History vs. Theory:

The Grammaticalization of the Uzbek say-Complementizers

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I. Introduction

Among the controversial aspects of grammaticalization, the notion of unilinear change is one which is rarely critically examined. On the one hand it is worth noting certain cross-linguistic trends that characterize grammaticalization phenomena: verbs meaning “go” or “want” becoming markers of future tense, or spatial nouns becoming pre- and postpositions. On the other hand, strong claims are often made regarding the exact details of how these forms grammaticalize. Saxena, for one, proposes the following cline for the grammaticalization of “say” verbs into complementizers, supporting her claim with Givón’s hierarchy of complement binding, as well as a good deal of cross-linguistic evidence:

(1) quote → say → know → believe → want → purpose/reason → conditional → comparison

For actual complementizers, she goes on to propose the following cline:

(2) say → know → decide → hope → want
tell think agree believe

‘Utterance’ ‘Cognition’ ‘Modality’

Uzbek, however, followed a radically different path.

Goals for this presentation:

a. To describe the current use of the Uzbek say-complementizer, as well as other complementation strategies
b. To describe the historical development of the complementizer from content word to function word
c. To place this synchronic and diachronic data in a typological perspective

1 Many thanks to Salikoko Mufwene and Victor Friedman for their assistance and comments on earlier drafts of this paper.
Things to keep in mind:

a. ‘Complementation’ will be used loosely here. In many cases it will cover phenomena better described as converbs, subordinators, coordinators, etc.
b. Grammaticalization is best described as a result, not a process. Moreover, it can be (and here, will be) used to describe the development of new functional forms, regardless or origin.
c. Most data is taken from Internet sources. URLs will be provided with examples. Unattributed examples are from informants.

II. On Uzbek

• Spoken by about 21 million in Uzbekistan, Afghanistan, Tajikistan, China, and surrounding areas.
• Official dialect of Uzbekistan is employed here.
• Eastern/Turki/Chagatay branch of Turkic, descended from Chagatay
• Typologically:
  o SOV / Head-final
  o Modifier-Modified
  o Nominative-Accusative w/ differential object marking
  o “Agglutinative”
• Official Latin orthography is employed here. Graphemes represent their IPA equivalents, except:
  o a /a, æ/, ch /ʧ/, g’ /ğ/, j /ʤ/, ng /ŋ/, o /o, o’ /ɔ, œ/, sh /ʃ/, y /j/, ’ /ʔ/

III. Complementation in Uzbek

Persian complementizer ki:

(3) Bil-a-di-ki, shunday qil-sa u-ni otish-a-di
Know-PRES-3SG-COMP thus do-COND.3SG he-ACC shoot-PRES-3SG
He knew that if he did that, they would shoot him.

• Violates SOV word order - clausal object is post-verbal
• Allows for full range of TAM marking in complement
• Used with all complement-taking verbs

Nominalized Clause

(4) Yaralan-ib, yiql-gan-i-ni aniq bil-a-di
be.injured-CVB fall-NOM-3SG-ACC for.sure know-PRES-3SG
She knows for sure that he had fallen and gotten injured.

2 www.ziyouz.com/index.php?option=com_content&task=view&id=811&Itemid=228
• Conforms to SOV word order - clausal object is pre-verbal
• Allows for almost no TAM marking in complement
• Used with all complement-taking verbs

Bare Clause

God rebel Satan-LOC ask-PST.3SG Why order-1SG-DAT obey-NEG-PST.2SG
God asked the rebel Satan, “Why did you not obey my order?”

• Variable word order; often SOV, but affected by heavy NP shift, scrambling
• Allows for full range of TAM marking in complement clause
• Used only for verbs of speech (and related concepts such as writing, reading, thought)

Say-Complementizers

(6) Er-dan bahra ol-ib balki o's-ib ket-ar deb o'yla-di.4
man-ABL profit take-CVB maybe grow-CVB CONT-AOR.3SG COMP think-PST.3SG
He thought that he would take a profit from the man and maybe it would continue
to grow.

• Two forms: deb and deya. Both are derived from the verb de-, meaning “say”
• The two forms are unevenly distributed. Deb is more common.
• Conforms to SOV word order - clausal object is pre-verbal
• Allows full TAM marking in complement
• Used only with certain complement-taking verbs

Uses of deb and deya

Converbial

(7) Avtobus-dan chiq-ib, “Salom” de-ya, uy-ge kir-di.
Bus-ABL exit-CVB “Hello” say-CVB house-DAT enter-PST.3SG
He exited the bus, and saying “Hello”, entered the house.

• Converbs are non-finite forms of verbs and function much like serial verb constructions
• Bear a range of possible meanings:
  o sequence
  o cause-and-effect
  o manner
• Have grammaticalized into a variety of forms, including:

4 bananas.moy.su/news/2007-04-25-351
- compound verbs
- aspect markers
- light verbs with meanings of ability, attempt, frustrativity
- complementizers

Quotative markers

(8) “Yo Jabroil, jahannam-ni sifatla-b ber?” *deb/deya* ayt-di-lar.⁵
Hey Jabroil hell-ACC describe-CVB BEN.IMP QUOT say-PST-3PL
“Hey Jabroil, describe hell for us,” they said.

- Both *deb* and *deya* are employed. Functions similarly to regular complementation

Purpose markers

(9) Odam-lar yaxshi yasha-sin *deb*, tinchlikka izmo.chek-di-k
People-PL well live-OPT.3SG COMP peace.treaty-DAT sign-PST.1PL
We signed the peace treaty so that the people might live a good life.

(10) Sen-i ovqat qil-sin *deya*, terlar to'k-yur-a-man.⁶
You-ACC food make-OPT.3SG COMP sweat pour-CVB run-PRES-1SG
I’m running around sweating in order to make you food.

- Both *deb* and *deya* are employed
- [X *deb/deya*] Y means something like: “In order to X, Y”

Full Complementation

(11) Washington O'zbekiston hozirgi yo'l-dan qayt-a-di, *deb* umid.qil-moq-da.⁷
Washington Uzbekistan present path-ABL leave-PRES-3SG COMP hope-INF-LOC
Washington is hoping that Uzbekistan is leaving its present path.

- Only *deb* is used here
- Given Givón & Saxena’s hierarchies, complementation with *deb* occurs for the following verb types:

<table>
<thead>
<tr>
<th>Utterance</th>
<th>Cognition</th>
<th>Modality</th>
</tr>
</thead>
<tbody>
<tr>
<td>“say”</td>
<td>“know”</td>
<td>“believe”</td>
</tr>
<tr>
<td>YES</td>
<td>RARELY</td>
<td>YES</td>
</tr>
<tr>
<td>“decide”</td>
<td>“agree”</td>
<td>“hope”</td>
</tr>
<tr>
<td>RARELY</td>
<td>NO</td>
<td>YES</td>
</tr>
<tr>
<td>“want”</td>
<td></td>
<td>NO</td>
</tr>
</tbody>
</table>

- Other verbs *deb* can appear with (not covered by Saxena or Givón, but covered by Dixon):

⁶ forum.arbuz.com/showthread.php?t=4843&page=21
Raising Complementation

(12) Ular she'r-ni ilohiy deb bil-a-di…

They poem-ACC sacred COMP know-PRES-3SG

They know the poem to be sacred.

- Only deb is used here
- The subject of the complement clause is assigned accusative case and behaves like the object of the matrix clause
- Occurs with only a few verbs:
  - bil- ‘know’ — raising — ‘consider’ (raising only)
  - o’yla- ‘think’ — raising — ‘consider’
  - top- ‘find’ (raising only)
  - ko’r- ‘to see as, consider’

(13)

<table>
<thead>
<tr>
<th></th>
<th>Converbal</th>
<th>Quotative</th>
<th>Purposive</th>
<th>Complementizer</th>
<th>Raising</th>
</tr>
</thead>
<tbody>
<tr>
<td>deb</td>
<td>+</td>
<td>+</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>deya</td>
<td>+</td>
<td>+</td>
<td>+</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

IV. The Grammaticalization & Development of the Uzbek say-Complementizers

- History can be reconstructed using:
  - Modern data
  - Data from Chagatay, the ancestor of Uzbek

V + V Structures: “Converbs”

- Common to all Turkic languages
- Consist of two verbs
  - V1 takes either the -ib or -a endings
  - V2 is marked for TAM, person/number, etc.
  - Verbs share a subject, may or may not share an object
  - V1 is interpreted as having the same TAM & φ-features

(14) Murodjon gugurt chaq-ib vklyuchatel-ni top-di. (Bodrogligeti 2003: 582)

Murodjon match strike-CVB switch-ACC find-PST.3SG

S O1 V1 O2 V2

Murodjon lit a match and found the switch.

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8 gzt.uz/uzbl/madaniyat_va_sport/chinhayda_yangragan_navolar.mgr
Verb → Converb → Quotative Marker

- *De-* “say”
  - Can take a bare quote as its complement
  - Likely used converbially to indicate direct speech
  - Syntactic reanalysis:
    - “Quote” *deb/deya* V → [“Quote” *deb/deya*]_{COMP} V
  - Occurred at least as early as the 8th Century (Abdurahmonov 1974: 77):

  (15) “Toruq buqulî’ semiz buqulî’ īraqda bölsér semiz buqa toruq buqa,” 
  _tiyin_
  Thin bull.COM fat bull.COM far.LOC split.COND.3PL fat bull thin bull COMP
  ...saying “If a thin bull with a fat bull are separated to far away places, the fat bull is the thin bull.”

Quotative Marker → Marker of Purpose

- Per Saxena, the next step should be the development of complement constructions
- However, these do not appear in early texts; purpose constructions do
- From 8th Century

(16) Budunûg igidäyin _täyin_, …uluğ sü äki yâgirmi… süpjüśdim…
People raise.spirits.OPT COMP many times twelve fight.PST.1SG
“In order to raise the spirits of the people, I fought twelve (troops) many times.”

Still found in Uzbek, with some changes:

(17) Xalq-ni ko’ngl-i ovla-sin _deya_, ko’p vaqt...
People-ACC spirits-3SG lift-OPT.3SG comp many time...
“In order to lift the people’s spirits, many times…”

- Parallels between 8th Century and Modern Uzbek purpose constructions:
  - Use of both *deb* and *deya*
  - Use of the optative mood in the verb of the subordinate clause

Marker of Purpose → Chagatay Complementizer

- No longer found in Uzbek
- Appeared as early as the 11th Century
- Both *deya* and *deb* are used
- Use of the optative mood in the verb of the complement clause

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9 http://www.tonyukuk.net/ton/ton1_1.htm  Translation is mine. From the Kül Tegin inscriptions.
10 Abdurahmonov 1974: 77.
• Used only with verbs of wishing, hoping, praying, i.e. verbs whose complements have future/irrealis readings

(18) Kishi yibar-ib köb mäl bäräyin teb tiländi… (Abdurahmonov 1974: 78)
Person send-CVB many cattle give-OPT COMP wish-PASS-PST.3SG
Sending a man, it was wished that he would give them many cattle…
(Abdurahmonov 1974: 78 - from Abulg’ozi Bahodirxon’s Shajarai Tarokima)

• Some ambiguity between purpose and complement readings:

(19) Duā qil-di, …arīğ sālih-lar qob-sun-lar dāb.¹¹
Prayer LV-PST.3SG poor virtuous-PL arise-OPT-3PL COMP
He prayed that the poor virtuous ones might arise.
or
He prayed in order that the poor virtuous ones might arise.

• This construction began to die between the 14th & 16th Centuries; it was gone by the early modern period, when it was replaced by the new complement construction in the 17th Century (Abdurahmonov 1974:78-9).

Quotative Marker ⇒ Modern Uzbek Complementizer

• Likely developed as deb came to be used as a marker of indirect speech; deya is reserved for direct speech

(20) Bosh-i-da qiziqchilik-dan boshla-gan-miz deb/*deya ayt-dim-ku.¹²
Beginning-3SG-LOC fun-ABL start-IPFV-1PL COMP say-PST.1SG-P
I said that in the beginning we started to do it for fun.

• The deb complementizer then spread to other verbs, but competed with other strategies of complementation

Modern Complementizer ⇒ Raising Complementizer

(21) Karimov aslida Umida-ni aybli deb top-di…¹³
Karimov actually Umida-ACC guilty COMP find-PST.3SG
Karimov actually found Umida guilty.

¹¹ Abdurahmonov 1974: 78 -- Bear in mind that many Chagatay examples are poetry, and that the order of the major constituents may be altered to fit poetic meter.
¹³ www.jahongir.org/KITOBLAR/kashfiyot_lotinda.html
Possibly derived via a reanalysis of the passive of a complement construction:
  - Passive: [Subject, Predicate deb] V-PASS
  - Reanalyzed as: Subject, [Predicate deb] V-PASS
  - Active: Subject Object, [Predicate deb]

V. Theoretical Implications

- Grammaticalization is best seen as a process that acts on constructions, rather than individual morphemes
  - This allows us to account for the competition between complementation strategies as the product of construction frequency and semantic considerations

- Typological generalizations do not always provide historical insight
  - Modern Uzbek generally obeys Givón’s hierarchy of complement taking verbs:

(22)

<table>
<thead>
<tr>
<th>Say</th>
<th>Know/Think/Decide</th>
<th>Like/Fear</th>
<th>Hope/Want</th>
<th>Plan/Try</th>
<th>Start/Finish</th>
<th>Cause</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Complement Clause</td>
<td></td>
<td></td>
<td>Converb</td>
<td>Morpheme</td>
<td></td>
</tr>
</tbody>
</table>

- Free clause, few restrictions----------------Bound clause, more restrictions

- But typological generalizations are just that: general
  - Predictions cannot be made about individual verbs, only about the verb system as a whole
  - And when multiple ways of expressing a certain relation are available, historical development will be affected by competition between forms

Directions for future research:
- A statistical examination of the frequency of use of various types of complementation by various verbs
- An examination of Turkic as a whole: Turkish and Sakha (at least) have *say*-complementizers derived from the same verb *dē-*
Bibliography


Hopper, Paul J. and Elizabeth Class Traugott. 2006. Grammaticalization. 2nd Ed. Cambridge: Cambridge UP.
Appendix: Chart of the Development of *deb* and *deya*