

# Nominal Verbs and Transitive Nouns: Vindicating Lexicalism\*

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## 1 Nominalizations

The earliest generative work derived all nominalizations syntactically (Chomsky 1955-6, Lees 1960). Chomsky (1970) then argued that only *-ing* gerunds are derived syntactically, while all other types of event nominals, such as *refutation*, *acceptance*, *refusal*, are derived morphologically in the lexicon from bases that are unspecified between nouns and verbs. The suffix *-ing* was shown to serve both as the gerund formative and as one of the formatives that derive lexical event nominals. Chomsky's main argument was based on the fact that gerund phrases have the structure of verb phrases whereas other event nominals have the structure of noun phrases.<sup>1</sup> The differences are completely systematic. Unlike derived event nominals, gerunds are modifiable by adverbs, assign structural case to their complements (1a,b), disallow articles and other determiners (1c) and plurals (1d), allow aspect (1e) and negation (1f), and they have a grammatical subject which is assigned a Th-role as in finite clauses (1g), and which may be an expletive (1h):

(1)		Gerunds ( <i>-ing</i> <sup>V</sup> )	Nominals ( <i>-ing</i> <sup>N</sup> , <i>-ion</i> , <i>-al</i> , <i>-ance</i> ...)
a.	Adjectives	*her quick signing the document	her quick signing of the document
b.	Adverbs	her immediately reciting it	*her immediately recital of it
c.	Determiners	*the/a/this/each performing it	the/a/this/each performance of it
d.	Plural	*her readings it / *her reading its	her readings of it
e.	Aspect	by her having sung it	*by her having sung of it
f.	Negation	by her not approving it	*by her not approval of it
g.	Subject	we remembered her reading it	we remembered her reading of it
h.	Expletives	it(s) seeming to me that I exist <sup>2</sup>	*it(s) appearance to me that I exist

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<sup>1</sup>Chomsky also contrasted the uniformity, regularity and full productivity of gerunds with the morphological and semantic diversity, idiosyncrasies, and limited productivity of derived event nominals. As Anderson 2016 notes, these points played a subsidiary role in Chomsky's argument. Indeed, they are not compelling criteria by themselves, for there is no shortage of productivity and regularity in the lexicon, and syntax has its share of idiosyncrasy.

<sup>2</sup>*I can't help but feel a little despondant due to it seeming to me that the TIE/fo and the T-70 make the original TIE and T-65 somewhat redundant* (Internet), *evidence that "explains away" its seeming to me that p is the case* (James Pryor, *The Skeptic and the Dogmatist*, *Noûs* 34: 534, 2000). The variation between Poss-*ing* and Acc-*ing* gerunds seen here is briefly addressed in 2.3 below.

In (1g), *reading* refers to an event and *her* to its agent, the reader. In the derived nominal, *her* could also be a sponsor, organizer, or some other participant of a reading event not necessarily identical with the reader (Kratzer 1996, 2004), and *reading* could also mean ‘manner of reading’, ‘interpretation’. Without an *of* complement, derived nominals are also interpretable in a passive sense: in *Mary’s confirmation*, Mary could be the confirmer or the confirnee.

The lexicalist line of analysis continues to be developed in different ways (Malouf 2000, Blevins 2003, Kim 2016). But many recent treatments have reverted to a uniformly syntactic derivation of nominalizations, in which nominalizing heads project a nominal structure and have a verbal complement whose type determines the nominalization’s properties. The differences between the two types in (1) is captured by introducing them at different levels in the functional structure. The gerund *-ing<sup>V</sup>* is structurally high, and derived nominals in *-ing<sup>N</sup>*, *-ion*, *-al*, *-ance* are structurally low.

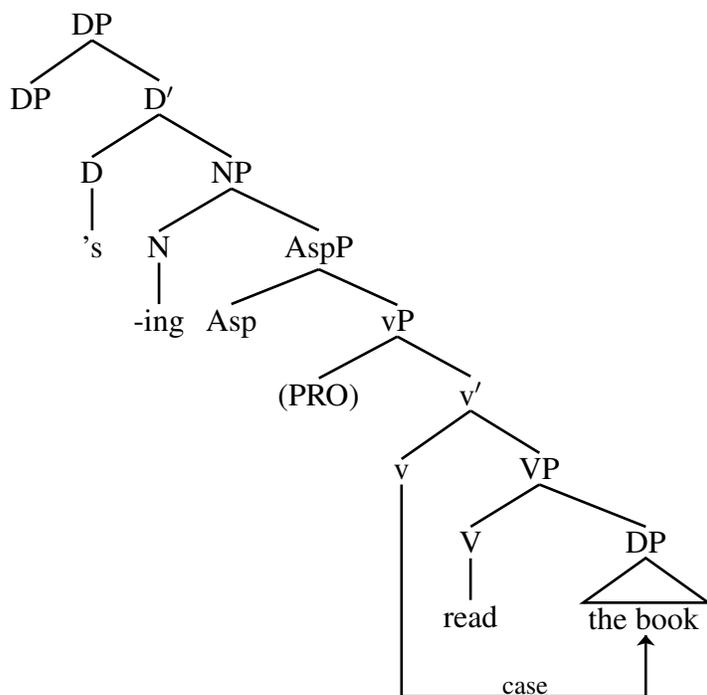
Kornfilt & Whitman 2011 dub this the FUNCTIONAL NOMINALIZATION THESIS (FNT), and propose a typology of four levels of nominalization, CP, TP, vP and VP. In this typology, English gerunds are TP nominalizations, while derived nominals are VP nominalizations.<sup>3</sup> This paper vindicates a uniform treatment of nominalizations in a different way: all true nominalizations are derived lexically; gerunds are not nominalizations at all – they are neither DPs nor NPs but IPs that need Case.

As my point of departure I take Baker & Vinokurova’ (2009) theory, which extends the FNT from event nominalizations to agent nominalizations. For gerunds, B&V posit the structure (2a), based on the version of the DP analysis originated (along with the DP itself) by Abney 1987. The DP’s complement here is an NP headed by the gerund nominalizer *-ing<sup>V</sup>*, below which the structure is entirely verbal: an AspP which hosts aspectual material and certain adverbs, and which has a vP complement whose v (v=Voice) head assigns structural case and introduces an external agent argument. This external agent argument shows up as a genitive in D head. B&V do not say exactly how it gets there in (2a); perhaps it is base-generated in D and bears a control relation to the PRO in the Spec-vP position where the agent role is assigned.

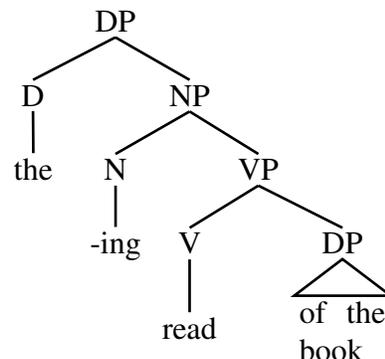
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<sup>3</sup>A syntactic derivation of gerunds from TP/IP is also developed by Pires 2006. The aspectual content of the gerund is treated in Pustejovsky 1995, Alexiadou 2001, and Alexiadou, Iordăchioaia & Soare 2010. Alexiadou and her co-workers conclude that gerunds are imperfective Aspect heads that dominate VoiceP and vP, while nominalizers are n heads that also dominate VoiceP and vP, but under NumberP and ClassifierP, housing adjective modifiers, determiners, and plural.

(2) (a) his reading the book (high)



(b) the reading of the book (low)



For derived nominals B&V propose the structure (2b), where the head (*-ing<sup>N</sup>*, *-ion*, etc.) takes a bare VP complement. Because it has no Asp or v projection, it contains neither adverbs, agents, nor structural case.<sup>4</sup>

The structures in (2) take care of the contrasting properties (1b), (1e), (1f), and (1g), but leave the remaining four properties (1a), (1c), and (1d), and (1h) to fend for themselves. On the one hand, the DP in (2a) provides too little structure: expletive *it*-subjects are believed to occupy Spec-IP or Spec-TP, but (1a) provides no Spec-IP or Spec-TP for them.<sup>5</sup> On the other hand, the DP, needed in the analysis as a site for the gerund's subject, generates unwanted structure. Since DPs can have plural heads, adjective modifiers, determiners, and quantifiers, the DP analysis wrongly predicts that (1a), (1c), and (1d) should be grammatical. To maintain it one must somehow prevent functional projections like AP, QP, and NumP from appearing in DPs that have NP complements that have AspP complements, while allowing them in other kinds of DPs, and one must prevent the head of a DP whose complement is an NP whose complement is an AspP from being an article or a demonstrative pronoun.<sup>6</sup>

Contrary to what the FNT seems to promise, then, the morphosyntactic properties of a nom-

<sup>4</sup>All analyses have to contend with the fact that certain adverbs can occur as postmodifiers with derived nominals, and even with some underived ones (Payne, Huddleston & Pullum 2010); they cite examples such as *the opinion generally of the doctors*, *a timber shortage nationally*, *the people locally*, and *the intervention again of Moscow*. We shall see similar Finnish data in section 3 below.

<sup>5</sup>Expletive *there*, which likewise appears in gerunds, may sit in a lower subject position, since it is sensitive to the argument structure of the predicate – the absence of Cause according to Deal 2009, who puts it in the specifier of v. Like expletive *it*, *there* does not appear in derived nominals (*\*there's appearance to be a problem*). On Deal's analysis, the distribution of expletive *there* is consistent with my IP analysis of gerunds, but adds no further support to it.

<sup>6</sup>Some of the overgeneration could be curbed by by eliminating the DP layer, or by eliminating the NP layer and having D select for AspP directly. But these projections cannot be struck from (2) because their heads are essential to the analysis. The D head serves as the site of the structural subject, and the N head houses the nominalizer *-ing*. Neither of these elements can be accommodated in the Asp head, for that is required for the aspectual auxiliary *have*.

inalization cannot be fixed just by locating its nominal head in a universal hierarchy of verbal functional categories, or even in a language-specific one. In that approach to mixed categories, it seems that the functional content that a given nominalizing head may combine with must be specified on an item-specific basis. But not just any arbitrary mixed category is possible. Consider the awesome unused power unleashed by the FNT. If functional N heads can convert AspPs into NPs in the syntax, as in (2a), why aren't there such things as Q heads with vP complements (*\*[some [he read it]<sub>vP</sub> ]<sub>QP</sub>*), let alone multiple verbalizing and nominalizing syntactic heads interspersed to generate phrases in which layers of verbal and nominal structure alternate in various combinations?

The empirical problem of overgeneration is a direct result of the theoretical approach behind the FNT-style analysis. The derivation of gerunds in (2a) involves syntactic affixation of *-ing* to the phrasal projection AspP.<sup>7</sup> A lexicalist perspective rules out affixation to phrases. It dictates an entirely different kind of derivation, in which the gerund suffix *-ing* is added to verbs in the morphology to build words (e.g. *reading*), which are then inserted in terminal nodes in the syntax. On this view, a gerund phrase is the syntactic projection of a gerund, not of a determiner as in (2a). On that basis we can build a simple and restrictive theory of nominalizations that explains *all* the data in (1).

The key idea is that gerunds are participles, and that participial suffixes, *-ing* included, are Infl heads that differ from finite and infinitive Infl heads in that they bear a Case feature. The extended projection of a gerund is then an IP with a Case feature, which needs to be checked (or, from a non-lexicalist perspective, valued) in the syntax. The Case feature restricts participial phrases to two syntactic functions: arguments – gerunds – in positions where their value for Case can be checked by a predicate, and participial modifiers in positions where their value for Case can be checked by head-modifier agreement.

Lexicalism excludes not only FNT-style analyses of gerunds, but every kind of syntactic affixation to phrasal categories. This means that no syntactic process can have the effect of changing the category of a word. That holds for all types of nominalization: event nominalizations, result nominalizations, and agent nominalizations. All “mixed categories” must then arise from morphological specifications of lexical heads, rather than from syntactic embedding as in (2). In section 3 I support this more general prediction by showing that transitive agent nouns do not have an embedded vP projection and that their verbal properties come from a Tense/Aspect feature on the agent suffix.

I assume that a phrasal constituent is a projection of its head, which inherits its category (Noun, Verb, etc.), its inflectional features (such as Aspect and Case), and its thematic roles (Agent, Patient, Instrument, Event, etc.).<sup>8</sup> Mixed categories are verbs, nouns, and adjectives that have an extra phi-feature. Their extended projections behave like extended projections of ordinary verbs, nouns, and adjectives, modulo the properties enforced by that feature content. The language-specific syntax of gerunds is determined by their Case feature. A gerund that can bear any Case projects a phrase with the distribution of a DP. A gerund that has a partially specified Case feature projects a phrase that restricted to positions compatible with the specified values of the feature. For example, Finnish gerunds are restricted to internal argument positions (section 3.4). Similarly, the verbal properties of transitive agent nouns are due to a Tense/Aspect feature assigned to these nouns by the agent affix that forms them. This feature may likewise be lexically unvalued and specified by additional aspectual morphology (as in Northern Paiute), or inherently specified on the agent

<sup>7</sup>A similar earlier proposal is Yoon 1996.

<sup>8</sup>E.g.  $[-er] = \lambda P \lambda x \lambda e [P(e) \wedge \text{Agent}(e,x)]$  (the set of human individuals that are the Agent of some event),  $[-ee] = \lambda P \lambda x \lambda e [P(e) \wedge \text{human}(x) \wedge \text{Undergoer}(e,x)]$  (the set of human individuals that are the Undergoer of some event).

noun affix itself (as in Sanskrit and Sakha), see 3.3. Since the mixed categories under lexicalist assumptions are projected from a single head, we correctly predict the absence of mixed categories in which verbal and nominal structure is alternately layered in weird combinations, of vPs that function as DPs, and of the other abovementioned monstrosities.

A theoretical gain is that we need not divide nominalizations into a syntactic type and a lexical type, as in standard lexicalist analyses. Once gerunds are recognized as IPs, we can maintain that all nominalizations are derived morphologically in the lexicon. This can be done either in a realizational morphology of the type pioneered by Anderson 1992, or in a morpheme-based one such as the minimalist morphology of Wunderlich 1996. It remains to be seen whether the analysis can be recast in a DM-friendly syntax-based format. What is clear is that it does not *follow* from any theory that countenances structures like (2). To that extent at least its empirical success constitutes new empirical support for lexicalism.

I begin in section 2 with “high” event nominalizations. I show that the lexicalist approach correctly predicts the syntax of English and Finnish gerund phrases, including aspects that go unexplained in FNT analyses, and that it curbs the typology in a good way. In section 3 I apply the same idea to agent nominals, and support the resulting analyses with data from Vedic Sanskrit and Finnish that is new to the theoretical literature.

## 2 Gerunds

### 2.1 English gerunds

Gerunds and participles are formally identical in English (Pullum 1991, Yoon 1996, Huddleston & Pullum 2002, Blevins 2003). For example, they are the only verb forms that overtly distinguish perfect aspect but not progressive or past tense. Given the modest morphology of English this identity might be dismissed as an accident, but the testimony of richly inflected languages, such as Finnish (3b), Classical Greek (3c), Sanskrit (3d), and Latin (3e) leaves no doubt that participles are systematically used in two functions: adjectivally as modifiers and nominally as arguments.

(3) a. English *-ing* participle

1. *Modifier*: I saw Bill reading the book. ( $\Rightarrow$  I saw Bill.)
2. *Argument*: I hated Bill’s reading the book. ( $\nRightarrow$  I hated Bill.)

b. Finnish participles

1. *Modifier*:

Muist-i-n            hunaja-a   syö-vä-n   karhu-n.  
remember-Pst-1SG honey-PRTC eat-PTC-GEN bear-ACC  
‘I remembered the/a bear (that was) eating honey.’

2. *Argument*:

Muist-i-n            karhu-n   syö-vä-n   hunaja-a.  
remember-PRTC-1SG bear-GEN eat-PTC-GEN honey-PRTC  
‘I remembered that the/a bear ate honey.’

c. Classical Greek participles

1. *Modifier*:

tòn adikoũ-nt-a Phílippo-n apéktein-a  
the-ACC act-unjustly-PRTC-ACC Philip-ACC kill-AOR-1SG  
'I killed the unjustly acting Philip'

2. *Argument:*

adikoũ-nt-a Phílippo-n eksélenk-s-a  
act-unjustly-PRTC-ACC Philip-ACC prove-AOR-1SG  
'I proved that Philip acted unjustly'

d. Sanskrit participles

1. *Modifier:*

rājān-am ā-ga-ta-m śṛ-ṇo-mi  
king-ACC to-go-PRTC-ACC hear-PRES-1SG  
'I hear the king (who has) arrived'

2. *Argument:*

rājān-am ā-ga-ta-m śṛ-ṇo-mi  
king-ACC to-go-PRTC-ACC hear-PRES-1SG  
'I hear that the king has arrived'

e. Latin participles

1. *Modifier:*

Hannibal vic-tu-s ad Antiochu-m confug-i-t  
Hannibal.NOM defeat-PRTC.MASC-NOM to Antiochus-ACC flee-PERF-3SG  
'Defeated, Hannibal took refuge with Antiochus'

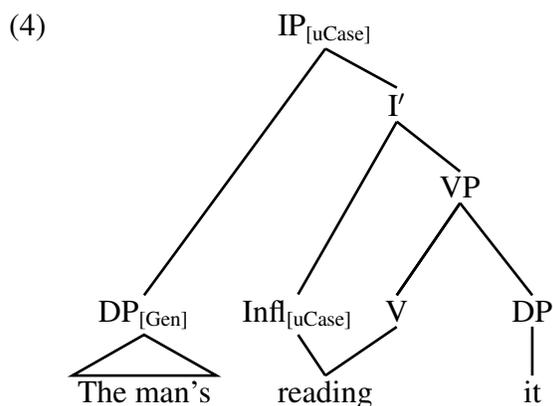
2. *Argument:*

Hannibal vic-tu-s Romano-s metu libera-vi-t  
Hannibal.NOM defeat-PRTC.MASC-NOM Roman.ACCPL fear.ABL free-PERF-3SG  
'Hannibal's being defeated freed the Romans from fear'

Traditional grammars of these languages treat participles as verb forms which are inflected for Case, for good reasons. Participles distinguish the verbal categories of voice and tense/aspect, and they are formed off the same tense/aspect stems as the finite verbs. They supply the periphrastic forms that complete gaps in inflectional paradigms. They assign the same cases to their objects as the corresponding finite verbs and infinitives do. They are modified by adverbs, not by adjectives. They select for the same prefixes as the corresponding finite verbs and infinitives, with the same (often idiosyncratic) meanings. Those languages that disallow noun+verb compounds (such as classical Greek and Sanskrit) also disallow noun+participle compounds. As I show below, participles have structural subjects.

So there must be some property that distinguishes participles from finite verbs and infinitives, and which supports the double function of participles as nominal arguments and adjectival modifiers. The obvious candidate is Case. Suppose then that participial formatives are Infl heads that need Case. On lexicalist assumptions, they are affixed in the morphology to a verb to make a participle, which is then inflected for case if the language has case morphology, and enters the syntax with a specified Case feature that – like any Case feature – must be checked in the syntax. In a language that lacks case morphology, such as English, the participle remains unvalued for Case, and projects an IP with a Case feature that must be valued in the syntax. Both “checking” and “valuing” can be formalized as identical operations of feature unification, or as optimal matching in OT Correspondence Theory.

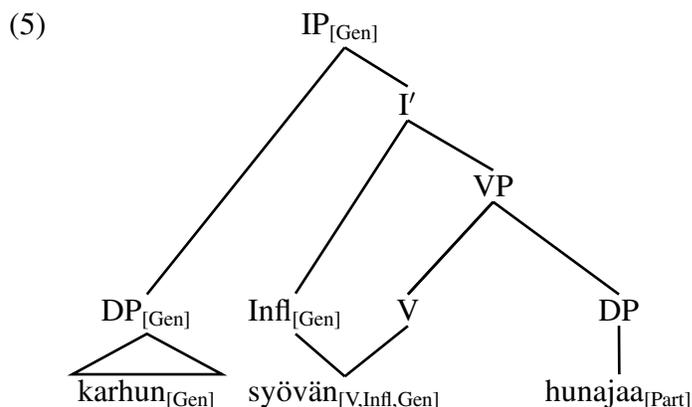
As an illustration consider first the derivation of gerunds in English. Prescinding from vP, AspP, VoiceP, and other possible functional projections, their syntactic structure is as in (4).



Infl<sub>[uCase]</sub> combines with V in the same way as Tensed Infl does. How this happens depends on the model of grammar. If we assume both lexicalist syntax and lexicalist morphology, the case-needing Infl *-ing* is suffixed to V in the morphology to form a participle, and the participle then projects a case-needing IP in the syntax, where the Case feature is valued. In argumental participles (gerunds), it is valued by the governing Case-assigner, and in participial modifiers it is valued by agreement with the nominal they modify.

If we assume minimalist syntax, we can comply with lexical morphology by using spanning (Svenonius 2016), which allows the lexically generated participle to be inserted under the two corresponding syntactic terminal nodes. In DM, *-ing* would be a syntactic terminal that is post-syntactically Lowered onto V. Thus, the idea that gerunds are case-needing IPs can probably be implemented in any grammatical architecture. However, in non-lexicalist frameworks this analysis is merely motivated on empirical grounds. In lexicalist frameworks that prohibit affixation to phrases it is required on principled grounds as well.

In languages where participles are morphologically inflected for Case, such as (3b-e), participles project an IP that bears a specified Case value that must be checked in the syntax. The lexicalist approach now makes an interesting prediction: in such languages, gerunds may be morphologically restricted to particular Case features, which restrict their syntactic distribution to contexts compatible with those features. This prediction is confirmed in Finnish. Finnish gerunds bear an oblique Case – glossed as Genitive in (3b2) – which confines them to internal argument positions (section 3.4).<sup>9</sup>



<sup>9</sup>There is no agreement relation between the genitive subject and the gerund in (5).

Returning to English, the analysis of participial clauses as IPs that have the single special property of needing structural Case explains at a stroke which clausal and nominal properties they have and which ones they lack. To start with the latter, it explains why gerund phrases, unlike DPs, have no articles, quantifiers, or numerals, why they cannot be modified by adjectives and relative clauses, why their head cannot be genitive or plural.

- (6) a. \*The/a/each compiling the corpus took over a year.  
 b. \*Both/every compiling corporas took over a year.  
 c. \*His two compilings corpora each took over a year.  
 d. \*His careful compiling the corpus was a turning point.  
 e. \*His editing texts that is funded will take a year.  
 f. \*His compiling corpora's results were dramatic.

The missing categories are just the ones that would originate in a DP.

As for the nominal properties that gerunds do have, they are accurately covered by the generalization that gerunds appear in Case positions. They function as subjects, objects, and predicates, as objects of prepositions (7e,f,g), and as objects of a small set of transitive adjectives (7g,f), all diagnosed as Case positions by the fact that full-fledged DPs occur in them.

- (7) a. [ Bill's leaving Paris ] was unexpected.  
 b. I regret [ Bill's leaving Paris ].  
 c. The problem is [ Bill's leaving Paris ].  
 d. Because of Bill's leaving Paris we'll be hiring new personnel.  
 e. We are worried about Bill's leaving Paris.  
 f. This event is worth my visiting Paris.  
 g. It's no good my playing this sort of game.<sup>10</sup>

This does not mean that all transitive verbs take gerund complements. Particular verbs can select for whether they take gerunds, *that*-clauses, or infinitive complements, just as they can select for whether they take DPs:

- (8) a. \*I said Bill's leaving Paris.  
 b. I said it/something/several things.

What the analysis correctly predicts is that gerunds, unlike *that*-clauses and infinitives, appear *only* in Case positions:

- (9) a. 1. \*I hope Bill's leaving Paris.  
 2. \*I hope it.  
 3. I hope that Bill is leaving Paris.  
 4. I hope to leave Paris.

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<sup>10</sup>Cf. *It's no good this sort of game.* (Dickens, *Our Mutual Friend*).

- b. 1. \*It is rumored Bill's leaving Paris.
- 2. \*The proposal is rumored.
- 3. It is rumored that Bill is leaving Paris.
- 4. It is rumored to be happening.
- c. 1. \*It seemed / was expected Bill's leaving Paris.
- 2. \*It seemed / was expected this event.
- 3. It seemed / was expected that Bill would leave Paris.
- 4. It seemed / was expected to happen.

A further consequence is that the subjects of gerunds are IP specifiers. If overt, they are Genitive or Accusative,<sup>11</sup> just as the subject of a finite IP is Nominative, and the overt subject of an infinitive requires a Case-assigning *for*. Crucially, they are true structural subjects analogous to subjects of finite clauses, not necessarily “agents” as in B&V's (1a), nor “possessors” with their varied functions as in derived nominals. This prediction is confirmed by three generalizations. Unlike genitive specifiers of nouns (including derived nominals), but like structural subjects of finite clauses, the specifiers of gerunds can be expletives:

- (10) a. It(s) seeming to you that you dreamt is not evidence of it(s) being the case that you dreamt.
- b. \*It(s) appearance to you that you dreamt is not evidence of it(s) truth that you dreamt.

Like structural subjects of finite clauses, they are subject to control (Huddleston & Pullum 2002: 1190):

- (11) a. Mary remembered locking the door. [the rememberer is the locker]
- b. Mary remembered the/a locking of the door. [the rememberer might not be the locker]

like structural subjects of finite clauses, and unlike genitive agents of nominals, they cannot be paraphrased with *of* or *by*:

- (12) a. the Persians' quick run = the quick run of/by the Persians
- b. the Persians' quick running = the quick running of/by the Persians
- c. the Persians' quickly running ≠ \*quickly running of/by the Persians
- d. the Persians' quickly attacking the Greeks ≠ \*quickly attacking the Greeks of/by the Persians
- e. the Persians quickly attacked the Greeks ≠ \*of/by the Persians quickly attacked the Greeks

To summarize: the analysis of gerunds as IPs with Case explains the cross-linguistically common convergence of nominal and adjectival functions in a single morphological class of verbal forms. By not positing any DP or NP structure over the IP it avoids the overgeneration problem that FNT-type analyses face. It excludes the possibility of multiple alternating verbalizing and

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<sup>11</sup>On Acc+*ing* gerunds see the brief and inconclusive remarks in section 2.3 below.

nominalizing syntactic heads to which the FNT opens the theoretical door, and gets rid of the constraint that heads of DPs whose complements are NPs whose complements are verbal projections may not be articles or demonstrative pronouns. It provides the basis for a uniform structure for all DPs, and for a uniform lexical derivation of all nominalizations. It correctly predicts that gerunds and participles have subjects – specifiers of Infl that are structural counterparts to the subjects of finite clauses. What is important is that the analysis is not motivated merely by these empirical arguments; it is a consequence of lexicalism, and, if correct, supports the lexicalist organization of grammar.

The question arises whether there might be a CP layer above the IP, headed by a null complementizer. This additional structure is not justifiable for English, because the distribution of gerunds differs from that of any type of CP. First, gerunds need Case, whereas CPs do not (Vergnaud 1977). Secondly, gerunds are permitted in clause-medial position, while *that*-clauses and other CP clauses must extrapose.<sup>12</sup>

That gerund phrases are full IPs with a structural subject, that they bear Case, and that, unlike derived nominals, they have no DP or NP projection, and in particular no possessor-type Specifier, makes many additional predictions that are testable in morphologically richer languages. They turns out to be abundantly supported, as demonstrated for Finnish in the next section.

## 2.2 Finnish gerunds are IPs

Finnish participial propositional complement clauses are the closest functional counterparts of English gerunds, and I will call them gerunds here. They are not DPs with possessors but IPs with true structural subjects. Their Case is inherently marked by the oblique suffix *-n*, arguably functioning as a complementizer, which restricts them to internal argument positions. This illustrates how the typology of gerunds emerges from variation in what cases they can bear.<sup>13</sup>

Unlike English gerunds, Finnish gerunds are never external arguments. Thus they can be objects of transitive verbs such as “say”, “think”, “want”, “prove”, “remember” and “hear”, and subjects of presentational intransitives like “appear” and “become evident”, but they cannot be subjects of such predicates as “be obvious”, “prove”, and “mean”.<sup>14</sup>

- (13) a. Selvis-i                      Mati-n    ampu-nee-n                      karhu-n.  
           become-clear-PST.3SG Matti-GEN shoot-PERFPRTC-GEN bear-ACC<sub>GEN</sub>  
           ‘It became clear that Matti had shot the/a bear’
- b. \*Mati-n    ampu-nee-n                      karhu-n    suututt-i    Liisa-a.  
           Matti-GEN shoot-PERFPRTC-GEN bear-ACC<sub>GEN</sub> anger-PST.3SG Liisa-PART  
           ‘That Matti had shot the/a bear angered Liisa’

This distribution suggests that the ending *-n* that participles bear in their gerundial function, glossed “GEN” in (13), marks an object Case that is compatible with internal arguments but not with external arguments. Historically, it is probably the old dative ending, which has fallen together

<sup>12</sup>However, the case marking of participles in inflected languages could be considered as a kind of complementizer, as conjectured for the inherent case affix *-n* on Finnish gerunds in section 3.4.

<sup>13</sup>The data and analysis of Finnish gerunds presented in this section is condensed from my treatment of Finnish nonfinite complementation in Kiparsky (in press), to which I refer the reader for the details.

<sup>14</sup>In the glosses, ACC<sub>GEN</sub> and ACC<sub>NOM</sub> both refer to morphosyntactic Accusative structural case. The subscripts show three different morphological case realizations of this morphosyntactic Case. They will become important shortly, but for now the reader may ignore them.

phonologically with the genitive, but persists as a morphosyntactically distinct type of genitive which (unlike the structural genitive) cannot function as a subject (Kiparsky, in press).

As shown in (14), Finnish gerunds behave more like bare finite CP clauses with *että-* (*that-*) than like DPs, whether nominal DPs (14c) or pronoun-headed finite *se että-* (*it that-*) clauses (14d).

- (14) a. Huomas-i-n / ymmärrä-n / luule-n / otaksu-n tilante-en ole-va-n  
 notice-1SG / understand-1SG / think-1SG / assume-1SG situation-GEN be-PRTC-GEN  
 hankala-n.  
 difficult-GEN  
 ‘I noticed / understand / think / assume that the situation is difficult.’ [lit. ‘the situation’s being difficult’]
- b. Se-n huomatiin / ymmärrettiin / luultiin / otaksutaan ole-va-n  
 It-GEN notice-PASS-PST / understand-PASS / think-PASS / assume-PASS be-PRTC-GEN  
 hankala-n.  
 difficult-GEN  
 ‘It is noticed / understood / thought / assumed to be difficult.’
- c. Huomas-i-n / ymmärrä-n / \*luule-n / \*otaksu-n häne-t / se-n  
 noticePST-1SG / understand-1SG / think-1SG / assume-1SG him--ACC<sub>ACC</sub> / that-ACC<sub>GEN</sub>  
 seika-n.  
 thing-ACC<sub>GEN</sub>  
 ‘I noticed / understand / think / assume him / this point (fact).’
- d. Huomas-i-n / ymmärrä-n / \*luule-n / \*otaksu-n se-n, että tilanne on  
 noticePST-1SG / understand-1SG / think-1SG / assume-1SG it-ACC<sub>GEN</sub> that situation.NOM is  
 hankala.  
 difficult  
 ‘I noticed / understand / think / assume that the situation is difficult.’

The distinction between verbs that allow DP objects (*huomati-* ‘notice’ and *ymmärtä-* in (14)) and verbs that do not allow DP objects (*luule-* ‘think’ and *otaksu-* ‘assume’ in (14)) is correlated with factivity, but the correlation is not exact and my argument does not depend on it.

Since gerunds are not DPs but case-marked IPs, their genitive subjects behave like structural subjects and not like genitive specifiers of DPs. This is shown by five arguments.

The first argument that the genitive specifier of gerunds is a grammatical subject is that it gets assigned exactly the same Th-roles as the subjects of the corresponding finite clause, not the diverse range of interpretations that “possessors” of derived nominals receive (see above under (1)). So *Matti* in (13a) picks out the agent of the shooting event, whereas the specifier *Matti* of the derived nominal (15) could be, among other things, the organizer or theme of the rescue.

- (15) Muista-n Matti-n pelastukse-n.  
 remember.PRES-1SG Matti-GEN rescue-NOM-ACC  
 ‘I remember Matti’s rescue’

The second argument comes from extraction. The subjects of gerunds can be extracted as readily as objects:

- (16) a. Kene-n väit-i-t ampu-nee-n hän-tä?  
 who-GEN claim-PST-2SG shoot-PFP-GEN he-PART  
 ‘who did you claim shot at him?’
- b. Ke-tä väit-i-t häne-n ampu-nee-n?  
 who-PART claim-PST-2SG he-GEN shoot-PFP-GEN  
 ‘who did you claim he shot at?’

But possessors cannot be extracted (17a), and neither can genitive specifiers of tenseless nonfinite complements such as the third infinitive (17b) and the second infinitive (17c) (the Left Branch Condition, Ross 1967: 127).

- (17) a. \*Kene- $n_i$  väit-i-t ammu-tu-n  $t_i$  karhu-n / että ammu-ttin  $t_i$   
 who-GEN claim-PST-2SG shoot-PERFPRTC-GEN bear-GEN / that shoot-PASS.PST  
 karhu?  
 bear.ACC<sub>NOM</sub>  
 ‘Whose bear did you claim (that) was shot?’
- b. \*Kene- $n_i$  väit-i-t  $e_i$  ampu-ma-n karhu-n paina-nee-n 500 kilo-a?  
 who-GEN claim-PST-2SG shoot-3INF-GEN bear-GEN weigh-PERFPRTC-GEN 500 kg-PART  
 ‘The bear shot by whom did you claim weighed 500 kg?’
- c. \*Kene- $n_i$  itk-i-t  $e_i$  ampu-e-ssa karhu-n?  
 who-GEN claim-PST-2SG shoot-2INF-INESS bear-ACC<sub>GEN</sub> kg-Part  
 ‘Who did you weep while he shot the/a bear?’

A third diagnostic which shows that gerunds have structural subjects and not possessors is that they do not undergo possessor agreement. Nouns and infinitives agree with their genitive specifiers, as exemplified for nouns in (18a), for the second infinitive in (18b), and for the third infinitive in (18c).

- (18) a. (Minu- $n_i$ ) karhu- $n_i$  paino-i 500 kilo-a  
 (My-GEN) bear<sub>NOM</sub>-1SG weigh-PST-3SG 500.ACC kg-PART  
 ‘My bear weighed 500 kilograms’
- b. Matti itk-i (minu- $n_i$ ) ampu-e-ssa- $n_i$  karhu-n  
 Matti-NOM weep-PST.3SG (my-Gen) shoot-2INF-1SG bear-ACC<sub>GEN</sub>  
 ‘Matti wept as I shot the/a bear’
- c. (minu- $n_i$ ) ampu-ma- $n_i$  karhu  
 (my-Gen) shoot-3INF-1SG bear.NOM  
 ‘the/a bear I shot’

But gerunds do not possessor-agree with their subjects, as we can see in (19a,b) and (with a raised subject) in (19c).

- (19) a. Matti ties-i minu- $n_i$  ampu-nee-n (\*ampu-nee- $n_i$ )  
 think-1SG know-PST.3SG me-GEN shoot-PRFPRT-GEN (shoot-PERFPRTCPRFPRT(-GEN)-1SG  
 karhu-n  
 bear-ACC<sub>GEN</sub>  
 ‘Matti knows that I’ve shot the/a bear’

- b. Selvis-i häne-n<sub>i</sub> ampu-nee-n (\*ampu-nee-nsa<sub>i</sub>)  
 become clear-PST-3SG he-GEN (shoot-PRFPRT(-GEN)) (shoot-PERFPRTC(-GEN)-3P)  
 karhu-n  
 bear-ACC<sub>GEN</sub>  
 ‘it became clear that he had shot the/a bear’
- c. Näytä-t<sub>i</sub> ampu-nee-n (\*ampu-nee-si<sub>i</sub>) karhu-n  
 seem-2SG shoot-PRFPRT-GEN (shoot-PERFPRTC(-GEN)-2SG) bear-ACC<sub>GEN</sub>  
 ‘you seem to have shot the/a bear’

Of course the subjects of gerunds cannot subject-predicate agree with the gerunds like nominative subjects of finite clauses agree with the finite verb, for genitive subjects never subject-predicate agree in Finnish.

The fourth argument that gerunds have structural subjects comes from the distribution of accusative Case morphology. Descriptively, Finnish morphosyntactic Case is realized as morphological case as follows.<sup>15</sup>

- (20) a. The subject of a participial clause is always Genitive.  
 b. The object of a participial clause can be morphosyntactic Accusative or Partitive. Partitive is assigned to objects under the same conditions as in finite clauses:
1. Objects under overt or implicit negation are Partitive.
  2. Objects of certain predicates (such as *love* and *touch*) are Partitive.<sup>16</sup>
  3. Otherwise objects are Accusative.

Morphosyntactic Partitive is always realized as morphological partitive. And now comes the essential and trickiest part. Morphosyntactic Accusative is realized by three morphological cases:

- (21) a. as morphological accusative on personal pronouns,  
 b. otherwise as morphological genitive if the object is plural, or if the clause has a subject with structural case (this last condition is called JAHNSSON’S RULE),  
 c. otherwise as morphological nominative.

Clause types that lack subjects with structural case for purposes of Jahnsson’s Rule include imperatives, bare infinitives (“to see Naples and to die”), passives (which in Finnish do not involve “promotion” of the object), and clauses with “quirky case” subjects.

Since the argument to be presented below uses Jahnsson’s Rule as a diagnostic for the presence or absence of a structural subject, I will gloss the examples in such a way that the reader can see whether Jahnsson’s Rule has taken effect in them. This means glossing not only morphosyntactic Accusative Case, but whether morphosyntactic Accusative Case is realized as morphological accusative case or nominative case. So I will mark morphosyntactic Case by the main gloss and morphological case with a subscript on it. For example, in (22) both objects bear morphosyntactic Accusative Case, realized in (22a) as morphological genitive case and in (22b) as morphological nominative case.

<sup>15</sup>For details see Kiparsky 2001; a sophisticated OT treatment of the variation is developed by Anttila & Kim 2016.

<sup>16</sup>The class of partitive-assigning predicates is often called “telic” (e.g. Kratzer 2002). This is not quite correct; for an attempt at a more accurate formulation see Kiparsky 2005b.



- (25) a. Hänen pitää osta-a auto.  
 He-GEN must-3SG buy-1INF car-ACC<sub>NOM</sub>  
 ‘He has to buy the/a car’
- b. Hänen on helppo nostaa tämä säkki.  
 He-GEN be-3SG easy lift-1INF this-ACC<sub>NOM</sub> sack-ACC<sub>NOM</sub>  
 ‘It is easy for him to lift this sack’

This is as expected, since they are not assigned structurally but idiosyncratically by particular predicates.

A fifth argument that gerunds have structural subjects is that they can have a generic null subject *pro<sub>arb</sub>*. In Finnish *pro<sub>arb</sub>* can be a subject (Hakulinen & Karttunen 1973) but it cannot be a possessor: contrast (26a) and (26b). So, the fact that gerunds can have a generic *pro<sub>arb</sub>* subject, as seen in (26c), is another datum in support of the claim that gerunds have structural subjects and not possessors. Moreover, gerunds can be subjectless under the same conditions as subjects of finite clauses. For example, gerunds can have the impersonal passive form, see (26d).

- (26) a. Siellä ∅ voi tanssi-a.  
 there *pro* can-3SG dance-1INF  
 ‘One can dance there.’
- b. \*On mukava katsel-la ∅ valokuv-i-a.  
 be-3SG nice look-at-1INF *pro* photo-PL.PART  
 \*‘It’s nice to to look at one’s photos.’ (OK without ∅: ‘It’s nice to to look at photos.’)
- c. Siellä väite-t-ään ∅ voi-va-n tanssi-a.  
 there claim-PSTPASS *pro* can-PRESPTC-GEN dance-1INF  
 ‘It is claimed that one can dance there.’
- d. Siellä väite-tt-iin voi-ta-va-n tanssi-a.  
 there claim-PSTPASS can-PASS-PRESPTC-GEN dance-1INF  
 ‘It was claimed that there is dancing there.’

I conclude that Finnish gerunds are IPs like English gerunds, albeit with a different syntactic distribution due to their oblique Case specification.

### 2.3 Desultory remarks on *Acc-ing*

The English “*Acc-ing*” construction differs in many ways from the “*Poss-ing*” gerund considered here so far. I have no serious analysis of it to offer. Its behavior resembles *Acc-Inf* (“*ECM*”) constructions in some ways. First, unlike gerunds with genitive subjects, it is degraded by intervening adverbs, extraposition, and fronting, under roughly the same conditions as nominal objects (Portner 1995, Pires 2006):

- (27) a. We anticipated (\*?eagerly) him leaving Paris.  
 b. (We anticipated his resignation, but) \*?him/his leaving Paris we did not anticipate.

This is the same pattern as:

- (28) a. We believe (\*?strongly) him to have told the truth.  
 b. (We believed him to have been mistreated, but) \*?him to be telling the truth we did not believe.

Acc-Inf gerunds allow extraction, like Acc-Inf complements and unlike Poss-*ing* gerunds:

- (29) a. Which city do you remember him/\*his describing? (Portner 1995: 637, citing L. Horn)  
 b. Who do you resent Bill/\*Bill's hitting? (Williams 1975: 263)  
 c. Who/\*whose do you resent hitting Bill? (Cf. \*Who do you resent (it) that hit Bill?)  
 d. Who do you believe to be telling the truth?  
 e. What do you believe him to be saying?

Another frequently noted difference between the constructions is that the genitive subject of gerunds is preferentially human, and cannot be expletive *there* at all, whereas the accusative is unrestricted in this respect, again like Acc-Inf subjects.

- (30) a. There (\*there's) being no objection, the proposal is approved.  
 b. ?I imagined the water's being 30 feet deep.

Accusative subjects of gerunds do not seem to be getting their case from the main verb, since they can appear in gerunds that function as subjects. Possibly the accusative case assigner is a null preposition or complementizer, an analog of the overt *for* of *for-to* infinitives.

### 3 Agent Nominals, Transitive and Intransitive

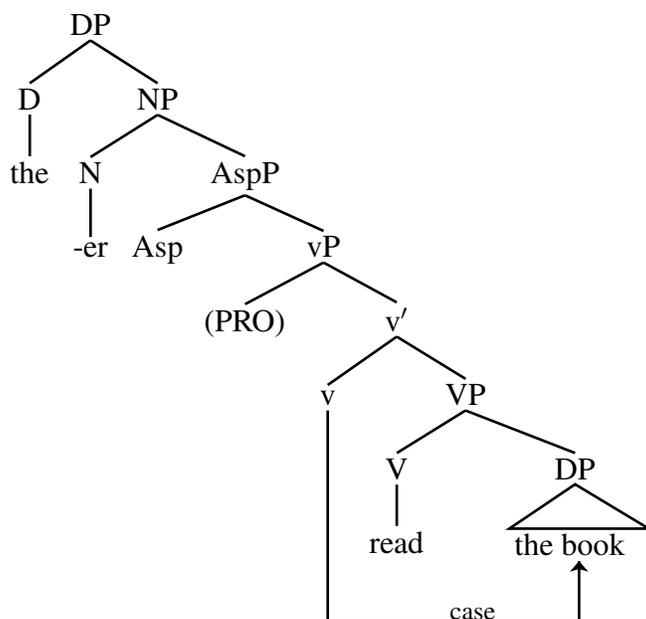
Like the FNT, my alternative theory of nominalizations is in principle applicable to every type of nominalization, including agent nominalizations and result nominalizations. The mixed category that most gravely challenges analyses of agent nominals is transitive agent nouns, which function as nominals except for assigning structural case to their objects and allowing some adverbial modifiers. I will make a case that, just as gerunds are categorially verbal at all levels of the syntax and their noun-like behavior is entirely due to a nominal Case feature borne by their Infl head, such transitive agent nominalizations are categorially nominal at all levels of the syntax and their verb-like behavior is entirely due to a verbal feature borne by their nominalizing head, namely Aspect. Gerunds and transitive nominalizations thus prove to be duals in a sense – respectively verbs with Case and nouns with Aspect.

I show that this idea predicts the distinction between transitive and intransitive agent nouns, whereas the functional properties of nominalizations neither correlate with each other as the FNT predicts, nor match the height of their nominalizing heads in syntax or word structure. In Vedic Sanskrit (sections 3.1-3.3) and in Finnish (3.4), high agent nominalizations *do not* assign structural case if they lack Tense/Aspect features, and even low agent nominalizations *do* assign structural case if they have Tense/Aspect features.

### 3.1 Agent nominals and subject nominals

In their illuminating study based on the FNT approach, Baker & Vinokurova propose an analysis and typology of agent nominalizations similar to the one I have called into question for event nominalizations. They begin by noting an asymmetry between agent and event nominals. “High” event nominals like (2a) have no agent noun counterpart such as (31).

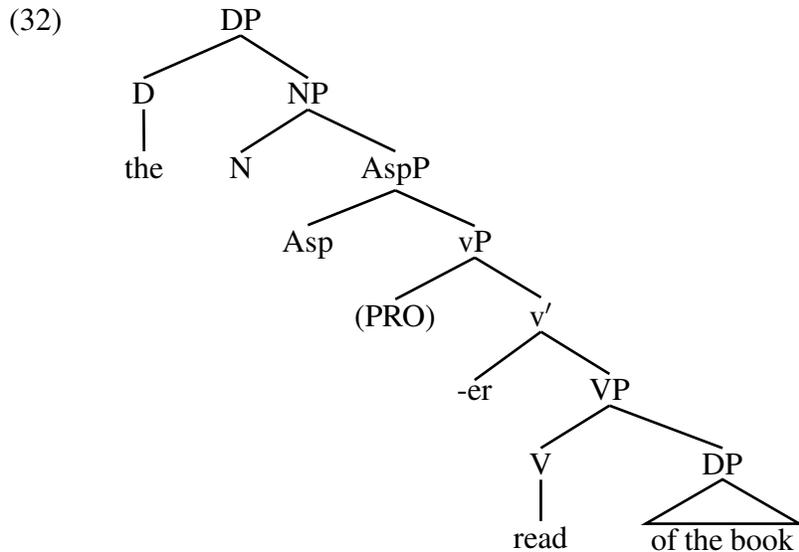
(31) \*the reader the book



B&V claim that this is a systematic gap, and propose to explain it on the basis of two key assumptions. First, agentive nominalizing morphology is added by a nominal head immediately above VP.<sup>18</sup> Secondly, in some languages, such as English, structural case is assigned to objects by an active Voice/v head, whereas in other languages, structural case is assigned configurationally (dependent case).<sup>19</sup> Together, these assumptions rule out transitive agent-denoting nominalizations, such as (31) \**the reader the book*. Instead, they require the structure (32). Here the agent nominalizer pre-empts the case-assigning active Voice morpheme in v that assigns structural case to objects in English, but (by hypothesis) has no case-assigning force itself.

<sup>18</sup>It is fair to ask why it is added there and not in a higher position. B&V hint that this is “a position apparently forced on it by the natural (iconic) semantic composition of the clause” (p. 521), but this remains to be justified.

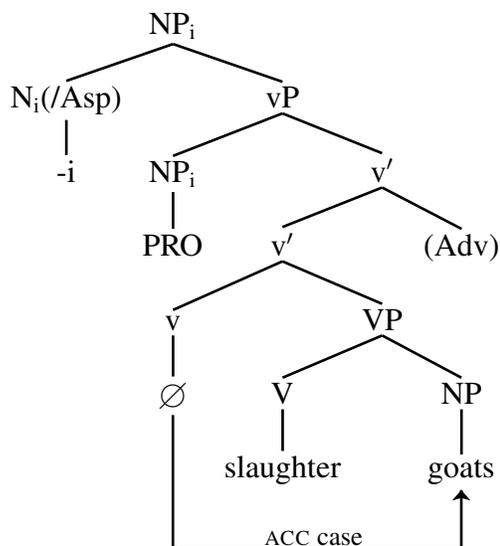
<sup>19</sup>B&V equate Voice with v, following Kratzer 2004, but contra Alexiadou 2008, 2010, Harley 2012, among others.



The analysis further predicts that, since voice markers cannot attach to unaccusatives,<sup>20</sup> such agent nouns cannot attach to unaccusative verbs.

B&V then draw a distinction between agentive and non-agentive “agent” nominalizers – let’s call the latter SUBJECT NOMINALIZERS. Subject nominalizers do assign structural case, and can be attached to unaccusative verbs. B&V (p. 547) analyze them as “nominal equivalents of an ASPECT head”, in the sense in which agentive nominalizers like *-er* are nominal equivalents of a VOICE head. Their example is Gikūyū *-i*, another example is Northern Paiute *-di* (Toosarvandani 2014). B&V propose the structure (33):

(33) Subject nominalizers (high)



As an immediate challenge to the FNT in the domain of agent nominalizations, B&V note that otherwise low agent nominalizations unexpectedly assign structural case in some languages. For

<sup>20</sup>In fact an incorrect premise: unaccusative verbs passivize in numerous languages, including Finnish and Sanskrit (Kiparsky 2013).

B&V, these languages must be special in that they assign structural case by a dependent case mechanism, whereas languages in which low agent nouns have oblique complements assign structural case by little *v*. The need to maintain two entirely distinct mechanisms of structural case assignment on the basis of evidence that cannot loom large in the learner’s experience would be another disappointing consequence of the FNT.<sup>21</sup> We’ll also see that B&V’s analysis of agent nominals imposes a functional overload on little *v* that makes the FNT’s various criteria for syntactic height mutually irreconcilable.

In summary, B&V’s proposal generates the following typology of agent nouns.

(34) agent nominalizers (low, <i>v</i> ): always agentive no unaccusatives structural case only if dependent case no adverbs no Aspect no Voice	subject nominalizers (high, Asp): non-agentives OK unaccusatives OK structural case adverbs OK compatible with Aspect compatible with Voice
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In the remainder of this section I show that the predicted correlations do not hold for agent nouns of Vedic Sanskrit and Finnish, and propose a much simpler alternative that does justice to the data.

### 3.2 Vedic agent nouns

Vedic and Pāṇinian Sanskrit has a large number of agent noun suffixes, which fall into two clearly demarcated types. A minimal pair that highlights the contrast are the two agent nouns types in accented *-tár<sup>N</sup>* and preaccenting *'-tar<sup>V</sup>*.<sup>22</sup> Agent nouns in accented *-tár<sup>N</sup>* have genitive objects and get only adjective modifiers, never adverbs, e.g. (35a). Agent nouns in preaccenting *'-tar<sup>V</sup>* (boldfaced in (35)) regularly assign structural case to their objects and, can get certain aspectual adverb modifiers, such as *punaḥ* ‘again’ in (35b).<sup>23</sup>

- (35) a. tvā-m hí satyá-m ... vid-má **dātár-am** iṣ-ám (RV. 8.46.2)  
 you-ACC Prt true-ACC ... know-1Pl **giver-ACC** good thing-PLGEN  
 ‘we know you as the true giver of good things’
- b. **íṣ-kar-tā** víhruta-m púnaḥ (RV 8.1.12)  
 fixer-NOM wrong-ACC again  
 ‘the maker right again (of) what has gone wrong’

<sup>21</sup>Levin & Preminger 2015 propose that *all* structural case can be assigned by dependent case, provided that the algorithm is parametrized in certain ways. However, they do not touch on the case variation in objects of agent nominalizations, and the parametrization of structural case assignment that they propose does not account for it, as far as I can tell.

<sup>22</sup>Their Indo-European provenance is guaranteed by Greek and Avestan cognates (Lowe 2015). The following exposition of their contrasting semantics, morphophology, and syntax draws on the generalizations and evidence in Kiparsky 2016, to which the reader is referred for details.

<sup>23</sup>Other agent nouns with verbal properties are attested in early Vedic include *-i<sup>V</sup>* RV 9.61.20 *jághnir vrtrám* ‘killer of Vrtra’, *-(i)ṣṇu<sup>V</sup>* RV 1.63.3 *dhr̥ṣṇúr etán* ‘bold against them’, *-u<sup>V</sup>* AV 12.1.48 *nidhanám titikṣuḥ* ‘enduring poverty’, *-Ø<sup>V</sup>* RV 1.1.4 *yám yajñám ... paribhūr ási* ‘the sacrifice that you embrace’.

Both suffixes are true nominalizers: they form nouns, not verbs. They have a complete nominal case and number inflection paradigm, take denominal derivational suffixes, such as derived feminines, and can be compounded.<sup>24</sup> They allow adjectival modification (in addition to adverbial modification, in the case of *'-tar-V*). These nominal properties are unsurprising for the noun-like *-tár-N* formations; that they hold also for the more verb-like *'-tar-V* is documented in (36).

- (36) a. āśúṃ jétāram  
 āśú-m jé-tār-am  
 quick-ACC win-er-ACC  
 ‘the quick (Acc.) winner (Acc.)’ (RV 8.99.7)
- b. táṣṭeva prṣṭyāmayí  
 táṣṭ-tar iva prṣṭya-āmay-ín  
 carve-er.NOM like back-ache-ed.NOM  
 ‘like a notalgic (Nom.) carpenter (Nom.)’ (RV 1.105.18)

Semantically both *-tár-N* and *'-tar-V* are *agent* nominalizers, not *subject* nominalizers: they are never added to non-agentive verbs or unaccusatives of any kind, and the meaning of the nominalization is canonically agentive.<sup>25</sup> So by these criteria both nominalizations are “low” in the sense of B&V, not Gikūyū-type “high” nominalizations.

The agent nominalizers *'-tar-V* and *-tár-N* form a *privative* semantic opposition, missed in the modern philological literature but correctly delineated already by Pāṇini, whose description turns out to tally perfectly with the Vedic data. The unmarked member of the opposition is *-tár-N*, which simply denotes agency (like English *-er*). The marked member *'-tar-V* has two additional meaning components:

- (37) a. *'-tar-V* denotes agency in ONGOING TIME.  
 b. *'-tar-V* denotes HABITUAL, PROFESSIONAL, or EXPERT agency.

The criteria of the FNT make contradictory predictions. Since both nominalizations are agentive, both should be structurally low little *v* heads. On the other hand, *'-tar-V* nominalizations, which have the verbal properties of assigning structural case and allowing adverbial modification, should be structurally high, while *-tár-N* nominalizations, which have strictly nominal properties, should be structurally low. Neither of these is the case. In fact, as far as the case and adverb properties are concerned, the structure is just the opposite of what is predicted: verbal *'-tar-V* is low and nominal *-tár-N* is high. This is shown by four arguments (details in Kiparsky 2016).

The first argument that verbal *'-tar-V* is low and nominal *-tár-N* is high is their morphological position in the word. *'-tar-V* always follows the bare verbal root directly, without any other intervening suffix; it cannot be added to compound or prefixed bases. *-tár-N*, on the contrary, can be

<sup>24</sup>E.g. *ksīrá-hotar-* ‘milk-offerer’ (ŚBr.), and *neṣṭā-potārau* ‘leader and purifier’ (TS.), co-compounds (Kiparsky 2010b) denoting pairs of priests.

<sup>25</sup>Thus, the following roots do *not* take either *-tár-N* and *'-tar-V* or any other agent suffixes for that matter: *as* ‘be’, *ās* ‘sit’, *sī* ‘lie’, *sru* ‘flow’, *plu* ‘float’, *tras* ‘tremble’, *vyath* ‘sway’, *bhramś* ‘fall’, *svap* ‘sleep’, *ksudh* ‘be hungry’, *trṣ* ‘be thirsty’, *svid* ‘sweat’, *ṛdh* ‘flourish’, *ru(d)h* ‘grow’, *pyā* ‘swell’, *riṣ* ‘sustain damage’, *mṛ* ‘die’, *śam* ‘become calm’, *mad* ‘get drunk’, *mud* ‘rejoice’, *hrṣ* ‘get excited’, *dhrṣ* ‘dare’, *bhī* ‘fear’, *hīḍ* ‘be angry’, *krudh* ‘become angry’, *grādh* ‘be greedy’, *ruc* ‘shine’, *śubh* ‘shine, be beautiful’, *bhā* ‘shine’ *bhās* ‘gleam’, *dyut* ‘to strike’ (of lightning), *pat* ‘to fall’.

separated from the root by verb-to-verb suffixes commonly analyzed as Voice/v heads (causative, denominative, intensive, desiderative). It is affixed to the whole verb base, including the extended root plus any prefix that combines with it:

- (38) a. RV *cod-ay-i-tr-ġ*- ‘impeller (fem.)’ (caus. *cod-áy-a-ti* ‘impels’)  
 b. TS *pra-dāp-ay-i-tár*- ‘bestower’ (caus. *prá-dāp-ay-a-ti* ‘bestows’),  
 c. *ni-dhā-tár*- ‘one who sets down’ (*ní-dadhā-ti* ‘sets down’)

The morphological data point to the respective constituent structures in (39):

- (39) a. *Low*: [ Prefix [ Root *'-tar<sup>V</sup>* ] ]  
 b. *High*: [ [ Prefix [ Root (Caus)... ] ] *-tár<sup>N</sup>* ]

The second argument that verbal *'-tar<sup>V</sup>* is low and nominal *-tár<sup>N</sup>* is high comes from word accentuation. The morphological conditioning of accent placement provides a convenient probe into the constituent structure of words. In Vedic and Pāṇinian Sanskrit, the accentuation of words is computed cyclically from the accentual properties of the morphemes from which they are composed. Morphemes may be accented or unaccented, and at the word level, all accents but the first in a word are erased (Kiparsky 2010a). Both of our agent suffixes (like the majority of derivational suffixes) belong to the accentually DOMINANT type: they erase the accent off the bases to which they are added. The crucial fact for present purposes is that dominant affixes exercise this erasing effect exactly on the stems to which they are added, no more and no less. Thanks to this property we can use accentuation to diagnose constituent structure in morphologically complex words.

The empirical generalization is that prefixes always prevail over low (bare-root) suffixes, including *'-tar<sup>V</sup>*, whereas high suffixes always prevail over prefixes, dictating the place of the word accent. The reason is that prefixes are added after the low suffix *'-tar<sup>V</sup>*:

- (40) Prefixation to nouns with the the low suffix *'-tar<sup>V</sup>*:

<i>bhar</i> -	Root
<i>bhár-tar<sup>V</sup></i>	add dominant preaccenting <i>'-tar<sup>V</sup></i>
<i>prá</i> -[ <i>bhár-tar</i> ]	add accented prefix
<i>prábhartar</i> -	erase all accents but the first

On the other hand, *-tár<sup>N</sup>* is accentually dominant, causing all accents on its base to be deleted, and attracting accent to itself. This shows that it is added to the entire stem including the prefix, causing the resulting word to be accented on the suffix.

- (41) Suffixation of high *-tár<sup>N</sup>* to prefixed verbs:

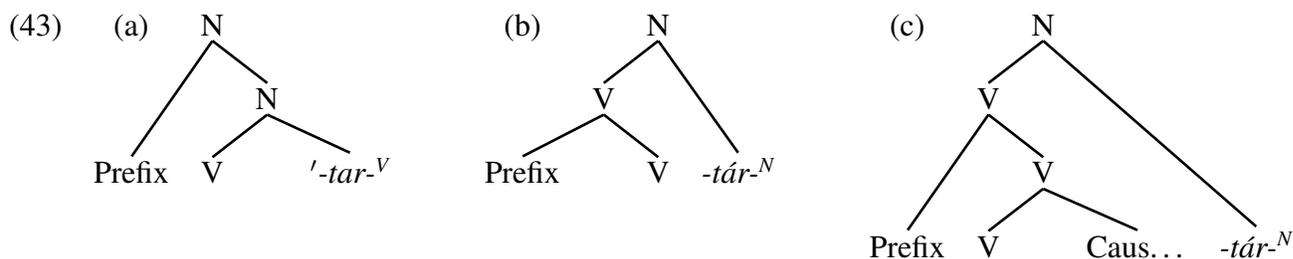
<i>bhar</i> -	Root
<i>ápa</i> - <i>bhar</i>	add accented prefix
[ <i>ápa</i> - <i>bhar</i> ]- <i>tár<sup>N</sup></i>	add dominant accented <i>-tár<sup>N</sup></i>
<i>apabhartár</i> -	

The third argument that verbal *'-tar<sup>V</sup>* is low and nominal *-tár<sup>N</sup>* is high comes from tmesis, the splitting of prefixes from stems. Prefixes can be separated from verbs and from nominals formed with low suffixes like verbal *'-tar<sup>V</sup>*.

- (42) a. *sáttā ní yónā* (= *nísattā yónā*) ‘a sitter down in the womb’ (RV 9.86.6)  
 b. *úpa sūre ná dhātā* (= *sūre nópadhātā*) ‘like the Placer of the Sun’ (RV 9.97.38).

Prefixes are never separated from nominals formed with high suffixes such as nominal *-tár<sup>N</sup>*.

The explanation comes from the same constituent structure that accounts for the accentual difference: low suffixes such as the agent suffix *'-tar<sup>V</sup>* are added directly to the root to form a noun, which can then be composed with a prefix (see (43a)), while high suffixes such as the agent suffix *-tár<sup>N</sup>* are added to the entire verb, which may already bear a prefix and/or another suffix (43b,c).



It will be seen the prefix is an immediate constituent of the word in (43a), but not in (43b) or in (43c). The natural generalization is that a prefix can only be split if it is an immediate constituent of the word.

The fourth argument that verbal *'-tar<sup>V</sup>* is low and nominal *-tár<sup>N</sup>* is high comes from selectional properties of prefixes. Prefixes that only combine with verb roots require high *-tár<sup>N</sup>*, because the right-branching constituent structure (43a) would require them to combine with nouns.<sup>26</sup> Conversely, prefixes and other elements that cannot be combined with roots, only with nouns, require the right-branching constituent structure (43a), which is available either with *-tár<sup>N</sup>* or with *'-tar<sup>V</sup>*.<sup>27</sup>

The above arguments establish the morphological constituency displayed in (39) and (43). But Distributed Morphology is a resourceful theory that makes available various movement operations that cause mismatches between morphology and syntax. So could the morphologically low nominalizing morphemes be spelled out high where B&V predict they should be, and then undergo Lowering to their actual position? And conversely, could the high nominalizing morphemes be spelled out low as predicted, and then undergo Raising to their actual position? The answer is negative on both counts.

The way morphologically low suffixes such as the agent suffix *'-tar<sup>V</sup>* could be syntactically high for purposes of the FNT is by DM's LOWERING operation, which applies before Vocabulary insertion to adjoin a head to the head of its complement (Embick & Noyer 2001):

<sup>26</sup>Many examples are given in Kiparsky 2016. One will have to suffice here. The interjection *hīm* ‘the sound *hmm*’ cannot be compounded with nouns. It can only combine with the root *kr̥* ‘do’, ‘make’. The agent noun from *hīm-kr̥* ‘to make the sound *hmm*’ must therefore have the high suffix *-tár<sup>N</sup>*, viz. *hīmkartár-*.

<sup>27</sup>Again we must make do with a couple of examples. There is no compound verb such as *\*para-apara-i-* ‘to go far and near’ from which *pārāpara-etar-* ‘one who goes far and near’ might be derived. In fact *pārāpara-* ‘far and near’ is never compounded with verbs. Instead, the agent noun is a nominal compounds from *para-apara-* ‘far and near’ plus *e-tár-* ‘goer’ (← *i-tár<sup>N</sup>*). Another illustration of this generalization is that the negation *a-* combines only with nouns. From *hótar* ‘priest’ (← *hu-'tar<sup>V</sup>*) we get *á-hotar-* ‘a non-priest’.

(44)  $X_0$  lowers to  $Y_0$ :

$$[_{XP} X_0 \dots [_{YP} \dots Y_0 \dots]] \rightarrow [_{XP} \dots [_{YP} \dots [Y_0 Y_{0+X_0}]\dots]]$$

For example, in English Lowering of T is assumed to adjoin T to v (Embick & Marantz 2008). But if  $'-tar-V$  is generated in the N head of (33) and is lowered from there into the v, it would, on B&V's assumptions, have the properties of a subject nominalizer, forming nouns from unaccusative and non-agentive verbs. But it does *not* have any properties of a subject nominalizer – it is a true agent nominalizer, as we showed above.

The other thing required to maintain the FNT is to generate  $-tár-N$  low in v (as in (32)) and then raise it to its actual high position. This is not going to work in the DM model either, for morphological head-raising can only adjoin a head to the next head above it (Harizanov & Gribanova 2016), and in this case it would have to skip intervening heads, including the v head that may be occupied by causative and other  $V \rightarrow V$  suffixes, which must not raise. Moreover, in more recent DM (Embick 2010), phonology is cyclically interleaved with morphology, and this would cause problems with the abovementioned accent erasure and tmesis phenomena.

It should also be noted that  $'-tar-V$  is overwhelmingly preferred when its special meaning and morphological restrictions allow its use, and  $-tár-N$  is used elsewhere. Moreover, other agent suffixes supersede each of them with particular roots and/or in particular special meanings. Since competition in DM obtains only between morphemes that have the same meaning and are realized in the same slot (such as English plural  $-s$  and  $-en$ ), all these competing suffixes would have to be generated in the same syntactic position.

The conclusion from the Vedic data is that the nominalizations' verbal vs. nominal properties do not correlate with structural height of their heads in the word or in the syntax. In fact, the majority of morphologically high nominalizers in Vedic have nominal properties, and the majority of morphologically low nominalizers have verbal properties – the opposite of what the FNT predicts.

### 3.3 Aspect in Vedic agent nouns

A preliminary survey of nominalizations suggests that the Aspect feature of a nominalizer is the best predictor of verbal properties. Consider the following alternative to the FNT.

(45) The Aspect hypothesis

Nominalizations assign structural case if and only if they have Aspect, either as an inherent feature of the nominalization, or in virtue of combining with overt Aspect morphology.

By aspect features I mean outer aspect features such as imperfective and habitual, not inner aspect (Aktionsart), such as telicity. Sanskrit agent nouns in  $'-tar-V$  are inherently present/imperfective and habitual. Those in  $-tár-N$ , English agent nouns made with  $-er$ , and Finnish agent nouns made with  $-ja$  have no inherent aspect: a *driver* can be a habitual or professional driver, or just someone who happens to be at the wheel on a particular occasion.<sup>28</sup>

The Aspect hypothesis is not implausible a priori because Aspect features are cross-linguistically known to affect case assignment – think of split ergativity based on imperfect vs. perfect aspect,

<sup>28</sup>Gerunds are arguably inherently imperfective (Alexiadou 2001, Alexiadou, Iordăchioaia & Soare 2010).

and accusative vs. partitive objects in Finnish depending on gradability (Kiparsky 2005b). It looks promising for Vedic Sanskrit in particular because nominalizing endings with verbal properties, such as *'-tar-V*, are added to the bare root, in the same morphological position as the Aorist and Perfect Tense/Aspect suffixes. It also consistent with the fact that Northern Paiute deverbal nominalizations, which assign structural accusative case, can have overt aspectual morphology below them (Toosarvandani 2014: 793, fn. 6).

The Aspect hypothesis is compatible with a lexicalist treatment of morphology. A Distributed Morphology analysis of Vedic agent nouns is problematic because of the conflicting criteria for structural height. In addition, they show a type of competition between morphemes that DM rejects. The semantically nondescript *-tár-N*, structurally low by B&V's criteria but high in word structure, is the default (elsewhere) case. The semantically restricted *'-tar-V* suffix, structurally high by B&V's syntactic criteria but low in the word morphology, is strongly preferred whenever it is applicable, namely to denote habitual agency in ongoing time with morphologically simple verbs. Elsewhere the default is *-tár-N*, structurally low by B&V's syntactic criteria but high in the word morphology – for past or future agency, or occasional agency, *or* when the verb is morphologically complex (causative, intensive, desiderative, denominative, or prefixed. Suppose then that a structurally low agent is added in a syntactic derivation. The derivation must crash if and only if a structurally high agent can be successfully added in a competing derivation. But DM does not allow rules that spell out syntactico/semantic features in different positions to compete with each other. Moreover, if we assume bottom-up morphological spellout of the syntax (by cycles or phases), the syntactically low agent would have to “know” about the upstairs high agent in order to be blocked by it. On the other hand, in a *morphological* theory of word-formation, morphologically low items naturally block morphologically high items. Besides, blocking of affixes with general meanings by affixes with special meanings regardless of the locus of affixation is straightforward in lexicalist approaches such as those of Wunderlich (1996, 2001) and Kiparsky (2005a).

### 3.4 The Finnish subject nominalizer *-ja*

B&V's formulation of the FNT entails that agent nominalizations don't assign case and subject nominalizations do (section 2). We have seen that Vedic falsifies the first of these claims. Finnish (among many other languages) falsifies the second. The fully productive Finnish suffix *-ja* is not an agent nominalizer, but a subject nominalizer, which is to say a high nominalizer in B&V's typology. It can go on non-agentive/unaccusative verbs, and freely attaches to causatives, often assumed to be under *v*, as well as denominatives, reflexives, inchoatives, and inner aspect morphemes such as frequentatives and semelfactives, thus testing positively for high position by several diagnostics.

- (46) a. *kuolija* ‘one who dies’, ‘dier’, *eläjä* ‘one who lives’, ‘liver’, *toipuja* ‘one who gets well’, ‘convalescent’, *olija* ‘one who is’, *osaaja* ‘one who is able to’, *syntyjä* ‘one who is born’, *hikoilija* ‘one who sweats’, *putoaja* ‘one who falls’, *turpoaja* ‘one who swells’, *pelkääjä* ‘one who fears’, *luulija* ‘one who supposes’, *tuntija* ‘one who knows, expert’, *muistaja* ‘one who remembers’, *jääjä* ‘one who remains’, *palelija* ‘one who feels cold’, *tarvitsija* ‘one who needs’, *hukkuja* ‘one who drowns’
- b. 1. Frequentative *-ele-*: *kys-eli-jä* ‘inquirer’, from *kys-ele-* ‘to make inquiries’ (cf. *kysy-jä* ‘asker’, from *kysy-* ‘ask’). Similarly *ryypiskelijä* ‘tippler’, *lähentelijä* ‘hasser’, *myyskentelijä* ‘peddler’, *rehentelijä* ‘bragger’, *riitelijä* ‘quarreler’.

2. Causative: *laula-tta-ja* ‘one who makes sing’, from *laula-tta-* ‘to make sing’, cf. *lauja-ja* ‘singer’, from *laula-* ‘to sing’.
3. Inchoative + causative: *selv-en-tä-jä* ‘clarifier’, ← *selv-en-tä-* ‘make clear, clarify’ (← *selv-en-* ‘become clear’ ← *selvä* ‘clear’).
4. Causative + frequentative: *sopi-ja* ‘agreer’, *sovi-tta-ja* ‘fitter, arranger’, *sovi-tt-el-ija* ‘reconciler, negotiator’
5. Reflexive: *puolusta-ja* ‘defender’ *puolusta-utu-ja* ‘(self-)defender’
6. Denominative: *testamentt-aa-ja* ‘bequeather’ (← *testamentt-at-* ‘to bequeath’ ← *testamentti* ‘testament’)

However, nominals in the suffix *-ja* do not assign structural case, whether they have any of these suffixes below them or not. Their object complement (unlike that of passive verbs) can only receive genitive case.

- (47) a. *palkinto-j-en* (\**palkinno-t*) *saa-ja*  
 prize-PL-GEN (prize-PLACC) get-er.(NOM)  
 ‘the/a winner of the prizes’
- b. *minu-n* (\**minu-t*) *käv-el-ytt-eli-jä-ni*  
 me-GEN (\**me-ACC*) walk-FREQ-CAUS-FREQ-er.(NOM)-1SGPOSS  
 ‘(the) one who frequently takes me around for walks’

Nominals in *-ja* do take oblique nominal modifiers, as do all nominalizations, including action nominalizations, and even to some extent ordinary basic nouns.

- (48) a. *Saksa-sta voitta-ja-na palaa-ja / pal-uu*  
 Germany-ELAT win-er-ESSIVE return-er.(NOM) / return-ing.(NOM)  
 ‘(the) one who returns / a return from Germany as a winner’
- b. *hallitse-va-ssa asema-ssa oli-ja / ol-o*  
 govern-in-INESS position-INESS be-er.(NOM) / be-ing.(NOM)  
 ‘(the) one who is in a governing position’
- c. *palatsi Cannesi-ssa*  
 palace Cannes-INESS  
 ‘the/a palace in Cannes’

They generally do not take adverbs, except for certain perfectivizing adverbs (49d,e):

- (49) a. \**nopea-sti juoksi-ja*  
 quick-ly run-er.(NOM)  
 ‘(the) one who runs/ran/will run quickly’
- b. \**kilpailu-n taas voitta-ja*  
 competition-GEN again win-er.(NOM)  
 ‘(the) one who wins/won/will win the/a competition again’
- c. \**aina matkusta-ja*  
 always travel-er.(NOM)  
 ‘(the) one who always travels’

- d. kilpailu-sta pois jää-jä  
 competition-ELAT away remain-er.(NOM)  
 ‘one who does not join the competition’, ‘eliminee’
- e. viime-ksi tuli-ja  
 lat-TRANSL come-er.(NOM)  
 ‘the last to arrive’

In (50) (an example adapted from the internet) the adverb *jälleen* ‘again’ appears with an agent noun.

- (50) Cannes-ssa jälleen palkinno-tta jää-jä  
 Cannes-INESS again prize-ABESS remain-er.(NOM)  
 ‘one who ended up prizeless again in Cannes’ (lit. ‘a remainder prizeless again...’)

Possibly it modifies not the nominalization but the abessive modifier *palkinno-tta* ‘prizeless’.

Since Finnish *-ja* must be high in order to get a non-agentive interpretation and to scope over every kind of verb-to-verb suffix, it should assign structural case, which it doesn’t. So it does not fit into B&V’s syntactic typology, and constitutes a problem for the FNT generalization. In this case, morphological raising or lowering, even if they were available and motivated, would not help to resolve the contradiction.

The lexicalist alternative, however, holds up. Like English *-er*, nouns in *-ja* are morphologically incompatible with overt Aspect or Voice morphology, and they refer indifferently to prospective, present, or past events, hence have no inherent Aspect features.

- (51) *maksaja* ‘payer’ (one who has paid, is paying, or will pay), similarly *ostaja* ‘buyer’, *vuokraaja* ‘renter’, *maahanmuuttaja* ‘immigrant’, *lähtijä* ‘goer’, *siittäjä* ‘inseminator’

Since *-ja* has no Aspect features and no verbal properties, the fact that it doesn’t assign structural case is consistent with the Aspect hypothesis but inconsistent with the FNT. I conclude that Finnish *-ja* supports the lexicalist analysis of nominalizations.

### 3.5 The Sakha agent nominalizer *-AAccY*

B&V (2009: 536) note that the correlation predicted by the FNT breaks down for Sakha agent nominalizations, which have structural accusative objects but otherwise conform to the low type, in that they have no Aspect morphology or adverbs. Their solution is that Sakha accusative case is not assigned by Voice/*v* but by a different mechanism, DEPENDENT CASE assignment.

- (52) Dependent case assignment (Marantz 1991, Baker 2015)
- a. If there are two distinct NPs in the same spellout domain such that NP<sub>1</sub> c-commands NP<sub>2</sub>, then value the case feature of NP<sub>2</sub> as accusative unless NP<sub>1</sub> has already been marked for case.
  - b. If there are two distinct NPs in the same spellout domain such that NP<sub>1</sub> c-commands NP<sub>2</sub>, then value the case feature of NP<sub>1</sub> as ergative unless NP<sub>2</sub> has already been marked for case.

Their main argument that Sakha accusative is dependent case is that objects of passives receive accusative case. This argument depends on the fragile assumption that the implicit agent of Sakha passives is a syntactically visible but phonologically null NP, which receives nominative case and serves as the NP<sub>1</sub> that triggers the assignment of accusative case to the object of the passive by (52a).

I am skeptical of this solution for both theoretical and empirical reasons. It would be strange for UG to offer two entirely different methods of structural case assignment, since their empirical differences are rather obscure, and offer learners of most languages little core data to choose between them. Secondly, the analysis of impersonal passives as having an invisible nominative agent subject is excluded on general grounds by any kind of demotion analysis of passive, including the typologically grounded theory proposed in Kiparsky 2013. Finnish provides empirical evidence against the idea that objects of passives receive dependent structural case because of a syntactically visible but phonologically null nominative implicit agent. The object of passives in Finnish is assigned structural case as in Sakha, but the case cannot possibly be assigned by the dependent case algorithm (52), for the implicit agent of passives in Finnish is *invisible* to case assignment, as clearly demonstrated by Jahnsson’s Rule (21b), see e.g. (23c,d).

Our approach predicts the transitivity of Sakha agent nouns in *-aaccy* out of the box. The reason is that they have an aspect feature. Agent nouns in Sakha *-aaccy* denote specifically habitual or generic agents. B&V (p. 531) illustrate this generalization with the following examples:<sup>29</sup>

- (53) a. ynaq-y ölor-ööccü  
           cow-ACC kill-AG.NOM  
           ‘a killer of cows, a butcher’
- b. \*Misha-ny ölor-ööccü  
           Misha-ACC kill-AG.NOM  
           ‘the killer of Misha’

The habitual aspect feature of the Sakha agent nouns licenses its structural case assignment just as the habitual aspect feature of agent nouns formed by the Sanskrit agent suffix *'-tar-V* does, as opposed to aspectually void agent nouns in *-tár-N*, Finnish *-ja*, and English *-er*. This accounts fully for the case data without resorting to the unsupported syntactic height distinctions demanded by the FNT.

Summing up our conclusions about agent nominalizations so far: the syntactic FNT is falsified by Vedic agent nominalizations in one direction, and by Finnish subject nominalizations in the other, and it requires an otherwise unsupported parametric choice between two heterogeneous structural case assignment algorithms. The analysis reveals that little *v* can’t do *all* of the following things: (1) introduce Agents, (2) host voice heads or agent nominalizer heads, (3) host causative V affixes, (4) host aspectual material, and (5) assign structural case. In agent nominals it is not possible to place nominalizing heads above or below little *v* in a consistent way that satisfies all of (1)-(5). (1) and (5) cannot be reconciled with an agent nominalizer that assigns structural case such as Sanskrit *'-tar-V*, or with a subject nominalizer that does not assign structural case such as Finnish *-ja*. The Sakha nominalizer *-AAccY* can dominate causatives (high) but not aspectual adverbs – a conflict between (3) and (4) – and introduces agents (low) but assigns structural case (high) – a conflict between (2) and (5).

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<sup>29</sup>This component is foregrounded in the related habitual participle function of the same suffix: e.g. *salaj-aaccy* means both ‘manager’ (agent noun) and ‘habitually managing’ (participle), see Vinokurova 2005: 123.

These difficulties fall away if we assume that that agent nominals are nouns, and that nouns assign structural case if and only if they have Aspect features.

## 4 Conclusion

The Functional Nominalization Thesis claims that so-called mixed categories arise through affixation of a nominal head to an extended verbal projection that is its syntactic complement. My findings instead support a lexicalist approach, in which mixed categories are projections of a nominal or verbal heads with an extra phi-feature. Their extended projections behave like normal extended projections modulo the properties enforced by that feature.

In section 2 I argued that gerund phrases are not DPs/NPs with AspP complements. They are not even nominalizations. They are participial phrases – IPs with a Case feature that is checked or valued in an argument position. In all other respects their syntax is entirely clausal: they lack DP material such as articles, demonstratives, quantifiers, and adjectives, and they are formally built like IPs, complete with structural subjects. The lexicalist analysis explains these properties.

In section 3 I argued that agent nominalizations that assign structural case to their objects are not nouns with vP complements (or with any other phrasal complements), but deverbal nouns derived by agent suffixes that have an Aspect feature. The Aspect feature makes the nouns transitive, and modifiable by aspectual adverbs. Otherwise their syntax is entirely nominal. The merit of this analysis is that it tightly correlates the transitivity of agent nouns with their aspectual meaning. Also, by relieving the burden on little *v*, it eliminates the mismatches between word structure and syntax that we found in Vedic and Finnish agent nouns under the FNT analysis.

The lexicalist approach retains the key idea of the FNT without the typologically unwarranted overgeneration caused by allowing syntactic affixation. It preserves a uniform mechanism of structural case assignment, a unified analysis of true nominalizations, and the insights that originally led Chomsky to lexicalism.

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