

Repairing Binding Principle effects

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1 Puzzle

The presence of binding principle effects in ellipsis has been taken to be evidence that ellipsis involves syntactic representations (Fiengo & May 1994; Hestvik 1995; Kennedy 2003; a.o.). For example, the sentence in (1a) strongly disfavors a strict interpretation, in which Sterling also blames Doug for the band's collapse. This can be explained if (1a) is derived from (1b): the strict reading would violate Binding Principle A, which requires a reflexive pronoun to find its antecedent locally (Kennedy 2003; cf. Fiengo & May 1994). In this paper the elliptical elements are represented between “ \langle ” and “ \rangle ”.

- (1) a. Doug blamed himself for the band's collapse, and Sterling did, too.
- b. Doug blamed himself for the band's collapse, and Sterling did \langle blame himself for the band's collapse \rangle , too.

Likewise, the disjoint reference effect in (2a) is a direct consequence of Binding Principle B, which rules out coreference between a pronoun and a co-argument, as shown in (2b).

- (2) a. * Kim takes care of him₁ because he₁ won't.
- b. * Kim takes care of him₁ because he₁ won't \langle take care of him₁ \rangle

In Mandarin, binding principle effects are also observed in VP ellipsis, as exemplified by the following examples.

(3) *Binding Principle A*

Libai hui piping ziji, dan Dufu bu hui.
Libai will criticize self but Dufu not will

- a. 'Libai₁ will criticize himself₁, but Dufu₂ won't criticize himself₂.' Sloppy reading
- b. # 'Libai₁ will criticize himself₁, but Dufu₂ won't criticize him₁.' Strict reading

(4) *Binding Principle B*

*Libai₁ hui piping ta₂, dan ta₂ dangran bu hui.
Libai will criticize him but he certainly not will

Intended 'Libai₁ will criticize him₂, but certainly he₁ won't criticize himself₁.'

(5) *Binding Principle C*

* Libai₁ hui piping Dufu₂, dan Dufu₂ dangran bu hui
 Libai will criticize Dufu but Dufu certainly not will

Intended ‘Libai₁ will criticize Dufu₂, but certainly Dufu₂ won’t criticize himself₂.’

Interestingly, violations of Binding Principles B and C can be repaired by adding a reflexive pronoun to the subject in the clause with VP ellipsis, as in (6).

- (6) a. Libai₁ hui piping ta₂, dan ta₂ **ziji** dangran bu hui.
 Libai will criticize him but he self certainly not will
 ‘Libai₁ will criticize him₂, but certainly he₁ won’t criticize himself₁.’
 b. Libai₁ hui piping Dufu₂, dan Dufu₂ **ziji** dangran bu hui
 Libai will criticize Dufu but Dufu self certainly not will
 ‘Libai₁ will criticize Dufu₂, but certainly he₂ won’t criticize himself₂.’

According to the parallelism requirement of VP ellipsis, the underlying structure of the above two sentences should be represented as (7). However, these representations violate Binding Principles B and C. The surface forms corresponding to these representations are in fact ungrammatical. These sentences indicate that the violation of binding principles cannot be rescued in a non-ellipsis environment by adding a reflexive.

- (7) a. *Ta₂ **ziji** dangran bu hui piping ta₂.
 he self certainly not will criticize him
 Intended ‘Certainly, he won’t criticize himself.’
 b. *Dufu₂ **ziji** dangran bu hui piping Dufu₂
 Dufu self certainly not will criticize Dufu
 Intended ‘Dufu won’t criticize himself.’

The repairing effect is not only observed in Mandarin. Cross-linguistically, it is also found in Japanese, as exemplified in (8), and in English, as exemplified in (9).

- (8) a. *Taro-wa Hanako-o₁ hihansita ga, Hanako₁-wa [e] si-na-katta.
 Taro-top Hanako-Acc criticized but, Hanako-top do-Neg-Past
 Intended ‘Taro criticized Hanako₁, but Hanako₁ didn’t criticize herself₁.’
 b. Taro-wa Hanako-o₁ hihansita ga, Hanako₁ **jisin**-wa [e] si-na-katta.
 Taro-top Hanako-Acc criticized but, Hanako self-top do-Neg-Past
 ‘Taro criticized Hanako₁, but Hanako₁ didn’t criticize herself₁.’
 (9) a. *John will criticize Bill₁, but he₁ certainly never would [e]
 b. John will criticize Bill₁, but he₁ **himself** certainly never would [e]

As the same as their Mandarin counterparts, Japanese and English reflexives cannot repair the binding effects when VP is not deleted, as shown in the following examples.

- (10) a. *Hanako₁ **jisin**-wa Hanako-o₁ hihansita si-na-katta.
 Hanako self-top Hanako-Acc criticize do-Neg-Past
 Intended ‘Hanako didn’t criticize herself.’

- b. * he₁ **himself** certainly never would criticize Bill₁

It is not very surprising that ellipsis can repair some ungrammatical constructions. For example, it is well known that sluicing can repair island violations (Merchant 2001). However, we have to explain why VP ellipsis can ameliorate binding principle effects only when a reflexive pronoun is present. Although there have been a large amount of studies focusing on Mandarin reflexive pronouns (Cole et al. 1990; Huang & Tang 1991; Pan 1997; Huang & Liu 2001; Anand 2006; a.o.), this phenomenon remains a unaddressed.

The current study will discuss three approaches to binding effects in ellipsis, i.e., Vehicle Chang (Fiengo & May 1994); D-bound anaphors (Kratzer 2009; Safir 2014) and movement of reflexives (Huang & Tang 1991; Li 2011), showing that they fail to account for the puzzle of repairing binding effects. In section 4, I propose a possible solution, which relies on Rooth's (1985; 1992b) focus semantics and treats the reflexives in the target sentences as emphatic intensifiers.

This paper is organized as follows. Section 2 demonstrates that the reflexives in the target sentences share many properties with intensifier reflexives. Section 3 devotes to the discussion of the existing approaches. My proposed solution is laid out in section 4, and the paper is concluded in section 5.

2 Intensifier reflexives

At first glance, the reflexives in (6) look like intensifiers, such as adnominal *self* pronouns in English (Kemmer 1995; Baker 1995) and *selbst* in German (König & Siemund 1996; Eckardt 2001). In Mandarin, *ziji* can indeed be used as an intensifier (Hole 2008; Wang 2011). Briefly speaking, Mandarin intensifying *ziji* as a subject-oriented adverbial is adjoined to a verb-like phrase like ModP, as shown below (Tsai 2005). Additionally, the intensifying *ziji* is not an adnominal particle, since it can be separated from its antecedent by other adverbials, as in (11).

- (11) Libai (kending) [_{ModP} **ziji** [_{ModP} bu hui piping Dufu]].
 Libai certainly self not will criticize Dufu
 'It is certain that) without outside force, Libai will not criticize Dufu.'

Apparently, the reflexives in (6) have the same distribution as the intensifying *ziji*. Moreover, the reflexives in (6) resembles the meaning of intensifiers. Compare the reflexives in (12) with intensifiers in (13). Both can express the meaning 'alone/without assistance' or 'without outside force'.

- (12) a. Libai **ziji** neng zhaogu ta erzi.
 Libai self can take.care he son
 'Libai can take care of his son alone.'
 b. Libai **ziji** hui piping ta erzi.
 Libai self will criticize he son
 'Libai will criticize his son without outside force.'
- (13) a. Libai neng zhaogu Dufu₁, qishi ta₁ **ziji** jiu neng [e].
 Libai can take.care Dufu in.fact he self just can
 'Libai can take care of Dufu, and in fact he can take care of himself alone.'

- b. Libai hui piping Dufu₁, dan [zhe jiahuo]₁ kending **ziji** bu hui [e].
 Libai will criticize Dufu but this guy must self not will
 ‘Libai will criticize him, but without outside force, this guy must not criticize himself.’

Like intensifiers, the reflexives in ellipsis constructions express some kind of focus on a particular participant of an event. For example, the reflexive in (13) functions to exclude any potential alternatives to the subject *Libai*.

In addition, Japanese also provides evidence to prove that the reflexives in the target sentences are intensifiers. In Japanese, there are two reflexive morphemes, i.e., *jisin* and *jibun*, but only *jisin* can be used as intensifiers. Correspondingly, only *jisin* can occur in our target sentences, as shown below.

- (14) Taro-wa Hanako-o₁ hihansita ga, Hanako₁ **jisin**/***jibun**-wa [e] si-na-katta.
 Taro-Top Hanako-Acc criticized but, Hanako self/self-Top do-Neg-Past
 ‘Taro criticized Hanako₁, but Hanako₁ didn’t criticize herself.’

Although it is evident that the reflexives in (6) are intensifiers, treating them as intensifiers cannot help us resolve the puzzle of repairing binding effects. This is because intensifying *ziji* alone cannot save sentences from violating binding principles without ellipsis, as demonstrated in the following examples.

- (15) a. *Libai₁ **ziji** hui piping ta₁/Libai₁
 Libai self will criticize him/Libai
 Intended ‘Libai will criticize himself without outside force.’
 b. *Libai₁ hui **ziji** piping ta₁/Libai₁.
 Libai will self criticize him/Libai
 Intended ‘Libai will criticize himself alone.’

Certainly, if we assume that the elliptical sites of (6a-b) contain argument reflexives, as in (16), no binding effects are expected.

- (16) a. Libai₁ hui piping ta₂, dan ta₂ **ziji** dangran bu hui < piping **ziji** >.
 Libai will criticize him but he self certainly not will criticize self
 ‘Libai₁ will criticize him₂, but certainly without outside force he₁ won’t criticize himself.’
 b. Libai₁ hui piping Dufu₂, dan Dufu₂ **ziji** dangran bu hui < piping **ziji** >
 Libai will criticize Dufu but Dufu self certainly not will criticize self
 ‘Libai₁ will criticize Dufu₂, but certainly without outside force he₂ won’t criticize himself.’

However, this assumption does not really resolve the puzzle, as it merely reframes the research question. Let me explain why. Under this assumption, it is in theory possible for the sentences in (4) and (5) to have argument reflexives in their elliptical sites, as shown in (17).

- (17) a. *Libai₁ hui piping ta₂, dan ta₂ dangran bu hui < piping **ziji** >.
 Libai will criticize him but he certainly not will criticize self
 Intended ‘Libai₁ will criticize him₂, but certainly he₁ won’t criticize himself.’

- b. * Libai₁ hui piping Dufu₂, dan Dufu₂ dangran bu hui < piping **ziji** >
 Libai will criticize Dufu but Dufu certainly not will criticize self
 Intended ‘Libai₁ will criticize Dufu₂, but certainly Dufu₂ won’t criticize himself.’

As a consequence, binding effects should not appear in these examples, contrary to fact. Our research question now becomes “why argument reflexives can be used to avoid violating Binding Principle B and C in the environment of ellipsis only if there are intensifier reflexives appearing in the remnants?”.

As far as we can see, only assuming reflexives in (6) as intensifiers does not lead to an adequate explanation of repairing binding effects. The following sections take up other approaches to binding effects in ellipsis. Anticipating the discussion, it will be demonstrated that all of them fail to account for the puzzle. In section , we will return to the “intensifier reflexive” assumption, showing that it indeed hints at a possible solution if we combine the focus property of intensifier reflexives with Rooth’s (1992a) focus condition of ellipsis.

3 Three existing approaches

3.1 Vehicle Change

In fact, it has been observed in 1990s that binding effects can be repaired in ellipsis. For example, the coindexation of *John* and *he* in (18) does not result in the violation of Binding Principle C in the second clause.

- (18) Mary admires John₁, and he₁ thinks Sally does [*e*], too

To address the issue about repairing binding effects, [Fiengo & May \(1994\)](#) develop a well-known mechanism called “Vehicle Change.” Roughly speaking, Vehicle Change allows an elided name in an elliptical structures to reconstruct as a “pronominal correlate,” bearing an index (in their system) that corresponds to the one the name would have. Thus, we can account for why Binding Principle C is alleviated in (18), as illustrated in (19).

- (19) Mary admires John₁, and he₁ thinks Sally does [*e*], too.
 ⇒ Mary admires John₁, and he₁ thinks Sally < admires [him₁]_{reconstruct} >, too.

Unlike Binding Principle C violations, it is predicted that Binding Principle B violations cannot be repaired by Vehicle Change. For example, in (20), there is a pronoun in the reconstructed structure, so Binding Principle B still emerges to rule out the coindexation.

- (20) *Mary admires John₁, and he₁ does [*e*], too.
 ⇒ Mary admires John₁, and he₁ < admires [him₁]_{reconstruct} >, too.

Although Vehicle Change indeed has explanatory power, it cannot account for why binding principle effects are not available in the our target sentence (21). The proper name in the first clause can be reconstructed as a pronominal correlate in the elliptical site, but we have seen in the last section that the reconstructed structure still induces a violation of Binding Principle B.

- (21) Libai hui piping Dufu₁, dan [zhe jiahuo]₁ **ziji** dangran bu hui [*e*]
 Libai will criticize Dufu but this guy self certainly not will
 ⇒ Libai will criticize Dufu₁, but this guy₁ himself will not < criticize [him₁]_{reconstruct} >

3.2 D-bound anaphors

Recently, a minimal pronoun theory has become more prominent to account for the bound variable interpretation of pronouns. This theory originates from Kratzer (1998), being developed in Kratzer (2009). Based on this, Safir (2014) further proposes a D-bound anaphor approach, which takes all bound anaphora, whether they are bound locally or at a distance, to be achieved by a single, universally available, grammatical form, called a D-bound. A D-bound is a true syntactically sensitive anaphor. When D-bound is bound by a local (phase-internal) antecedent, it is spelled out as a local morphological shape, i.e., a reflexive; whereas, when D-bound is bound by a long-distance (phase-external) antecedent, it is spelled out as a long-distance morphological shape, i.e., a pronoun. Consequently, reflexives and pronouns can just be different morphological shapes of one anaphor. Under the elliptical environment where morphology is neutralized, locality does not figure in the well-formedness of D-bound. Hence, binding principle effects are expected to disappear when a pronoun is interpreted as D-bound. Consider the sentence in (22). If we assume that the object of *promote* is D-bound by the trace of *who*, copying it into the parallel position in the elliptical VP results in a reflexive reading, rather than a Binding Principle B violation. This is because in the elliptical site this D-bound anaphor is locally bound.

- (22) He₁'s the sort of star athlete who believes that no agent can [promote him₁] any better than he₁ can < promote himself₁ >

The D-bound approach is very attractive, but it cannot account for the contrast between (23a) and (23b). According to the D-bound approach, the elliptical sites of these two sentences should include argument reflexives. As a result, neither of them would violate binding principles.

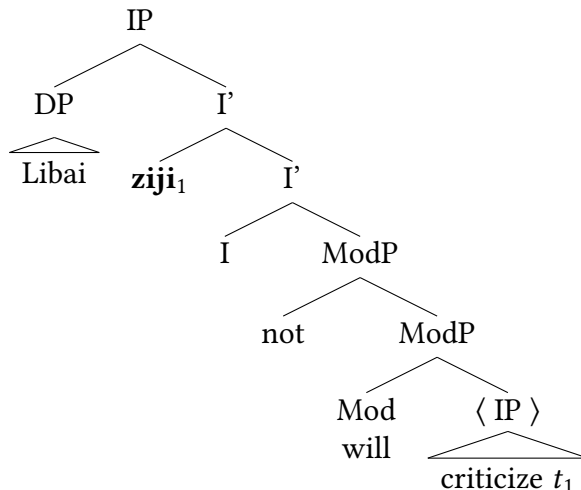
- (23) a. *Dufu₁ renwei Libai hui piping ta₁, [zhe jiahuo]₁ dangran bu hui [e].
 Dufu think Libai will criticize him this guy certainly not will
 ⇒ Dufu₁ thinks Libai₂ will criticize him₁, and certainly this guy₁ will not < criticize himself₁ >
- b. Dufu₁ renwei Libai hui piping ta₁, [zhe jiahuo]₁ **ziji** dangran bu hui [e].
 Dufu think Libai will criticize him this guy self certainly not will
 ⇒ Dufu₁ thinks Libai₂ will criticize him₁, and certainly this guy₁ himself will not < criticize himself₁ >

3.3 Movement of reflexives

An alternative analysis that directly addresses this puzzle can be found in an earlier work of mine (Li 2011). This study relies on the classical approach to long distance binding of Mandarin reflexives, i.e., the movement approach (Cole et al. 1990; Huang & Tang 1991; Huang & Liu 2001; a.o.). Specifically, this analysis attributes the binding effects repair to the movement of reflexive pronouns. In particular, the underlying structure of the elliptical site [e] in (24) contains a reflexive pronoun, which undergoes movement out of the elliptical site, as shown in (25). In this structure, no binding principle is violated.

- (24) Libai₁ hui piping ta₂, dan ta₂ **ziji** dangran bu hui [e].
 Libai will criticize him but he self certainly not will
 ‘Libai₁ will criticize him₂, but certainly he₁ won’t criticize himself₁.’

(25)



It has been argued by many studies that Mandarin reflexives undergo covert movement. Following the copy theory of movement (Chomsky 1995; Fox 2002), this work argues that the covert movement of reflexive pronouns can behave like an overt movement in ellipsis. In the copy theory of movement, movement is decomposed into copy and re-merge. The covert movement is also conducted in Narrow Syntax like the overt movement. The difference between these two types of movement is that the covert movement spells out the copy in the base generated position, while the over movement spells out the re-merged item. Adopting this view, I derived the covert movement of *ziji* as (26), in which the copy of *ziji* is spelled out. By contrast, the copy in the base-generated position cannot be spelled out in the VP ellipsis, so *ziji* has to be spelled out at the moved position.

(26) [IP Ta [**ziji** [ModP not will [VP criticize *ziji*_{copy}]]]]

Obviously, this analysis fails to predict the similarity of the reflexive in (24) and intensifying reflexives, which has been discussed in section 2. Additionally, the movement of *ziji* is not supported by the island test, as the movement does not observe island conditions. This can be visualized in (27).

(27) Libai hui piping [Dufu₁ xie de shu], [zhe jiahuo]₁ **ziji** dangran bu hui < piping
 Libai will criticize Dufu write DE book this guy self certainly not will criticize
 [*ziji*_{copy} xie de shu] >
 self write DE book
 ‘Libai will criticize the book that Dufu₁ wrote, and this guy₁ won’t criticize the book that
 he₁ wrote.’

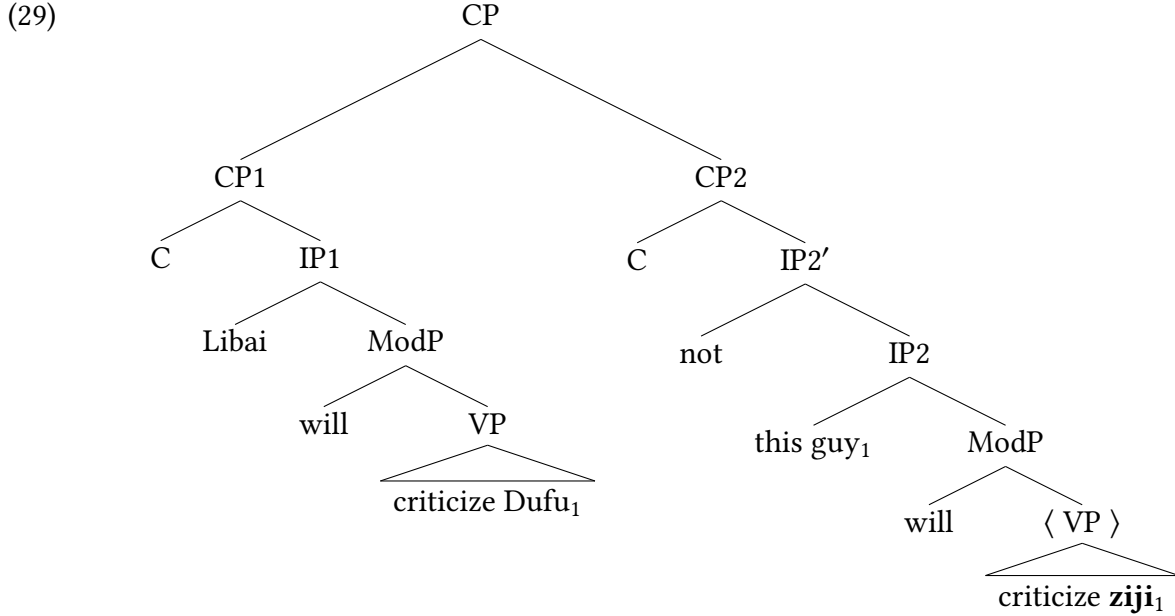
4 Focused reflexives

The binding effects repair that we focus on indeed poses a problem for our current understanding of binding within ellipsis, as no existing approaches can offer a satisfactory analysis for this puzzle. Nevertheless, in this section, I point out a possible direction to address the issue. Specifically, the reflexives that repair binding effects in ellipsis should be analyzed as intensifiers, whose focus feature is the key to demistifying the problem.

I suggest that the elliptical site of the sentence in (28a) contain an argument reflexive. Therefore, no binding principles are violated. However, as we have seen in section 2, a problem that immediately arises is why the sentence in (28b) is ungrammatical.

- (28) a. Libai₁ hui piping Dufu₂, dan [zhe jiahuo]₂ **ziji** dangran bu hui < piping **ziji**₂ >
 Libai will criticize Dufu but this guy self certainly not will criticize self
 ‘Libai₁ will criticize Dufu₂, but certainly without outside force this guy₂ won’t criticize himself₂.’
 b. *Libai₁ hui piping Dufu₂, dan [zhe jiahuo]₂ dangran bu hui < piping **ziji**₂ >
 Libai will criticize Dufu but this guy certainly not will criticize self
 Intended ‘Libai₁ will criticize Dufu₂, but certainly this guy₂ won’t criticize himself₂.’

The ill-formedness of (28b) is not very surprising—the elliptical VP involves a reflexivized predicate, but the antecedent VP does not. This difference makes it impossible for VP ellipsis to be licensed, as demonstrated by (29), which is the LF representation of (28b) (with the negation adjusted to take wide scope).



Following the standard assumption, I posit that the argument reflexive denotes a function that reflexivizes a two-place predicate, as in (30).

$$(30) \quad \llbracket \text{ziji} \rrbracket = \lambda Q_{\langle e, et \rangle} \lambda x [Q(x)]$$

In LF structure (29), the subject of CP2 *this guy* contrasts with the subject of CP1 *Libai*. Following Rooth’s (Rooth 1985, 1992b) focus semantics, I assume that *this guy* evokes a focus value, i.e., a set of alternatives, as given in (31a). Hence, the focus values of IP2 can be derived via replacing the ordinary value of *this guy* with its focus value, resulting in sets of propositions, as shown in (31b).

$$(31) \quad \text{a. } \llbracket \text{this guy} \rrbracket^f = \{\text{Libai}, \text{this guy}\}$$

$$b. \llbracket IP2 \rrbracket^f = \left\{ \begin{array}{l} \text{Libai will } \lambda x. \mathbf{criticize}(x)(x) \\ \text{This guy will } \lambda x. \mathbf{criticize}(x)(x) \end{array} \right\} = \left\{ \begin{array}{l} \text{Libai will criticize himself} \\ \text{This guy will criticize himself} \end{array} \right\}$$

As a consequence, the ordinary value of IP1, i.e. the proposition ‘Libai will criticize Dufu’, is not contained in the focus value of IP2. Rooth’s (1992a) focus condition as stated in (32) is not obeyed. Thus, the VP ellipsis in (28b) is not licensed.

(32) *Focus condition on VP ellipsis*

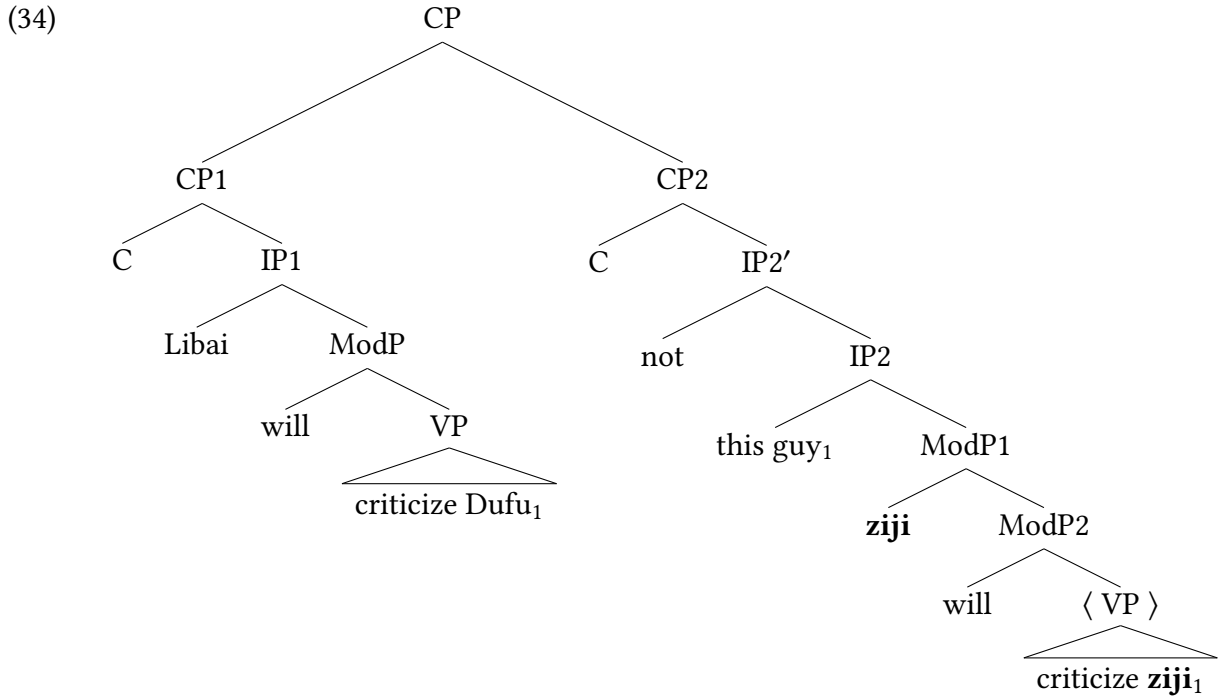
A VP α in XP_E can be deleted only if there is an XP_A , where the ordinary value of XP_A is or implies an element of the focus value of XP_E .

Now, let’s turn to (28a). The reflexive in the remnant part is an intensifier. It has been argued in many studies (Kemmer 1995; Baker 1995; König & Siemund 1996; Eckardt 2001; Hole 2008; Wang 2011) that intensifiers in sentences function as an emphatic element, behaving like focus (see section 2). On the basis of Eckardt’s (2001) proposal, I assume that the intensifier *ziji* consists of a free variable and an identity function as its ordinary value, as in (33a), while its focus value is a set of alternative functions, each of which takes an individual as an argument and returns one of its alternative, as in (33b).

(33) a. $\llbracket ziji \rrbracket = \lambda x. ID(x)$

b. $\llbracket ziji \rrbracket^f = \{\lambda x. ALT_1(x), \lambda x. ALT_2(x)\}$

In (28a), which has an LF structure like (34), the focus value of the elliptical clause is determined by the intensifier *ziji*, rather than the subject *this guy*.



In order to derive the meaning of this LF structure, I have to posit a lifted version for the argument *ziji* and the intensifier *ziji*, as given in (35).

- (35) a. The lifted intensifier *ziji* (Eckardt 2001)

$$\llbracket \text{Lift}(ziji) \rrbracket = \lambda P_{\langle et \rangle} \lambda y [P(\text{ID}(y))]$$
b. The lifted argument *ziji* (Szabolcsi 1989)

$$\llbracket \text{Lift}(ziji) \rrbracket = \lambda Q_{\langle e, et \rangle} \lambda R_{\langle \langle et \rangle, \langle et \rangle \rangle} \lambda x [R(Q(x))(x)]$$

The ordinary value of IP is compositionally derived as (36b). Crucially, its focus value is induced based on the intensifier *ziji*, rather than the subject *this guy*, as in (36c). It is clear that the ordinary value of IP1 in the first clause belongs to the focus value of IP2. Thus, the focus condition is satisfied, and hence VP ellipsis is licensed.

- (36) a. $\llbracket \text{VP} \rrbracket = \lambda R_{\langle \langle et \rangle, \langle et \rangle \rangle} \lambda x [R(\lambda y [\text{criticize}(x)(y)])(x)]$
b. $\llbracket \text{ModP1} \rrbracket = \lambda x [\text{will-criticize}(x)(\text{ID}(x))]$
c. $\llbracket \text{IP2} \rrbracket = \text{will-criticize}(\text{this guy})(\text{ID}(\text{this guy}))$
d. $\llbracket \text{IP2} \rrbracket^f = \left\{ \begin{array}{l} \text{will-criticize}(\text{this guy})(\text{ALT}_1(\text{this guy})) \\ \text{will-criticize}(\text{this guy})(\text{ALT}_2(\text{this guy})) \end{array} \right\}$

$$= \left\{ \begin{array}{l} \text{Libai will criticize Dufu} \\ \text{Juyi will criticize Dufu} \end{array} \right\}$$

5 Conclusion

This paper has discussed a puzzle of repairing binding effects. Intensifier reflexives can save an elliptical clause from violating Binding Principle B and C. Moreover, I have shown that this puzzle cannot be accounted for by the three existing approaches to repairing binding effects. Finally, based on focus semantics, I suggest a plausible solution to this puzzle. Briefly speaking, an elliptical clause with an intensifier reflexive can contain a deleted reflexivized VP, which does not induce any violation of Binding Principle Bs or C. The focus feature of intensifier reflexives play a very important role, i.e., it guarantees that the reflexivized VP satisfies the focus condition of ellipsis (Rooth 1992a).

My proposed solution supports the focus semantics approach to intensifier reflexives (Eckardt 2001; Hole 2008). For some languages, such as Mandarin, argument reflexives have received much attention, while intensifier reflexives are not explored very deeply. The current work shows that focus semantics is a very useful tool to study the meaning and function of intensifier reflexives.

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