Cliticization of AUX and the Shift from SVO to VSO in the History of Romanian

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1. Empirical Observations:

- (i) Old Romanian (OR) shows traces of non-clitic AUX (esp. 16th c.) concurrent with the default setting for clitic AUX (Zamfir 2007; Dragomirescu 2013; Nicolae 2015)^{1,2}
 - Non-clitic <u>AUX</u> = not adjacent to V; preverbal
 - Clitic <u>AUX</u> = adjacent to V in clitic cluster; pre- or post-verbal
- (1) [numai] proslăvi Dumnezeu pre cela ce *va* and not=him will.3sg only bless God DOM the.one that slujit bine, Şi viata de veaci da-i-**va**. i-<u>au</u> ce to.him=has served well but also life.the of eternity give=to.him=will 'and God will not only bless the one who served him well, but he will also give him eternal life' (CEV 246)
- (ii) Non-clitic AUX coincides with properties absent with clitic AUX (e.g., subject-verb inversion, scrambling to the middle field, & subject reduplication)

2. Proposal:

Change in AUX status, from free morpheme to clitic, triggered:

• the loss of subject-auxiliary inversion (SAI) & emergence of LHM (Rivero 1993)

 \Rightarrow shift in Head movement: \checkmark from T-to-C/Fin (A-properties) to Asp-to-C/Foc (A-bar properties)

¹ The timeline for 'Old Romanian' begins with 1521 and ends in 1780 (Chivu et al. 1997); this covers the oldest preserved piece of writing in Romanian (a short letter) up to the founding of the first Enlightenment movement by Romanian intellectuals (Hill & Alboiu 2016). Cross-linguistically, this timeline corresponds to the Early Modern stages of other Romance and South Slavic languages.

² F. g., PO tout. 16th continuous provides 1240 applications out of which only 10 are visible non-elitic which

² E.g., PO text - 16th century - provides 1340 auxiliaries, out of which only 19 are visibly non-clitic, which amounts to 1.5% non-clitic auxiliaries in the grammar of that translator

- the loss of Spec,TP position for subjects (i.e. from SVO/VSO to exclusive VSO for A-related subjects)
 - \Rightarrow VSO does not arise from a change in a directionality parameter: \checkmark an epiphenomenon of AUX cliticization
- the loss of IP medial scrambling



- 3. Evidence for the non-clitic status of AUX
- 4. Hierarchical Location for AUX in OR
- 5. Hierarchical Location for lexical V in OR
- 6. Linearization options with non-clitic AUX
- 7. Diachronic Change:
 - a. From SAI to LHM
 - b. SVO/VSO to VSO
- 8. Conclusions

3. Evidence for the non-clitic status of AUX

- (i) non-adjacency to V in a grammar with V-oriented clitics:
- (2) să <u>va</u> dzice [şerbul] aceasta default: AUX=V if will.3= say slave.the this 'if the slave will say this' (PO 247)
- tinde afară mâna marked: AUX>XP>V (3) a. să <u>voiu</u> [eu] теа will.1sg= Ι extend outside hand.the my 'if I extend my hand outside' (PO 188)
 - b. <u>au</u> [toate] tocmitŭ
 has everything negotiated
 'he has negotiated everything' (T, 134:9; Zamfir 2007:159)
 - (ii) possibility of verb deletion:
- (4) a. de să cunoaste carii l-au rănit cine nu l-**au -**va if REFL.3= will.3sg know who him=has hurt and who not him-has 'if it will be known who has hurt him and who has not' (Pr.I 168:28/ Zamfir 2007: 163)
 - b. De voiu de voe. să <u>voiu</u> -face aceasta plată am: iară if will.1sg if will.1sG do this by will pay have.1 but fară de voe. vistiernicie dată mi

without by will punishment to me= is given 'If I will do this willingly, I have rewards; but if I will (do it) unwillingly, punishment is given to me' (NTB 231: 23-24/ Zamfir 2007: 320)

- de-l fi c. mutat de nu-l <u>fi</u> --sau va if=him= will.3sg be moved not=him will.3sg or if he 'whether he will have moved him or he will have not' (Prav. 1646: 78/ Nicolae 2015:214)
- (iii) coordination without repetition of AUX
- (5) a. <u>au</u> rânduit și tocmit has ordered and regulated 'he has ordered and regulated' (Lit.Buc. II: 17/ Zamfir 2007: 163)
 - b. <u>va</u> grăi, scrie şi faci will.3sG speak write and do 'he will speak, write and do' (DIR XCCII 183, 8/ Zamfir 2007: 313)
 - c. va <u>fi</u> scos şi gonit will.3SG be taken.out and chased 'he will have taken out and chased (him)' (IL 231: 7/Zamfir 2007: 314)
 - Clitic AUX would yield ungrammaticality when separated from the verb (vs 3), with verb deletion (vs 4), and must be repeated under coordination (vs 5).

<u>Note:</u> Dragomirescu & Nicolae (2016) argue for a uniform analysis of constructions with "interpolations" of constituents, which involve either AUX, as in (3) or C-pronominal clitics, as in (6):

(6) aşa ne [tare] pedepseş<ti> (FT.1571-5: 3v) like.this us hard you punish us hard'

Crucially, we point out that pronominal elements as in (6) fail the tests in (4) and (5), as shown in (7), based on negative evidence:

- (7) a. *[CP aşa ne [TP tare pedepseşti] şi [CP aşa ne]]
 b. *[CP aşa ne [TP tare pedepseşti] şi [TP tare umileşti]]
 - ⇒ Hence, we have to keep the relevant constructions separate.
 - ⇒ the phenomena are distinct: pronominal clitics show instances of Corientation (versus the default V-orientation), whereas AUX allows for interpolation because it *does not* need a lexical host

4. Hierarchical location for AUX in Old Romanian

- *Voi* 'want' and *am* 'have' in Agr/T (<u>clitic</u> & <u>non-clitic</u>)
- in complementary distribution (= same merging site), (8)
- inflection for phi-features but not for tense (i.e. in the Agr projection of T, Dobrovie-Sorin 1994 a.o.)
- adjacent/integrated to pronominal clitic cluster (justified by sharing of phifeatures)
- (8) $\left[_{TP} \text{ have/will } \left[_{AspP} \dots \right] \right]$
 - Clitic fi 'be'
 - merges in Asp, lower than *voi* 'want'/am' have'; co-occurrence
 - is an aspectual/perfect marker (Dobrovie-Sorin 1994)
 - adjacent to V on the right and to clitic clusters on the left
 - no further movement (reside in Infl, as in Romance, Kayne 1991)
 - Non-clitic fi 'be'
 - merges in Asp, lower than *voi* 'want'/am' have'; co-occurrence (10)
 - moves to Agr/T (shows contrast in tense inflection 9, 11)
 - discrimination between progressive/perfect aspect (i.e., selection for gerund in 6 but past participle in 9)
- (9) <u>Era</u> unii den cărtulari aciia <u>şezându</u> și cugeta (CEV.1581: 50) were some of learned those sitting and reflected 'Some of those learned men were sitting and reflecting'
- (10) *de-ai* <u>hi</u> *dommiata* <u>sârguit</u> să <u>fii</u> până acmu <u>venit</u> (DIR.1593: XCIII) if-have.2sG be lordship.your tried SUBJ be.2sG up.to now come 'If your lordship tried to come before now'
- (11) *Iar acesta ce scrie Marco, patr'înşi-lŭ <u>fusease</u> <u>purtându</u> (T, 58:14; Zamfir 2007: 201) and this that writes Marco, he himself had been carrying 'And this of which Marco writes, he himself had been carrying'*

Conclusions:

- (i) AUXs merge in the TP domain
- (ii) voi 'want' and am 'have' are more grammaticalized (i.e., reanalyzed higher in the clause hierarchy; Roberts & Roussou 2003) than fi 'be'.

5. Hierarchical location for lexical verbs

Criteria: - post-verbal subject in situ (Spec,vP); can be a bare quantifier (11)

- fronting above vP for information focus with narrow scope over vP

In the presence of non-clitic AUX, there are two possibilities:

- (i) **Default**: V-to-I for all AUXs i.e., V above subject in situ (12) and above XP-info focus with vP scope (13-14)
- (12) se-<u>au</u> de voe datu [vP elu pre muncă] (CEV 88:35) above Spec, vP REFL.3=has of will given he towards work 'he started to work willingly'
- (13) să <u>ară</u> amu **fi** [aciia] [vP **Fiul** pacelor] (C-Tetr.2 139v) **above adjuncts to vP** if would now be here Son.the easter.the.GEN.PL 'If the Son of easter could now be here'
- (14)s-ară grăit [aimintrea] \int_{VP} cineva <u>fi</u> păntru noi] if=would.3 be spoke otherwise someone for us 'if someone would have spoken differently for us' (DIR XLIV, 5,1600)
 - (ii) Marked: V in v for all AUXs
 - i.e., V lower than subject in situ
- (15) a. să-i <u>va</u> [_{vP} **cineva** <u>mănia</u>] if=them will someone upset 'if someone will upset them' (Pr.G. 66:18-19; Zamfir 2007: 304)
 - b. să nu te <u>vei</u> $\int_{VP} t \mathbf{u}$ <u>străjui</u> Şi păzi] will.2sg if REFL.2SG= you.SG watch and guard 'if you will not watch out and guard yourself' (Ps.B. 298: 16-17/Zamfir 2007: 307)
 - c. de <u>fi</u> TvP omul zăcând moarte] va spre will.3 be if man.the lying towards death 'if the man will be lying close to his death' (CPray.1560–2: 6v/Nicolae 2015: 210)

Conclusions:

- (i) Diachronically, there is a change from Verb in v to V-to-I
- (ii) V-to-I involves head-to-head movement vs vP movement (pace Nicolae 2015)
 - vP is not vacated;
 - no interference with XPs scrambled within the TP domain.

6. Word order

Criteria:

(16) Force > Top > Focus > (TopP) > Fin > Neg > ClP > TP > AspP.... (Rizzi 2004)

6.1. Scrambling

Evidence from word order in declaratives:

- (17) *şi nu-l* <u>va</u> [AdvP numai] **proslăvi Dumnezeu** pre cela (CEV 246) and not-him will only bless God DOM that.one 'and God will not only bless that one'
- (18) eu încă <u>am</u> [DP pre el] **botezat** (CM.1567: 258r) I yet have DOM him baptized 'yet I baptized him'
- (19) ne-<u>au</u> [PP în har] <u>slobozitu</u> us=has in happiness freed 'he freed us in happiness' (FT.1571-5: 3r)
 - AUX in T: it follows Neg > clitic pronoun (NB: Neg > T in Romance), (17)
 - verb in Asp because it precedes the subject in situ, (17)
 - [AdvP numai] 'only', [DP pre el] 'him', [PP în har] 'in happiness' are between T and Asp in (17)-(19) => IP middle field
 - Scrambling position constrained to uniqueness, so likely:
 - o A-bar (AdvPs, PPs, DPs selected or non-selected)
 - Specifier, not adjunct => Spec,AspP

(20)
$$\left[\operatorname{CP} C_{DECL} \left[\operatorname{TP} \left(\operatorname{DPsu} \right) \operatorname{AUX} \left[\operatorname{AspP} \mathbf{XP} \left[\operatorname{Asp} V \left[\operatorname{VP} \left(\operatorname{DPsu} \right) \dots < V > \dots \right] \right] \right] \right] \right]$$

6.2. SAI, no scrambling:

> Interrogatives

Subject-Auxiliary Inversion appears in the presence of short *wh*-movement:

(21) Răspunse Faraon: bine-i zău, Domnul cu voi, answered Pharaoh well-is PRT Lord.the with you

cum voiu [eu] lăsa pre voi şi pre mituteii voştri? (PO, 210)

how will.1SG I leave DOM you and DOM subjects your

'Answered Pharaoh: the Lord is good with you; how will I leave you and your subjects?'

- only the subject may occur between AUX and verb in these contexts
- complementary distribution with Neg
- complementary distribution between IP scrambling and wh-movement;
 - ⇒ Spec,AspP confirmed as A-bar due to intervention effects
- subject in Spec, TP (genuine SVO)
- (22) a. [ForceP/FocP WH [FinP AUX [TP**DP** $_SU [T < AUX > [AspP V [vP ...]]]]]]]$
- b. $*[ForceP/FocP] WH [FinP] AUX [TP] DP_{SU} [T < AUX > [AspP] XP [Asp V [vP] ...]]]]]]$

6.3. SAI + Scrambling

- > SAI may co-occur with Scrambling in:
 - (i) conditionals, (23a)
 - (ii) relatives with matching structures (versus raising), (23b)
- (23) a. nece să <u>arî</u> [cineva] [PP din morți] învie, nu va avea credințî not if would someone from dead ressurect not will have faith 'even if someone would come back from the dead they won't have faith' (Cod Tod 98:6)
 - b. *Ţinem ce <u>au</u> [Domnul] [PP cu noi] făcut (PO 221) hold.1PL what has God with us done 'we hold to what God did with us'*
 - bare quantifier subject (23a) indicates argumental Spec,TP
 - AUX above Spec, TP (in Fin)
 - scrambling to Spec, AspP
 - clause typing operators trigger SAI

(24) $[\text{ForceP }OP_{COND/REL} \text{ [FinP } \textbf{AUX } \text{ [TP } \textbf{DP_SU} \text{ [T } < \text{AUX} > \text{ [AspP } \textbf{XP } \text{ [Asp } V \text{ [vP} < \text{DP} > ... < \text{XP} >]]]]]}]$

➤ This is unsurprising given the anaphoric chain analysis for operators on Spec,ForceP (versus Spec,FocusP) proposed in Rizzi (1997), as well as the observation in Bhatt & Pancheva (2005) whereby conditionals and free relatives have identical feature content.

In sum:

- > SAI required with Interrogatives, Conditionals and Relatives
- ➤ Lack of SAI in declaratives (i.e. no clause typing operator), (25)

- (25) a. că [voi] încă ati [aceasta] cerut (PO 120) that you again have this asked 'that you have asked for this again'
 - b. Dumnezeu făgăduitu-ne-au că ne <u>va</u> [pre noi] asculta God promised=to.us=has that us=will DOM us listen 'God promised us that he will listen to us' (CCat, 9v–10r)
 - $c\ddot{a}$ 'that' in Force = no AUX-to-Fin
 - subject precedes AUX
 - AUX follows clitic pronouns
 - AUX in T

Conclusions:

- (i) non-clitic AUX allows for an argumental Spec, TP for subjects
- (ii) non-clitic AUX allows for a non-argumental/A-bar Spec between its location (T) and the verb in Asp; this position is exploited for scrambling
- (iii) non-clitic AUX moves to C in residual V2 configurations (Rizzi 1996)
- (iv) AUX-to-C triggers SAI
- (v) scrambling and wh-movement compete (both create A-bar chains)

7. Diachronic changes

The generalization of clitic AUX + V-oriented clitics resulted in:

- suppression of Spec, AspP for scrambling (obligatory adjacency to V)
 - → discourse triggered fronting to CP domain
- replacement of AUX-to-C with V-to-C only
 - → onset of Long Head Movement (Rivero 1993)
- loss of Spec,TP as argumental position (generalization of VSO)
 - → preverbal subjects are reanalyzed as Topics

Transitional stages in marked and short-lived constructions

(i) Suppression of Spec, AspP is visible in the cliticization of *fi* 'be' in forms with subject-past participle agreement (*fost* resisted cliticization and was eliminated from active past perfect).

- (26) a. ceia ce <u>vor</u> <u>fi</u> botedza**ţi** finul those.MASC who will.1PL= be christened.1PL.MASC godson.the 'those who will have christened the godson' (LP 242/Zamfir 2007: 317)
 - $\hat{i}n$ ş ii_k , b. neştiindu nimele de nice de lucrurile lor_k not.knowing about about deeds.the.FEM nobody them.MASC nor their ce <u>fost</u> făcuți sau petrecu**ți** în Țara Muntenească <u>au</u> in Wallachia that have.3 been done.MASC or undergone.MASC 'with nobody knowing of them, nor of their deeds that they have accomplished or enterprised in Wallachia' (DIR LXXXIX 181: 6 apud Zamfir 2007: 165)

In (26) Infl Agr features are redistributed on several heads (i.e. T & participle):

- ➤ DM account: Agr node adjunction after Spell-Out (Halle & Marantz 1993, Embick & Noyer 2007) on both T and Asp, with subsequent fission of the gender feature from the latter onto the past participle verb;
- ➤ Only possible in the absence of A-bar Spec,AspP
- Resulting V-adjacency helped the learner recategorize 'fi' be as a clitic

(ii) From SAI to LHM

➤ Replacement of AUX-to-C with V-to-C: <u>T-to-Fin becomes Asp-to-Focus</u>

In 16th c, V-to-Fin – same environments as AUX-to-Fin (Zafiu 2014; Nicolae 2015):

- (27) a. [FocP pînă când [TopP păcătoşii [FinP laudă[TP -se?]]]] (CEV 24) until when sinners.the boast -themselves 'until when are the sinners boasting themselves?'
 - b. Dară [FocP cine [TopP amu den bogați [FinP **putea** [TP-se-<u>va</u> spăsi?]]]] (CEV 325) but who now from rich could =himself=will repent 'But who from the rich men will be able to repent himslef?'

In 17th c., V-to-Focus (Alboiu et al 2015); evidence:

- Onset of complementary distribution between wh-phrases and V-to-C
- Onset of complementary distribution between fronting to Focus and V-to-C
- Non-clitic AUX moves from Asp (versus T) above clitic AUX
- (28) <u>Fostu-s-au</u> cersut cazacii să-i lase călări .. be.PST.PRTC-REFL-has beg.PRTC Kazakhs SUBJ-them leave riding 'The Kazakhs had begged them to let them ride their horses.' (N 381)

- → V-to-C movement changes from A to A' head movement, mimicking availability for XP movement;
 - ➤ this is in line with the distinction that Roberts (2001, 2010) makes between operator and non-operator heads (though he keeps the labels domain specific: C-Op; Infl-non-Op).

(iii) SVO/VSO to VSO

Loss of argumental Spec, TP: subject doubling + use of Spec, FinP

Subject doubling: first DP has aboutness reading in conjunction with the second DP (a coreferent non-clitic pronoun) in argumental Spec, TP.

(29) [Radul-vodă cel Frumos]_j [acesta]_j au făcut mănăstirea ot Tanganul Radu.the-king the Handsome this has made monastery.the of Tanganul 'King Radu the Handsome has built the monastery of Tanganul' (Frâncu 2009: 340)

See also correlatives in (30):

- (30) $[Cine]_i$ cearcă, $\lceil el \rceil_i$ află... Şi [cine]; cére $\lceil el \rceil_i$ dobândèşte who tries he discovers and who asks he obtains 'the one who tries discovers and the one who asks obtains it' (Prav 1581, 239/ Chivu 162)
- → Gradually, any preverbal subject is directly associated with a topic reading, without the need of further prompting from a resumptive element in Spec,TP.

Mod. Rom. uses Spec,FinP for preverbal bare quantifiers (i.e., above Fin Comp), so A-position (see Cinque 1990), (31):

- (31) a. $Cineva_i$ $s\check{a}$ stea t_i la $u\check{s}\check{a}$. someone SUBJ stay.3SG at door. 'Someone should stay at the door.'
 - b. [TOPPNoaptea], [FOCPîn mod sigur] cineva se va împiedica de scară. night.the in way certain someone REFL=will stumble on stair 'It is certain that during the night someone will stumble on the stairs.'
 - > Spec,FinP as an argumental position = a marked option available cross-linguistically:
- Fin associated with modality (A') and finiteness (A) in Rizzi 1997;
- SubjP in Rizzi & Shlonsky 2007;
- mixed A/A' movement across FinP in Balkan languages Bošković 2007.

Loss of Spec, TP as the neutral A-position for subjects has led to the following subject positions in MR:

- Spec,vP as the neutral A-position (Dobrovie-Sorin 1994 a.o.);
- Spec,FinP = A-position for quantifiers with wide scope;
- Spec, FocusP above vP for subjects with information focus (Belletti 2008)
- Spec, Focus P in C for contrastively focused subjects (including wh-subjects);
- Spec, TopP in C for topicalized subjects (Cornilescu 2000 a.o.);
- Spec, ForceP for relativized subjects.

8. Conclusions

The generalization of clitic AUX snow-balled into a series of parametric changes:

- the switch from SVO/VSO to VSO (from loss of argumental Spec, TP)
- obligatory use of CP field for fronting to quantificational Focus (from loss of Spec,AspP locally related to Asp/V)
- loss of AUX-to-C +/- replacement with V-to-C (loss of residual V2)
- replacement of V/T-to-C (Fin) with Asp/V-to-C (Foc):
 - ✓ switch from A to A' head movement

Implications for Romance linguistics:

- SVO correlates with non-clitic AUX (argumental Spec,TP maintained)
- AUX-to-C and SAI available at various times and to various degrees

Textual References

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CEV	Pușcariu, Sextil & Procopovici, Alexie. 1914. <i>Carte cu învățătură (1581)</i> . București: Atelierele Grafice Socec & Co.
CM	Drimba, Vladimir. 1998. Coresi, Tâlcul evangheliilor și molitevnic rumânesc.
~	București: Editura Academiei.
Cod Tod	Drăgan, Nicolae. 1914. <i>Două manuscrise vechi: Codicele Todorescu și Codicele Marțian</i> . București: Editura Academiei (Librăria Socec & Sfetea).
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