

# A pragmatics-driven theory of intonational meaning

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## 1. Introduction

**Aim:** a theory of Dutch/English intonational meaning that is:

- i. *compositional*, focusing on: (section 2)
  - nuclear accents H\* / L\* (not distinguished here);
  - suffixes H(-) / L(-) / null (also ‘phrase accents’);
  - and boundary tones H% / L% / % (= ‘continuation’).
- ii. *empirically adequate*, e.g.:
  - rising declaratives;
  - fall-rise contour; (section 4)
  - topic and focus; (section 5)
  - question intonation (tentative); (section 6)
- iii. *explanatory*: (appendix A)
  - the assumed meanings are *non-arbitrary* and *useful*;
  - with cross-linguistic potential.

**Crucial ingredient:** (Westera, 2013)  
High suffix/boundary tone marks a *maxim violation*.

What this implies depends on one’s *pragmatic theory*:

- **attentive pragmatics**; (section 3, appendix C)
- motivated largely by *exhaustivity* (Westera, 2014a).

## 2. The proposal

**Assumed intonational building blocks:**

Gussenhoven’s (2005) Dutch intonation phrase (IP) (German and English being ‘essentially the same’):

$$\text{IP} = \left\{ \begin{array}{l} \%H \\ \%L \end{array} \right\} \left( n \times \left\{ \begin{array}{l} H^* \\ L^* \\ H^*L \\ L^*H \\ H^*LH \end{array} \right\} \right) \left\{ \begin{array}{l} H^* \\ L^* \\ H^*L \\ L^*H \\ H^*+H \end{array} \right\} \left\{ \begin{array}{l} H\% \\ L\% \\ \% \end{array} \right\}$$

- A. **H\*/L\*** (not distinguished) mark the existence of relevant *focus alternatives* (in a non-standard sense, see section 5).
- B. **H/L suffix**: the utterance (up to the next %) {violates a maxim / complies with the maxims} relative to (or due to) the accented constituent(’s alternatives);
- C. **H%/L%**: the utterance so far {violates a maxim / complies with the maxims} relative to the prior discourse context;
- D. **null suffix / %**: the maxims don’t apply (yet).
- E. **relative pitch** of suffixes/boundaries marks the degree of violation/compliance, e.g., high H for *Quality* violations.
- F. intonational meaning is a *conventional implicature*.

- (1) A: What about John; what did he have?  
B: John had the beans.  
L\*H<sup>a</sup> H\*L<sup>b</sup>L%<sup>c</sup>
  - a. a maxim is violated relative to John(-alternatives);
  - b. but not relative to the beans(-alternatives);
  - c. nor relative to the prior conversational goal.

**Notes:**

- I. **The crucial ingredient (maxim violation) is new in its generality, but not in spirit.** Ward and Hirschberg (1985) take fall-rise to convey *uncertain relevance*. Gunlogson (2008) takes rising declaratives to signal *lack of commitment*, in a discourse model where such commitment is required. High suffixes (as marking contrastive topic) are analysed as leaving an overarching question unresolved, though phrased in terms of *strategies* (Büring, 2003).
- II. **Some of the assumed meanings can hardly be called ‘meanings’**, e.g., a null boundary % just *is* unfinishedness; and a low boundary L% as well as compliance with the maxims are the unmarked case. Indeed, I argue that *all* assumed meanings are similarly natural (appendix A); Westera, 2014b).

## 3. Pragmatic background theory

### 3.1. Three levels of semantic content

- i. **Informative content**: a set of worlds, corresponding (when uttered) to the Gricean *what is said*.
- ii. **Implicated content**: a set of worlds, corresponding (when uttered) to the Gricean *conventional implicature*.
- iii. **Attentive content**: a set of sets of worlds, the *possibilities* to which the sentence (when uttered) would *draw attention*. (Ciardelli, 2009; Hamblin, 1973; Alonso-Ovalle, 2006);

Attentive content distinguishes:

- (2) a. John was there, or Mary was there.  
b. John was there, or Mary, or both were there.

For our purposes: the set of *nucl. accent-containing disjuncts*.  
(Too simplistic for quantification, embedding...)

### 3.2. Conversational maxims

(Phrased in terms of *possibilities* (sets of worlds).)

- ‘Attentive Pragmatics’:**
- A. **I-Quality** Confirm only possibilities that are true.
  - B. **I-Relation** Confirm only relevant possibilities.
  - C. **I-Quantity** Confirm all relevant possibilities, respecting I-Quality. (essentially Grice, 1989)
  - D. **A-Quality** Draw attention only to live possibilities.
  - E. **A-Relation** Draw attention only to relevant possibilities.
  - F. **A-Quantity** Draw attention to all relevant possibilities, respecting A-Quality. (Westera, 2014a)
  - G. **Impl-Quality** Implicate only what is true.
  - H. **Manner** Be clear, concise, etc.

**Conversational implicature:** Information the speaker intends to convey, for the recognition of which she relies on the hearer’s presumption of the speaker’s compliance with the maxims.

- (3) A: Who were at the party?  
 B: That bastard John was there, or Mary was.  
           H\*          %   H\*L   L%
- Informative:** that John or Mary was there;  
**Attentive:** {John was there, Mary was there};  
**Implicated:** that John is a bastard;  
**Conv. impl.:** not both, and no one else was there.
1. both/others being there would be relevant;
  2. B didn't draw attention to it;
  3. hence she must not consider it possible.
- (A-Quantity/A-Quality)

#### Notes:

- I. **Attentive pragmatics explains exhaustivity/scalar implicatures in a new way**, without the *competence assumption*. For motivation see appendix B.
- II. **A partial characterisation of the notion of relevance is given in appendix C** (but it is kept out of the maxims for several reasons). Intuitively, think of a proposition as 'relevant' if its truth being known to an agent would contribute wholly (or 'optimally') to one of her goals.
- III. **The Quality/Quantity clashes are built into the Quantity maxims**, unlike (Grice, 1989) (but like, e.g., Harnish, 1976), for two reasons:
  - i. conceptually: unless we'd assume that all relevant possibilities are true, a Quantity/Quality clash would be inevitable;
  - ii. empirically/theory-driven: unlike other maxim violations, the violation of Quantity to comply with Quality cannot be indicated by a H%.
- IV. **"Attentive content seems to be more a Manner thing than a semantic thing"**. Perhaps, but:
  - i. *some* abstraction is necessary to obtain from a sentence its attentive content (e.g., stuttering);
  - ii. merely *mentioning* is not enough, e.g., attentive content is about top-level, focus-containing, 'proposition-sized' constituents, and behaves like *pointwise intersection* under conjunction;
  - iii. I see semantics primarily as a concise way to draw the relevant distinctions.
- V. **Reduction of the maxims to a more general notion of rationality** (e.g., Relevance Theory, Game theory) is ultimately necessary (and alluded to by Grice), but this does not mean that the best explanations are to be found at the reduced level.
- (IV. **Technical detail:** I-Relation shouldn't care about possibilities confirmed *as a side effect*, i.e., ones entailed by another confirmed possibility.)
- (V. **Impl-Quality need not also apply to conversational implicatures**, because their truth is already required to maintain the cooperativity presumption.)

### 3.3. Complying, violating

We can distinguish:

- i. **A(bsolute)-compliance:** a maxim's requirement is met;
- ii. **A-violation:** a maxim's requirement is not met;
- iii. **R(elative)-compliance:**  
 the *speaker* takes the requirement to be met;
- iv. **R-violation** (= non-R-compliance):  
 the *speaker* doesn't [take the requirement to be met];

#### I assume that H suffix/H% indicate R(elative)-violations:

- (4) **I-Quality violation:** (Truckenbrodt, 2006)  
 A: John went to pick up his sister.  
 B: John has a sister?  
           L\*H<sup>a</sup> H%<sup>b</sup>
- a/b. B doesn't take it to be true that John has a sister.  
 (Inferred: B finds it hard to believe.)
- (5) **I-Quantity violation:**  
 John was there, Mary was there, and Sue was there.  
 L\*H<sup>a</sup> % L\*H<sup>b</sup> % H\*L<sup>c</sup> L%<sup>d</sup>
- a/b. additional relevant things happened  
 (but I'm facilitating comprehension here);  
 c. no other relevant things happened;  
 d. and this is sufficient for the conversational goal.
- (6) **I/A-Relation violation:** ((rise-)fall-rise, section 4)  
 A: Was John at the party? (Ward & Hirschberg, 1985)  
 B: (Well,) it was raining...  
           H\*L<sup>a</sup> H%<sup>b</sup>
- a. I've been compliant as far as the weather goes;  
 b. but I'm not sure if this relates to John.
- (1) **A-Quantity violation:** (topic/focus, section 5)  
 John had the beans.  
 L\*H<sup>a</sup> H\*L<sup>b</sup> L%<sup>c</sup>
- a. other relevant things might have happened;  
 b. John had no other relevant things (only beans);  
 c. this is sufficient for the current conversational goal.

#### Note:

- I. **Which maxim may've been violated is constrained by:**
  - i. high/low H/H%, discriminating between Quality violations and Quantity/Relation violations;
  - ii. the presumption of cooperativity (see note II);
  - iii. facial expressions, gestures, ...
  - iv. nested falls and rises, which generate interesting constraints (see sections 4, 5).
- II. **A coop. speaker needs a reason for violating a maxim:**
  - i. there doesn't seem to be a cooperative reason to violate A-Quality (adding disjuncts you take to be false);
  - ii. the only cooperative reason to violate I/A-Quantity may be a clash with Manner: e.g., for clarity;
  - iii. violating I-Quantity then implies violating A-Quantity, because confirming and drawing attention to a possibility *both* clutter the sentence;
  - iv. the main cooperative reason for violating I-Quality or I/A-Relation might be that the speaker *suspects* she A-complies, and at least *tries* to make a contribution.
- III. **Other things to do with maxims (Grice, 1989):**
  - *silent violations* mislead (liars won't use H%);
  - *flouting* is not *openly*, but *obviously* violating;
  - to *opt out* of a maxim would be to indicate that it *doesn't apply* ("On an unrelated note...").
  - to *cancel* a conversational implicature is to *opt out* of the respective maxims, although this is not how it is commonly understood (Westera, 2014c.)

## 4. The fall-rise contour

- '(Rise-)fall-rise' is often transcribed as L\*H L-H%; (although Gussenhoven doesn't seem to allow for it...)
- I assume instead H\*L H%, 'fall-rise';
- I remain agnostic about the initial 'rise'.



- b. John had no other relevant things (only beans);
- c. this is sufficient for the current conversational goal.

But with inverse scope, **topic and focus contradict each other**:

- (11) # John had the beans. (with the beans > John)  
 $L^*H^a \quad H^*L^b \quad L\%^c$   
 a. ! relevantly, other people may have had beans;  
 b. ! no other relevant things happened;  
 c. this is sufficient for the current conversational goal.

Similarly, the opposite intonation pattern forces *inverse scope*:

- (12) # John had the beans. (with John > the beans)  
 $H^*L^a \quad L^*H^b \quad H\%^c$   
 a. ! no other relevant things happened;  
 b. ! relevantly, John may have had other things;  
 c. this is insufficient for the conversational goal.
- (13) John had the beans. (with the beans > John)  
 $H^*L^a \quad L^*H^b \quad H\%^c$   
 a. no one else had the beans;  
 b. relevantly, other things may have happened;  
 c. this is insufficient for the conversational goal.

**Hence the prediction:** topic (the constituent marked by  $L^*H$ ) must take scope over focus ( $H^*L$ ).

Indeed, this was argued in (Büring, 2003; Wagner, 2012), in light of (a.o.) the unavailability of the contour (12,13) in German, a language that seems to resist inverse scope.

**Note:**

- I. (1) is often treated as answering “who had what” by *individual* (and (13) the same question, but by *food item*) (Roberts, 1996; Büring, 2003). But in fact, the  $L\%$  in (1) implies that the prior question couldn’t have been “who had what”. I think this is correct.

### 5.3. The ‘fall-rise’ topic

The literature associates topic also with a *fall-rise*: (Gussenhoven’s  $H^*LH^?$ )

- (14) John had the beans.  
 $H^*L \quad H\% \quad H^*L \quad L\%$
- (15) Straks, als ik dat zeg, gaan we opruimen.  
 $H^*L \quad H\% \quad H^*L \quad H\% \quad H^*L \quad L\%$   
 “Later, when I say so, we are going to clean up”

Predictions (consequences not yet entirely explored):

- $H\%$  at a non-propositional constituent can only mark a Manner violation (hence the ‘didactic’ flavour);
- the  $L$  in fall-rising topic implies exhaustivity (hence the ‘authoritative’ flavour of (15));
- in (14), this may amount to the other individuals being deemed *irrelevant*, highlighting John.

Thus, it is quite different from a simple rising accent...

## 6. Intonation in questions

**The distinguishing prediction for a maxim-based account:**

- different speech acts are subject to different maxims;
- the readings for  $H$  and  $H\%$  should vary accordingly.

Let’s assume:

- interrogatives are conventionally used as questions;
- the I-maxims do not apply to questions; that is:
- interrogative mood is used to *opt out* from these maxims.

**Opting out needs a reason** (just like violating a maxim):

- the reason might be that it is *undesirable* for you to assert something (e.g., you’re a quizmaster);
- more plausibly, the reason might be that you considered it very unlikely that you would have A (bsolutely)-complied with either I-Quality or I-Relation;
- expected A-violation of I-Quantity would not be a valid reason.)

If, *in addition*, the interrogative comes with  $H\%$ :

- it must mean that one of the A-maxims is R-violated;
- it cannot reasonably be A-Quality (see above);
- **it must be A-Quantity or A-Relation.**

Some examples:

- (16) Was John at the party?  
 $H^*L \quad L\%$   
 a. Interrogative: I don’t know this (or it is irrelevant);  
 b.  $L\%$ : and there are no other relevant possibilities.
- (17) Was John at the party?  
 $L^*H \quad H\%$   
 a. Interrogative: I don’t know this (or it is irrelevant);  
 b.  $H\%$ : either (i) there are other relevant, live possibilities, or (ii) not sure if this is relevant.
- (18) Was John at the party, or Bob?  
 $L^*H \quad H\% \quad H^*L \quad L\%$   
 a. Interrogative: I don’t know this *or it is irrelevant*;  
 b.  $L\%$ : there are no other relevant, live possibilities.  
 (this yields a ‘not neither’ presupposition, note IV.)

**Notes:**

- I. **Rising declaratives and rising interrogatives are semantically potentially quite different:**  $H\%$  marks a violation of I-Quality on declaratives, but A-Quantity on interrogatives. With broad focus, however, the difference may be unnoticeable.
- II. **For imperatives a similar analysis could be given.** A Quality-maxim for imperatives could be “only order what you find desirable”, which would predict that rising imperatives convey uncertainty in this respect.
- III. **Intonation contours need not be treated as ‘speech act operators’**, even though compliance/violation is a property of speech acts, because they could mean, e.g., “the sentence *would* violate a maxim *if* it were uttered”.
- IV. **A ‘not neither’-presupposition is predicted, for (18), as follows.** Suppose that the possibility that *neither* was at the party was relevant; it is then pragmatically excluded by A-Quantity ( $L\%$ ), hence the speaker *must take the disjunction as a whole to be true*. This means she opted out of the I-maxims not because of I-Quality, but because of I-Relation, i.e., she deemed the disjunction to be *irrelevant*. This can be for two reasons (cf. appendix C):
  - i. the disjunction *is* irrelevant, because no other partial answers will be given together with which it yields a complete answer; or
  - ii. she takes the disjunction to be already known.
 Now, reason (i) is unlikely, because she asked the question hoping it would be resolved. Hence it must be (ii): the disjunction is presupposed. This enables an account of the following contrast (Westera, 2014d):
 

(19) a. A: John was there, or Mary was there.  
 B: Yes / No.  
 b. A: Was John there, or was Mary there?  
 B: # Yes / # No.  
 c. A: Was John there?  
 B: Yes / No.

## 7. Final remarks

**Intonation modulates Grice's cooperative principle:**

- although the assumed meanings are general/flexible, the ability to mark (non-)cooperativity *relative to different sets of alternatives* constrains the possible readings;
- taking intonation into account makes semantic/pragmatic theories *stronger* (fewer/no exceptions).

**Intonational meaning is ultimately conventional.** This duplicates the cooperative principle in the semantics...

- that's okay: Grice saw the convention/conversation distinction as an *explanatory device*, not as cognitively real;
- Grice's theory explains *why* intonational meaning is the way it is, e.g., why L%, the default boundary, 'means' compliance with the maxims (cf. appendix A);
- the *cancellability* of conversational implicatures is maintained (cancellability = *systematic context-dependence*, although this is not how it's commonly understood (Westera, 2014c)).

**Crucially, intonational meaning still applies only globally**, at the speech act level, hence:

- my proposal is *not* the long-awaited reconciliation of the Gricean and the grammatical approach;
- but attentive pragmatics itself may have something to say about *some* embedded implicatures, cf. appendix B.)

### A. Cross-linguistic potential

**The assumed meanings are useful:**

- Non-obvious maxim violations *must* be signalled, lest the hearer be misled (Grice, 1989).
- H/L suffixes: an accent evokes relevant alternatives, potentially raising the Quantity-bar for subsequent discourse. Suffixes make clear whether this the bar is, indeed, raised.

**The assumed meanings are 'natural'** (Westera, 2014b), in the sense of (Gussenhoven, 2002):

- Increased effort (accents) is naturally spent on words that are *important to convey*, i.e., that are left-to-right *unpredictable*. This may have grammaticalized to become *scope-sensitive*, as assumed.
- Pitch decreases with lung pressure, hence a high pitch 'means' *unfinishedness*. Sentence-finally, it cannot be syntactic/semantic unfinishedness, but only *pragmatic* unfinishedness – and maxim violations are one way of spelling this out.

**This lends the theory cross-linguistic potential:**

- the same meanings are expected across languages;
- where the intonation channel is available, there will be a universal tendency for the meanings to be realized approximately in the way proposed;
- in tonal languages perhaps mainly by discourse particles.

**Note:**

- I. **High pitch may also be linked to vulnerability**, which may be hard to distinguish from the *uncertainty* involved in certain maxim violations – but I think it can be.

## B. Exhaustivity in attentive pragmatics

Attentive pragmatics is motivated by *exhaustivity/scalar implicatures* (Westera, 2014a):

- attentive content is necessary to distinguish (2a,b):
  - a. John was there, or Mary was there.  
b. John was there, or Mary, or both were there.
- exhaustivity occurs when I-Quantity is not observed, e.g., a quiz-master (Fox, 2014).
  - Quiz-master: There's money in box A or in box B.  
**Conv. implicature:** not in both.
- Attentive pragmatics enables the 'epistemic step' *without a contextual competence assumption*:
  - A: I'm probably asking the wrong person, but among John, Bill, Mary and Sue, who were at the party?  
B: John and Mary. (L%)  
**Conv. implicature:** not Bill, not Sue.

Effectively, A-Quantity compares "John and Mary" to equally informative, but *more attentive* things one could have said, e.g., "John and Mary *or John, Mary and Bill*". Why didn't B say that? Mere not-knowing isn't enough.

I. **Attentive pragmatics derives Alonso-Ovalle's (2008) innocent exclusion**, though slightly generalized ( $A$  = utterance's attentive content;  $R$  = relevant possibilities):

$$(22) \text{ EXH}(A, R) = \bigcap_{b \in (R-A)} (\bar{b} \cup \bigcup_{a \in A} a)$$

II. **In bypassing the competence assumption, attentive pragmatics can derive any exhaustivity implicature**  $\neg p$ , provided that  $p$  was relevant in the context and that no attention was drawn to it. Thus, 'embedded' implicatures are predicted to exist and are no problem *in principle*.

III. **Grice (1989) probably wouldn't mind the enriched attentive semantics.** Grice acknowledged that there's more to sentences than truth conditions (as witnessed by his Maxim of Manner or his conventional implicatures). His main aim was to keep the *truth-conditions* as classical/logical as possible, and my account contributes to that.

## C. The underlying notion of relevance

**Relevance:** a possibility is relevant to a speaker if its truth being known to a speaker would wholly/optimally contribute to reaching one of the speaker's goals.

A certain *view*; not a definition. What does it commit us to?

A. **Relevance need not be closed under negation** (contra Groenendijk & Stokhof, 1984; Roberts, 1996), because (23) is consistent. Indeed, an 'uncertain relevance' contour is possible on negative answers (24):

- I'm hungry; I want to know where's a good restaurant, not where there isn't a good restaurant.
- A: Where's a good restaurant?  
B: Not at Fleet Street...  
H\*L H\*L H%

B. **Relevance need not be closed under partial answerhood (disjunction)** (also contra Groenendijk & Stokhof, 1984; Roberts, 1996), because (25) is consistent. Indeed, 'uncertain relevance' is possible in (26):

- (25) I need to know *exactly* who came to the party, and you're the only person who could possibly know, so a partial answer will do no good.
- (26) A: Who were at the party?  
B: John or Bob...  
H\*L H\*L H%

But typically, partial answers *will* be relevant (because the remaining information may be found by other means).

C. **Relevance is closed under 'contextual entailment'** (like Groenendijk & Stokhof, 1984; Roberts, 1996): if something entails a relevant possibility (only) together with salient common knowledge, it is relevant.

- (27) A: I'm going out tonight... Should I bring my umbrella?  
B: It's pouring. (L%)

D. **Relevance is (typically) closed under 'altruism':**

E.g., if someone asks a question, we try to answer; if we know the question is pointless, we cut it short:

- (28) A: Who was present? (Don't care about who wasn't.)  
B: No one was(, sorry). (L%)

and if a falsehood is uttered, we signal this:

- (29) A: Man, I'm hungry. Where can I get some food?  
a. C: ?? There's no good restaurant at Fleet st.  
b. B: There's a good restaurant at Fleet st.  
C: No there isn't.

#### Notes:

I. **Such properties of relevance are *not* incorporated into the maxims** (unlike Groenendijk & Stokhof, 1984; Roberts, 1996), for several reasons:

- i. The maxims should capture only the *language-rationality interface* – understanding relevance and its constraints is an entirely extra-linguistic skill;
- ii. I think our pre-theoretic intuitions about what is relevant in a given context are very sharp; formalizing this need not be our priority;
- iii. while language use is driven by *what* is relevant, I think it is (and therefore the maxims ought to be) largely blind to *how and why* something is relevant (this is, of course, an empirical claim).

II. **Closure under negation would render a pragmatic account of exhaustivity implicatures unavailable** (Groenendijk & Stokhof, 1984): both positive and negative possibilities would be pragmatically excluded ('symmetry problem'). This has in part motivated 'lexical scales' and the grammatical approach to exhaustivity.

## D. References

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