

# Revisiting pronominal typology

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## Abstract

The overarching goal of this paper is to shed new light on the debate of whether pronouns (*she / he / it*) generally have the syntax and semantics of definite descriptions (*the woman / the man / the thing*) or that of individual variables. As a case study, we investigate the difference between personal pronouns and demonstrative pronouns in German. We argue that the two types of pronouns have the same core make-up (both contain a null NP and a definite determiner), but demonstrative pronouns have additional functional structure that personal pronouns lack. This analysis is shown to derive both their communalities and their differences, and it derives the distribution of demonstrative vs. personal pronouns by means of structural economy constraints.

## 1. Background: the current debate

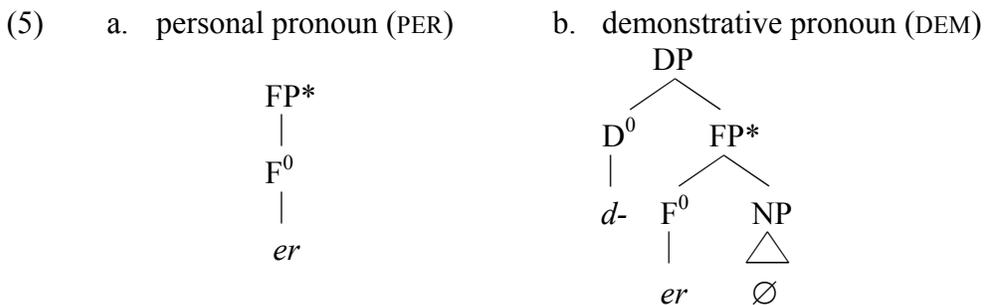
Traditionally, pronouns are taken to be the prime instantiation of individual-denoting variables in natural language (see Heim & Kratzer 1998, Büring 2011 for textbook overviews). For instance, the standard *pronouns-as-individual-variables* analysis of *she* in (1) would assume an LF along the lines of (2a-b), where the pronoun carries an individual index that represents a discourse referent in the contextually given assignment function  $g$ . In recent years, the question has taken new importance of whether 3rd person pronouns (*she*) and non-pronominal DPs (*the woman*) share identical syntactic structures and semantic interpretation. A view that treats both types of expressions alike was originally proposed in Postal (1966) and has received a new implementation in works of Elbourne (2005, 2013) and Sauerland (2007), amongst others. For a simple referential pronoun like *she* in (1), the *pronouns-as-definite-descriptions* analysis yields the LF in (3a); such analyses generally assume that the meaning of determiners is relativized to a restrictor situation, which we write as a subscripted  $\sigma_n$ , following the convention in Büring (2004). Nouns are treated as properties of type  $\langle e, \langle s, t \rangle \rangle$ , as given in (3b-c), based on Büring (2004:40), and Elbourne (2013:193); see Elbourne (2005:ch.6) and references therein for the treatment of proper names in (3c). The idea is that (2b) and (3d) end up picking out the same individual in a sentence like (1), but do so in different ways.

- (1) **Mary** went to a festival yesterday. **She** danced.
- (2) a. pronouns-as-individual-variables-LF of *she danced*: **she**<sub>7</sub> danced.  
b.  $\llbracket \text{she}_7 \rrbracket^g = g(7)$  where  $g$  is a contextual assignment that includes:  $[7 \rightarrow \text{Mary}]$
- (3) a. pronouns-as-definite-descriptions-LF of *she danced*: **[the] <sub>$\sigma_3$</sub>  Mary**] danced.  
b.  $\llbracket \text{woman} \rrbracket^g = \lambda x . \lambda s . x$  is a woman in  $s$   
c.  $\llbracket \text{Mary} \rrbracket^g = \lambda x . \lambda s . x$  is called Mary in  $s$   
d.  $\llbracket \text{the}_{\sigma_3} \text{ Mary} \rrbracket^g = \iota x [x$  is called Mary in  $g(\sigma_3)]$

To shed new light on the question of whether (2b) or (3d) is the more adequate analysis, we revisit the difference between personal pronouns (henceforth: PERS) and demonstrative pronouns (henceforth: DEMS),<sup>1</sup> illustrated for German in (4) (see Wiltschko 1998, Bosch et al. 2003, Bosch & Umbach 2007). In (4), both *er* ‘he’ and *der* ‘he, that one’ can refer back to the discourse referent associated with Maria’s neighbor, and no semantic difference between the two pronouns is apparent. While we use German as our object language for most of this paper, parallel distinctions arise in many languages: for instance, Portuguese contrasts *ela* (PER) with *esta* (DEM), French contrasts *elle* (PER) with *celle-ci* (DEM), and Hebrew contrasts *hi* (PER) with *ha-hi* (DEM).

- (4) Maria hat einen netten Nachbarn. {**Er** / **Der**} gießt im Sommer ihre Blumen.  
 Maria has a nice neighbor he<sub>PER</sub> he<sub>DEM</sub> waters in summer her flowers  
 ‘Maria has a nice neighbor. **He**(= her neighbor) waters her flowers in the summer.’

The relevance of the PER vs. DEM distinction becomes apparent immediately if we look at the different analyses that are on the market for the syntax of these pronouns, which are schematically illustrated in (6); here, *FP\** stands for one or more functional projections in the extended functional projection of the noun phrase. (6a) represents the analysis of Wiltschko (1998), in (5), who argues that only DEMS contain a null NP and a DP shell, while PERS simply spell out a functional projection (an AgrP/ $\Phi$ P in Wiltschko’s analysis).



The syntactic analysis in (6a)/(5) contrasts with the analysis in (6b), which assumes that both DEMS and PERS contain a null NP, while only DEMS contain a DP shell; such a view is hinted at in Dechaine & Wiltschko (2002:fn.5&p.438), though this is not the main focus of their paper. Finally, one may maintain a strongly uniform view, as in (6c), where PERS and DEMS do not differ at all; while authors may not explicitly argue for such a view, it appears to be implicit in Sauerland (2007), Elbourne (2005, 2013), and Hinterwimmer (2015), who pursue structural identity of DEMS, PERS and non-pronominal DPs.

(6)	a. <i>non-uniform I</i>	b. <i>non-uniform II</i>	c. <i>uniform</i>
DEM:	[DP D [FP* F [NP N]]]	[DP D [FP* F [NP N]]]	[DP D [FP* F [NP N]]]
PER:	[FP* F]	[FP* F [NP N]]	[DP D [FP* F [NP N]]]

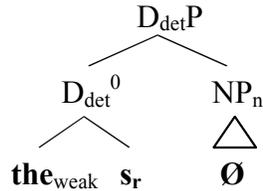
<sup>1</sup> It is far from clear that there is anything truly ‘demonstrative’ about so-called ‘demonstrative pronouns’ in German, which is why we will use the label DEM instead (and the label PER for ‘personal pronouns’).

Our goal is to tease apart which type of analysis ((6a), (6b), or (6c)) is most adequate to explain the difference between PERS and DEMS. The choice of analysis has clear semantic implications. From a perspective like (6a), DEMS are treated as definite descriptions, while PERS are analogized to individual variables. By contrast, (6b-c) entail that both DEMS and PERS are treated as something akin to a definite description, since they contain a null NP.

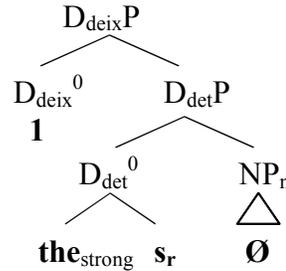
## 2. Our Proposal in a nutshell

In brief, we argue for a variant of (6b), as given in (7). Our analysis combines a Split-DP syntax (Ihsane & Puskás 2001, Laenzlinger 2005) with the semantics of Schwarz (2009). Specifically, we argue that all pronouns contain a null NP and a functional head with the semantics of the definite determiner (here symbolized as  $D_{det}$ ); demonstrative pronouns project an additional  $D_{deix}$  head that dominates an individual index (here:  $1$ ), i.e. the contrast between PERS and DEMS mirrors Schwarz’s (2009) distinction between weak and strong articles.<sup>2</sup> A personal pronoun, (7a), contains a weak determiner, which picks out a unique individual  $x$  in the restrictor situation  $s_r$  that has the NP-property  $NP_n$ , as given in (8a). By contrast, a demonstrative pronoun, (7b), contains a strong determiner, which requires an additional (index) argument that picks out an individual discourse referent, as given in (8b). For now, we remain agnostic as to whether the NP-property  $NP_n$  is encoded by a structurally represented noun or contextually retrieved via the assignment function  $g$ . We come back to this issue later. Section 3 motivates the internal uniformity of pronouns; section 4 lays out the details of the semantics and motivates a DP-shell analysis.

(7) a. *personal pronoun / PER (er)*



b. *demonstrative pronoun / DEM (der)*



(8) a.  $\llbracket \text{PER} \rrbracket^g = \llbracket (7a) \rrbracket^g = \iota x[\llbracket \text{NP}_n \rrbracket^g(x)(s_r)]$

b.  $\llbracket \text{DEM} \rrbracket^g = \llbracket (7b) \rrbracket^g = \iota x[\llbracket \text{NP}_n \rrbracket^g(x)(s_r) \ \& \ x = g(1)]$

where  $s_r$  abbreviates  $g(s_r)$ , and  $\llbracket \text{NP}_n \rrbracket^g$  represents the denotation of the null NP

What is central to our analysis is that it predicts that pronouns are subject to structural economy constraints in the pragmatics, i.e. (7a) should be more economical than (7b). In section 5, we implement this in terms of a generalized DP minimization principle

<sup>2</sup> Our proposal is foreshadowed by a note in Schwarz’s (2009:291) open questions section, where he speculates that the DEM vs. PER distinction may involve strong vs. weak determiners, as we argue.

(Chomsky 1981:65, Cardinaletti & Starke 1999:198, Schlenker 2005:391) and present different effects that are most adequately analyzed as reflections of structural economy.<sup>3</sup>

### 3. Motivating [ $\pm$ NP] Uniformity

Our core empirical claim in this section is that PERS and DEMS are internally alike, i.e. they do not systematically differ in that PERS always lack a null NP whereas DEMS always contain a null NP (as proposed by Wiltschko 1998). Wiltschko (1998) posits the distinction in (9) (see also Patel-Grosz & Grosz 2010).

- (9) a. personal pronoun / PER                      b. demonstrative pronoun / DEM



Wiltschko provides an empirical argument based on a difference that she reports in (10c) vs. (10d). She argues that DEMS must match an antecedent’s grammatical gender, as in (10c), which is attributed to DP-internal concord with the elided NP *Mädchen* ‘girl’. As shown in (10b), such DP-internal concord does not allow for gender mismatch. By contrast, PERS exhibit gender mismatch, as shown in (10d), which Wiltschko attributes to

<sup>3</sup> At this point, a reader may begin to wonder if (and how) our analysis carries over to truly demonstrative elements. In German, *der* as an article is often assumed to be ambiguous between a regular definite determiner *der* ‘the’ and a demonstrative determiner *der* ‘that’ (Heim 1991, Leu 2008:17, Schwarz 2009:34). Leu (2008:17) argues that intonation disambiguates, and thus (i.) contains the definite determiner, whereas (ii.) contains a demonstrative determiner.

- i. *der* TISCH                      ii. *DER* Tisch  
the table                              that table  
‘the table’                              ‘that table’

Parallel contrasts can be found with DEMS, as in (iii.) vs. (iv.), i.e. we could conjecture that *der* is a true demonstrative in (iv.), but not in (iii.).

- iii. *der* hat das geMACHT.                      iv. *DER* hat das gemacht.  
DEM has this done                              DEM has this done  
‘He did this.’                                      ‘It was HE/THAT ONE who did this.’

We will remain agnostic on this issue, as it is secondary under our view whether demonstrative pronouns contain the strong definite article or an actual demonstrative: Ihsane & Puskás (2001:47) argue (based on Bernstein 1997) that true demonstratives are base-generated below  $D_{det}^0$  and may undergo head movement into  $D_{det}^0$  (and then further up into  $D_{deix}^0$ ); alternatively, the entire DemP may undergo phrasal movement to  $SpecD_{deix}^0$ . The first of these two options is illustrated in (v.) for French *ce bâtiment* ‘this building’.

- v. [<sub>D-deixP</sub> *ce*<sub>i</sub> [<sub>D-detP</sub> *t*<sub>i</sub> [<sub>FP</sub> [<sub>DemP</sub> *t*<sub>i</sub>] [<sub>F'</sub> *F*<sup>0</sup> *bâtiment*] ]]]  
(adapted from Ihsane & Puskás 2001:47, using our labels)

the fact that they lack an NP (and thus DP-internal concord). Crucially, the judgment in (10c) is controversial, which is why we put the asterisk in angle brackets.

- (10) a. **Ein Mädchen** kam zur Tür herein.  
 a.N girl(N) came to.the door in
- b. {<sup>OK</sup>**Das Mädchen** / \***Die Mädchen**} war schön.  
 the.N girl(N) the.F girl(N) was beautiful
- c. {<sup>OK</sup>**Das** / <\*>**Die**} war schön.  
 DEM.N DEM.F was beautiful
- d. {<sup>OK</sup>**Es** / <sup>OK</sup>**Sie**} war schön.  
 PER.N PER.F was beautiful  
 ‘A girl came through the door. {The girl / She} was beautiful.’  
 (Wiltschko 1998:163-164; her judgments)

In what follows, we first present corpus data that falsify the empirical claim in (10). We then proceed to discuss experimental data, which further corroborate a view from which the difference between PERS and DEMS is not correlated with a [ $\pm$ NP] difference.

### 3.1 Corpus data in favor of a uniform approach to pronouns

We collected data from two large corpora, the *DeReKo* of the IDS Mannheim, using the *COSMAS II* web application, and the *DeWaC* corpus (Baroni et al. 2009), using the *CQP* web application of the HU Berlin. A qualitative analysis of the data clearly challenges the core intuition in (10c): we found that gender-mismatched demonstrative pronouns occur, and the corpus examples are judged acceptable by native speakers. First, we collected more than 30 examples of a demonstrative pronoun *die* ‘she’ in the front field of a juxtaposed verb second clause. Representative examples are given in (11)-(13), which are from newspapers representing three different German varieties.

- (11) Ich kann mich an **ein Mädchen** erinnern, **die** traute sich nicht mal  
 I can self to a girl.NEUT remember DEM.FEM dared self not even  
 die Stiegen hinauf  
 the stairs up  
 ‘I remember a girl, she didn’t even dare to walk up the stairs.’  
 (DeReKo: Niederösterreich. Nachrichten, 07/2013 [AUSTRIA])

- (12) Meine zwei besten Pferde werden zum Beispiel von **einem kleinen**  
 my two best horses are for example by a little  
**Mädchen** geritten. **Die** macht das toll.  
 girl.NEUT ridden DEM.FEM makes that great  
 ‘For example, my two best horses are ridden by a little girl. She does a great job.’  
 (DeReKo: Braunschweiger Zeitung, 03/2007 [GERMANY])

- (13) Wir hatten in der Sek **ein Mädchen**, **die** war fast so etwas  
 we had in the sec a girl.NEUT DEM.FEM was almost so something  
 wie die Klassenmutter.  
 like the class.mother  
 ‘We had **a girl** in secondary school, **she** was like a class mother.’  
 (DeReKo: Zürcher Tagesanzeiger, 01/1996 [SWITZERLAND])

Examples with gender-mismatched *die* in a non-initial position are rarer, but attested, as given in (14).

- (14) [er] hat zwei Stunden mit **einem Mädchen** gespielt, bevor **die** mir  
 he has two hours with a girl.N played before DEM.F me  
 dann gesagt hat, daß ihre kleine Schwester gerade Windpocken gehabt hat  
 then said has that her little sister just chickenpox had has  
 ‘[At a playground,] he [= the speaker’s son at age 1.5] once played with **a girl** for  
 two hours, before **she** told me that her sister had just had chickenpox [...]’  
 (DeWaC 3: position 264224157)

Strikingly, even more examples ( $n > 190$ ) involve gender-mismatched relative pronouns; this observation is important since relative pronouns are generally analyzed uniformly with demonstrative pronouns (e.g. Wiltschko 1998; Trutkowski & Weiß to appear); a representative example is given in (15). Overall, the relative clause examples seem to involve specific indefinites and appositive relatives (cf. de Vries 2012), as witnessed by the possibility of paraphrasing (15) as in (16) without a noticeable change in meaning.

- (15) Dann habe ich **ein Mädchen** kennengelernt, **die** mich zu einem  
 then have I a girl.NEUT met REL.FEM me to a  
 Grillabend in den Stadtpark einlud.  
 BBQ into the city.park invited  
 ‘Then I met **a girl who** invited me to a BBQ in the city park.’  
 (DeReKo: Hamburger Morgenpost, 07/2011)

- (16) Dann habe ich **ein Mädchen** kennengelernt, und **die** lud mich zu  
 then have I a girl.NEUT met and DEM.FEM invited me to  
 einem Grillabend in den Stadtpark ein.  
 a BBQ into the city.park V.PRT  
 ‘Then I met **a girl** and **she** invited me to a BBQ in the city park.’

We conclude that the corpus data falsify the empirical claim in (10c) and thus undermine the empirical basis for positing a [+NP] vs. [-NP] distinction amongst DEMs and PERS, respectively. Specifically, the corpus data show that gender mismatches are equally possible with both types of pronouns. This is compatible both with a uniform [+NP] approach and with a uniform [-NP] approach. In section 3.3, we discuss uniform [+NP] approaches in some more detail, addressing the question of how to account for gender

mismatch if, say, the NP has to be structurally represented. For now, the main conclusion is that a [+NP] vs. [-NP] distinction between pronominal paradigms is unmotivated.<sup>4</sup>

Before moving on to experimental data, it is worth pointing out that other types of feature mismatch pattern alike. For instance, the neuter singular noun *Ehepaar* ‘married couple’ can combine with a plural relative pronoun *die* ‘who’, as shown in (17).

- (17) a. Afternoon tea mit **einem alten englischen Ehepaar**, **die**  
 afternoon tea with an older English married.couple.N.SG who.PL  
 sich die Reise zum 50. Hochzeitstag gegönnt haben.  
 self the journey for.the 50<sup>th</sup> anniversary allowed have  
 ‘Afternoon tea with an older English married couple who treated themselves to  
 the journey for their 50<sup>th</sup> anniversary.’  
 (DeWaC 3: position 227235504)
- b. Ich kenne hier **ein türkisches Ehepaar**, **die** beide in  
 I know here a Turkish married.couple.N.SG who.PL both in  
 Deutschland studiert haben.  
 Germany studied have  
 ‘I know a Turkish married couple here, who both studied in Germany.’  
 (DeWaC 6: position 165246523)

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<sup>4</sup> Before we conclude this section, two methodological remarks are in order.

First, we are using the corpus data to make a qualitative claim to the end that gender-mismatched demonstrative pronouns (and relative pronouns) are possible. While *die* appears to be less frequent than *das* in the relevant contexts, a quantitative / statistical comparison of relative frequencies (e.g. comparing the ratio of *das/die* with the ratio of *es/sie*) is not insightful at this point since there are many factors at play that can be assumed to distort the numbers, including politeness considerations (which may favor *sie* ‘she’ over all competing forms), the general markedness of DEMs that we argue for (which requires suitable licensing conditions to be at play), and the potential ambiguity of *das/die* (as discussed in footnote 3).

Second, there is evidence from newspapers and journals that strongly indicates that gender-mismatched demonstrative and relative pronouns are tolerated by native speakers, as they are reprinted in spite of copy-editing. We have found two particularly relevant instances of gender-mismatched relative pronouns. Example (i.) from the *DeReKo* is a quote from an interview, which has been reprinted identically in three daily newspapers (*Mannheimer Morgen*, *Nürnberger Nachrichten*, and *Die Presse*) in July 2013.

- i. „Es gab schon **ein Mädchen, die** eine Kampagne für ihren Hund gestartet hat“  
 it gave already a girl REL.FEM a campaign for her dog started has  
 ‘There has already been a **girl who** started a campaign for her dog.’

Similarly, the *DeReKo* corpus contains two variants of a newspaper article (*Rhein-Zeitung*) from January 14, 2006, where (iii.) is presumably a revised version of (ii.). As indicated, the author/editor did not correct the gender-mismatch on the relative pronoun (whereas s/he corrected, for instance, *ein* ‘a’ / *ihr* ‘her’).

- ii. als er **einem jungen Mädchen** begegnete, **die** ein Baby in einem Tuch trug.  
 when he a young girl met REL.FEM a baby in a cloth carried  
 ‘[... an experience in Ruanda,] where he met a **young girl who** carried a baby in a cloth.’
- iii. Dort sei er **einem jungen Mädchen** begegnet, **die** ihr Baby in einem Tuch trug.  
 there be he a young girl met REL.FEM her baby in a cloth carried  
 ‘[... an experience in Ruanda:] There, he met a **young girl who** carried her baby in a cloth.’  
 (DeReKo: Rhein-Zeitung, 01/2006)

### 3.2 Experimental data in favor of a uniform approach to pronouns

In this section, we discuss experimental data that yield additional support for a uniform approach over a non-uniform approach. We carried out an experiment with the aim of testing the predictions of a uniform vs. non-uniform view on whether pronouns contain a structurally represented null NP. To do so, we focused on the observation that pronouns exhibit a preference for an explicit NP antecedent, which must not be part of another word (Postal 1969; see Grosz et al. 2014 for discussion). Specifically, we are interested in cases where the intended antecedent is part of a N+N compound, as in (18). As shown in (18a) vs. (18b-c), this *Overt NP Constraint* has been argued to be a variable constraint.

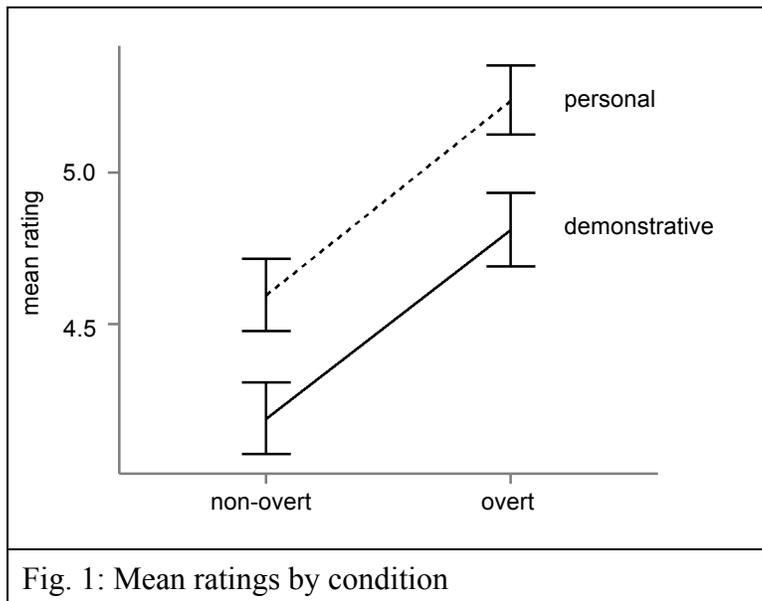
- (18) a. ?<sup>(\*)</sup> Every [<sub>N</sub> **donkey-owner**] beats **it**.  
 (Heim 1982:80)
- b. <sup>OK</sup> Every [<sub>N</sub> **academy award winner**] treasures **it** for the rest of his life.  
 (Ward 1997:203)
- c. <sup>OK</sup> Every [<sub>N</sub> **Siberian husky owner**] needs to give **it** lots of exercise.  
 (Jacobson 2001)

However, in a language that differentiates between different types of pronouns, we may expect the type of pronoun (DEM vs. PER) to interact with the Overt NP Constraint. If DEMs are [+NP] and PERS [-NP], the prediction is that the former are structurally resolved (mirroring the licensing of, say, VP deletion) and the latter pragmatically, in the spirit of Hankamer & Sag's (1976) and Sag & Hankamer's (1984) *surface anaphora* vs. *deep anaphora*. This would predict that the *Overt NP Constraint* should be stronger in the structurally resolved DEMs than in the pragmatically resolved PERS. By contrast, if such a distinction is missing, we expect the two types of pronouns to exhibit parallel effects of the "Overt NP Constraint".

A sample item is schematically given in (19). We crossed two factors, *overtness* and *pronoun type*. The values for *pronoun type* are 'personal' (*ihn* 'him') and 'demonstrative' (*den* 'him'). For *overtness*, the 'non-overt' condition contained the intended antecedent as part of an N+owner compound (here: *Führerscheinbesitzern* 'driver's license owner'), whereas the 'overt' condition contained the intended antecedent as a separate NP (here: *Führerscheins* 'driver's license' in *Besitzerin eines Führerscheins* 'owner of a driver's license').

- (19) Wenn eine Studentin {**Führerscheinbesitzerin** / **Besitzerin eines Führerscheins**}  
 if a student drivers.license.owner owner of.a drivers.license  
 ist, dann trägt sie {**ihn** / **den**} meist im Geldbeutel mit sich.  
 is then carries she PER DEM mostly in.the wallet with self  
 'If a student is {a driver's license owner / an owner of a driver's license}, then she usually carries {it / DEM} around in her wallet.'





The experimental findings support a uniform analysis over a non-uniform analysis, thus providing further support to the view that PERS and DEMS do not differ along  $[\pm\text{NP}]$  lines.

### 3.3 Support for a uniform $[\text{+NP}]$ view

We conclude, based on the discussion in sections 3.1 and 3.2, that one of the following views must be correct: (i.) PERS and DEMS always contain a null NP; (ii.) PERS and DEMS always lack a null NP; or (iii.) PERS and DEMS can each sometimes contain a null NP and sometimes lack a null NP. Our core proposal thus amounts to the insight that PERS and DEMS cannot systematically differ along the  $[\text{+NP}]$  vs.  $[\text{-NP}]$  divide (i.e. it cannot be the case that DEMS systematically contain a null NP, whereas PERS systematically lack a null NP); nevertheless, we now present preliminary evidence for the view that PERS and DEMS always contain a null NP, which we assume for the purposes of this paper.

The core argument concerning the question of whether all pronouns are  $[\text{-NP}]$  or  $[\text{+NP}]$  stems from Elbourne (2005, 2013) and Sauerland (2007), who argue that all pronouns are definite descriptions, which contain at least a null NP and a definite determiner.<sup>7</sup> Sauerland's (2007:205) argument in favor of  $[\text{+NP}]$  uniformity is the following: in sentences like (21), where the respective pronoun has an inanimate antecedent, the grammatical gender features of the pronoun (e.g. masculine if the antecedent is a spoon) are uninterpreted, which raises the question of how they arise.

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argue, only DEMS), and that no suitable discourse referent is introduced for that index in our non-overt conditions; this hypothesis is falsified in section 4, particularly in the discussion of (34)-(38).

<sup>7</sup> While the view of pronouns as definite descriptions has been predominant in the literature on so-called *donkey pronouns* (e.g. Parsons 1978, Cooper 1979, Heim 1990, and subsequent work), see Elbourne (2013:194-201) for an analysis of bound pronouns and deictic referential pronouns as definite descriptions.

- (21) a. Tim hat **einen** **Löffel** gestohlen. **Er** war aus Gold.  
 Tim has a.MASC spoon stolen *pro*.MASC was of gold
- b. Tim hat **eine** **Gabel** gestohlen. **Sie** war aus Gold.  
 Tim has a.FEM fork stolen *pro*.FEM was of gold
- c. Tim hat **ein** **Messer** gestohlen. **Es** war aus Gold.  
 Tim has a.NEUT knife stolen *pro*.NEUT was of gold
- ‘Tim stole a spoon/fork/knife. It was made of gold.’ (Sauerland 2007:205)

Sauerland argues that if we assume that all pronouns contain an NP, grammatical  $\phi$ -features on pronouns simply reflect concord between a determiner and a null NP.

- (22) Tim hat [DP **einen** [NP **Löffel**]] gestohlen. [DP **Er** [NP **Löffel**]] war aus Gold.  
 Tim has a.M spoon.M stolen *it*.M spoon.M was of gold
- 

Elbourne (2013:201) provides parallel examples from French (which he attributes to Tasmowski-De Ryck & Verluyten 1982:328), as quoted in (23) and (24).

- (23) (*Jean is trying to stuff a large table [la table, feminine] into the boot of his car; Marie says:*)  
 Tu n’ arriveras jamais à { **la** / **\*le** } faire entrer dans  
 you not arrive-FUT-2sg never to it-FEM it-MASC make enter into  
 la voiture.  
 the car  
 ‘You’ll never manage to get it into the car.’

- (24) (*Same scenario, but with a desk [le bureau, masculine]:*)  
 Tu n’ arriveras jamais à { **\*la** / **le** } faire entrer dans  
 you not arrive-FUT-2sg never to it-FEM it-MASC make enter into  
 la voiture.  
 the car  
 ‘You’ll never manage to get it into the car.’

Notably, the French pronouns *la* ‘she’ and *le* ‘he’ are generally analyzed as clitics (e.g. Cardinaletti & Starke 1999), and the same observation carries over to clitic pronouns in Bavarian, as given in (25). The pattern in (25) indicates that clitic personal pronouns contain a null NP, responsible for their  $\Phi$ -features, just like full personal pronouns (*pace* Dechaine & Wiltschko 2002:439, who speculate that clitic pronouns may be  $\Phi$  heads that do not select a null NP).

- (25) a. Da Tim hât **an** **Leffl** gstuin. Und i hâb’**m** gfundn.  
 the Tim has a.MASC spoon stolen and I have=*pro*.MASC found

- b. Da Tim hât a **Gåbl** gstuin. Und i hâb's gfoundn.  
 the Tim has a.FEM fork stolen and I have=*pro*.FEM found
- c. Da Tim hât a **Messa** gstuin. Und i hâb's gfoundn.  
 the Tim has a.NEUT knife stolen and I have=*pro*.NEUT found  
 'Tim stole a spoon/fork/knife. And I found it.'

To conclude this section, some qualification is in place. We have seen that a wide array of pronouns (clitic personal pronouns, non-clitic personal pronouns and demonstrative pronouns) exhibit matching in grammatical gender with their antecedent; at the same time, the same types of pronouns exhibit gender mismatch with nouns like *Mädchen* 'girl'.<sup>8</sup> This situation is summarized in (26).

- (26) Ich kenne **ein Mädchen**. **Sie** / **Es** / **Die** / **Das** lebt nebenan.  
 I know a girl P.F.SG P.N.SG D.F.SG D.N.SG lives next.door  
 'I know a girl. she lives next door.'

Naturally, if we accept the above argumentation from (21)-(25), then we encounter somewhat of a conundrum here. On the one hand, the grammatical gender features on the pronoun (neuter singular on *es* 'it' and *das* 'it') indicate that there must be a structurally represented null NP, as in (22). On the other hand, we need a means to account for gender-mismatched pronouns (feminine singular on *sie* 'she' and *die* 'she'), which does not follow from DP-internal concord with an elided *Mädchen* (see (10b) above).

There are two possible solutions to this puzzle: (i.) either we assume that pronouns may contain a structurally represented null NP, accounting for grammatical gender matching, but they can also lack such an NP, accounting for matching in natural gender, i.e. gender mismatch (this may involve presuppositional gender features, cf. Cooper 1979); (ii.) or we maintain that pronouns always contain a structurally represented null NP, but there is a limited set of dummy null NPs, which have grammatical gender marking that corresponds to the natural gender of possible referents. For *Mädchen* 'girl', the gender mismatched pronoun would then contain the structural null NP in (27).

- (27)  $\llbracket [_{NP} \emptyset_{FEM} ] \rrbracket = \lambda x . \lambda s . x$  is one or more females in  $s$   
 (based on Kratzer 2009:221)

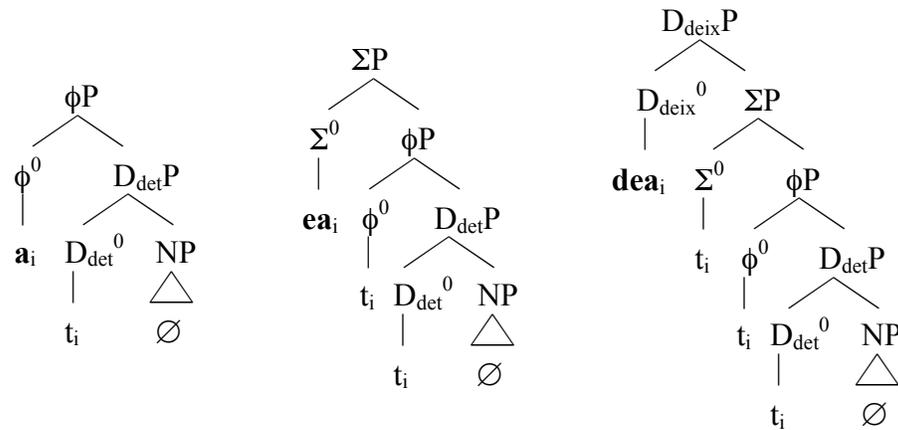
To conclude section 3, we have argued that PERS and DEMS at least sometimes contain a structurally represented null NP (accounting for grammatical gender marking on pronouns); we have also argued that a view where they always contain such a null NP is at least conceivable, though we lack strong evidence.

<sup>8</sup> A Bavarian example with neuter singular *Madl* 'girl' and a gender-mismatched clitic is given in (i.).

- i. Da Tim hât ma a **Madl** foagstôht. I hâb mit **ia** gredt.  
 the Tim has to.me a girl.N.SG introduced I have with her.F.SG spoken  
 'Tim introduced a girl to me. I spoke to her.'

One may, at this point, wonder how we account for the difference between clitic personal pronouns and non-clitic personal pronouns in the system that we outlined above. While this will be secondary to our discussion, we can assume that the grammatical, purely formal  $\Phi$ -features that we discussed, are encoded in a functional head that is present in all overt pronouns (but plausibly absent in null pronouns). What clitic pronouns may lack is another purely formal projection that encodes prosodic information, allowing them to be prosodic words in their own right; for this, we can adopt the  $\Sigma$ P of Cardinaletti & Starke (1999) (see also Wiltschko 1998 for discussion). For concreteness' sake, we include a complete illustration of the three Bavarian versions of the 3<sup>rd</sup> person masculine singular pronoun (*a* / *ea* / *dea* 'he') in (28). We mark a head movement chain that connects the different functional heads in the spirit of Laenzlinger (2005:665-666), but nothing hinges on such movement; alternatively, the different heads may well be spelled out *in situ* (possibly in a decompositional manner as depicted in Wiltschko 1998). Note that, in order to simplify, we assume that the  $\Phi$ P and the  $\Sigma$ P in (28) are purely formal (encoding grammatical features), and thus semantically vacuous. Semantically interpreted  $\Phi$ P's would have to be located above the  $D_{deix}$ P in the case of demonstrative pronouns, assuming that they denote partial identity functions on individuals (i.e. functions of type  $\langle e, e \rangle$ ).<sup>9</sup>

(28) a. clitic pronoun                      b. personal pronoun                      c. demonstrative pronoun



Having thus outlined the basic model, we proceed to discuss the semantics of pronouns, which motivates the two distinct  $D$  positions  $D_{det}$  and  $D_{deix}$ .

#### 4. Motivating DP-Shells in pronouns

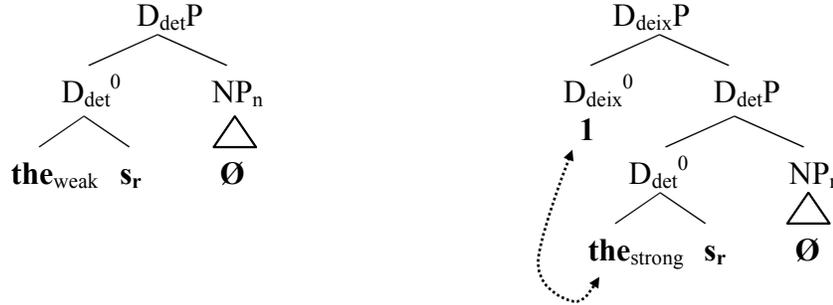
So far, we have argued that personal and demonstrative pronouns contain a null NP of type  $\langle e, t \rangle$ , or rather  $\langle e, st \rangle$ , as illustrated in (29).

<sup>9</sup> Since we assume (for present purposes) that  $\Phi$ P and  $\Sigma$ P are semantically vacuous, (28a) and (28b) both have the LF / interpretation in (7a)/(8a), whereas (28c) has the LF / interpretation in (7b)/(8b).

(29)  $\llbracket \llbracket \text{NP Mädchen} \rrbracket \rrbracket = \lambda x . \lambda s . x \text{ is a girl in } s$

Since both types of pronouns denote individuals, the most plausible assumption is that both contain a definite determiner, which we locate in a lower  $D$  head,  $D_{det}$  in (30a-b). In the spirit of Schwarz (2009), we assume that  $D_{det}$  can be weak, (31a), or strong, (31b).

(30) a. *personal pronoun / PER (er)*                      b. *demonstrative pronoun / DEM (der)*



(31) a.  $\llbracket the_{weak} \rrbracket^g = \lambda s_r . \lambda P_{\langle e, st \rangle} : \exists ! x [P(x)(s_r)] . \iota x [P(x)(s_r)]$   
 b.  $\llbracket the_{strong} \rrbracket^g = \lambda s_r . \lambda P_{\langle e, st \rangle} . \lambda y : \exists ! x [P(x)(s_r) \ \& \ x = y] . \iota x [P(x)(s_r) \ \& \ x = y]$   
 (Schwarz 2009:148,260,299; stylistically adapted)

For any null NP ( $NP_n$ ) and resource situation  $s_r$ , (30) and (31) will yield the pronominal meanings in (32a-b). In words, both PERS and DEMs pick out a unique individual  $x$  that has the NP property in the resource situation  $s_r$ .<sup>10</sup> In addition, DEMs contain an anaphoric index (see Schwarz 2009:258 for the strong article), which imposes identity of the pronoun's referent with a salient discourse referent. For concreteness' sake, we assume that this index is hosted in a higher  $D_{deix}$  position, in line with the Split-DP syntax of Ihsane & Puskas (2001) and Laenzlinger (2005). However, our core proposal only requires the presence of an anaphoric index to correlate with additional structure; i.e. nothing hinges specifically on the choice of treating this as a projecting  $D_{deix}$  head, and the index may alternatively be located in a specifier of  $D_{det}P$ .<sup>11</sup>

(32) a.  $\llbracket PER \rrbracket^g = \llbracket (30a) \rrbracket^g = \iota x [\llbracket NP_n \rrbracket^g(x)(s_r)]$   
 b.  $\llbracket DEM \rrbracket^g = \llbracket (30b) \rrbracket^g = \iota x [\llbracket NP_n \rrbracket^g(x)(s_r) \ \& \ x = g(1)]$   
 where  $s_r$  abbreviates  $g(s_r)$ , and  $\llbracket NP_n \rrbracket^g$  represents the denotation of the null NP

<sup>10</sup> For a discussion of resource situations, see Schwarz (2009:95).

<sup>11</sup> Ihsane & Puskás (2001:40) assume that the lower D head (our  $D_{det}$ ) is responsible for “select[ing] one object in the class of possible objects” ( $\approx$  uniqueness), whereas the higher D head (our  $D_{deix}$ ) “relates [the DP] to pre-established elements in the discourse” ( $\approx$  anaphoricity). Conceptually, the connection between a Split-DP syntax and a Schwarz-style semantics is thus evident.

The idea that an anaphoric index is inserted if and only if  $D_{det}$  contains a strong determiner follows in the semantics, since a type mismatch would occur otherwise. In (30a), the denotation of the  $D_{det}P$  is of type  $e$ , i.e. it cannot trivially combine with another element of type  $e$  (such as an anaphoric index). By contrast, in (30b), the denotation of the  $D_{det}P$  is of type  $\langle e, e \rangle$  due to the additional argument position of the strong article, meaning that it requires an additional argument (provided in the  $D_{deix}$  head in (30b)).

We now discuss empirical arguments for the distinction in (32). First, it can be shown that DEMs are unacceptable in contexts parallel to the ones that disallow strong determiners. Schwarz (2009) observes that strong determiners (which are detected by their inability to contract with prepositions) are infelicitous in non-anaphoric cases like (33). Here, the existence of a unique mayor is presupposed, but he has not been mentioned in the preceding discourse, i.e. no salient discourse referent has been introduced, as would be required by (32b).

- (33) Der Empfang wurde {vom / #von dem} Bürgermeister eröffnet.  
 the reception was by=the<sub>w</sub> by the<sub>s</sub> mayor opened  
 ‘The reception was opened by the mayor.’  
 (Schwarz 2009:40, stylistically adapted)

A parallel effect arises in (34a), the German translation of an English example from Roelofsen (2008:92). Here, a unique referent for *it* can be inferred (namely: ‘the baby’), but no corresponding discourse referent has been explicitly introduced. Therefore, *es* ‘it’ is acceptable, in line with (35a), whereas *das* ‘it’ fails to find a discourse referent in  $g$  for its referential index, as shown in (35b).<sup>12</sup> Naturally, example (34b) permits both pronouns, since a discourse referent is explicitly introduced by the indefinite DP *ein Kind* ‘a child’.

- (34) a. Wenn ich schwanger werde, werde ich {es / #das} auf jeden Fall behalten.  
 if I pregnant become will I it dem on every case keep  
 ‘If I get pregnant, I will definitely keep {it / #DEM}(= the baby).’  
 b. Wenn ich ein Kind kriege, werde ich {es / das} auf jeden Fall behalten.  
 if I a child get will I it dem on every case keep  
 ‘If I have a child, I will definitely keep {it / DEM}(= the baby).’  
 (adapted from Patel-Grosz & Grosz 2010:349)

- (35) a.  $[[es]]^g = \iota x[baby(x)(s_r)]$  predicts: ✓(34a) / ✓(34b)  
 b.  $[[das]]^g = \iota x[baby(x)(s_r) \ \& \ x = g(1)]$  predicts: \* (34a) / ✓(34b)

A reader will have noticed that (34a) may be taken to be a reflection of the *Overt NP Constraint*, which we discussed in 3.2. There, however, we have provided experimental evidence that personal pronouns and demonstrative pronouns pattern alike with respect to

<sup>12</sup> Compare Schwarz (2009:74-75): “the strong article generally depends on [a linguistic] antecedent.”

an antecedent that is subpart of a word, as in (36); so, why should the difference in (35a) vs. (35b) not affect the acceptability ratings for (36)?

- (36) Wenn eine Studentin {**Führerschein**besitzerin / Besitzerin eines **Führerscheins**}  
 if a student drivers.license.owner owner of.a drivers.license  
 ist, dann trägt sie {**ihn / den**} meist im Geldbeutel mit sich.  
 is then carries she PER DEM mostly in.the wallet with self  
 ‘If a student is {a driver’s license owner / an owner of a driver’s license}, then she usually carries {it / DEM} around in her wallet.’

We suggest the following explanation: the core difference between (34) and (36) is that (34) lacks an antecedent altogether, whereas there is an overt antecedent in (36) (though it is contained in a compound).<sup>13</sup> For present purposes, we conjecture that the compound case, (36), still succeeds in introducing a discourse referent *g(I)* for the driver’s license (thus satisfying the anaphoricity requirement of (35b)), which appears to fail in (34). The idea that antecedents in N+N compounds can still introduce or activate discourse referents is corroborated by a range of examples from Ward, Sproat & McKoon (1991), such as (37), which all appear to introduce actual discourse referents from within a compound (rather than just making some unique individual salient, as in (34a)).

- (37) There’s a **Thurber** story about **his** maid ...  
 (Michael Riley in conversation; Sept. 7, 1988; Ward, Sproat & McKoon 1991:451)

Two additional examples that are parallel to (34a) are given in (38).

- (38) a. Hans hat so sehr geblutet, dass {**es / \*das**} durch den Verband  
 Hans has so much bled that it DEM through the bandage  
 gedrunken ist und sein Hemd verschmutzt hat.  
 soaked is and his shirt stained has  
 ‘Hans bled so much that {**it / \*DEM**} (= the blood) soaked his bandages and stained his shirt.’  
 (based on Anderson 1971:46, adapted from Patel-Grosz & Grosz 2010:350)
- b. Manche Frauen sind schon seit mehr als zwanzig Jahren verheiratet  
 many women are already for more than twenty years married  
 und wissen noch immer nicht, was {**sein / \*dessen**} Lieblingsbier ist.  
 and know still always not what his DEM’s favorite.beer is

<sup>13</sup> Note that the experimental investigation in section 3.2 was partly motivated by the unclear judgments with respect to (36); contrastively, native speaker’s judgments are very sharp for (34). Of course, it would be optimal if experiments could also be carried out to test the judgments in (34), but this is complicated by the fact that natural examples of the (34a) type are rare to begin with, cf. Roelofsen (2008) and Nouwen (2003). For instance, while *pregnant* seems to license a *baby*-referring pronoun *it*, *orphan* does not seem to license a *parents*-referring pronoun *they*, as shown in (i.), making it difficult to establish a baseline.

i. # Max is an orphan and he deeply misses **them**. (Postal 1969:206)

‘Some women have been married for more than twenty years and still do not know what {**his** / \*DEM’s}(= the husband’s) favorite beer is.’  
 (based on Roelofsen 2008:122, adapted from Patel-Grosz & Grosz 2010:348)

Examples that allow for DEMs, but not for PERS, are more difficult to construct. Schwarz (2009) takes (39B<sub>1</sub>) to show that the strong article is anaphoric, whereas the weak article only encodes uniqueness. The intuition is that there is no single student in (39B<sub>1</sub>) who is salient enough to count as the unique student in the restrictor situation, i.e. the DP ‘the student’ in (39B<sub>1</sub>) requires an anaphoric connection to ‘a student’ in (39A); as shown, only the strong article is possible in (39B<sub>1</sub>). This effect can only be replicated for demonstrative vs. personal pronouns to a limited extent, as shown by our example in (39B<sub>2</sub>); *von ihm* ‘from him’ is less acceptable in this case than *von dem*, but the difference is not as strong as in (39B<sub>1</sub>). A possible explanation can be found in the words of Schwarz (2009:74-75): while “the weak article is not generally able to pick up a linguistic antecedent”, apparent counterexamples may simply “work because the referent of the definite is unique in the appropriate way”. If it is part of the pragmatic use conditions of pronouns that their intended antecedent is highly salient (e.g. Ariel 1990), this alone may render the antecedent *unique in the appropriate way*; the distinction that surfaces in (39B<sub>1</sub>) may thus be effaced in (39B<sub>2</sub>) by the properties of pronouns that set them apart from non-pronominal DPs. (For instance, suitable resource situations *s<sub>r</sub>* for pronouns may be smaller to begin with than resource situations for definite descriptions.)

(39) A: Hast du schon mal **einen Studenten** durchfallen lassen?  
 have you already once a student fail let  
 ‘Have you let **a student** fail a test before?’

B<sub>1</sub>: Ja. {**Von dem** / #vom} **Studenten** habe ich nie wieder etwas gehört.  
 yes of the<sub>s</sub> of=the<sub>w</sub> student have I never again something heard  
 ‘Yes. I never heard **from the student** again.’

(Schwarz 2009:31, stylistically adapted)

B<sub>2</sub>: Ja. {**Von dem** / ? **von ihm**} habe ich nie wieder etwas gehört.  
 yes of DEM of him have I never again something heard  
 ‘Yes. I never heard **from him** again.’

Additional (though weaker) evidence for grouping PERS with weak articles and DEMs with strong articles stems from constructions with relative clauses. Schwarz (2009) shows, based on examples like (40a), that restrictive relative clauses cannot modify a DP that contains a weak article. Correspondingly, our example in (40b) shows that a restrictive relative clause cannot generally modify a personal pronoun. (Both examples are acceptable with a non-restrictive appositive relative clause.)<sup>14</sup>

<sup>14</sup> Another possible exception to our generalization are Elbourne’s (2013:205-209) *Voldemort phrases*, but these clearly exhibit a specialized use of restrictive relative clauses, which is archaic and not productive (see Zobel 2014).

- (40) a. Fritz ist jetzt { **in dem** / #im } **Haus**, das er gebaut hat.  
 Fritz is now in the<sub>s</sub> in=the<sub>w</sub> house that he built has  
 ‘Fritz is now in the house that he built.’  
 (Schwarz 2009:286, based on Hartmann 1978:77)
- b. Ein Lehrer belohnt immer { **den** / #ihn }, der aufzeigt.  
 a teacher rewards always DEM him who raises.his.hand  
 ‘A teacher always rewards him (= ‘the pupil’) who raises his hand.’

A full explanation for the pattern in (40) is beyond the scope of this paper; Schwarz (2009:286-288) himself merely hints at a solution. One possible explanation may be that restrictive relative clauses must be syntactically licensed (or even selected) by a *D<sub>deix</sub>* head, which only occurs with strong determiners. Evidence that such syntactic licensing relationships are at least involved in the case of PERS stems from the fact that PERS (as opposed to DEMS, which take the shape of a definite determiner) cannot combine with an overt NP, as shown in (41a) vs. (41b).

- (41) a. er (\*Tisch)                      b. der (Tisch)  
 he table                                DEM/the table  
 ‘it (\*table)’                            ‘it / the table’

Furthermore, DEMS differ from PERS in that only DEMS seem to be able to strand complement PPs of their elided NPs, such as *von Maria* ‘of Maria’ in (42a) and (42b). The idea here is that the complement NP of the pronoun in the second conjunct of (42a-b) is *Vater von Maria* ‘father of Maria’, from which the PP *von Maria* ‘of Maria’ has been extracted prior to NP deletion. We take *von Maria* ‘of Maria’ to be a complement of the N *Vater* ‘father’, for which we assume the relational meaning in (42c).

- (42)a. Der Vater von Otto ist gekommen, aber {<sup>OK</sup> **der** / \* **er**} [PP von Maria] nicht.  
 the father of Otto is come but DEM PER of Maria not
- b. Der Vater von Otto ist gekommen, aber [PP von Maria] {<sup>OK</sup> **der** / \* **er**} nicht.  
 the father of Otto is come but of Maria DEM PER not  
 ‘Otto’s father came, but Maria’s [father] didn’t.’
- c.  $\llbracket [N \text{ Vater}] \rrbracket = \lambda x . \lambda y . \lambda s . y \text{ is a father of } x \text{ in } s$

In sum, DEMS can combine with restrictive relative clauses, (40b), overt NPs, (41b), and stranded complements of the elided head noun, (42a-b), while PERS cannot do so. The generalization thus emerges that PERS require their entire complement NP (including potential restrictive relative clauses and complements of relational nouns) to be null; by contrast, DEMS can optionally combine with either a null or an overt complement NP, and DEMS also allow for parts of their complement NP (such as restrictive relative clauses and complements of relational nouns) to be overt when the core NP is null. Nothing that we have said so far derives this generalization, but it is plausible that the deficiency of PERS imposes a requirement for their NP complement to also be deficient in a suitable way

(here: null). It is orthogonal to the main goal of this paper to fully develop this idea, so we conclude by pointing out one evident obstacle, which is that weak articles do occur with an overt NP complement, setting them apart from PERS in this respect.

As a final piece of evidence for assimilating DEMS to strong articles (and PERS to weak articles), two parallels between strong articles and DEMS are pointed out by Schwarz (2009:22-23). First, DEMS pattern with strong articles in that they never contract with a preposition, (43a) vs. (43b).<sup>15</sup>

- (43) a. ✓Peter hat **bei dem** Mann angerufen. / ✓Peter hat **bei dem** angerufen.  
 Peter has by the<sub>s</sub> man called Peter has by DEM called  
 ‘Peter called the man.’ ‘Peter called him.’
- b. ✓Peter hat **beim** Bürgermeister angerufen. / \* Peter hat **beim** angerufen.  
 Peter has by=the<sub>w</sub> mayor called Peter has by=DEM called  
 ‘Peter called the mayor.’ ‘Peter called him.’  
 (Schwarz 2009:22-23, stylistically adapted)

Second, if we assume that DEMS and relative pronouns are one and the same (see Wiltschko 1998, Trutkowski & Weiß to appear), we can attest that relative pronouns pattern with the strong article (which does not contract) rather than with the weak article, as in (44). (Note that PERS cannot function as relative pronouns in Present Day German.)

- (44) Fritz wohnt jetzt in dem Haus, {**von dem** / \* **vom**} er schon seit Jahren  
 Fritz lives now in the house of RP of=RP he already since years  
 schwärmt.  
 raves  
 ‘Fritz now lives in the house that he has been raving about for years.’  
 (Schwarz 2009:22, stylistically adapted)

In this section, we have argued that PERS contain a weak determiner, whereas DEMS contain a strong determiner. We have also argued that this distinction correlates with a structural asymmetry, i.e. PERS contain less structure than DEMS.

To conclude this section, it is worth briefly discussing the range of uses that pronouns exhibit. So far, we have not explicitly differentiated between referential uses, bound uses, and so-called ‘donkey’ uses. It is worth pointing out that each of these uses is compatible with our analysis. Since this has been covered to some extent in the preceding literature, we will not recapitulate the analyses in detail, but simply point the reader to relevant sources. First, the referential use requires no further explanation (see also Elbourne 2013:197-201). Second, ‘donkey’ uses involve pronouns that covary with a non-c-commanding indefinite antecedent, as in the classical example in (45), where *it* covaries with the donkeys that are quantified over.

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<sup>15</sup> Since word forms that can serve as PERS never contract with prepositions, it is difficult to compare PERS and DEMS in this respect.

- (45) Every man who owns **a donkey** beats **it**.  
 (based on Geach 1962:117, e.g. Heim 1982:44)

One of the core contributions of Schwarz (2009) is to show that non-pronominal DPs can have covarying ‘donkey’ uses both with the weak article (marked by contraction with the preposition) and the strong article (which does not contract); this is illustrated in (46). It should thus not come as a surprise that both PERS and DEMs allow for ‘donkey’ readings, as in (47); we refer the reader to the discussion in Schwarz (2009) concerning the analysis of donkey sentences in such a system.<sup>16</sup>

- (46) Jeder Mann, der ein Haus **mit Garten** gekauft hat und die meiste  
 every man that a house with yard bought has and the most  
 Zeit zu Hause verbringt, arbeitet viel {**im** / **in dem**} **Garten**.  
 time at home spends works much in=the<sub>w</sub> in the<sub>s</sub> garden  
 ‘Every man that bought a house with a yard and spends most of his time at home  
 works a lot in the yard.’  
 (Schwarz 2009:45, stylistically adapted)

- (47) Wenn ein Bauer einen Esel hat, dann schlägt er **ihn** / **den**.  
 if a farmer a donkey has then beats he PER DEM  
 ‘If a farmer owns a donkey, then he beats it.’  
 (Wiltschko 1998:172, stylistically adapted)

The most surprising implication of our analysis may be that bound pronouns are also analyzed as bound definite descriptions (both in the case of bound PERS, and in the case of bound DEMs, cf. Hinterwimmer 2015:67). This, again, should not surprise us, since we take it to be established that there are bound definite descriptions, as in (48) (see Schlenker 2005 for a discussion of the licensing conditions of bound definite descriptions).

- (48) John fed **no cat of Mary’s** before **the cat** was bathed. (Elbourne 2013:126)

Elbourne (2013:196) demonstrates that bound pronouns and bound definite descriptions can be analyzed identically, involving the binding of a situation variable rather than the binding of an individual variable. In this vein, the truth conditions that Elbourne derives for (49a) can be stated informally as in (49b), where *every* quantifies over situations and not over individuals (see also Buring 2004).

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<sup>16</sup> Note that since our analysis for PERS (such as *er* ‘he’ and *ihn* ‘him’) and DEMs (such as *der* ‘he’ and *den* ‘him’) is based on Schwarz (2009), it also inherits the following property of Schwarz’s system. While situational uniqueness is independently required for weak and strong articles (and thus for PERS and DEMs), donkey sentences with DEMs also require dynamic binding of the anaphoric index that they contain (see Schwarz 2009:274-276 on strong article definites). While this may seem uneconomical, Schwarz points out that such a hybrid system has a predecessor in Chierchia (1992, 1995) and may well be required independently.

- (49) a. Every actress loves **her** (= **the actress's**) mother.  
 b. Every minimal situation  $s_b$  (part of the evaluation situation  $s$ ) that contains an actress  $x$  can be extended into a situation  $s_e$  in which  $x$  loves the unique mother of **the unique actress in  $s_b$** .

Note that Elbourne (2013:196) only assumes the ‘weak article’ variant, as opposed to the ‘strong article’ variant, which also contains an anaphoric index; i.e. (49b) are the truth conditions for a sentence that contains a bound PER, (50a), or for a non-pronominal DP with a weak article.

- (50) a.  $[[\text{PER}]]^g = \iota x[[\text{NP}_n]]^g(x)(s_r)$   
 b.  $[[\text{DEM}]]^g = \iota x[[\text{NP}_n]]^g(x)(s_r) \ \& \ x = g(1)$   
*where  $s_r$  abbreviates  $g(s_r)$ , and  $[[\text{NP}_n]]^g$  represents the denotation of the null NP*

For bound DEMS, (50b), and for bound non-pronominal DPs with a strong article, we need to make the additional assumption that the pronoun’s situation variable and the pronoun’s individual variable are co-bound by the same quantifier; see Büring (2004:46,(44a-b)) for a logical form that involves the binding of situation variables as well as the binding of individual variables; this logical form is of the same type that is required here.

## 5. Structural asymmetry meets structural economy

The structural asymmetry amongst PERS and DEMS that we have argued for is repeated in (51). In section 4, we presented arguments that PERS contain a weak article while DEMS contain a strong article.

- (51) a. *personal pronoun / PER (er)*                      b. *demonstrative pronoun / DEM (der)*



We now proceed to provide additional motivation for the assumption that PERS and DEMS differ in structural complexity (with PERS containing a single DP, and DEMS containing DP-shells). Specifically, it is a core prediction of our proposal in (51) that the distribution of the two pronoun types reflects structural economy constraints such as (52), which we posit as a generalized version of Schlenker’s (2005:391) *Minimize Restrictors!*

Predecessors of (52) can be found in Chomsky's (1981:65) *Avoid Pronoun*, and in Cardinaletti & Starke's (1999:198) *Mimise Structure*. (See also Katzir 2011.)<sup>17,18</sup>

(52) *Minimize DP!*

An extended NP projection  $\alpha$  is deviant if  $\alpha$  contains redundant structure, i.e. if

- (i) there is an extended NP projection  $\beta$  that contains less syntactic nodes than  $\alpha$ ,
- (ii)  $\beta$  is grammatical and has the same denotation as  $\alpha$  (= Referential Irrelevance), and
- (iii) using  $\alpha$  instead of  $\beta$  does not serve another purpose (= Pragmatic Irrelevance)

In sections 5.1-5.3, we show that the distribution of DEMS vs. PERS traces pragmatic effects that are similar (if not identical) to the ones that Schlenker (2005) observes for the distribution of full DPs vs. pronouns.

Note that the perspective that we take is radically different from the perspective in Bosch et al. (2003), Bosch & Umbach (2007), Hinterwimmer (2015), and Hinterwimmer & Bosch (2014), in the following sense. These authors argue that DEMS come with a meaning component that bans them from certain environments; specifically, Bosch et al. (2003), Bosch & Umbach (2007) and Hinterwimmer (2015) argue for an *anti-topicality* presupposition that DEMS have and PERS lack, while Hinterwimmer & Bosch (2014) argue for an *anti-logophoricity* component that DEMS have and PERS lack. As a consequence, their prediction is that DEMS should always be acceptable unless they are blocked. Our take on this matter is the opposite: we propose (much in the spirit of Cardinaletti & Starke's 1999:198 *Minimise Structure*) that DEMS are ruled out by default, since *Minimize DP!* will generally block them. This explains the overall markedness of DEMS (for instance, Bosch et al. 2003 attest that the ratio of DEMS to PERS in a written corpus is approximately 1 to 8). As a direct consequence, we do not need to explain when DEMS are unacceptable, since this is the default. By contrast, we need to explain when DEMS are acceptable, in accordance with (52-ii) and (52-iii).

Note that we do not claim to have an exhaustive understanding of pragmatic (ir)relevance (see Schlenker 2005:391 for a discussion of the open-endedness of pragmatic irrelevance). However, in the remainder of this section, we document that the same pragmatic effects that Schlenker (2005) documents in connection with *Minimize Restrictors!* carry over to the licensing of DEMS in German: emotivity (section 5.1), disambiguation (section 5.2), and register (section 5.3).

## 5.1 Pragmatic Relevance I: Emotivity

A useful set of examples to show *Minimize DP!* at work is provided by Hinterwimmer (2015), though he does not connect it to structural economy constraints. The central

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<sup>17</sup> For now, we leave it open whether *Minimize DP!* is an economy principle that is part of grammar proper, or a (Gricean) pragmatic principle, as proposed by Schlenker (2005:388) who connects it to Levinson's (1998) *Maxim of Minimization* (related to Grice's *Maxim of Manner*, cf. Schwarz 2009:283).

<sup>18</sup> For present purposes, it is sufficient to assume that all syntactic nodes matter for the purpose of (52-i). Future research needs to establish whether there is a class of syntactic nodes that can be ignored by (52-i).

pattern is given in (53) vs. (54). First, (53) shows that the use of a DEM instead of a PER is deviant when there is a single possible antecedent for the pronoun. We attribute this effect to *Minimize DP!*

- (53) Gestern hatte **Paul** eine gute Idee.  
 yesterday had Paul a good idea  
 { **Er** / ?? **Der** } beschloss, Maria in die Oper einzuladen.  
 he DEM decided Maria in the opera to invite  
 ‘Yesterday Paul had a good idea. He decided to invite Maria to the opera.’  
 (stylistically adapted, from Hinterwimmer 2015:89)

However, demonstrative pronouns can be used to signal positive or negative emotivity, an effect that Davis & Potts (2010) and Potts & Schwarz (2010) attribute to a correlation of marked forms and marked utterances, based on Horn’s (1984) “division of pragmatic labour”. We do not aim at a new explanation of this emotive effect. Since the distinction between DEMS and PERS boils down to the presence / absence of an anaphoric index in our analysis, the emotivity effect does not directly follow from the meaning of DEMS that we have proposed (i.e. the presence of an anaphoric index does not entail emotivity). We thus assume that emotivity is in need of a pragmatic explanation, as argued by Davis & Potts (2010) and Potts & Schwarz (2010). Note, however, as these authors argue, this emotivity effect seems to be a cross-linguistically robust property of marked pronouns (and demonstrative pronouns in particular).

Crucially, as soon as the context gives rise to an expression of emotivity (e.g. by way of an exclamation), the DEM becomes acceptable, as in (54) (vs. (53)). This is in line with (52-iii): the DEM here serves to emphasize the emotivity of the utterance and thus has a pragmatic effect, which is why *Minimize DP!* does not rule it out.

- (54) Gestern hatte **Paul** eine gute Idee.  
 yesterday had Paul a good idea  
 { **Er** / **Der** } hat einfach immer die besten Ideen!  
 he dem has simply always the best ideas  
 ‘Yesterday Paul had a good idea. He simply always has the best ideas!’  
 (stylistically adapted, from Hinterwimmer 2015:90)

The contrast in (53) vs. (54) parallels Schlenker’s (2005:388) discussion of the distribution of pronouns vs. emotive non-pronominal DPs (such as epithets).

## 5.2 Pragmatic Relevance II: Disambiguation

A second licensing context of DEMS involves disambiguation. It has, by now, been firmly established that DEMS cannot select the most prominent antecedent (e.g. the current aboutness topic) whenever there are two possible antecedents (see Reinhart 1995, Bosch et al. 2003, Bosch & Umbach 2007, Kaiser & Trueswell 2008). A classical example of this constraint is given in (55b), where *der* ‘he’ cannot refer to *Hans*, since it cannot refer

to the current aboutness topic (see Hinterwimmer 2015). Notably, while (55a) exhibits an ambiguity (with a plausible subject bias for the personal pronoun *er*; see also the literature on so-called implicit causality, going back to Garvey & Caramazza 1974), (55b) is not ambiguous.

- (55)a. **Hans**<sub>1</sub> wollte mit **Paul**<sub>2</sub> joggen, aber **er**<sub>1/2</sub> war krank.  
 Hans wanted with Paul jog but he was sick
- b. Hans<sub>1</sub> wollte mit **Paul**<sub>2</sub> joggen, aber **der**<sub>2</sub> war krank.  
 Hans wanted with Paul jog but DEM was sick  
 ‘Hans wanted to go running with Paul, but he was sick.’  
 (adapted from Bosch et al. 2003)

Let us first discuss the anti-topicality property of DEMs that surfaces in (55b), since this is often taken to be a central property of DEM. Hinterwimmer (2015) encodes this anti-topicality property as a lexical presupposition of DEMs; in his approach, DEMs are undefined if the null NP that they contain corresponds to the NP contained in the current aboutness topic. Crucially, such an approach does not capture the fact that similar patterns arise in languages that exhibit a null vs. overt contrast, such as Catalan, Italian and Spanish (Carminati 2002, Alonso-Ovalle et al. 2002, Frana 2007, Mayol 2010, Mayol & Clark 2010, Filiaci t.a., amongst others). In such languages, null pronouns tend to refer to prominent antecedents, whereas overt pronouns exhibit a preference for non-prominent antecedents, akin to the anti-topicality of DEMs.<sup>19</sup> Mayol & Clark’s (2010) game-theoretic analysis of parallel effects in Romance null/overt pronouns derives distributions that are similar to (55a-b) from communicative principles without stipulating an anti-topicality presupposition in the semantics of the pronouns.

We follow Mayol & Clark (2010) and differ from authors such as Bosch et al. (2003), Bosch & Umbach (2007) and Hinterwimmer (2015) in that we do not take anti-topicality to be a defining property of DEMs. By contrast, we assume that anti-topicality is a phenomenon that arises whenever a structurally more complex pronoun competes with a structurally less complex pronoun, i.e. this phenomenon goes beyond the PER/DEM distinction and covers the null/overt distinction as well. A relevant non-German example stems from Czech, in (56). As indicated, native speakers report that only the null pronoun can refer to the current aboutness topic (here: *Věra*), whereas overt personal pronouns (*ona*) and DEMs (*ta*) pattern alike in that they cannot refer to the aboutness topic.

- (56) *Czech*  
**Věra**<sub>1</sub> chtěla jít běhat s **Marií**<sub>2</sub>, ale { *pro*<sub>1/\*2</sub> / *ona*<sub>2/\*1</sub> / *ta*<sub>2/\*1</sub> } byla  
 Vera wanted go:inf run:inf with Marie but pro she DEM was  
 nemocná.  
 sick  
 ‘Vera wanted to go jogging with Marie, but she was sick.’

<sup>19</sup> There is a question of whether the ban against prominent antecedents for DEMs is stronger than, say, the ban against prominent antecedents for overt pronouns in null subject languages, but this is orthogonal to the main point.

Such broader paradigms follow from the view in Mayol & Clark (2010), who argue that the distribution of pronouns in Romance languages (Catalan, Italian and Spanish) arises from independent communicative principles, modeled in a game-theoretic approach. The core idea can be summarized as follows (we refer the reader to Mayol & Clark 2010:792-795 for the formal game-theoretic implementation): speakers and hearers intend to maximize the probability of mutual understanding while, at the same time, keeping production cost and processing cost as low as possible. In order to maximize *payoff* (i.e. achieving the most optimal understanding with the least effort), speakers will use the least costly expression in those communicative situations that have the highest prior probability (e.g. when they intend to refer to the most prominent referent), and they will use more costly expressions in communicative situations with lower prior probability (e.g. when they intend to refer to less prominent referents). The perceived anti-topicality of DEMS that compete with PERS (and of overt pronouns that compete with null pronouns) can thus be taken to result from independent communicative principles, and it does not need to be stipulated as part of the semantics of DEMS (and overt pronouns).

Two comments are in order. First, one may wonder why the anti-topicality of ‘structurally bigger’ pronouns is perceived to be a more rigid constraint than the preference of ‘smaller’ pronouns to select a prominent antecedent. On the one hand, this may be due to a conventionalization of the pragmatic effects that underlie the pronominal distribution. On the other hand, we observe (e.g. in section 5.1 and 5.3) that even the anti-topicality of ‘structurally bigger’ pronouns is a violable constraint that disappears in the right circumstances. The second comment concerns the question of how our constraint *Minimize DP!* relates to the notion of ‘less costly expressions’ that plays a role in a Mayol & Clark style derivation of anti-topicality effects. In this respect, we would like to point out that *Minimize DP!* captures a pragmatic constraint that directly militates against structurally larger DPs, ruling them out if they fail to serve a purpose; by contrast, the notion of costliness that Mayol & Clark invoke reflects a general preference for the reduction of processing load. While the two notions are clearly related, it is yet to be determined whether they can be merged into one.

Coming back to *disambiguation* as a pragmatic effect that licenses DEMS in accordance with *Minimize DP!*, the most important aspect of (55a-b) for the present discussion is the following: when there are two competing antecedents (such as *Hans* and *Paul* in (55)), the use of a DEM always serves to disambiguate towards the non-prominent antecedent. We present another, parallel example in (57), this time with two pronouns in (57b-d). Observe that (57b) is ambiguous (modulo a subject bias for *er* ‘he’), whereas (57c) and (57d) are disambiguated. This means that DEMS can, in fact, be used to disambiguate. As a direct consequence, *Minimize DP!* permits (57c-d), since disambiguation has pragmatic relevance (Schlenker 2005:387).

- (57) a. **Hans**<sub>1</sub> wollte **Paul**<sub>2</sub> besuchen, ...  
       Hans wanted Paul visit  
       ‘**Hans** wanted to visit **Paul**, ...’
- b. aber dann hat **er**<sub>1/2</sub> **ihn**<sub>2/1</sub> angerufen.  
       but then has he him called

- c. aber dann hat **der**<sub>2</sub> **ihn**<sub>1</sub> angerufen.  
 but then has DEM him called
- d. aber dann hat **er**<sub>1</sub> **den**<sub>2</sub> angerufen.  
 but then has he DEM called  
 ‘but then **he** called **him**.’

Moreover, adapting an argument from Schlenker (2005:387), we observe that the acceptability of DEMs increases when their disambiguating function is eliminated. Consider (58a); here, the PER *seine* ‘his’ and the DEM *dessen* ‘his’ seem equally acceptable, due to the disambiguating function of the DEM. If *seine* is used instead of *dessen*, then (58a) is ambiguous. By contrast, (58b) lacks ambiguity to begin with, since there is only one 3<sup>rd</sup> person antecedent for *seine* / *dessen*. Consequently, the DEM is perceived to be less acceptable in (58b). Notably, we need to introduce *disambiguation* as a function of DEMs in order to account for contrasts such as (58a) vs. (58b). If we were to assume that the only difference between PERS and DEMs consist in the anti-topicality of DEMs, then (58a) and (58b) should always be equally acceptable, since the neighbour is never the aboutness topic.

- (58) a. **Peter**<sub>1</sub> war so nervös, dass er<sub>1</sub> **einen** **Nachbarn**<sub>2</sub> gebeten hat,  
 Peter was so nervous that he a neighbour asked has  
 {**seine**<sub>1/2</sub> / **dessen**<sub>2</sub>} Geräte ausstecken.  
 his DEM’s electronic.devices unplug  
 ‘Peter was so nervous that **he** asked **a neighbour** to unplug **his** electronic devices.’
- b. Ich war so nervös, dass ich **einen** **Nachbarn**<sub>2</sub> gebeten habe,  
 I was so nervous that I a neighbour asked has  
 {**seine**<sub>2</sub> / ?? **dessen**<sub>2</sub>} Geräte ausstecken.  
 his DEM’s electronic.devices unplug  
 ‘I was so nervous that I asked **a neighbour** to unplug **his** electronic devices.’

The observation that DEMs cannot take the most prominent DP as its antecedent, and thus the possibility of using DEMs to disambiguate, carries over from referential uses to all other pronominal uses, such as donkey pronouns (see Hinterwimmer 2015), illustrated in (59), and bound pronouns, in (60).

- (59) a. Wenn **ein Bauer**<sub>1</sub> **einen** **Hund**<sub>2</sub> besitzt, dann liebt **er**<sub>1/2</sub> **ihn**<sub>2/1</sub>.  
 if a farmer a dog owns then loves he him  
 ‘If a farmer owns a dog, then he loves it / it loves him.’ (*ambiguous*)
- b. Wenn **ein Bauer**<sub>1</sub> **einen** **Hund**<sub>2</sub> besitzt, dann liebt **der**<sub>2</sub> **ihn**<sub>1</sub>.  
 if a farmer a dog owns then loves DEM.NOM him  
 ‘If a farmer owns a dog, then it loves him.’ (*not: # then he loves it*)

- c. Wenn **ein Bauer**<sub>1</sub> **einen Hund**<sub>2</sub> besitzt, dann liebt **er**<sub>1</sub> **den**<sub>2</sub>.  
 if a farmer a dog owns then loves he DEM.ACC  
 ‘If a farmer owns a dog, then he loves it.’ (*not*: # then it loves him)

Example (60) is particularly interesting, since the more economical variant in (60c), which contains two PERS, is ambiguous to the extent that it appears to be somewhat deviant. By contrast, if we inspect (60a) and (60b), we observe that they are both unambiguous and fully acceptable; again, disambiguation licenses the less economical DEMs in line with *Minimize DP!*

- (60) a. **Jeder Student**<sub>1</sub> glaubt von **jedem anderen Studenten**<sub>2</sub>, dass **er**<sub>1</sub>  
 every student believes of every other student that PER  
 smarter ist als **der**<sub>2</sub>.  
 schlauer is than DEM  
 (from Schwarz 2015:118, who attributes it to Irene Heim)
- b. **Jeder Student**<sub>1</sub> glaubt von **jedem anderen Studenten**<sub>2</sub>, dass **der**<sub>2</sub>  
 every student believes of every other student that DEM  
 schlauer ist als **er**<sub>1</sub>.  
 smarter is than PER
- c. ? **Jeder Student**<sub>1</sub> glaubt von **jedem anderen Studenten**<sub>2</sub>, dass **er**<sub>1/2</sub>  
 every student believes of every other student that PER  
 schlauer ist als **er**<sub>2/1</sub>.  
 smarter is than PER  
 ‘Every student believes of every other student that he is smarter than him.’

### 5.3 Pragmatic Relevance III: Register

A third pragmatic effect that Schlenker (2005) observes in his discussion of minimization constraints involves the use of particular registers, such as formal speech. Schlenker’s argument is as follows: in (61a), the non-pronominal DP *his Majesty* should be unacceptable if it did not have some pragmatic effect; i.e. minimization constraints (like our *Minimize DP!* and Schlenker’s *Minimize Restrictors!*) should block (61a) due to its competition with (61b) – or even (61c) if uttered by the king himself. In example (61a), the intended pragmatic effect appears to consist in marking a particular formal register.

- (61) a. **The King of Transsylvania**<sub>1</sub> requests that **his Majesty**<sub>1</sub>’s ministers join **his Majesty**<sub>1</sub> in Room Rosa Luxemburg.  
 (slightly adapted from Schlenker 2005:399,(37a))
- b. **The King of Transsylvania**<sub>1</sub> requests that **his**<sub>1</sub> ministers join **him**<sub>1</sub> in Room Rosa Luxemburg.
- c. **I** request that **my** ministers join **me** in Room Rosa Luxemburg.

We now proceed to show that parallel effects can be observed with DEMS. However, the relevant register for DEMS is not formal speech, but colloquial and dialectal speech. The core observation is that German DEMS become more freely admissible in colloquial German (as compared to Standard German), and in regional varieties / dialects of German.

Before proceeding with our discussion, it is worth emphasizing the following point: it is commonly assumed that different dialects of a language have a different grammar from each other (e.g., see Weiß 1998 on the grammar of Bavarian).<sup>20</sup> When we proceed to look at colloquial and dialectal German in comparison to Standard German, the reader should thus bear in mind that we may well be comparing different grammars; in each case, we come back to this concern and indicate why pragmatic relevance can still be assumed to play a role within the respective grammar.

First of all, it has often been observed anecdotally that DEMS have a higher frequency in colloquial German as compared to Standard German. A representative example by Thieroff (2009:404) is illustrated in (62). For examples like (62b), Thieroff observes that a personal pronoun is the acceptable form in Standard German. By contrast, the use of demonstrative pronouns in identical contexts is “not rare” in colloquial German, (62c).<sup>21</sup>

- (62) a. Gestern habe ich **Frau Lehmann** getroffen.  
 yesterday have I Ms Lehmann met  
 ‘I met **Ms. Lehmann** yesterday.’
- b. *höflicher / standardsprachlich* (‘more polite / standard register’)  
**Sie** hat mir erzählt, dass sie bald in Urlaub fährt.  
 she has me told that she soon in vacation drives  
 ‘**She** told me that she’s going on a vacation soon.’
- c. *unhöflicher / umgangssprachlich* (‘less polite / colloquial register’)  
**Die** hat mir erzählt, dass sie bald in Urlaub fährt.  
 DEM.FEM has me told that she soon in vacation drives  
 ‘**She** told me that she’s going on a vacation soon.’  
 (Thieroff 2009:404, his labels, stylistically adapted)

Notably, the two registers allow for the same pronominal paradigms, and thus (62b) and (62c) would presumably be equally acceptable in the colloquial register. We thus propose that the choice of (62c) over (62b) in the colloquial register achieves a pragmatic effect (e.g. of signaling informality or familiarity).

Second, as part of our own investigation, we went beyond colloquial German and investigated a ‘micro parallel corpus’ of Standard German, Bavarian and Swabian,

<sup>20</sup> It may even be true for different registers of the same language that each register has its own grammar (cf. Ariel 2007 for a critical discussion of this idea).

<sup>21</sup> The same observation (i.e. that DEMS replace PERS in colloquial register) is made in German dictionaries such as DUDEN, see [http://www.duden.de/rechtschreibung/der\\_Demonstrativpronomen#Bedeutung2h](http://www.duden.de/rechtschreibung/der_Demonstrativpronomen#Bedeutung2h) [last accessed on 17 August 2015].

consisting of three adaptations of the cartoon *Asterix and the Magic Carpet*.<sup>22</sup> (We abbreviate: *AMC*.) The core observation is illustrated in (64): Southern German dialects (such as Swabian and Bavarian) exhibit a tendency of replacing Standard German PERS with DEMs. The sentences in (63) and (64) are contained in the same picture of the cartoon, with (64) directly following (63); ‘the Gods’ in (63) is thus the intended antecedent for the plural pronoun in (64).

(63) *preceding utterance*

- a. **Die Götter** sind weniger grausam, als du behauptest! [STANDARD GERMAN]
  - b. **Göddà** sà n gâr need à so grausam, wia du âiwei duasd! [BAVARIAN]
  - c. **D’Götter** send net so grausam wia de’s saesch! [SWABIAN]
- ‘**The Gods** are not as cruel as you always say they are!’  
(*AMC*, page 14, picture 8)

What we find in (64b-c) vs. (64a) is that both the Bavarian adaptation and the Swabian adaptation replace the personal pronoun *sie* ‘they’ with the demonstrative pronoun, *de* ‘those’ in Bavarian and *dia* ‘those’ in Swabian.

(64) *target utterance*

- a. **Sie** vermögen diejenigen zu uns zu geleiten, die bereits  
they.3PL are.able.to those to us to lead who already  
unterwegs sind, um unser Volk zu retten. [STANDARD GERMAN]  
on.the.road are in.order our people to save
  - b. **De** wissen schõ, wias’ de Leidl zu uns heafüan, de wo  
DEM.3PL know PRT how=they the people to us bring that who  
unsà Voik räddn woin! [BAVARIAN]  
our people save want
  - c. **Dia** helfat scho mit, dia selle do herzombrenga, wo uf am Weg  
DEM.3PL help PRT V.PRT the those to bring.here who on the way  
send zom onser Volk retta! [SWABIAN]  
are in.order.to our people save
- ‘**They** do know how to bring all those to us who want to save our people.’  
(*AMC*, page 14, picture 8)

Notably, both Bavarian and Swabian have a non-clitic personal pronoun *se* ‘they’, which is the direct counterpart of Standard German *sie* ‘they’. Bavarian *se* ‘they’ is illustrated in

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<sup>22</sup> Standard German: *Asterix im Morgenland*, Bavarian: *Asterix drendd im Oriendd*, Swabian: *Em Morgenländle*. The use of *Asterix* cartoons as a source of linguistic data was pioneered, to our knowledge, by Thurmair (1989:5,fn.11). She observes that *Asterix* cartoons are known for their careful treatment of language and can be classified as free adaptations (*Nachdichtungen*) rather than translations.

(65b) (where Swabian uses a DEM), and Swabian *se* ‘they’ is illustrated in (66c) (where Bavarian uses a DEM); see also Weiß (1998:87) for an overview of the personal pronouns of Bavarian. Therefore, the use of the DEM in place of a PER cannot be reduced to a simplistic grammatical explanation, such as the purported lack of suitable non-clitic personal pronouns in the dialect. We thus conclude that the overuse of DEMS within Bavarian and within Swabian once again serves a pragmatic effect, an intuition that is anecdotally shared by speakers of the respective German dialects.

- (65) a. **Sie** brechen auf, den Sanger abzuholen! [STD. GERMAN]  
 they leave V.PRT the singer to.fetch
- b. **Se** fliang ab, das s’eahnan Sanga hoin. [BAVARIAN]  
 they fly off so.that they.CL=their singer fetch
- c. **Dia** wellat den Barda hola! [SWABIAN]  
 DEM.3PL want the bard to.fetch  
 ‘**They** are going to fetch the singer!’  
 (AMC, page 37, picture 7)

- (66) a. Ein Schiff! Ich glaub, **sie** haben uns gesehen! [STD. GERMAN]  
 a ship I believe they have us seen
- b.  Schiff! I glaab gar, **de** ham uns gsahng! [BAVARIAN]  
 a ship I believe even DEM.3PL have us seen
- c. A Schiffl! Ond **se** hend ons glaub gseha! [SWABIAN]  
 a ship and they have us I.believe seen  
 ‘A ship! And **they** seem to have seen us!’  
 (AMC, page 19, picture 2)

Overall, we coded 59 occurrences of Standard German personal pronouns in *Asterix and the Magic Carpet*.<sup>23</sup> The correspondences between Standard German, Bavarian, and Swabian are summarized in (67). As can be seen, more than one third of the Standard German PERS correspond to a DEM in Swabian, (67a-b). Roughly half of these correspond to a DEM in Bavarian, (67a). This distribution is striking, since both Swabian and Bavarian distinguish full personal pronouns (PER) and clitic personal pronouns (CL) (e.g. Bavarian *ea* / ** ‘he’ and Swabian *en* / *n* ‘him’), which we group as PER/CL in (67b-d).

<sup>23</sup> Selectional criteria include: (i.) a counterpart of the pronoun is present in all three adaptations; (ii.) gender, number, person and case marking of the pronoun is identical across adaptations; and (iii.) the pronoun is in the same topological region (front field vs. middle field) across adaptations.

(67)	Standard German	Swabian	Bavarian	<i>n</i>
a.	PER	DEM	DEM	10
b.	PER	DEM	PER/CL	12
c.	PER	PER/CL	DEM	2
d.	PER	PER/CL	PER/CL	35
<b>Total:</b>				59

As a control, we also looked at 28 occurrences of Standard German DEMS in the text. We observed that all 28 correspond to DEMS in Swabian, and 26 of them correspond to DEMS in Bavarian (with 2 PERS in Bavarian). The substitution of DEMS for PERS clearly goes in one direction only, thereby signaling colloquial or dialectal speech.

As in the case of emotivity, our goal is not to derive (or explain) the pragmatic effects that the substitution of DEMS for PERS gives rise to. What is crucial to us is that these pragmatic effects, in turn, serve as licensers of DEMS in line with *Minimize DP!*, since they lend pragmatic relevance to the additional structure that DEMS contain.

#### 5.4 Summarizing the observations from economy

In sections 5.1-5.3, we have shown that the licensing of DEMS tracks the same pragmatic effects that Schlenker (2005) observes for the licensing of non-pronominal DPs in lieu of pronouns. The acceptability/unacceptability of DEMS thus correlates with well-established structural minimization principles: DEMS are ruled out for economy reasons unless their use is required, e.g. to yield a pragmatic effect such as *marking emotivity* (section 5.1), *disambiguating* (section 5.2), or *triggering pragmatic effects in colloquial / dialectal speech* (section 5.3). The fact that the distribution of DEMS reflects structural economy conditions corroborates a view where DEMS have additional structure that PERS lack.

### 6. Alternative approaches to the distribution of demonstrative pronouns

Having outlined our syntactic, semantic and pragmatic analysis of demonstrative pronouns (DEMS) and their distribution, it is worth briefly comparing our view to alternative accounts for the distribution of DEMS. The main alternative that is currently on the market is represented by Bosch et al. (2003), Bosch & Umbach (2007), and Hinterwimmer (2015). Recall that our view assumes that DEMS are ruled out by default, due to a structural economy principle *Minimize DP!*, and that DEMS occur if and only if they are licensed, e.g. by making a pragmatic contribution. We can thus call our view a *negative-default approach*. The alternative approach, as advocated by the above-mentioned authors, argues that DEMS are well-formed by default, as long as the presupposition is met that the null NP that they contain is not the most prominent NP in the discourse. We will call this a *positive-default approach*. Hinterwimmer's original rendering of PERS and DEMS is given in (68) (in the format that we have used throughout this paper). The idea here is that DEMS carry a presupposition that their null NP is not identical to the most salient property. The bifurcation in (68b) derives the generalization

that DEMS in referential uses and donkey uses cannot refer to the current aboutness topic, (68b-i), and that DEMS in bound uses cannot be bound by the clausal subject, (68b-ii).

- (68) a.  $[[\text{PER}]]^g = \iota x[[\text{NP}_m]^g(x)(s_r)]$   
 b.  $[[\text{DEM}]]^g = \iota x[[\text{NP}_m]^g(x)(s_r) \wedge [[\text{NP}_m]]^g \neq P^*]$   
 where  $P^*$  is the currently most salient property.
- i. In non-binding configurations,  $P^* = P_{TOP}$ , where  $P_{TOP}$  is the property denoted by the NP contained in the most recent DP functioning as an aboutness topic.
  - ii. In potential binding configurations,  $P^*$  is the property of being (identical to) a variable A-bound by the DP functioning as the grammatical subject of the sentence containing the respective D-pronoun.
- (adapted from Hinterwimmer 2015:99, omitting  $\phi$ -features)

To illustrate, the definition of (68b-i) is targeted at patterns such as (69), repeated from (55), based on the insight that it is not the grammatical role of the antecedent that matters, but its information structural role as an aboutness topic, and thus its overall prominence. (In (69), the most salient property would be  $P^* = [\lambda x.\lambda s.x \text{ is called Hans in } s]$ , cf. (3c).)

- (69)a. **Hans**<sub>1</sub> wollte mit **Paul**<sub>2</sub> joggen, aber **er**<sub>1/2</sub> war krank.  
 Hans wanted with Paul jog but he was sick
- b. Hans<sub>1</sub> wollte mit **Paul**<sub>2</sub> joggen, aber **der**<sub>2</sub> war krank.  
 Hans wanted with Paul jog but DEM was sick  
 ‘Hans wanted to go running with Paul, but he was sick.’
- (adapted from Bosch et al. 2003)

We will not focus on the concrete implementation in (68b), since this represents ongoing research: in recent research, Hinterwimmer & Bosch (2014) provide counter-examples to (68b) and reject the analysis in (68b) in favor of an *anti-logophoricity* presupposition. Instead of discussing (68b), we thus provide a more general comparison of negative-default approaches and positive-default approaches.

One core prediction of negative-default approaches (such as our approach) is that a DEM that is unacceptable in an utterance  $\alpha$  will become more acceptable if certain pragmatic factors are introduced, e.g. emotivity or a colloquial register. This is due to the assumption that DEMS are deviant by default (due to *Minimize DP!*) and pragmatic licensors can render them acceptable. By contrast, positive-default approaches predict that unacceptability is absolute, i.e. manipulations in terms of emotivity or register should not increase acceptability. This follows from the assumption that, while DEMS are acceptable by default, a single presupposition violation should render them unacceptable (whether it amounts to a violation of an anti-topicality presupposition or of an anti-logophoricity presupposition). A negative-default approach thus predicts that DEMS can only become more acceptable, whereas a positive-default approach predicts that DEMS can only become less acceptable. So far, the data that we have seen favor a negative-default

approach. Hinterwimmer (2015) himself admits that (70) should be ruled out by (68b-i), given that Paul is the obvious aboutness topic, and he needs to posit a pragmatic enrichment mechanism to account for this anti-topicality obviation.

- (70) Gestern hatte **Paul** eine gute Idee.  
 yesterday had Paul a good idea  
**Der** hat einfach immer die besten Ideen!  
 DEM has simply always the best ideas  
 ‘Yesterday Paul had a good idea. He simply always has the best ideas!’  
 (stylistically adapted, from Hinterwimmer 2015:90)

The same issue carries over to the use of DEMs in colloquial German, such as example (71b-c); Thieroff (2009) presents this as another example in which a DEM (here: *dem* ‘him.DAT’) can replace a PER (here: *ihm* ‘him.DAT’) in the colloquial register, but not in the standard register. Crucially, the most plausible information-structural interpretation is one where the speaker’s uncle is the current aboutness topic (in the sense of Reinhart 1981) for (71b-c). This follows, since (71b-c) are preceded by the sentence ‘I have news from my uncle’, (71a), which is roughly equivalent to ‘I tell you something about my uncle’, a context sentence that is known to enforce subsequent aboutness (here: of the speaker’s uncle); see Frey (2004:158), Hinterwimmer (2015:71). From the perspective of Hinterwimmer (2015), the acceptability of (71c) in colloquial German thus poses difficulties parallel to (70).

- (71) a. Ich habe Neuigkeiten von **meinem Onkel**.  
 I have news from my uncle  
 ‘I have news from **my uncle**.’
- b. *höflicher / standardsprachlich* (‘more polite / standard register’)  
**Ihm** ist das Portemonnaie gestohlen worden.  
 him.DAT is the wallet stolen benn  
 ‘His wallet was stolen **from him**.’
- c. *unhöflicher / umgangssprachlich* (‘less polite / colloquial register’)  
**Dem** ist das Portemonnaie gestohlen worden.  
 DEM.MASC.DAT is the wallet stolen benn  
 ‘His wallet was stolen **from him**.’  
 (Thieroff 2009:404, his labels, stylistically adapted)

In brief, the problem of earlier positive-default approaches is that the purportedly unacceptable configurations always improve when pragmatic relevance (e.g. emotivity or colloquial register) is added.<sup>24</sup> By contrast, this is exactly what we would expect from the

<sup>24</sup> Similar problems arise for the idea of Hinterwimmer & Bosch (2014) that DEMs have an anti-logophoricity presupposition. Example (i.) contains a DEM that clearly refers to the current attitude holder, i.e. to the subject of *glaubt* ‘believes’. So, here, too, adjustments must be made in order to derive the full range of phenomena.

perspective of a negative-default approach. It remains to be seen if positive-default approaches can be formulated that do not encounter these difficulties.

Moreover, from a more global, comparative perspective, negative-default approaches seem to have a clear advantage over positive-default approaches. First, consider the following data: what we find is that the effects that arise with PERS and DEMS quite generally carry over to other languages that have a parallel contrast. To give one example, the observation that DEMS cannot refer to the current aboutness topic carries over to demonstrative pronouns in Portuguese, French and Hebrew, as shown in (72). (For discussion in the literature, see Kaiser & Trueswell 2008).

(72)a. *(Brazilian) Portuguese*

**A Maria**<sub>1</sub> quer ir correr com a **Su**<sub>2</sub>, mas {**ela**<sub>1/?2</sub> / **esta**<sub>2/\*1</sub>} está  
 the Maria wanted to.go to.run with the Sue but she DEM was  
 doente.

sick

‘Maria wanted to go running with Sue, but she was sick.’

c. *French*

**Valerie**<sub>1</sub> a voulu aller faire du jogging avec **Béa**<sub>2</sub>,  
 Valerie has wanted to.go to.do of jogging with Bea  
 mais {**elle**<sub>1/2</sub> / **celle-ci**<sub>2/\*1</sub>} était malade.

but she PROX.D was sick

‘Valerie wanted to go jogging with Béa, but she was sick.’

d. *Hebrew*

**Meri**<sub>1</sub> ratzta la’rootz im **soo**<sub>2</sub>, aval {**hi**<sub>1/2</sub> / **ha-hi**<sub>2/\*1</sub> / **zot**<sub>2/\*1</sub>} hayta xolah.  
 Mary wanted to’run with Sue but she the-she this.F was sick

‘Mary wanted to go running with Sue, but she was sick.’

Moreover, we have already mentioned that other languages exhibit parallel contrasts between null and overt pronouns. This is illustrated for Kutchi Gujarati in (73a) and for Czech in (73b). Recall that Czech treats overt personal pronouns (*ona* ‘she’) on a par with demonstrative pronouns (*ta*), in that both of them exhibit anti-topicality, (73b).

- 
- i. **Der**<sub>1</sub> glaubt, **der**<sub>1</sub> kann alles – **dem** zeige ich’s jetzt.  
 DEM believes DEM can.do that to.DEM show I=it now  
 ‘He<sub>1</sub> believes that he<sub>1</sub> can do everything – I’ll show him.’

(<http://heilpraktikerausbildung-heidelberg.de/feedbacks/pruefungsprotokolle/pruefungsprotokolle-zum-hp.php>)

Note that, by standard assumptions, the matrix subject in (i.) c-commands the embedded subject, as shown by the possibility of a quantifier-variable reading in (ii.) and (iii.).

- ii. **Jeder**<sub>i</sub> möchte gern glauben, **er**<sub>i</sub> sei unheimlich beliebt. (Reis 1997: 139)  
 ‘**Everybody**<sub>i</sub> likes to believe that **he**<sub>i</sub> is incredibly popular.’
- iii. Heutzutage meint doch **jeder**<sub>i</sub>, **er**<sub>i</sub> kann über Nacht zum Star werden. (Freywald 2009:121)  
 ‘Nowadays, **everybody**<sub>i</sub> believes that **he**<sub>i</sub> can become a star overnight.’

(73)a. *Kutchi Gujarati*

**John**<sub>1</sub>-ne **Paul**<sub>2</sub> saathe dhorva javu thu,pun {*pro*<sub>1/#2</sub>/*i*<sub>2/\*1</sub>} thandithi aavi thi.  
John-DAT Paul with run.INF go aux but pro he cold came AUX  
'John wanted to go running with Paul. But he had a cold.'

b. *Czech*

**Věra**<sub>1</sub> chtěla jít běhat s **Marii**<sub>2</sub>, ale {*pro*<sub>1/?2</sub>/*ona*<sub>2/\*1</sub> / *ta*<sub>2/\*1</sub>} byla  
Vera wanted go:inf run:inf with Marie but pro she dem was  
nemocná.  
sick  
'Vera wanted to go jogging with Marie, but she was sick.'

While future research needs to provide an in-depth analysis of each individual language that exhibits such contrasts, these data clearly challenge a positive-default approach, such as Hinterwimmer (2015): such an approach models the difference between PERS and DEMS in German as a lexicalized (and thus idiosyncratic) presupposition of DEMS. It is unclear why the same observation should then carry over, not only to PER/DEM contrasts in other languages, but also to overt/null contrasts. Contrastively, in a negative-default approach, such as the one that we propose, anti-topicality arises as an epiphenomenon (as discussed in section 5.2). The core idea is that the DEM variant (and overt variant) is unacceptable when referring to the most prominent antecedent in each of the examples in (72) (and (73)) since independent communicative principles dictate that the least costly form has to be used when a speaker aims at encoding meanings with the highest prior probability. From this perspective (as, in fact, from the perspective of *Minimize DP!*),<sup>25</sup> we expect the PER/DEM contrasts and the null/overt contrasts to largely reflect the same effects and tendencies.

## 7. Conclusion

We have argued for a syntactic analysis of personal pronouns (PERS) and demonstrative pronouns (DEMS), which assumes that both are DPs that contain a null NP and a definite determiner yet differ in their additional functional layer (where DEMS project more structure than PERS). This syntactic view is complemented by a semantics, where PERS contain a weak article (in the sense of Schwarz 2009), whereas DEMS contain a strong article (plus a referential index); therefore, the latter are anaphoric in a way that the former are not. Finally, we have proposed that the distributional properties of PERS and DEMS (both the overlap and the differences in their distribution) follow from well-established structural economy constraints in the pragmatics, which we capture by means of a minimization constraint *Minimize DP!*

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<sup>25</sup> Note that an application of Chomsky's (1981:65) *Avoid Pronoun* (a predecessor of our *Minimize DP!*) to the null vs. overt distinction in Italian was proposed in Haegeman (1991:217,fn.8).

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### **Sample Texts**

- Asterix 28: *Asterix im Morgenland*. Stuttgart: Ehapa.
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### **Corpora and Corpus Tools**

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