Constraint* and to (ii) as the *Element Constraint*.

- (3) COORDINATE STRUCTURE CONSTRAINT (CSC):
 In a coordinate structure, (i) no conjunct may be moved, (ii) nor may any element contained in a conjunct be moved out of that conjunct ...unless each conjunct properly contains a gap paired with the same filler.

The *Conjunct Constraint* (CC) is illustrated by the unacceptability of the extractions in (4). No such constraint is active in other constructions like those in (5) and (6), for example.

- (4) a. * Which celebrity did you see [Priscilla and _]?
 (cf. with 'Did you see Priscilla and Elvis?')
 b. * Which celebrity did you see [_ and Priscilla]?
 (cf. with 'Did you see Elvis and Priscilla?')
 c. * Which celebrity did you see [_ or/and a picture of _]?
 (cf. with 'Did you see Elvis or/and a picture of Elvis?')
- (5) a. Which celebrity did you see Priscilla with _?
 (cf. with 'Did you see Priscilla with Elvis?')
 b. Which celebrity did you see _ with Elvis?
 (cf. with 'Did you see Priscilla with Elvis?')

¹In such a view, island effects could perhaps result from gramaticized constraints, induced by parsing and performance considerations; see Pritchett (1991), Fodor (1978), and Fodor (1983a) for example.

- (6) a. Which celebrity is Kim as tall as _?
- b. Which celebrity you say Robin arrived earlier than _?

HPSG accounts of extraction that assume the existence of traces (Pollard & Sag 1994; Levine & Hukari 2006) the CC must be stipulated at the level of the coordination construction, by stating that conjuncts cannot be empty elements.² On the other hand, the CC follows immediately in a traceless account of filler-gap dependencies (Sag & Fodor 1994; Bouma et al. 2001; Ginzburg & Sag 2000; Sag 2010) since there is simply nothing to conjoin in (4), and thus nothing else needs to be said about conjunct extraction; see Sag (2000) for more criticism of traces.

HPSG's traceless account of the CC is semantic in nature, in a sense. Coordinators like *and*, *or*, *but* and so on are not regarded as heads that select arguments, and therefore have empty ARG-ST and valence specifications. And given that HPSG assumes that the signs that can appear in a given lexical head SLASH values are valents, then it follows that the signs that coordinators combine with cannot instead be registered in the coordinator's SLASH feature. Hence, words like *and* have no valents, no arguments and therefore no conjunct extraction. Incidentally, adnominal adjectives cannot be extracted either, for exactly the same reason, as they are not selected by any head, and therefore are not listed in any ARG-ST list. However, in order to allow certain adverbials to be extractable, Ginzburg & Sag (2000) assume that they are members of ARG-ST. See Levine & Hukari (2006) for more on adverbial extraction, and see Borsley & Crysmann (2018), Chapter 13 of this volume for further discussion.³

Let us now turn to the *Element Constraint*, illustrated in (7). As before, the constraint appears to be restricted to coordination structures, as no oddness arises in the comitative counterparts like (8), or in comparatives like (9).⁴

²See however *Syntactic Analysis: An HPSG-based Approach* (n.d.: 317–318) for the claim that each conjunct must contain at least one stressed syllable. Given that traces are phonologically silent, noting is there to bear stress and the CC is obtained. This raises the question of why no such stress constraint exists in P-stranding, for example, or indeed in any kind of extraction.

³The empirical facts are less clear when it comes to adnominal PPs, however. Even PPs that are usually regarded as modifiers can sometimes extract, as in *From which shelf am I not supposed to read any books?* In many such extractions the PP can alternatively be parsed as VP modifier, which complicates judgements.

⁴Although Winter (2001: 83) and others claim that coordination imposes semantic scope islands, Chaves (2007: 3.6) shows that this is not the case, as illustrated in examples like those below.

- (i) a. The White House is very careful about this. An official representative [[will personally read each document] and [reply to every letter]].
(\forall doc-letter $>$ \exists representative / \exists representative $>$ \forall doc-letter)
- b. We had to do this ourselves. By the end of the year, some student [[had

- (7) a. * Which celebrity did you see [Priscilla and a picture of _]?
(cf. with ‘Did you see Priscilla and a picture of Elvis?’)
- b. * Which celebrity did you see [a picture of _ and Priscilla]?
(cf. with ‘Did you see a picture of Elvis and Priscilla?’)
- (8) a. Which celebrity did you see [the brother of _ with Priscilla]?
b. Which celebrity did you see [Priscilla with the brother of _]?
- (9) a. Which celebrity did [[you enjoy the memoir of _ more] than [any other non-fiction book]]?
b. Which celebrity did you say that [[the sooner we take a picture of _], [the quicker we can go home]]?

The ATB exception to the CSC is illustrated by the acceptability of (10), where each conjunct hosts a gap, linked to the same filler. As already noted above in (1), the fact that multiple gaps can be linked to the same filler is not unique to coordination.

- (10) a. Which celebrity did you read [[the memoir of _] and [the novel about _]]?
- b. Which celebrity did you [[research the life of _] and [write a book about _]]?
- c. Which celebrity did you say [[Robin hugged _] and [Sam kissed _]]?

Gazdar (1981) and Gazdar et al. (1985) assumed that the coordination rule requires SLASH values to be structure-shared across conjuncts and the mother node, thus predicting both the Element Constraint and the ATB exceptions. The failure of movement-based grammar to predict multiple gap extraction facts was also seen as a major empirical advantage of GPSG/HPSG. A similar constraint is assumed in Pollard & Sag (1994: 202) Beavers & Sag (2004: 60), among many others, as illustrated in (11). See Abeillé & Chaves (2018), Chapter 16 of this volume for more discussion about coordination.

proof-read every document] and [corrected each theorem]].
($\forall \text{ doc-theorem} > \exists \text{ student} / \exists \text{ student} > \forall \text{ doc-theorem}$)

- c. Your task is be to document the social interaction between [[each female] and [an adult male]].
($\forall \text{ female} > \exists \text{ adult male} / \exists \text{ adult male} > \forall \text{ female}$)

(11) COORDINATION CONSTRUCTION (abbreviated)

$$coordinate-phr \rightarrow \left[\begin{array}{l} \text{SYNSEM} \mid \text{NONLOCAL} \mid \text{SLASH } \boxed{1} \\ \text{DTRS} \left\langle \begin{array}{l} \text{SYNSEM} \mid \text{NONLOCAL} \mid \text{SLASH } \boxed{1} \\ \text{SYNSEM} \mid \text{NONLOCAL} \mid \text{SLASH } \boxed{1} \end{array} \right\rangle \end{array} \right]$$

Because the SLASH value $\boxed{1}$ is structure-shared between the mother and the daughters in (11), then all three nodes must bear the same SLASH value. This predicts the CSC and the ATB exceptions straightforwardly. The failure of mainstream Chomskyan grammar to predict these and related multiple gap extraction facts in a precise way is regarded as one of the major empirical advantages of HPSG over movement-based accounts.

However, the facts about extraction in coordination structures are more complex than originally assumed, and than (11) allows for. A crucial difference between the Conjunct Constraint and the Element Constraint is that the latter is only in effect if the coordination has a symmetric interpretation (Ross 1967; Goldsmith 1985; Lakoff 1986; Levin & Prince 1986), as in (12).⁵

- (12) a. Here's the whiskey which I [[went to the store] and [bought _]].
 b. Who did Lizzie Borden [[take an ax] and [whack _ to death]]?
 c. How much can you [[drink _] and [still stay sober]]?

To be sure, the coordinate status of (12) has been questioned since Ross (1967). After all, if these are subordinate structures rather than coordinate structures then the possibility for non-ATB long-distance dependencies ceases to be exceptional. But as Schmerling (1972), Lakoff (1986), Levine (2001) and Kehler (2002: cf.) point out, there is no empirical reason to assume that (12) are anything other than coordination structures.

Another reason to reject the idea that the SLASH values of the daughters and the mother node are simply equated in ATB extraction is the fact that sometimes multiple gaps are 'cumulatively' combined into a 'pluralic gap'.⁶ As an example, consider the extractions in (13). There are two possible interpretations for such extractions: one in the *ex situ* signs (i.e. the gap signs) and the filler phrase are co-indexed, and therefore co-referential, and a second reading in which the two

⁵In symmetric coordination the order of the conjunct has a reflection on the interpretation. Thus, *Robin jumped on a horse and rode into the sunset* does not mean the same as *Robin rode into the sunset and jumped on a horse*. Conversely, in asymmetric coordination the order of the conjuncts has no interpretational differences, as illustrated by the paraphrases *Robin drank a beer and Sue ate a burger* and *Sue ate a burger and Robin drank a beer*.

⁶See for example Munn (1998; 1999), Postal (1998: 136,160), Kehler (2002: 125), Gawron & Kehler (2003), Zhang (2007), Chaves (2012a), and Vicente (2016).

ex situ signs are not co-indexed even though they are linked to the same filler phrase. Rather, the filler phrase refers to a plural referent composed by the referents of the *ex situ* signs, as indicated by the subscripts in (13). For different speakers, the preferred reading is the former, and in other cases, the latter, often depending on the example.

- (13) a. [What]_{i,j} did Kim eat _i and drink _j at the party?
(answer: 'Kim ate pizza and drank beer')
- b. [Which city]_{i,j} did Jack travel to _i and Sally decide to live in _j?
(answer: 'Jack traveled to London and Sally decided to live in Rome')
- c. [Who]_{i,j} did the pictures of _i impress _j the most?
(answer: 'Robin's pictures impressed Sam the most')
- d. [Who]_{i,j} did the rivals of _i shoot _j?
(answer: 'Robin's rivals shot Sam')
- e. [Who]_{i,j} did you send nude photos of _i to _j?
(answer: 'I sent photos of Sam to Robin')

In conclusion, the non-ATB exceptions in (12) suggest that the coordination rule should not constrain SLASH at all, as argued for in Chaves (2003). Rather, the Element Constraint, its ATB exceptions in (10a,b), and the asymmetric non-ATB exceptions in (12) are more likely to be the consequence of an independent semantic-pragmatic constraint that requires the filler phrase to be 'topical' relative to the clause (Lakoff 1986; Kuno 1987; Kehler 2002; Kubota & Lee 2015). Thus, if the coordination is symmetric, then the topicality requirement distributes over each conjunct, to require that the filler phrase be topical in each conjunct. Consequently, extraction must be ATB in symmetric coordination. No distribution is needed to take place in asymmetric coordination, and thus both ATB and non-ATB extraction is licit in asymmetric coordination. For an attempt to transfer some of Kuno's and Kehler's insights into HPSG see Chaves (2003). In the latter proposal, the coordination rule is like most other rules in the grammar in that it says nothing about the SLASH values of the mother and the daughters, along the lines of Levine & Hukari (2006: 354). In other words, the constraints on SLASH in (11) are unnecessary. Rather, pragmatics is the driving force behind how long-distance dependencies propagate one or more conjuncts, depending on the coordination being interpreted symmetrically or not. See Abeillé & Chaves (2018), Chapter 16 of this volume for more discussion.

In sum, the CSC does not receive a unitary account in modern HPSG, as the Conjunct Constraint and the Element Constraint are due to very different factors.

Whereas the former does not admit ATB extraction, and is predicted by a traceless analysis, the latter allows ATB extraction as seen by the contrast between (4c) and (10a,b). Upon closer inspection, the Element Constraint and the ATB exceptions are semantic-pragmatic in nature. As we shall see, a similar conclusion is plausible for various other island phenomena.

4 Complex NP Constraint

The Complex NP Constraint concerns the difficulty in extracting out of complex NPs formed with either relative clauses (14) or complement phrases (15).

- (14) a. * [What]_i does Robin know [someone who has __i]?
 (cf. with ‘Does Robin know someone who has a drum kit?’)
 b. * [Which language]_i did they hire [someone [who speaks __i]]?
 (cf. with ‘Did they hire someone who speaks Arabic?’)
- (15) a. * [Which book]_i do you believe the claim [that Robin plagiarized __i]?
 (cf. with ‘Do you believe the claim that Robin plagiarized *this book*?’)
 b. * What_i did you believe [the rumor [that Ed disclosed __i]]?
 (cf. with ‘Did you believe [the rumor [that Ed disclosed *that*]]?’)

It is tempting to prevent extractions out of adnominal clauses by simply stipulating that the SLASH value of the modifier must be empty, as (4) illustrates. Perhaps, along the lines of Fodor (1978; 1983b), Berwick & Weinberg (1984), and Hawkins (1999; 2004), processing difficulties lead to the grammaticization of such a constraint, effectively blocking any modified head from hosting any gaps.

- (16) HEAD-MODIFIER CONSTRUCTION (abbreviated)

$$head-mod-phr \rightarrow \left[\begin{array}{c} \text{HEAD-DTR } \boxed{1} \\ \text{DTRS} \left\langle \boxed{1}, \left[\text{SYNSEM} \left[\begin{array}{c} \text{LOC} \mid \text{MOD } \boxed{1} \\ \text{NONLOC} \mid \text{SLASH } \{\} \end{array} \right] \right] \right\rangle \right]$$

However, the robustness of the CNPC has been challenged by various counterexamples over the years (Ross 1967; Pollard & Sag 1994; Kluender 1998; Postal 1998; Sag et al. 2007). The sample in (17) involves acceptable extractions from NP-embedded complement CPs (some of which definite), and (18) involves acceptable extractions from NP-embedded relative clauses.⁷

⁷Counterexamples to the CNPC can be found in a number of languages, including Japanese and

- (17) a. The money which I am making [the claim [that the company squandered _]] amounts to \$400,000.
(Pollard & Sag 1994: 206, 207)
- b. Which rebel leader did you hear [rumors [that the CIA assassinated _]]?
- c. Which company did Simon spread [the rumor [that he had started _]]?
- d. What did your get [the impression [that the problem really was _]]?
(Kluender 1998)
- (18) a. This is the kind of weather_i that there are [many people [who like _i]].
(Erteschik-Shir & Lappin 1979)
- b. Violence is something_i that there are [many Americans [who condone _i]].
(McCawley 1981: 108)
- c. There were several old rock songs_i that she and I were [the only two [who knew _i]].
(Chung & McCloskey 1983)
- d. This is the chapter_i that we really need to find [someone [who understands _i]].
(Kluender 1992: 238)
- e. Which diamond ring did you say there was [nobody in the world [who could buy _i]]?
(Pollard & Sag 1994: 206)
- f. John is the sort of guy that I don't know [a lot of people [who think well of _i]].
(Culicover 1999: 230)

In the above counterexamples the relative clauses contribute to the main assertion of the utterance, rather than expressing background information. For example, (18a) asserts 'There are many people who like this kind of weather' rather than 'This the kind of weather', and so on. Some authors have argued that it is

Korean (Kuno 1973; Nishigauchi 1999), Ahan (Saah & Goodluck 1995), Danish (Erteschik-Shir 1973: ch.2), Swedish (Allwood 1976; Engdahl 1982) Norwegian Engdahl 1980 (Taraldsen 1982) and Romance languages (Cinque 2010). In some languages that support verb constructions the CNPC is not active, which goes with the analysis as complex predicates (REFS).

precisely because such relatives express new information that the extraction can escape the embedded clause (Erteschik-Shir & Lappin 1979; Kuno 1987; Deane 1992; Goldberg 2013). If this is correct, then the proper account of CNPC effects is not unlike that of the CSC. In both cases, the information structural status of the clause that contains the gap is crucial to the acceptability of the overall long-distance dependencies.⁸

In addition to pragmatic constraints, Kluender (1992; 1998) also proposed that processing factors also influence the acceptability of CNPC violations. Consider for example the acceptability hierarchy in (19), more specific filler phrases increase acceptability whereas the presence of more specific phrases between the filler and the gap seem to cause increased processing difficulty, and therefore lower the acceptability of the sentence. The symbol ‘<’ reads as ‘is less acceptable than’.

- (19) a. What do you need to find the expert who can translate _? <
 b. What do you need to find an expert who can translate _? <
 c. What do you need to find someone who can translate _? <
 d. Which document do you need to find an expert who can translate _?

There is on-line sentence processing evidence that CNPC violations with more informative fillers are more acceptable and are processed faster at the gap site than violations with less informative fillers (Hofmeister & Sag 2010), as in (20).

- (20) a. ? Who did you say that nobody in the world could ever depose _?
 b. Which military dictator did you say that nobody in the world could ever depose _?

The same difference in reading times is found in sentences without extraction, in fact. Thus, (21b) was found to be read faster at *encouraged* than (21a).

⁸Although it is sometimes claimed that such island effects are also active in logical form and semantic scope (May 1985; Ruys 1993; Fox 2000; Sabbagh 2007; Bachrach & Katzir 2008), there much reason to be skeptical. For example, the universally quantified noun phrase in (i) is embedded in a relative clause can have wide scope over the indefinite *someone*, constituting a semantic CNPC violation. Note that these relatives are not presentational, and therefore are not specially permeable to extraction.

- (i) a. We were able to find someone who was an expert on each of the castles we planned to visit. (Copestake et al. 2005: 304)
 b. John was able to find someone who is willing to learn every language that we intend to study. (Chaves 2014)

- (21) a. The diplomat contacted the dictator who the activist looking for more contributions encouraged to preserve natural habitats and resources.
 b. The diplomat contacted the ruthless military dictator who the activist looking for more contributions encouraged to preserve natural habitats and resources.

Finally, given that finite tensed verbs can be regarded as definite, and infinitival verbs as indefinite, following Partee (1984), and given that finiteness can create processing difficulty (Kluender 1992; Gibson 2000), then acceptability clines like (22) are to be expected. See Levine & Hukari (2006: ch.5) and *Syntactic Analysis: An HPSG-based Approach* (n.d.: 308) for more discussion.

- (22) a. Who did you wonder what Mary said to _? <
 b. Who did you wonder what to say to _? <
 c. Which of the people at the party did you wonder what to say to _?

The amelioration caused by definite *wh*-phrases as in (19d), (20b) and (22c) has been called a ‘D-Linking’ effect (Pesetsky 1987; 2000), which purportedly arises if the set of possible answers is pre-established or otherwise salient. But there are several problems with the D-Linking story. First, there is currently no non-circular definition of D-Linking; see Pesetsky (2000: 16), Ginzburg & Sag (2000: 247–250), Chung (1994: 33, 39), Levine & Hukari (2006: 242, 268–271). Second, the counterexamples above are given out-of-the-blue, and therefore cannot evoke any preexisting set of referents, as D-Linking requires. Furthermore, nothing should prevent D-Linking with a bare *wh*-item, as Pesetsky himself acknowledges, but on the other hand there is no experimental evidence that context can lead to D-linking of a bare *wh*-phrase (Sprouse 2007; Villata et al. 2016).⁹

Kluender & Kutas (1993), Sag et al. (2007), Hofmeister (2007b), Hofmeister (2007a) and Hofmeister & Sag (2010) argue that more definite *wh*-phrases improve the acceptability of extractions because they resist memory decay better than indefinites, and are compatible with fewer potential gap sites. In addition, Kroch (1989) and Levine & Hukari (2006: 270) point out that D-Linking amelioration effects may simply result from the plausibility of background assumptions associated with the proposition.

Sprouse et al. (2012a) use *n*-back and serial recall tasks to argue that there is no evidence that working memory limitations correlate with island acceptability, and therefore that the ‘processing-based’ account of islands put forth by Kluender (1992; 1998), Kluender & Kutas (1993), (Hofmeister & Sag 2010) and others is

⁹For more detailed criticism of D-Linking see Hofmeister et al. (2007).

unfounded. To be sure, it cannot be stressed enough that the accounts in Klender (1992) and (Hofmeister & Sag 2010) are not strictly based on performance, and involve other factors as well, most notably plausibility and pragmatic factors. See in particular Hofmeister et al. (2013: 49), where it is argued that at least some extraction constraints may be due to a combination of syntactic, semantic, pragmatic, and performance factors. Basically, if the correct location of a gap is syntactically, semantically, or pragmatically highly unlikely in that particular utterance, then it is less likely for the sentence to be acceptable. Indeed, there is independent experimental evidence that speakers attend to probabilistic information about the syntactic distribution of filler-gap dependencies (van Schijndel et al. 2014), and that gap predictability is crucial for on-line processing of islands (Michel 2014).¹⁰ But as Sprouse et al. (2012b) point out, there is no reason to believe that *n*-back and serial recall tasks are strongly correlated to working memory capacity to begin with. Second, one of the main points of (Hofmeister & Sag 2010) is that the literature on experimental island research has not systematically controlled for multiple factors that can impact the processing and comprehension of complex sentences. If the experimental items are excessively complex, then readers are less likely to give up understanding the utterances and subtler effects will not be measurable. Phillips (2013b), however, regard such concerns as irrelevant.

Although it is unclear to what extent expectations contribute to island effects, in particular expectations sensitive to the semantics and pragmatics of the utterance, it is likely that they play a significant role in CNPC effects and in various other island types discussed below.

5 Right Roof Constraint

Rightward movement is traditionally regarded as being clause bounded, as per the the *Right Roof Constraint* (Ross 1967) effects illustrated in (23). In such constructions, a phrase appears *ex situ* in a position to the right of its *in situ* counterpart; see Akmajian (1975), Baltin (1978), and Stowell (1981), among others.

¹⁰More broadly, there is good evidence that speakers deploy probabilistic information when processing a variety of linguistic input, including words (Altmann & Kamide 1999; Arai & Keller 2013; Creel et al. 2008; DeLong et al. 2005; Kutas & Hillyard 1984), lexical categories (Gibson 2006; Levy & Keller 2013; Tabor et al. 1997), syntactic structures (Levy et al. 2012; Lau et al. 2006; Levy 2008; Staub & Clifton 2006), semantics (Altmann & Kamide 1999; Federmeier & Kutas 1999; Kamide et al. 2003), and pragmatics (Ni et al. 1996; Mak et al. 2008; Roland et al. 2012).

- (23) a. * I [met a man [who knows $_i$] yesterday] [all of your songs] $_i$.
 b. * [[That a review $_i$ came out yesterday] is catastrophic] [of this article] $_i$.
 c. * It was believed $_x$ that [there walked into the room] $_y$ [by everyone] $_x$ [a man with long blond hair] $_y$.
 (Rochemont 1992)

When treated as a form of extraction, rightward movement has been predominantly accounted for via a feature EXTRA(POSED) (Keller 1995; van Noord & Bouma 1996; Van Eynde 1996; Keller 1994; Müller 1999; Kim & Sag 2005), rather than by SLASH. Thus, RRC island effects in can be easily modeled by stipulating that the EXTRA value of an S node must be empty. One way to do so is to state that any S dependent (valent or adjunct) must be [EXTRA {}]. Thus, no extraposed element may escape its clause. However, the oddness of (23) may not be due any such syntactic stipulation, given the acceptability of counterexamples like (24). Note that the adverbial interveners in such examples do not require parenthetical prosody. Conversely, even strong parenthetical prosody on the adverbs in (23) fails to improve those data.

- (24) a. I've [been requesting [that you pay back $_$] [ever since May]] [the money I lent to you a year ago].
 (Kayne 2000: 251)
 b. I've [been wanting to [meet someone who KNOWS $_$] [ever since I was little]] [exactly what happened to Amelia Earhart].
 c. I've been wondering if it is possible $_$ [for many years now] [for anyone to memorize the Bible word for word].
 (Chaves 2014: 861)

The durative semantics of *I've been wanting/requesting/wondering* raises an expectation about the realization of a durative adverbial expression like *ever since* or *for many years* that provides information about the durative semantics of the main predicate. Hence, the adverb is cued by the main predication, in some sense, and coheres much better in a high attachment than with a lower one.

The fact that the RRC is prone to exceptions has been noted by multiple authors as the sample in (25) illustrates. In all such cases, a phrase is right-extracted from an embedded clause, which should be flat out impossible if extraposition is clause-bounded. Again, the adverbial interveners in (25) do not require any special prosody, which means that these data cannot be easily discarded as parenthetical insertions.

- (25) a. I have [wanted [to know _] for many years] [exactly what happened to Rosa Luxemburg].
(attributed to Witten (1972) in Postal (1974: 92n))
- b. I have [wanted [to meet _] for many years] [the man who spent so much money planning the assassination of Kennedy].
(attributed to Janet Fodor (p.c.) in Gazdar (1981: 177))
- c. Sue [kept [regretting _] for years] [that she had not turned him down].
(Van Eynde 1996)
- d. She has been [requesting that he [return _] [ever since last Tuesday]] [the book that John borrowed from her last year].
(Kayne 2000: 251)
- e. Mary [wanted [to go _] until yesterday] [to the public lecture].
(Howard Lasnik 2007 course handout¹¹)

Further evidence against a syntactic account of RRC comes from corpora (Müller 2004; 2007) and experimental findings (Strunk & Snider 2008; 2013), which confirm that extraposition does not always obey island constraints. The counterexamples in (26a–c) are adapted from Strunk & Snider (2008) and Strunk & Snider (2013), and those in (26d–f) are from Chaves (2014: 863).

- (26) a. [In [what noble capacity _]] can I serve him [that would glorify him and magnify his name]?
- b. We drafted [a list of basic demands _] last night [that have to be unconditionally met or we will go on strike].
- c. For example, we understand that Ariva buses have won [a number of contracts for routes in London _] recently, [which will not be run by low floor accessible buses].
- d. Robin bought [a copy of a book _] yesterday [about ancient Egyptian culture].
- e. I'm reading [a book written by a famous physicist _] right now, [who was involved in the Manhattan Project].
- f. I saw [your ad in a magazine _] yesterday [on the table at the dentist office].

Grosu (1973b), Gazdar (1981) and Stucky (1987) argued that the RRC is the result of performance factors such as syntactic and semantic parsing expectations

¹¹<http://ling.umd.edu/~lasnik/LING819%202007/Multiple%20Sluicing%20819%20.pdf>; Retr. 2009.

existence of this local ambiguity likely disrupts parsing, especially as it occurs in a portion of the sentence that contains two gaps in close succession. Indeed, constructions with two independent gaps in close proximity are licit, but not trivial to process, as seen in (29), specially if the extraction paths cross (Fodor 1978), as in (29b).

- (29) a. * This is a problem which_i John_j is difficult to talk to _j about _i.
 b. * Who_j can't you remember which papers_i you sent copies of _i to _j?

A similar analysis is offered by Hofmeister et al. (2015: 477), who note that constructions like (28c) must cause increased processing effort since the point of retrieval and integration coincides with the point of reanalysis. The existence of a preferential alternative parse that is locally licit but globally illicit can in turn lead to a 'digging-in' effect (Ferreira & Henderson 1991; 1993; Tabor & Hutchins 2004), in which the more committed the parser becomes to a syntactic parse, the harder it is to backtrack and reanalyze the input. The net effect of these factors is that the correct parse of (28c) is less probable and therefore harder to identify than that of (28b), which suffers from none of these problems, and is regarded to be more acceptable than (28c) by Fodor (1978: 453) and others. See Chaves (2018) for experimental evidence that speakers can adapt and to some extent overcome some of these parsing biases.

Finally, prosodic and pragmatic factors are likely also at play in (28), as in the RRC. Huck & Na (1990) show that when an unstressed stranded preposition is separated from its selecting head by another phrase, oddness ensues for prosodic reasons. Finally, Huck & Na (1990) and Bolinger (1992) also argue that freezing effects are also in part due to a pragmatic conflict created by extraposition and extraction: *wh*-movement has extracted a phrase leftward, focusing interest on that expression, while at the same time extraposition has moved a constituent rightward, focusing interest on that constituent as well. Objects tend to be extraposed when they are discourse new, and even more so when they are heavy (Wasow 2002: 71). Therefore, the theme phrase *a picture of John* in (28c) is strongly biased to be discourse new, but this clashes with the fact that an entirely different entity, the recipient, is leftward extracted, and therefore is the *de facto* new information that the open proposition is about. No such mismatch exists in (28a) or (28b), in contrast, where the extraposed theme is more directly linked to the entity targeted by leftward extraction.

6 Subject islands

Extraction out of subject phrases like (30) is broadly regarded to be impossible in several languages, including English Ross (1967); Chomsky (1973), an effect referred to as a *Subject Island* (SI). This constraint is much less severe in languages like Japanese, German, and Spanish, among others (Stepanov 2007; Jurka et al. 2011; Goodall 2011; Sprouse et al. 2015; Fukuda et al. 2018; Polinsky et al. 2013).

- (30) a. * Who did stories about terrify John?
(Chomsky 1977: 106)
- b. * Who was a picture of laying there?
(Kayne 1981: 114)
- c. * Who do you think pictures of would please John?
(Huang 1982: 497)
- d. * Who does the claim that Mary likes upset Bill?
(Lasnik & Saito 1992: 42)
- e. * Which candidate were posters of all over the town?
(Lasnik & Park 2003)

However, English exceptions were noticed early on, and have since accumulated in the literature. In fact, for Ross (1967), English extractions like (31a) are not illicit, and more recently Chomsky (2008: 147) has added more such counterexamples. Other authors noted that certain extractions from subject phrases are naturally attested, as in (31b,c). Indeed, Abeillé et al. (2018) shows that extractions like those in (31c) are in fact acceptable to native speakers.¹²

- (31) a. [Of which cars]_i were [the hoods __i] damaged by the explosion?
(Ross 1967: 4.252)
- b. They have eight children [of whom]_i [five __i] are still living at home.
(Huddleston et al. 2002: 1093)
- c. Already Agassiz had become interested in the rich stores of the extinct fishes of Europe, especially those of Glarus in Switzerland and of Monte Bolca near Verona, [of which]_i, at that time, [only a few __i] had been critically studied.
(Santorini 2007)

¹²For completeness, other authors argue that PP extractions from NP subjects are illicit, such as Lasnik & Park (2003: 653), among many others.

English exceptions to the SI constraint are not restricted to PP extractions, however. Although Ross (1967) claimed NP extractions from NP subjects like (32) are illicit, it was arguably premature to generalize from such a small sample.

- (32) a. The hoods of these cars were damaged by the explosion.
b. *Which cars were the hoods of damaged by the explosion?
(Ross 1967)

Indeed, a number of authors have noted that some NP extractions from subject NPs are either passable or fairly acceptable, as illustrated in (33). See also Pollard & Sag (1994: 195, ft.32), Postal (1998), Sauerland & Elbourne (2002: 304), Culicover (1999: 230), Levine & Hukari (2006: 265), Chaves (2012b: 470,471), and Chaves & Dery (2014).

- (33) a. [What]_i were [pictures of __i] seen around the globe?
(Kluender 1998: 268)
b. It's [the kind of policy statement]_i that [jokes about __i] are a dime a dozen.
(Levine et al. 2001: 204)
c. There are [certain topics]_i that [jokes about __i] are completely unacceptable.
(Levine & Sag 2003: 252, ft.6)
d. [Which car]_i did [some pictures of __i] cause a scandal?
(Jiménez-Fernández 2009: 111)
e. [What]_i did [the attempt to find __i] end in failure?
(Hofmeister & Sag 2010: 370)
f. [Which president]_i would [the impeachment of __i] cause outrage?
(Chaves 2012b)
g. I have a question_i that [the probability of you knowing the *answer to* __i] is zero.
(Chaves 2013)

Whereas SI violations involving subject NPs are not attested, those involving infinitival VP subjects like (34) are. See Chaves (2012b: 471) for more attestation examples.

- (34) a. The eight dancers and their caller, Laurie Schmidt, make up the Farmall Promenade of nearby Nemaha, a town_i that [[to describe __i as tiny] would be to overstate its size].
(Huddleston et al. 2002: 1094, ft.27)

- b. In his bedroom, [which]_i [to describe __i as small] would be a gross understatement, he has an audio studio setup.
- c. They amounted to near twenty thousand pounds, [which]_i [to pay __i] would have ruined me. (Benjamin Franklin, William Temple Franklin and William Duane. 1834. *Memoirs of Benjamin Franklin*, vol 1. p.58)

Incidentally, Subject phrases are not absolute extraposition islands either, as in (35), which are significantly more acceptable than *[*Pictures _*] *frighten people* [*of John*] (Drummond 2009).

- (35)
- a. [The circulation of a rumor __i] has started [that Obama will not seek re-election]_i.
 - b. [A copy of a new book __i] arrived yesterday [about ancient Egyptian culture]_i.
 - c. [Concerns about the deaths __i] were raised [of two diplomatic envoys recently abducted in Somalia]_i.

Consider now SI effects involving more complex subject phrases. Infinitival subject clauses seem to impose no SI constraint, an observation going back to Kuno & Takami (1993), but noted elsewhere a few times:

- (36)
- a. This is something [which]_i – for you to try to understand __i – would be futile.
(Kuno & Takami 1993: 49)
 - b. I just met Terry’s eager-beaver research assistant [who]_i – for us to talk to about __i any subject other than linguistics – would be absolutely pointless.
(Levine & Hukari 2006: 265)
 - c. There are [people in this world]_i that – for me to describe __i as despicable – would be an understatement.
(Chaves 2012b: 471).

Infinitival subjects contrast dramatically with finite clausal subjects in that the latter are renowned for being particularly hard to extract from, as in (37). Ross (1967) dubbed this extreme kind of SI the *Sentential Subject Constraint* (SSC). See also Chomsky (1973), Huang (1982), Chomsky (1986), Freidin (1992).¹³

¹³That said, Chaves (2013) reports that some native speakers find SSC violations like (i) to be

- (37) a. * [Who]_i did [that Maria Sharapova beat __i] surprise everyone?
(cf. with ‘That Maria Sharapova beat Serena Williams surprised everyone’)
- b. * [Who]_i did [that Robin married __i] surprise you?
(cf. with ‘Did that Robin married Sam surprise you?’)

There are few good functional reasons for why clausal SI violations are so strong. First, subject clauses are notorious for being particularly difficult to process, independent of extraction. For example, it is known that tense can induce greater processing costs (Kluender 1992; Gibson 2000). Second, clausal subjects are often stylistically marked and difficult to process, as (38a) illustrates. Thus, it is extremely hard to embed a clausal subject within another clausal subject, even though such constructions ought to be perfectly grammatical, like (38b,c).

- (38) a. That the food that John ordered tasted good pleased him.
(Cowper 1976; Gibson 1991)
- b. * That that Jill left bothered Sarah surprised Max.
(Kimball 1973)
- c. * That that the world is round is obvious is dubious.
(Kuno 1974)

Interestingly, clausal subjects become more acceptable if extraposed as shown in (39). The explanation offered by Fodor et al. (1974: 356–357) is that speakers tend to take the initial clause in the sentence to be the main clause. Thus, *that* is taken to be the subject, but the remainder of the structure does not fit this pattern. Thus, a sentence like (39a) causes increased processing load because it has a different structure than the parser expects. This processing problem does not arise in the counterpart in (39b).¹⁴

fairly acceptable, again raising some doubt about the robustness of English SI effects:

- (i) [Which actress]_i does [whether Tom Cruise marries __i] make any difference to you?

¹⁴See Gibson (2006) for online evidence that the word *that* is preferentially interpreted as a determiner even in syntactic contexts where it cannot be a determiner. The use of ‘determiner’ corresponds to the traditional term, referring to a certain category of prenominal constituent rather than to the whole nominal phrase including the noun and all its dependents. Gibson’s evidence suggests that both top-down (syntactic) expectations are independent from bottom-up (lexical) frequency-based expectations in sentence processing. Thus, clausal subject phrase starting with the complementizer *that* is likely to be misparsed as a matrix clause with sentence-initial pronominal or determiner *that*.

- (39) a. ? That [it is obvious that [the world is round]] is dubious.
b. It is dubious that [it is obvious that [the world is round]].
(Kuno 1974)

Indeed, Fodor & Garrett (1967), Bever (1970), Frazier & Rayner (1988) also show that extraposed clausal subject sentences like (40a) are easier to process than their in-situ counterparts like (40b). Not surprisingly, the former are much more frequent than the latter, which explains why the parser would expect the former more than the latter.

- (40) a. It surprised Max that Mary was happy.
b. That Mary was happy surprised Max.

Note that embedded conditionals like (6a) are also exceedingly difficult to parse, although perfectly syntactically well-formed. However, such structures can become more acceptable with fewer embeddings to strain working memory, and with judicious use of prosodic cues that indicate the relevant structure, as illustrated by the acceptability of (6b). This is evidence that the oddness of (6) is at least in part due to performance.

- (41) If – if every time it snowed there was no school – then there wouldn't be classes all winter.

If we add a filler-gap dependency to a sentence that already is complex by virtue of having a clausal subject, the resulting structure may be too difficult to parse. This point is illustrated by the contrast in (42).

- (42) a. ?* What does that he will come prove?
b. What does his coming prove?
(Lewis 1993)

As argued by Davies & Dubinsky (2009), the low acceptability of extraction in subject-auxiliary inversion sentences with clausal subjects is more likely to be the result of extragrammatical factors than of grammatical conditions. For example, not all extractions like (43b) are unacceptable, as Delahunty (1983: 382–387) and Davies & Dubinsky (2009: 115) point out.

- (43) a. That the food that John ordered tasted good pleased me.
b. * Who did that the food that John ordered tasted good please _ ?

The evidence discussed so far suggests that sentences involving extraction and clausal subjects are odd is at least in part due to the likely cumulative effect of various sources of processing complexity. Sentences with sentential subjects are unusual structures, which can mislead the parser into the wrong analysis. A breakdown in comprehension can occur because the parser must hold complex incomplete phrases in memory while processing the remainder of the sentence. The presence of a filler-gap dependency will likely only make the sentence harder to process. It is independently known that the more committed the parser becomes to a syntactic parse, the harder it is to reanalyze the string (Ferreira & Henderson 1991; 1993; Tabor & Hutchins 2004). This is usually referred to as a “digging-in” effect. For example, unless prosodic or contextual cues are employed to boost the activation of the correct parse, (6) will be preferentially misanalysed as having the structure [NP [V [NP]]].

(44) Fat people eat accumulates.

The garden-path effect that the digging-in causes in example (??) serves as an analogy for what may be happening in particularly difficult subject island violations. In both cases, the sentences have exactly one grammatical analysis, but that parse is preempted by a highly preferential alternative which ultimately cannot yield a complete analysis of the sentence. Thus, without prosodic cues indicating the extraction site, sentences like (45) induce a significant digging-in effect as well.

- (45) a. * Which problem will a solution to be found by you?
b. * Which disease will a cure for be found by you?

This also explains why SI violations like (46) are relatively acceptable: the processing cost of an NP-embedded causal is smaller than the processing cost incurred by processing a clausal subject.¹⁵ Clausal subjects are unusual structures, inconsistent with the parser expectations (Fodor et al. 1974), and the presence of filler-gap dependency in an NP-embedded clausal subject is less likely to cause difficulty for the parse to go awry than a filler-gap dependency in a clausal subject.¹⁶

¹⁵For claims that NP-embedded clausal SI violations are illicit see Lasnik & Saito (1992: 42), Phillips (2006: 796), and Phillips (2013a: 67).

¹⁶Clausen (2010; 2011) provide experimental evidence that complex subjects cause a measurable increase in processing load, with and without extraction. Moreover, it is known that elderly adults have far more difficulty repeating sentences with complex subjects than sen-

- (46) a. [Which puzzle]_i did the fact that nobody could solve __i astonish you the most?
- b. [Which crime]_i did the fact that nobody was accused of __i astonish you the most?
- c. [Which question]_i did the fact that none of us could answer __i surprise you the most?
- d. [Which joke]_i did the fact that nobody laughed at __i surprise you the most?

This complex array of effects suggests that the SI constraint is not due to a single factor (Chomsky 2008; Chaves 2013; Jiménez–Fernández 2009), be it grammatical or otherwise. One possibility is that SIs are partly due to pragmatic and processing constraints, perhaps not too different from those that appear to be active in the island effects discussed so far. As Kluender (2004: 495) notes: ‘Subject Island effects seem to be weaker when the *wh*-phrase maintains a pragmatic association not only with the gap, but also with the main clause predicate, such that the filler-gap dependency into the subject position is construed as of some relevance to the main assertion of the sentence’. Indeed, many authors (Erteschik-Shir 1981; Van Valin 1986; Kuno 1987; Takami 1992; Deane 1992; Goldberg 2013) have argued that extraction is in general restricted to the informational focus of the proposition, and that Subject Islands (among others) are predicted as a consequence. In a nutshell, since subjects are typically reserved for topic continuity, subject-embedded referents are unlikely to be the informational focus of the utterance. Although it is not easy to construct sentences where a dependent of the subject can be easily deemed as the informational focus, it is by no means impossible. For instance, (47a) is particularly acceptable because whether or not an impeachment causes outrage crucially depends on who is impeached (cf. with *Would the impeachment of Donald Trump cause outrage?*). Similarly, in (47b) whether or not an attempt failed or succeeded crucially depends on what was attempted (cf. with *The attempt to find the culprit ended in failure*).

tences with complex objects (Kemper 1986). Similar difficulty is found in timed reading comprehension tasks (Kynette & Kemper 1986), and in disfluencies in non-elderly adults (Clark & Wasow 1998). Speech initiation times for sentences with complex subjects are also known to be longer than for sentences with simple subjects (Ferreira 1991; Tsiamtsiouris & Cairns 2009), and sentences with center-embedding in subjects are harder to process than sentences with center-embedding in objects (Amy & Noziet 1978; Eady & Fodor 1981). Finally, Garnsey (1985), Kutas et al. (1988), and Petten & Kutas (1991) show that the processing of open-class words, particularly at the beginning of sentences, require greater processing effort than closed-class words.

- (47) a. Which President would [the impeachment of _] cause outrage?
(Chaves 2012b)
- b. What did [the attempt to find _] end in failure?
(Hofmeister & Sag 2010: 370)

Although some experimental research has confirmed that sentences with SI violations are less acceptable than grammatical controls (Sprouse 2009; Goodall 2011; Crawford 2011; Clausen 2011; Sprouse et al. 2015), and that their acceptability remains consistently low during repeated exposition (Sprouse 2009; Crawford 2011), other research has found that the acceptability of SI violations is not consistently low, and can be made to increase significantly (Hiramatsu 2000; Clausen 2011; Chaves & Dery 2014; Chaves 2012a). This mixed evidence is consistent with the idea that SI effects are very sensitive to the particular syntax, semantics, and pragmatics of the utterance in which they occur. If the items are too complex, or stylistically awkward, or presuppose unusual contexts, then it is entirely possible that SI effects are extremely strong. For example, if the extraction is difficult to process because the sentence gives rise to local garden-path and digging-in effects and is pragmatically infelicitous in the sense that the extracted element is not particularly relevant for the proposition (i.e. unlikely to be what the proposition is about) then we obtain a very strong SI effect. Otherwise, the SI effect is weaker, or nearly non-existent as is the case of (47), of (34), and of the pied-piping examples studied by Abeillé et al. (2018).

This approach also explains why subject-embedded gaps often become more acceptable in the presence of a second non-island gap: since the two gaps are co-indexed, then the fronted referent is trivially relevant for the main assertion, as it is predicated by the main verb. For example, the low acceptability of (48a) is arguably caused by the lack of plausibility of the described proposition: without further contextual information, it is unclear how the attempt to repair an unspecified thing *x* is connected to the attempt causing damage to a car.

- (48) a. * What did [the attempt to repair _] ultimately damage the car?
- b. What did [the attempt to repair _] ultimately damage _ ?
(Phillips 2006)

The example in (48a) becomes more acceptable if it is contextually established that *x* is a component of the car. In contrast, (48b) is felicitous even out-of-the-blue because it conveys a proposition that is readily recognized as being plausible according to world knowledge: attempting to fix *x* can cause damage to *x*. If Subject Island effects are indeed contingent on how relevant the extracted

subject-embedded referent is for the assertion expressed by the proposition, then a wide range of acceptable patterns is to be expected, parasitic or otherwise. This includes cases like (49), where both gaps are in Subject Island environments. As Levine & Sag (2003), Levine & Hukari (2006: 256), and Culicover (2013: 161) note, cases like (49) should be completely unacceptable, contrary to fact.

- (49) This is a man who [friends of _] think that [enemies of _] are everywhere.

The conclusion that Subject Island effects are contingent on the particular proposition expressed by the utterance thus seems unavoidable (Chaves & Dery 2019). In order to test this hypothesis, Chaves & Dery (2019) examine the acceptability of sentences like (50), which crucially express nearly-identical truth conditions and have equally acceptable declarative counterparts. This way, any source of acceptability contrast must come from the extraction itself, not from the felicitous of the proposition.

- (50) a. Which country does the King of Spain resemble [the President of _]?
 b. Which country does [the President of _] resemble the King of Spain?
 The results indicate that although the acceptability of the SI counterpart in (50b) is initially significantly lower than (50a), it gradually improves. After 8 exposures, the acceptability of near-truth-conditionally equivalent sentences like (50) becomes non-statistically different.¹⁷ What this suggests is that SI effects are at least in part probabilistic: the semantic, syntactic and pragmatic likelihood of a subject-embedded gap likely matters for how acceptable such extractions are. This is most consistent with the claim that – in general – extracted phrases must correspond to the informational focus of the utterance (Erteschik-Shir 1981; Van Valin 1986; Kuno 1987; Takami 1992; Deane 1992; Goldberg 2013), and in particular with the intuition that SI violations are weaker when the extracted referent is relevant for the main predication (Kluender 2004: 495).

7 Adjunct islands

Cattell (1976) first noted that adjunct phrases often resist extraction, as illustrated in (50), a phenomenon usually referred to as *The Adjunct Island Constraint* (AIC).

¹⁷Crucially, no such amelioration is observed with undisputedly ungrammatical utterances, such as *Which complaint does the tenant of the condo rarely hear at each of the caretakers?

- (50) a. * What_i did John die [whistling __i]?
 b. * What_i did John build [whistling __i]?
 c. * Which club_i did John meet a lot of girls [without going to __i]?
 (Cattell 1976: 38)
 d. * Who_i did Mary cry [after John hit __i]?
 (Huang 1982: 503)

Although the constraint on SLASH discussed above in (4) would effectively ban all extraction from adjuncts, the problem is that the AIC has a long history of exceptions, noted as early as Cattell (1976: 38), and by many others since, including Chomsky (1982: 72), Engdahl (1983), Hegarty (1990: 103), Cinque (1990), Pollard & Sag (1994: ??), Culicover (1997: 253), and Bor-gonovo & Neeleman (2000). A sample of representative counterexamples is provided in (51).

- (51) a. Who did he buy a book [for _]?
 b. Who would you rather [sing with _]?
 c. What temperature should I wash my jeans [at _]?
 d. That's the symphony that Schubert [died without finishing _].
 e. Which report did Kim [go to lunch without reading _]?
 f. A problem this important, I could never [go home without solving _ first].
 g. What did he [fall asleep complaining about _]?
 h. What did John [drive Mary crazy trying to fix _]?
 i. Who did you [go to Girona in order to meet _]?
 j. Who did you go to Harvard [in order to work with _]?

Exceptions to the AIC include tensed adjuncts, as noted by Grosu (1981: 88), Deane (1991: 29), Kluender (1998), (Levine & Hukari 2006: 287), Goldberg (2006: 144), Chaves (2012b: 471), Truswell (2011: 175, ft.1) and others. A sample is provided in (52).¹⁸

- (52) a. These are the pills that Mary died [before she could take _].

¹⁸Truswell (2011) argues that the AIC and its exceptions are best characterized in terms of event-semantic constraints, such that the adjunct must occupy an event position in the argument structure of the main clause verb. However, such an account incorrectly predicts that extractions from tensed adjuncts is impossible.

- b. This is the house that Mary died [before she could sell _].
- c. The person who I would kill myself [if I couldn't marry _] is Jane.
- d. Which book will Kim understand linguistics better [if she reads _]?
- e. This is the watch that I got upset [when I lost _].
- f. Robin, Pat and Terry were the people who I lounged around at home all day [without realizing were _ coming for dinner].
- g. Which email account would you be in trouble [if someone broke into _]?
- h. Which celebrity did you say that [[the sooner we take a picture of _], [the quicker we can go home]]?

To be sure, some of these sentences are complex and difficult to process, which in turn can lead speakers to prefer the insertion of an 'intrusive' resumptive pronoun at the gap site, but they are certainly more acceptable than the classic tensed AIC violations examples like Huang's (50d). Acceptable tensed AIC violations are more frequent in languages like Japanese, Korean, and Malayalam, which appear to exempt from the AIC altogether (Yoshida 2006).

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Like Subject Islands, AIC violations sometimes improve 'parasitically' in the presence of a second gap as in (53). First of all, note that these sentences express radically different propositions, and so there is no reason to assume that all of these are equally felicitous. Second, note that (53a,c) describe plausible states-of-affairs in which it is clear what the extracted referent has to do with the main predication and assertion, simply because of the fact that *document* is predicated by *read*. In contrast, (53b) describes an unusual state-of-affairs in that it is unclear what the extracted referent has to do with the main predication *read the email*, out-of-the-blue. Basically, what does reading emails have to do with filing documents?

- (53)
- a. Which document did John read _ before filing _ ?
 - b. * Which document did John read the email email before filing _ ?
 - c. Which document did John read _ before filing a complaint?

If AIC violations were truly only salvageable parasitically, then counterexamples like (54a) should not exist. As Levine & Sag (2003) and Levine

& Hukari (2006: 256) note, both gaps reside in island environments and should be completely out and less acceptable than (54b,c), contrary to fact.

- (54) a. What kinds of books do [the authors of _] argue about royalties [after writing _]?
- b. * What kinds of books do [authors of _] argue about royalties after writing malicious pamphlets?
- c. ? W
hat kinds of books do authors of malicious pamphlets argue about royalties [after writing _]?

In (54a), there is no sense in which the gap inside the subject is parasitic on the gap inside the adjunct, or vice-versa – under the assumption that neither gaps is supposed to be licit without the presence of a gap outside an island environment. In conclusion, the notion of parasitic gap is rather dubious. See Levine & Hukari (2006: ??) for a more in-depth discussion of parasitism and empirical criticism of null resumptive pronoun accounts. As in the case of other island phenomena discussed so far, it is doubtful that any purely syntactic account can describe all the empirical facts. Rather, extractions out of adjuncts are licit to the degree that the extracted referent can be interpreted as being relevant for the assertion.

8 Superiority effects

Contrasts like those below have traditionally been taken to be due to a constraint that prevents a given phrase from being extracted if another phrase in a higher position can be extracted instead (Chomsky 1973; 1980). Thus, the highest *wh*-phrase is extractable, but the lowest is not.

- (55) a. Who _ saw what?
- b. * What did who see _?
- (56) a. Who did you persuade _ to buy what?
- b. * What did you persuade who to buy _?

Several different kinds of exceptions to this *Superiority Constraint* (SC) have been noted in the literature. First, it is generally recognized that *which*-phrases are immune to the SC:

- (57) a. I wonder which book which of our students read _ over the summer?
 b. Which book did which professor buy _ ?

Pesetsky (1987) proposed to explain the lack of SC effects in (57) by stipulating that *which*-phrases are interpreted as indefinites and do not undergo LF movement. Rather, they require ‘D-linking’ and obtain wide scope via an entirely different semantic mechanism called unselective binding. In order for a phrase to be D-linked, it must be associated with a salient set of referents. But as Ginzburg & Sag (2000: 248ff.) note, there is no independent evidence for saliency interpretational differences between *which* and other *wh*-phrases like *what* and *who*. For example, it is implausible that speakers have a specific referent in mind for the *which*-phrases in examples like (58).

- (58) a. I don’t know anything about cars. Do you have any suggestions about which car – if any – I should buy when I get a raise?
 b. I don’t know anything about cars. Do you have any suggestions about what – if anything – I should buy when I get a raise?
 (Ginzburg & Sag 2000: 248)

Furthermore, there are acceptable SC violations involving multiple *wh*-questions such as those in (59). See Bolinger (1978), Kayne (1983) and Pesetsky (1987: 109) for more such examples and discussion.¹⁹

- (59) a. Who wondered what WHO was doing _ ?
 b. What did WHO take _ WHERE?
 c. Where did WHO take WHAT _ ?

Finally, there are also SC violations that involve echo questions like (60) and reference questions like (61). See Ginzburg & Sag (2000: Ch.7) for detailed argumentation that echo questions are not fundamentally different, syntactically or semantically, from other uses of interrogatives.

¹⁹“Adding a Third Wh-Phrase Does Not Increase the Acceptability of Object-Initial Multiple-Wh-Questions” (2010) and others have found no evidence that the presence of a third *wh*-phrase improves the acceptability of a multiple interrogative, even with supporting contexts. However, the examples in (59) require peculiar intonation phrasings and contours, which may be difficult to elicit with written stimuli.

- (60) a. What did Agamemnon break?
 b. What did *who* break _?
- (61) a. What did he break?
 b. What did *who* break _?

There are two different, yet mutually consistent, possible explanations for SC effects in HPSG circles. One potential factor concerns processing difficulty Arnon et al. (2007). Basically, long-distance dependencies where a *which*-phrase is fronted are generally more acceptable and faster to process than those where *what* or *who* if fronted, presumably because the latter are semantically less informative, and thus decay from memory faster, and are compatible with more potential gap sites before the actual gap. The second potential factor is prosodic in nature. Drawing from insights by Ladd (1996: 170–172) about the English interrogative intonation, Ginzburg & Sag (2000: 251) propose that in a multiple *wh*-interrogative construction all *wh*-phrases must in FOCUS except the first. Crucially, focus is typically – but not always – associated with clearly discernible pitch accent. Thus, (55) and (56) are odd because the second *wh*-word is unaccented. In this account, a word like *who* has two possible lexical descriptions, shown in (62).

- (62) a. *Ex-situ* interrogative *who*:

PHON	⟨who/WHO⟩			
SYNSEM	LOC	CAT	[HEAD <i>noun</i>]	
			[SPR ⟨ ⟩]	
			[COMPS ⟨ ⟩]	
			[ARG-ST ⟨ ⟩]	
	CONT	[IND <i>i</i>]		
[RESTR { }]				
STORE		[1 [IND <i>i</i>]]		
	[RESTR { <i>person(i)</i> }]			
NONLOC	WH	[1]		
		[REL { }]		
		[SLASH { }]		

- b. Optionally *ex-situ* interrogative *who*:

PHON	⟨WHO⟩			
SYNSEM	LOC	CAT	HEAD	<i>noun</i>
			SPR	⟨⟩
			COMPS	⟨⟩
			ARG-ST	⟨⟩
		CONT	IND	<i>i</i>
RESTR	{ }			
STORE	$\left\{ \begin{array}{ll} \text{IND} & i \\ \text{RESTR} & \{person(i)\} \end{array} \right\}$			
NONLOC		WH	{ }	
		REL	{ }	
		SLASH	{ }	

Since only the (optionally accented) lexical entry in (62a) is specified with a non-empty WH value, the theory of extraction proposed in Ginzburg & Sag (2000) predicts that (62a) must appear *ex situ*. In contrast, the accented lexical entry in (62b) can appear *in situ*. For more discussion see Levine & Hukari (2006: 261).

A related range of island phenomena concern extraction from *whether*-clauses like which are traditionally assumed to be forbidden as (63) illustrates.

- (63) a. * Which movie did John wonder whether Bill liked _?
 b. * Which movie did John ask why Mary liked _?

But again, the oddness of such data is unlikely to be due to syntactic constraints, given that examples like (64) are passable.

- (64) a. Which glass of wine do you wonder whether I poisoned _?
 (Cresti 1995:81)
 b. Who is John wondering whether or not he should fire _?
 c. Which shoes are you wondering whether you should buy _?
 (Chaves 2012b)

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9 The Left Branch Condition

Ross (1967) discovered that the leftmost constituent of an NP cannot be extracted, as in (64a), a constraint he dubbed as the *Left Branch Condition*

(LBC).²⁰

- a.
- b. * Whose_i did you meet [_i friend]?
(cf. with ‘*You met whose friend?*’)
- c. * Which_i did you buy [_i book]?
(cf. with ‘*You bought which book?*’)
- d. * How much_i did you find [_i money]?
(cf. with ‘*You found how much money?*’)

These facts are accounted for in versions of HPSG like REF where determiner phrases are not valents of the nominal head. If the DP is not listed in the argument structure of the nominal head, then there is no way for the DP to appear in SLASH. According to Sag (2012: 133), genitive DPs combine with nominal heads and bind their x-ARG index via a dedicated construction, not as valents. Thus, in nominalizations like *Kim’s description of the problem*, for example, the DP *Kim’s* is not a valent of *description* but is instead constructionally co-indexed with the agent role of the noun *description* via x-ARG. Thus, the DP cannot be extracted. Moreover, the clitic *s* in *Kim’s* must lean phonologically on the NP it selects, and therefore cannot be stranded for independently motivated phonological reasons, predicting the oddness of **It was Kim who I read’s description of the problem*.

There are various languages which do not usually permit extraction of left branches from noun phrases, but which have a particular PP construction which allows NP extraction with PP stranding:

- (65) a. dare-kara-no_i Taroo-ga [_i tegami]-o sute-ta-no?
who-from-GEN Taro-NOM letter-ACC discard-PST-Q
‘From whom did Taro discard a letter?’ (Japanese)
- b. Was_i hast du [_i für ein Buch] gelesen?
what have you for a book read
‘What kind of book did you read?’ (German)
- c. Hva_i leser du [_i for ei bok]?
what read you for a book
‘What kind of book do you read?’ (Norwegian)

²⁰ As in other island environments discussed above, the LBC is not operative in constraining semantic scope, as illustrated below.

a. Someone took a picture of each student’s bicycle.
(Copestake et al. 2005: 303)

- d. Combien_i a-t-il vendu [_i de livres]?
 how-many has-he sold of books
 ‘How many books did he sell?’ (French)

Such extractions also appear to arise in English, as (??) illustrates.

- (66) a. [How many books]_i do you have [_i about mathematics]?
 b. [How many pictures]_i do you have [_i of Marilyn Monroe]?
 c. [How many attempts]_i did you make [_i to repair the computer]?

It is possible that none of (65) and (??) are in fact LBC violations, if these are simply leftward extractions followed by PP extrapositions. Ross noted other languages that appear to not obey the LBC at all, such as those sampled in (67). These examples are completely ungrammatical in languages like English.

- (67) a. Jaką_i kupiłeś [_i książkę]
 what you-bought book
 ‘Which book did you buy?’ (Polish)
 b. Cju_i citajes [_i knigu]?
 whose you-are-reading book
 ‘whose book are you reading?’ (Russian)
 c. Ki-nek_i akarod, hogy halljam [_i a hang-já-t]?
 who-DAT you-want that I-hear the voice-POSS.3SG-ACC
 ‘Whose voice do you want me to hear?’ (Hungarian)

However, the languages in question lack determiners, and therefore it is possible that what is extracted is an argument of the nominal head that corresponds to a PP in languages like those in (65). If so, a plausible account would be a constructional one, along roughly the same lines as Sag (2012: 133).

10 The Complementizer Constraint

Perlmutter (1968) noted that subject phrases have different extraction properties than that of object phrases, as illustrated in (68). The presence of the complementizer hampers extraction of the subject, but not of the complement.²¹

²¹There is no evidence that the Complementizer Constraint applies at the semantic level, however. The subject phrase of the embedded clause can outscope the subject phrase of the matrix:

- (68) a. * [Who]_i did Tom say (?that) __i had bought the tickets?
 b. * [Who]_i do you believe (?that) __i got you fired?
 c. [The things]_i that they believe (?that) __i will happen are disturbing to contemplate.
 d. * [Who]_i did you ask if __i bought the tickets?
 e. * [Who]_i do you expect for __i to fire you?

Bresnan (1977) and others also noted that Complementizer Constraint effects can be reduced in the presence of an adverbial intervening between the complementizer and the gap:

- (69) a. [Who]_i did Tom say that – as far he could remember – __i had bought the tickets?
 b. [Who]_i do you believe that – for all intents and purposes – __i got you fired?
 c. [Who]_i do you think that after years and years of cheating death __i finally died?

In Bouma et al. (2001) and Ginzburg & Sag (2000), extracted arguments are typed as *gap-ss* rather than *canon-ss*. Only the latter are allowed to correspond to *in situ* signs and to reside in valence lists. However, subject extraction is different. If a subject phrase is extracted, then the list SUBJ contains the respective *gap-ss* sign. If one assumes that the lexical entry for the complementizer *that* requires S complements specified as [SUBJ < >] then the oddness of (68) follows. For Bouma et al. (2001) and Ginzburg & Sag (2000), the adverbial circumvention effect in (69) is the result of assuming that the node in which the adverb combines with the clause forces the mother node to be [SLASH { }]. The account is rather *ad-hoc*.

A simpler account of the Complementizer Constraint has emerged recently, however, in principle compatible with any theory of grammar. For Kandybowicz (2006; 2009) and others, the Complementizer Constraint is prosodic in nature. Complementizers must cliticize to the following phonological unit, but if a pause is made at the gap site then the complementizer cannot do so. Accordingly, if the pronunciation of *that* is produced with a reduced vowel [ðət] rather than [ðæt] then the Complementizer Constraint violations in (68) improve in acceptability. Though promising, Amanda Ritchart & Garellek (2016) found no experimental

-
- (i) a. Some teacher claimed that each student had cheated.
 b. Every teacher claimed that a student had cheated.

evidence for amelioration of the Complementizer Constraint effects either with phonological reduction of the complementizer or with contrastive focus. Further research is needed to determine the true nature of Complementizer Constraint effects.

11 Island circumvention via ellipsis

Ellipsis somehow renders island constraints inactive, as in (70). A deletion-based analysis of such phenomena such as Merchant (2001) relies on moving the *wh*-phrase before deletion takes place, but since movement is assumed to be sensitive to syntactic island constraints, the prediction is that (70) should be illicit, contrary to fact.

- (70) a. Terry wrote an article about Lee and a book about someone else from East Texas, but we don't know who_i (*Terry wrote an article about _i Lee and a book about _i).
[CSC violation]
- b. Bo talked to the person who discovered something, but I still don't know what_i (*Bo talked to the person who discovered _i).
[CNPC violation]
- c. That he'll hire someone is possible, but I won't divulge who_i (*that he'll hire _i is possible).
[SSC violation]
- d. She bought a rather expensive car, but I can't remember how expensive (*she bought a car).
[LBC violation]

The account adopted in HPSG is one in which remnants are assigned an interpretation based on the surrounding discourse context (Ginzburg & Sag 2000; Culicover & Jackendoff 2005; Jacobson 2008; Sag & Nykiel 2011). See Nykiel & Kim (2018), Chapter 19 of this volume for more detailed discussion. In a nutshell, the *wh*-phrases in (70) are 'coerced' into a proposition-denoting clause via a unary branching construction that taps into contextual information. This straightforwardly explains not only why the antecedent for the elided phrase need not correspond to overt discourse – e.g. sluices like *What floor?* or *What else?* – but also why (70) are immune to island constraints: there simply is no island environment to begin with, and thus, no extraction to violate it.

12 Conclusion

HPSG remains relatively agnostic about many island types given the existence of robust exceptions. It is however clear that many island effects are not purely due to syntactic constraints, and are more likely the result of multiple factors, including pragmatics, semantics and processing difficulty. To be sure, it is yet unclear how these factors can be brought together to articulate an explicit and testable account of island effects. In particular, it is unclear how to combine probabilistic information with syntactic, semantic and pragmatic representations, although one fruitful avenue of approach to this problem may be via *Data-Oriented Parsing* (Neumann & Flickinger 2003; 2015; Arnold & Linardaki 2007; Bod et al. 2003; Bod 2009).

From its inception, HPSG has been meant to be compatible with models of language comprehension and production (Sag 1992; Sag & Wasow 2010; 2015), but not much work has been dedicated to bridging these worlds; see Wasow (2018), Chapter 28 of this volume. The challenge that island effects posit to any theory of grammar is central to linguistic theory and cognitive science: how to integrate theoretical linguistics and psycholinguistic models of on-line language processing so that fine-grained predictions about variability in acceptability judgements across nearly isomorphic clauses can be explained.

Acknowledgements

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