



Some Observations on the Anaphoric Functions of One

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Some Observations on the Anaphoric Functions of *One**

Kosei Minamide

Introduction

One has been treated in different ways and classified into different parts of speech because of its multiple functions and peculiar grammatical properties: yet the following categorization could be presented as a more or less typical one in the framework of traditional grammar: (1) Numeral; (2) Indefinite Pronoun (e.g. I don't have a notebook. Can you lend me *one*? / Which book do you want? The red *one*.); (3) Personal Pronoun (e.g. the little *ones* (=the children)); (4) Impersonal Pronoun (e.g. *One* should keep one's promise.).

In recent methods of linguistic study, where more attention is paid to underlying regularities than apparent irregularities in surface structure, *one* is looked at from quite different angles than before. In Postal (1966), for instance, where the so-called personal pronouns are treated as deep-structure definite articles, *one* is described as a "noun" that follows these "definite articles." In this model *one* is deleted if the "definite article" that precedes *one* is an ordinary personal pronoun as in **he one*→*he*, whereas if there is a restrictive relative clause in deep structure, *one* shows up in surface structure together with *the* to which such a pronoun as *he* is neutralized as

* I am greatly indebted to Charles Thorpe for valuable comments on my draft.

in *the good one / the one that is good*. This proposal has triggered various arguments for and against it. Sommerstein (1972), for instance, produces evidence that points to the converse conclusion, namely that the definite article *the* is really a personal pronoun. In his argument *one* is analyzed as a "dummy carrier" optionally inserted by One-Insertion Rule at a later stage of the derivation. Perlmutter (1970) views the deep structural origin of the English articles in a new light and claims that the numeral *one* is the deep-structure source for the indefinite article. Undoubtedly these and many other arguments have succeeded in shedding new light on certain aspects of *one* so far unnoticed, especially the underlying interrelation among the seemingly different functions that *one* and other linguistic forms are assumed to perform. As often pointed out, however, theoretical linguists are mostly concerned with evaluating their models of linguistic description through comparison with other models, rather than through comparison with the linguistic phenomena manifested by the actual use of the language. They therefore tend to ignore or pretend not to notice those linguistic facts which they assume do not contribute to their arguments for or against their rival linguists' theories. For this reason and others, there has not yet emerged a comprehensive theory that can give a satisfactory account of the whole intricacy and complexity involved in the uses of *one*.

In this paper we will be primarily concerned with the functions *one* performs in surface structure rather than the hypothetical functions it is supposed to perform on abstract levels. More specifically, we will confine our attention to the anaphoric functions of the so-called Indefinite Pronoun *one*, which we will subcategorize into substitute *one* and indefinite *one*.

We are mainly interested in presenting a description of the

behavior of *one* observed in actual data. There will be therefore no attempt in this study to incorporate the results of our description into the framework of a specific linguistic theory. This study is for the most part based on a corpus of written examples collected from fiction and non-fiction.

References to the corpus are given in parentheses and take the form of an abbreviation like [MWWW] or [Swan]. A list of books quoted is found at the end of this paper. The examples without reference to the corpus have been constructed and checked by a few native informants.

1. Substitute *one*

1.1 Introduction

In this section we will discuss the functions of *one* like those exemplified in the following examples:

- (1) Gail took off her tank and passed it to Coffin. "You want a fresh *one*?" Coffin asked. [BD]
- (2) One of the commonest ways of making new words from old *ones* is the simple device of putting two together. [MWWW]

The most popular term for this use of *one* as a pro-form for a preceding noun is "Prop-word" *one* coined by Sweet (1891)⁽¹⁾. By *prop* it is of course meant that *one* helps to *prop up* prepositive modifiers which can not otherwise stand by themselves. This term has been used by subsequent grammarians such as Jespersen, Zandvoort, Hornby and many others. Curme (1931)⁽²⁾ looks at this *one* from a diachronic point of view and characterizes it not as a word but as a kind of substantive-forming suffix which is equivalent to the

(1) H. Sweet (1891): *A New English Grammar*. Part I. OUP. p. 67.

(2) G. O. Curme (1931): *Syntax*. Heath. p. 520.

old case ending indicating the relation between an adjective and its preceding or following noun. This view has also found its way into some scholars' writings (e.g. Roberts 1954⁽³⁾).

Modern linguists and grammarians tend to use the simpler term *substitute*, thereby avoiding the controversy over the categorical status of *one*, as word or suffix. This term has the other advantage of stressing the textual function of *one* as a pro-form for reference-maintaining through substitution for a noun which previously occurs. We will therefore refer to the *one* in the examples above as substitute *one* throughout this paper.

Substitute *one* is a fairly recent innovation. Since about 1800 it has developed its use to such an extent that it can now stand with almost all items that have adjectival force. It can co-occur with, for instance, *this*, *that*, *either*, *neither*, *each*, *every*, *any*, *which* and other similar items. However it still shows strong hesitation to appear after *these*, *those*, *own*, possessive pronouns, -s genitives and numerals. The co-occurrence with these items, such as *these ones*, *my own one*, *my one* and *two ones*, is not yet fully accepted. We will return to this problem in section 1.9.

1.2 Restrictions on co-occurrence with the articles

Because substitute *one* has not lost all its original numerical force, it can replace only a noun that is grammatically countable. After replacement it behaves just like a count noun. As shown below, morphologically it has an -s plural and syntactically it requires a certain determiner whenever used in the singular.

singular			plural	
*big dog	a big dog	the big dog	big dogs	the big dogs
*big one	a big one	the big one	big ones	the big ones

(3) P. Roberts (1954): *Understanding Grammar*. Harper & Row. p. 89.

In one respect, however, *one* sharply differs from a count noun: the former does not usually accept either the indefinite article *a* or the definite article *the* immediately before it as in **a one* / **the one*, whereas the latter typically accepts either of them as in *a dog* / *the dog*.

A *one* is not, however, wholly impossible. It can occur in a few fixed collocations such as *many a one*, *such a one*, and *as/so-as* constructions as in

- (3) We got an answer, but not *as clear a one* as we had expected. [Long]

As will be mentioned later, substitute *one* is characteristically unstressed just like other pro-forms, but the *ones* in the collocations above are all stressed just like numeral *one*. In this respect, *one* in (4) below is ambiguous as to whether it is a numeral or a substitute.

- (4) When I finished, Cramer had a slew of questions, but Wolfe *not a one*. [BSD]

One possibility is that *not a one* is derived from something like *not one one* where the first *one* is a numeral and the second one is a substitute for *question*. The first *one* is to be reduced to *a* because English does not allow numeral *one* to occur unstressed.⁽⁴⁾ The other and more plausible interpretation may be that *one* is a numeral derived by deletion of *question* from *not a one question*.

1.3 Postmodified *one* and restrictions on co-occurrence with articles.

As shown below, *one* is incompatible with *a* even when it is postmodified.

(4) As pointed out by Perlmutter (1970), unstressed numeral *one* is obligatorily converted into *a*.

a. *There is only *one* boy in the room, not any other girls.
 b. There is only *a* boy in the room, not any girls.
 c. There is only *one* boy in the room, not five.

- (5) I'm looking for a flat. I'd really like $\left\{ \begin{smallmatrix} *a \text{ one} \\ \text{one} \end{smallmatrix} \right\}$ with a garden. [Swan]

Two explanations could be given for the absence of *a*. First the absence may be due to a kind of fusion. *One* may replace the whole NP *a flat*, thus fusing *a* into *one* itself. Viewed this way, this *one* can be taken as parallel to what we will call indefinite *one* as in (6), where *one* contains *a* as well as the noun *nut* (see section 2).

- (6) "Then why did he kill her? Think he was a nut?" "He didn't look *one*." [CTT]

Second, the absence of *a* can be attributed to a kind of reduction. *One* may replace the noun *flat*, not the whole NP *a flat*. The original form of *one with a garden* may be therefore *a one with a garden*. Then the *a* is deleted by the rule that prevents the indefinite article from coming immediately before *one* except in the highly restricted collocations pointed out above. In this view *one* can be put in the same category as the *one* in the examples below—*one* immediately premodified by *the* as in (7) and *one* premodified by *a* plus an adjective as in (8), where both *ones* substitute for just the noun *flat*.

- (7) I've looked at several flats and I'd really like *the one* with a garden.
 (8) I'm looking for a flat. I'd really like *a new one* with a garden.

Thus postmodified *one* shows peculiar characteristics which will hinder consistent interpretation of it either as substitute *one* or as indefinite *one*. It may be best described as a fused form of two kinds of *one*.

The same explanation above will hold for the following cases where *one* is postmodified by elements other than *with*-phrases.

- (9) The question at issue is *one of* whether the adverbs are

essential in those contexts. [J R. LeMaster, *Making Sense of Grammar*]

- (10) He replaced a strange word, consecrated, with *one not so strange*, concentrated. [LW]
- (11) A house built of brick is more durable than *one* made of wood. [Frank]
- (12) "A penalty book" is *one that* the publisher accepts in order to get the author to sign a contract for another book that the publisher really wants. [PWW]

The *one-of* construction in (9) should be distinguished from apparently the same construction in the following.

- (13) He was *one of* really superior intelligence. [Zandvoort]
- (14) He was *one who* was highly intelligent.

Here *one* is a kind of pro-noun which non-anaphorically denotes *a person* or some such phrase. Zandvoort (1972: 180) points out that *one* in this function is mainly literary and that informal English would prefer the use of *a man* as in *He was a man of really superior intelligence* or *He was a highly intelligent man*.

Finally it is to be noted that *one* postmodified by a restrictive relative clause as in (12) is often used appositively to its antecedent NP.

- (15) A weasel word is defined in most of our comprehensive dictionaries as an equivocal word, *one that* is meant to deprive a statement of its force or evade direct commitment, *one that* retreats from taking a direct or forthright position. [PWW]
- (17) But to return to TV, already the public has found a name it likes better, *one that* is homelike and easy—the box. [MWWW]

1.4 *The one* and personal pronouns

As mentioned earlier, Postal (1966) postulates that the so-called personal pronouns are derived by deletion of *one(s)* from **he one*, **they ones* etc. and that these pronouns are reduced to the definite article *the* if postmodified by a restrictive relative clause. It will follow from this postulation that personal pronouns and *the one(s)* are in complementary distribution in respect of the presence or absence of postmodification. To put it another way, *the one* without postmodification can not occur, and the gap will be filled by one of the personal pronouns. The following examples will clarify this point.⁽⁵⁾

I. Without posmodification :

I employed { **the one / *the ones.* }
 { him / her / them. }

I ate { **the one / *the ones.* }
 { it / them. }

II. With postmodification :

I employed { the one / the ones you recommended. }
 { **him / *her / *them* you recommended. }

I ate { the one / the ones you gave me. }
 { **it / *them* you gave me. }

As pointed out by Rigter (1980) and others, however, there are not a few cases contrary to the observation above. *He* in the generic sense, for instance, can stand with a restrictive relative clause as in *He who steals once is forever a thief*, though this usage is literary or archaic. Another counterexample Rigter cites is an expression like *I don't want him there*, where *him* is postmodified by *there* which is generally assumed to be derived by reduction of the full relative clause *who is there*.

(5) *The one* under discussion should be distinguished from *the one* below.

As they approached her desk, Gail said : "I'm *the one* who called before." [BD]

where *the one* is not anaphoric. It is a definite variant of the pro-noun *one* as in "He is *one* who is highly intelligent" (see p. 65).

The one without postmodification, on the other hand, is possible, providing that the missing modifiers are easily recoverable from linguistic or non-linguistic context.

- (18) "I bought some peanuts from that guy with the push wagon—you know *the one*. He might remember. Maybe."
[BSD]

- (19) Do you recognise any of these men as your assailant?
Yes, that's *the one*. [Rigter]

1.5 *The one* and the demonstrative *that*

In reference to an uncount noun, the use of *the one* is ruled out because of its numerical origin: the only possible form is *that* as in:

- (20) The population of China is much greater than $\left\{ \begin{array}{l} \text{*the one} \\ \text{that} \end{array} \right\}$
of Japan. [Frank]

The one however alternates with *that* when the reference is made to a count noun.

- (21) The dialect spoken in this town is different from $\left\{ \begin{array}{l} \text{the one} \\ \text{that} \end{array} \right\}$ spoken in the next town. [Frank]

- (22) I want a coat like $\left\{ \begin{array}{l} \text{the one} \\ \text{that} \end{array} \right\}$ described in the book.

There seems to be a tendency for *that* to override *the one* in the context where its referent is something abstract. In (21), for instance, *that* may be preferred because the antecedent noun *dialect*, though grammatically countable, denotes an abstract entity. *The one* may be chosen, on the other hand, when the antecedent refers to something physically present in the speech situation.

- (23) Which *coat* is yours? *The one* behind the door.

- (24) "Is there a *wastebasket*?" I pointed to *the one* against the wall. [WLR]

Stockwell *et al.* (1973: 216-7) go a step further claiming that the

two forms are in complementary distribution in respect of the (un)countability of the antecedent noun. They cite the following examples as an illustration that *the one* is only possible with count nouns and *that* with uncount mass nouns.

- (25) He preferred the wheat from Canada to $\left\{ \begin{array}{l} *the \text{ one} \\ \text{that} \end{array} \right\}$ from Nebraska.

- (26) He preferred the book he bought to $\left\{ \begin{array}{l} \text{the one} \\ *that \end{array} \right\}$ from the library.

Their claim seems, however, not to be based on sufficient observation of the actual usage. As we saw above, the two forms still share the same distribution in so far as they are related to a count noun. We should note that the matter is one of style rather than one of whether the antecedent noun is countable or uncountable. Stylistically *that* is generally recognized as more formal than *the one* (cf. Strang (1970: 97); Leech and Svartvik (1975: 164)), and this stylistic difference is inherently connected with the tendency mentioned just above—the tendency for *that* to exceed *the one* in reference to a count noun that denotes an abstract entity. In formal written discourse, it is naturally expected, count as well uncount nouns that stand for abstract notions or ideas occur far more frequently than in ordinary everyday conversation. This may be the reason why *that* is more usual in formal English.

In certain constructions, however, the situation will change. We will discuss this problem in the next section.

1.6 *The one* and *that* postmodified by *of*-phrases

When postmodified by a prepositional phrase with *of*, *the one* is less frequent than *that* even in informal English—far less frequent than is suggested by Strang (1970: 97) and Frank (1972: 42). Not a

single instance of this is attested in our corpus,⁽⁶⁾ though *that-of* constructions are abundant.

- (27) The most famous of all usage books is *that of* H. M. Fowler [LW]

- (28) At any rate, no Western language save English deprives a woman of her first name and imposes *that of* her husband upon her. [PWW]

The rarity of *the one* postmodified by an *of*-phrase may be accounted for by the fact that the definite article *the*, unlike *that*, usually lacks the demonstrative or contrastive force and is therefore incompatible with "possessive" *of*-phrases, as witnessed by the ungrammaticality of one of the pairs illustrated below.

- (29) **the* nose of hers / *that* nose of hers

*I will give you *the* one of mine. / I will give you *that* one of mine.

It is to be noted that in informal English *that-of* constructions are often replaced by the genitive form, especially when the *of*-phrase is short. *That of her husband* in (27), for instance, may be changed into *her husband's first name*, or more simply *her husband's*.

The whole situation will be reversed if the postmodification is made by a restrictive relative clause. In this case *the one* is far more frequent than *that* even in formal English though somewhat awkward *that-which* constructions still survive in literary English.

- (30) The problem confronting us today is not dissimilar from

{ the one
that which } Britain faced in the 1930's. [Leech and Svartvik]

(6) One instance can be found in T. Horiguch (ed.) (1980): *A Handbook of Illustrative Sentences of English* <<Grammar>> (Nihon Tosho), p. 100 :

The habit I find hard to understand is *the one of* controlling one's feeling to such an extent that another person cannot tell what they are. [J. Haylock, *Japan Through Eyes of Foreigners*]

(31) Our wealth of words means that a writer or speaker can choose *the one* he wants not only for exact meaning and emotional tone, but also for length and rhythm. [MWWW]
The one with a restrictive clause is often employed as a stylistic device for pseudo-clefting. Compare (32) and (33).

(32) I also found that of all the words we have borrowed, *the one* we use most is "very". [MWWW]

(33) I also found that we use "very" most, of all the words we have borrowed.

In (32) the reader's attention will be suspended till the end of the sentence by the position of the word *very* conveying new information, while in (33) such suspension is entirely lost.

The same explanation so far given above will apply to the alternation between *the ones* and *those* except for the case where they are followed by a restrictive relative clause.⁽⁷⁾ We will not discuss this problem further.

1.7 *This/that* and *this one/that one*

Unlike the definite article *the*, *this* and *that* can stand by themselves as demonstratives without being supported by substitute *one*. The addition of *one* is therefore principally optional, but the optionality will vary according to the functions of *this* and *that*.⁽⁸⁾ Following Lakoff (1974), we will classify their functions into spatio-temporal deixis, emotional deixis and discourse deixis.

As spatio-temporal deixis *this/that* alternates with *this one/that one* in many contexts. There seems to be a tendency, however, for the latter to be chosen in the context where an idea of contrast and selection is prominent. For example, rather than *I'll*

(7) *Those that/which* constructions occur almost as frequently as *the ones that/which* in our corpora, but in the formal written corpus the former exceeds the latter in frequency.

(8) R. Lakoff (1974): "Remarks on *This* and *That*." *CLS* 10.

take this we would be most likely to say *I'll take this one* when we are pointing to something we want to buy, demonstrating that it is this "something" not anything else that we really want.

The occurrence of *this* and *that* as a substitute for a person is usually limited to what Halliday and Hasan (1976: 63) call "relational clauses of the equative type" as in, for instance:

(34) Hello. *This* is Elizabeth. Is *that* Ruth? [Swan]

(35) "Who keeps a record of the key?"

"*That* would be Mr. Summer." [BSD]

It is to be noted that, just like the personal pronouns *he* and *she*, *this* and *that* in this environment are principally neutral in respect of the speaker's emotional attitude or feeling toward the person in question.

In other constructions *this one* and *that one* must be used to refer to a particular person previously identified.

(36) "I have an idea Johnny Dorman knocked *this* girl off.

How do you react to *that one*?" "Johnny? He wouldn't kill anyone." [CTT]

In contrast to *this* and *that* in the cases above, these two forms, *that one* in particular, usually convey the speaker's emotional attitude such as intimacy, irritation, impatience and indignation. Emotional *this* and *that* can be also used to refer to a thing as in;

(37) Give me *that* filthy lollipop, Marvin! [Lakoff]

But in either case, *this* and *that* as emotional deixis are restricted to adnominal use (cf. Channon (1980)). The addition of *one* is therefore obligatory.

Finally *this* and *that* as discourse anaphora do not usually alternate with their rival forms whose primary function is to refer to a concrete thing or a person.

(38) "Did she want you to divorce your wife and marry her?"

"Oh, no. She never mentioned *that*..." [BSD]

cf. *She never mentioned that *one*....

In some cases, however, the situation is not so simple as it might seem. Let us consider (39) below.

- (39) The first test failed half the class, but the second failed
more than $\left\{ \begin{array}{l} \text{that} \\ \text{that one} \end{array} \right\}$. [Long]

Here both forms are possible but interpreted differently. According to Long (1961: 293), *that* will be taken to refer to *half the class* and *that one* to refer to *the first test*. Bolinger (1975)⁽⁹⁾ cites another interesting and more complicated instance in which *one* after *that* plays an important part. In speech we can easily highlight whatever sentence element by putting stress on it. In writing, however, we generally lack such a device. In (40), it is pointed out, *that one* does serve such a purpose.

- (40) The fact that making a choice in one system constitutes the entry condition into a lower system, and *that one* in turn the entry condition to a still lower system....

"The second *that*," Bolinger explains, "without the extra accent available in speaking, appeared to correlate with *the fact*, just like the first *that*; by adding *one* after it, the demonstrative interpretation was clinched."

1.8 *These / those* and *these ones / those ones*

Compared with *this one/that one*, their plural variants *these ones/those ones* are rare in frequency. These two forms are still condemned as non-standard by most grammarians and dictionaries. It seems, however, that they are gaining ground especially in British English. Swan (1980: 441), for instance, recognizes a difference in frequency between British and American English as follows:

In American English, *one* is not used after *these* and *those* (and

(9) D. Bolinger (1975): *Aspects of Language*. 2nd Edition. Harcourt. p. 605.

this is unusual in British English): I don't think much of *these*.

(GB: ...*these ones* is possible.)

Swan's observation may be justified by the tolerant attitude some British linguists show toward this usage. Halliday and Hasan (1976: 96-7) accept *these ones* as a case where *one* is optional. Six years before that, Strang (1970: 97) went so far as to state:

This/that one, those ones, of animates and inanimates, are both 19c; by 1913 Jespersen had not found examples of *these ones*, though by now it seems to me normal in a context of selection, less so in a context of identification.

We should however remember that linguists are generally more tolerant in respect of usage judgment than ordinary people. It is worthy of note that recent British dictionaries such as OALD and LDCE flatly reject these forms as ungrammatical.

1.9 Obligatory omission of *one*

Since substitute *one* refers exclusively to a count noun, the anaphoric reference to an uncount noun must be made by other means. Two syntactic devices are available. One is omission as in (41b) and (41d); the other is repetition as in (41c).

- (41) a. *I prefer red wine to white *one*.
- b. I prefer red wine to white.
- c. I prefer red wine to white wine.
- d. The old equipment works just as well as the new.

Omission is, however, usually possible in "comparative" or "contrastive" constructions such as *prefer-to*, (*rather*)-*than* and *as-well-as* clauses in which the missing noun is easily recoverable. In other constructions in which contrasted items are not juxtaposed, the omission often leads to awkwardness. In such a case repetition is obligatory as in (42b), or the sentence must be restated as in (42c).

- (42) a. ?We need some furniture and we want sturdy.

b. We need some furniture and we want sturdy furniture.

c. We need some furniture and we want it to be sturdy.

Substitute *one* is also obligatorily omitted after such items as:

(43) *Own*:

This is my pen. *Use your *own one*.

(44) Possessive pronoun and -s genitive:

This is my pen. *Use *your one*.

I cannot lend you this pen. *Borrow *Robert's one*.

(45) Cardinal:

He bought three books. *I bought *two ones*.

Acceptability, however, varies from case to case. *One* after *own* in (43) is customarily avoided, apparently because the addition sounds too redundant. *One* in (44) seems to be more acceptable than in (43). Halliday and Hasan (1976: 97) accept *one* with the -s genitive as grammatical but regard *one* with the possessive pronoun as a doubtful case. Strang (1970: 97) quotes Jespersen's example "While he attacked his pile, she began on *her one*" and observes that this use of *one* "now seems perfectly normal." *One* in (45) is also marginally acceptable. According to Halliday and Hasan, such expressions as *two ones* occur especially in children's speech.

We should note that all the cases except (43) become fully acceptable if certain prepositive modifiers intervene as in *Use your new one*, *Borrow Robert's new one* and *I bought two interesting ones*.

1.10 Optional omission of *one*

Substitute *one* is omissible after adjectives if certain conditions are satisfied. Two such conditions have been pointed out. One is after adjectives that are preceded by the definite article (cf. Frank (1972: 40)), and the other is after monosyllabic adjectives at the end of a sentence or a clause (cf. Zandvoort (1972: 177)). The following instances fulfill either or both of the two conditions.

- (46) a. I'd prefer the large bottle to *the small*.
 b. I'd prefer the large bottles to *the small*.
 c. I'd prefer large bottles to *small*.¹⁰

[Leech and Svartvik]

- (47) ...the older among us tend to overglamorize a past epoch of which we recall the good features and forget *the bad*.
 [PWW]

- (48) He meant to attain his object by fair means or *foul*.
 [Zandvoort]

It is important to notice that some of the examples above, (46a), for instance, can be converted into *I'd prefer the large one to the small bottle*, where *one* is used cataphorically and that this sentence can be further changed by deletion of *one* into:

- (49) I'd prefer the large to the small bottle.

As suggested by OALD, formal English would prefer this type of expression, which is usually possible in "comparative" constructions where two adjectives are used contrastively.

- (50) The Japanese should prefer *regulated to spontaneous forms of communication*. / The Japanese will tend to limit *physical as well as verbal expressiveness*. / The Japanese will prefer to cope with threatening interpersonal situations by adopting predominantly *passive rather than active forms of defense*. [BPS]

Substitute *one* is also omitted more or less regularly after the following items:

- (A) the + superlative:

I think my dog is *the fastest (one)*.

(10) The omission is impossible in case where the adjective is preceded by the indefinite article:

*I'd prefer a large bottle to *a small*.

- (B) the+comparative :

I bought *the more expensive (one)* of the two.

- (C) ordinal :

Of the two speakers, only *the first (one)* was interesting.

[Frank]

- (D) the other / the same / the last / the former / the latter :

I have this room and you have *the other (one)*.

- (E) another / either / neither :

Either (one) will suit me. [Swan]

- (F) which / whichever :

Which (one) do you like?

One in (A) and particularly *one* used cataphorically in (B) are regularly omitted. In (D), *one* will be obligatorily omitted if *the other* is used corelatively with *(the) one* as in *Here are two books. One is for Mary, the other is for Jack.* If *the other* is separated by intervening elements from *(the) one*, the antecedent noun will be sometimes added instead of substitute *one*:

- (51) I see at least two kinds of *connection*. *One* is in that feeling of fullness which Hisao mentioned to me on the bus after dinner.... *The other connection* isn't in the meal but in the place where we have the meal. [MWCC]

The same would hold for the sequence *the former-the latter*. *One* after *which* in (F) has the number force equivalent to that of numeral *one* and serves to make it explicit how many referents the speaker has in mind. In the other cases there seems to be no definite rule to decide the use or the non-use of *one*. We can only say that *one* is omitted wherever its presence is felt to be redundant or awkward.

1.11 Gradation between substitute *one* and numeral *one*

In section 1.3 we discussed the ambiguous status of *one* postmodified by *of*-phrases. This *one* poses another problem concerning

the distinction between substitute *one* and numeral *one*. Consider (52).

(52) *One* of the boxes was broken.

The most natural interpretation would be that one box was broken but the others were not. *One* may be therefore taken as a numeral. With (53), however, the situation would change somewhat.

(53) He is *one* of my friends.

(53) is generally assumed to be semantically equivalent to

(54) He is a friend of mine.

This shows that *one of my friends* is not in contrast to, say, *two of my friends*, but *my friend* that is definite and specific. We could postulate that the underlying form of (53) would be something like *He is a friend of my friends*, from which (53) will be obtained by the rule that cataphorically substitute *one* for *a friend*, and (54) by the rule that replaces *friends* with *ones* and converts the ungrammatical phrase **my ones* to *mine*. Viewed this way, this *one* is a cataphorical substitute rather than a numeral. Pragmatically the difference between the two *one-of* constructions could be explained as follows: In the context where (52) would be uttered, it might be generally expected that both the speaker and hearer already know a certain number of boxes have arrived. (52) would be preceded by, for instance, such an utterance as *Ten boxes arrived*. (53), on the other hand, does not presuppose such shared knowledge between the speaker and hearer. In the former case, the information focus lies on the indefinite element *one*, and the definite element can be left out when the context is explicit enough as in *One (box) was broken*. This is not the case with the latter. *My friends*, though grammatically definite, is not pragmatically so definite as *the boxes*. The deletion of the definite element would therefore result in an anomaly such as **She is one*.

Zandvoort (1972: 175-6) distinguishes two kinds of *one* in this construction, namely a strong-stressed *one* as in

- (55) Then *one of us* hit on the idea of speaking to a policeman. / *One of the signatures* was illegible.

and a medium-stressed *one* as in

- (56) We must meet again *one of these days*. / He is *one of the richest men* in England.

Obviously the strong-stressed *one* is identifiable as numeral *one* in respect of stress assignment and “definiteness” of the *of*-phrase. For instance, (55) cannot be used if a speaker has not yet mentioned anything about *us* or *signatures* and his listener cannot be assumed to know about it, whereas (56) can be used even though the existence and specification of *these days* and *the richest men* have not yet been established.

In many cases, however, these two *ones* shade into each other and the distinction is often difficult to make. It would be therefore best to look at the intricate behavior of *one* in this construction in terms of gradation rather than sharp distinction.

2. Indefinite *One*

2.1 Introduction

Now we will turn our attention to the uses of *one* exemplified in:

- (57) “I must use *the telephone*. Have you got *one*?” [CTT]

- (58) “Why did he kill her? Think he was *a nut*?”

“He didn’t look *one*.” [CTT]

- (59) “*Honeymooners* make me nervous.” She took his arm and touched his shoulder with her head. “You are *one*, too, you know.” [BD]

This *one* is often confused with the *one* we have discussed so far, but it would be better to distinguish between these two *ones* and give

them separate names, though the distinction between them is sometimes blurred especially when they are postmodified (see section 1.3). As we saw in the previous sections, substitute *one* functions as specific as well as non-specific anaphora according to the demand of the context, replacing the head of its antecedent NP, or, as will be discussed in the next section, the head plus its modifier(s). It can never replace the whole NP. In the singular form, therefore, it syntactically requires a certain predeterminer just as a singular count noun does.

One in (57)-(59), however, functions only as non-specific anaphora. It stands for a non-specific member of a previously-mentioned or contextually-obvious set. Syntactically it incorporates the indefinite article *a* into itself. It is therefore always paraphrasable as "a+count noun." This *one* is thus so closely associated with the indefinite article that Halliday and Hasan (1972: 101) treat it as "the form taken by the indefinite article when it is functioning as Head of an elliptical nominal group" and labels it as "indefinite article" *one*. Conrad (1979) takes a similar view and terms it as "the substantive form of the indefinite article." We can also see a similar treatment in Stockwell *et al.* (1973: 166), where *one* is derived through the following stages:

John bought a red pencil because Bill had a red pencil.
because Bill had *a one*
because Bill had *a* [by deletion of *one* after article]
because Bill had *one* [by suppletion of article in stressed position]

To distinguish it from substitute *one*, we will refer henceforth to the *one* in question as indefinite *one*.

2.2 *One* and numeral *one*

Since indefinite *one* and numeral *one* are identical in form, *one*

sometimes causes ambiguity especially in written English. Consider the following instance.

(60) Can you give me a few nails? I need *one*. [Quirk *et al.*]
It is well known that the distinction between *indefinite* and *numeral* can be made in speech by the way it is stressed. In an unmarked case, for instance, numeral *one* expressing *one nail* receives strong stress, whereas indefinite *one* standing for *a nail* does not. As pointed out by Conrad (1979), this phonological criterion does not work in certain contexts, one of which is:

(61) "Do you need a pen? There may be *one* in my purse."

[WLR]

One in this position is always stressed whether it is a numeral or an indefinite.

In many cases, however, ambiguity will be resolved by the linguistic or non-linguistic clues provided in the relevant context. For instance, *one* will be unambiguously taken as numeral when it occurs with other numerals or quantifiers.

(62) She peeled *two* slices off the pile of cheese and rested *one* on each piece of meat. [WLR]

(63) "We have *very few keys* that unlock the outer doors.
I have *one*. The conservatory superintendent, Mr. Weimer,
has *one*..." [BSD]

2.3 *Ones, some and that

Unlike substitute *one*, indefinite *one* has no plural form like **ones*, instead of which it has *some* as in:

(64) They saw a lion, and I saw $\left\{ \begin{array}{l} \text{some} \\ *ones \end{array} \right\}$, too.

Some also functions as an anaphoric pro-form for an uncount noun:

(65) Do you have any money? Yes, I have *some*.

These two *somes* can be classified as follows:

antecedent	anaphora
singular count noun	one
plural count noun	some ₁
uncount noun	some ₂

Now let us see what will happen if a conjoined NP occurs as antecedent.

- (66) Larry had a hamburger and a coke, and I had $\begin{Bmatrix} *them \\ *some_1 \end{Bmatrix}$,
too. [Channon]

Them is unacceptable because of its co-referential function (see section 2.4): under the co-referential interpretation, for instance, it is expected that the "I" had the same hamburger and coke that Larry had, but this is absurd under normal circumstances. *Some₁* is also unacceptable because it can not refer simultaneously to separate objects. According to Channon (1980), the most appropriate pro-form in an environment like this is anaphoric *that*. He claims that the heavier the antecedent NP or the more complicated its surrounding context, the more likely it is replaced by *that*. As shown below, *that* as non-specific anaphora is also possible when the conjoined NP consists of a count and an uncount noun:

- (67) Larry had a hamburger and coffee, and I had that / *one
/ *some₁ / *some₂, too. [Channon]
- (68) Larry had fried chicken, mashed potatoes and broccoli,
and I had that / *one / *some₁ / *some₂, too. [ibid.]

2.4 *One* and *it*: non-coreferential and co-referential

One and *it* resemble each other so much in function and distribution that they are often confused, especially by non-native speakers. As will be shown below, however, there exists a sharp difference between them. First *it* is used in place of *one* when cross-reference is made to an antecedent NP that is specific and definite.

(69) *The dog* bit me last night. I kicked it / *one.

By specific and definite it is meant that there was a dog that bit me last night and that the dog is identified by both the speaker and hearer. *It* refers back to this particular dog. The same relation will hold if the antecedent NP is non-definite as in (70), where *a dog* designates a specific dog, not yet identified in the first sentence.

(70) *A dog* bit me last night. I kicked it / *one.

Both in (69) and (70), *it* stands for the same dog that bit me last night. This type of anaphoric reference is generally known as *co-referential*.

Now consider (71), where both *one* and *it* are possible.

(71) *The / A dog* bit me last night. I hate it / one.

As we saw above, *it* refers to the same dog that is mentioned in the first sentence, whereas *one* is interpreted as referring to not this particular dog, but a non-specific dog, a dog in general. The anaphoric relation between *one* and its antecedent is therefore *non-coreferential*.

In isolated sentences, an NP which contains the indefinite article sometimes causes ambiguity between specific and non-specific readings, and influences the subsequent pronominalization.

(72) I'll take *a girl* to the party.

If a speaker has a particular girl in mind, then the existence of a girl is presupposed. In this situation, the speaker is usually expected to add further information about what he knows of her in order to promote the conversation. He might, for instance, continue his discourse with the personal pronoun *she* as in *She is Pete's sister*. If he has no particular girl in mind, then the existence of a girl is not presupposed. In this case he cannot provide further comment about her because he is not speaking of a girl he can identify as a particular individual. If he judges further predication relevant,

however, he will continue his discourse with *one* as in, for instance, *if I can find one*. In the former case a girl is specific to the speaker but presumably non-specific to the hearer. The speaker may identify the girl and even name her, but he has chosen to use the indefinite expression because he assumes that the hearer does not know about her. In the latter case, however, a girl is non-specific to both the speaker and hearer. The speaker has no choice but to use the indefinite NP *a girl*. The observations so far made above can be summarized as follows:

existence	specification	pro-form
presupposed	specific	personal pronouns
non-presupposed	non-specific	one

2.5 *One* and *it*; specific and non-specific in non-actual mode

As shown above, the subsequent pro-form usually disambiguates the reference of a preceding indefinite NP. There are, however, some cases where ambiguity is not resolved by the subsequent pronominalization. This is especially the case with anaphoric reference in the non-actual mode. A well-known examples is:

- (73) Liza wants to marry a rich man. He should be a Norwegian.

He in the second sentence does not provide disambiguating information. *A rich man* is still ambiguous between specific and non-specific. If *should* is taken as expressing inference, the sentence will be paraphrasable as:

There is a rich man Liza wants to marry. I hear he is a Norwegian, but I am not sure.

In this reading, the speaker is reporting "a rumour about a specific person" (Werth (1980)). *Should* allows another reading, namely obligation, in which reading (73) is parallel to:

Any man Liza wants to marry must satisfy the condition of being a Norwegian.

Unlike the “inference” reading, the existence of a rich man is not presupposed. Liza has in mind no specific rich man for her future husband. Nevertheless *he* in the second sentence refers back to this non-specific person in the non-actual world, to borrow Werth (1980)’s term, “in Liza’s dream world.” Compare further (74) and (75):

(74) John wants to catch a fish and eat *it* for supper.

(75) *John wants to catch a fish. You can see *it* from here. In (74) *it* refers anaphorically to a non-specific fish in John’s “intention world.” In (75), on the other hand, *it* cannot refer back to *a fish* because *it* is outside the scope of *want*. The use of *one* would make the second sentence grammatical as in *You can see one from here*. Thus in the non-actual mode personal pronouns take the place of *one* and stand anaphorically for a non-specific person or thing. The relation between existential presupposition and specification can be summarized in the following.

existence	specification	pro-form
presupposed	specific	personal pronouns
non-presupposed	non-specific	personal pronouns *one

2.6 *One* and *it*: specific and non-specific with a definite NP

It has been pointed out by Partee (1972) and other linguists that the distinction between specific and non-specific can also be made in the case of a definite NP. Let us consider (76).

(76) I am looking for *the man who murdered Smith*.

In one interpretation the speaker knows who the murderer is, but for some reason or other, he has chosen to use the definite NP *the man who murdered Smith* instead of naming him. In the other reading,

the speaker has no particular individual he can identify as the murderer of Smith. He is just looking for whatever man it is that murdered Smith. He has therefore no choice but to use the phrase *the man who murdered Smith*. In the former reading, the definite description constituted by the restrictive relative clause is specific to the speaker, while in the latter it is non-specific. In both cases, however, the subsequent pronominalization will be made not by *one*, but by the personal pronoun, as in, for instance, *I want to find him as soon as possible*, because the existence of such an individual is presupposed by the restrictive relative clause *who murdered Smith*. As pointed out by Partee, therefore, the distinction between specific and non-specific must be independent of the distinction between NP's with existential presuppositions and those without, for at least definite NP's.

existence	specification	pro-form
presupposed	specific non-specific	personal pronouns *one

2.7 *One* and *it*: non-specific and generic

An indefinite NP which contains the indefinite article can also be used in the generic sense. Let us look at the relation between such a generic NP and its pro-form.

(77) *A dog* is a faithful animal. I want to have one / *it.
At first glance *one* seems to refer to the subject of the first sentence *A dog*, but this interpretation is not correct, because *a dog* is generic and *one* is non-specific. Roughly speaking, generic reference subsumes a whole set or set-section, whereas non-specific reference designates a proper subset. In (77), for instance, what is true of a non-specific dog is assumed to be also true of the whole class of dogs. The second sentence in (77) is obviously intended to convey the

speaker's intention of having a non-specific member of the class of dogs. Thus *one* can not be connected with *a dog* generically used in the sense of the whole class of dogs. In contexts where generic reference is intended, however, the anaphoric pro-form must be the personal pronoun *it*.

(78) A dog is a faithful animal. I like it / *one better than a cat.

(79) A dog is a faithful animal. It / *one belongs to the domestic carnivore of Canidae Family.

The same observation can be made about the cases in which the generic sense is expressed by the definite NP or an indefinite plural NP, in which case *it* or *they* must be used for generic anaphora and *one* or *some*₁ for non-specific anaphora.

(80) *The polar bear* lives in the Arctic. (a) *It* has adopted perfectly to life on the frozen ocean. (b) I have seen *one* / *some*₁ / **it* in the zoo.

(81) *Ostriches* live in the desert. (a) *They* obtain water from the plants they eat. (b) I have seen *one* / *some*₁ / **them* in the zoo.

It is to be noted that if the (b) sentences are converted into negatives, *it*, *they* or *any* must be used instead of *one* or *some*₁.

(82) I have never seen *it* / *any* / **one* / **some*₁.

I have never seen *them* / *any* / **some*₁.

3. Ambiguity in Reference

3.1 Adjectives carried over by *one*-pronominalization

It is generally assumed that substitute *one* can replace only the head of an antecedent NP whereas personal pronouns replace the whole NP (cf. Quirk *et al.* (1972: 680)). Under this assumption we looked at various aspects of *one* in the previous sections. In this

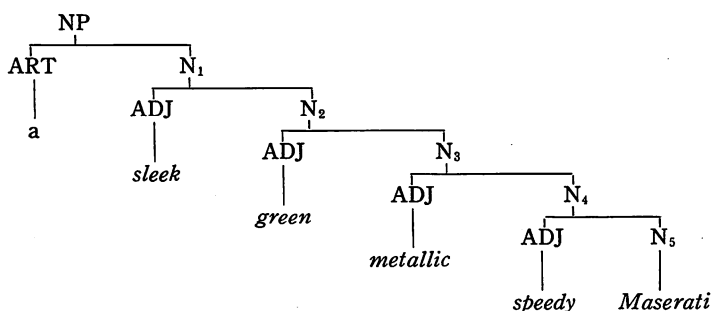
section we will be concerned with certain cases where *one* can be interpreted as replacing not the head alone but the head plus its modifiers. Let us begin with (83).

- (83) Do you have a book on English grammar? Yes, I have an easy one.

In (83), the head of the NP *a book on English grammar* is *book* in the usual sense of the term, but in the second sentence *one* apparently replaces not only the head *book* but also the subsequent prepositional phrase *on English grammar*. Thus *one* can substitute for a structure which is neither just a head nor the whole NP. Now consider (84), where the antecedent is premodified by a string of adjectives.

- (84) John owns *a sleek green metallic speedy Maserati*.

Culicover (1976: 185) assumes that the italicized part has a structure which is represented in the diagram below.



It is claimed that *one* can replace any of the Ns in this tree—the entire subtree dominated by a given N. To put it another way, *one* can replace *Maserati* together with all or some of its modifiers.

- (85) John owns a sleek green metallic speedy Maserati, and Susan owns a sleek green metallic *one*, too.

- (86) John owns a sleek green metallic speedy Maserati, and Susan owns a sleek green *one*, too.

- (87) John owns a sleek green metallic speedy Maserati, and
Susan owns a sleek *one*, too.

One stands for *speedy Maserati* in (85), *metallic speedy Maserati* in (86) and *green metallic speedy Maserati* in (87), respectively.

Now let us proceed to another case where *one* is modified by one or more adjectives other than the original ones that modify the antecedent noun.

- (88) I saw a big, brown brick house and you saw a small *one*.
How many adjectives are carried over by *one*? Theoretically there would be four possibilities: (a) *big, brown brick* house; (b) *brown brick* house; (c) *brick* house; (d) ϕ house. The first (a) interpretation is impossible because of the incompatibility between the contrastive adjectives *big* and *small*. Among the rest (b) would be the most likely interpretation, though (c), (d) and (e), where the modifier(s) present in the first occurrence of the antecedent noun is (are) missing from the pronominalization of the second occurrence, can not be wholly ruled out.⁽¹¹⁾

The analyses presented above, however, will only apply to "non-distributive" constructions like (84) and (88), where the adjectives paratactically refer to the same entity expressed by the head of the NP. The situation would change with "distributive" constructions such as:

- (89) social, economic and intellectual conditions [Bache]
where the adjectives *social*, *economic* and *intellectual* will be usually interpreted as referring to the separate entities expressed by the

(11) The interpretation of *one* in these environments tends to differ from person to person. Stockwell *et al.* (1973: 185) point out that in the example below:

I have a little red pencil and he has a blue *one*.
one is ambiguous to many people as to whether it represents *little pencil* or just *pencil*.

head of the NP *conditions*. As pointed out by Bache (1978 : 23), such constructions as (89) derive from parallel structures at some deeper level containing each an adjective and a head.

social conditions	}	social, economic and intellectual conditions
economic conditions		
intellectual conditions		

In "distributive" constructions like this, *one* naturally replaces only the head. Consider (90) and (91).

(90) They discussed social, economic and intellectual conditions and we discussed social, economic *ones*.

(91) They discussed social, economic and intellectual conditions and we discussed social *ones*.

In both cases, no adjectives are carried over. *Ones* substitutes for only the head *conditions*.

The same kind of ambiguity we have so far discussed will be involved in the use of indefinite *one*. In (92), for instance, *one* is ambiguous as to how many adjectives it carries over, though the most likely interpretation would be that *one* represents *a sleek green metallic speedy Maserati*.

(92) John owns a sleek green metallic speedy Maserati and Susan owns *one*, too.

Similar comments are made on the ambiguity of *one* in Wasow (1979)¹²

- (93) a. John has a big fancy car, but Bill doesn't have *one*.
 b., but Bill doesn't have a big fancy car.
 c., But Bill doesn't have a car.

Wasow observes that (a) is ambiguous between a reading synonymous with (b) and one synonymous with (c).

As apparent from the examples so far quoted, the problems of

¹² T. Wasow (1979) : *Anaphora in Generative Grammar*. E. Story-Scientia. p. 90.

ambiguity are mostly theoretical rather than practical. Theoretically there would be no limit to the number of adjectives placed before a noun, and the more adjectives, the more ambiguous becomes *one* in substitute and indefinite functions. In practice, however, the pragmatics of the context will limit the number of the adjectives to such an extent that those ambiguities pointed out above will seldom be involved in the use of *one*. In actual discourse, therefore, there would arise no serious difficulty in interpreting the referential scope of this pro-form.

3.2 *One* and compound nouns

Substitute *one* can co-occur not only with adjectives but also with a certain class of nouns as in:

(94) The house is a *corner one*. [Zandvoort]

(95) Let George set the literature papers and I'll see to the *language ones*. [Sommerstein]

One is not, however, usable after a noun which is part of a compound, because the head of a compound does not usually serve as an antecedent.

heart muscles	*heart ones
---------------	-------------

a city problem	*a city one
----------------	-------------

Consequently indefinite *one* which refers back to this type of NP will invite no ambiguity. In (96) below, for instance, *one* is unambiguously interpreted as standing for *a fountain pen*, not just *a pen*.

(96) She has a fountain pen and I have *one*, too.

In certain compounds, the first nominal element has its corresponding adjective as in;

heart muscles	cardiac muscles
---------------	-----------------

a city problem	an urban problem
----------------	------------------

In this case substitute *one* can act as an "inbound anaphora"¹³ as in

(13) Cf. P.M. Postal (1969): "Anaphoric Island." *CLS* 5.

cardiac ones and *an urban one*. It is to be noted here that the adjectives which can occur as the first element of the compound are mostly what Levi (1977)⁽¹⁴⁾ calls "nominal adjectives," which are "non-predicating, non-intensifiable and not separable from their head noun by other words." Indefinite *one* used as anaphora for this type of NP is, therefore, interpreted as standing for the NP including its adjective. The only one possible interpretation of *one*, for instance, in *She got an electric shock and I had (a severe) one, too* is that *one* represents *an electric shock*, not just *(a) shock*.

Conclusion

In this paper, the so-called indefinite pronoun *one* was sub-classified into *substitute* and *indefinite*, based on the observations made in section 1.2 and 2.1. It was argued, in the course of discussion, that the distinction between these two *ones* is not so clear-cut as it might seem, but often blurred in certain syntactic environments, especially when *one* is postmodified. The first part of this study dealt with substitute *one*, whose anaphoric functions and grammatical properties were considered with special attention to the syntactic and stylistic differences between (1) *the one* and personal pronouns; (2) *the one* and *that*; (3) *this/that* and *this one/that one*; (4) *one* and numeral *one*. The second part was devoted to a description of indefinite *one*. Comparison was made between (1) *one* and numeral *one*, (2) **ones, some* and *that*. The complicated relation between *one* and the personal pronoun *it* was analyzed in terms of co-reference, specification and existential presupposition. Finally, in the third part of this study, it was pointed out that modifiers present in the antecedent NP may be deleted by *one*-pronominalization. A

(14) J.N. Levi (1977): "The constituent structure of complex nominals or, that's funny, you don't *look* like a noun!" *CLS* 13.

few cases where it is ambiguous as to how many original modifiers are carried over to the second occurrence of the NP realized by *one* were discussed in the light of the distinction between *distributive* and *nondistributive* constructions proposed by Bache (1978).

This whole area deserves more thorough research and we have done no more than suggest some directions for this.

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