A Comparison of the Referential Properties of Third Person Pronouns in Finnish and Estonian

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1. Introduction¹

This paper investigates the referential properties of third person anaphors in two closely related languages, Finnish and Estonian. Previous crosslinguistic research has shown that the most salient referents – i.e. referents that are most prominent at that particular point in the discourse – are referred to with the most reduced referring expressions. Moreover, factors such as (i) grammatical role, (ii) word order and (iii) the main/subordinate clause distinction have been claimed to be correlated with referent salience. In this paper, we focus on how these factors influence the referential properties of the different members of the third person anaphoric paradigms in Finnish and Estonian.

On the basis of corpus evidence, native speaker judgments and sentence completion experiments, we conclude that the referential paradigms of Finnish and Estonian cannot be mapped directly onto on another, despite some striking morphological similarities. Some referential expressions in Finnish and Estonian seem to behave in very similar ways, whereas others differ drastically. On the whole, the referential properties of the Estonian third person forms provide support for a hypothesis put forth by Kaiser (to appear) – initially formulated on the basis of data from Finnish – that we should not assume that the referential properties of all anaphoric forms can be captured in terms of a salience scale. Instead, Kaiser suggests, we need to investigate the possibility of different factors being relevant for different referential expressions. In this paper, we provide evidence suggesting that the referential properties of the Estonian third person anaphoric paradigm provide additional support for this hypothesis.

2. Third person referents

In this section we will take a detailed look at the third person anaphoric paradigm in Finnish and Estonian. Both languages have relatively free

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word order with canonical SVO order in unmarked transitive clauses. As is typical for Finno-Ugric languages, they both have an extensive case system. Neither Finnish nor Estonian pronouns have a gender distinction, as we will see below in sections 2.1 and 2.2, and referential matrix third person subjects cannot be pro-dropped.

2.1 Finnish

The third person pronoun in standard Finnish is $h\ddot{a}n$'s/he' (ex. 1). In addition, the proximal demonstrative $t\ddot{a}m\ddot{a}$ 'this' can also be used to refer back to third person referents (ex. 2). Boldface is used to indicate coreference.²

(1) Sitten puheen. eversti piti Hän koetti saada Then colonel.NOM held speech.ACC. Hän.NOM tried get.INF ääneensä tiettyä toverillista sävyä. voice.ILLAT.3.PX certain.PART friendly.PART tone.PART

'Then the **colonel** gave a speech. **He** tried to get a certain friendly tone into his voice.' (Linna:144)

(2)

Lammio₁ huusi **Mielosta₂**, ja **tämä₂** tuli

L.NOM shout.PAST.3.SG M.PART, and tämä.NOM come.PAST.3.SG

sisään lähetit kannoillaan.

in messenger.PL heel.PL.ADESS.3.PX

'Lammio₁ called for **Mielonen₂**, and **he₂** came in with the messengers on his_i heels.' (Linna:286)

The pronoun $h\ddot{a}n$'s/he' has been described as referring to the most central or 'foregrounded' character (Kalliokoski 1991) or to the character who is most important in a given situation or context (e.g. Vilppula 1989). According to Saarimaa (1949), $h\ddot{a}n$ tends to refer to the subject of the preceding sentence because the subject is more in the 'foreground' than other referents mentioned in the sentence. In contrast, the demonstrative $t\ddot{a}m\ddot{a}$ 'this', when used anaphorically, is claimed to refer to characters which are, in some sense, in the 'background' (see Varteva 1998). In more structural terms, Sulkala & Karjalainen (1992) claim that $t\ddot{a}m\ddot{a}$ 'this' is

² Abbreviations used in this paper: ACC=accusative, NOM=nominative, PART=partitive, ILLAT=illative, GEN=genitive, ADE=adessive, ALL=allative, ELA=elative, INE=inessive, COM=comitative, PRTC=participle, 3.PX=third person possessive suffix, INF=infinitive.

"used to indicate the last mentioned out of two or more possible referents" (1992:282-283).

2.2 Estonian

In Estonian there are four possible choices for third person referents. These are (i) the long and short forms of the animate pronoun *tema/ta* 's/he', (ii) the inanimate demonstrative pronoun *see* 'it, this', which acts also as a general demonstrative in Northern Estonian dialects, and (iii) the inanimate demonstrative pronoun *too* 'that', a distal demonstrative generally in Southern Estonian dialects. The choice between *see* and *too* depends largely on the dialectal background of the speaker.

According to Pajusalu (1997), ta 's/he' refers to the most prominent entity in the sentence, and the long form tema is used when the speaker contrasts a referent deictically to some other referent in the discourse.³ To illustrate the use of short and long forms of the third person pronouns, Pajusalu provides the example in (3). The background for this example is counting up characters in a ballet performance. In a list of characters, every new character is introduced with tema. Later, when referring back to the same person, the short form ta is used. Here, the first client has just been discussed:

- (3) jateine klient Maarika Aidla(.) on client.NOM and second.NOM he.3 A.NOMtanstib seltsidaami(.) tema tema.NOM dance.3.SG lady companion.PART – miks ta sinna prostituudi juurde satub (.)
 - why ta.NOM there prostitute.GEN at.ILL drop in.3.SG
 - seda peab ise vaatama
 see.PART must.3.SG REFL.NOM watch.INF
 - '- and the second dancer is Maarika Aidla.'
 - '- She dances the role of a lady companion'
 - '- why does **she** drop in to the prostitute's'
 - '- that one has to watch oneself' (from Pajusalu 1997, ex.(8)).

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³ In addition, Pajusalu points out that case also influences the choice of pronouns. When the pronoun is marked for an exterior local case (e.g. *tal* 3.sg.ADE 'on him/her'), the tendency is to use the short form, whereas in interior local cases and when followed by a comitative postposition, the longer form is used. (e.g. *temas* 3.sg.INE 'in him/her'; *temaga kaasa* 3.sg.COM 'with him/her'). Thus, she focuses on subject pronouns, which show the alternation between *ta* and *tema*, We follow her by doing the same here.

Now, let us consider the characteristics of the demonstratives *see* and *too* when they are used to refer back to human referents. For *see*, Erelt et al. (1993:209) state that if there are two third person referents in a clause, the pronoun *ta* is used to refer to the first referent, and *see* to the second one. It has also been noted that, in southern dialects, *too* is used for the secondmentioned referent instead of *see* (Erelt et al. 1993:209).

In sum, even though Finnish and Estonian are areally and typologically close, their anaphoric systems differ in interesting ways. In the remainder of this paper, we will investigate the referential properties of the forms summarized in Figure 1 – in particular, how they are influenced by factors including word order, grammatical role and the main/subordinate clause distinction – in order to gain a better understanding of the discourse functions of the different anaphoric expressions.

Figure 1. Third person anaphoric paradigms of Finnish and Estonian

FINNISH	ESTONIAN
hän	ta

han ta tämä tema see/too

3. Salience

We need to concern ourselves with the notion of salience/accessibility in order to investigate in more detail the referential properties of the anaphors in Figure 1. A general consensus is that elements with the least phonetic content refer to the most accessible or salient referents (i.e. referents that are in the current center of attention in the discourse), whereas more fully specified forms are used for less salient referents. This pattern is encoded in various accessibility hierarchies of referential forms (see e.g. Gundel, Hedberg and Zacharski 1993, Givón 1983 and Ariel 1990). Roughly speaking, according to these hierarchies, null pronouns are used for more accessible referents than overt pronouns, stressed pronouns are used for more accessible antecedents than unstressed pronouns, pronouns are used for more salient referents than demonstratives, and so on. Thus, these hierarchies would presumably predict that in Finnish, the pronoun hän is used for more accessible referents than the demonstrative tämä, and that in Estonian, the short pronoun ta is used for more accessible referents than the long pronoun tema or the demonstratives see/too. Moreover, at least some of the proposed hierarchies would probably also predict that the long pronoun tema refers to more accessible referents than the demonstratives see/too. However, we will in the rest of this paper that these predictions

seem to be too simple and do not match the referential patterns observed for Finnish and Estonian.

Before investigating the Finnish and Estonian third person anaphors in more detail, let us consider some of the factors that have been claimed to influence referent salience, namely (a) grammatical role, (b) word order and (c) the main/subordinate clause distinction. We chose to focus on these factors in this paper for two main reasons. First, the effects of grammatical role and word order have yielded seemingly contrasting results for different languages (as we will see below), and thus it will be interesting to see how Finnish and Estonian fit into the picture. Second, as far as we know, the role of the main/subordinate clause distinction has received less attention in the reference resolution literature and thus investigating it in parallel with the effects of word order and grammatical role can tell us more about how these different factors are related.

First, let us consider grammatical role. A significant body of research has found that subjects are more salient than objects, and that subjects are thus more likely antecedents for 'reduced' anaphoric forms (such as pronouns in English) than objects. For example, Crawley & Stevenson (1990) conducted a sentence completion study, where participants were given sentences followed by pronouns, as illustrated below:

(4) Paul led John along the path. He...

An analysis of the participants' continuations revealed that the pronoun, which presumably refers to the most salient referent, tends to be interpreted as referring back to the subject significantly more often than to the object. Reading-time experiments (e.g. Gordon, Grosz and Gilliom 1993) and corpus studies (e.g. Brennan, Friedman & Pollard 1987) have also found an advantage of subjecthood.

Now, let us turn to word order. For some languages, it has been claimed that word order correlates with referent salience. For example, Strube & Hahn (1996) claim that word order influences referent salience in German, and that entities are ranked from left to right (see also Rambow 1993). However, Hoffman (1998) and Turan (1998) argue that in Turkish, salience is not influenced by word order and depends on grammatical or semantic role.

Another factor that has been associated with differences in salience is the main clause/subordinate clause distinction. Intuitively, we might expect referents in main clauses to be more salient than those in subordinate clauses. This intuition is supported by the findings of Bever & Townsend

⁴ Various other factors have also been discussed in the literature (see e.g. Arnold 1998 for a review), but for reasons of space, we will focus on only three factors in this paper.

(1979), who present experimental evidence suggesting that participants processed main clauses more deeply than subordinate clauses, and had better access to the meaning of a main clause. Related research by Miltsakaki (1999, 2002) also shows that the referential properties of entities in main and subordinate clauses pattern differently.

4. Referential properties of third person anaphora

In this section, we investigate how the three factors discussed in the preceding section, namely grammatical role, word order and the main/subordinate clause distinction, influence the referential properties of the different kinds of third person anaphors in Finnish and Estonian.

4.1 Grammatical Role

In Finnish, as mentioned above, the influence of grammatical role on the referents of the pronoun $h\ddot{a}n$'s/he' and the demonstrative $t\ddot{a}m\ddot{a}$ 'this' was noted as early as 1949 by Saarimaa, who claimed that $h\ddot{a}n$ tends to refer to the subject of the preceding sentence and $t\ddot{a}m\ddot{a}$ to the object. This intuition received additional support from corpus studies by Halmari (1994) and Kaiser (2000), which show that $h\ddot{a}n$ has a distinct tendency to refer back to preceding subjects, and $t\ddot{a}m\ddot{a}$ prefers non-subject antecedents. However, these corpus studies were unable to disentangle the contributions of word order and grammatical role, since, in most cases, the subject linearly preceded the object (see Kaiser to appear for details). We will return to this issue below.

In light of the findings for Finnish, we would like to know whether the referential properties of the anaphors in Estonian are correlated with grammatical role. Our examination of naturally-occurring corpus data⁵ supports Erelt et al.'s (1993) and Pajusalu's (1997) claims. As shown in ex. (5), the default referent of the short form of the pronoun (ta) is the preceding subject, whereas the long form (tema) is used when the referent is contrasted with other referents – for example, in (5), the man is contrasted with those people who will actually be using euros. These results are in line with Pajusalu's (1997) claims that tema is used when contrast is involved and that the short form ta 's/he' is used to refer to antecedents 'at the center of attention.'

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⁵ Corpus examples cited here are from the Estonian corpus at the Institute of Estonian (www.eki.ee/corpus), and from Õunapuu, Ervin (2000) 'Öine fjord,' in *Novellid armastusest*. Tallinn: Kirjastuskeskus OÜ.

(5) Üks mees Londoni tänaval olevat vastanud reporteri One.NOM man.NOM L.GEN street.ADE be.OPT reply.PRTC reporter.GEN

küsimusele, mida **ta** arvab rahast nimega question.ALL what.PART ta.NOM think.3.SG money.ELA name.COM

euro, et **tal** on ükskõik, kuidas EL oma euro.NOM that ta.ADE be.3 all the same how EU.NOM REFL.GEN

raha nimetab, **tema** seda nikuinii kasutama

money.PART call.3.SG tema.NOM 3.SG.INAN.PART anyway use.INF ei hakka.

NEG start

'A man on a street in London had replied to a reporter's question as to what he thinks of money called euro, that it is all the same for him, he anyway is not going to use it.' (www.eki.ee/corpus)

Our corpus data show that the demonstratives (*see/too*) refer to non-subjects, as in examples (6) and (7). This matches observations by Erelt et al. (1993) that if there are two third person referents in a clause, *see/too* are used to refer to the second one.

(6) Lennart Meri₁ otsis **kapten Lauri**₂

L.NOM M.NOM seek.PAST.3.SG captain.ACC L.ACC

üles, sest teadis, et **too**₂ on töötanud.

out because know.PAST.3.SG that too.NOM be.3 work.PRTC

Kamtshatkal.

K.ADE

'Lennart Meri₁ sought out **captain Laur₂** because he knew that **he₂** had been working in Kamtchatka.' (www.eki.ee/corpus)

(7) Kohtunik₁ pilgutas **detektiivile₂** silma. **See₂** *Judge.NOM blink.PAST.3.SG detective.ALL eye.PART See.NOM*noogutas, *nod.PAST.3.SG*

'The judge₁ winked at **the detective₂**. **H e₂** nodded,...' (Õunapuu, 2000:52)

However, as alluded earlier, it would be a mistake to now conclude that what determines the choice of *hän* vs. *tämä* in Finnish and *ta* vs. *see/too* in Estonian is the grammatical role of the antecedent. Thus far, we have not yet disentangled the contributions of word order and grammatical role, since in all the sentences that we have considered so far, the subject has preceded the object. In other words, the seemingly greater salience of subjects could be due to their linear position or their grammatical/semantic role. In the next section we separate these two factors by looking at sentences with word orders where the object occurs before the subject.

4.2 Word Order

When word order and grammatical role are disentangled, Kaiser (to appear, see also Kaiser this volume) found that, in Finnish, hän and tämä behave differently. In particular, $h\ddot{a}n$ appears to be primarily sensitive to grammatical role: When preceded by an SVO or and OVS sentence with two full NP arguments, hän prefers to refer to the subject regardless of the word order. In contrast, tämä is primarily sensitive to word order, and prefers postverbal referents over preverbal referents in both SVO and OVS orders. In light of these results, Kaiser concludes that we should not view the forms hän and tämä as being mapped onto a salience scale. Instead, she suggests that the two referential forms are sensitive to different factors: (i) hän cares about the syntactic function/grammatical role of potential antecedents and prefers subjects, and (ii) tämä is primarily sensitive to word order and prefers to refer to entities that are low in salience, entities that are not at the center of attention at that point in the discourse (see also Varteva 1998). In other words, the results with SVO/OVS sentences with two full NPs suggest that tämä is associated with the low-end of a salience scale, and hän with the high-end of a grammatical role scale.⁶

For Estonian, Erelt et al. (1993) note that the pronoun ta is used to refer to the first mentioned third person referent in the preceding clause, and the demonstratives see/too to the second one. However, it is not clear whether this generalization also extends to sentences with noncanonical word order, where the object linearly precedes the subject. In fact, our small-scale preliminary survey of SVO and OVS sentences followed by ta reveals that even for OVS sentences, seven out of nine speakers (78%) interpreted ta as referring to the preceding subject. This suggests that the properties of Estonian ta might well be similar to what Kaiser (to appear)

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⁶ As Kaiser (this volume) discusses, in addition to word order and grammatical role, the NP form of the antecedent is also relevant and has an impact on the referential properties of the pronoun $h\ddot{a}n$.

found for the Finnish pronoun $h\ddot{a}n$, a hypothesis that merits further research.

Now let us consider the demonstratives *see/too*. Preliminary survey data from 30 native speakers suggest that *see/too* tend to prefer the postverbal, last-mentioned referent but that they are also sensitive to syntactic role. In ex. (8), 29/20 (97%) interpreted *see/too* as referring to the postverbal object, whereas in ex. (9), 17/30 (57%) interpreted *see/too* as referring to the postverbal subject. Thus, it seems that in SVO sentences, *see/too* clearly prefer postverbal objects, but with an OVS sentence as in (13), they have only a slight preference for the postverbal subject. This is a pattern that bears some resemblance to Kaiser's (to appear) findings for the Finnish demonstrative *tämä*, but clearly further research is needed to test the generalizability of these preliminary findings for Estonian.

- (8) Mees₁ tervitab **naist**₂. **See**₂/**Too**₂ naeratab. *Man.NOM greet.3.SG woman.PART. See/Too.NOM smile.3.SG* '**The man** greets the woman. **She** smiles.'
- (9) **Naist**₂ tervitab mees₁. **See**₂/**Too**₂ naeratab. woman.PART greet.3.SG man.NOM. See/Too.NOM smile.3.SG 'It is the woman who **the man** greets. **She** smiles.'

In sum, then, these patterns suggest that just like Finnish *hän* and *tämä*, the Estonian *ta* and *see/too* differ in their sensitivity to the effects of word order and grammatical role. In Estonian, the long form *tema*, on the other hand, differs from these other options since its antecedent is whatever referent is contrastive with something else in the discourse, a property that we will return to in Section 5.

4.3 Main Clause/Subordinate Clause Distinction⁷

Let us now turn to another factor that has been claimed to influence referent salience, namely the distinction between main and subordinate clauses. For Finnish, Kaiser (2000) found that in contexts where the preceding sentence contains a third-person referent in both the main clause and the subordinate clause, the demonstrative $t\ddot{a}m\ddot{a}$ usually refers to the referent in the embedded clause (ex. 10), and the pronoun $h\ddot{a}n$ to the referent in the main clause (ex.11).

one.

⁷ There are various kinds of subordinate clauses in a language, e.g. report complements, relative clauses, temporal adjuncts etc. As in Kaiser (2000), at this stage we have not yet distinguished between different subtypes of subordinate clauses here and treat them as

(10) Vääpeli₁ katseli ajatuksissaan eteiseen, Sergeant.NOM look.PAST.3.SG thought.PL.INE.3.PX vestibule.ILL

jossa **kirjuri**₂ kampasi tukkaansa. *where scribe.NOM comb.PAST.3.SG hair.PAST.POSS.3.SG*

Tämä2ilmehtipeilinedessä.Tämä.NOM made-facesmirror.GENfront.INE

'Deep in thought, the sergeant₁ looked towards the vestibule, where the **scribe₂** was combing his hair. **He₂** was making faces in front of the mirror.' (Linna:23)

(11) **Lewinsky**₁ nyökytteli, mutristeli huuliaan, *L.NOM nodd.PAST.3.SG chew.PAST.3.SG lip.PL.PART.3.PX*

heilautteli hiuksiaan ja hymyili, toss.PAST.3.SG hair.PAST.3.PX.PL and smile.PAST.3.SG

kun kuulustelija₂ sekosi sanoissaan. *when interviewer.NOM mixed-up.PAST.3.SG word.PL.INE.3.PX.PL*

Suurimman osan ajasta **hän**₂ vaikutti hieman kyllästyneeltä. *Most.GEN part time.ELA hän.NOM seem.PAST.3.SG slightly bored*

'Lewinsky₁ nodded, chewed her lips, tossed her hair around, and smiled, when the interviewer₂ got mixed up in his words. Most of the time **she₁** seemed a little bit bored.' (Helsingin Sanomat, Verkkoliite, 7/2/99)

Additionally, Kaiser (2000) found that the demonstrative was used in certain contexts in which a pronoun would in fact have been unambiguous. These tended to be contexts where the antecedent of the demonstrative was in an embedded position (e.g. the object of a preposition in sentence such as 'The apple landed a few feet from **Bill**') and where another referent in that same sentence was more prominent at that point in the discourse. In light of these findings, Kaiser (2000) suggests that the demonstrative *tämä* can be used to when its antecedent is significantly less salient than some other entity in the surrounding context.

Let us now consider how the main clause-subordinate clause distinction is reflected in the choice of anaphora in Estonian. A survey conducted with 30 native speakers shows that *ta* tends to be interpreted as usually referring to the subject of the matrix clause, as in example (12) (22/30, 73% matrix-subject interpretations). In contrast, *see/too* take the subject of the subordinate clause as their antecedent, as in example (13) (27/30, 90% subordinate-subject interpretations).

(12) **Liisa**₁ märkas, et Mati₂ seisis uksel. L.NOM notice.PAST.3.SG. that M.NOM stand.PAST.3.SG door.ADE.

 Ta_1 naeratas.

3.SG.NOM smile.PAST.3.SG

'Liisa₁ noticed, that Mati₂ was standing at the door. She₁ smiled.'

(13) **Liisa**₁ märkas, et Mati₂ seisis uksel. *L.NOM notice.PAST.3.SG. that M.NOM stand.PAST.3.SG door.ADE*

See/Too₂ naeratas.

3.SG.NOM smile.PAST.3.SG

'Liisa₁ noticed, that **Mati₂** was standing at the door. **He₂** smiled.'

These data suggest that ta prefers to refer to the subject of the matrix clause, and the demonstrativess to the subject of the embedded clause. This matches the pattern observed for $h\ddot{a}n$ and $t\ddot{a}m\ddot{a}$ in Finnish. Let us now consider what happens if the short form ta in (12) is replaced with the long form of the pronoun, tema. Recall that the long form is used when the referent contrasts with something else. When presented with the sentence out of context, the questionnaire participants' responses were split between the matrix subject (18/30, 60%) and the embedded subject (12/30, 40%). This is not surprising, since either one of these subjects could be construed as contrastive, and the bias towards the main subject could be explained as a result of matrix subjects being more salient than embedded subjects.

In sum, we can say that in terms of their tendencies to refer to entities in main or subordinate clauses, the short pronoun ta seems to pattern like the Finnish pronoun $h\ddot{a}n$, and the demonstratives see/too resemble the Finnish demonstrative $t\ddot{a}m\ddot{a}$. Interestingly, the long pronoun tema in Estonian is sensitive to contrast and is not used to refer to less salient referents – even though this is what one might have predicted in light of the claims made by accessibility hierarchies.

5. Discussion and conclusions

In this paper we investigated the referential properties of third person referential expressions in Finnish and Estonian (Fig 1, repeated below); in particular, we were concerned with the effects of word order, grammatical role and the main/subordinate clause distinction on the use of these referential forms.

Figure 1. Third person anaphoric paradigms of Finnish and Estonian

FINNISH ESTONIAN

hän ta tämä tema see/too

We used corpus evidence and native speaker survey data for Estonian to investigate the referential properties of the Estonian forms and to compare them to the patterns observed for the Finnish pronoun $h\ddot{a}n$ and demonstrative $t\ddot{a}m\ddot{a}$. Our preliminary results suggest that the Estonian short pronoun ta may pattern like the Finnish pronoun $h\ddot{a}n$, and the Estonian demonstratives see/too seem to act like the Finnish demonstrative $t\ddot{a}m\ddot{a}$. Interestingly, the Estonian long form tema, which is historically related to the Finnish demonstrative $t\ddot{a}m\ddot{a}$ (Kulonen et al. 2000:355), has a very different function in Estonian than $t\ddot{a}m\ddot{a}$ does in Finnish. In Estonian, tema is used to refer to entities that are contrasted with something else (e.g. Pajusalu 1997), whereas in Finnish $t\ddot{a}m\ddot{a}$ is used for entities low in salience.

This striking difference in the discourse functions of the two closely related forms tema and $t\ddot{a}m\ddot{a}$ – as well as the observation that ta and see/tooseem to be sensitive to different kinds of factors – deserves further research and supports Kaiser's (to appear) claim that we should not assume that the different members of the anaphoric paradigm of a given language can be mapped along a salience/accessibility scale. As mentioned earlier, accessibility hierarchies that have been proposed in the literature would presumably predict that in Finnish, hän is used for more accessible referents than tämä, and that in Estonian, ta is used for more accessible referents than tema or see/too. Moreover, at least some of the hierarchies probably also predict that tema refers to more accessible referents than see/too. However, as we have tried to illustrate in this paper, in our investigation of the Finnish and Estonian anaphoric paradigms, we have not found these patterns. In sum, our preliminary findings support Kaiser's claim that we need to explore the idea of different factors, such as grammatical role, discourse-status and contrast, being relevant for the different members of an anaphoric paradigm (see also Kaiser (in preparation)). We plan to investigate this hypothesis in more depth in future work.

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