The Japanese Particle wa Most Often Does Not Mark a Topic*

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1 Introduction

It has been widely held that the Japanese particle *wa* in its so-called thematic use is a topic-marker (Heycock 2008; Tomioka 2016 and references therein). This work aims to demonstrate that, contrary to this received wisdom (and in line with Martin 1975; Fiengo and McClure 2002, etc.), most often thematic *wa* merely indicates the *groundhood* (i.e. status as a nonfocus), rather than the topichood, of the marked constituent, although it serves as a marker of *contrastive topic* (in Büring's 2003 sense) in limited configurations.

2 The thematic and contrastive uses of wa

Since Kuno (1972, 1973), it has been widely recognized that the Japanese particle *wa* has two uses: *thematic* and *contrastive*. There has not been a clear consensus, however, as to where to set the boundary between the two, and how to determine whether a given instance of *wa* is thematic or contrastive, let alone how the two uses are related (see Oshima 2020: 173–174 for some discussion of the last issue).

With Tomioka (2016), I take the view that the primary division is to be made between (i) instances of wa occurring on focus items (wa_F for short)

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and (ii) ones occurring on non-focus, or ground, items (wa_G for short). In line with Lambrecht (1994) and Rooth (1995), I adopt the following assumptions as to the notions of focus and ground: (i) focus is that semantic component of a sentence that is new and informative (from the hearer's perspective), and ground (= non-focus) is that semantic component of a sentence that is expected and non-informative (from the hearer's perspective), and (ii) a sentence meaning may consist either of some focus and some ground or solely of focus, but cannot consist solely of ground ("all-focus" utterances are possible but "all-ground" ones are not).

In Japanese, the focushood and groundhood of constituents are coded with – though not solely with – such tonal features as post-focal reduction and prominence-lending rise. Consequently, oftentimes prosodic cues "disambiguate" a given instance of *wa*-marked phrase (Tomioka 2016; Oshima 2020). To illustrate, in a natural production of (1B), the constituent after the *wa*-phrase "shiitake wa" is *not* affected by post-focal reduction (the process whereby phrase-tonal rises and accent falls within any constituents subsequent to the (last) focus item within a major phrase are compressed; Ishihara 2015); this indicates that the instance of *wa* here is *wa*_G. In a natural production of (1C), on the other hand, post-focal reduction takes place obligatorily after the *wa*-phrase "eringi wa"; this implies that *wa* here is *wa*_F.

(1) (B and C went to the forest to collect shiitake (mushrooms) and king oyster mushrooms, and have just come back.)

A: Shiitake to eringi, totte kite shiitake and king.oyster.mushroom take.Ger come.Ger kureta?

Ben.Pst

'Did you get us shiitake and king oyster mushrooms?'

- B: Gomen, **shiitake wa** mitsukerarenakatta. sorry shiitake *wa*_G find.Pot.Neg.Pst 'Sorry, we couldn't find any shiitake.'
- C: Demo, [eringi]_F wa haete ta yo. but king.oyster.mushroom wa_F grow.Ger Npfv.Pst DP 'But there were king oyster mushrooms.'

(adapted from Oshima 2020: 170–171)

¹ The abbreviations in glosses are: Acc = accusative, Ben = benefactive auxiliary, Cop = copula, Dat = dative, DAux = discourse auxiliary, DP = discourse particle, Ger = gerund, HonT = honorific title, Inf = infinitive, Neg = negation, NegAux = negative auxiliary, Nom = nominative, Npfv = non-perfective auxiliary, Plt = polite, PossHon = possessor honorific, Pot = potential, Pro = pronoun, Prs = present, Pst = past, SHon = subject honorific.

Furthermore, the *wa*-phrase in (1C) may optionally be accompanied by a prominence-lending rise (Oshima 2006) – a tonal rise that takes place toward the end of a focused constituent – while the one in (1B) cannot.

Note that some might characterize the wa-phrase in (1B), as well as the one in (1C), as contrastive, its referent (a mushroom) being contrasted with something else (another mushroom). I will, however, adopt the terminological assumption that "contrastive wa" exclusively refers to wa_F (so that the instance of wa in (1B) is not to be called contrastive wa).

Regarding the semantics of wa_F , as in Oshima (2020), I consider it to be a focus alternative quantifier that belongs to the same natural class as mo 'also', sae 'even', etc., and that induces the conventional implicature that at least one proposition alternative to the prejacent-proposition is not known (to the speaker) to be true.

3 Thematic wa and topichood

The view that thematic wa (i.e. wa_G) is a topic-marker has prevailed in the literature. Heycock (2008: 54), for example, remarks that "it has become a truism that Japanese has an overt marker for topic (wa)". The notion of topic, however, is notoriously elusive, making it hard to prove or falsify the thesis that wa marks a topic.

Büring (2003) develops an empirically well-grounded account of topic, although he refers to the notion he addresses as "contrastive topic" and states that it is not to be equated with topic as a more general and abstract category.

Note that I use the term contrastive topic here to refer to a linguistic category manifested by linguistic means: in English, a fall-rise pitch accent. It is distinct from more abstract notions such as *topic* [...], *theme* or (*back*)*ground*, which may but need not be formally marked by intonation or otherwise in a given sentence [...]. I believe, though, that some of the properties attributed to these more abstract categories are in fact properties of contrastive topics in the narrow sense discussed here; hence the choice of term contrastive *topic*.

(Büring 2003: 512)

(2B) exemplifies an English utterance with a contrastive topic (CT), where the CT is associated with the fall-rise pattern ([(L+)H* L- H%]) commonly called the (*contrastive*) topic accent.

(2) A: What about Fred? What did he eat? B: $[Fred]_{CT}$ ate the $[beans]_F$. (L+)H*L-H% H*L-L%

(adapted from Büring 2003: 511)

Büring (2003) proposes, in brief, that a statement with a CT indicates that the question that it provides an answer to, Q, has one or more "sister" questions (i) that are formed by substituting the CT-marked item in Q with some alternative, and (ii) that have been or are yet to be addressed in the same discourse. (2B), for example, presupposes the presence of a "d(iscourse-)tree" that looks like Figure 1.

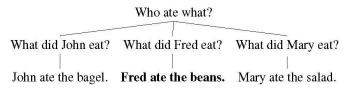


Figure 1: A discourse-tree relevant to (2)

The function of wa_G is clearly different from that of the CT accent. Observe, for example, that in (3), the use of wa_G is felicitous – and obligatory – despite there being no contextually relevant alternative questions to the currently addressed one (i.e. questions about the whereabouts of people other than Yamada).

(3) A: Nee, Yamada-san iru? Y.-HonT exist.Prs 'Hey, is Yamada here?' B: Yamada-san {wa/#ga} shutchoo Osaka ni ima Y.-HonT $\{wa_G/\text{Nom}\}\ \text{now}$ Dat business.trip by itte masu. go.Ger Npfv.Plt.Prs 'Yamada is on a business trip and is in Osaka now.'

If wa_G is a topic-marker but does not mark a contrastive topic, it must mark a different type of topic – an *aboutness topic*, to tentatively adopt the term used in some previous works, including Frascarelli and Hinterhölzl (2007) and Miyagawa (2017). However, to my knowledge, no reliable criterion has been established to identify, on objective grounds, whether a given constituent counts as an aboutness topic or not. In my opinion, the received supposition that wa_G marks a topic is subject to the problem of circularity and

non-falsifiability, the notion of (aboutness) topic vaguely understood as "what the sentence/utterance is about" and lacking an independent criterion: the function of wa_G is to indicate an aboutness topic, which is the information-structural status of a constituent that is indicated by wa_G . I will argue that the function of wa_G can be accounted for without having recourse to the notion of aboutness topic, at least as far as wa_G -marking on argument nominals is concerned. The key ingredients of my account will be: (i) groundhood (non-focushood), (ii) contrastive-topichood, and (iii) the hierarchy of predicate complements.

4 Thematic wa and groundhood

4.1 Wa-marking on subjects

While wa_G has been widely regarded as a topic-marker, some scholars, including Martin (1975), Fiengo and McClure (2002), and Fry (2003), take the view that not all wa_G -marked constituents are topics, and the function of wa_G has to do with some other notion such as groundhood, backgroundedness, or (discourse-level) cohesion, rather than or in addition to topichood.

In Oshima (2009), it is argued that, in root clauses, a subject must be marked by wa if it is a ground item (i.e. if it is not the focus or part thereof); this amounts to saying that, as far as wa occurring on a subject is concerned, its function is better characterized as a ground-marker, rather than a topic-marker. This supposition is motivated by a data set like the following:²

(4) [It is common ground that three students, Mari, Aki, and Emi read the literary works *Yukiguni*, *Kokoro*, and *Rashomon*, respectively (each student read exactly one work, and no two students read the same work).]

Q: Mari ga *Yukigini* o yonda no wa itsu M. Nom *Y*. Acc read.Pst Pro wa_G when desu ka?

Cop.Plt.Prs DP

'When is it that Mari read Yukiguni?'

A_a: Mari $\{$ wa/#ga $\}$ Yukiguni o [senshuu $]_F$ yomimashita. M. $\{$ wa $_G$ /Nom $\}$ Y. Acc last.week read.Plt.Pst 'Mari read Yukiguni [last week $]_F$.'

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² When wa occurs on a nominative or accusative complement, the occurrence of the case-marker (nominative ga or accusative o) is obligatorily suppressed.

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A<sub>b</sub>: Yukiguni o Mari \{wa/\#ga\} [senshuu]<sub>F</sub> yomimashita.

Y. Acc M. \{wa_G/Nom\} last.week read.Plt.Pst 'idem'
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 $(4A_{a,b})$ are admittedly somewhat awkward even with wa on the subject, involving repetitions of the argument nominals. A more natural option here is to leave out the explicit arguments or to use a cleft construction with no explicit arguments, as in (5a,b).

(5) [Senshuu]_F {a. yomimashita / b. desu}. last.week read.Plt.Pst Cop.Plt.Prs '(She) read (it) last week.' / 'It is last week.'

Still, the contrast between the ga- and wa-versions of $(4A_{a,b})$ is evident. Adding wa to the object does not lead to improvement of the acceptability of the ga-versions of $(4A_{a,b})$.

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(6) [in reply to (4Q)]
     Ac: #Mari
                                              [senshuu]_F yomimashita.
                    ga
                            Yukiguni wa
                    Nom Y.
                                              last.week read.Plt.Pst
           M.
                                       wa_{G}
           'Mari read Yukiguni [last week]<sub>F</sub>.'
     A<sub>d</sub>: #Yukiguni wa Mari
                                            [senshuu]_F yomimashita.
           Υ.
                        wa<sub>G</sub> M.
                                     Nom last.week
                                                       read.Plt.Pst
           'idem'
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The patterns illustrated above leave open two interpretations. The first is that (wa_G invariably marks an aboutness topic and) an explicit subject must be an aboutness topic if it is not part of the focus. The second is that (wa_G does not necessarily occur on an aboutness topic and) an explicit subject must be marked with wa_G whenever it is not part of the focus. I find the second more sensible. The first interpretation amounts to saying that in Japanese, an explicit subject cannot be part of what Vallduví (1992) calls a "tail," i.e. a component that is part of ground but not a topic (Tail = $_{def}$ Ground – Topic). From the functional perspective, there appears to be no rationale for the expressivity of a language to be constrained in such a way.

Also, this line of analysis (the first interpretation) has a problem of non-falsifiability. It is logically possible for the subject NPs of $(4A_{a,b})$ to be presented (by the speaker) and perceived (by the hearer) as an aboutness topic, but there is no direct empirical evidence for this, apart from the fact that the form wa_G occurs on it. It is possible that we will eventually find such evidence, with a better understanding of the notion of topic from the general-linguistic and psycholinguistic perspectives. For the time being, however, it

seems that an account that does not have recourse to the notion of aboutness topic is to be favored, if such is available.

It has to be noted that wa_G -marking on a non-focus subject (of a root clause) is exempted when the subject linearly follows a focus constituent, as in $(7A_{c,f})$ (Kuno 1972: 288–289; Oshima 2009: 412–413).

(7) [in reply to (4Q)]

- A_e: [Senshuu]_F Mari { $\mathbf{wa/ga}$ } Yukiguni o yomimashita. last.week M. { wa_G/Nom } Y. Acc read.Plt.Pst 'Mari read Yukiguni [last week]_F.'
- A_f: [Senshuu]_F Yukiguni o Mari { $\mathbf{wa/ga}$ } yomimashita. last.week Y. Acc M. { wa_G /Nom} read.Plt.Pst 'idem'

In Oshima (2009), it is proposed that the effect of relative word order between the (non-focus) subject and the focus item on wa_G -marking has to do with post-focal reduction, which, like wa_G -marking, indicates groundhood. The key difference between (4A_{a,b}) and (7A_{e,f}) is that the subject NPs of the latter are, and the ones of the former are not, within the domain of post-focal reduction. This implies that the groundhood of the subject NPs of (7A_{e,f}) is prosodically coded, while that of the subject NPs of (4A_{a,b}) is not. The contrast between (4A_{a,b}) and (7A_{e,f}) is accounted for by postulating the following constraint.

(8) When the subject of a root clause is a ground item, its groundhood must be encoded either by wa_G -marking or by post-focal reduction (or both).

4.2 Wa-marking on objects

As seen in $(4A_{a,b})$, an object NP does not need to be wa_G -marked even if it is a ground item and is outside the domain of post-focal reduction. Indeed, adding wa_G to the object NPs of the wa-versions of $(4A_{a,b})$ leads to awkwardness. ($(9A_{g,b})$ are felicitous in some discourse configurations; see below.)

- (9) [in reply to (4Q)]
 - Ag: ??Mari **wa** Yukiguni **wa** [senshuu] $_F$ yomimashita. M. wa_G Y. wa_G last.week read.Plt.Pst 'Mari read Yukiguni [last week] $_F$.'

It is not uncommon, on the other hand, for an object to be wa_G -marked; furthermore, sometimes wa_G -marking on an object is obligatory. In (10A_a), for example, the object must be accompanied by wa_G ; in (10A_b), where the object is within the domain of post-focal reduction, wa_G -marking on the object is optional (and is perhaps somewhat awkward).

- (10) [It is common ground that three students, Mari, Aki, and Emi each read exactly one of the three literary works *Yukiguni*, *Kokoro*, and *Rashomon*, and that no two students read the same work.]
 - Q: Yukigini o yonda no wa dare desu ka? Y. Acc read.Pst Pro wa_G who Cop.Plt.Prs DP 'Who is it that read Yukiguni?'
 - A_a: Yukiguni {**wa**/#**o**} [Mari]_F ga yomimashita. Y. { wa_G /Acc} M. Nom read.Plt.Pst '[Mari]_F read Yukiguni.'
 - A_b : [Mari]_F **ga** Yukiguni {**wa/o**} yomimashita. M. Nom Y. { wa_G/Acc } read.Plt.Pst 'idem'
- (11A) and (12) are additional examples of discourse segments where wa_{G} -marking on an object is obligatory.
- (11) Q: Ken ga chiketto o katta no wa doko
 K. Nom ticket Acc buy.Pst Pro wa_G where
 desu ka?
 Cop.Plt.Prs DP

 'Where is it that Ken bought (his) ticket?'
 - A: Chiketto $\{wa/\#0\}$ [kaijoo]_F de kaimashita. ticket $\{wa_G/Acc\}$ venue at buy.Plt.Pst '(He) bought (his) ticket at [the venue]_F.'
- (12) [The speaker admires Kitagawa, his senior colleague. Kitagawa has been suspected of murdering the president of their company.]

 Are wa Kitagawa-san ga yatta n ja that wa_G K.-HonT Nom do.Pst DAux Cop.Inf nai. Kitagawa-san ga yareru hazu wa NegAux.Prs K.-HonT Nom do.Pot.Prs reason wa_G

nai n da. Datte, shachoo {wa/#o} NegAux.Prs DAux Cop.Prs because president {wa_G/Acc} [boku]_F ga koroshita n da mono!

I Nom kill.Pst DAux Cop.Prs DP

'It's not Mr. Kitagawa who did it. There's no way Mr. Kitagawa could do it. [I]_F killed the president, that's why!'

(adapted from the short story Suujijoo by Soji Shimada)

The key feature common to $(10A_{a,b})$, (11A) and (12) is that they do not involve a wa_G -marked subject, their subject being either a focus item or left implicit.

I propose that, as a rule, wa_G -marking is applied to at most one argument within a (root) clause, and is preferentially applied to one higher in the argument hierarchy, or equivalently, to one with a lower degree of obliqueness. (13) formulates this idea in more precise terms:

(13) **Wa**_G-Marking on Arguments (tentative)

Let α be an explicit, non-focal argument of a given root clause.

- a. α must be wa_G -marked if no co-argument β of α is such that β is non-focal, explicit, and less oblique than α .
- b. Wa_G -marking, however, is exempted (optionally applied) when this condition holds but α occurs within the domain of post-focal reduction.

This principle can be understood as a compromise of conflicting functional motivations: enrichment of information-structural coding on the one hand, and clarification of truth-conditional meaning and avoidance of prolixity on the other. For the purpose of information-structure encoding, it would be more straightforward and effective to apply wa_G -marking to all non-focal arguments. This, however, would incur obscurity of the meaning or added complexity of the form; a wa_G -marked accusative object ("X wa") may be misinterpreted as a subject, and a wa_G -marked dative object ("X ni wa") is more complex than the wa-less version.

The idea that arguments (and complements in general) are ranked on a certain scale, and this order is of relevance to various grammatical phenomena, including binding and relative-clause formation, is well-established. With Pollard and Sag (1994), I refer to this scale as the scale of *obliqueness*; I will remain agnostic about the exact nature of this scale, which is open to diverse theoretical interpretations. The following relation will be assumed to hold among complement nominals in Japanese:

(14) The Obliqueness Hierarchy

(Nominative or Dative) Subject < Dative Object < Accusative Object < Adjuncts

The following examples illustrate that wa_G -marking is preferentially applied to dative rather than accusative objects, in accordance with the assumed hierarchy.

- (15) [It is common ground that Yumi is interlocutor B's fiancée.]
 - A: Yumi-san to goryooshin ga
 Y.-HonT and both.parents.PossHon Nom
 hajimete awareta no wa itsu desu
 for.the.first.time meet.SHon.Pst Pro wa_G when Cop.Plt.Prs
 ka?
 DP
 - 'When is it that Yumi and your parents met for the first time?'
 - B_a : Ryooshin ni **wa** Yumi o [shigatsu ni]_F shookai both.parents Dat wa_G Y. Acc April Dat introduce shimashita.

do.Plt.Pst

'I introduced Yumi to my parents [in April]_F.'

 B_b : ??Yumi wa ryooshin ni [shigatsu ni] $_F$ shookai Y. wa_G both.parents Dat April Dat introduce shimashita. do.Plt.Pst 'idem'

It appears that the contrast in acceptability between $(15B_a)$ and $(15B_b)$ is not as striking as that between $(4A_{a,b})$ with wa_G on the one hand and $(6A_{c,d})$ on the other. It is plausible that this is because the difference of obliqueness between dative and accusative objects is small in comparison to that between subjects and objects (i.e. Subject << Dative Object < Accusative Object), so that "reversal" is relatively tolerable.

5 Multiple arguments with thematic wa

Sentences like $(9A_{g,h})$, where more than one argument is wa_G -marked, are acceptable in certain contexts. (16) illustrates this point.

- (16) [It is common ground that Mari read the three literary works *Yukiguni*, *Kokoro*, and *Rashomon* (and nobody else read anything).]
 - Q: 'I heard that Mari read *Rashomon* at the end of May. How about the other two works? When is it that Mari read *Yukiguni* and *Kokoro*, respectively?'

I propose that the occurrences of wa_G on the objects of $(16A_{a,b})$ serve to indicate a contrastive topic in Büring's (2003) sense. The setting of (16) makes it evident that two sister questions of (16Q) – i.e. when Mari read Kokoro and when she read Rashomon – are of current interest to (at least one of) the interlocutors, so that Yukiguni qualifies as a contrastive topic (Figure 2).

In contrast, in the original context of (9), no sister question of the form 'When did Mari read X?' is prominent, it being assumed that Mari read no work other than *Yukiguni*.

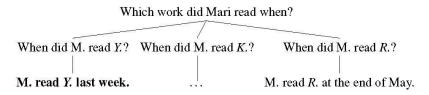


Figure 2: A d-tree relevant to (16)

Kuno (1973) makes the following remark on clauses with multiple occurrences of wa.

A given sentence can have only one thematic *wa*: if there is more than one occurrence of *wa* in a sentence, only the first can be thematic: all the rest (and probably the first one also) are contrastive.

(Kuno 1973: 48)

I suggest making two amendments to this generalization. The first is to some extent an issue of terminology. As explained in Section 2, I apply the label contrastive wa exclusively to wa_F . Consequently, none of the occurrences of wa in $(16B_{a,b})$ would count as contrastive wa (although the ones on the objects indicate contrastive-topichood).

The second is concerned with the definition of "second wa". Is the order here to be based on linear precedence, or on the scale of grammatical obliqueness? While Kuno appears to think of the first option, it is the second that leads to empirically more appropriate predictions. The acceptabil-

ity of $(16A_b)$ with wa_G on the object indicates that it is the more oblique, rather than the linearly subsequent, of the two wa_G -marked arguments whose referent is understood to be "contrasted" with some alternative(s). Note that in the setting of (16), the subject Mari does not qualify as a contrastive topic, there being no prominent sister question of the form 'When did X read Yukiguni?'.

The amended version of (13) below integrates the effect of contrastive-topichood on wa_G -marking.

(17) Wa_G-Marking on Arguments (amended)

Let α be an explicit, non-focal argument of a given root clause.

- a. α must be wa_G -marked if either of conditions (i) and (ii) holds:
 - (i) no co-argument β of α is such that β is non-focal, explicit, and less oblique than α ;
 - (ii) α is a contrastive topic.
- b. Wa_G -marking is exempted (is optionally applied), however, when condition (i) holds but α occurs within the domain of post-focal reduction.
- (17) (as well as (13)) dictates that a subject, which is the least oblique argument, be marked with wa_G whenever it is explicit and non-focal. As such, wa_G occurring on a subject does not indicate that it is a topic, in the same way that a label on a bag that says "fruit" does not indicate (though might suggest the possibility) that the content is an apple. An (explicit) subject may happen to be a ground item *and* a contrastive topic (in the same way as the content of the bag may be a fruit *and* an apple), but having the first property alone guarantees wa_G -marking on it. (18), a slight variant of (16), illustrates a case where the subject qualifies as a contrastive topic. Observe that the pattern of wa_G -marking here is no different from the one seen in (4)/(6), where the subject is a mere ground item and not a contrastive topic.
- (18) [It is common ground that three students, Mari, Aki, and Emi read *Yukiguni* (and none of them read anything else).]
 - Q: 'I heard that Emi read *Yukiguni* at the end of May. How about the other two students? When is it that Mari and Aki respectively read *Yukiguni*?'
 - A_a: Mari {wa/#ga} Yukiguni {#wa/o} [senshuu]_F
 M. wa_G/Nom Y. wa_G/Acc last.week
 yomimashita.
 read.Plt.Pst
 'Mari read Yukiguni [last week]_F.'

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A<sub>b</sub>: Yukiguni {#wa/o} Mari {wa/#ga} [senshuu]<sub>F</sub> Y. wa_G/Acc M. wa_G/Nom last.week yomimashita. read.Plt.Pst 'idem'
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The same point holds for wa_G -marked objects not co-occurring with another wa_G -marked argument; in (19), whether Matsui-sensei is a mere ground item or a contrastive topic does not have any bearing on wa_G -marking on it.

(19) Matsui-sensei **wa** [watashi] $_F$ ga shootai shimasu. M.-HonT wa_G I Nom invite do.Plt.Prs '[I] $_F$ will invite Prof. Matsui.'

6 Conclusion

It was argued that wa_G occurring on a subject invariably indicates ground-hood, while wa_G occurring on an object sometimes indicates contrastive-topichood. I have considered only wa_G -marking on arguments, leaving open the question of how that on other types of constituents (e.g. locative adjuncts) is regulated.

Most instances of wa occur on a subject. The 2020 version of the NINJAL Parsed Corpus of Modern Japanese³ (560,098 words) contains 17,505 instances of wa occurring in matrix environments, among which 13,890 (79.35%) occur on a subject. Some of these instances may be wa_F ; however, it seems unlikely that this heavily affects the proportion, as presumably wa_F occurs much less frequently than wa_G . It can thus be concluded that wa most often does not mark a topic.

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³ http://npcmj.ninjal.ac.jp/ (checked on July 20, 2020)

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