

this handout at
<http://www.unice.fr/dsl/tobias.htm>

PROCEDURAL FIRST

- (1) purpose
 - a. Interface Dualism
morpho-syntax has got two channels to talk to phonology:
 1. representationally: SPE-style boundaries #, the Prosodic Hierarchy
 2. procedurally: cyclic spell-out: the Transformational/ Phonological cycle in SPE, derivation by Phase more recently (Chomsky 2001)
 - b. given
 - a phonological effect that is controlled by morpho-syntactic information
 - competing procedural and representational solutions

==> always choose the former.

 1. procedural analyses allow for a control outside of the phonology since they make predictions on the morpho-syntactic side: they spell out different structures.
==> you can then argue about this morpho-syntactic contrast in order to make the analysis stand or fall.
 2. representational communication with phonology is phonological inbreeding.
It sends off some object into the phonology, but ignores the morpho-syntactic structure.
==> you are never able to bring to bear non-phonological arguments in order to make this kind of analysis stand or fall.
 3. ==> the best evidence for or against analyses of interface phenomena is extra-phonological.
 - c. illustration: un- vs. in-, bracketing paradoxes.

1. Distribution of procedural and representational management over interface phenomena

- (2) an interface phenomenon is a phonological effect that is governed by extra-phonological, i.e. morpho-syntactic information.

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(3) macro-map of interface phenomena

a. intonation (sentence stress): a world of its own

1. procedural treatment is needed for sure:

At least since Bresnan (1971), there can be no doubt that sentence stress directly depends on syntactic structure. The topic is covered by a rich syntactic literature, including Berman & Szamosi (1972), Cinque (1993), Kahnemuyipour (2004) and Adger (2006).

2. but is intonation phonological at all?

That is, do we need to know which lexical material a sentence will receive in order to compute its intonational structure?

Maybe not: intonation and phonology are two distinct and waterproof systems. Wagner (2005), Féry & Ishihara (ms)

3. Ladd (1986,1987) has argued for recursion in intonation. Recursion is unknown in phonology. Hence an argument for intonation lying outside of the phonology.

b. only representational for sure

1. reference to edges

"final devoicing", "restrictions on word-initial consonant clusters", "right-edge extrasyllabicity" etc.

SPE: #

Prosodic Phonology: "beginning of a Prosodic Word"

OT: Align, Wrap

=> interestingly, it appears that these phenomena never rely on online-produced morpho-syntactic structure. Rather, it relies on parameter settings that are valid for the entire language, no matter what the actual morpho-syntactic computation.

2. external sandhi (phonology between words)

never requires any procedural treatment: iterative application of rules or two-step derivations are unknown.

Classically, this is reflected by the fact that Lexical Phonology has strata in the Lexicon (i.e. where phonology interacts with morphology), but not in post-lexical phonology, where it interacts with syntax.

Only representational solutions are used for word-level phonology: #, the Prosodic Hierarchy.

c. stratal effects

phonological effects produced by affix classes

d. category-sensitive effects

récord - recórd

(4) summary:

procedural vs. representational intervention in phonology

	procedural	representational
a. intonation (sentence stress)		open question
b. parameter setting for the whole language (edge phenomena)	—	+
c. extra-phonological information depends on morpho-syntactic computation		
1. stratal effects (affix classes)	?	?
2. external sandhi (phonology between words)	—	+
3. category-sensitivity (récord - recórd)	?	?

2. Typology of stratal phenomena

- (5) the story
- when looking at the distribution of procedural and representational solutions for stratal phenomena, it appears that almost no representations are needed.
 - the representational residue is located in a specific area.
 - stratal phenomena can be made completely procedural if a procedural alternative is found for the residue.

- (6) stratal effects are effects due the the existence of affix classes.
- English class 1 (stress-shifting) vs. class 2 (stress-neutral) affixes.

class 1	class 2
in-	un-
-ity	-ness
-ic	-less
-ian	-hood
-ory	-like
-ary	-dom
-ion	-ful
-ate	-ship
-al (adjective-forming)	-ed (adjectival)
-y (noun-forming)	-ing (noun-forming)

- stress sensitivity

stem	class 1	class 2
párent	parént-al	párent-hood
válid	valid-ity	válid-ness
átom	atóm-ic	átom-ise

- (7) possible effects of morpho-syntactic structure in phonology

- Type A - rule blocking
a particular morphological division blocks a phonological process.
[In cyclic terms: the rule applies in the inner, but not in the outer cycle.]
[Lexical Phonology: level 1 rules]
- Type B - rule triggering
a particular morphological division triggers a phonological process.
[In cyclic terms: the rule applies in the outer, but not in the inner cycle.]
[Lexical Phonology: level 2 rules]
- Type C - rule modifying (only stress)
the phonological process is neither blocked nor triggered: it always applies, but to different strings according to morphological divisions.
[In cyclic terms: the rule applies in all cycles, but the result is different according to their grouping.]

(8) typology of stratal effects

a. Type A - rule blocking

[Lexical Phonology: level 1 rules]

a particular morphological division blocks a phonological process.

In cyclic terms: the rule applies in the inner, but not in the outer cycle.

1. Type A1

the root is modified.

Example: Trisyllabic Shortening

morpheme-internal & class 2

class 1

no shortening [aj,ej]: nightingale,
maiden-hood

shortening: s[ej]ne - s[æ]n-ity

2. Type A2

the affix is modified.

Example: English *un-* vs. *in-*

morpheme-internal & class 1

class 2

assimilation: hu[mb]le, i[m-p]ossible

no assimilation:
un-predictable

b. Type B - rule triggering

[Lexical Phonology: level 2 rules]

a particular morphological division triggers a phonological process.

In cyclic terms: the rule applies in the outer, but not in the inner cycle.

1. Type B1 (only one affix type)

[maybe reduces to Type B2]

any boundary triggers the effect. The contrast is between underived items and constructions involving an affix.

Example: Finnish $t \rightarrow s / __i$

2. Type B2 (two affix types)

only a subset of boundaries (a particular affix class) triggers the effect. The contrast is between underived items plus a certain class of affixes and another class of affixes.

Examples from English:

- nasal cluster simplification

morpheme-internal & class 1

word-final & class 2

[gn]: ignore, sign-ature

[n]: sign, sign-ing

[mn]: amnesia, damn-ation

[n]: damn, damn-ing

c. Type C - rule modifying (only stress)

the phonological process is neither blocked nor triggered: it always applies, but to different strings according to morphological divisions. In cyclic terms: the rule applies in all cycles, but the result is different according to their grouping.

Example: English stress assignment

párent

morpheme-internal & class 2

class 1

párent, párent-hood

parént-al

- (9) how stratal effects are treated in different theories
 [grey-shaded cells: participation of a representational device]
 [PIC is shorthand for Phase Impenetrability]

	Type A	Type B	Type C
a. SPE	# blocks rule	# triggers rule	cyclic spell-out, # blocks rule
b. Lex Phon	level 1 rule	level 2 rule B1: brackets B2: Bracket Erasure	level 1 rule
c. Gov Phon	cyclic spell-out & PIC	B1: impossible B2: cyclic spell-out & PIC	cyclic spell-out & PIC
d. Distr Morph	A1: cyclic spell-out & PIC A2: ?	B1: impossible B2: cyclic spell-out & PIC	cyclic spell-out & PIC
e. Stratal OT	level 1	B1: ? B2: lexicalised	cyclic spell-out & PIC

our target: A2

3. A purely procedural perspective for stratal phenomena

- (10) do Type B1 effects really exist?
- the reality of some may be doubted empirically (Kiparsky's famous Finnish $t \rightarrow s$ example).
 - they may be considered as special cases of Type B2. The only thing that B1 has not and that B2 has is the contrast between two affix classes: ANY boundary triggers B1, while only a subset of boundaries triggers B2.
 ==> if the triggering virtue of B1 is thought of not as "any boundary", but as an affix class (which happens to contain all affixes), B1 becomes a particular instance of B2.

Our target: Type A2 phenomena

- (11) Type A1: the root is modified

Trisyllabic Shortening (or Laxening)¹

	non-trisyllabic item		trisyllabic item	
a. class 1 suffix	<i>sane</i>	[sejn]	<i>san-ity</i>	[sæniɾi]
	<i>Christ</i>	[krajst]	<i>Christ-ian</i>	[kristʃən]
b. class 2 suffix	<i>maiden</i>	[mejdən]	<i>maiden-hood</i>	[mejdənhəd]
	<i>wild</i>	[wajld]	<i>wild-ness</i>	[wajldnəs]

¹ Trisyllabic Shortening encounters quite a number of counterexamples such as *obese* [ɔwbiis] - *obese-ness* [ɔwbiisnəs] (class 2), which should but does not react when the class 1 suffix *-ity* is added: *obes-ity* [ɔwbiisiti]. The same root can even produce reacting items along with derivatives that remain unimpressed: *wild-ness* [wajldnəs] and *wilderness* [wildənəs] bear the same class 2 suffix but show contrasting behaviour. Also, Trisyllabic Shortening does not appear to be productive, and additional doubt has been cast on its synchronic reality by psycho-linguistic evidence. Hayes (1995) provides an informed review of the status of Trisyllabic Shortening today.

- (12) analysis in Lexical Phonology: level 1 rule
Trisyllabic Shortening

		san-ity	maiden-hood
lexicon		sejn	mejdən
level 1	concatenation	sejn-ɪtɪ	—
	Trisyll. Short.	sæn-ɪtɪ	—
level 2	concatenation	—	mejdən-həd
	rule application	—	—

- (13) Distributed Morphology vs. Lexical Phonology

- there is no Lexicon (morphological and syntactic computation are identical).
- there is no selective rule application: only one phonology, i.e. rules may not be restricted to a given level (i.e. affix class).

- (14) procedural analysis in Distributed Morphology:
PIC (instead of assigning the rule to a phase)

- on the inner (lower) phase, the rule applies to *san-ity*, but not to *maiden-hood* because the trisyllabic condition is met in the former, but not in the latter case: *-hood* is not parsed at this level.
- on the second pass in the outer (higher) phase, *maiden-* has already been spelt out, thus the PIC prevents it from being altered by the rule, which now meets the trisyllabic condition.
- ==> critical ingredient of this analysis: the unmodified item has already been spelt out on an earlier phase.**

- (15) Type A2: the affix is modified
nasal assimilation

- in- assimilates: im-possible
- un- does not: un-predictable, un-comfortable

- (16) analysis in Lexical Phonology: as before, level 1 rule
nasal assimilation

		im-possible	un-predictable
lexicon		possible	predictable
level 1	concatenation	in-possible	—
	nasal assimilation	im-possible	—
level 2	concatenation	—	un-predictable
	rule application	—	—

- (17) procedural analysis (in Distributed Morphology): **impossible ?**

- A1: modification of the stem
A2: modification of the affix (un- vs. /in-/ → im-)
- the same solution as for Type A1 does not appear to be available since this would require that

==> the outer affix has already been spelt out when it is merged to the stem

- c. class 1 is the **inner** affix class: in-
class 2 is the **outer** affix class: un-
 - d. hence when the outer un- phase is interpreted, un- must have already been spelt out in order for the PIC to prevent its modification.
 - e. however, it cannot have been spelt out at the inner in- phase since it is external to that realm.
 - f. ==> un- must have been spelt out "somewhere" before it is sent off for interpretation upon the regular spell-out of the phase that it belong to.
- (18) alternative representatioanl analysis (PW analysis)
Rubach & Booij (1984:11ss) and Vogel (1991)
- a. un- is assigned a Prosodic Word (PW) of its own
[un]_{PW}[predictable]_{PW}
 - b. in- is not: it counts into the PW of the stem
[in-possible]_{PW}
 - c. the assimilation rule, then, applies only within a PW.
- (19) summary: 3 competing analyses
- a. representational: PW
 - b. procedural: Lexical Phonology (Lexicon, several phonologies)
 - c. procedural: Distributed Morphology (no Lexicon, only one phonology)
problem: necessary spell-out of un- prior to its merger.
- (20) assessment of the 3 analyses
- a. we dismiss Lexical Phonology on general architectural grounds
 - interactionism
 - the Lexicon
 - distinct computation of words and sentences
 - double and distinct interpretation: PF and LF are done twice (words and sentences)
see Marantz (1997)
 - b. the PW analysis makes no claim regarding the morpho-syntactic properties of the affixes involved:
 - 1. it can run with any derivational history of *in-* and *un-*.
 - 2. morpho-syntactic contrasts between both affixes are unexpected and unexplained.
 - 3. contrary to this prediction, the phonological contrast produced by un- and in- is mirrored by their morpho-syntactic behaviour:
un-, but not *in-*, is invisible for comparative allomorphy selection:
- un- allows for *unlikelier* (*likelier*) vs. **impoliter* (*politer*, *more impolite*).
 - 4. ==> not trying to derive the phonological contrast from the contrasting morpho-syntactic properties of the affixes is missing a generalisation.
 - 5. representational solutions by definition are unable to make predictions on the morpho-syntactic side.
 - c. ==> hence we have to make a procedural non-Lexicon analysis work:
is there
 - 1. a technical possibility for un- to be spelt out before its phase is interpreted?
 - 2. any good reason to believe that this is the case?YES, YES.

(21) Can *un-* be spelt out alone?

- a. YES – MSO and the SPCU (Smallest Possible Command Unit)
 1. Uriagereka (1999) and Chomsky (2001) propose that derivational ‘chunks’ be interpreted separately by the Phonology (and Semantics). Both Minimalist, with a goal of “...reducing substantive principles to interface (or bare output) conditions...” (Uriagereka p.252)
 2. These Command Units, or Phases correlate a lot of the time. Important here is that all left branches constitute separate interpretation structures.
 3. *Un-*, but not *in-*, is a monomorphemic left branch – an adjunct
- b. What are the restrictions on the SPCU/Phase?
 1. SPCU – none. Linearization requires that left branches be interpreted prior to merger. As no-look-ahead is in effect the left branch can be monomorphemic.
 2. Phases – The smallest numeration containing a phase head.
 - a. But *un-* is not a phase head.
 - b. A phase head is not necessary – consider the last numeration in any derivation!

(22) The good reason to believe this.

- a. BPs *un-* vs. *in-*
- b. This is arguably the way adjuncts work.

Late Adjunction: Elements that do not project and are not selected for must (can) be merged a-cyclically. A-cyclically here means ‘to a non-Root node’.
(Lebeaux 1988, Stepanov 2001 and others)

Multiple Spell Out: Separate derivational cascades (e.g. subjects and adjuncts) are islands due to the fact that they must undergo Spell-out before merger to the ‘trunk’ of the tree.(Uriagereka 1999and others)

 1. Morpho-syntactic contrasts between *un* and *in* are expected and explained if one is an adjunct and the other is not.
 2. This is the case. The phonological contrast produced by *un-* and *in-* is mirrored by their morpho-syntactic behaviour:
un-, but not *in-*, is invisible for comparative allomorphy selection:
-*un-* allows for *unlikelier* (*likelier*) vs. **impoliter* (*politer*, *more impolite*).
 3. Derivation of *unlikelier*: numeration 1: Degree⁰, likely
numeration 2: *un*

- a.

Deg

Deg

likely

→ PF {local dislocation of Degree head leads to synthetic comparative: *likelier*}
- b.

un

→ PF {no assimilation of the nasal, obviously}
- c.

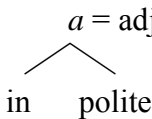
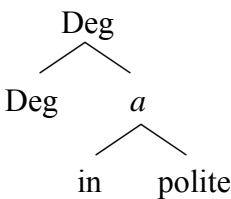
Deg

Deg

un likely

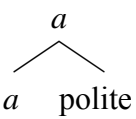
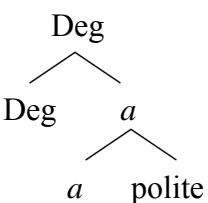
→ PF {*un* is inserted at a phonological egde, neither the phonology of the Deg head nor *un* is recomputed}

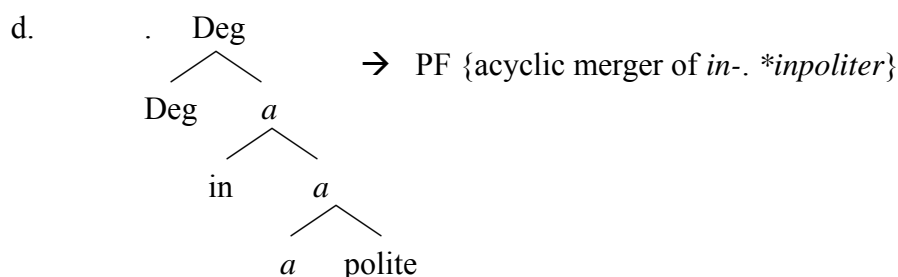
4. Derivation of *more impolite*: numeration 1: in, polite
numeration 2: Deg⁰

- a.  \rightarrow PF {in and polite are interpreted within the same phase, *in* assimilates}
- b.  \rightarrow PF of *a* has already been determined. Allomorphy of Deg head forces an analytic comparative *more impolite*

(23) The good reason to believe (21).

- a. *un-* attaches to nouns (maybe) and verbs and adjectives
unBob, unhappy, untie
1. Necessary assumption: (Kennedy 2001) *un-* is reversative always.
un- reverses the polarity of the adjectival scale
un- as a reversative in verbal affixation is the standard analysis
OR
un- always attaches low – to a root with scalar properties. Its selectional restrictions are semantic, not syntactic (Eva Dobler, Jon Nissenbaum p.c.)
 2. Adjuncts select for semantically viable complements, not for syntactic category.
 3. Adjuncts do not project – they mirror the projection of the structure adjoined to
- b. *in-* attaches to ?: We know it always produces an adjective
1. *in-* cannot attach to verbs or nouns, indicating it has syntactic selectional restrictions and/or effects.
 2. If roots are category neutral (DM) then *in-* is either always attaching to an adjective (created by a null adjectival head), or it is projecting adjectival features.
 3. The second option must be true. **impoliter* (*politer, more impolite*).
 4. *Impossible derivation of *impoliter*: numeration 1: polite, *a*
numeration 2: in-
numeration 3: Deg, *a*{*a, polite*}
numeration 4: in-, Deg {*Deg, a*}

- a.  \rightarrow PF {*polite*}
- b. in \rightarrow PF {no assimilation of the nasal, obviously}
- c.  \rightarrow PF {synthetic comparative is created}



(24) Therefore:

The differences in derivational history explain;

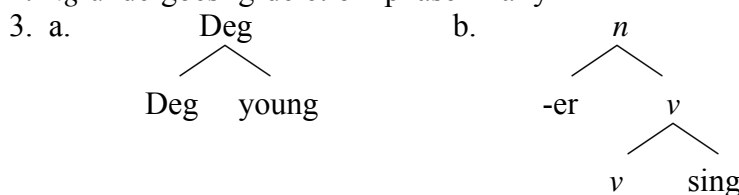
- a. The syntactic selectional distinctions
- b. The fact that Bracketing Paradoxes are possible with *un-* but not *in-*
- c. The nasal assimilation facts
- d. The PW facts: PF interpretation involves projection of prosodic structure

(25) Level 1 vs. Level 2 affixation can be explained in much the same way, minus the adjunction facts.

- a. Level 1 affixes are those that:
 1. Are interpreted within the same primary Phase as their complement (Marvin 2002): they may take categoryless roots as complements, or,
 2. Have phonological selectional requirements
- b. Level 2 affixes are those that
 1. Cannot merge with categoryless roots: They have category-specific selectional restrictions, therefore their complements will have always undergone previous PF interpretation.

(26) The Procedural account gives us more;

- a. *sing/young* vs. *singer/younger*
 1. The Degree head may merge with a categoryless root (or anything scalar)
 2. The nominalizing head must merge with verbs
- b. 1. If category-defining heads trigger interpretation – which we assume is true – then this gives us a distinction between the comparative and nominalized structures in terms of the syllabification of *ng*
2. *ng* undergoes ‘g-deletion’ phase finally



- c. Therefore even edge effects are not always representational

(27) Level Ordering can be treated in (partially) the same way.

- a. Level 2 affixes select for the lexical category of their base, while Level 1 affixes do not.
 1. Only Level 1 affixes may attach to categoryless roots.
 2. This gives us distinctions in phonology (Level 1 phonological rules are those that we expect from the simultaneous interpretation of the root and affix), morphology (Truncation only occurs with Level 1 affixation – when the Level 1 affix is the first affix merged to the root), and semantics (Level 1 affixation is characterized by ‘listedness’ or ‘idiomaticity’)
 1. viral (arguably derived from virus +al)
 2. comparable [kámpɾəbɫ] ‘similar, alike, able to be compared’
- b. Level 2 affixes’ merger to category-defined structures entails that the structure merged to has already undergone interpretation at PF. Hence no phonological effects are seen, no truncation occurs, and the semantics of the constructions are regular.
 1. governmental
 2. comparable [kəmpérəbɫ] ‘able to be compared’
- c. Level 1 affixes may, however, attach outside Level 2 affixes. Note that phonologically some behave as if part of the previous phase. BUT there is no truncation and no idiosyncrasy. This is predicted in the Procedural account if these affixes select for a phonological host (as do other affixes see Yu 2003 on infixation)

1. cocaine~cocainism – no stress effects
2. govern~govern-ment-al –PW-stress effects only in the outer domain
3. Atayal

Root		Actor Focus	Reciprocal/Reflexive
kaial	‘talk’	k-m-aial	m-kaial

(28) More Late Adjunction effects I: Particles

A bracketing paradox occurs iff the construction contains an adjunct.

- a. Particles in many languages (German, Warlpiri) are phonologically distant from the verb, yet semantically very close (induce idiomatic semantics). Why?

These structures are also Bracketing Paradoxes.

There is a procedural account for this anomaly.

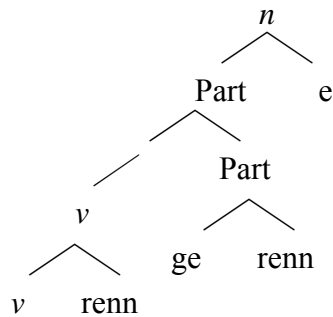
1. German
 - herum-ge-renn-e
 - around-ge-run-e
 - Semantic interpretation = ge[herum renn]e (Müller 2003)
2. Warlpiri
 1. pardi-mi
 - ‘arise + NONPAST’
 2. tirl-pardi-mi
 - ‘open (as of an eye) + NONPAST’
 3. [tirl [[pi] ngu]] → tirl-pu-ngu, *turl-pu-ngu
 - ‘split + PAST’ (Pesetsy 1979)

b. These Particles are late adjuncts

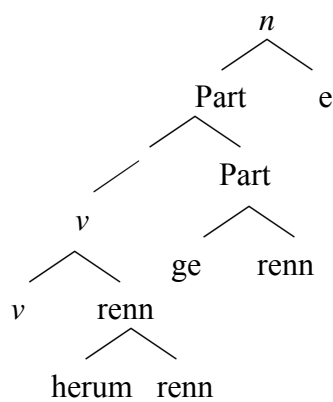
Explains separation of verb and particle under V2 in German

Explains phonological selectional restrictions of inflection in Warlpiri (ergative allomorphy = *-ngku* after disyllabic stems and *-rlu* after longer stems - but the preverb does not come into play (Nash 1986).

1.



2.



(29) More Late Adjunction effects II: Double Affixation in English

a. English particles are adjuncts too.

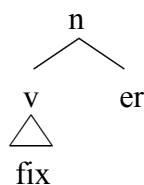
- 1a. fix
- b. fixer
- c. fix up
- d. fixed up
- d. fixer upper
- e. *fix upper
- f. *fixer up

Explains the morphological separation of verb and particle (as in German)

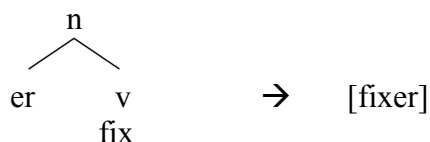
Explains the semantically vacuous double affixation.

b. How?

1. All non- adjuncts within the phase are merged.

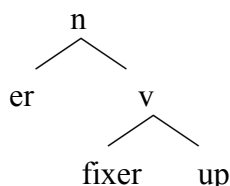


- c. The phase is sent to PF (and LF) through MS. Merger and Spell Out occur.



NOTE: Morphological merger does not affect the position of morphemes in the narrow syntax.

- d. Late adjunction occurs inside the previously spelled out phase.



- e. At the next phase the structure in step 3 is returned to PF. The previous spell out cannot be accessed, only added to (Nissenbaum 2000's LEC).

[*throwerup]

- f. Merger re-occurs, as the agentive morpheme can no longer 'see' that it has undergone spell out.

[throweruper]

- g. Double Affixation is purely phonological. The syntactic structure in Step 3 is the final structure of 'thrower upper'.

- h. Double affixation occurs in Breton and Yiddish as well, and both involve adjuncts.

- | | | |
|------------|-----------------|-----------------|
| 1. Breton | bag-ou-ig-ou | 'little boats' |
| | boat-PL-DIM-PL | |
| 2. Yiddish | dern-er-l-ex | 'little thorns' |
| | thorn-PL-DIM-PL | |

(30) So where do we stand?

- a. No purely phonological (representational account) can predict;
 - a. Where bracketing paradoxes will occur.
 - b. When double affixation will occur.
- b. A procedural account;
 - a. Predicts the distribution of the above phonological anomalies.
 - b. Ties the phonological output to syntactically determined 'Levels'

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