

## ADVANCED PARSING: FROM RULES, TO P&P... AND MINIMALISM

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- ⊙ Principle and Parameters Parsers
- ⊙ Minimalist Grammars
- ⊙ Phase-based Minimalist Grammar
- ⊙ Parsing with PMGs

## References

### ⊙ Essential references

- Stabler E. (1997) Derivational minimalism. in Retoré, ed. *Logical Aspects of Computational Linguistics*. Springer

### ⊙ Extended references

- Chesì C. (2015) On directionality of phrase structure building. *Journal of Psycholinguistic Research*. 44:65–89
- Fong S. (1991) *Computational Properties of Principle-Based Grammatical Theories*. tesi Ph.D. MIT

## From Rules to Principles and Parameters

- ⊙ **rules** Language specific      **Principle & Parameters (P&P)** linguistic universals + parameters settings
- ⊙ P&P aims at a better explicative adequacy (other than descriptive)
- ⊙ **Goal**: linguistic universals capture the limited syntactic variability across languages
- ⊙ **Principle-based parsers** (Barton 1984, Berwick e Fong 90, Stabler 92) are inspired by this intuition:
  - Grammatical principles are parser **axioms**
  - the parser operates as a **deductive system** inferring grammatical structures applying the axioms to the input

## From Rules to Principles and Parameters

### Rules

passive transformation	→	passive sentence
coordination transformation	→	coordinated sentence
focalization transformation	→	sentence with a focalized constituent
...		

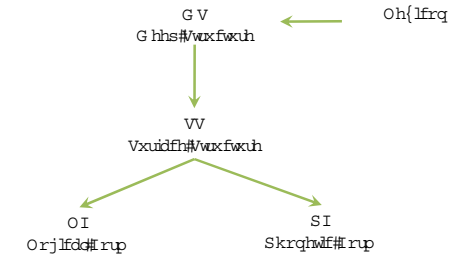
### P&P

P1	→	passive sentence
P2	→	coordinated sentence
P3	→	sentence with a focalized constituent

Few principles + few parameters = thousands of rules!

## P&P

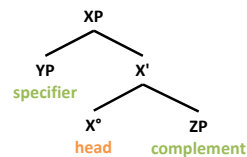
### "T" model



## P&P

### Some principles

#### X' theory



#### θ - criterion

every argument must receive one and only one thematic (θ) role (and every thematic role is assigned to just one argument)

#### Case filter

every lexical NP must receive case (P e V<sub>finite</sub> are case assigners)

## P&P

### Generators

principles producing more structures than the ones in input:

- Move α
- Free indexation
- ...

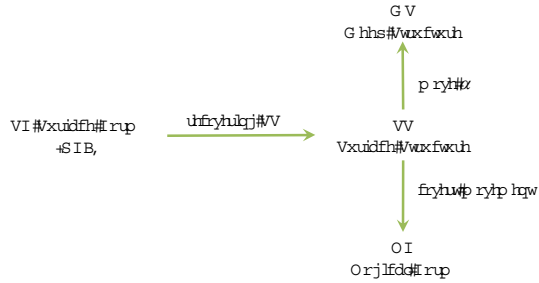
### Filters

principles selecting fewer structures than the ones received as input:

- X' theory
- θ - criterion
- Case filter

## PAPPI (Fong 1991)

- Grammatical principles are expressed on a “high order” language (first order logics) then compiled in the parsed (this is a strategy for improving performance)



## PAPPI (Fong 1991)

- Case Filter**
  - definition**  
“Every lexical NP must receive a case at SS”
  - (pseudo) formalization**  
 $\forall NP: NP \subset CF_{SS}, NP \rightarrow case$
  - Implementation in Prolog**  
:- caseFilter in\_all\_configuration CF where lexicalNP(CF) then assignedCase(CF).  
  
lexicalNP :- cat(NP, np), +\ ec(NP).  
assignedCase(X) :- X has\_features case(Case), assigned (Case).

## PAPPI (Fong 1991)

Operation	Encoded Using
$\theta$ -role assignment	in_all_configurations
$\theta$ -criterion	in_all_configurations
D-structure $\theta$ -condition	in_all_configurations
Subjacency	compositional_cases_on
Inherent Case assignment	in_all_configurations
Structural Case assignment	in_all_configurations
S-deletion	in_all_configurations
Case filter	in_all_configurations
Case condition on traces	in_all_configurations
Trace theory (chain formation at S-structure)	compositional_cases_on
Wh-movement in syntax	in_all_configurations
Coindex Subject and INFL	in_all_configurations
Free Indexation	compositional_cases_on
Functional Determination	in_all_configurations (transformed)
Condition A	in_all_configurations (transformed)
Condition B	in_all_configurations (transformed)
Condition C	in_all_configurations (transformed)
Empty Category Principle (ECP)	in_all_configurations (transformed)
Control	compositional_cases_on
LF movement	Hand-coded
ECP at LF	in_all_configurations (transformed)
License operator-variables	in_all_configurations
License syntactic adjuncts	in_all_configurations
Wh-Comp requirement at LF	in_all_configurations

## PAPPI (Fong 1991)

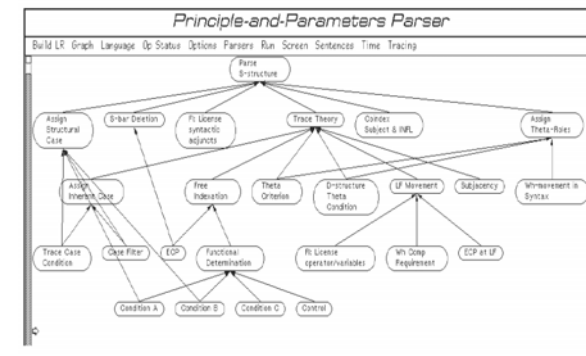
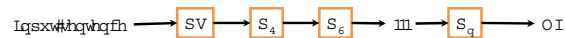


Figure 1.6 Operational dependency graph.

## PAPPI (Fong 1991) Ordering Principles

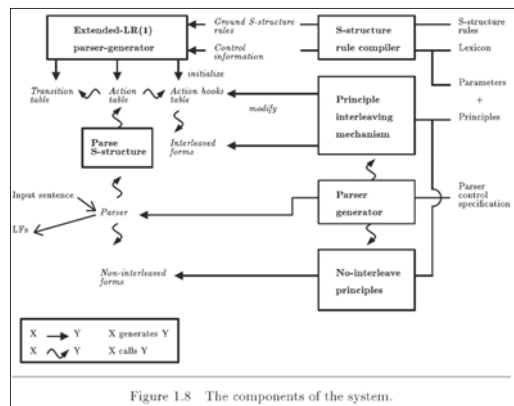
- 16 principles = 16! Possible orders...  
nearly 21.922.789.888.000 possibilities (which one is the... best?)
- Each order **different performance** with respect to the same input
- No universal order** guarantee absolute efficiency (best performance ever)
- Fong suggests using cheap cues for pre-ordering generators and filters.



## PAPPI (Fong 1991) Control strategies

- Analysis-by-synthesis**  
produces everything, then test the input (parallel top-down approach)
- Generate and Test**  
one principle at time, generate structures, then test the input (serial top-down, depth first)
- Corouting, freezing, clause selection, ordering**  
re-organize the problem space, trying to minimize the exploration needs
- Covering**  
off-line grammar compile; groups of states collapsing whenever possible, reducing time complexity (number of steps)

## PAPPI (Fong 1991): Architecture



## Minimalist Grammars

- Stabler's (1997) formalization of a **Minimalist Grammar, MG** (Chomsky 1995) as a 4-tuple  $\{V, Cat, Lex, F\}$  such that:

- $V$  is a finite set of non-syntactic features,  $(P \cup I)$  where  $P$  are phonetic features and  $I$  are semantic ones;
- $Cat$  is a finite set of syntactic features,  
 $Cat = (base \cup select \cup licensors \cup licensees)$  where  
 $base$  are standard categories {comp, tense, verb, noun ...},  
 $select$  specify a selection requirement  $\{=x \mid x \text{ base}\}$   
 $licensees$  force phrasal movement  $\{-wh, -case \dots\}$ ,  
 $licensors$  satisfy licensee requirements  $\{+wh, +case \dots\}$
- $Lex$  is a finite set of expressions built from  $V$  and  $Cat$  (the lexicon);
- $F$  is a set of two partial functions from tuples of expressions to expressions : {merge, move};

## Minimalist Grammars

V = P = {/what/, /did/, /you/, /see/},  
I = {what, did, you, see}

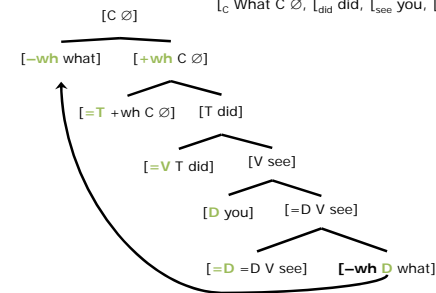
Cat = base = {D, N, V, T, C}  
select = {=D, =N, =V, =T, =C}  
licensors = {+wh}  
licensees = {-wh}

Lex = { [-wh D what], [=V T did], [D you], [=D =D V see],  
[=T +wh C Ø] }

F = {merge, move} such that:  
merge ([=F X], [F Y]) = [<sub>F</sub> X Y]  
("simple merge" on the right, "complex merge" on the left)  
move ([+g X], [W [-g Y]]) = [[<sub>X</sub> Y X] W, t<sub>Y</sub>]

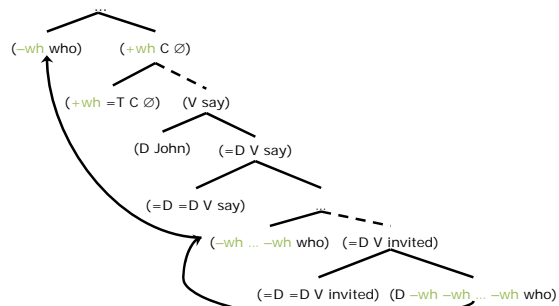
## Minimalist Grammars

- merge ([=D =D V see], [-wh D what]) → [<sub>see</sub> =D V see, -wh what]
- merge ([D you], [=D V see, -wh what]) → [<sub>see</sub> you, [<sub>see</sub> V see, -wh what ]]
- merge ([=V T did], [<sub>see</sub> you, [<sub>see</sub> V see, -wh what ]]) → [<sub>did</sub> T did, [<sub>see</sub> you, [<sub>see</sub> see, -wh what ]]]
- merge ([=T +wh C Ø], [<sub>did</sub> T did, [<sub>see</sub> you, [<sub>see</sub> see, -wh what ]]]) → [<sub>C</sub> +wh C Ø, [<sub>did</sub> did, [<sub>see</sub> you, [<sub>see</sub> see, -wh what ]]]]
- move ([<sub>C</sub> +wh C Ø, [<sub>did</sub> did, [<sub>see</sub> you, [<sub>see</sub> see, -wh what ]]]]) → [<sub>C</sub> What C Ø, [<sub>did</sub> did, [<sub>see</sub> you, [<sub>see</sub> see, t<sub>what</sub> ]]]]



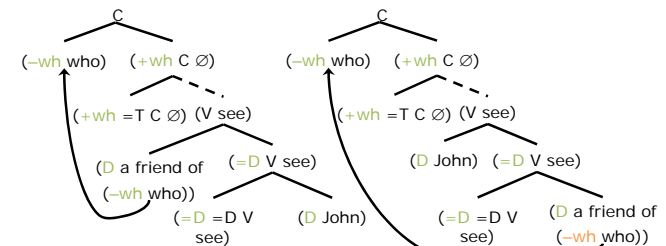
## Minimalist Grammars: a problem

- Wh- successive cyclic movement (how many features needed? Infinite!)



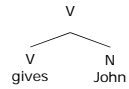
## Minimalist Grammars: another problem!

- How to capture (subject) islandhood (same for RCs e Adjuncts)



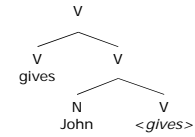
### PMGs SBO: Merge Right (Phillips 1996)

Lexicon: {[<sub>=DP =DP =PP V gives</sub>], [<sub>+K (N) to</sub>], [<sub>+D N John</sub>], [<sub>+D N children</sub>], [<sub>+D N candies</sub>]}  
 1. merge ([<sub>=DP =DP =PP V gives</sub>], [<sub>+D N John</sub>])



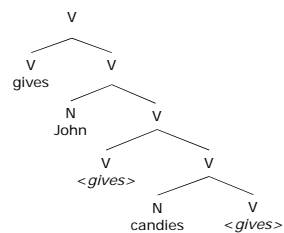
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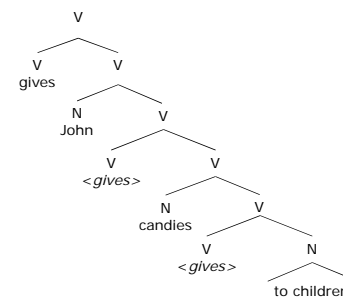
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 3. merge ([<sub>=DP =DP =PP V gives</sub>], [<sub>+K +D N to children</sub>])

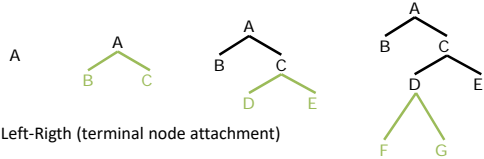


## Proposal: Phase-based MGs

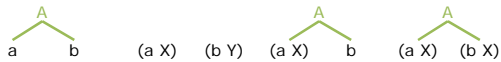
(PMGs, Chesi 2004-07)

⊙ Constraints on Structure building operations

- Top-Down (non-terminal node expansion)



- Left-Righth (terminal node attachment)

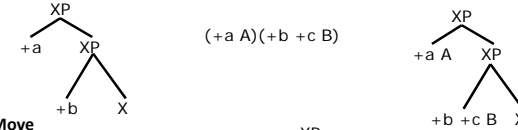


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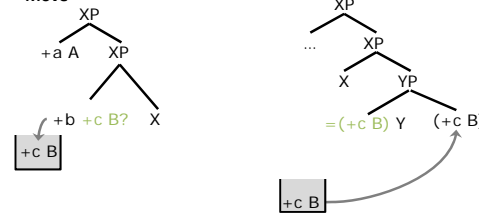
(PMGs, Chesi 2004-07)

⊙ Structure building operations:

- **Insert** (Unification? (Shieber 1986))



- **Move**



## Proposal: Phase-based MGs

(PMGs, Chesi 2004-07)

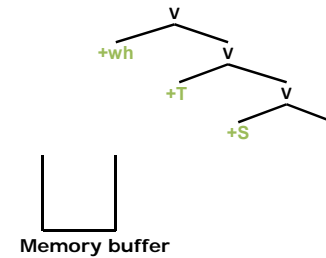
⊙ Structure building operations:

- **Phase Projection**



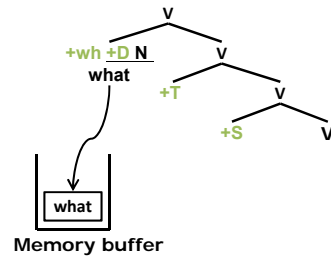
## PMG: Sample derivation of wh-question

- ⊙ (default) Expand(Lex: CP<sub>wh</sub> = {+wh +T +S V})



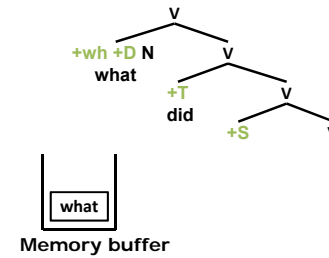
### PMG: Sample derivation of wh-question

- ⊙ (default) Expand(Lex: CP<sub>wh</sub> = {+wh +T +S V})
- ⊙ Insert(Lex: {+wh +D N what})

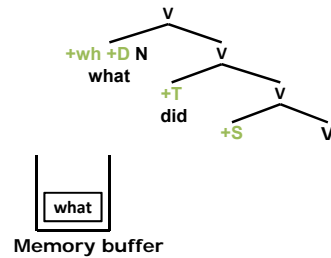


### PMG: Sample derivation of wh-question

- ⊙ Insert(Lex: {+T did})

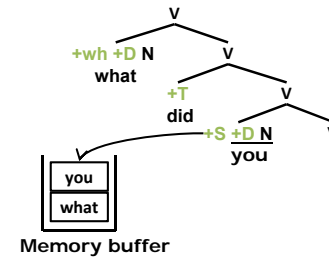


### PMG: Sample derivation of wh-question



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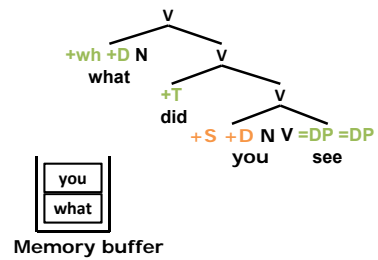
- ⊙ Insert(Lex: {+S +D N you})





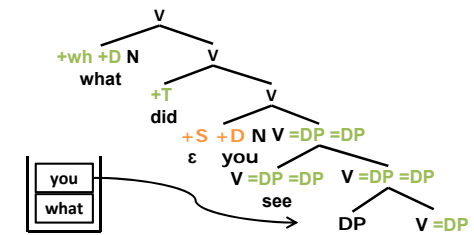
### PMG: Sample derivation of wh-question

- ⊙ Insert(Lex: (V =DP =DP see))



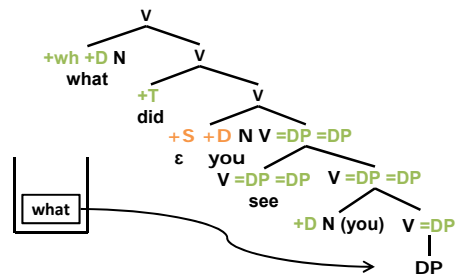
### PMG: Sample derivation of wh-question

- ⊙ Expand((V =DP))
- ⊙ Move((+D N you))



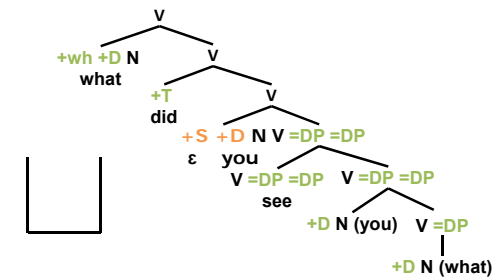
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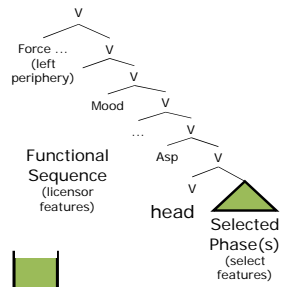
### PMG: Sample derivation of wh-question

- ⊙ Expand((V =DP))
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## Two more Structure Building Operations

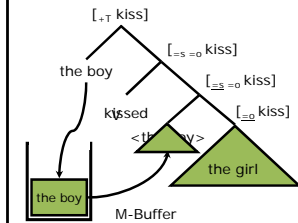
### PHASE (PROJECTION)



M(ove)-Buffer

### MOVE

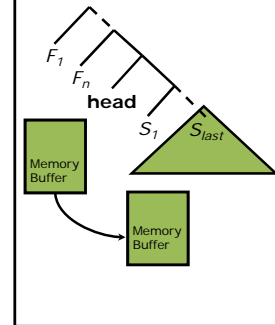
Linearization Principle (inspired by Kayne's LCA) if A immediately dominates B, then either  
 a.  $\langle A, B \rangle$  if A selects B as an argument, or  
 b.  $\langle B, A \rangle$  if B is in a functional specification of A  
 e.g. "the boy kissed the girl"



Success condition: M-buffer(s) must be empty at the end of the computation

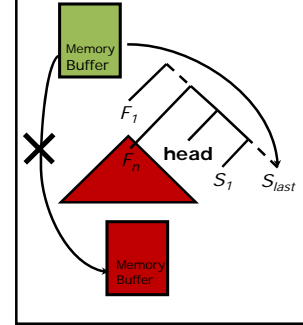
## "Internal" Merge

### Sequential Phase

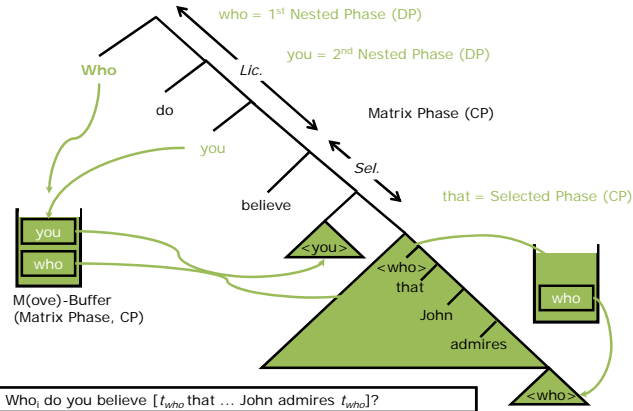


vs.

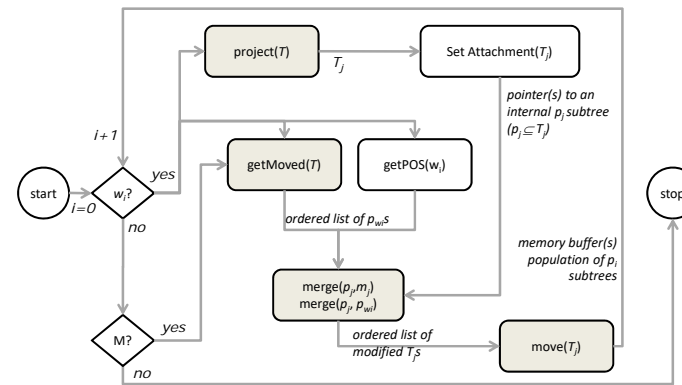
### Nested Phase



## Successive Cyclic A'-movement



## Parsing Algorithm with PMGs (PMG-pa)



## Parsing States: CFG-Earley Vs. PMG-pa

CFG-Earley	PMG-pa
<b>Input position</b> (e.g. <i>the man • runs</i> )	<b>Input position</b> ( <i>the man • runs</i> )
<b>Grammar rule</b> (e.g. $S \rightarrow NP VP$ )	<b>Phase inspected</b> (e.g. Verbal)
<b>Dot-position</b> (e.g. $S \rightarrow NP \bullet VP$ )	<b>Constituent completion status</b> (is the phase headed? <b>yes</b> are all thematic requirements satisfied? <b>yes</b> are non-thematic dependencies licensed? <b>yes</b> are non-thematic dependencies unique? <b>yes</b> further non-thematic dependencies available? <b>yes</b> status: <b>potentially complete</b> )
<b>Leftmost edge of the substring this rule generates</b> (e.g. <b>the</b> man runs)	<b>Constituent prefix</b> (e.g. <b>the man</b> runs)
	<b>Memory buffer status</b> (e.g. one N(ominal), determined, potentially complete phase)

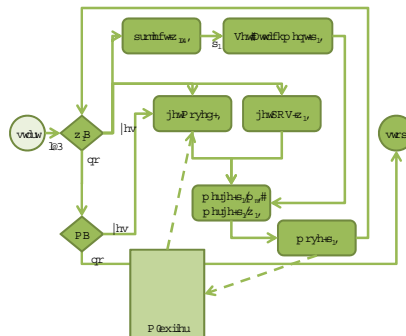
## Parsing Operations: CFG-Earley Vs. PMG-pa

CFG-Earley	PMG-pa
<b>Predict</b> top-down expansion of non-terminal rules in the grammar; Result: new rules (NP, VP, PP, AP...) added	<b>Phase Projection</b> new constituents insertion based on selection features in the lexicon; Result: Rooted Trees (RTrees) decorated with empty NP, VP or AP
<b>Scan</b> bottom-up inspection of the lexicon given a word; Result: PoS list to be integrated in the rules	<b>Move / Lexical insertion</b> unselected lexicalized sub-trees (moved LTrees) are available in this list, plus lexicalized sub-trees projected from a Top-Down inspection of the processed word-token; Result: ordered list (the pending list) of lexicalized sub-trees (LTrees) to be integrated in the structure
<b>Complete</b> top-down expansion of non-terminal rules in the grammar	<b>Merge</b> unification algorithm among pending rooted structures (RTrees) and lexicalized sub-trees in the pending list (LTrees)

## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

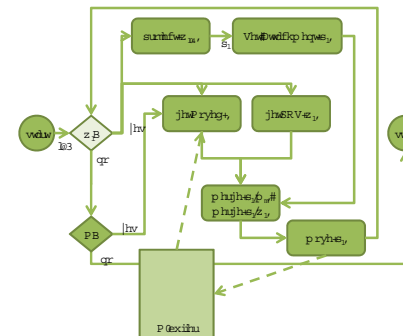


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- $w_0 = \text{"the"}$

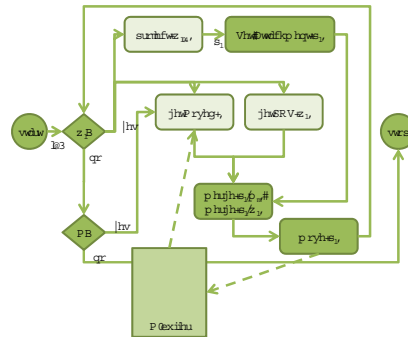


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- $w_0 = \text{"the"}$
- `project(default): [vp], [np]`  
`getMoved(): nothing`  
`getPOS(the): [np +D the]`

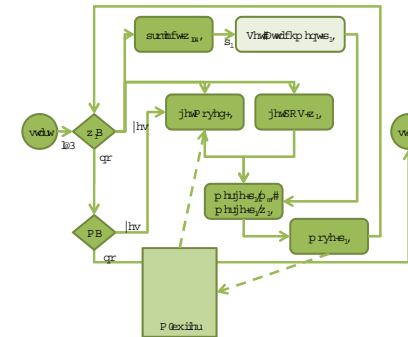


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- `setAttachment([vp]): [vp]`  
`setAttachment([np]): [np]`

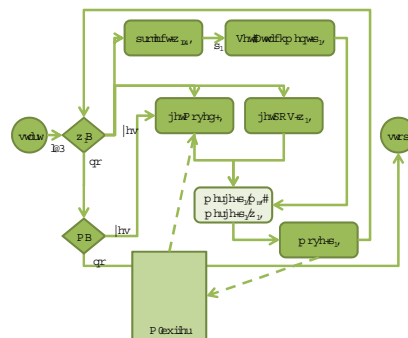


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`getPOS(the): [np +D the]`
- `setAttachment([vp]): [vp]`  
`setAttachment([np]): [np]`
- `merge([vp], [np +D the]): [vp [np +D the]]`  
`merge([np], [np +D the]): [np +D the]`

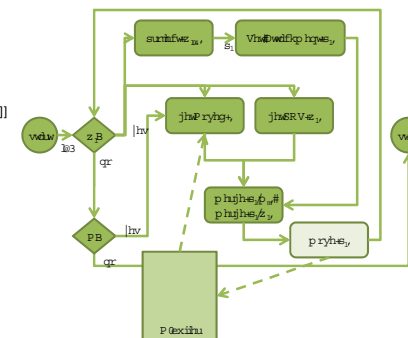


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- `setAttachment([vp]): [vp]`  
`setAttachment([np]): [np]`
- `merge([vp], [np +D the]): [vp [np +D the]]`  
`merge([np], [np +D the]): [np +D the]`
- `move([vp [np +D the]]): nothing`  
`move([np +D the]): nothing`

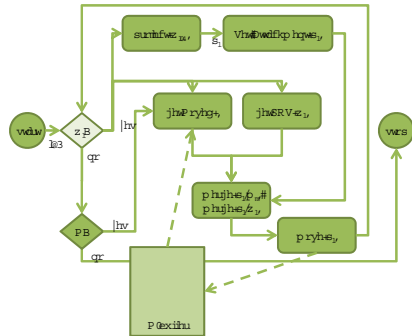


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_1 = \text{"reporter"}$

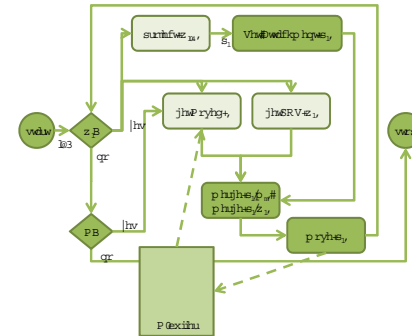


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_1 = \text{"reporter"}$
- project(the): **nothing**
- getMoved(): **nothing**;  
getPOS(reporter):  $[\text{NP}_N \text{reporter}]$

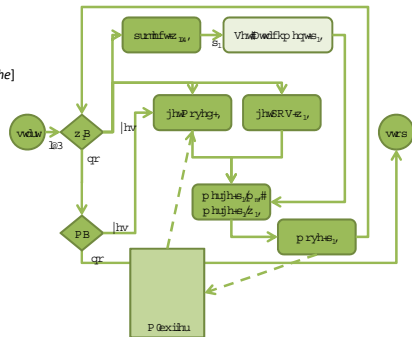


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_1 = \text{"reporter"}$
- project(the): **nothing**
- getMoved(): **nothing**;  
getPOS(reporter):  $[\text{NP}_N \text{reporter}]$
- setAttachment( $[\text{VP } [\text{NP}_{+D} \text{the}]]$ ):  $[\text{NP}_{+D} \text{the}]$   
setAttachment( $[\text{NP}_{+D} \text{the}]$ ):  $[\text{NP}_{+D} \text{the}]$

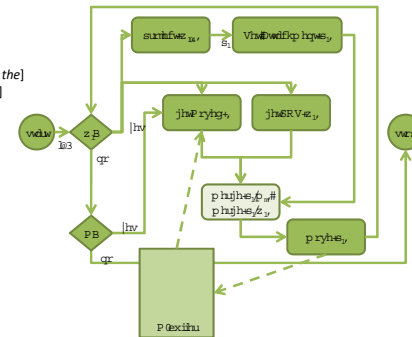


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_1 = \text{"reporter"}$
- project(the): **nothing**
- getMoved(): **nothing**;  
getPOS(reporter):  $[\text{NP}_N \text{reporter}]$
- setAttachment( $[\text{VP } [\text{NP}_{+D} \text{the}]]$ ):  $[\text{NP}_{+D} \text{the}]$   
setAttachment( $[\text{NP}_{+D} \text{the}]$ ):  $[\text{NP}_{+D} \text{the}]$
- merge( $[\text{NP}_{+D} \text{the}]$ ,  $[\text{NP}_N \text{reporter}]$ ):  
merge( $[\text{NP}_{+D} \text{the}]$ ,  $[\text{NP}_N \text{reporter}]$ ):

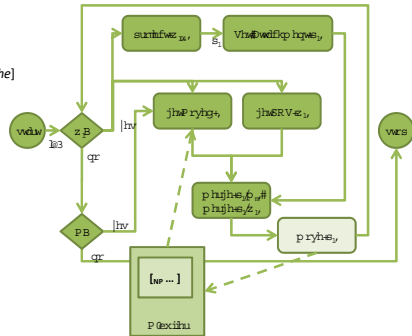


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_1$  = "reporter"
- project(the): **nothing**
- getMoved(): **nothing**;
- getPOS(reporter):  $[_{NP\ N\ reporter}]$   
getAttachment( $[_{VP\ [_{NP\ +D\ the}]}$ ):  $[_{NP\ +D\ the}]$   
setAttachment( $[_{NP\ +D\ the}]$ ):  $[_{NP\ +D\ the}]$
- merge( $[_{NP\ +D\ the}]$ ,  $[_{NP\ N\ reporter}]$ ):  
 $[_{VP\ [_{NP\ +D\ the\ N\ reporter}]}$   
merge( $[_{NP\ +D\ the}]$ ,  $[_{NP\ N\ reporter}]$ ):  
 $[_{NP\ +D\ the\ N\ reporter}]$
- move( $[_{VP\ [_{NP\ +D\ the\ N\ reporter}]}$ ):  
A-Buffer $[_{NP}]$   
move( $[_{NP\ +D\ the\ N\ reporter}]$ ):  $[_{NP\ \dots}]$

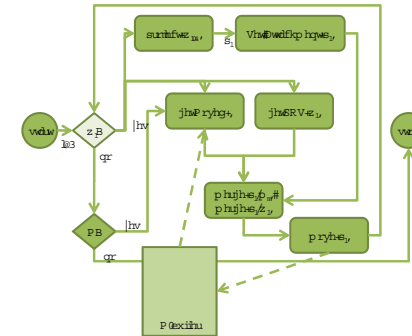


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_2$  = "who"

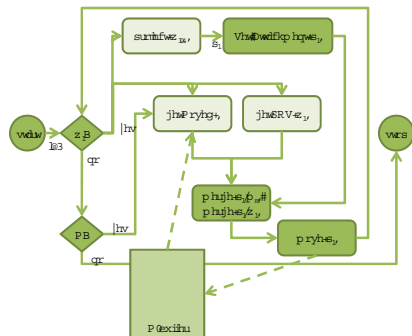


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_2$  = "who"
- project(who): **nothing**
- getMoved():  $[_{NP}]$ ;  
getPOS(who):  $[_{VP\ +C\ who}]$

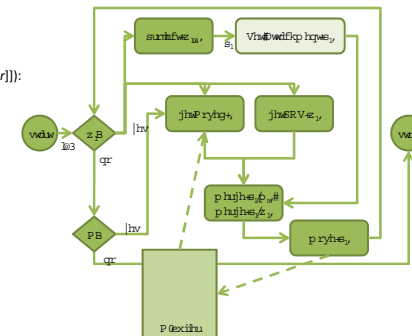


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

- $w_2$  = "who"
- project(who): **nothing**
- getMoved():  $[_{NP}]$ ;  
getPOS(who):  $[_{VP\ +C\ who}]$   
getAttachment( $[_{VP\ [_{NP\ +D\ the\ reporter}]}$ ):  
 $[_{NP\ \dots\ reporter}]$
- ...

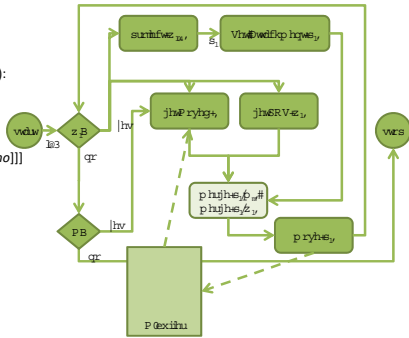


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter **who** attacked the senator admitted the error.
- The reporter **who** the senator attacked admitted the error.

- $w_2 = \text{"who"}$
- project(who): **nothing**
- getMoved(): [NP];  
getPOS(who): [VP < who]
- setAttachment([VP [NP <D the reporter]]):  
[NP ... reporter]
- ...
- merge([NP ... reporter], [NP]): **failed**
- merge([NP ... reporter], [VP < who]):  
[VP [NP <D the N reporter [VP < who]]]
- ...

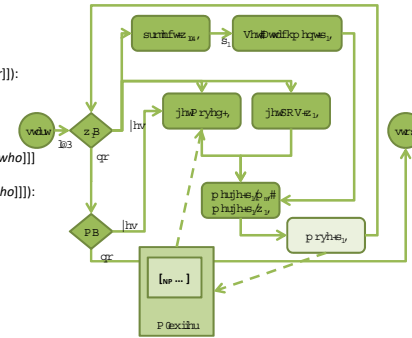


## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter **who** attacked the senator admitted the error.
- The reporter **who** the senator attacked admitted the error.

- $w_2 = \text{"who"}$
- project(who): **nothing**
- getMoved(): [NP];  
getPOS(who): [VP < who]
- setAttachment([VP [NP <D the reporter]]):  
[NP ... reporter]
- ...
- merge([NP ... reporter], [NP]): **failed**
- merge([NP ... reporter], [VP < who]):  
[VP [NP <D the N reporter [VP < who]]]
- ...
- move([VP [NP <D the N reporter [VP < who]]]:  
A-Buffer<[NP]>



## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter **who** attacked the senator admitted the error.
- The reporter **who** the senator attacked admitted the error.

- project(who): **nothing**
- getMoved(): [NP];  
getPOS(who): [VP < attacked]
- setAttachment([VP [NP ... reporter [VP who]]]: [VP who]
- ...
- merge([VP < who], [NP]): **failed**
- merge([VP < who], [VP <VP <NP <NP attacked>]):  
[VP [NP <D the N reporter [VP < who]
- move([VP <VP <NP <NP attacked>]):  
A-Buffer<[NP who]>

- project(who): **nothing**
- getMoved(): [NP]; getPOS(the): [NP <D the]
- setAttachment([VP [NP ... reporter [VP who]]]: [VP who]
- ...
- merge([VP < who], [NP who]): **failed**
- merge([VP < who], [NP <D the]):  
[VP < who [NP <D the]]]
- ...
- move([VP [NP ... [VP < who [NP <D the]]]]]:  
A-Buffer<[NP who]>

## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter **who** attacked the senator admitted the error.
- The reporter **who** the senator attacked admitted the error.

- project(who): **nothing**
- getMoved(): [NP];  
getPOS(who): [VP < attacked]
- setAttachment([VP [NP ... reporter [VP who]]]: [VP who]
- ...
- merge([VP < who], [NP]): **failed**
- merge([VP < who], [VP <VP <NP <NP attacked>]):  
[VP [NP <D the N reporter [VP < who]
- move([VP <VP <NP <NP attacked>]):  
A-Buffer<[NP who]>

- project(the): **nothing**
- getMoved(): [NP]; getPOS(senator): [NP N senator]
- setAttachment([VP [NP ... [VP who [NP the]]]]]: [NP the]
- ...
- merge([NP <D the], [NP N senator]):  
[VP < who [NP <D the N senator]]]
- ...
- move([VP [NP ... [VP ... [NP the senator]]]]]:  
A-Buffer<[NP who], [NP the senator]>

## Getting asymmetries with PMG-pa

Subject relatives in head initial languages

- The reporter who attacked the senator admitted the error.
- The reporter who the senator attacked admitted the error.

```

1. project(who): nothing
2. getMoved(): [NP];
   getPOS(attacked):
   [VP +T V =NP =NP attacked]
3. setAttachment([VP ... reporter [VP who]]): [VP
   who]
...
4. merge([VP +C who], [NP]): failed
   merge([VP +C who], [VP +T V =NP =NP attacked]):
   [VP [NP +D the N reporter [VP +C who
   +T V =NP =NP attacked]]]
5. move([VP +C who +T V =NP =NP attacked]):
   A-Buffer<[NP who]>
    
```

```

1. project(senator): nothing
2. getMoved(): <[NP], [NP]>; getPOS(attacked):
   [VP +T V =NP =NP attacked]
3. setAttachment([VP [NP ... [VP who [NP ... ]]]):
   [VP who [NP ...]] ...
4. merge([VP +C who [NP ...]], [NP]): failed
...
merge([VP who [NP ...]],
      [VP +T V =NP =NP attacked]):
   [VP [NP +D the N reporter [VP +C who
   [NP +D the N senator] +T V =NP =NP attacked]]]
5. move([VP [NP ... [VP ... [NP the senator]]]):
   A-Buffer<[NP who], [NP the senator]>
    
```

## Today's key concepts

### On CFG-rules inefficiency:

- They are language specific
- Too many rules are difficult to control
- They can't be possibly learned (explanatory adequacy flaw)

### Alternatives to CFG-rules:

- **Principle and Parameters** (Fong 1991, but principles are inefficient from the computational point of view)
- **Minimalist Grammars** (Stabler 2007, but merge and move operate in opposition to the parsing direction; deductive parsing is not psycholinguistically plausible)
- **Phase-based Minimalist Grammars** (Chesi 2004-15, top-down derivations are cognitively plausible and can Merge and Move can be implemented this way; locality can be captured too)