

DECOMPOSING DEFINITENESS IN VIETNAMESE

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Abstract

This paper provides a detailed description of how Vietnamese encodes definiteness in the nominal phrase in the context of the crosslinguistic debate about the existence of lexical articles in classifier languages. We first show that so-called lexical determiners in Vietnamese are not genuine articles in the technical sense. We then scrutinize six different referring expressions in Vietnamese including bare nouns, classifier – nouns, numeral – classifier – nouns, plural – classifier – nouns, focus $c\dot{a}i$ – classifier – nouns while pointing out how Vietnamese differs from other better-studied classifier languages. Based on this thorough investigation, we posit that Vietnamese systematically differentiates six levels of the givenness hierarchy in the sense of Gundel *et al.* (1993); therefore, Vietnamese contributes to a better understanding of the nature of definiteness and the structure of the nominal phrase.

Keywords: definiteness, plural, classifier, numeral, bare noun, Vietnamese **ISO 639-3 codes:** vie

1. Introduction

The purpose of this paper is to shed light on the on-going controversial issue of whether Vietnamese as a numeral classifier language has lexical articles. On the one hand, there are those researchers who deny the existence of lexical articles in Vietnamese, such as Emeneau (1951), Thompson (1965), Nguyen D. H. (1997), Doan *et al.* (2019), just to name a few. On the other hand, Nguyen T. C. (1975) and Nguyen H. T. (2004) claim that Vietnamese indeed possesses genuine lexical articles, which form an independent paradigm as in (1).

(1) Candidates for lexical	articles in Vietnamese
a. một ('one')	[-Plural, -Definite]
b. những ('plural')	[+Plural, -Definite]
c. các ('plural')	[+Plural, +Definite]

Our contributions to the existing literature are the following. First, based on a re-examination of the members of the paradigm listed in (1), carefully distinguishing them from one another, we argue that there are no genuine lexical articles in Vietnamese despite some researchers' effort to formally apply this functional category notion in the analysis of Vietnamese nominal structure. Second, we further notice a well reported fact that comes out of this debate but is hardly discussed at any depth, namely, various constructions can be interpreted as definite in Vietnamese including bare nouns, classifier – nouns, numeral – classifier – nouns, plural – classifier – nouns, $c\dot{ai}$ – classifier – nouns (Nguyen T. C. 1975, Nguyen P. P. 2002, Nguyen H. T. 2004, Trinh 2011, Tran J. 2011, Le & Schmitt 2016, Phan & Lander 2015, Tran N. N. 2017, Simpson & Ngo 2018, Doan *et al.* 2019).

(2)	a.	Sách	rách	rồi				
		Book	torn	already	r			
		'The bo	ook(s) w	as/were	torn.'			
	b.	Cuốn	sách	rách	rồi			
		CLF	book	torn	already	1		
		'The bo	ook was	torn.'				
	c.	Hai	cuốn	sách	rách	rồi		
		two	CLF	book	torn	already		
		'(The)	two boo	ks were	torn.'			
	d.	Các	cuốn	sách	rách	rồi		
		PL	CLF	book	torn	already		
		'The bo	ooks we	re torn.'				
	e.	Những	cuốn	sách	$(n \dot{a} y)^2$	rách	rồi	
		PL	CLF	book	this	torn	already	
		'These books were torn.'						
	f.	Cái	cuốn	sách	(này)	rách	rồi	
		FOC	CLF	book	this	torn	already	
		'This v	ery bool	k was toi	rn.'			

The issue worth further investigating, therefore, is whether there are any differences in terms of definiteness interpretation among these constructions.

- (3) Types of definite nominal constructions under investigation:
- a. bare nouns
- b. classifier noun phrases
- $c. \quad numeral-classifier-noun \ phrases$
- d. các classifier noun phrases
- e. *những* classifier noun phrases
- f. cái classifiers noun phrases

In a nutshell, our study centers on two research questions:

- (4) Research questions:
- a. Are những, các, một genuine lexical articles?
- b. What are the interpretational differences across different definite constructions?

In order to address the first question, we compare the distribution and interpretation of *nhĩng, các, một* with that of grammaticalized articles like English *the*, and we provide those arguments which go against Nguyen H. T. (2004), and Nguyen T. C. (1975)'s proposal in which these markers are considered as articles in Vietnamese.

In order to tackle the second question, we adopt the givenness hierarchy proposed by Gundel *et al.* (1993) shown in (5) since this hierarchy distinguishes up to six levels of givenness, which is fine-grained enough to account for six different definite nominal constructions in Vietnamese listed in (3).

¹ Abbreviations used in this paper include the following: 1SG: first person singular, 2SG: second person singular, ANT: anterior, AP: adjective phrase, CLF: classifier, DEM: demonstrative, FOC: focus, Mod: modifier, NUM: numeral, PL: plural, PossP: possessive phrase, RC: relative clause.

² Different from the previous examples in (2a-d), noun phrases with *nhũng* and *cái* in (2e-f) prefer to be accompanied by an additional post-nominal modifier *này* (meaning 'this'). The presence of such a modifier is optional since it can be omitted if the contextual information is clear enough. This point will be explained in sections 4.4 and 4.5.

(5) The givenness hierarchy, adopted from Gundel et al. (1993:275):

in focus>	activated	> familiar > uniqu	uely identifiable >referential > typ	be identifiable
{it}	that	{that N}	{the N} { <i>indefinite</i> this N}	{a N}
-	this	-	· · · · · · · ·	
	this this N			

According to Gundel *et al.* (1993), referring expressions in natural languages differentiate six cognitive statuses, which can be stated informally as in (6).

(6) Six levels of given	ness:
type identifiable:	I can identify the type of things that the noun describes
referential:	I refer to a particular thing that I have in mind
unique identifiable:	I can identify the unique thing that the noun describes
familiar:	I am familiar with the thing that the noun describes
activated:	I can refer to the thing that the noun describes by retrieving
	activation from immediate linguistic or extralinguistic context.
in focus:	The thing that the noun describes is the center of attention.

The givenness hierarchy is a continuum from indefinite, referential specificity, unique definiteness, familiar definiteness, activated givenness to focus. One crucial property of the givenness hierarchy is that those six statuses are implicationally related. For instance, if a referring expression is 'familiar', it is also 'unique identifiable' since if one is familiar with the thing described by the noun, (s)he is also able to identify that thing. In this paper, we will show how the givenness hierarchy sheds light on various aspects of definiteness encoded by different Vietnamese nominal expressions.

In this beginning section, we have first introduced the problems that we find worth further investigating, then we narrowed down to two research questions, as well as sketched out how we handle these questions. The rest of the paper is organized as follows. The second section outlines the panorama of Vietnamese nominal phrases. Section 3 addresses the first research question; in particular, we show that the paradigm listed in (1) fails to capture several crucial facts of Vietnamese nominal phrases, thus strictly speaking, Vietnamese has no genuine lexical articles, similar to many other classifier languages. However, Vietnamese does distinguish different subtle shades of definiteness, which are investigated thoroughly in Section 4 by addressing the second research question. Section 5 discusses some intra-linguistic and cross-linguistic implications of the study before ending the paper.

2. Panorama of Vietnamese nominal phrase

(7)

An extended nominal phrase in Vietnamese consists of both pre-nominal and post-nominal elements, which are arranged in the template in (7) and (8).

(8)	<i>Tất-cả</i> all	<i>các / ba</i> PL / three	<i>cái</i> FOC	cuốn CLF	<i>sách</i> book	<i>₄₽[cũ]</i> old	_{PossP} [của tôi] of 1SG
	_{RC} [mà	anh	n óc mới	muon	hôm-qua]	đó	01150
	RC	2SG	just	borrow	yesterday	that	
	'All those	(three) old bo	oks of mir	ne that you ju	ust borrowed y	vesterday'	

Quniversal - PL/Num - Cái - CLF - Noun - AP - PossP - RC - Dem

The pre-nominal elements serve to categorize the noun, and importantly, they must obey a fixed order in which universal quantifiers must be followed by plural markers or numerals, which in turn are followed by the pre-classifier $c\dot{a}i$ and classifiers, as in (9a), illustrated in (9b). For instance, the raising of the classifier across the pre-classifier $c\dot{a}i$ as in (9c), or across the numeral/the plural as in (9d) or across the universal quantifier as in (9e), as well as the displacement of the numeral/the plural across the universal quantifier as in (9f) all result in ungrammaticality.

(9) a. $Q_{universal} < PL/Num < Cái < CLF < Noun$

b.	Tất-cả	ba/các		cái	cuốn	sách					
	All	three/ I	PL	FOC	CLF	book					
c.	*Tất-cả	ba/các		cuốn	cái	sách					
	All	three/ I	PL	CLF	FOC	book					
d.	*Tất-cả	cuốn	ba/các		cái	sách					
	All	CLF	three/ F	۲L	FOC	book					
e.	*Cuốn	tất-cả	ba/các		cái	sách					
	CLF	all	three/ F	۲L	FOC	book					
f.	*Ba/các	tất-cả	cuốn		cái	sách					
	Three/ PL	all	CLF		FOC	book					
	Intended mean	ing: 'All	Intended meaning: 'All the (three) books'								

The post-nominal elements, on the other hand, serve to modify the noun, and notably, they exhibit a less strict ordering effect, as shown in (10).

(10) Noun < AP < PossP /RC/ Dem

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The only restriction is that adjectives must be the closest modifier attached to the noun as in (11a). The intervention of other modifiers between the adjective and the noun as in (11b), (11c), (11d) are all unacceptable:

(11) a.	Cuốn sách Al	P [Cũ] PossP[Cử	a tôi] _{RC} [mà	anh	mới	mượn hôm-qua] đó
	CLF book	old of 1	ISG RC 2	SG	just	borrow yesterday that
b.	*Cuốn sách	PossP[của tôi]	AP [Cũ] RC[m	à anh	mới	mượn hôm-qua] đó
	CLF book	of 1SG	old RC	2SG	just	borrow yesterday that
с.	*Cuốn sách	PossP[của tôi]	rc[mà anh	mới	mượn	hôm-qua] _{AP} [cũ] đó
	CLF book	of 1SG	RC 2SG	just	borrow	yesterday old that
d.	*Cuốn sách	PossP[của tôi]	rc[mà anh	mới	mượn	hôm-qua] đó _{AP[cũ]}
	CLF book	of 1SG	RC 2SG	just	borrow	yesterday that old
	Intended me	aning:	'That old bo	ok of mine	that you	i just borrowed yesterday'

The order of adjectives, possessive phrases, relative clauses, and demonstratives³, however, is quite flexible, as shown in (12).

(12)) a. Cuốn sách _{AP} [cũ] _{PossP} [của tôi] _{RC} [mà anh mới mượn	hôm-qua] đó
	CLF book old of 1SG RC 2SG just borro	w yesterday that
	b. Cuốn sách _{AP} [cũ] _{RC} [mà anh mới mượn hôm-qua] _{Possi}	P[của tôi] đó
	CLF book old RC 2SG just borrow yesterday	of 1SG that
	c. Cuốn sách _{AP} [cũ] đó _{PossP} [của tôi] _{RC} [mà anh mới mượn	hôm-qua]
	CLF book old that of 1SG RC 2SG just borro	w yesterday
	d. Cuốn sách _{AP} [cũ] đó _{RC} [mà anh mới mượn hôm-qua] _{PossP} [của	tôi]
	CLF book old that RC 2SG just borrow yesterday of 1	SG
	Intended meaning: 'That old book of mine that you just borrow	ved yesterday'

In this paper, we only take into account those pre-nominal elements which are significant for the definite interpretation of the noun phrases, in particular, on the six types of nominal constructions as listed in (3). The rationale for this choice will become clear at the end of the next section.

³ Unlike what is commonly assumed in the literature, Hoang & Nguyen (2004), Phan & Tsai (2018) argue that demonstratives are not the final boundary of Vietnamese nominal phrase. Interested readers are referred to Phan & Tsai (2018) for further details.

3. Are the definiteness markers genuine lexical articles in Vietnamese?

This section deals with the first research question of whether *nhũng, các, một* truly form a paradigm of genuine lexical articles as proposed by Nguyen T. C. (1975), and Nguyen H. T. (2004) in (1).

In this section, we propose three objections to the paradigm in (1). First, we argue that $nh\tilde{t}ng/cac$ are different from the English definite article *the* in terms of their optionality and their incompatibility with numerals. Second, in the line with Phan & Lander (2015) and Le & Schmitt (2016), we show that the distinction between *nhīng* and *cac* as indefinite and definite articles respectively in the paradigm in (1) fails to capture the fact that similar to *cac*, *nhīng* can also appear in strongly definite contexts. Then we provide the third argument to challenge the paradigm, namely, the categorization of *nhīng* and *một* under the same label of 'indefinite articles' fails to capture the crucial distributional differences between *nhīng* and *một*. On a final note, we make some comments with respect to Nguyen H. T. (2004: 42)'s claim that 'there is no way to use a determiner to unambiguously mark [+singular; +definite] in Vietnamese.' Based on these considerations, we conclude that Vietnamese has no genuine lexical definite articles.

First of all, the distributional properties of *nhũng* and *các* clearly set them apart from genuine definite articles. In particular, unlike English *the*, Vietnamese plural markers are not obligatory for definiteness interpretation of the nominal phrase. Examples in (13) below indicate that the nominals in both sentences can be interpreted as definite either with *các* as in (13a) or without *các* as in (13b). That is to say, the presence of *các* crucially contributes to the sentence the plural reading, not the definite reading.

(13)	a.	Cuốn	sách	rất	сũ		
		CLF	book	very	old		
		'The b	ook is v	ery old.'			
	b.	Các	cuốn	sách	rất	сũ	
		PL	CLF	book	very	old	
		'The books are very old.'					

In fact, the element which is necessarily present for the definiteness as well as the well-formedness of the sentence is the classifier $cu \delta n$ instead.

(14)	a.	Các	cuốn	sách	rất	сũ	
		PL	CLF	book	very	old	
	b.	*Các	sách	rất	сũ		
		PL	book	very	old		
		Intend	ed mean	ing: 'Th	e books	are very	old

The minimal contrast between (14a) and (14b) suggests that the counterpart of the definite article in Vietnamese is the classifier, not the plural marker.

In addition to the non-optionality property, $nh\tilde{u}ng$ and $c\dot{a}c$ are also differentiated from English *the* with respect to their co-occurrence restriction with numerals. In English, there is no such incompatibility between the article *the* and the numerals as shown in (15a) whereas in Vietnamese plural *nhũng* and *các* cannot precede the numerals as in (15b).

(15)		-	three <i>ba</i>	 books
	b.		<i>ba</i> three	
				 e three books'

Những and *các* not only compete with numerals distributionally, but also interpretationally. Let us consider a context in which the hearer is supposed to meet the speaker in order to return the three books that (s)he borrowed from the speaker. When they meet each other, the speaker can either use *các* or *three* in the question as in (16a) and (16b) respectively, but not both.

(16)Các cuốn a. sách đâu? PL CLF book where 'Where are the books?' cuốn sách đâu? b. Ba Three CLF book where 'Where are the three books?' *Các ba cuốn sách $\hat{d}\hat{a}u?^4$ c. three CLF book PL where Intended: 'Where are the three books?'

It is obvious from (16b) that the presence of the numeral is compatible with a definiteness interpretation. Alternatively, the pre-classifier $c\dot{a}i$ can be inserted right after the numeral with the companion of a postnominal modifier.

(16)	d.	Ba	cái	cuốn	sách	đó	đâu?	
		Three	FOC	CLF	book	that	where	
'Where are those three books?'								

In other words, without the plural markers, the nominal phrase can still be interpreted as definite. Other elements including the numeral and the pre-classifier $c\dot{a}i$ can also serve the same function. Therefore, it is safe to conclude that the distribution of *nhīng* and *các* is truly different from that of genuine definite articles.

Second, in contrast to Nguyen's (2004) description, we posit that there is no inherent contrast between $nh\tilde{u}ng$ as [-Definite] and $c\dot{a}c$ as [+Definite]. In fact, similar to $c\dot{a}c$, $nh\tilde{u}ng$ is perfectly fine in those contexts which require strong definite readings including noun phrases with demonstratives and superlatives as in (17a-b).

(17)	a.	<i>Những/Các</i> PL / PL 'Those books'		<i>sách</i> book	•	
	b.	Những/Các	CLF	<i>sách</i> book		<i>nhất</i> most

Third, *những* is sharply distinguished from the indefinite $m \hat{\rho} t$ for $m \hat{\rho} t$ is totally excluded from those strong definite contexts as in (18a-b).

(18)	a.	*Một	cuốn	sách	ây	
		One	CLF	book	that	
	b.	*Một	cuốn	sách	сũ	nhất
		One	CLF	book	old	most

These examples suggest that the grouping of $nh\tilde{u}ng$ and $m\hat{\rho}t$ as indefinite articles on the one hand and $c\hat{a}c$ as a definite article on the other hand as proposed by Nguyen H. T. (2004) is misleading. Instead, $nh\tilde{u}ng$ and $c\hat{a}c$ are both compatible with a definiteness interpretation, and only $m\hat{\rho}t$ can be characterized as an indefinite marker.

Finally, the paradigm in (1) is indeed not a complete one, since it misses out the element which is characterized as [+Singular +Definite] in Vietnamese. Although it is understandable for Nguyen H. T. (2004) to deny the existence of such an article, nevertheless, the presence of a classifier in Vietnamese nominal phrase clearly forces such a reading.

⁴ The fact that (16c) is an ill-formed translation of the English sentence 'Where are the three books?' clearly highlights the difference between Vietnamese *các* and English *the*: the former is a quantity word whereas the latter is not. We thank Mark Alves for pointing this out.

(19) a. Sách cũ book old 'Old books'
b. Cuốn sách cũ CLF book old 'The old book'

From the above discussion, two points can be drawn. First, although Vietnamese possesses certain lexical items which express the definiteness of the nominal phrases, they are not articles in a strictly technical sense. To this extent, Vietnamese is no different from other classifier languages.

However, it does not mean that Vietnamese is unable to mark fine-grained distinctions with respect to different facets of definiteness. As briefly seen above, not only $c\dot{a}c$, but also $nh\tilde{u}ng$, numerals, the preclassifier $c\dot{a}i$ and classifiers can also independently contribute to the definite interpretation of Vietnamese nominal phrases. Therefore, in the next section we will scrutinize those definite constructions which involve these elements, as listed in (3) in order to point out which aspect of definiteness each of the constructions highlight as well as to what extent Vietnamese is different from other classifier languages.

4. What are the interpretational differences across different definite constructions?

This section addresses the second research question, namely, what the interpretational differences among a bare noun, a CLF - N phrase, a Numeral - CLF - N phrase and a PL - CLF - N phrase, a $c\dot{a}i - CLF - N$ phrase are when it comes to expressing definiteness. Let us look at each of the constructions in turn.

4.1. Bare nouns

The definite reading of Vietnamese bare nouns obtains in both subject and object positions, as in (20) and (21) respectively.

(20)	a.	Sách	rách	rồi			
		book	torn	already	,		
		'The be	ook(s) w	as/were	torn.'		
	b.	Sách	là	bạn	tri-kỷ	сủа	tôi
		Book	COP	friend	soul	of	1SG
		'Books	are my	soul-ma	te'.		
(21)	a.	Tôi	làm	rách	sách	rồi	
, í		1SG	make	torn	book	already	
		'I made	e the boo	ok(s) tor	1.'	·	
	b.	Tôi	muốn	mua	sách		
		1SG	want	buy	book		
		'I want	to buy a	a book/ ł	oooks.'		

In terms of interpretation, Vietnamese bare nouns can be interpreted as definite (as in 20a, 21a) or generic (as in 20b) or indefinite (as in 21b), with either singular or plural readings. The wide range of interpretations and distribution of bare nouns in Vietnamese is shared by other classifier languages such as Thai and different varieties of Chinese (see Cheng & Sybesma 1999, 2005, Simpson 2005, among others).

What is crucial here is that the definiteness interpretation of the noun seems to be conditioned by the aspectuality of the predicate, not by the position of the noun in the sentence.⁵ Specifically, the predicate in (21a) is resultative, the bare noun obtains a definite reading, whereas the predicate in (21b) is episodic, the bare noun is interpreted as indefinite. Again, a similar correlation is also observed in different dialects of Chinese (Cheng & Sybesma 2005). That is to say, with respect to the ability to license a definite bare noun, Vietnamese is not an exception. However, Vietnamese does exhibit certain language-specific characteristics

⁵ It is well-documented that cross-linguistically definiteness can be expressed by a variety of means including articles, structural position, verbal aspect, Case, etc. (Cheng & Sybesma 2005, Simpson 2005, among others). In this paper, we are mainly concerned with the first factor.

when other elements including classifiers, numerals, plural markers, and the pre-classifier *cái* are brought into the picture.

4.2. Classifier-Noun

Definite reading of a nominal phrase containing a classifier and a noun can be obtained regardless of the position of the noun phrases as the subjects or the objects of the sentences, as in (22) and (23).

(22)	a.	CLF		torn	<i>rồi</i> already	7			
	1.		ook was			1	··· 1.2	. ?	10.6
	b.	Cuon	sách		0	bạn	•	сủа	tôi ⁶
		CLF	book	COP	CLF	friend	soul	of	1SG
		'The b	ook is m	iy soul-n	nate'.				
(23)	a.	Tôi	làm	rách	cuốn	sách	rồi		
		1SG	make	torn	CLF	book	already		
		'I mad	e the boo	ok torn.'			-		
	b.	Tôi	muốn	тиа	cuốn	sách			
		1SG	want	buy	CLF	book			
		'I wan	t to buy	the/a boo	ok.'				

The presence of the classifier $cu\acute{on}$ forces a singular definite reading unless the default definite reading is overridden by the context⁷. This property puts Vietnamese closer to Cantonese than to Mandarin Chinese, since CLF-N tends to be definite in Cantonese, not in Mandarin (Cheng & Sybesma 1999, Simpson, Soh & Nomoto 2011, Jenks 2018).

Since a bare noun can be also possibly interpreted with a definite singular reading, as shown in (20a) and (21a), a question arises whether there are any differences in terms of definiteness interpretation between a definite bare noun and a definite classified noun.

Interestingly, it is found that there are contexts that are compatible with both a bare noun and a classified noun as in (24), but there are also other contexts which only tolerate classified nouns as in (25).

(24) a. Context A: The hearer is supposed to meet the speaker today in order to return the book that (s)he borrowed from the speaker. When they meet each other, the speaker asks:
 (Cuốn) sách đâu?
 CLF book where

'Where is the book?'

⁶ Note that there are those contexts in which the combination between a classifier and a bare noun can be interpreted as generic:

Con chó	thích	ăn	th <u>i</u> t.	Con	mèo	thích	ăn	cá	
CLF dog	like	eat	meat	CLF	cat	like	eat	fish	
'Dogs love to	o eat mea	at. Cats lo	ve to eat	fish.'					
Con trâu	là	bạn	сủа	nhà	nông	bao	đời		nay
CLF buffalo	COP	friend	of	CLF	farmer	many	genera	tion	now
'(The) buffaloes have been (the) farmers' friends for many generations.'									

Here we witness a difference between Cantonese and Vietnamese: CL-NPs in Cantonese cannot have a generic interpretation (Cheng & Sybesma 1999:533). What factors license such a generic reading is clearly worth further investigation. However, in this paper, we only focus on the definite interpretation of the relevant construction, so the generic interpretation is left for future research.

⁷ According to Sudo & Trinh (2009), Vietnamese CLF-N can only be indefinite in object positions, i.e., under the scope of Existential closure at the VP level, as in (23b).

b. Con	text B:										
Мẹ	mới	тиа	một	cuốn	sách	cho	tôi.				
mum	just	buy	one	CLF	book	for	me				
'Mum	has just	bought a	a book fo	or me.'							
Cuốn	sách	vẫn còi	n	thom	mùi	giấy	mới. ⁸				
CLF	book	still		good	smell	paper	fresh				
'The b	ook still	has the	good sm	ell of fre	shly-pri	inted pap	ber.'				
c. Cont	text C:										
Мẹ	mới	тиа	một	cuốn	sách	và	một	cây	bút	cho	tôi.
mum	just	buy	one	CLF	book	and	one	CLF	pen	for	me
'Mum	has just	bought a	a book a	nd a pen	for me.	,					
Sách	thì	còn	mới,	nhưng	bút	thì	hết	тựс	rồi.		
book	TOP	still	new	but	pen	ТОР	out.of	ink	already	/	
The h	1- in - + i			41. a a	- - 1		af:1-??		-		

'The book is still new, whereas the pens already run out of ink".

(25) Context: The speaker borrowed a book from the hearer. When they meet each other, the speaker says:

Τớ	rất	thích	*(cuốn))sách	mà	cậu	cho	tớ	mượn	
1SG	very	like	CLF	book	that	2SG	let	1SG	borrow	
'I really like the book that you lent me.'										

From (24a), it can be seen that both a bare noun and a classified noun can refer to situationally unique referents. From (24b) and (24c), it is suggested that both a bare noun and a classified noun can also refer to discourse-familiar referents (note that bare nouns are interpreted contrastively in (24c)).

Crucially, the subtle difference between (24a) and (25) lies in the optionality of the classifier cuon in (24a) versus the obligatoriness of the classifier cuon in (25). (25) tells us that the presence of the classifier is required when we add a post-nominal modifier (in the form of a relative clause in this case). In other words, CLF-N is needed in the activation of immediate linguistic context.

This seems to suggest that in Vietnamese, both bare and CLF-N phrases can express unique definiteness and familiar definiteness, whereas CLF-N phrases can additionally encode activated givenness.⁹ That is to say, Vietnamese data provide additional empirical support for recent research findings on definiteness that languages differentiate different levels of definiteness (Heim 1982, 2011, Li 1999, Jiang 2012, Simpson and Biswas 2016, Jenks 2018, among others).

Note that there is a certain kind of nouns which does not require classifiers even in anaphoric contexts:

<i>Sinh- viên</i> Student	<i>giáo- viên</i> teacher			<i>dự tiệc</i> . attend party	thì TOP
<i>say</i> drunk	<i>giáo- viên</i> teacher	thì TOP	<i>còn</i> still	<i>tỉnh -táo</i> . awake.	

'Students and teachers both came to the party. The students were very drunk, the teachers were still awake.' See Simpson & Ngo (2018), Phan (2019) for detailed discussion. In these cases, we assume that those seemingly bare nouns in fact are not so bare, structurally they contain within themselves a classifying element which enables them to stand alone in anaphoric contexts as well as to combine directly with numerals and the plural markers, as seen in footnote (10) and footnote (13).

⁹ We are grateful to Michal Starke for pointing out this crucial contrast to us and for helping us to sharpen the empirical data in (24) and (25).

4.3. Numeral – Classifier – Noun

Similar to other numeral classifier languages, Vietnamese requires the presence of the classifier between the numeral and the bare noun in counting contexts, as in (26).¹⁰

(26) a. Ba cuốn sách Three CLF book b. *Ba sách Three book '(The) three books.'

A numeral - CLF - N phrase can naturally be interpreted as definite in both subject or object positions, as in (27) and (28) respectively.

(27)	a.	Hai	cuốn		rách	rồi					
		two	CLF	book	torn	already	7				
		'(The)	two boo	oks were	torn.'						
	b.	Hai	cuốn	sách	là	những	người	bạn	tri-kỷ	сủа	tôi
		Book	CLF	book	COP	PL	CLF	friend	soul	of	1SG
		'The t	wo book	s are my	soul-m	ates.'					
(28)	a.	Tôi	làm	rách	hai	cuốn	sách	rồi			
		1SG	make	torn	two	CLF	book	already	7		
		'I mad	le (the) t	wo book	s torn.'						
	b.	Tôi	muốn	тиа	hai	cuốn	sách				
		1SG	want	buy	two	CLF	book				
		ʻI wan	t to buy	two boo	ks.'						

The fact that Vietnamese Numeral – CLF - N phrases can have definite reading¹¹ and can naturally occur in the subject position clearly differentiates them from Mandarin and Cantonese counterparts which are indefinite and can only be the sentence's subjects in limited contexts (Li 1999, Cheng & Sybesma 1999, 2005, Sio & Song 2015, Jiang 2012, among others). In particular, in Mandarin Chinese, a numeral – CLF - N phrase can only be the sentence's subject if we add *you* ('have') to the left of the numeral – CLF - N phrase or *dou* ('all') to the right of the numeral – CLF - N phrase, as in (29).

(29)	a.		CLF	student	ng] zai at at school.'	xuexiae school	U	le LE	
	b.	You	[san	ge	xuesheng]		xuexiao shoush	ang	le
					student ts hurt at school	at	school hurt		LE

¹¹ This generalization does not apply to the numeral $m \hat{\rho} t$ ('one'), which is uncontroversially indefinite in both subject and object positions:

(i) a. <i>Một</i> One	<i>cuốn</i> CLF				1	
11000	k was tor					
b. <i>Tôi</i>	làm	rách	một	cuốn	sách	rồi
1SG	make	torn	one	CLF	book	already
'I mad	e a book t	torn.'				

¹⁰ As noted in footnote (8), those nouns which do not need classifiers in anaphoric contexts also do not need classifiers in numeral contexts: *hai sinh viên* (two students), *hai giáo trình* (two textbooks), *một trăm nhà* (one hundred houses), *một trăm vận động viên* (one hundred athletes), etc. See Phan (2019), Simpson & Ngo (2018) for detailed discussion.

c.	[San	ge	xeusheng]	dou	lai	zhe	li	le
	Three	CLF	student	all	come	this	place	LE
	'Three	students	all came here.	(Example	es cited :	from Sio	& Song	2015:180-181)

Since the CLF-N construction is also definite as shown in the previous section, we can ask a further question of whether there exist any differences in terms of definiteness interpretation between a CLF-N phrase and a Numeral-CLF-N phrase.

Similar to a CLF-N construction, a Numeral-CLF-N construction can designate both unique definiteness as in (30), and familiar definiteness as in (31).

(30) Context: The hearer is supposed to meet the speaker today in order to return the ten books that (s)he borrowed from the speaker. When they meet each other, the speaker asks:

Muời cuốn sách đâu? Ten CLF book where 'Where are the ten books?' Tôi mới hai cuốn sách bút. тиа và mười cây 1SG CLF just buy two book and ten CLF pen 'I have just bought two books and ten pens.' còn Hai cuốn sách và mười vẫn cây bút thom mùi two CLF book and ten CLF pen still have good smell gõ mới wood fresh 'The two books and the ten pens still have the good smell of freshly-cut wood.'

However, there are contexts in which CLF-N is not sufficient, and a numeral must be added, as in (32).

(32)	Tôi	đã	тиа	*(hai)	cuốn	sách	rất	hay
	1SG	ANT	buy	two	CLF	book	very	good
	'I hav	e bought	those ty	wo books	which	are very	good.'	-

It is shown from (32) that only Numeral-CLF-N, but not CLF-N phrases, can serve as the object controller of a secondary predicate,¹² which is assumed to be referential specific (i.e., known by the speaker, not by the hearer). In other words, in addition to being unique definite and familiar definite, Numeral-CLF-N phrases can be referential specific. That is to say, compared to bare nouns and CLF-N constructions, Numeral-CLF-N constructions cover a wider range of the givenness hierarchy (Gundel *et al.* 1993).

4.4. Các/những-Classifier-Noun

Apart from numerals, there are two plural markers which can be added to the left of the CLF-N sequence resulting in a definite PL-CLF-N phrase. Similar to numerals, the presence of a classifier is also obligatory for the plurals, as in (33). ¹³

(33)	a.	Những/Các	cuốn	sách
		PL/PL	CLF	book
	b.	*Những/Các	sách	
		PL/PL	book	
		'The books.'		

¹² A similar phenomenon is also observed in Chinese (Cheng & Sybesma 1999, Li & Bisang 2012).

¹³ As noted in footnote (8) above, those nouns which do not need classifiers in numeral contexts also do not need classifiers in plural contexts: *nhũng/các sinh viên* (the students), *nhũng/các vận động viên* (the athletes), etc.

Furthermore, as already shown above, *nhũng* and *các* are in complementary distribution with numerals.

(34) **Nhũng / *Các ba cuốn sách*¹⁴ PL/PL three CLF book Intended meaning: 'The three books'

PL-CLF-N phrases can be definite either in the subjects or the objects positions, as in (35) to (36).

(35)	a.	Các	cuốn	sách	rách	rồi					
		PL	CLF	book	torn	already	7				
		'The b	ooks we	re torn.'							
	b.	Các	cuốn	sách	là	những	người	bạn	tri-kỷ	сủа	tôi
		PL	CLF	book	COP	PL	CLF	friend	soul	of	1SG
		'The b	ooks are	my sou	l-mates'	•					
(36)	a.	Tôi	làm	rách	các	cuốn	sách	rồi			
		1SG	make	torn	PL	CLF	book	already	r		
		'I made the books torn.'									
	b.	Tôi	muốn	тиа	các	cuốn	sách				
		1SG	want	buy	PL	CLF	book				
		'I wan	t to buy	the book	s.'						

PL-CLF-N phrases can be interpreted as either definite (as in 35a, 36a) or generic (as in 35b), but cannot be indefinite as in (36b).

Two comments are in order. First, the behavior of $c\dot{a}c$ in the contexts in (35) to (36) parallels with that of classifiers in as much as their presence both renders a definite reading. The only distinction is that $c\dot{a}c$ forces a plural interpretation, whereas the classifier results in a singular interpretation. Second, the fact that $c\dot{a}c$ -CLF-N phrases are unambiguously definite even in indefinite-oriented contexts such as (36b) makes them apparently different from Numeral-CLF-N phrases which are naturally interpreted as indefinite in such contexts as shown in (28b).

It is easily seen that the examples in (35) to (36) above only concentrate on $c\dot{a}c$, therefore the next question arises as to what distinguishes between the two plural markers $c\dot{a}c$ and $nh\tilde{u}ng$.

Both các and những must be added in order to refer to plural previously mentioned referents, as in (37).

(37)	Tôi m	nới m	ua I	hai c	uốn	sách	và	muo	ời	cây	bút	
	1SG jı	ıst bu	ıy t	two C	LF	book	and	ten		CLF	pen	
	'I have ju	st bought	t two b	ooks and	ten pe	ens.'						
	Các cuốn	sách	và	những	cây	bút	vẫn	còn th	ıom	mùi	$g ilde{o}$	mới
	PL CLF	book	and	PL	CLF	pen	still	have g	ood	smell	wood	fresh
'The books and the pens still have the good smell of freshly-cut wood.'												

In the above discourse-anaphoric context, *những* and *các* seem to behave in the same manner. However, there are other contexts which tease apart the two plural markers. Specifically, only *những*-CLF-N but not *các*-CLF-N can appear as the object controller of a secondary predicate suggesting that though both can be familiar definite (as in 37), only *những* can be referential specific (as in 38b).

(38)	a.	*Tôi	đã	тиа	các	cuốn	sách	rất	hay
		1SG	ANT	buy	PL	CLF	book	very	good
		'?I hav	e bough	t the boo	oks whic	h are ve	ry good.	,	
	b.	Tôi	đã	тиа	những	cuốn	sách	rất	hay
		1SG	ANT	buy	PL	CLF	book	very	good
		'I have bought those books which are very good.'							

¹⁴ *Những ba cuốn sách* is only acceptable under the abundance reading of *những*, meaning 'as many as three books', which is outside the scope of this paper.

Furthermore, các is more preferable in unique-based definite.

- (39) Context: The hearer is supposed to meet the speaker today in order to return the ten books that (s)he borrowed from the speaker. When they meet each other, the speaker asks:
 - đâu?¹⁵ Các cuốn sách a. PL CLF book where 'Where are the books?' ?Những cuốn đâu? b. sách PL CLF book where 'Where are the books?'

The felicitousness of *những* in this context is greatly improved if a post-nominal modifier such as a demonstrative or a relative clause is added.

(40) Context: The hearer is supposed to meet the speaker today in order to return the ten books that (s)he borrowed from the speaker. When they meet each other, the speaker asks:

a.	Những	cuốn	sách	đó	đâu?		_	
	PL	CLF	book	that	where			
	'Where	e are tho	se book	s?'				
b.	Những	cuốn	sách	mà	anh	mượn	tôi	đâu?
b.	0	<i>cuốn</i> CLF				<i>mượn</i> borrow		

This observation is shared by many other researchers including Bui, M. H. (2000), Le & Schmitt (2016). See Le & Schmitt (2016) for an account of why *nhũng* but not *các* requires post-nominal modification. To this, we add a further note that the post-nominal modifiers can also be added to *các*-CLF-N phrases, therefore the subtle difference is that *nhũng* requires their presence in this context, whereas *các* can but does not need to co-occur with them.

(41)Các cuốn (đó/ đâu? sách mà anh mươn tôi) PL CLF book that/ RC 2SG borrow 1SG where "Where are those books? / Where are the books that you borrowed from me?"

To recap, *các* can encode unique definiteness and familiar definiteness, whereas *những* not only encodes unique definiteness and familiar definiteness but also referential specificity. To this extent, *các*-CL-NP patterns with bare nouns, whereas *những*-CL-NP patterns with numeral-CL-NP.

At this point, we must ask ourselves the question what really distinguishes *nhũng*-CL-NP from numeral-CL-NP since both constructions can express unique definiteness, familiar definiteness, and referential specificity. As seen above, the fact that *nhũng* requires post-nominal modification not only sets *nhũng* apart from *các*, but also from numerals. That is to say, *nhũng* is able to express a wider range of givenness distinction than numerals, namely only *nhũng* requires activation from immediate linguistic contexts including demonstratives, relative clauses, as well as other kinds of post-nominal modifiers. To put it differently, only *những* can encode activated givenness of the givenness hierarchy (Gundel *et al.* 1993).

4.5. Cái – Classifier – Noun

Apart from classifiers, numerals, plural markers, there is an additional pre-nominal position, which hosts the so-called the extra *cái* as in Nguyen P. P. (2002), Simpson & Ngo (2018).

¹⁵ Note that in this unique-based definite context, the presence of the plural $c\dot{a}c$ and the classifier $cu\dot{o}n$ is optional, the bare form of the noun is the preferred option.

(42)	Tất-cả	ba/những	cái	cuốn	sách	này
	All	three/PL	FOC	CLF	book	this
	'All these	e three books.'				

This pre-classifier usage of *cái* must be distinguished from the general classifier usage of *cái*. Whereas in the classifier position, *cái* requires the accompanying noun to be non-animate, in the pre-classifier position, *cái* has no such restriction.

(43)	a.	Con	chó
		CLF +ANIMATE	dog
		'the dog'	
	b.	*Cái	chó
		CLF -ANIMATE	dog
	c.	Cái con	chó
		FOC CLF +ANIMATE	dog
		'this one particular dog	5 '

Only in the pre-classifier position, can cái can co-occur with other classifiers.

(44)	a.	Cái	con	chó
		FOC	CLF	dog
		'this o		ular dog'
	b.	Cái	cuốn	sách
		FOC	CLF	book
		'this o	ne partic	ular book'
	c.	Cái	cây	bút
			CLF	pen
		'this o	ne partic	ular pen'

Furthermore, the two usages of *cái* also differ with regard to stress patterns. As previously mentioned (see Nguyen T. C. 1975, Nguyen H. T. 2004), in the pre-classifier position, *cái* is always stressed while in the classifier position, *cái* is by default unstressed (the stress is indicated by capital letters).

(45)	CÁI	cuốn	sách	này
	FOC	CLF	book	this
	'This	one parti	icular bo	ok' / 'This very book'

(46)	a.	cái	bàn
		CLF	table
	b.	*CÁI	bàn
		CLF	table
		'The ta	ble'

Having acknowledged the special status of *cái* in the pre-classifier position, Vietnamese linguists seem to reach a consensus regarding its function. It has been claimed in the literature that the presence of *cái* in the pre-classifier position serves to single out a particular individual and therefore *cái* is reasonably identified as a focus marker in the nominal domain (Nguyen T. C. 1975, Nguyen P. P. 2002, Nguyen H. T. 2004, Simpson & Ngo 2018, among others). This is the reason why throughout this paper, we gloss *cái* as FOC. At this point, we leave the question of how the two usages of *cái* (the focus *cái* and the classifier *cái*) are related to each other for future research.

Another distributional restriction of the focus *cái*, which is well noted in the literature, is that it prefers to be accompanied by a post-nominal modifier (Nguyen T. C. 1975, Nguyen P. P. 2002, Doan *et al.* 2019). As shown above, this property is also shared by *những*.

(47)	Cái	cuốn	sách	*(đó/ mà	tôi	mới	mượn)
	FOC	CLF	book	that/RC	1SG	just	borrow
	'This	very boo	k/The ve	ery book that	I just borro	wed'	

Having set out the interpretation and distribution of the focus *cái*, let us now look at how this element fits into the givenness hierarchy. As a nominal focus marker, *cái* expresses the highest level of givenness: signaling in-focus referents. The question arises as to whether *cái* also designates other lower levels in the hierarchy. *Cái* is infelicitous in referential specific context as shown below.

(48)	*Tôi	đã	тиа	cái	cuốn	sách	rất	hay
	1SG	ANT	buy	FOC	CLF	book	very	good
	Intende	ed: 'I've	bought	this one	particula	ar book v	which is	very good'.

Cái is appropriate in unique definite and familiar definite contexts as long as it is accompanied by a post-nominal modifier.

(49)	a.	Cái	cuốn	sách	đó/	mà	anh	mượn	tôi	đâu
		FOC	CLF	book	that/	RC	2SG	borrow	1SG	where
		"When	e is that	particul	ar book?	/ Where	e is this p	particular	r book t	hat you borrowed from me?'
	b.	Tôi	mới	тиа	một	cuốn	sách	сũ	do	Lê Lựu
		1SG	just	buy	one	CLF	book	old	by	Le Luu
		viết.	Cái	cuốn	sách	đó	làm	tôi	đọc	mê mẩn
		write	FOC	CLF	book	that	make	1SG	read	passionate
		сå	ngày							
		all	day							
'I've just bought an old book						k writte	n by Le	e Luu. T	'hat pai	rticular book made me read
		passio	nately al	l day'.						

That is to say, *cái* can refer to unique, familiar, activated given, and in focus referents but cannot refer to referential specific referents.

5. Discussion

We have now addressed both of the research questions raised in the introduction. The answer to the first research question is that so-called determiners in Vietnamese including $nh\tilde{u}ng$, $c\dot{a}c$ and $m\partial t$ are not strictly lexical articles. Distributionally, they are optional and are incompatible with numerals. Interpretationally, in addition to definiteness, they contain other features including plurality, specificity, discourse activation. This answer not only addresses the question of whether Vietnamese has definite articles, but also sheds light on the issue of whether Vietnamese has obligatory number. As seen elsewhere, the presence of $nh\tilde{u}ng$ and $c\dot{a}c$ is not necessarily required for the definiteness as well as for the plurality reading of the sentence. Indeed, Vietnamese nouns can be interpreted as plural without the plural markers.

(50)	Sinh viên	ngôn ngữ	rất	chăm chỉ					
	student	linguistics	very	hardworking					
	'Linguistics students are hard working.'								

Bošković's (2009) proposes that there is a structural connection between the lack of definite articles and the non-obligatory of number morphology in a given language. Vietnamese therefore provides an empirical support for a connection between definiteness and number. To this extent, Vietnamese patterns with other NP languages including Serbo-Croatian, Warlpiri, Chinese, and Japanese, among others.

In answering the second question, we have come to the remark that although there are no inherent definite articles in Vietnamese, a number of constructions including bare nouns, CLF-N phrases, Numeral-CLF-N phrases and *nhũng/các*-CLF-N phrases, *cái*-CLF-N phrases correspond to different spans of the givenness hierarchy in the sense of Gundel *et al.* (1993).

(51) The givenness hierarchy in Vietnamese nominal phrase:¹⁶ *in focus* > *activated* > *familiar* > *uniquely identifiable* > referential a. $\{in \ focus > activated > familiar > uniquely \ identifiable\}$ = CÁI-CLF-N b. {activated > familiar > uniquely identifiable > referential} = NHŨNG-CLF-N *{familiar > uniquely identifiable}* c. = CÁC-CLF-N {familiar > uniquely identifiable > referential} d. = NUMERAL-CLF-N *{activated > familiar > uniquely identifiable}* e. = CLF-N for singular f. *{familiar > uniquely identifiable}* = BARE NOUN

Those spans suggest that these different levels of givenness are implicationally related in Vietnamese, just as in many other languages. In particular, bare nouns tend to mark unique definiteness and familiar definiteness in Vietnamese as in (51f). Compared to bare nouns, CLF-N phrases can mark both unique definiteness, familiar definiteness, and activated givenness as in (51e). Compared to CLF-N phrases, Numeral-CLF-N phrases can refer to referential specificity in addition to unique definiteness and familiar definiteness, as in (51d). Among the two plural markers, *các*-CLF-N phrases can only encode unique definiteness and familiar definiteness and familiar definiteness, (as in 51c), whereas *nhũng*-CLF-N expression can additionally encode activated givenness and referential specificity, as in (51b). Compared to *nhũng*-CLF-N phrases, *cái*-CLF-N phrases can additionally refer to in-focus referents, but *cái*-CLF-N phrases cannot refer to referential specific referents, as in (51a). Gundel *et al.* (1993) have looked at the representations of the givenness hierarchy in Mandarin Chinese, English, Japanese, Russian, and Spanish. Vietnamese therefore provides an additional empirical support for such a hierarchy.

6. Conclusion

In this paper, we have argued that there are no elements which qualify as genuine grammaticalized definite articles in Vietnamese, but as a highly analytic language, Vietnamese possesses a number of article-like elements which express various facets of definiteness. We have provided a systematic way of looking at different Vietnamese nominal constructions which contain these elements in light of the givenness hierarchy proposed by Gundel *et al.* (1993). For each construction, we have pointed out where Vietnamese patterns with as well as differs from other better-studied classifier languages including Cantonese and Mandarin Chinese. We have also shown that Vietnamese nominal phrases underlyingly reflect the universal 'givenness hierarchy'. That is to say, Vietnamese nominals, though subtly different from other classifier languages, still behave as expected universally.

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¹⁶ For simplicity, we exclude 'type identifiable' in the original hierarchy. This is expressed by bare nouns and the uncontroversially indefinite $m\hat{\rho}t$ in Vietnamese.

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