Negation and (lack of) *DO*-support in a case of pseudo-archaic English*

Sandra Ronai

The paper is an attempt to describe and account for a case of register variation in English, namely, the language-internal parametric variation with respect to the raising of main verbs in negative sentences. The corpus is a book of fantasy literature, *The Silmarillion* (J.R.R. Tolkien). By providing a quantitative and qualitative description of negation with and without DO-support, the author sketches a representation of the peripheral grammar and explains the extent of its deviation from the standard. After a broad empirical description of this 'pseudo-archaic English', the presentation focuses on the detailed results of a statistical research of the data, followed by the actual comparison of the two structures, their syntactic representations (in the theoretical framework of Generative Grammar) and to the environments in which each of them occurs. Finally, the paper adopts a hypothesis on language change that might explain the simultaneous availability of two competing constructions.

Keywords: *language change, language-internal parametric variation, literary corpus, negation, peripheral grammar*

1 Introduction

This paper is an attempt to describe and maybe even offer an account for a case of register variation in English. In a book of fantasy literature, The Silmarillion, written by J.R.R. Tolkien and edited by Christopher Tolkien, we can find many examples like 'he knew not' or 'they found him not', together with other occurrences of 'did not know' and 'did not find him'.

Although this case study is based on a corpus of 'literary' (i.e., artificial) English, I consider its analysis a valid line of research, as it may shed some light on some phenomena that reflect the diachronic evolution of 'real' English. Specifically, this lack of DO-support indicates that the raising of the lexical verb is still possible in this sub-variety of English. But how can this be, since we know that movement is never optional?

Inspired by Liliane Haegeman's analysis of non-overt subjects in finite clauses in the 'abbreviated English' of diaries and informal notes (Haegeman and Guéron 1999, 625), I will try to illustrate the parametric variation that exists language-internally with respect to the raising of main verbs in English negative sentences. By providing a quantitative and qualitative description of negation with and without DO-support in Tolkien's English, I would like to sketch a representation of this particular 'peripheral

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grammar' and explain the extent of its deviation from the 'core grammar' (to use the terminology introduced by Haegeman and Guéron 1999, 633).

My paper is organized as follows: the first section is a presentation of what I would like to call 'pseudo-archaic English'. After some necessary information on the corpus and some speculative reasons as to why the book was written in this special 'pseudo-archaic' style, I go on to review the most poignant characteristics of the register, from the vocabulary to morphology and of course syntax.

Then, in section 2, I show the detailed results of my statistical research of the empirical facts, drawing, I hope, a comprehensive picture of negation in The Silmarillion. By adopting (in 2.1) two classifications of negation, one according to its scope, and one according to the position it occupies in the syntactic structure, I was able to isolate one after the other all the negative constructions that are irrelevant for my chosen structure: in 2.2 I delimitate the cases in which negation is expressed in the lexical domain, 2.3 is dedicated to the special cases in which negation can occupy a position within the Left Periphery, while 2.4 isolates those cases in which negation is indeed in the functional layer of the IP, but is realized by an auxiliary construction.

Finally, after sorting through all the data, in 2.5 I proceed to the actual comparison of the two structures, the DO-support and the Raising one, paying particular attention to the environments in which each of them occurs (and trying to see if there is any pattern). Based on these observations, in section 3 I will provide the syntactic representation of the two structures involved, and I will also adopt a hypothesis on language change that might explain the simultaneous availability of two competing constructions. Finally, I add some further tentative considerations and I draw the conclusions.

2 Pseudo-archaic English

The special register that I will try to analyze in this paper is something which could be characterized as 'pseudo-archaic English' – 'archaic' because, as we shall see, it employs a series of linguistic strategies which used to be part of earlier stages of English, but are no longer present in the contemporary language.

2.1 Preliminary considerations

A few clarifications about the corpus are in order before anything else. Published posthumously in 1977, *The Silmarillion* is not a unitary novel, but a collection of related, but separated, stories. This is relevant from a linguistic point of view, as it may explain certain inconsistencies and the lack of uniformity of the language.

As we find out from the *Foreword*, the book had to be compiled from a large number of writings that Tolkien had sketched throughout his life, starting from some notes dating back to 1917 and going through successive variants composed not only in different genres (originally, some were even in alliterative verse copying the style of Anglo-Saxon epic poetry), but also in different registers (what the editor calls 'tones'). Thus, some of the archaic grammatical structures that we can find can very well be some residues of the book's rather unusual process of creation.

From a sociolinguistic perspective, the register that I will be trying to analyze ca be considered a special kind of *idiolect*, influenced by the author's background. J.R.R. Tolkien was a philologist and an expert in old languages (not only Latin and Ancient Greek, but also Welsh, Finnish, Old Norse and of course Old English) and had worked for many

years as a professor of Anglo Saxon literature at Oxford. Therefore, it would not be too far fetched to assume that he wanted to emulate the style of the old literary works, by enriching the English that he used in ordinary day-to-day interactions with some 'higher' structures that can be reminiscent of an older language.

On the other hand, the influence of the editor is not to be overlooked. When the book was first published, four years after the death of its author, Tolkien was already famous for having written *The Hobbit* and his masterpiece, *The Lord of the Rings*. The two books take place in a fantasy universe which the writer had imagined in far greater detail. *The Silmarillion* was explicitly intended to be the mythology and history book of Tolkien's fictional world. Because of this, the language had to give the illusion of being 'older', somehow remote from the language of the readers, just like the King James Version of the Bible, for instance. This literary device has consequences on the peripheral grammar of the book. The English of *The Silmarillion* is certainly not Early Modern English, but an artistically coined 'older language'.

We do not know the exact story of the manuscripts, but Christopher Tolkien confesses that he had to "work out a single text selecting and arranging it in such a way as seemed to me to produce the most coherent and internally self-consistent" book (Tolkien 1977, 3). His notions of coherence and consistency refer mainly to the narrative aspects, which are not of interest to us – but, without doubt, the same selection operation had to be applied to the language itself, from the level of words and word forms to syntactic structures. We can never be sure whether the archaisms that we find were there in the older versions or were introduced during the editing process. Or maybe, on the contrary, the language of the original material was even more archaic and it was modernized afterwards.

In fact, if we are to take the case of the negative construction that is the main topic of this paper, the apparent optionality of movement (sometimes main verbs raise above the negative marker, sometime they do not) could simply be such a residue: the editors were unable to create uniformity – they changed some verb forms, but left others unchanged. Alternatively, we might find some deeper reasons for it in the internal workings of this peripheral grammar. In order to do that, I will have to sketch a more general picture of the grammar first.

2.2 Pseudo-archaic grammar. General characteristics.

The deviation from the standard can be seen not only at the level of the vocabulary and morphology, but also at the syntactic level. Let us start by examining the lexical archaisms.

First of all, the book abounds in rare, archaic and/or poetic words, mostly nouns (*raiment* instead of 'clothes', *thrall* and *thralldom* instead of 'slave' and 'slavery', the plural *brethren* for 'brothers' *etc.*) and verbs (*to halt* instead of 'to stop', *to hearken* instead of 'to listen', *to essay* instead of 'to try' *etc.*). A few older adverbs are also used: *nigh* instead of 'close to' and *well-nigh* instead of 'almost', *ere* instead of 'before', *afar* instead of 'far away', *but* with the meaning of 'only', *save (only)* instead of 'except', *apace* instead of 'fast' – but their usage is relatively limited, and they alternate with their more modern counterparts. I provide some examples in order to illustrate how they are used:

(1) a. Eregion was *nigh to* the great mansions of the Dwarves. (= close)
b. … death drew *nigh* him, for there was venom on the fangs of the wolf.
c. … and *well-nigh* all the dragons were destroyed. (= almost)
d. Thingol was long silent *ere* he spoke. (= before)
e. … that they are *but* a part of the whole and tributary to its glory. (= only)
f. None have ever come back from the mansions of the dead, *save only* Beren son of Barahir. (= except)

Another interesting lexical archaism is the unusual usage of some of the verbs. For instance, *to stay* is also used as a transitive verb, with the meaning of 'to stop', as in:

(2) a. But Fëanor followed him, and at the door of the king's house *he stayed him*.
b. … for the Orcs wavered, and *their onslaught was stayed*.
c. … and Beleg, *staying his steps* beside the sleeper, saw that it was an Elf.

These examples suggest that the lexicon of *The Silmarillion* contains two separate verbs pronounced as *stay*: the normal, intransitive (unaccusative) verb, and a second, transitive verb, with an argument structure which includes two arguments (as in (2a) above) and can undergo passivization (2b).

The auxiliaries for the Future tenses are also slightly different from our common usage: *will* and *would* retain their original volitional meaning, while the unmarked, non-volitional cases are, for the most part, expressed by *shall* (and its past form, *should*, for indirect speech):

(3) But if this be your will, Thingol, *I will perform it*. And when we meet again *my hand shall hold* a Silmaril from the Iron Crown.

After having looked at all the occurrences of *will* and *shall*, I can confirm that the selection of one of the two auxiliaries is not determined by the subject (with *shall* for first person and *will* for second and third person or *vice versa*), but is indeed a matter of volition. In fact, when it is explicitly stated that characters do not want to do something, but know that it will happen, they use *shall*, and not *will*.

Moreover, there are a couple of cases where the verb *to will* is used not as an auxiliary, but as a full verb with the meaning of 'to want, to decide', which is rather rare today:

(4) Therefore *he willed that* the hearts of Men should seek beyond the world.

As far as inflectional morphology is concerned, in a number of contexts, Tolkien's pseudo-archaic language retains two verbal endings, *-st* for second person singular (*hast*, *hadst*, *canst*, *wouldst*, *dost*, *seest*, *knowest*, *thinkest*, *hiddest*, *givest*, *saist*, *namest etc*) and *-th* for third person singular (*hath*, *attempteth*, *rejoiceth*, *wieldeth*, *cometh*, *lieth*, *draweth*, *seeth etc*). For *be*, we can find the forms *art* and *wert* (second person singular).

Personal pronouns, too, may have a richer morphology, as the number distinction for the second person is in some cases conserved. Thus, we find the older forms *thou* (Nom.) – *thee* (Acc.) – *thy* (Gen.) – *thine* (Gen. predicative) for singular, and *ye* – *you* – *your* – *yours* for plural. Another, rarer, archaic usage is that of *mine* instead of *my* in front of a word starting with a vowel, as in *mine instrument*.

What is very interesting is that these two features are not used throughout the book, but are restricted to the speech of the characters, while the narrator uses *you* for both singular and plural and has all third person singular verbs ending in *-s*, not *-th*. This rather unnatural separation was used, presumably, to create the illusion of 'history' (the events happened long ago, when people spoke differently, and were recorded afterwards, when the language was closer to ours). However, it is only these two morphological traits that mark the distinction between the language of the author and the language of the characters; all other archaic elements are used uniformly. Moreover, in some rare cases, a character will use a *your* instead of *thine* – for this, I am fairly certain that it was an omission of the editors, and not something else.

Another peculiarity of Tolkien's language, this time a syntactic one, is that it preserves some traces of differential auxiliary selection for the perfect aspect. In today's language, this appears only in some frozen constructions, like the Easter greeting 'Christ is risen!' (instead of 'has risen'), but it is a know fact that Old English, just like some Romance languages like Italian or French, always selected the auxiliary *be*, and not *have*, for unaccusative verbs:

(5) *Se halga fæder wæs in agan.*
the holy father was in gone
'The holy father had gone in.'

(6) *Is nu geworden.*
is now become
'It has happened.'[1]

In a few cases, Tolkien's English follows the Old English rule for unaccusatives, and we can find some examples like:

(7) a. ... and he knew that his hour *was come*.
b. For the Noldor *were become* fierce and desperate.
c. But in the morning when the storm *was passed*...
d. ... and with them the Third Age *is ended*.

Finally, the last archaistic feature that I would like to mention here comes from the domain of nominal expressions. Throughout the book, we can find a handful of scattered post-nominal adjectives, which suggest that, in these cases, the noun raised to a higher functional projection within the DP:

(8) a. *Tears unnumbered* ye shall shed!
b. … its springs are in the wells of *sorrow unfathomed* at the foundations of the Earth.
c. … the gift of *life unending* is not for all.
d. … the blood of the Firstborn and a strain of the *spirits divine* that were before Arda…

[1] Examples (5)–(6) from Quirk and Wrenn 1955, 617, cited in Haegeman and Guéron (1999, 244).

With this, I will stop the inventory of the main characteristics of the pseudo-archaic English that we can find in *The Silmarillion*. Hopefully, this will serve as a useful context for integrating the archaistic structure that is the topic of my paper, *i.e.*, negation without *DO*-support. Before analyzing the specific construction, however, I feel the need to draw a broader picture of how negation is expressed in my chosen corpus.

3 Negation in *The Silmarillion*.

In the 365 pages of the paperback edition, I counted 1,426 cases of negation in *The Silmarillion*. However, the construction I target – a negative lexical verb that raises above the negative marker – is just one of the ways in which negation can be expressed in English. Before I could compare the number of occurrences of 'he knew not' with the number of occurrences of 'he did not know', I needed to see how these numbers compare to the general picture.

3.1 Classifications of negation

After gathering all the data, the first step was to identify the real clausal negations and take out those instances where the negative element does not create a negative context at the level of the whole sentence. In other words, I needed to discriminate between the three types of negation, from the point of view of *scope* (for this classification, I follow Cornilescu 2003, 37-38):

1. *word* or *affixal negation* – negation takes scope over a single word and is expressed by means of an inherently negative affix, generally a prefix: 'immeasurable', 'unmoved', 'unrest', 'discontent' *etc.*

2. *phrasal* or *constituent negation* – it takes scope over a certain phrase but does not render the whole utterance negative:

(9) a. … his kin, that dwelt [*not* [$_{\text{AdvP}}$ far away.]]
b. … for thou hast received [*not only* [$_{\text{NP}}$ forgiveness] but [$_{\text{NP}}$ bounty]].
c. But the delight and pride of Aulë is [$_{\text{PP}}$ in the deed of making], and [$_{\text{PP}}$ in the thing made], and [*neither* [$_{\text{PP}}$ in possession]] [*nor* [$_{\text{PP}}$ in his own mastery]].

3. *sentential* (or *nexal*, or *clausal*) *negation* – the negative element takes scope over the entire clause.

Affixal negation belongs to the domain of word formation rules, so I did not take it in consideration at all. However, I did consider all the instances of constituent negation, and tried to separate them from sentential negation. For this, I employed some of the diagnosis tests first proposed by Klima (1964) and explained by Huddleston & Pullum (2002, 787-790):

(10) a. His kin dwelt not far away.
b. *His kin dwelt not far away, *did it*?

c. His kin dwelt not far away, *didn't it*?
(the tag question has to be negative → affirmative sentence)
d. *His kin dwelt not far away, *and neither* did his enemies.
e. His kin dwelt not far away, *and* his enemies did so *either*.
(it does not accept a 'neither' continuation → affirmative sentence)
f. *His kin dwelt not far away, *not even* his grandpa.
g. His kin dwelt not far away, *even* his grandpa.
(it does not accept a 'not even' continuation → affirmative sentence)

In this way, out of the initial 1,426, I was able to isolate 82 occurrences of clear constituent, and not sentential, negations. All the cases that leave some space for ambiguity have not been left out, but included in the total numbers and considered sentential negation. I did this because, as we shall see in the next section, utterances where negation can have both a local and a clausal interpretation are important exactly for the raising/non-raising optionality that gives rise to lack of *DO*-support. For the moment, whenever the two readings were equally plausible, I chose the sentential one. In this way, I now had 1,344 negations to sort through.

Then, another classification of negation helped me narrow down my data (I used mainly Zeijlstra 2004, 39). Standard English is, like Classical Latin or Standard Dutch, a non-Negative Concord language; therefore, the single, necessary and sufficient, negative element that renders the clause negative can be expressed:

1. in the *functional domain*, *i.e.*, by a *negative marker* that takes scope over the VP or over some other projection of the split IP layer, or

2. in the *lexical domain*, *i.e.*, through a *negative quantifier* that binds one of the arguments or even the adjuncts of the verb.

This is illustrated by the simple contrast in the Latin example in (11), where (11a) has negation in the functional domain (the negative marker *non*), while in (11b) sentential negation is expressed in the lexical domain, with a negative pronoun in the Subject (= Spec of IP) position:

(11) a. Non *erat* *ullus* *domi.*
NOT be-IND.IMPERF.3SG any house-LOCATIVE.SG
'There wasn't anybody home.'
b. Nemo *erat* *domi.*
nobody-NOM be-IMPERF.PRES.3SG house-LOCATIVE.SG
'Nobody was home.'

3.2 Negation in the lexical domain.

The *Silmarillion* data collected by me included numerous instances of sentential negation in the lexical domain. Since the specific pseudo-archaic register that I am analyzing is exactly like the core grammar with respect to the absence of Negative Concord, I could safely assume that all the cases of negation through a negative quantifier are not within the scope of my target construction. Thus, I took another 542 utterances out of my data. Before abandoning them, however, I would like to give some examples of negation in the

lexical domain. In addition to all the negative quantifiers given by Huddleston and Pullum (2002, 831), Tolkien uses two other older forms, *none* (for *no one*) and *naught* (for *nothing*). Let us take them one by one.

The most often-used negative quantifier seems to the determiner *no*, which can appear in different positions: as an argument, in the subject DP (12a), in a direct object DP (12b), or in a prepositional phrase (12c); and as an adjunct, like the adverbial (location, manner, instrumental, separative, sociative) elements expressed by the PPs in (12d)–(12h):

(12) a. As yet [$_{DP}$ *no* flower] had bloomed.
b. But they could understand [$_{DP}$ *no* word of the tongue of the Naugrim].
c. … and be subject [PP to no command or ban].
d. Swiftly the wolf grew, until he could creep [$_{PP}$ into *no* den].
e. … you may [$_{PP}$ by *no* means] pass through the realm of King Thingol;
f. [$_{PP}$ By *no* sign] did he reveal that he knew already of Beren and the quest
g. [$_{PP}$ From *no* blood] wilt thou shrink.
h. … you shall fly from the Land of the Star [$_{PP}$ with *no* star] to guide you.

The negative pronouns *none* and *nothing* (and its archaic variant *naught*) can also appear in various syntactic positions: subject (13a, 14a, 15a), direct object (13b, 14b, 15b) or prepositional object (13c, 14c):

(13) a. They swore an oath which *none* shall break, and *none* should take.
b. They loved none but themselves.
c. and he sat (...) in the deepest shadows of his house, speaking to none.

(14) a. ...for nothing could escape the sight and scent of Huan.
b. He forgets nothing, and he knows all things that shall be.
c. In nothing did Melian show greater favour to Túrin than in this gift.

(15) a. Therefore naught was done at that time.
b. ...and, having naught left but his love for Níniel, he girt himself with a sword and went after her.

Finally, sentential negation can also be expressed by the negative adverbs of place (*nowhere*) and time (*never*), and by the adverbial phrases *no more* and *no longer*. I will return later to the problem of their position (before or after the main verb), but for now let us see some examples:

(16) a. He dwells nowhere long, but moves in all the deep waters about or under the Earth.
b. … for they *never* beheld the Light that was before the Sun and Moon.
c. Then she halted in wonder, and fled *no more*, and Beren came to her.
d. From the shadow of death you can no longer save Lúthien.

3.3 Negation in the CP

Apart from these, there are two more negative elements, *neither* and *nor*, which can introduce sentential negation in contexts such as these:

(17) a. ...he swore an oath to her [1]/ that he would *neither* slay Beren [2]/ *nor* imprison him [3]/.
b. The Orcs made *no* boast of that duel at the gate [1]/; *neither* do the Elves sing of it, for their sorrow is too deep [2]/.
c. *No* aid will the Valar lend you in this quest [1]/; but *neither* will they hinder you [2]/.
d. ... and I will maintain my power in the Vale of Sirion 1/ (...), so that none shall mark thy going [2]/, *nor* shall *any* find there the hidden entrance against thy will [3]/.
e. ... and there *naught* faded [1]/ *nor* withered [2]/, *neither* was there *any* stain upon flower or leaf in that land [3]/.

As we can see, the clauses introduced by *neither* and *nor* are indeed negative, because negative polarity items (NPIs) such as *any* can only appear in the syntactic environment of sentential negation, and not of constituent negation (Huddleston and Pullum 2002, 823). But this kind of sentential negation cannot be placed either in the lexical or in the inflectional domain. What is its position, then?

Following Moscati (2006), in my B.A. diploma paper (Ronai 2010, 51-56) I have shown that what traditional Latin grammars call 'negative link words' are in fact negative complementizers, with negation being expressed in the CP layer. These are the subordinating conjunctions *ne* ('not to') and *neve/neu* ('and not to') and the negative coordinating copulative conjunction[2] *neque/nec* ('and not'):

(18) *Veni* *Athenas* [1]/ neque *me* quisquam *ibi* *adgnovit* [2]/.
come-1st.SG Athens-ACC AND-NOT me anyone there recognize-3rd.SG
'I came to Athens and nobody recognized me there.'
(Cic., *Tusc.*, V, 104)

(19) *Litteras* *nuntiosque* *misit* [1]/,
letters-ACC messengers-ACC-AND send-IND.PERF.3rd.SG
ne *eos* *frumento* *iuvarent* [2]/.
NOT-TO them corn-ABL help-SUBJ.3rd.PL
'Sent letters and messengers… (with orders) that they should not assist them with corn.'
(Caes. *B.G.*, I, 26, 6, trans. W.A. McDevitte)

(20) *Obsecrant* [1]/ *ut* *suis* *fortunes* *consulat* [2]/
entreat-IND.3rd.PL to their property-ACC protect-SUBJ.2nd.SG
neu *se* *ab* *hostibus* *diripi* *patiatur* [3]/.
AND-NOT-TO them by enemies plunder-INF allow-SUBJ.2nd.SG
'<They> solemnly entreat him to protect their property, and not to suffer them to be plundered by the enemy'
(Caes. *B.G.*., VII, 8, 4, trans. W.A. McDevitte)

[2] Without going into the syntactic intricacies of their underlying structures, for the purposes of the present paper, I will treat coordinating conjunctions on a par with subordinating ones.

Comparing these three last examples with the data in (17), we can easily extend the analysis and consider *neither* and *nor* to be English negative complementizers that introduce sentential negation at the Left Periphery, in the same way that Latin negative complementizers do. Curiously, Moscati (2006) analyses complementizer negation in Latin, Irish, Scottish Gaelic, Basque, Gbe languages and Hebrew, but does not take English into consideration. Whether or not this strategy is specific to this particular 'pseudo-archaic' peripheral register (possibly even modeled after the Latin construction) remains to be clarified by further research. For now, I will be content with isolating the 88 cases of negation with *neither* and *nor* in the CP layer.

On the other hand, there are some examples where *neither* and *nor* do not introduce a new negative clause, but a constituent. Often, there is an entire string of negated phrases, each introduced by a *neither* or a *nor*. Consider the following data:

(21) a. But [$_{DP}$ [[$_{DP}$ *no* wizardry] [$_{DP}$ *nor* spell]], [[$_{DP}$ *neither* fang] [$_{DP}$ *nor* venom]], [[$_{DP}$ *nor* devil's art] [$_{DP}$ *nor* beast-strength]]], could overthrow Huan.

b. ... [$_{DP}$ [$_{DP}$ *neither* law], [$_{DP}$ *nor* love], [$_{DP}$ *nor* league of hell], [$_{DP}$ *nor* might of the Valar], [$_{DP}$ *nor* any power of wizardry]], shall defend him from the pursuing hate of Fëanor's sons.

c. [$_{DP}$ [$_{DP}$ *Neither* rock], [$_{DP}$ *nor* steel], [$_{DP}$ *nor* the fires of Morgoth], [$_{DP}$ *nor* all the powers of the Elf-kingdoms]], shall keep from me the treasure that I desire.

(22) Yet [[*neither* [$_{PP}$ by wolf]], [*nor* [$_{PP}$ by Balrog]], [*nor* [$_{PP}$ by Dragon]]], would Morgoth have achieved his end, but for the treachery of Men.

In (21), despite the repeated use of the negative element before each of the DPs, there is basically one complex DP, formed by the coordination of the others. This complex DP occupies the subject position and happens to be negated.

So, in the three examples, we have a case of negation expressed by a negative quantifier in [Spec, IP] position, just like in (13a), (14a) and (15a) above. As for (22), the negative elements are placed in front of three individual PPs for one single complex constituent, no different than the much simpler PP we have in the following example:

(23) [$_{PP}$ By *no* sign] did he reveal that he knew already of Beren and the quest.

Moreover, this strategy, used no doubt for the poetic (or at least emphatic) expressiveness that it has, exists in other languages as well. (24) and (25) are the Romanian translations of (21c) and (22) respectively.

(24) [$_{DP}$ [$_{DP}$ Nici *piatra*], [$_{DP}$ nici *oţelul*], [$_{DP}$ nici *focurile lui Morgoth*], [$_{DP}$ nici *toate puterile regatelor Elfilor*]], *nu mă vor despărți de comoara pe care o poftesc.*

(25) *Însă* [[nici [$_{PP}$ *prin lup*]], [nici [$_{PP}$ *prin Balrog*]], [nici [$_{PP}$ *prin Dragon*]]] *n-ar fi izbutit Morgoth să-și împlinească ţelul, dacă n-ar fi fost ticăloșia Oamenilor.*

I have, consequently, considered all the examples like those in (21) and (22) as instances of one single negation, and I have counted them together with the cases of negation expressed by negative quantifiers.

3.4 Negation in the IP.

After eliminating the lexical domain negation (542 cases) and the CP negation (88 cases) from the total of 1,344 cases of sentential negation, I was left with 714 cases of negation in the functional domain, expressed by the negative marker *not*, which takes scope in the IP layer. The results so far are summarized in Table 1 below:

<table>
<tr><td rowspan="2">TOTAL</td><td colspan="3">Sentential negation</td><td rowspan="2">Constituent negation</td></tr>
<tr><td>at the Left Periphery</td><td>in the lexical domain (negative quantifiers)</td><td>in the functional domain (IP layer)</td></tr>
<tr><td rowspan="2">1426</td><td>88</td><td>542</td><td>714</td><td rowspan="2">82</td></tr>
<tr><td colspan="3">1344</td></tr>
</table>

Table 1: Negation in The Silmarillion

At this point, I feel that I should mention a few considerations about the nature of *not*. In the sub-register that I am studying, *not* is the only negative marker available (there are no instances of *n't* at all). In regular contemporary English, however, *not* is restricted to the written and more formal register, while, in speech, it is only used when it is Focused, the normal negative marker in the oral and/or informal register being *n't*.

Not is analyzed as a negative adverb, *i.e.*, a maximal projection that occupies the Specifier position of the NegP, while *n't* is a negative head which is cliticized on the auxiliary verb: there is successive-cyclic head-to-head movement from V^0 to T^0, then to Neg^0 and finally to Agr^0 (Haegeman and Guéron 1999, 320). For a thorough discussion of *not* (negative adverb) *versus* head *n't* (and how this affected the rise of Negative Concord in those varieties of English that have lost *not*), see Zeijlstra (2004, 278). But for the purposes of this paper, I will follow Haegeman's analysis and consider *not* an AdvP in [Spec, NegP]

Coming back to the corpus of negation expressed by *not*, I had to embark on the rather painstaking task of classifying the 714 examples left, by separating them according to which type of verb they include (main verb, auxiliary, modal or copula).

This had to be done because the register phenomenon that interested me is only visible in the case of main verbs – the rest of the categories undergo raising in Standard English as well. As we can see, the examples which I will immediately give do not show any kind of deviation from the core grammar.

The raising verbs that appear in negative sentences in the corpus are the following:

1. Copula BE:

(26) a. … and I would weep, if I *were not* so weary.
b. But this Man *is not* Beren.
c. The fate of Men after death, maybe, *is not* in the hands of the Valar.

2. Passive auxiliary BE:

(27) a. But the island *was not moved* again.
b. In that time the woodmen *were not troubled* by the Orcs.

3. Progressive auxiliary BE:

(28) Fingolfin and Maedhros *were not sleeping*.

4. Perfect auxiliary BE:

(29) The wise have said that the hour *was not* yet *come*.

5. Perfect auxiliary HAVE:

(30) a. Ilúvatar *has not revealed* what he purposes for the Elves after the World's end, and
Melkor *has not discovered* it.
b. … for Finwë alone *had not fled* from the horror of the Dark.

6. SHALL / SHOULD:

(31) a. This kingdom thou *shalt not take* for thine own!
b. … demanded that Gorthol *should not be slain*.

7. WILL / WOULD:

(32) a. I *will not debate* with you, Dark Elf.
b. I *would not dwell* longer in the same land.
c. Maeglin *would not remain* in Gondolin as regent of the King.

8. MAY / MIGHT:

(33) a. By the laws of the Eldar I *may not slay* you at this time.
b. … for she *might not endure* the cold and the pathless voids.

9. MUST:

(34) for those who will defend authority against rebellion *must not* themselves *rebel*.

10. CAN / COULD:

(35) a. Further counsel I *cannot give*.
b. Melkor hated the Sea, for he *could not subdue* it.

There are a total of 416 instances of negation with one of these raising verbs in the data. Subtracting them from the 714 cases of IP negation, we are left with the 298 examples of verbal negation expressed either by DO-support, either by raising of the

main (non-copula, non-auxiliary, non-modal) verb. I have included the detailed classification of the types of verbs in Table 2.

RAISING VERBS	Copula *BE*	**81**
	Passive auxiliary *BE*	**64**
	Progressive auxiliary *BE*	**1**
	Perfect auxiliary *BE*	**3**
	Perfect auxiliary *HAVE*	**56**
	SHALL / SHOULD	14 + 14 = **28**
	WILL / WOULD	23 + 63 = **85**
	MAY / MIGHT	9 + 7 = **16**
	MUST	**2**
	CAN / COULD	19 + 60 = **79**
	TOTAL	**416**
MAIN VERBS		**298**
TOTAL		**714**

Table 2: Negation in the functional domain (IP layer).

3.5 *DO*-support *vs.* Raising

The remaining part of this section is concerned with a contrasting quantitative analysis of the two structures involving negation with main verbs, the one with and the one without *DO*-support. I have done the statistics only for the two structures with respect to each other, since, in my opinion, it would not have been in any way relevant to look at the percentages out of the number of IP negations, or out of the total number of sentential negations.

The truly important fact is to see how many of the sentences have raising and how many resort to *DO*-support, within the specific and limited range of sentences that do not need an auxiliary for any other reasons (like expressing the perfect or progressive aspect, or the Future, or deontic or epistemic modality). But before including the actual figures, I would like to provide some of the contexts in which the two strategies appear.

The first thing to note is that there are certain fragments (paragraphs or even pages) where one strategy seems to be predominant. Here are two such short passages:

(36) a. Then Thingol fortified the marches of his realm, and *went not* to war, nor any out of Doriath save Mablung and Beleg (…). To them Thingol gave leave to go, so long as they *served not* the sons of Fëanor.
b. Thus Elendil held himself in readiness, and *did not meddle* in the evil deeds of those days; and ever he looked for a sign that *did not come*.

Another curious fact is that main verb negations that are immediately followed by another negation expressed by raising of an auxiliary tend to adopt the raising strategy as well:

(37) a. … and though he *knew not* yet that Maedhros *had not* forgotten him at the burning of the ships,
b. The oath *says not* that we *may not* bide our time
c. … and though they *knew not who* in truth he was they *would not* admit him to that land.

Here is another example, this time with the same verb, *to have*, which is first a full lexical (with its possessive meaning) and is then used as an auxiliary for the perfect:

(38) And thou, Melkor, shalt see that no theme may be played that *hath not* its uttermost source in me (...). For he that attempteth this shall prove but mine instrument in the devising of things more wonderful, which he himself *hath not imagined*.

With the examples I provided in (37) and (38) above, what I wanted to illustrate was not the use of negation with the auxiliaries (where the raising strategy is the only one available), but the preference for one of the two types of constructions available for the lexical verb.

If this is not pure coincidence, it may indicate a tendency towards uniformity – one of the two variants was chosen once, and the following negative contexts reinforce the choice. If this is true, then it would parallel what happens in actual language change.

As Butters (2001, 205-207) explains, linguistic change can be understood as a process of mutual reinforcement of an innovative element, through inter-speaker feedback (one language user produces an utterance which is slightly deviant from the norm, then the interlocutors take up the deviation and amplify it).

However, there are numerous passages in *The Silmarillion* that do no show any kind of preference towards one or the other of the two strategies, and we can even find examples of one main verb negation through raising and one main verb negation through *DO*-support in the same sentence, as in the examples below:

(39) a. This was known to the kings, but they *hindered it not*, so long as the Elendili departed from their land and *did not return*.
b. … and he *saw not* to the depths of Melkor's heart, and *did not perceive* that all love had departed from him for ever.

In (37b), the two verbs even belong to the same class, but this does not stop them from using different strategies for expressing negation.

With respect to certain specific constructions, we can see that some are uniform in their behavior and some are not. Negative questions, for instance, always employ the *DO*-support strategy, as we can see in these examples:

(40) a. *Do I not strike* near the truth?
b. *Dost thou not see* that these things have now a life of their own...?

On the other hand, negative imperatives alternate between *DO*-support and lack thereof:

(41) *Do not flaunt* the title of your wife before me!

(42) a. *Doubt not* the power of Morgoth Bauglir!
b. *Slay him not*, but lead him hither to the King's judgement!
c. *Go not* forth!
d. *Enter not* into it!
e. *Let them not* so swiftly *forget* that their father is a lord of the Noldor!

Even the same verb, in this case copula *BE*, can form a negative imperative by either of the two strategies:

(43) a. *Be not hasty*!
b. *Do not be troubled*!

All in all, these examples do not point to any kind of coherent pattern. Let us then turn to the statistics.

At a first glance, the slightly greater number of non-*DO*-support constructions could be an indication that the raising strategy is the unmarked one in the peripheral grammar of pseudo-archaic English:

Used strategy	**Total = 298**	**Percentage**
DO-support	**123**	**41.28 %**
Raising of the lexical verb	**175**	**58.73 %**

Table 3: Main verb negation.

But at a closer look, if we are to take into consideration the percentage of *DO*-support for certain individual verbs, or classes of verbs, we will notice that the situation is not as clear-cut as it first appeared. In Table 4, I provide some examples that I find relevant.

VERB	*DO*-support	Raising of the lexical verb
to know	**5 (13.58 %)**	**32 (86.42 %)**
to love	**2 (22.22 %)**	**7 (77.77 %)**
to die	**4 (44.44 %)**	**5 (55.55 %)**
to come	**5 (26.32 %)**	**14 (73.68 %)**
to dare	**4 (33.33 %)**	**8 (66.66 %)**
to go	**3 (37.4 %)**	**5 (62.5 %)**
to slay	**0 (0 %)**	**2 (100 %)**
to have (possessive)	**0 (0 %)**	**5 (100 %)**
to find	**2 (22.22 %)**	**7 (77.77 %)**
to betray	**2 (100 %)**	**0 (0 %)**
VERBS OF PERCEPTION	**21 (75 %)**	**7 (25 %)**

Table 4: Main verb negation – some examples

I have to acknowledge the fact that the relatively small size of the corpus renders the statistics not very reliable. For many of the verbs, the percentages are within chance level, and no serious quantitative analysis can be based on such a small number of examples. However, Table 4 does contain some facts that are puzzling and worth noticing.

The first is that the lexical verb *to have* is never involved in a *DO*-support configuration. This has to be linked with the phenomenon in some actual British English dialects, where, as Haegeman and Guéron (1999, 322-324) explain, possessive *HAVE* is a raising verb.

Next, the behavior of the verb *to dare* in Tolkien's peripheral language confirms a tendency that exists in 'real-life English' as well. According to Hudson (1997, 59), *DARE* is currently undergoing a transformation process and is on its way to becoming a modal verb.

The fact that in my corpus it appears in few *DO*-support cases and in twice as many raising configurations reflects this tendency, suggesting that the 'pseudo-archaic language' that I am analyzing is somehow in harmony with the standard grammar.

Finally, one other fact that we can understand from the table is that it would not be at all wise trying to come up with a semantic analysis of the verbs (like classifying them according to their meaning and predicting, on the basis of the class, which strategies they will adopt).

How can a certain verb, *to know*, have such a completely opposite behavior with respect to the behavior of the rest of the verbs in its semantic category (in this case, verbs of perception and mental processes, specifically: *to understand*, *to perceive*, *to comprehend*, *to see*, *to hear*, *to remember*, *to forget*, *to foresee*, *to purpose* (= 'to intend'), and *to wish*)?

Since semantics cannot give us the answer, I will try to base my attempt at providing an explanation on syntax, together with a few extra-linguistic considerations.

4 (Lack of) *DO*-support – syntax

In order to find a possible explanation for the data and to come up with a plausible reason why raising of the main verb is available in the pseudo-archaic peripheral grammar, I will adopt a diachronic perspective.

By retracing the steps of the rise of *DO*-support in standard English, I will, hopefully, be able to see if Tolkien's language suffers a reverse process, *i.e.*, a loss of *DO*-support as an effect of the fact that main verbs can still undergo raising.

The phenomenon was first thoroughly studied by Ellegård (1953), who, on the basis of some very extensive corpus analyses, established that the loss of main-verb-raising and the emergence of *DO*-support happened during the 15th and 16th centuries (Hudson 1997, 41).

Taking up Ellegård's data, a number of linguists tried to offer explanations of the causes of the phenomenon. The most useful description I could find in the literature was that of Hudson (1997), who, in his article, compares two opposing accounts for the rise of *DO*-support.

One of these accounts, that I will be adopting, belongs to Kroch (1989, 1994) and is rooted in the Principles and Parameters framework. Kroch had proposed a theory of Grammar Competition, according to which linguistic change consists in the resetting of a Parameter: at a certain moment in time, speakers of a language may have two alternative grammars, which differ with respect to a Parameter. But a process of selection takes place and one of the two variants is gradually eliminated, with the Parameter receiving a new value.

What is important to remember from this hypothesis is that the old and the new pattern are considered to be two distinct grammatical systems, of which one eventually takes precedence over the other (Hudson 1997, 53).

In our case, the relevant Parameter is the raising of the main verb: lexical verbs used to have the possibility to raise, but they have lost it, and *DO*-support entered the language as a last-resort strategy.

As Hudson (1997, 42) puts it, "the only reason for using auxiliary DO in Modern English is because the syntax requires an auxiliary and no other auxiliary is needed by the sentence's meaning. *DO* fills the gaps when non-auxiliary verbs are not allowed and where other auxiliaries are not needed."

This explanation can be applied to our corpus. Below I have tried to draw a syntactic representation of the structure with and without raising.[3]

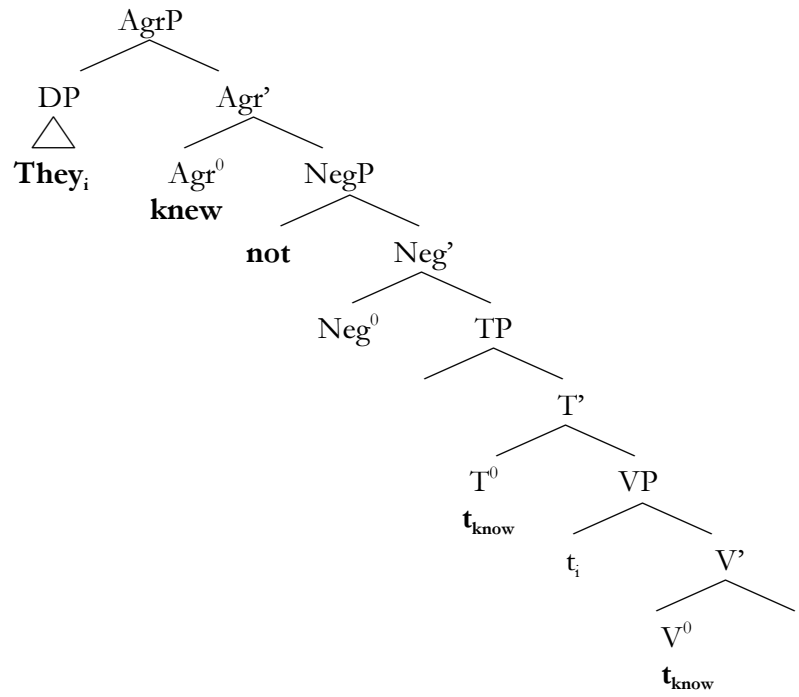
As Haegeman and Guéron (1999, 316-321) explain, in contemporary English *DO* enters the derivation in the head of T and raises to the head of AgrP, while the lexical verb stays in its base position (the second tree).

For the structure without *DO*-support, I will assume that the main verb undergoes head-to-head movement from V to Agr, thus ending up in a position just above the

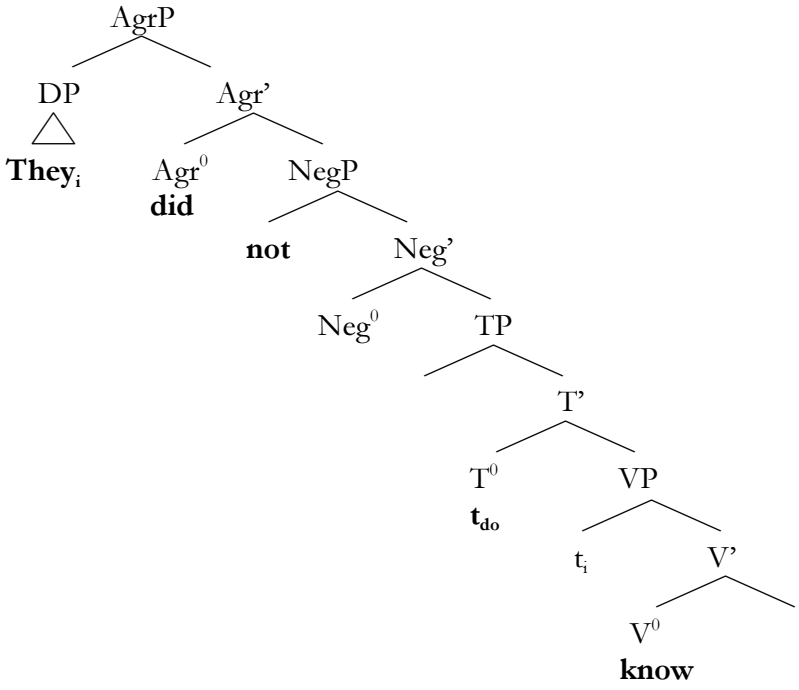
[3] One of the anonymous reviewers criticized the paper for adopting a 'slightly outdated model of grammar'. I accept this observation, and agree up to a certain point. However, the rather pre-Minimalist model of grammar that I make use of in this paper is more than sufficient for the specific purposes I have set, namely, describing a certain structure in a certain peripheral grammar. Any further and deeper discussion of the mechanics of two syntactic configurations is beyond the scope of my paper.

negative marker, which, as I have already mentioned, is a maximal projection in the [Spec, NegP] position. I have tried to represent this in the first tree:

(44)



(45)



5 Tentative account and conclusions

So far, I have elucidated the representation of the two competing structures and I have adopted Kroch's (1989, cited in Hudson 1997) hypothesis that the rise of *DO*-support in

Modern English is the result of a change in the raising parameter. Now, I will try to speculate as to why the pseudo-archaic peripheral grammar in the chosen corpus seems to have both of these structures.

The first idea that comes to my mind is that Tolkien's *Silmarillion* language (due to the reasons that I have mentioned in section 1.1) has been artificially brought back to the stage in which English had two alternative grammars, with different values for the raising parameters (like in the 15th century). There is, therefore, some minor code-switching happening whenever the author selects one of the two strategies. The motivation for the selection can be different, and, as Butters (2001) would explain, chance might play a role in this as well.

The important fact is that the possibility of code-switching between two alternative grammars exists in this case of pseudo-archaic register. Thus, the language of *The Silmarillion* is peripheral grammar in itself, but, in addition to this, it includes two separate sub-grammars that give rise to the two constructions. The fact that the data includes comparable numbers of instances of the two strategies and that no apparent pattern can be discerned is another argument in favor of this unbalanced state of the two alternative systems.

As to the reasons for which this apparent reversal of language change has been made, we should take a sociolinguistic approach. Butters (2001, 201) points out that "sometimes consciously and sometimes unconsciously, people speak like the people they want to think of themselves as being; linguistic differentiation is a matter of the presentation of self in everyday life."

I think that this idea can be applied to books as well: books are written as the readers expect them to be written – or, at least this is true in the case of *The Silmarillion*. The author and the editor knew that fans expected an 'old' book. Its special status as the 'background' for Tolkien's other works, the fact that the plot is set in the earliest eras of his fantasy universe and the author's esthetic preference for a seemingly 'older, higher' language have led to the creation of a register which adopts some structures of earlier stages of the language, *i.e.*, a pseudo-archaic peripheral grammar.

It is, I believe, also important to state that the goal of this retroactive change was not the exact imitation of a particular stage in the actual history of the English language, but rather the creation of an artificial variety that would have the 'feel' of an older language. Tolkien was not a generative linguist; he knew nothing about syntactic trees, raising or parameters – he was, however, a dedicated scholar and a philologist with a keen sense of language, or, better said, of the effect language can have on readers. Therefore, even if, syntactically, his system is not perfect and lacks a certain coherency, from the 'stylistic sociolinguistic' point of view referred to above, his attempt was successful.

In this paper, I have tried to present the general characteristics of this special (albeit literary) variety of English, and I have focused on the one syntactic characteristic that seemed to be the most relevant. I am aware of the fact that I have barely touched upon the issue of the two competing syntactic systems (the raising and the support strategies), and that the actual mechanism that regulates the choice for one or the other of the structures was not clearly explained. Furthermore, the analysis of this problem in the language of a literary text raises questions about the syntactic situation in the history of 'real' English. All these are, of course, topics for further research.

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