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Title

Resumptive pronouns, structural complexity, and the elusive distinction between grammar and performance: evidence from Cantonese

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1 **Resumptive pronouns, structural complexity, and the elusive distinction between**
2 **grammar and performance: evidence from Cantonese**

3
4 **Abstract**

5 The use of resumptive pronouns in relative clauses appears to be governed by structural
6 complexity in grammar and usage. Resumptive pronoun distributions across languages typically
7 follow the Noun Phrase Accessibility Hierarchy (Keenan and Comrie 1977, Noun Phrase
8 Accessibility and Universal Grammar, *Linguistic Inquiry*: 8: 63-99): if the grammar allows
9 resumptive pronouns in one position, it also allows them in more deeply embedded positions.
10 Hawkins (2004, *Efficiency and Complexity in Grammars*, Oxford University Press) predicts a
11 parallel effect in usage: when the grammar permits the option of either resumptive pronoun or
12 gap, resumptive pronouns should be used more often as structural complexity increases.
13 Results of two experiments, an elicited production task and an acceptability judgment task,
14 affirm Hawkins' prediction for Cantonese: resumptive pronouns were used more often and rated
15 as more acceptable as the complexity of the relative clause increased from subject to direct
16 object to coverb object and from non-possessive to possessive. Furthermore, resumptive
17 pronoun use was apparently not governed by any categorical grammatical constraints on filler-
18 gap dependencies. Resumptive pronouns were sometimes omitted in coverb object relatives,
19 contrary to a proposed adjunct island condition. Implications for theories of grammatical
20 competence are considered.

21
22 **Keywords**

23 acceptability judgment; Cantonese; relative clause; resumptive pronoun; sentence production;
24 structural complexity

25 **1. Introduction**

26 Across typologically diverse languages, resumptive pronouns are a common strategy for
27 dependency formation in relative clauses and other filler-gap constructions. Such pronouns
28 have the morphology of ordinary pronouns, are interpreted as co-referential with the head noun
29 of the relative clause, and occur in the position where a gap would otherwise go. Although
30 commonly characterized as “ungrammatical” in English according to the results of judgment
31 tasks (e.g. Ferreira and Swets 2005), they do occur in spontaneous speech, as in the following
32 examples from Prince (1990: 483):

- 33 (1) a. Apparently there are such things as bees in the area which if you're stung by
34 **them**, you die.
35 b. He looks like one of those guys you got to be careful throwing **them**
36 fastballs.

37 In contrast to English, for which RPs are at best marginally acceptable, there are many
38 languages for which RPs are fully grammatical in certain structural positions. In Cantonese
39 Chinese, for example, RPs are grammatical in object positions, as in (2).¹

- 40 (2) [Ngo5 ceng2 **keoi5dei6** sik6 faan6 ge3] pang4jau5i
41 1sg invite 3pl eat rice REL friend
42 “friends that I invite **them** to have dinner” (Matthews and Yip 2011: 330)
43

¹ The following abbreviations are used in this article: 1sg ‘first person singular pronoun’, 3sg ‘third person singular pronoun’, 3pl ‘third person plural pronoun’, CL ‘classifier’, FGD ‘filler-gap domain’, GEN ‘genitive marker’, NPAH ‘Noun Phrase Accessibility Hierarchy’, NVN ‘noun verb noun ordering’, OV ‘object verb ordering’, RC ‘relative clause’, REL ‘relativizer’, RP ‘resumptive pronoun’, SVO ‘subject verb object ordering’.

44 Thus, we will distinguish grammatically licensed RPs of the type found in Cantonese, and with
45 which the current study is primarily concerned, from so-called “intrusive” RPs (Sells 1984) of the
46 type found in English.

47 The usage of (grammatically licensed) RPs both within and across languages is
48 commonly linked with the notion of structural complexity. Keenan and Comrie (1977, 1979)
49 observe that the cross-linguistic distributions of resumptive pronouns (henceforth RPs) and
50 gaps in relative clauses (henceforth RCs) typically follow the Noun Phrase Accessibility
51 Hierarchy (Keenan & Comrie 1977: 66), as in (3).

52 (3) Noun Phrase Accessibility Hierarchy (NPAH)

53 Subject > Direct Object > Indirect Object > Oblique > Genitive > Object of Comparison

54 Based on a typologically diverse sample of 26 languages, they identified two implicational
55 relations: (1) if the grammar of a language allows gaps in one position on the hierarchy (e.g.
56 direct object), it will allow them in all other positions that are to its left (e.g. subject); (2)
57 conversely, if the grammar of a language allows RPs in one structural position (e.g. direct
58 object), it will allow them in all other positions that are to its right (e.g. indirect object). They
59 suggest that these hierarchies are related to processing difficulty, with the more explicit nature
60 of an RP making complex dependencies easier to process. However, they also observe that the
61 distribution of these elements is grammatically conventional. That is, languages vary in terms of
62 the cut-off point along the hierarchy at which an RP strategy is adopted. Several languages in
63 their sample allow either gap or RP at the transition point(s) in the hierarchy (e.g. direct object
64 position for Hebrew)—a fact which will become crucial for the aims of the current study.

65 Building on these insights, Hawkins (1999, 2004: 177-190) proposes that these two
66 implicational relations correspond to the increasing structural complexity of the filler-gap
67 dependency, going from left to right on the Noun Phrase Accessibility Hierarchy (henceforth,
68 NPAH). This complexity is quantified in terms of the size of the filler-gap domain (FGD), defined

69 as the structural distance (in node count on a syntactic tree) between the head noun and the
70 subcategorizing verb, as well as any additional arguments on which the gap (or RP) depends for
71 its interpretation and processing (2004: 175). The key advantage of using RPs in more complex
72 structures, according to Hawkins, is that the arguments of the subcategorizing verb can be
73 processed locally without reference to the head noun of the RC. Conversely, the advantage for
74 gaps in simpler structures is that greater efficiency can be achieved through less morphological
75 form processing (Hawkins 2004: 190).

76 Also following on from suggestions in Keenan and Comrie (1977: 90-94), Hawkins
77 proposes that the kind of processing complexity relevant to the formation of grammatical
78 constraints, as observable in cross-linguistic patterns of gap and RP distributions, is correlated
79 with patterns of usage within a single language. This is part of his more general Performance
80 Grammar Correspondence Hypothesis (PGCH), as quoted in (4):

81 (4) Grammars have conventionalized syntactic structures in proportion to their
82 degree of preference in performance, as evidenced by patterns of selection in
83 corpora and by ease of processing in psycholinguistic experiments (2004: 3).

84 The crucial data from performance come from languages that allow two (or more) options to
85 express the type of structures that are grammatically restricted in other languages. The specific
86 prediction for RPs is, then, as follows:

87 (5) When the grammar of a language allows the option of either RP or gap, RPs
88 will be used more frequently in more complex structural environments, to
89 facilitate processing in those environments (based on Hawkins 2004: 183-186).

90 Hawkins (2004: 184-186) provides a few illustrative examples from Hebrew (Ariel 1999) and
91 Cantonese (Matthews and Yip 2003) which appear to support this hypothesis. While we will see
92 that the prediction in (5) receives some additional empirical support from experimental studies of

93 RP usage in English, as well as from a corpus study of conversational Hebrew (Ariel 1999), it
94 has not been thoroughly tested.

95 The primary aim of the current study is to test Hawkins' (2004) Performance Grammar
96 Correspondence Hypothesis, and more specifically the hypothesis formulated in (5) above,
97 using data from acceptability judgments and elicited production of RCs with and without RPs.
98 The language under investigation, Cantonese, offers a range of different RC types, some of
99 which optionally allow RPs and are therefore directly pertinent to the hypothesis in (5). For
100 those cases, which include direct object RCs and possessive RCs, we expect RPs to be
101 produced more frequently and judged as more acceptable as structural complexity increases.

102 The remaining RC types, for which RPs are grammatically restricted, also allow us to
103 address some interesting questions. With respect to typological theories, we can ask whether
104 Cantonese grammar is consistent with the NPAH and/or the more precise complexity metrics
105 described in Hawkins 2004. Although quite similar, the two approaches differ with respect to the
106 status of subject RCs and direct object RCs in languages like Cantonese and Mandarin—
107 languages which show the typologically rare combination of SVO clause order and head-final
108 NP order. Hawkins (2004) calculates the FGD size of subject RCs and direct object RCs to be
109 the same (and thus equally likely to allow a RP) when the verb is transitive, in languages with
110 these special word order properties. However, the NPAH predicts that subject position is
111 universally more accessible (and thus less likely to allow a RP) than direct object position. The
112 current study tests whether direct object RCs differ from subject RCs, thus bearing on the
113 divergent predictions of the NPAH and Hawkins' FGD metric.

114 Although the current work is designed primarily to test these predictions of Hawkins
115 (2004), it also addresses two issues of relevance for generative syntax. The first is McCloskey's
116 (1990) Highest Subject Restriction, an anti-locality condition (akin to Condition B of the binding
117 theory) which bans RPs from occurring in the highest (matrix) subject position of a RC or other
118 filler-gap construction. This generalization is said to hold for a high proportion of the languages

119 that have grammatically licensed RPs (Asudeh 2012). In Cantonese, unlike English, RPs are
120 grammatically licensed (and in fact preferred in certain contexts), and so it is relevant to ask
121 whether the Highest Subject Restriction holds for Cantonese. If so, RPs should not be
122 produced in subject RCs and should be judged as unacceptable in this context. The second is
123 the observation of Ross (1986), McCloskey (1990), and many other generative linguists that
124 RPs typically lack sensitivity to constraints on movement, and thus can occur in island contexts
125 where gaps cannot occur. To the extent that RPs lack this sensitivity (i.e. excluding cases of
126 movement-like RP distributions found in some languages), they are assumed to be base-
127 generated (McCloskey 2006: 104). In the current work, “coverb” object RCs, which are
128 described in Section 2 and which have been claimed by Francis and Matthews (2006) to
129 constitute a type of adjunct island, are included to address this issue. If RPs show immunity to
130 movement constraints, they should be produced and accepted in coverb object RCs, in contrast
131 to gaps, which should not occur in this context.

132 The remainder of this article is structured as follows. Section 2 describes previous
133 empirical research on RPs in English, Hebrew, Mandarin, and Cantonese. Section 3 describes
134 the two experiments: an acceptability judgment task and an elicited production task. Both
135 experiments showed clear evidence of complexity effects in performance, in support of our
136 hypothesis in (5), and a clear subject-object asymmetry such that RPs were more acceptable
137 and occurred more frequently in direct object RCs as compared with subject RCs. The latter
138 finding was consistent with the NPAH but not with Hawkins’ (2004) FGD metric. In addition,
139 both experiments indicated the expected preference for either RP or gap, as given in previous
140 grammatical descriptions of Cantonese RCs. However, the production data revealed that RPs
141 are neither disallowed from subject position nor required in coverb object position, suggesting
142 that these positions may not be subject to strict grammatical constraints. Hence, the traditional
143 distinction between grammar and performance proves to be elusive when considering the

144 gradient nature of our Cantonese data. Section 4 provides a general discussion and concludes
145 the paper.

146

147 **2. Previous research**

148 *2.1 Structural complexity and resumptive pronouns in English*

149 As noted above, RPs in English are considered to be “intrusive,” meaning that they are not fully
150 licensed by the grammar even though they do occur in spontaneous speech. As Polinsky et al
151 (2013: 343) observe, intrusive RPs occur in both simple and complex structural contexts, even
152 including highest subject position—a position which is typically not available for grammatically
153 licensed RPs (cf. Cann et al 2004; Prince 1990). However, English RPs tend to be judged as
154 unacceptable in those same contexts in which they are produced (Polinsky et al 2013: 344).
155 Furthermore, the results of several judgment tasks have shown that intrusive RPs in island-
156 violating clauses were rated as equally bad or worse than the corresponding gapped clauses
157 (Alexopoulou and Keller 2007; Ferreira and Swets 2005; Heestand et al 2011; McDaniel and
158 Cowart 1999; Polinsky et al 2013). Thus, unlike grammatically-licensed RPs in languages such
159 as Hebrew and Irish, intrusive RPs do not show immunity to island effects.

160 Because of these special characteristics of intrusive RPs, studies of English cannot be
161 used to directly test our hypothesis in (5). However, some studies of English RPs have shown
162 complexity effects similar to those predicted in (5). Both Ferreira and Swets (2005) and McKee
163 and McDaniel (2001) showed that RPs were commonly elicited from adult native speakers of
164 English in RCs for which the subject of an embedded question was relativized (e.g. *This is the*
165 *donkey that I don't know where **it** lives*). McKee and McDaniel (2001) also show a high
166 proportion of RPs in the elicitation of genitive object RCs (e.g. *Pick up the robber that Dorothy is*
167 *swinging **his** rope*). In contrast, adult speakers rarely produced RPs in simpler clause types,
168 such as prepositional object RCs (e.g. *Pick up the girl that the giraffe is sitting on **her***).
169 Importantly, McKee and McDaniel (2001) replicated the same complexity effects in a forced-

170 choice acceptability judgment task (2001: 137). These results seemingly contradict the results
171 of the other acceptability judgment studies mentioned above, possibly be due to the nature of
172 the task (forced-choice versus gradient scale) or the materials used.

173 Some other studies of intrusive RPs have shown relatively more subtle complexity
174 effects. In an acceptability judgment task, Hofmeister and Norcliffe (2013) found that
175 acceptability of RPs was much closer to that of gaps in embedded object contexts than in
176 simple direct object contexts, although RPs were always less acceptable than gaps. This
177 replicated a similar result from Alexopoulou and Keller (2007). Interestingly, Hofmeister and
178 Norcliffe investigated self-paced reading in addition to acceptability judgments, and found that
179 RCs with RPs were read faster than RCs with gaps in the embedded object condition, in the
180 critical region following the verb. This leads the authors to conclude that although RPs are not
181 grammatically licensed in English, they do apparently aid in the processing of complex
182 dependencies.

183 Results from child language and second-language acquisition also show complexity
184 effects. In addition to testing English-speaking adults ($n = 34$), as described above, McKee and
185 McDaniel (2001) tested 82 monolingual English-speaking children aged three to eight. Children
186 accepted RPs at a significantly higher rate than adults in all contexts for which gaps were
187 grammatical. They also accepted RPs in direct object, prepositional object, and embedded
188 subject positions more often than in highest subject position (McKee and McDaniel 2001: 137).
189 In contrast, the adult control group rarely accepted RPs in any of these positions. Similar
190 complexity effects have been found in studies of adult second-language learners of English.
191 For example, Tezel (1998) tested the ability of three groups of L2 learners from different L1
192 backgrounds (Mandarin, Arabic, and Turkish) to correctly judge and produce English RCs, with
193 the “correct” response being a gapped RC structure. Although she expected to find greater RP
194 use in the two groups whose L1 has grammatically licensed RPs (Mandarin and Arabic), the
195 only significant effects were related to structural complexity. All three groups produced and

196 accepted RPs in direct object more often than in subject RCs and in prepositional object RCs
197 more often than in direct object RCs. We may then speculate that both children learning their
198 first language and adults learning a second language may be more sensitive to RC complexity
199 than adult native speakers (who do show sensitivity for the more complex RC types), due to the
200 working memory demands involved in speaking and understanding a language that is not fully
201 mastered. As also suggested by Moravcsik (2006: 171-172), who discusses similar data, RP
202 use may be one strategy for mitigating these demands.

203

204 2.2 *Structural complexity and resumptive pronouns in Hebrew*

205 We have seen some experimental evidence from English indicating that RPs may aid in the
206 production and comprehension of RCs, especially for more complex clause types and for child
207 and adult learners. However, since English RPs are intrusive rather than grammatically
208 licensed, the implications for our hypothesis in (5) are indirect. We now turn to evidence from
209 Hebrew, a language for which RPs are grammatically licensed and distributed in a similar
210 manner to those in Cantonese.

211 Ariel (1999) investigated the role of accessibility in predicting the presence of RP versus
212 gap in a corpus of conversational Hebrew RCs.² Although Ariel's corpus was relatively small
213 (77 RCs total), her results are consistent with our hypothesis (5). RPs were attested but gaps
214 were used much more often in subject, direct object, and prepositional object RCs, indicating
215 that RPs may be grammatically optional in all three positions. In line with the predictions of (5),
216 RPs were used most often in prepositional object RCs (41% of prepositional object RC tokens),
217 and less often in subject and direct object RCs. Although generative studies of Hebrew claim

² Unlike Keenan and Comrie (1977), who defined NP accessibility purely in terms of the grammatical role of the relativized element, Ariel assumes a broader notion of psychological accessibility which includes grammatical role along with other factors.

218 that RPs are banned from highest subject position but optional in direct object position (Borer
219 1984, Shlonsky 1992), Ariel found no difference between subject and direct object RCs, with
220 each showing RP use in 8% of tokens. Thus, Ariel's corpus data show a clear effect of
221 structural complexity on the frequency of RP use for different types of RCs, in line with Hawkins'
222 (2004) predictions, but fail to show any distinction between subject RCs and object RCs. In
223 Section 3, we will report similar complexity effects for Cantonese.

224

225 2.3 *Structural complexity and resumptive pronouns in Cantonese and Mandarin*

226 Following studies of Chinese syntax (Gu 2001; Huang, Li, and Li 2009), we believe that
227 Cantonese RPs are grammatically licensed, and as such should show immunity to constraints
228 on wh-movement (Huang, Li, and Li 2009: 221). Thus, we expect that Cantonese RPs should
229 be distributed similarly to those in Hebrew and Mandarin, and should be distinct from the
230 intrusive RPs found in English. Specifically, English RPs are uniformly judged as less
231 acceptable than gaps, and do not show immunity to constraints on movement (Polinsky et al
232 2013). In contrast, Cantonese RPs are expected to be fully acceptable in certain positions and
233 to show immunity from constraints on movement (i.e. to be judged as acceptable in island-
234 violating contexts). The relevance of the Highest Subject Restriction to Chinese is less clear
235 (Gu 2001 claims that RPs are optional in subject RCs), but such a restriction is in line with most
236 published descriptions of Mandarin (Hawkins and Chan 1997; Hsiao 2003; Hu and Liu 2007)
237 and Cantonese (Matthews and Yip 2011) and will therefore be hypothesized to hold for
238 Cantonese.

239 To understand the specific predictions of our hypothesis in (5) regarding speakers'
240 preferences in grammatically optional contexts, it is first necessary to determine which structural
241 contexts are restricted by the grammar, and which contexts optionally permit either gap or RP.
242 Our initial hypotheses are based on the available grammatical descriptions of Cantonese
243 (Matthews and Yip 2011) and on the results of acceptability judgment tasks involving gapped

244 RCs in Cantonese (Francis and Matthews 2006). We will also consider experimental studies of
245 RPs in Mandarin (Hitz 2012; Hu and Liu 2007; Ning 2008; Su 2004; Yuan and Zhao 2005), and
246 will briefly address the mixed results in comprehension studies of subject versus object RCs
247 (with gaps) in Mandarin (Chen et al 2008; Cheng et al 2011; Hsiao and Gibson 2003; Lin and
248 Bever 2006).

249 The Sinitic languages, including Cantonese and Mandarin, are typologically unusual in
250 having a basic clause ordering of SVO within a prenominal relative clause. Example (6)
251 illustrates a simple direct object RC in Cantonese. The gap occurs within the relative clause in
252 the canonical object position following the verb, while the co-indexed head noun follows the
253 relative clause.

254 (6) [Ngo5 ceng2 __i ge3] pang4jau5i
255 1sg invite (gap) REL friend
256 “friends that I invite” (Matthews and Yip 2011: 330)

257
258 The structure of a simple subject RC, as in (7), is similar, except that the gap occurs in the
259 subject position before the verb.

260
261 (7) [__i ceng2 ngo5 ge3] pang4jau5i
262 (gap) invite 1sg REL friend
263 “friends that invite me”

264
265 Specifically for languages with this type of mixed head-ordering, Hawkins’ (2004) FGD metric
266 deviates slightly from the NPAH. The NPAH states that subjects are universally more
267 accessible to relativization than direct objects. However, Hawkins’ FGD metric distinguishes
268 between languages that are consistently head-initial or head-final from languages like
269 Cantonese with a mixed head ordering. Recall that FGD is a measure of the structural distance

270 between the head noun and the subcategorizing verb (not to be confused with the distance
271 between the head noun and the gap), plus any additional arguments on which the gap depends
272 for its interpretation and processing (2004: 175). In consistently head-final languages such as
273 Japanese and Turkish, the subcategorizing verb occurs in clause-final position, directly
274 preceding the head noun, and therefore the FGD for a subject RC need not contain the direct
275 object NP. Thus, these languages have smaller FGDs for subject RCs as compared with object
276 RCs (regardless of the linear distance between head noun and gap, which is not relevant for
277 FGD calculation). For languages like Cantonese with mixed head ordering, subject RCs and
278 direct object RCs are said to have equal FGDs when the verb is transitive. Unlike for other
279 language types, the direct object NP intervenes between the subcategorizing verb and the head
280 noun, meaning that the FGD for a subject RC, as in (7), needs to contain the direct object NP.
281 Since the FGD for an object RC always contains the subject NP, the FGDs for subject and
282 object RCs are equal in languages with this special word order typology.³

283 According to Matthews and Yip (2011: 330-331), Cantonese appears consistent with the
284 NPAH: RPs are banned from matrix subject position, optional in direct object and possessor
285 positions, and required in prepositional object and object of comparison positions. This
286 apparent difference between subject and direct object RCs is predicted by the NPAH, but not by
287 Hawkins' FGD metric, according to which no difference is expected. In line with Hawkins'
288 prediction in (5) above, Matthews and Yip (2011) observe that the optional use of RPs in direct
289 object contexts appears to be more felicitous when the object is part of a larger structure

³ Hawkins assumes that a direct object gap always depends on the subject for its interpretation; thus, the subject is always included in the FGD of a direct object RC regardless of word order. He further assumes that a subject gap does not depend on the direct object for its interpretation, and so the direct object is only included within the FGD of a subject RC in cases where the direct object occurs in a position between the head noun and the subcategorizing verb.

290 containing a complement clause and less felicitous in a simple direct object RC. Thus, the
291 gapped structure in (6) above is preferred over the equivalent RP variant, whereas the RP
292 structure in (8) is preferred over the equivalent gapped variant (2011: 330).

293
294 (8) [Ngo5 ceng2 **keoi5dei6** sik6 faan6 ge3] pang4jau5i
295 1sg invite 3pl eat rice REL friend
296 “friends that I invite **them** to have dinner” (Matthews and Yip 2011: 330)

297
298 In addition, Matthews and Yip (2011) state that an RP is required when the object of a “coverb”
299 (a preposition-like element occurring as the first verb in a serial verb construction) is relativized.
300 In (9), the object of the coverb, *tung4* ‘with’, is realized as a RP.⁴

301
302 (9) [Ngo5 tung4 **keoi5dei6** king1gai2 ge3] hok6saang1i
303 1sg with 3pl chat REL student
304 “the students that I chat with **them**” (Matthews and Yip 2011: 331)
305

⁴ Following Matthews and Yip (2011) and Francis and Matthews (2006), we are using the term “coverb” to refer to the first verb in a serial verb construction, which together with its complement serves a function similar to that of a PP in English. Importantly, all Cantonese coverbs share the morphosyntactic properties of ordinary verbs (such as the possibility for aspectual marking), thus distinguishing them from the more preposition-like coverbs of Mandarin (Li and Thompson 1981) and from the true prepositions of Cantonese (such as dative *bei2* ‘to’). Thus, we analyze the coverb phrase (coverb + object) as a VP functioning as an adjunct to the following VP.

306 Matthews and Yip's (2011) description as summarized above receives additional support from a
307 formal judgment task. Francis and Matthews (2006) found that simple direct object RCs, as in
308 (10), were rated as significantly more acceptable than coverb object RCs, as in (11). In contrast
309 to the examples in (6-9), all of their stimuli as exemplified in (10-11) used an alternative RC
310 structure in which the relative marker *ge3* is omitted and the head noun is instead preceded by
311 a demonstrative determiner and a classifier. This structure was chosen for use with auditory
312 stimuli because it is more common in the spoken language.

313

314 (10) Ngo5 wan2 __i go2 go3 pang4jau5i m4 hai2dou6
315 1sg seek (gap) that CL friend not here
316 "The friend I'm looking for is not here"

317

318 (11) Ngo5 wan2 __i king1gai2 go2 go3 pang4jau5i m4 hai2dou6
319 1sg seek (gap) chat that CL friend not here
320 "The friend I'm looking for to chat with is not here"

321

322 The authors proposed that the lower acceptability of sentences like (11) as compared with
323 sentences like (10) was due to a grammatical constraint banning extraction of a coverb's object
324 (a type of adjunct island condition).⁵ Francis and Matthews (2006: 784) concur with Matthews
325 and Yip's (2011) observation that such grammatical violations can be "saved" with the insertion

⁵ Francis and Matthews (2006: 763-765) further support their analysis of coverb phrases as adjuncts using tests for constituency, which show that the coverb together with its object forms a constituent which can optionally be omitted, and with facts about the binding of reflexive pronouns, which show that the object of a coverb cannot act as the antecedent of a reflexive pronoun within the following VP.

326 of a resumptive pronoun, as in (9) above. However, the only quantitative data were from
327 gapped clauses. The current study will test coverb RCs with and without RPs, comparing them
328 against simple subject RCs and direct object RCs with and without RPs.

329 Although previous studies of Cantonese provide no quantitative data on RP use, a few
330 experimental studies of RPs in Mandarin Chinese do (Hitz 2012; Hu and Liu 2007; Ning 2008;
331 Su 2004; Yuan and Zhao 2005). In four of the five experimental studies on Mandarin RP use,
332 subject and object RCs behaved similarly. In acceptability judgment tasks, gaps were rated as
333 more acceptable than RPs to the same degree in subject and object RCs (Hitz 2012; Ning 2008;
334 Yuan and Zhao 2005), and in an elicited production task (Su 2004), gapped clauses were
335 produced in 100% of subject and object RCs (i.e. RPs were never produced). Ning (2008) also
336 reports that for self-paced reading, both subject RCs and object RCs were read faster at the
337 head noun when the relativized position contained a gap as compared with an RP, and there
338 was no difference between subject RCs and object RCs. This is in contrast to many syntactic
339 descriptions of Mandarin RCs (e.g. Hawkins and Chan 1997; Hu and Liu 2007) claiming that
340 RPs are banned from subject RCs but optional in direct object RCs. One study on Mandarin
341 RPs did show this type of subject-object asymmetry, however. In a forced-choice acceptability
342 judgment task, Hu and Liu (2007) found that 14 out of 15 participants judged RP-containing
343 object RCs as acceptable, while none judged RP-containing subject RCs as acceptable. Thus,
344 while the preponderance of available evidence suggests that gaps are preferred over RPs to an
345 equal degree in subject RCs and object RCs, Hu and Liu's (2007) results suggest that there
346 may be variation depending on the task, items, and/or population of speakers tested.

347 The apparent lack of any subject-object asymmetry in studies of Chinese RPs is
348 reminiscent of the mixed results from previous studies of the online processing of gap-
349 containing RCs in Mandarin. In accordance with the NPAH, studies of head-initial languages
350 like English (Gibson 1998; King and Just 1991; Traxler et al 2002), German (Schriefers et al
351 1995), and French (Holmes and O'Regan 1981) as well as head-final languages like Japanese

352 (Miyamoto and Nakamura 2003; Ueno and Garnsey 2008) and Korean (Kwon et al 2010; Kwon
353 et al 2013) have consistently shown a processing advantage for subject RCs over direct object
354 RCs across a variety of task types (self-paced reading, ERP, eye-tracking). However, studies of
355 Mandarin RC processing have shown inconsistent results (for object advantage: Chen et al
356 2008; Hsiao and Gibson 2003; for subject advantage: Cheng et al 2011; Lin and Bever 2006).
357 According to the summary of these studies in Vasishth et al (2013: 2) (all of which used visual
358 written stimuli) four of twelve previous studies found a processing advantage for object RCs
359 while eight found an advantage for subject RCs. Since Hawkins' (2004) FGD metric predicts
360 equal difficulty for subject RCs and object RCs, other explanations for such asymmetries must
361 be given.

362 To understand these mixed results, we need to acknowledge that multiple factors
363 simultaneously influence the processing of Mandarin RCs (Hsiao and MacDonald 2013;
364 Vasishth et al 2013). Explanations based on storage and integration costs, as correlated with
365 filler-gap distance, generally predict an object RC advantage, since the linear distance between
366 gap and head noun is greater for subject RCs (e.g. Hsiao and Gibson 2003). In addition, the
367 NVN order of object RCs, which resembles that of a simple transitive clause, may confer a
368 processing advantage by facilitating thematic role assignment and semantic interpretation of the
369 RC (Kwon et al 2013: 575).⁶ In contrast, the NPAH, according to which subjects are universally
370 more accessible to relativization than direct objects, predicts an advantage for subject RCs.
371 Similarly, probabilistic constraints that affect how expected a certain type of RC is within a
372 particular context also generally predict an advantage for subject RCs, since subject RCs are
373 more frequent in production, as shown in corpora of Mandarin (Vasishth et al 2013). However
374 probabilistic constraints can still predict an object RC advantage in some contexts. As Hsiao

⁶ However, Lin (2008: 824) shows that the NVN order of object RCs may also be a disadvantage in that they are more susceptible to misanalyses (garden path effect) than subject RCs.

375 and MacDonald (2013) show by means of a Simple Recurrent Network (SRN) model of RC
376 processing in Chinese, which extrapolated patterns based on actual corpus frequencies, the
377 predictability of an RC apparently depends on several factors, including the animacy of the two
378 nouns, the position of the RC within the sentence, and the relative frequencies of the various
379 clause types with a similar word order which are in competition with each other during parsing,
380 causing temporary ambiguities (Hsiao and MacDonald 2013).

381 Following Vasishth et al (2013), we believe that these studies of Mandarin RC
382 processing, although apparently showing contradictory results, actually show the influence of
383 several factors that simultaneously influence RC processing, with different experimental tasks
384 and stimulus items revealing a stronger relative influence of certain factors over others. As
385 described above, such factors include linear filler-gap distance, hierarchical phrase structure
386 (i.e. position on the NPAH), frequency of use, and temporary ambiguities arising during online
387 processing. We believe that some but not all of these factors may affect the current data.
388 Because our acceptability and production tasks are offline tasks, the stimuli from the current
389 study should not be susceptible to temporary ambiguities (garden path effects). However, we
390 might find differences between different RC types based on linear filler-gap distance,
391 hierarchical structure, and/or frequency of use. While our hypotheses are framed in terms of
392 hierarchical structure, these other factors (linear distance and frequency of use) will also be
393 considered.

394 In summary, Matthews and Yip (2011) and Francis and Matthews (2006) have provided
395 several descriptive and quantitative findings relevant to the current study. Following these
396 previous studies, and consistent with syntactic analyses of Chinese RPs (Gu 2001; Huang, Li,
397 and Li 2009), we will assume the following as our initial hypotheses regarding the grammatical
398 constraints governing RP distribution in Cantonese RCs: (1) gaps are grammatical and RPs are
399 ungrammatical in subject position, in accordance with the Highest Subject Restriction
400 (McCloskey 1990); (2) RPs are optional in direct object position; (3) RPs are optional in

401 possessor position; (4) RPs are grammatical and gaps are ungrammatical in coverb object
402 position, in accordance with the adjunct island condition (Francis and Matthews 2006). All of
403 these observations with the exception of the hypothesized difference between subject and
404 object RCs are consistent with Hawkins' (2004) FGD complexity metric. This subject-object
405 asymmetry, if confirmed with empirical data, is consistent with the NPAH, and also with
406 explanations that invoke the greater frequency or predictability of subject RCs. Previous studies
407 of Mandarin are informative in the following respects. First, studies of Mandarin RP use show
408 that there was a discrepancy between linguistic descriptions (which predicted a subject-object
409 asymmetry) and actual experimental results (most of which found none). Secondly, studies of
410 Mandarin RC processing show evidence of several competing factors that may affect the
411 processing of subject RCs and direct object RCs, including not only hierarchical structure but
412 also linear filler-gap distance and frequency of use.

413

414 **3. Cantonese experiments**

415 Two experiments, an acceptability judgment task and an elicited production task, investigated
416 the following research questions:

417 (1) What is the effect of structural complexity on RP use in Cantonese?

- 418 • Are RPs used and accepted more often in contexts with greater structural
419 complexity, and vice versa for gaps (Hawkins 2004)?

420 (2) What are the grammatical constraints on RP use in a simple Cantonese RC?

- 421 • Are RPs ungrammatical in subject RCs (Matthews and Yip 2011)?
- 422 • Are RPs required in coverb object RCs to avoid an island constraint violation
423 (Francis and Matthews 2006)?
- 424 • Are RPs grammatically optional in direct object RCs and possessive RCs?

425 (3) Are RPs used and accepted more often in direct object RCs as compared with
426 subject RCs? (Matthews and Yip 2011)

427 Hypotheses specific to each task are given below.

428

429 *3.1 Experiment 1: Acceptability judgment task*

430 By asking participants to listen to sentences and rate their acceptability on a seven-point scale,
431 this experiment tested how the structural position of the relativized element affects judgments of
432 well-formedness in RCs with and without RPs.

433

434 *Design and materials*

435 Following Francis and Matthews (2006), we used the demonstrative + classifier RC structure
436 (without relative marker *ge3*) for all of the RC items—this being the more frequently used RC
437 structure in spoken Cantonese.⁷ The verbs within the RC were always transitive, and the
438 structural position of the relativized element (RP or gap) was manipulated with respect to two
439 factors related to structural complexity. The first factor is the grammatical role of the relativized
440 element (or of the NP containing it, in the case of possessives) within the RC, or Grammatical
441 Role for short. As shown for non-possessive examples in (12), three levels of Grammatical
442 Role were included in the design: subject, direct object and coverb object.

443

⁷ The RC structure with demonstrative + classifier is subject to different interpretive constraints than the structure with *ge3*. Namely, the demonstrative + classifier structure requires a definite interpretation of the NP, while the *ge3* structure does not (Matthews and Yip 2001). The stimuli for the judgment task were constructed so that a definite interpretation was normal and natural, and so we believe that this interpretive restriction would not have affected the responses. The stimuli for the production task did not contain any RC, and so the participants were free to respond with either type of RC structure.

444 (12) a. Subject:
 445 **keoi5** bong1 ngo5 go2 go3 neoi5jan4 hou2 hou2jan4
 446 3sg help 1sg that CL woman very kind
 447 “The woman who **she** helped me is very nice.”

448 b. Direct object (*bong1* functions as transitive main verb):
 449 ngo5 bong1 **keoi5** go2 go3 neoi5jan4 hou2 hou2jan4
 450 1sg help 3sg that CL woman very kind
 451 “The woman who I helped **her** is very kind.”

452 c. Coverb object (*bong1* functions as coverb):
 453 ngo5 bong1 **keoi5** maai5 ce1 go2 go3 neoi5jan4 hou2 hou2jan4
 454 1sg help 3sg buy car that CL woman very kind
 455 “The woman who I bought a car for **her** is very kind.”

456
 457 We assume that the coverb object is the most deeply embedded among the three positions,
 458 because it is an object-NP within an adjunct to the main VP (Francis and Matthews 2006). Thus,
 459 the NPAH predicts the following order of increasing complexity: subject, direct object, coverb
 460 object. As explained in Section 2 above, Hawkins’ (2004) FGD metric deviates from the NPAH
 461 in predicting no difference between subject and direct object RCs.

462 The second factor is the role of the relativized element within the relativized NP, or
 463 Possession for short. Both sentences in (13) are in the subject condition (13a repeats 12a
 464 above) and contain RPs. The only difference is that (13b) has a possessive subject *keoi5*
 465 *aa3go1* ‘her brother’ in which the relativized element (here an RP) functions as a possessor
 466 embedded within the NP, whereas in (13a) the relativized element (*keoi5* ‘she’) functions as the
 467 subject by itself. Both the NPAH and Hawkins’ FGD metric predict that possessive RCs should
 468 be more complex and less accessible than non-possessive RCs.

469

470 (13) a. Non-possessive subject:

471 **keoi5** bong1 ngo5 go2 go3 neoi5jan4 hou2 hou2jan4

472 3sg help 1sg that CL woman very kind

473 “The woman who she helped me is very kind.”

474 b. Possessive subject:

475 **keoi5** aa3go1 bong1 ngo5 go2 go3 neoi5jan4 hou2 hou2jan4

476 3sg brother help 1sg that CL woman very kind

477 “The woman who her brother helped me is very kind.”

478

479 The third factor is Resumption: the choice between RP and gap. Examples (12) and (13)
480 are all in the RP condition (with RP in boldface). Example (14) shows a direct object RC in RP
481 and gap conditions.

482

483 (14) a. Direct object RP:

484 ngo5 bong1 **keoi5** go2 go3 neoi5jan4 hou2 hou2jan4

485 1sg help 3sg that CL woman very kind

486 “The woman who I helped her is very kind.”

487 b. Direct object gap:

488 ngo5 bong1 ___ go2 go3 neoi5jan4 hou2 hou2jan4

489 1sg help (gap) that CL woman very kind

490 “The woman who I helped is very kind.”

491

492 To summarize, the design includes three factors: Grammatical Role (3 levels: subject, direct
493 object and coverb object), Possession (2 levels: non-possessive and possessive) and
494 Resumption (2 levels: gap and RP), for a total of 12 conditions. Each condition crosses with
495 five different sets of lexical items, for a total of 60 experimental items. The five lexicalizations

496 are based on the following five verbs, which occur as either main verb or coverb depending on
497 the condition: *tung4* ‘with’, *doi6* ‘replace’, *gan1* ‘follow’, *wan2* ‘seek’, and *bong1* ‘help’. Although
498 participants rated all 60 experimental items, the 12 items containing the verb *tung4* ‘with’ were
499 excluded from the current analysis because of some special restrictions on this verb which did
500 not apply to the other four verbs.⁸ As in most previous studies of Chinese RC processing, all
501 NPs in the experimental stimuli were animate and human, and all verbs within the RC were
502 transitive. This animacy configuration was in fact necessary for the RP manipulation, since RPs
503 in Cantonese RCs are exclusively animate. The full set of experimental items is shown in the
504 Appendix.

505 60 filler sentences were also included, for a total of 120 sentences. The filler sentences,
506 which did not contain any RCs, were distributed into three categories, according to their pre-
507 determined acceptability (Bad, Medium, and Good). The Medium fillers contained minor
508 anomalies (for example, a quantified noun preceded by the incorrect numeral classifier), while
509 the Bad fillers had more severe grammatical errors (for example, a quantified noun with
510 classifier omitted).

511

512 *Participants*

513 Twenty-two participants, 11 male and 11 female, were recruited over social networking sites
514 and posters on campus at Purdue University. All participants were self-reported native

⁸ We agree with an anonymous reviewer that the item *tung4* ‘with’ is problematic in the simple subject and object conditions, and the results in fact showed that sentences containing this item in these two conditions were judged as lower in acceptability. For this reason, stimuli containing *tung4* have been omitted from the analysis. However, we have run the statistical analyses for both the judgment task and the production task with and without the stimuli containing this item, and the overall pattern of results was unaffected.

515 speakers of Cantonese, ranging in age from 19 to 29 years old, and all of them were fluent in at
516 least one other language including English. None reported any diagnosis of speech, language,
517 or hearing problems. Participants gave informed consent and were paid \$10 for completing the
518 experiment.

519

520 *Procedure*

521 Stimuli were given via computer interface using E-Prime software. Participants were asked to
522 rate the sentence stimuli on a seven-point scale, with “1” being completely unacceptable and “7”
523 being fully acceptable. They first listened twice through headphones to the sound recording of
524 each sentence. (Sentences were played twice because in pilot testing, participants complained
525 that they could not adequately judge the longer sentences after hearing them only once.) After
526 the recording was played, the rating options (1 to 7) showed up on the screen and participants
527 could click to indicate their choice. Responses were automatically recorded by the software.

528 Each participant heard all 120 sentences. The 120 sentences were divided into 6
529 blocks, each with 20 sentences. Sentences were assigned to blocks according to a Latin
530 Square design, to ensure that the items within each block came from different sets of lexical
531 items and different sentence types. The ordering of items within each block as well as the
532 ordering of the blocks themselves was uniquely randomized for each participant. Blocks were
533 separated by optional breaks, and the experiment sessions took 45 - 60 minutes.

534

535 *Hypotheses*

536 As Hofmeister et al (2013) and others have noted, acceptability judgments are influenced by
537 grammatical rules as well as processing factors. We assume, therefore, that performance-
538 based complexity effects and grammatical constraints will simultaneously influence participants’
539 judgments of the stimulus sentences. We have divided our hypotheses into complexity effects
540 (hypothesis 1), which focus on the acceptability of RP conditions relative to other RP conditions

541 of differing levels of complexity, and grammatical constraints (hypothesis 2), which focus on the
542 acceptability of RP conditions relative to gap conditions within a particular RC type. We
543 recognize that the grammatical constraints governing RCs themselves encode structural
544 complexity and cannot necessarily be distinguished from performance-based complexity effects,
545 but nevertheless find this a useful way to divide the hypotheses.

546

547 (1) What is the effect of structural complexity on acceptability ratings? Are RPs rated higher in
548 acceptability in contexts with greater structural complexity, and vice versa for gaps (Hawkins
549 2004)?

550 a. RPs are more acceptable in possessive RCs as compared with non-possessive RCs,
551 and vice versa for gaps (Hawkins 2004).

552 b. RPs are increasingly acceptable according to their grammatical role: subject < direct
553 object < coverb object. Gaps follow the reverse pattern: subject > direct object > coverb
554 object (Hawkins 2004).⁹

555 (2) What are the grammatical constraints on RP use in simple Cantonese RCs?

556 a. RPs are ungrammatical and therefore less acceptable than gaps in subject RCs
557 (Matthews and Yip 2011).¹⁰

⁹ Recall that the hypothesized difference between subject and object RCs is not consistent with Hawkins' (2004) FGD complexity metric, although it is consistent with the NPAH and with previous grammatical descriptions of Cantonese (Matthews and Yip 2011).

¹⁰ An anonymous reviewer points out that Cantonese allows a null *pro* in subject and object positions of independent clauses, which could be temporarily confusable with a true gap in an online comprehension task (i.e. when reading or listening to the first part of the RC, which could be initially parsed as an independent clause). We believe that this fact should have little or no

558 b. Due to an island constraint that applies to gapped clauses, gaps are ungrammatical and
559 therefore less acceptable than RPs in coverb object RCs (Matthews and Yip 2011,
560 Francis and Matthews 2006) and in possessive coverb object RCs.

561 c. Both RPs and gaps are acceptable (although perhaps only marginally so) in direct object
562 RCs, possessive subject RCs, and possessive direct object RCs.

563

564 (3) Does RP use differ in subject versus object RCs?

565 a. RPs are more acceptable in direct object RCs as compared with subject RCs (Matthews
566 and Yip 2011).

567

568 *Results*

569 Filler items: the ratings from actual participants confirm the validity of the pre-determined filler
570 categories, as shown in Figure 1 (error bars throughout represent Standard Error of the mean).
571 These ratings can serve as a baseline for interpreting the ratings of the experimental sentences.

572

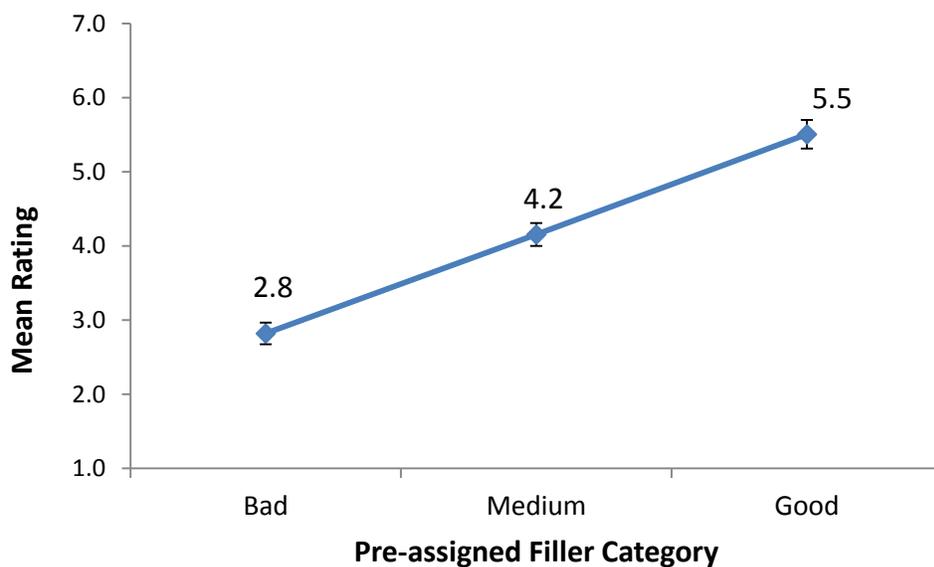
573 Experimental Items: due to the large number of conditions and factors, we analyzed the
574 possessive and non-possessive conditions separately, to examine the effects of Grammatical
575 Role and Resumption within each level of Possession. As shown in Figure 2 and Figure 3, the

effect on our offline judgment task, since participants were required to listen to the full sentence
twice before responding. In addition, the fact that sentences were presented out of context
means that there would be no discourse antecedent available to license *pro*, also making such
an interpretation improbable (cf. Ng 2011). Finally, there should be no competition between *pro*
and gap in the production task, since participants deliberately produced RCs rather than
independent clauses.

576 interaction between Grammatical Role and Resumption differed for possessive versus non-
577 possessive conditions. In the non-possessive conditions (Figure 2), a clear reversal of
578 preferences was shown, with the preference for gap over RP which was found in the subject
579 and direct object conditions reversing in the coverb object condition. In possessive conditions
580 (Figure 3), a preference for RP over gap was found across all three grammatical roles, and the
581 interaction was more subtle.

582

583 Figure 1: Acceptability ratings of filler items

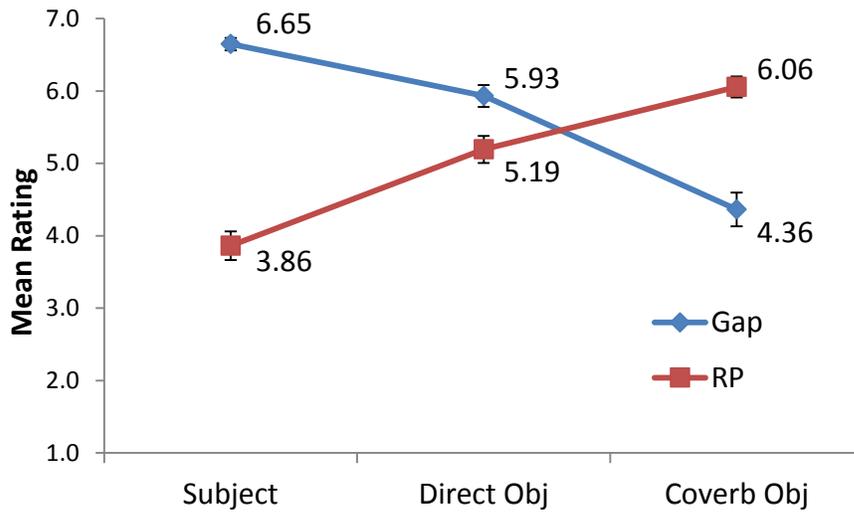


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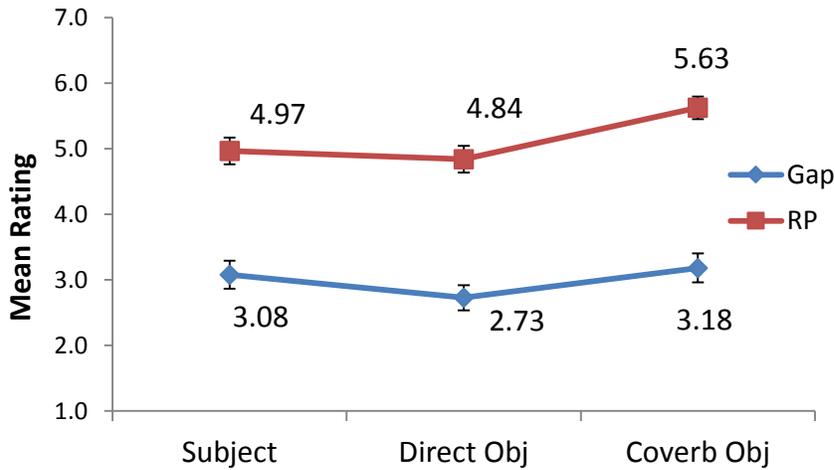
587 Figure 2: Acceptability ratings for non-possessive relative clauses



588

589

590 Figure 3: Acceptability ratings for possessive relative clauses



591

592

593 A linear mixed model analysis of the six non-possessive conditions (Figure 2) included
594 three independent variables: Grammatical Role, Resumption, and Verb. The factor Verb
595 represents the particular set of lexical items containing a certain verb/coverb (e.g. one set
596 contained *bong1* 'help' in all 12 conditions). This factor was included to test for any effects of
597 lexical differences. Participant was included as a random variable. There was a significant

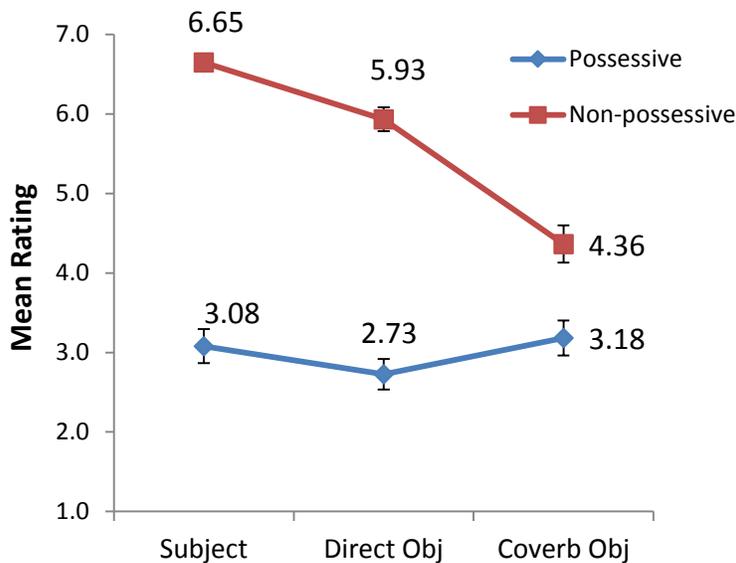
598 main effect of Resumption ($F(1, 498) = 23.55, p < 0.01$). On average, gaps were rated higher
599 than RPs (5.65 as compared with 5.04). However, the advantage for gaps was only found in
600 the subject and direct object conditions, while the opposite effect (an advantage for RPs) was
601 shown in the coverb object condition. This reversal as shown in Figure 2 resulted in a
602 significant interaction between Resumption and Grammatical Role ($F(2, 498) = 106.4, p <$
603 0.01). Due to the strong interaction, the main effect of Grammatical Role was much smaller, but
604 still significant ($F(2, 498) = 3.10, p = 0.05$). Pairwise comparisons showed that within the RP
605 conditions, subject differed from direct object ($t = 6.79, p < 0.01$) and direct object differed from
606 coverb object ($t = 4.26, p < 0.01$). Similarly, within the gap conditions, subject differed from
607 direct object ($t = 4.22, p < 0.01$) and direct object differed from coverb object ($t = 6.16, p < 0.01$).
608 With respect to the relative acceptability of gaps and RPs, pairwise comparisons confirm that
609 gaps were rated higher than RPs in subject RCs ($t = 13.56, p < 0.01$), while RPs were rated
610 higher than gaps in coverb object RCs ($t = 6.77, p < 0.01$). There was a small but significant
611 effect of Verb ($F(3, 498) = 3.39, p = 0.02$), apparently due to the higher acceptability of RPs in
612 the object condition with the verbs *bong1* 'help' and *doi6* 'replace'.

613 A linear mixed model analysis of the six possessive conditions (Figure 3) also included
614 three independent variables: Grammatical Role, Resumption, and Verb. Participant was again
615 included as a random variable. There was a highly significant main effect of Resumption ($F(1,$
616 $498) = 237.25, p < 0.01$), such that RPs were consistently rated higher than gaps (5.14 as
617 compared with 3.0). There was a significant main effect of Grammatical Role as well ($F(2, 498)$
618 $= 6.69, p < 0.01$), due to the higher ratings for coverb object RCs. Unlike in the non-possessive
619 conditions, there was no significant interaction between Grammatical Role and Resumption (F
620 $(2, 498) = 1.34, p = 0.26$). However, a pairwise comparison showed that coverb object RCs
621 were rated higher than direct object RCs ($t = 4.14, p < 0.01$). Again, there was a main effect of
622 Verb ($F(3, 498) = 8.62, p < 0.01$), this time due to the higher acceptability of *doi6* 'replace' in the
623 gapped conditions.

624 In addition to examining possessive and non-possessive conditions separately, we also
625 examined RP and gap conditions separately, to better see the effects of Possession and
626 Grammatical Role within each level of Resumption (Figures 4-5). Because only four pairwise
627 comparisons were essential, we did not run separate mixed model analyses on RP and gap
628 conditions. In the RP conditions (Figure 5), possessive subject RCs received higher ratings
629 than non-possessive subject RCs ($t = 4.88, p < 0.01$). However, in the direct object condition,
630 there was no advantage for possessive RCs ($t = 1.93, p = 0.06$), while in the coverb object
631 condition, there was a slight advantage for non-possessive RCs ($t = -2.62, p = 0.01$). With
632 respect to the gap conditions (Figure 4), non-possessive RCs were rated significantly higher
633 than possessive RCs across all grammatical roles, as confirmed by a pairwise comparison of
634 the two coverb conditions ($t = 5.60, p < 0.01$).

635

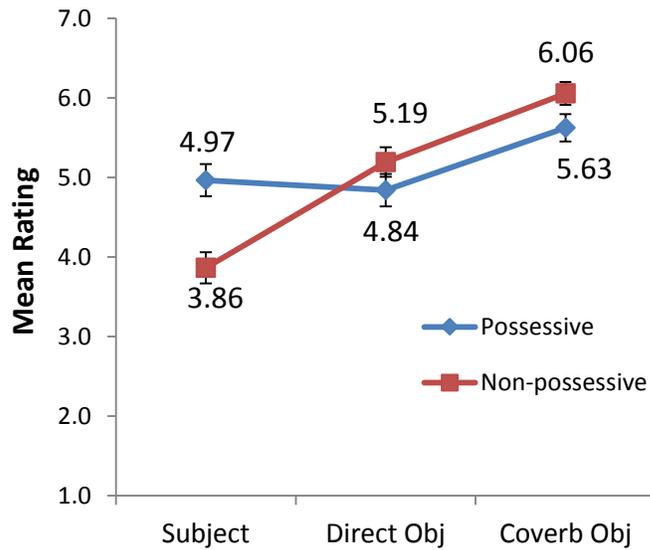
636 Figure 4: Acceptability ratings for relative clauses with gaps



637

638

639 Figure 5: Acceptability ratings for relative clauses with RPs



640

641

642 *Discussion*

643 Clear complexity effects are shown in the acceptability judgment data, partially confirming our
644 hypotheses in (1) above. Hypothesis (1a) stated that RPs should be more acceptable in
645 possessive RCs as compared with non-possessive RCs, while gaps should be less acceptable
646 in possessive RCs as compared with non-possessive RCs. The expected patterns are shown
647 across all gap conditions (Figure 4), but for RP conditions, only subject RCs showed this pattern
648 (Figure 5). This could be due to the fact that possessive RCs were rated lower overall than non-
649 possessive RCs, obscuring any complexity effects within the RP conditions. The fact that
650 possessive RCs were consistently rated higher with RPs as opposed to gaps (Figure 4)
651 suggests that there is in fact a complexity effect related to Possession, but due to the overall
652 lower ratings for possessive RCs, the effect is only visible in the advantage of RPs over gaps.
653 Hypothesis (1b) stated that RPs should be increasingly acceptable according to their
654 grammatical role (subject < direct object < coverb object), while gaps should follow the reverse
655 pattern (subject > direct object > coverb object). This type of interaction is clearly shown in the
656 non-possessive conditions (Figure 2). In possessive conditions, such a pattern is found in only

657 one comparison: the greater acceptability of RPs in coverb object RCs as compared with direct
658 object RCs (Figure 3).

659 We were also interested in whether the grammatical constraints on RP use, as proposed
660 by Matthews and Yip (2011), would be supported by acceptability judgment data. Our
661 hypotheses in (2) stated that RPs are ungrammatical in subject RCs, required to maintain
662 grammaticality in coverb object RCs, and optional in direct object RCs, possessive subject RCs,
663 and possessive direct object RCs. The relative patterns of acceptability between RP and gap
664 conditions are consistent with the first two hypotheses: there was a clear advantage for gap
665 over RP in subject RCs, and a clear advantage for RP over gap in coverb object RCs (Figure 2).
666 Furthermore, the greater acceptability of direct object RCs with gaps as compared with coverb
667 object RCs with gaps (Figure 2) replicates the adjunct island effect shown in Francis and
668 Matthews's (2006) acceptability judgment task. The hypothesis that RPs should be optional in
669 direct object RCs also receives support, since both RPs and gaps received relatively high
670 ratings in the direct object conditions (Figure 2), at a level comparable to the Good filler
671 sentences (Figure 1). The data are inconclusive as to the hypothesis that RPs should be
672 optional in possessive RCs (Figure 3). It is clear that RPs were more acceptable than gaps in
673 possessive RCs, and that possessive RCs were generally lower in acceptability than non-
674 possessive RCs, with gap conditions receiving ratings comparable to the Bad filler sentences
675 and RP conditions receiving ratings somewhat higher than the Medium fillers. Under one
676 interpretation, extraction from a possessive RC is ungrammatical, and only RPs are
677 grammatical. Under another interpretation, both options are grammatical, and the advantage for
678 RPs is a usage-based complexity effect. Under either scenario, the overall lower ratings for
679 possessive clauses are likely related to the low frequency and/or syntactic complexity of this
680 structure. The results of the production task, reported in the next section, will shed some light
681 on this issue.

682 Hypothesis (3), which is actually a sub-component of hypothesis (1), asked whether RPs
683 would be more acceptable in direct object RCs as compared with subject RCs, and the answer
684 was clearly affirmative (Figure 3). The current result is consistent with Matthews and Yip's
685 (2011) description of Cantonese, but differs from most of the previous studies of RPs in
686 Mandarin Chinese (Hitz 2012, Ning 2008, Su 2004, Yuan and Zhao 2005), which found no
687 difference between subject and direct object RCs. Thus, our results for Cantonese appear more
688 consistent with the predictions of the NPAH (Keenan and Comrie 1977), whereas the previous
689 studies of Mandarin appear more consistent with Hawkins' (2004) FGD metric.

690

691 3.2 *Experiment 2: Elicited production*

692 In this experiment, a sentence-combining task was used to elicit spoken production of
693 Cantonese RCs. Responses were coded as "target" (corresponding to the intended RC type) or
694 "non-target", and responses were further examined for the presence or absence of a RP. Much
695 like Experiment 1, this experiment tested how the structural position of the relativized element
696 affected participants' choice of RP or gap in RCs of differing levels of structural complexity.

697 *Design and Materials*

698 In this task, participants were given two sentences, in the form of (15a) and (15b). Their task
699 was to combine them into one sentence. The target response (i.e. the expected response), as
700 shown in (16), contains a relative clause.

701

702 (15) a. Relative clause

703 ngo5 bong1 go2 go3 neoi5jan2

704 1sg help that CL woman

705 "I helped that woman."

706

707

708 b. Matrix clause

709 keoi5 hou2 hou2jan4

710 3sg very kind

711 “She is very kind.”

712 (16) Target response

713 ngo5 bong1 (keoi5) go2 go3 neoi5jan2 hou2 hou2jan4

714 1sg help (3sg) that CL woman very kind

715 “The woman who I helped (her) is very kind.”

716

717 When participants combine the two sentences to form an RC in this manner, they naturally
718 choose to produce either an RP or a gap in the relativized position. Example (16) shows the
719 position of the RP *keoi5* in a possible target response. Any response with the intended RC type,
720 with or without the RP, and with or without the optional relative marker *ge3*, was counted as a
721 target response.

722 The design was essentially similar to that used in Experiment 1, in that the expected
723 target responses were the same as the sentences that were used as stimuli in the judgment
724 experiment (see Appendix). In this experiment, the speaker’s choice of RP or gap was a
725 dependent variable, and thus there was no independent variable of Resumption. The
726 independent variables Grammatical Role (3 levels: subject, direct object and coverb object) and
727 Possession (2 levels: non-possessive and possessive) were the same as in Experiment 1, and
728 the same five sets of lexical items were used. The set of six items containing the verb *tung4*
729 ‘with’ was omitted from the current analysis, for the same reasons given above for Experiment 1
730 (see note 7).

731 The 3 x 2 design with 5 sets of lexical items gives us 30 experimental items. Another 30
732 items were included as fillers. The filler items also involved RCs (as was necessary given the
733 nature of the sentence-combining task), but they did not have any of the same verbs used in the

734 experimental sentences. The presentation order of the items was divided into blocks and
735 randomized for each individual participant in the same manner as in Experiment 1.

736 Both target and non-target responses were coded for Resumption (whether an RP or
737 gap was produced). Non-target responses were additionally coded for Simplification-- whether
738 the RC that was produced was simpler in structure than the intended target response. A
739 response was coded as Simplified if one or more of the following conditions was true: (1) a
740 simple subject or direct object RC was used in response to a stimulus from one of the other
741 conditions; (2) one or more of the phrases contained in the stimulus sentences was omitted; or
742 (3) a non-possessive RC was used in response to a stimulus from a possessive condition.
743 Note that the first condition is neutral as to whether subject RC or direct object RC is simpler,
744 leaving open the possibility that these structures are of the same level of complexity (as per
745 Hawkins' FGD metric). A response was counted as Simplified if the participant produced a
746 subject RC in response to a direct object stimulus or vice versa. Any difference between
747 subject and direct object conditions would be shown in terms of a difference in the frequency of
748 switching.

749

750 *Participants*

751 All of the participants (N=22) in Experiment 1 also participated in Experiment 2; thus the
752 demographic details are the same. However, one male participant's data were excluded from
753 Experiment 2 due his inability to perform the task as intended, as evidenced by an unusually low
754 rate of target responses. Thus, the dataset for Experiment 2 consists of responses from 21 of
755 the 22 participants. Participants gave informed consent and were paid \$10 for completing the
756 experiment.

757

758

759

760 *Procedure*

761 To ensure that participants were not aware of the RP manipulation when performing the
762 production task, the production task always came first, followed by the judgment task
763 approximately one week later. As in Experiment 1, stimuli were given via computer interface
764 using E-Prime software. Participants listened to two short sentences and combined them into
765 one longer sentence containing a subject-modifying RC. Figure 7 shows an example of the task.
766 The image on the left is exactly what a participant would see in the experiment. On the right is
767 an annotated image.

768

769 Figure 6: Screenshot with production stimuli (English-glossed version on the right)



770

771

772 First, the two stimulus sentences were shown on the screen and the corresponding audio files
773 were played. After the sentence pair was played twice, a mouse-click icon appeared and the
774 participants would decide when they were ready to produce the sentence. Once they clicked to
775 proceed, the computer program would automatically record their speech and send it to a file
776 named by the appropriate item number.

777 To maximize the number of target responses, the instructions also specified two
778 requirements for combining the sentences. First, the two NPs targeted to become head noun
779 and relativized element were underlined and participants were explicitly told to identify them as
780 the same thing. Second, participants were also told to produce the last three characters (i.e. the
781 predicate) of the second stimulus sentence at the end of their response. These instructions

782 were designed to strongly encourage participants to embed the first sentence into the second
783 sentence. Each participant produced all 60 sentences, and the session took approximately 30 -
784 45 minutes to complete.

785

786 *Hypotheses*

787 As with acceptability judgments, participants' responses in the production task were likely
788 influenced by a combination of grammatical constraints and performance-based complexity
789 effects. One advantage of a production task over a judgment task for teasing apart these
790 different types of effects is that we can assume that participants should normally produce
791 sentences that are allowed by the grammar. Given the way the task was designed, the
792 participant always had the option of including the RP or leaving it out, and therefore unlike in the
793 judgment task in Experiment 1, for which some of the items were ungrammatical, participants
794 were never required to produce an ungrammatical sentence. (This is also in contrast to Ferreira
795 and Swets' (2005) production experiments on English in which they elicited island-violating
796 sentences which were ungrammatical for both RP and gap options.) Again, our hypotheses are
797 divided into complexity effects (1) and grammatical constraints (2).

798

- 799 (1) What is the effect of structural complexity on RP use? Are RPs used more often in
800 contexts with greater structural complexity, and vice versa for gaps (Hawkins 2004)?
- 801 a. RPs are used more frequently (and gaps less frequently) in possessive RCs as
802 compared with non-possessive RCs.
 - 803 b. RPs are used more frequently (and gaps less frequently) according to
804 grammatical role: subject < direct object < coverb object.
- 805 (2) What are the grammatical constraints on RP use in a simple Cantonese RC?
- 806 a. RPs are ungrammatical and therefore not used in subject RCs (Matthews and
807 Yip 2011). Gaps are used exclusively in subject RCs.

- 808 b. Due to an island constraint that applies to gapped clauses only, gaps are
809 ungrammatical in coverb object RCs (Matthews and Yip 2011, Francis and
810 Matthews 2006). Therefore, RPs are used exclusively in these contexts.
811 c. Both RPs and gaps are possible (although there may be preferences for one or
812 the other) in direct object RCs, possessive subject RCs, and possessive direct
813 object RCs.

814 (3) Does RP use differ in subject versus object RCs?

- 815 a. Due to the different grammatical constraints on their usage, RPs are sometimes
816 used in direct object RCs but never in subject RCs (Matthews and Yip 2011).

817

818 *Results*

819 Three analyses are given here. In the first, we considered the entire data set. The dependent
820 variable was a binary choice: whether the response was target or non-target. In the second
821 analysis, we considered only the target responses and treated Resumption—speaker’s choice
822 of RP or gap—as the dependent variable. In the third, we considered only the non-target
823 responses, and included two dependent variables: Resumption and Simplification. Like
824 Resumption, Simplification is a binary variable, the value of which is determined by whether the
825 actual response was structurally less complex than the intended target response. The same
826 three independent variables were used throughout all of the analyses: Possession, Grammatical
827 Role, and Verb. Our hypotheses as given above apply only to the primary analysis—the
828 analysis of target responses. We did not have any specific hypotheses regarding the
829 distribution of non-target responses, but included those analyses here to provide clues
830 regarding the difficulty of producing different types of RCs.

831

832

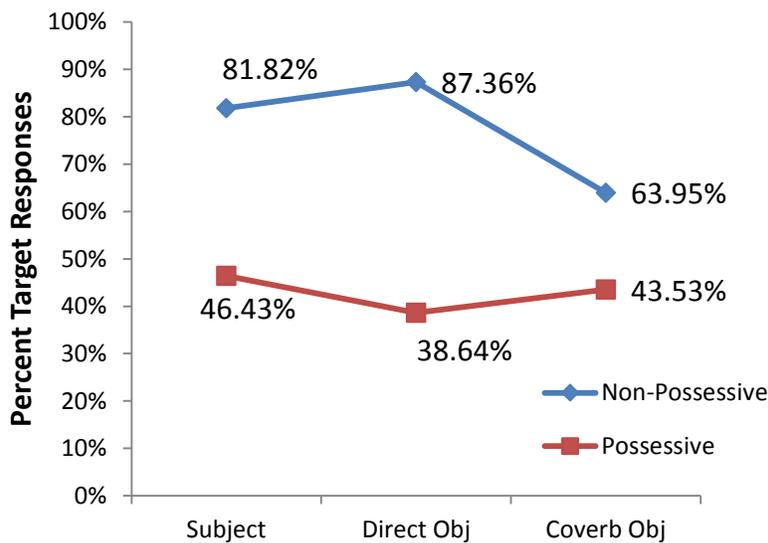
833

834 *Target vs. non-target responses*

835 Although participants almost always produced some kind of RC in the subject-modifying
836 position, only 57% of responses (313 out of 518) qualified as target responses in which the
837 participant produced the exact type of RC targeted by the stimulus sentences. As shown in
838 Figure 7, the rate of target productions varied according to condition, with simple (non-
839 possessive) subject and object conditions receiving a higher rate of target responses than the
840 other four conditions.

841

842 Figure 7: Percent target responses by Possession and Grammatical Role



843

844

845 These trends were analyzed statistically using a mixed logit model. Possession, Grammatical
846 Role, and Verb were included as independent variables, and Participant was included as a
847 random factor. The dependent variable was a binary choice: the speaker's production of target
848 or non-target response. Results show a significant main effect of Possession, such that non-
849 possessive conditions received a higher rate of target responses than possessive conditions (F
850 $(1, 470) = 90.43, p < 0.01$). A smaller but significant main effect of Grammatical Role was also
851 shown ($F(2, 470) = 3.36, p = 0.04$), as manifested in a lower rate of target responses for the

852 coverb conditions. There was also a significant interaction between Possession and
 853 Grammatical Role ($F(2, 470) = 5.08, p < 0.01$). This interaction was shown as a greater
 854 difference between possessive and non-possessive for subject and direct object roles (left half
 855 of figure 7), and a smaller difference between possessive and non-possessive for the coverb
 856 object role (right half of Figure 7). There was also a significant effect of Verb ($F(3, 470) = 5.32,$
 857 $p < 0.01$), due to the lower rate of target responses for items containing the verb *gan1* 'follow' in
 858 the direct object and coverb object conditions.

859 In the following, we will provide separate analyses for target and non-target responses.

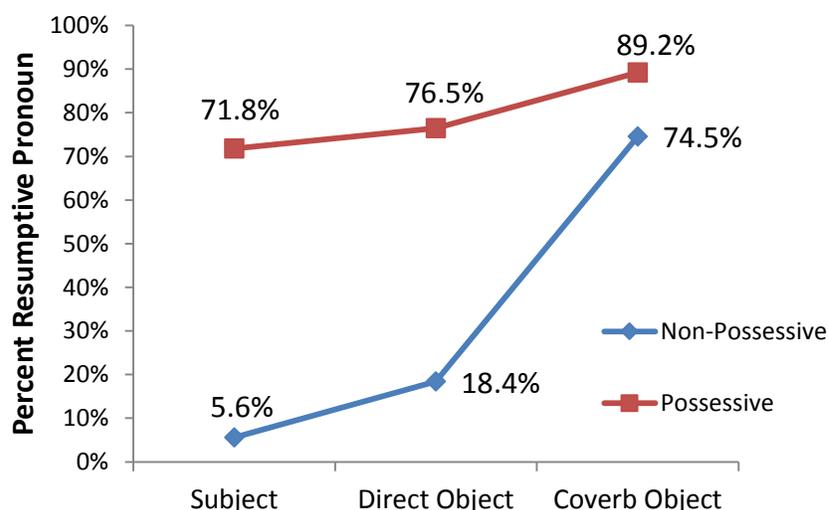
860

861 *Target responses only*

862 For target responses, the dependent variable was Resumption: speaker's choice of either gap
 863 or RP in the relativized position. The results are shown in Figure 8 as the percentage of
 864 responses for which the participant used a RP rather than a gap.

865

866 Figure 8: Percent RP by Possession and Grammatical Role, target responses only



867

868 A mixed logit model was used to analyze the effects of Possession, Grammatical Role,
 869 and Verb on participants' choice of either RP or gap. Participant was also included as a random

870 factor. As in the acceptability task, there were significant main effects of Possession and
871 Grammatical Role, both of which show complexity effects in line with our hypotheses. With
872 respect to Possession, possessive conditions had a higher rate of RP production than non-
873 possessive conditions ($F(1, 284) = 54.67, p < 0.01$). With respect to Grammatical Role, coverb
874 object conditions produced the highest rate of RP production, followed by direct object and
875 subject conditions ($F(2, 284) = 18.86, p < 0.01$). There was also a significant interaction
876 between Possession and Grammatical Role ($F(2, 284) = 5.38, p < 0.01$): there was a greater
877 difference between possessive and non-possessive conditions for subject and direct object RCs
878 (left half of Figure 8), and a smaller difference for coverb RCs (right half of Figure 8). In this
879 case, there was no main effect of Verb ($F(3, 284) = 0.93, p = 0.56$).

880 Consistent with our hypotheses and with the results of Experiment 1, gaps were
881 preferred over RPs in subject and direct object RCs, while RPs were preferred over gaps in all
882 other conditions. However, these preferences did not appear to be categorical. Participants in
883 fact produced both RPs and gaps in all six positions. Contrary to our expectation, 5.6% (4 out
884 of 72) of subject RC tokens contained an RP, and 25.5% (14 out of 55) of coverb object RC
885 tokens contained a gap. As expected, however, direct object and possessive RCs showed a
886 pattern consistent with grammatical optionality: both RPs and gaps were produced in these
887 contexts. As expected, there was a greater number of RP tokens in direct object as compared
888 with subject RCs, and this was consistent with the difference in acceptability that was found in
889 Experiment 1.

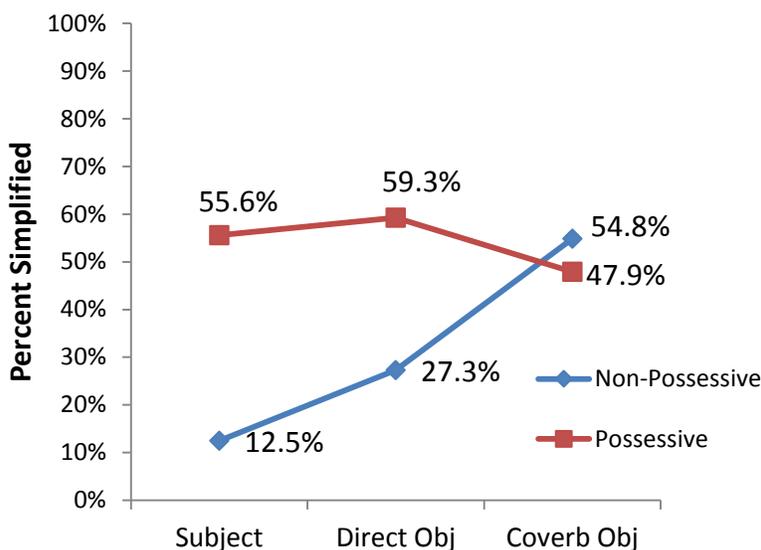
890

891 *Non-target responses only*

892 Many non-target responses involved simplification of structure, as defined above in the Design
893 and Materials section. The graph in Figure 9 reflects the data showing the Simplified category
894 as the dependent variable.

895

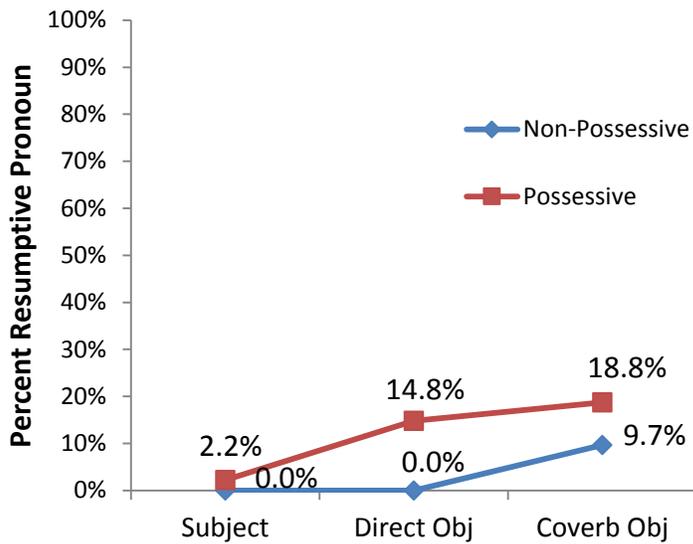
896 Figure 9: Percent Simplified by Possession and Grammatical Role, non-target responses only



897
898
899 As shown in Figure 9, non-target productions were least likely to be simplified in the non-
900 possessive subject and direct object conditions. The direct object conditions showed a higher
901 rate of simplification than the subject conditions, meaning that participants were more likely to
902 produce a subject RC based on a direct object RC stimulus than they were to produce a direct
903 object RC based on a subject RC stimulus. (Note that participants *never* produced a coverb
904 object RC or a possessive RC in response to a simple subject or direct object stimulus.) Due to
905 the small sample size for non-target responses (n=205), none of the trends shown in Figure 9
906 was statistically significant.

907 Non-target responses were also analyzed using Resumption as the dependent variable,
908 as shown in Figure 10. Because there were so few tokens containing a RP, the mixed logit
909 model did not converge for this analysis. However, the trends shown in the graph appear
910 consistent with the trends shown in the target responses (Figure 8), except that many fewer RP
911 tokens were produced overall. This is an interesting result, because it suggests that when
912 speakers produced a non-target structure, they usually manipulated the structure in such a way
913 that an RP was not needed.

914 Figure 10: Percent RP by Possession and Grammatical Role, non-target responses only



915

916 Discussion

917 Results of the elicited production task in Experiment 2 were mostly consistent with the results of
918 the acceptability judgment task in Experiment 1. However, the expected complexity effects in
919 the target responses were shown even more clearly than in Experiment 1. All three possessive
920 conditions received more RP responses than all three non-possessive conditions, and RP use
921 increased according to grammatical role (subject < direct object < coverb object) in both
922 possessive and non-possessive conditions (Figure 8). These complexity effects were not as
923 apparent in the possessive conditions in Experiment 1 (Figure 3), although they were quite clear
924 in both experiments in the non-possessive conditions (Figure 2, Figure 8). The preferences for
925 RP over gap or vice versa were, for the most part, consistent with previous grammatical
926 analyses of Cantonese RCs (Matthews and Yip 2011, Francis and Matthews 2006), on which
927 our hypotheses in (2) were based. Gaps were strongly preferred over RPs in subject RCs,
928 while RPs were strongly preferred over gaps in coverb object RCs. However, it is interesting
929 that speakers produced both RPs and gaps in all six conditions. Unexpectedly, 5.6% of
930 responses in the subject RC condition contained an RP. This result could plausibly be

931 dismissed as performance error, thus maintaining the Highest Subject Restriction.¹¹ However,
932 the 25.5% of gap responses in the non-possessive coverb object RC condition are less likely to
933 be due to random error. Rather, it appears that the proposed adjunct island condition (Francis
934 and Matthews 2006), although consistent with the current acceptability data (Figure 2), might
935 instead be a usage-based complexity effect. This seems especially plausible given that the
936 percentage of gap responses was higher in the non-possessive coverb RC condition as
937 compared with the more complex possessive coverb RC condition (25.5% vs. 10.8%), while
938 gaps were excluded from neither position (Figure 8). It is interesting that similar complexity
939 effects were shown in RP use in the non-target responses, although there were many fewer RP
940 responses overall among non-targets (Figure 10). Taken together with the fact that non-target
941 responses for the more complex RC types were usually simplified in structure (Figure 9), it
942 appears that participants used two main strategies for coping with the production of complex
943 RCs: the first was to produce the expected RC type with an RP (target responses), and the
944 second was to produce simpler RC types containing no RP (non-target responses).

945 Both RPs and gaps were used in possessive subject RCs and possessive direct object
946 RCs, as expected (hypothesis 2c). Across these two possessive conditions, there was a strong
947 preference for RPs over gaps (74%, 54 out of 73 tokens, were RPs). This was consistent with
948 the corresponding greater acceptability of RPs as compared with gaps found in Experiment 1.
949 This result sheds some light on our puzzling finding in Experiment 1 that possessive RCs with
950 gaps received low acceptability ratings, comparable to those of the Bad filler sentences (which
951 were constructed in such a way to be clearly ungrammatical). Since gaps were produced in
952 26% (19 out of 73 tokens) of possessive subject and direct object RCs, it seems unlikely that

¹¹ An RP was used in subject position in 4 of 72 tokens. An item analysis revealed no discernable pattern for what might have caused this, since each token was lexically distinct. The four tokens came from the following four verb sets: *bong1*, *doi6*, *wan2*, and *gan1*.

953 there would be any grammatical constraint against extraction from possessive RCs. The overall
954 lower acceptability of possessive RCs (which was shown in RP conditions as well as gap
955 conditions in Experiment 1) might instead be due to the difficulty associated with possessive
956 RCs. This explanation receives some support from the analysis of non-target responses. The
957 possessive conditions were less likely than non-possessive conditions to yield a target response
958 (Figure 7), while the non-target responses produced in the possessive conditions were often
959 simplified to a non-possessive structure (Figure 9). Importantly, our study does not reveal the
960 precise reason for the difficulty of possessive RCs. This difficulty could be due to their structural
961 complexity, their low frequency of occurrence, or a combination of these factors.

962 Hypothesis (3) predicted that RPs would be used more often in direct object RCs as
963 compared with subject RCs, and this difference was as expected (Figure 8). In addition, a
964 similar subject-object asymmetry was found in the non-target productions: participants were
965 more likely to produce a subject RC when presented with a direct object stimulus than vice
966 versa (Figure 9), suggesting that perhaps subject RCs were generally easier to produce than
967 direct object RCs. These findings thus corroborate the pattern of acceptability shown in
968 Experiment 1 in which direct object RCs were more acceptable than subject RCs in the RP
969 conditions, and vice versa in gap conditions. Again, the results apparently support the
970 predictions of the NPAH (Keenan and Comrie 1977), while differing from the results of previous
971 studies of RP use in Mandarin and from Hawkins' (2004) FGD-based predictions. It is
972 interesting that this pattern shown by our adult Cantonese-speaking participants is very similar
973 to the pattern shown by five-year-old Mandarin-speaking children. In an elicited production task,
974 Su (2004: 12) found that child speakers of Mandarin in the younger age group (ages 5;0 to 5;6)
975 showed greater RP use in direct object RCs as compared with subject RCs (11% vs. 3%), in
976 contrast to adults, who never used RPs. This subject-object asymmetry could plausibly be
977 treated as a complexity effect which shows up in child language but disappears as the language
978 is fully acquired (although of course RPs persist in more complex structures such as possessive

979 RCs). One possible interpretation is that the subject-object asymmetry in RP production starts
980 out as a usage-based complexity effect in both languages, before gradually being suppressed
981 by the norms of the adult language in the case of Mandarin.

982

983 3.3 Analysis of individual verbs in Experiments 1-2

984 As noted above, Francis and Matthews (2006) investigated the acceptability of gapped RCs in
985 Cantonese and found that coverb object RCs were less acceptable than direct object RCs.
986 They attributed this effect to an adjunct island condition barring the extraction of a coverb's
987 object. One very interesting finding, which complicated their analysis, was that the acceptability
988 of coverb object RCs varied by individual verb. While coverb RCs were never more than
989 marginally acceptable, RCs containing the coverbs *tung4* 'with' and *hai2* 'at' were rated as
990 significantly less acceptable than RCs containing the other four coverbs (*doi6* 'replace', *wan2*
991 'seek', *gan1* 'follow', *pui4* 'accompany'). The authors speculated that this difference may be due
992 to differences in the frequency of these verbs across different constructions. A small-scale
993 corpus analysis showed that *tung4* 'with' and *hai2* 'at' were predominantly used as coverbs
994 within a serial verb construction, whereas *wan2* 'seek' and *gan1* 'follow' were predominantly
995 used as main verbs (2006: 781). Thus, unlike the other coverbs, *tung4* 'with' and *hai2* 'at' occur
996 in a preposition-like function (as adjuncts to the main verb) more often than they occur as main
997 verbs themselves, possibly leading to differences in the way listeners process relative clauses
998 containing these verbs (2006: 781). Since the data from the current experiments bear on the
999 same issue, we conducted an analysis of individual verb use in non-possessive coverb object
1000 RCs.

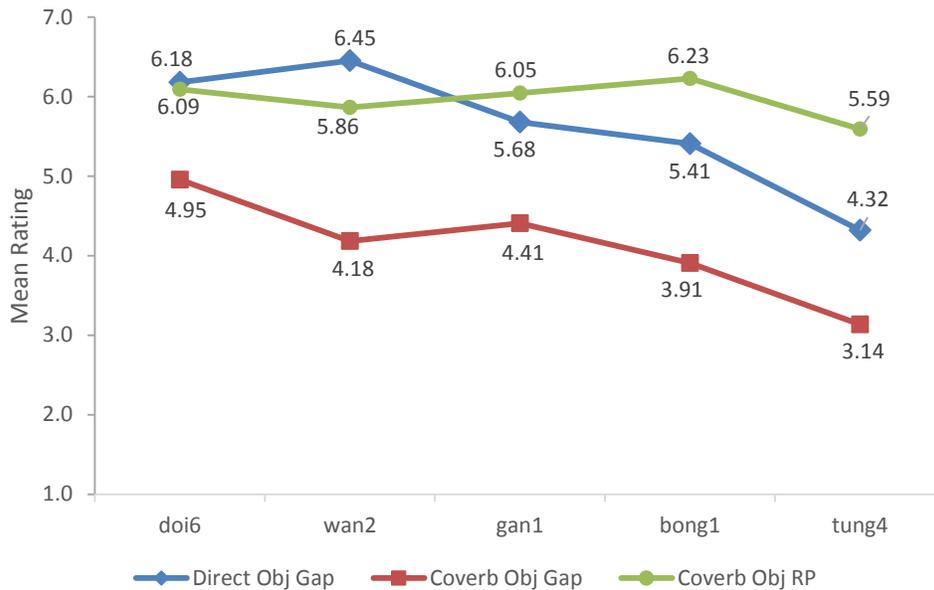
1001 Figure 11 (below) shows the data for individual verbs in the three crucial conditions from
1002 the acceptability judgment task. Comparing the coverb object gap condition with the direct
1003 object gap condition, we can see that gaps in the coverb object position were always less
1004 acceptable than gaps in the direct object position. Thus, the apparent adjunct island effect that

1005 was shown in the acceptability data from Francis and Matthews (2006) was replicated in the
1006 current study not only overall (as shown above in Figure 2) but across all verbs. Now
1007 comparing the coverb object gap condition with the coverb object RP condition, it is clear that
1008 the RP variant received a higher rating than the gapped variant across all of the verbs (Figure
1009 11). This result also appears to be consistent with an adjunct island condition applying to
1010 gapped clauses. However, ratings of individual coverbs differed within the coverb object gap
1011 condition. Participants rated coverb clauses lowest when the objects of *tung4* 'with' (mean
1012 rating 3.14) and *bong1* 'help' (mean rating 3.91) were extracted, and highest when the object of
1013 *doi6* 'replace' was extracted (mean rating 4.95). Pairwise t-tests revealed that within the coverb
1014 object gap condition, no two items shown adjacent to each other in Figure 11 significantly
1015 differed in acceptability. However, *doi6* 'replace' differed from *tung4* 'with' ($t = 3.31, p < 0.01$)
1016 and *gan1* 'follow' also differed from *tung4* 'with' ($t = 2.29, p = 0.03$). There was a marginally
1017 significant difference between *doi6* 'replace' and *bong1* 'help' ($t = 2.01, p = 0.06$). Note that the
1018 current sample size is quite small ($n = 110$). We expect that more of these differences would
1019 become significant with a larger sample size.

1020

1021

1022 Figure 11: Acceptability of coverb object RCs under extraction, by individual coverb



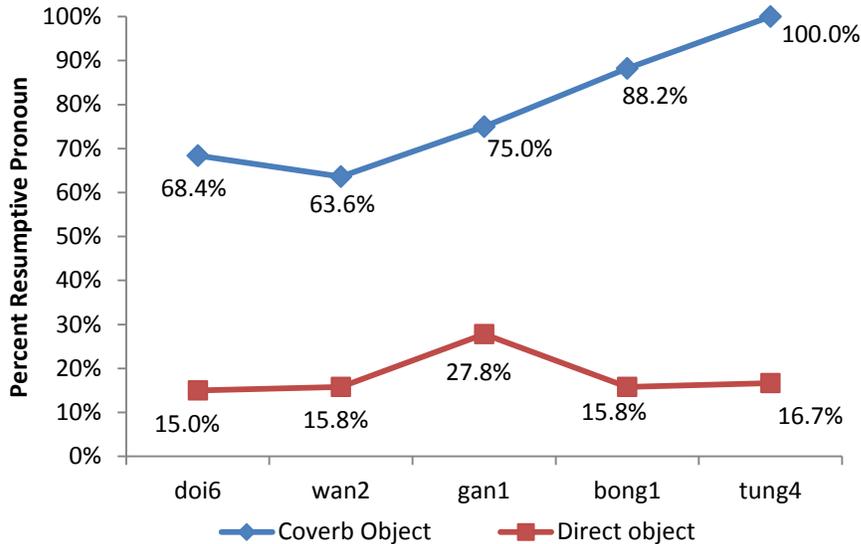
1023

1024 Similarly, the data from the elicited production task show that RPs were produced more
 1025 often than gaps in coverb object RCs (Figure 8 above), and that this was true across all verbs
 1026 (Figure 12). In addition, RPs were produced much more often in coverb object RCs than in
 1027 direct object RCs across all verbs (Figure 12). As noted in the discussion of Figure 8 above, we
 1028 expected based on the adjunct island effect shown in acceptability that speakers would not
 1029 produce coverb object RCs with gaps. However, speakers in fact produced gaps in 25.5% of
 1030 coverb object RCs (i.e. they produced RPs in only 74.5% of cases). Looking at individual verbs
 1031 within the coverb object condition, we can see that each verb differed with respect to the
 1032 percentage of RP responses. Speakers produced the most RPs as the object of the coverb
 1033 *tung4* ‘with’ (100%) and *bong1* ‘help’ (88.2%) and the fewest RPs as the object of the coverb
 1034 *wan2* ‘seek’ (63.6%) and *doi6* ‘replace’ (68.4%). Thus, what appears to be a stronger
 1035 dispreference for extraction by the coverbs *tung4* ‘with’ and *bong1* ‘help’ is consistent across
 1036 both experiments, just as it was for *tung4* ‘with’ and *hai2* ‘be at’ in Francis and Matthews’ (2006)
 1037 study. However, due to the small number of target responses in the coverb object condition (n
 1038 = 60), leaving less than ten items in most cells, chi square tests revealed no significant

1039 differences between any two coverbs in the production task. The trends shown in Figures 11-12
1040 are interesting and suggestive, but not definitive.

1041

1042 Figure 12: Percent RPs produced in coverb and direct object RCs, by individual coverb



1043

1044

1045 One tempting interpretation of the pattern shown in the coverb object condition in Figure 12 is
1046 that *tung4* 'with' is a preposition, showing a categorical preference for RP over gap (i.e. a
1047 preposition-stranding constraint), while the remaining items are verbs, showing a non-
1048 categorical preference for RP over gap (i.e. a usage-based complexity effect as per Hawkins'
1049 prediction). However, our previous study showed that all of these verbs, including *tung4* 'with',
1050 display verb-like behavior with respect to aspectual marking and other morphosyntactic features
1051 (Francis and Matthews 2006). Thus, we argued that these items are always verbs, and never
1052 ambiguous in category status. The differences among them shown in the previous study and in
1053 Figures 11-12 are therefore unlikely to be due category status (preposition vs. verb), but
1054 possibly reflect lexical semantic and/or frequency-based effects. We would also emphasize that
1055 the apparent difference between *tung4* and the other verbs in Figure 12 was based on a small
1056 number of tokens and was not statistically significant. The status of these items clearly requires

1057 further investigation, but one thing we can conclude at this point is that the apparent adjunct
1058 island effect from the acceptability task is unlikely to be due to the application of a categorical
1059 grammatical rule, and more likely reflects a usage-based preference for RPs over gaps based
1060 on the structural complexity of the coverb construction.

1061

1062 **4. General discussion**

1063 Two experiments examined the effects of structural complexity on RP use in Cantonese. With
1064 respect to grammar, the trends were in the expected direction based on Matthews and Yip's
1065 (2011) description of Cantonese RCs. In both acceptability and production, gaps were strongly
1066 preferred in subject RCs while RPs were strongly preferred in coverb object RCs. One finding
1067 not specifically predicted by Matthews and Yip (2011), but which showed a similar preference
1068 pattern in both acceptability and production, was that RPs were consistently preferred over gaps
1069 in possessive RCs. Despite the strength and consistency of these preferences, the results of
1070 the production task revealed that both gaps and RPs occurred in the target productions for all
1071 six structural positions. Since the occurrence of RPs was rare in subject position, we believe
1072 these results are consistent with McCloskey's (1990) Highest Subject Restriction, with
1073 exceptional cases occurring due to performance error. However, for the other five structural
1074 conditions, RP use does appear to be a legitimate option. Since participants always had the
1075 option of producing the preferred structure (unlike in the acceptability judgment task, where they
1076 were required to judge sentences in both gap and RP conditions), such results challenge the
1077 general applicability of the proposed adjunct island condition on extraction (Francis and
1078 Matthews 2006). It should be emphasized, however, that Cantonese RPs still patterned as
1079 grammatically-licensed RPs rather than as intrusive RPs, in that they were judged as more
1080 acceptable than gaps in four of the six contexts tested. This contrasts sharply with English, for
1081 which RPs have been judged as unacceptable in contexts where gaps were acceptable, and for
1082 which RPs have been judged to be just as unacceptable as gaps in island contexts (e.g.

1083 Heestand et al 2011). Furthermore, for our Cantonese study, the trends shown in the production
1084 task largely replicated the trends shown in the judgment task, whereas studies of English have
1085 shown a large discrepancy between acceptability (RPs are generally unacceptable) and
1086 production (RPs are consistently produced in some contexts) (Ferreira and Swets 2005). Our
1087 results were, however, quite similar to the gradient pattern that Ariel (1999) found in her corpus
1088 study of Hebrew, a language for which the status of RPs as grammatically licensed is
1089 uncontroversial. Thus, while the current results might challenge some of the proposed
1090 grammatical constraints governing RP use, they do not appear to support an analysis of
1091 Cantonese RPs (or Hebrew RPs) as intrusive RPs.

1092 While support for the proposed grammatical constraints was only partial, there was clear
1093 evidence for usage-based complexity effects, as predicted by our original hypothesis in (5) and
1094 repeated here:

1095

1096 (5) When the grammar of a language allows the option of either RP or gap, RPs will be
1097 used more frequently in more complex structural environments, to facilitate
1098 processing in those environments (based on Hawkins 2004: 183-186).

1099

1100 These complexity effects were shown most clearly in the production task. RPs were used more
1101 frequently according to their grammatical role (subject < direct object < coverb object) and
1102 according to whether they occurred on their own or as a possessor within a larger NP (non-
1103 possessive < possessive). Very similar effects were shown in the acceptability task. Within the
1104 non-possessive conditions, RPs were more acceptable according to their grammatical role
1105 (subject < direct object < coverb object), and vice versa for gaps. Grammatical role effects did
1106 not show up as clearly in the possessive conditions, but, the preference for RPs over gaps in
1107 possessive conditions was clear.

1108 Data from both tasks showed clear evidence for a subject-object asymmetry, such that
1109 RPs were more acceptable and more likely to be produced in direct object RCs as opposed to
1110 subject RCs. These results are consistent with the NPAH (Keenan and Comrie 1977), as well
1111 as the near-universal advantage for subject RCs in online processing (Kwon et al 2013). They
1112 may also be related to an overall greater frequency of subject RCs (Hsiao and MacDonald
1113 2013).¹² These results are not specifically predicted by Hawkins' (2004) FGD metric, according
1114 to which subject RCs and object RCs are of equal FGD size in languages like Cantonese. They
1115 also show no effect of linear filler-gap distance—a factor shown in some (but not all) studies of
1116 Mandarin RC processing to result in a processing advantage for direct object RCs (e.g. Hsiao
1117 and Gibson 2003). In the context of RP use, such a linear distance effect would presumably be
1118 manifested in the more frequent occurrence of RPs in subject RCs as compared with direct
1119 object RCs, which is the opposite of the current finding. Interestingly, a similar asymmetry to
1120 that found in RP use in the target productions was shown in the non-target productions:
1121 participants were more likely to produce a subject RC based on a direct object stimulus than
1122 they were to produce a direct object RC based on a subject RC stimulus. This finding suggests
1123 that subject RCs may be easier to produce than direct object RCs, thus lending some support to
1124 the idea that complexity effects as shown in RP distributions are motivated in part by processing
1125 difficulty (Hawkins 2004; Keenan and Comrie 1977; McKee and McDaniel 2001). The non-
1126 categorical nature of this difference between subject and direct object RCs again suggests that
1127 we are seeing a usage-based complexity effect, as opposed to a strict grammatical constraint.

1128 Could it be, then, that in the absence of strict grammatical rules limiting RPs to certain
1129 positions, the predictions of our hypothesis in (5) are enough to account for all of the current
1130 data? We think not, for the simple reason that the hypothesis in (5) says nothing about

¹² Corpora of Mandarin show that subject RCs are much more frequent than direct object RCs (e.g. Hsiao and MacDonald 2013); however, no corpus data are available for Cantonese.

1131 language-specific patterns of distribution. For example, while the hypothesis in (5) predicts that
1132 RPs will be produced more often in possessive RCs than in non-possessive RCs, it does not
1133 specify the degree of this difference, nor does it specify when RPs will be preferred over gaps.
1134 Similarly, although it is predicted that RPs will show up more often in coverb object RCs than in
1135 direct object RCs, the strength of this preference (74.5% vs. 18.4%), and the fact that RPs are
1136 preferred over gaps in coverb RCs but not in direct object RCs, are not specifically predicted.

1137 Finally, we observed that the distribution of RPs and gaps in coverb object RCs differs
1138 with respect to the individual verb (Figures 11-12), possibly reflecting their different lexical
1139 semantic properties and frequency distributions across different constructions. For the verb
1140 *tung4* 'with' as used in coverb object RCs, a categorical preference for RPs seems to be in
1141 effect: RPs were used in 100% of tokens and gaps are never used. For the other four verbs,
1142 the strength of the preference for RP over gap varies, apparently in a conventional manner that
1143 is consistent across acceptability and production. However, we must be cautious in attributing
1144 any importance to the categorical behavior of *tung4* 'with' in the production task, given the
1145 relatively small number of tokens in the sample and the lack of any statistically significant
1146 difference between *tung4* 'with' and the other verbs.

1147 Overall, then, our results show clear effects of structural complexity on language use as
1148 predicted by Hawkins (2004) and as formulated in (5) above, while also showing language-
1149 specific patterns of distribution which have traditionally been described in terms of grammatical
1150 constraints. Our analysis of these data is complicated, however, by the fact that all six
1151 conditions appear to allow both RPs and gaps in production, despite showing strong
1152 preferences for one or the other. We might suggest, then, that the constraints allowing or
1153 prohibiting RP use in particular structural contexts are partially but not fully grammaticalized.
1154 Hawkins' (2004) Performance-Grammar Correspondence Hypothesis states that performance
1155 preferences within a single language (in this case, Cantonese) should resemble cross-linguistic
1156 patterns of conventionalized grammatical constraints (in this case, RP and gap distributions

1157 across languages). The idea is that processing complexity directly influences patterns of usage,
1158 which over time, may become encoded in the form of grammatical rules (i.e. grammaticalized).
1159 The difference between usage-based complexity effects and grammaticalized complexity effects
1160 is in the directness of the link between processing complexity and choice of syntactic structure.
1161 When the grammar allows multiple options, speakers' choices may be directly influenced by
1162 processing difficulty. When the grammar allows only one option, the speaker has no real
1163 choice, but the grammar ensures that, in general, the more efficient structure is chosen
1164 (Hawkins 2004). Because grammaticalization is a gradual process, partial grammaticalization
1165 can and must occur at some stage, and this at least appears to be the case for Cantonese. Our
1166 data indicate that speakers have a choice between gap and RP, and that this choice is
1167 influenced not only by complexity *per se*, but also by language-specific conventions.

1168 What could this idea of partial grammaticalization mean for a theory of grammatical
1169 competence? One possible answer comes from the Decathlon Model of grammar, which has
1170 been employed to account for phenomena such as *that*-trace structures in German—structures
1171 which are dispreferred but are still marginally acceptable and may occur in production
1172 (Featherston 2005, 2011). According to this model, and in contrast to mainstream generative
1173 theories of syntax, there are no absolute grammatical constraints. Rather, each grammatical
1174 constraint comes with a quantifiable violation cost, and multiple violations within the same
1175 sentence show a cumulative effect, as evident in the results of acceptability judgment tasks
1176 (Featherston 2005: 1297). Thus, while violating a constraint involves a binary decision (a
1177 structure either violates a particular constraint or it does not), constraint violations are often
1178 “survivable”. Applying this idea to the current dataset, we might suggest that there is in fact an
1179 adjunct island condition which affects coverb object RCs, but its violation cost is survivable,
1180 resulting in the occasional occurrence of gaps. The observed lexical differences are trickier to
1181 account for. Assuming that all of the coverbs occur within the same structural configuration,
1182 which Francis and Matthews (2006) give us good reason to believe is the case, these lexical

1183 differences are not predicted by any kind of grammatical constraint (whether of the “survivable”
1184 kind or not). It could be that violation cost as defined for a particular structural configuration
1185 interacts with other non-syntactic factors, such as the lexical semantic features of each verb
1186 and/or the frequency with which a particular item occurs in the coverb construction. It is, in fact,
1187 surely the case that the gradual phenomenon of grammaticalization involves a complex
1188 interaction among factors related to syntax, semantics, pragmatics, and frequency of use,
1189 resulting in the synchronic patterns of variation that we observe (Bybee 2006).

1190 The current experiments were not designed to distinguish between different models of
1191 grammatical competence, and so these final remarks must be considered speculative. We can,
1192 in fact, envision other possible explanations for the current results. There could, for example,
1193 be non-syntactic explanations for all of the conventionalized preferences shown in our data,
1194 thus eliminating any need for “survivable” grammatical constraints. Culicover (2013: 144)
1195 presents a plausible account along these lines, in which the degraded acceptability of many
1196 island-violating structures results not from the application of a formal constraint but rather from
1197 the low frequency of such structures, which gives them a weak representation in the dynamical
1198 system that processes language. Alternatively, it could be that the unexpected productions in
1199 our Cantonese data were entirely due to performance errors and not allowed by the grammar at
1200 all, thus allowing us to maintain ordinary grammatical rules. However, we find Featherston’s
1201 (2005) model particularly attractive because it allows us to maintain a distinction between
1202 competence and performance, while also providing a more flexible notion of competence which
1203 can capture the intuition that there really are grammatical constraints on RP use in Cantonese,
1204 exceptions to which need not (necessarily) be considered performance errors. More generally,
1205 our own experience concurs with that of Gibson and Fedorenko (2013: 117), who observe that
1206 experimental tasks often yield patterns of responses that are unexpected from theoretical
1207 predictions based on informal syntactic judgments. As the field of linguistics moves toward more
1208 widespread use of quantitative data, traditional generative notions of grammatical rules and

1209 linguistic knowledge are beginning to be viewed with greater scrutiny even among those (such
1210 as Featherston) who consider themselves to be working within the generative paradigm.

1211 In conclusion, these data from Cantonese support our hypotheses based on Hawkins'
1212 (2004) proposal that RP and gap distributions are influenced by structural complexity in both
1213 grammar and usage. Evidence for complexity effects was shown across all conditions,
1214 including subject RCs versus direct object RCs, and across two different tasks. The unexpected
1215 optionality of RPs in some of the conditions presents a challenge for traditional ideas of the
1216 competence-performance distinction and merits further investigation.

1217

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1233

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1364

1365 **Appendix: Stimulus sentences for acceptability judgment task, RP conditions¹³**

Set 1: bong1 “help”		
Non-possessive	Subject	keoi5 bong1 ngo5 go2 go3 neoi5jan2 hou2 hou2jan4 3sg help 1sg that Cl woman very kind “The woman who she helped me is very kind.”
	Direct Object	ngo5 bong1 keoi5 go2 go3 neoi5jan2 hou2 hou2jan4 1sg help 3sg that Cl woman very kind “The woman who I helped her is very kind.”
	Coverb Object	ngo5 bong1 keoi5 maai5 ce1 go2 go3 neoi5jan2 hou2 hou2jan4 1sg help 3sg buy car that Cl woman very kind. “The woman who I bought a car from her is very kind.”
Possessive	Subject	keoi5 aa3go1 bong1 ngo5 go2 go3 neoi5jan2 hou2 hou2jan4 3sg brother help 1sg that Cl woman very kind “The woman who her brother helped me is very kind.”
	Direct Object	ngo5 bong1 keoi5 aa3go1 go2 go3 neoi5jan2 hou2 hou2jan4 1sg help 3sg brother that Cl woman very kind “The woman who I helped her brother is very kind.”
	Coverb Object	ngo5 bong1 keoi5 aa3go1 maai5 ce1 go2 go3 neoi5jan2 hou2 hou2jan4 1sg help 3sg brother buy car that Cl woman very kind “The woman who I bought a car from her brother is very kind.”

1366

¹³ Gap conditions are not shown, but are the same as RP conditions except for the absence of the RP. RPs are in boldface.

Set 2: <i>doi6</i> “replace”		
Non-possessive	Subject	keoi5 doi6 ngo5 go2 go3 tung4si6 hou2 leng3neoi2 3sg replace 1sg that Cl colleague very pretty “The colleague who she acted in place of me is very pretty.”
	Direct Object	ngo5 doi6 keoi5 go2 go3 tung4si6 hou2 leng3neoi2 1sg replace 3sg that Cl colleague very pretty “The colleague who I acted in place of her is very pretty.”
	Coverb Object	ngo5 doi6 keoi5 gin3 haak3 go2 go3 tung4si6 hou2 leng3neoi2 1sg replace 3sg see client that Cl colleague very pretty “The colleague who I met the client for her is very pretty.”
Possessive	Subject	keoi5 sai3mui2 doi6 ngo5 go2 go3 tung4si6 hou2 leng3neoi2 3sg sister replace 1sg that Cl colleague very pretty “The colleague who her sister acted in place of me is very pretty.”
	Direct Object	ngo5 doi6 keoi5 sai3mui2 go2 go3 tung4si6 hou2 leng3neoi2 1sg replace 3sg sister that Cl colleague very pretty “The colleague who I acted in place of her sister is very pretty.”
	Coverb Object	ngo5 doi6 keoi5 sai3mui2 gin3 haak3 go2 go3 tung4si6 hou2 leng3neoi2 1sg replace 3sg sister see client that Cl colleague very pretty “The colleague who I met the client for her sister is very pretty.”

Set 3: <i>gan1</i> “follow”		
Non-possessive	Subject	keoi5 gan1 ngo5 go2 go3 hok6saang1 hou2 coeng4hei5 3sg follow 1sg that CI student very long-winded “The student who she followed me is very long-winded.”
	Direct Object	ngo5 gan1 keoi5 go2 go3 hok6saang1 hou2 coeng4hei5 1sg follow 3sg that CI student very long-winded “The student who I followed her is very long-winded.”
	Coverb Object	ngo5 gan1 keoi5 heoi3 bok5mut6gwun2 go2 go3 hok6saang1 1sg follow 3sg go museum that CI student hou2 coeng4hei5 very long-winded “The student who I followed her to the museum is very long-winded.”
Possessive	Subject	keoi5 aa3maa1 gan1 ngo5 go2 go3 hok6saang1 hou2 coeng4hei5 3sg mother follow 1sg that CI student very long-winded “The student who her mother followed me is very long-winded.”
	Direct Object	ngo5 gan1 keoi5 aa3maa1 go2 go3 hok6saang1 hou2 coeng4hei5 1sg follow 3sg mother that CI student very long-winded “The student who I followed her mother is very long-winded.”
	Coverb Object	ngo5 gan1 keoi5 aa3maa1 heoi3 bok5mut6gwun2 go2 go3 hok6saang1 1sg follow 3sg mother go museum that CI student hou2 coeng4hei5 very long-winded “The student who I followed her mother to the museum is very long-winded.”

Set 4: <i>tung4</i> “be with” <i>This set was omitted from the statistical analyses.</i>		
Non-possessive	Subject	keoi5 tung4 ngo5 go2 go3 naam4zai2 hou2 gou1daai6 3sg with 1sg that Cl boy very tall “The boy who he is with me is very tall.”
	Direct Object	ngo5 tung4 keoi5 go2 go3 naam4zai2 hou2 gou1daai6 1sg with 3sg that Cl boy very tall “The boy who I am with him is very tall.”
	Coverb Object	ngo5 tung4 keoi5 sik6 faan6 go2 go3 naam4zai2 hou2 gou1daai6 1sg with 3sg eat rice that Cl boy very tall “The boy who I had dinner with him is very tall.”
Possessive	Subject	keoi5 gaa1ze1 tung4 ngo5 go2 go3 naam4zai2 hou2 gou1daai6 3sg sister with 1sg that Cl boy very tall “The boy who his sister is with me is very tall.”
	Direct Object	ngo5 tung4 keoi5 gaa1ze1 go2 go3 naam4zai2 hou2 gou1daai6 1sg with 3sg sister that Cl boy very tall “The boy who I am with his sister is very tall.”
	Coverb Object	ngo5 tung4 keoi5 gaa1ze1 sik6 faan6 go2 go3 naam4zai2 1sg with 3sg sister eat rice that Cl boy hou2 gou1daai6 very tall “The boy who I had dinner with his sister is very tall.”

Set 5: wan2 “seek”		
Non-possessive	Subject	keoi5 wan2 ngo5 go2 go3 aa3baak3 hou2 maa4faan4 3sg seek 1sg that Cl old man very troublesome “The old man who he was looking for me is very troublesome.”
	Direct Object	ngo5 wan2 keoi5 go2 go3 aa3baak3 hou2 maa4faan4 1sg seek 3sg that Cl old man very troublesome “The old man who I was looking for him is very troublesome.”
	Coverb Object	ngo5 wan2 keoi5 zuk1 kei2 go2 go3 aa3baak3 hou2 maa4faan4 1sg seek 3sg play chess that Cl old man very troublesome “The old man who I was looking for him to play chess with is very troublesome.”
Possessive	Subject	keoi5 lou5po4 wan2 ngo5 go2 go3 aa3baak3 hou2 maa4faan4 3sg wife seek 1sg that Cl old man very troublesome “The old man who his wife was looking for me is very troublesome.”
	Direct Object	ngo5 wan2 keoi5 lou5po4 go2 go3 aa3baak3 hou2 maa4faan4 1sg seek 3sg wife that Cl old man very troublesome “The old man who I was looking for his wife is very troublesome.”
	Coverb Object	ngo5 wan2 keoi5 lou5po4 zuk1 kei2 go2 go3 aa3baak3 hou2 maa4faan4 1sg seek 3sg wife play chess that Cl old man very troublesome “The old man who I was looking for his wife to play chess with is very troublesome.”