MINISTRY OF EDUCATION AND TRAINING

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LÊ THÚY NGA

A STUDY OF IMPLICATIVE VERBS IN ERNEST HEMINGWAY'S NOVELS

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CHAPTER 1
INTRODUCTION

1.1. RATIONALE

The assertion of an implicative verb as predicate triggers an entailment about the truth of the action expressed by the embedded verbs.

> (2) a. Don't **forget** **to tell** Pedrico the head is his. [A2]
>
> b. **Remember** **to tell** Pedrico the head is his.
>
> c. **Tell** Pedrico the head is his.

In (2a), "*forget to*" can be understood as "*not remember to*", so the above sentence undergoes a double negation, and thus leads to a positive implication of the truth of the complement, (2a) ⇒ (2b)

The examples above shows that it is quite a tough task to work out when implicative verbs are utilized, what can be inferred by the hearer or the reader. More is communicated through the use of such implicative verbs, thus comes the thesis "A Study of Implicative Verbs in Ernest Hemingway's Novels"

1.2. AIMS AND OBJECTIVES

1.2.1. Aims

This study aims at examining implicative verbs employed in three of the novels namely "*A Farewell to Arms*" (1929), "*For Whom the Bell Tolls*" (1940), and "*The Old Man and the Sea*" (1952) written by Ernest Hemingway and investigating their syntax construction as well as semantic features and pragmatic use.

1.2.2. Objectives

This study is intended to:

1. Examine the implicative verbs used in the three novels "*A

Farewell to Arms" (1929), "*For Whom the Bell Tolls*" (1940), and "*The Old Man and the Sea*" (1952) by Ernest Hemingway in terms of the syntactic, semantic and pragmatic features;

2. Put forward some implications to the comprehension of the implicative verbs used by Ernest Hemingway in his novels and to the teaching and learning issues.

1.3. RESEARCH QUESTIONS

To achieve the aims and objectives above, the following research questions are raised:

1. What are the syntactic features of the implicative verbs used in the three works "*A Farewell to Arms*" (1929), "*For Whom the Bell Tolls*" (1940), and "*The Old Man and the Sea*" (1952) by Ernest Hemingway?

2. What are the semantic features of the implicative verbs used in those novels?

3. What are the pragmatic features of the implicative verbs used in his three novels above?

1.4. SCOPE OF THE STUDY

This study is restricted to the investigation of most aspectual verbs and manipulation verbs used in the three novels "*A Farewell to Arms*" (1929), "*For Whom the Bell Tolls*" (1940), and "*The Old Man and the Sea*" (1952).

1.5. SIGNIFICANCE OF THE STUDY

The intended aims of the study is to show knowledge of syntactic, semantic and pragmatic features of implicative verbs used in the novels by Hemingway and hopefully provides further

comprehension among learners who wish to read between the lines.

1.6. ORGANIZATION OF THE STUDY

Chapter 1 – Introduction

Chapter 2 – Literature Review and Theoretical Background

Chapter 3 – Research Design and Methodology

Chapter 4 – Findings and Discussion

Chapter 5 – Conclusions and Implications

CHAPTER 2
LITERATURE REVIEW
AND THEORETICAL BACKGROUND

2.1. REVIEW OF RELATED STUDIES

2.1.1. Implicative verbs – Definition and Characteristics

According to Karttunen [5, p352], implicative verbs, or implicatives, are specific verbs taking infinitive complements which express some "necessary and sufficient condition (…) which alone determines whether the event described in the complement took place". Downing and Locke [2, p328] used the term "phrased verb groups" or "verbal group complex" to refer to those verbal groups "in a dependency relationship" which can be interpreted semantically as one complex process (e.g. *begin to rain*, *appear to see*). It can be seen that the first element of a phased verbal group implies the performance or non-performance of the action expressed by the second verb. Hunston and Francis [4, p59] stated that phrasal implicative verb is considered as "two verbs that constitute a single verb group". They claimed that the two verbs are phased relations when they "entail either the doing or the not doing of the activity indicated by the second verb".

2.1.2. Studies on Implicative verbs

Karttunen (1971) indicated that implicative verbs also carry presuppositions which "represent a necessary and sufficient condition for the truth of its complement sentence". Later on, in 2012 he continued discussing and pointing out the relationship between the linguistic context and presupposition. This research made an extensive description of simple and phrasal implicatives. His latest

attempts (2013) complemented a series of his works on implicative verbs as in implicative adjective constructions. Marco (1999) escribed those patterns as verbs in phase (a sequence of verbs expressing a single process) and showed that the first verb in the implicative pattern adds a semantic modification, which frequently has an attitudinal meaning. Pichotta (2008) outlined a number of constructions in English that bear certain presuppositions and entailments in English. He saw implicative verbs, especially phrasal implicatives, as a way of paraphrasing. Leusen (2011) presented an analysis of implicative verbs, which are also claimed to trigger presuppositions. Givón (2001) made a binding scale for implicative causative verbs in which manipulation verbs *cause, have, make,* take the top position.

2.1.3. Studies on Analyzing novels

a. Novel analysis

When a novel or short story is analyzed, elements such as the context, setting, plot, characters, literary devices, and themes should be obviously considered.

b. Hemingway's works

He is famous for 'iceberg principle' in which seven-eighths underwater for every part that shows. As a result, short words and straightforward sentence structures are commonly found as opposed to the complex underlying meanings.

2.2. THEORETICAL KNOWLEDGE

2.2.1. The theory of Functional Grammar

Functional Grammar or Functional theories of grammar looks at language in context and thus is bound to 'actual meaning' in text. Functional Grammar not only involves in the analysis of

sentences alone but also paves the way for constructing bigger texts such as essays, reports, or novels.

2.2.2. Presupposition and Entailment

Yule (1997) defined a **presupposition** is "something the speaker assumes to be the case prior to making an utterance". It is the speaker, not sentences, have presuppositions. In contrast, an **entailment** is "something that logically follows from what is asserted in the utterance". It is sentences, not speakers, have entailments.

2.2.3 The theory of Force Dynamics

Talmy (2000) stated that force dynamics is a semantic category which exhibits a direct and unilateral force relation. Force Dynamics concerns a dyad in which there is a dynamic interaction (force) of two entities: Agonist vs Antagonist.

2.2.4. The theory of Speech act

The notion of speech act goes back to J.L.Austin and he categorized such actions into three acts: locutionary act (what is said, i.e. a meaningful linguistics expression), illocutionary act (what is done, i.e. the purpose the utterance) and perlocutionary act (the effect of the utterance produce by the speaker to the hearer).

a. Implicative verbs and Illocutionary Force

Implicative verbs have gained deeply interest since the 1970s with great consideration. Karttunen argued that a presupposition embedded in the typical implicative verb 'manage' represent a necessary and sufficient condition for the truth of its sentence. The speaker's being committed to the truth of the complement sentence or not, depends on the main sentence (i.e. on the presence of negation, modals, and on the illocutionary force).

The complement clause carries the illocutionary force of a sentence

CHAPTER 3
RESEARCH DESIGN AND METHODOLOGY

3.1. RESEARCH DESIGN

This research is in the form of a qualitative analysis to collect qualitative information about the implicative verbs in "*A Farewell to Arms*" (1929), "*For Whom the Bell Tolls*" (1940), and "*The Old Man and the Sea*" (1952) to have a clear-cut description of the verbs in terms of their syntactic, semantic and pragmatic features.

3.2. DATA COLLECTION

3.2.1. Sample

Sentences containing such implicative verbs will be selected, described, analyzed and grouped into categories in terms of the complements. The componential analysis will be clearly pointed out with the help of tree diagram. How those implicative verbs are constructed and what effects they will bring about when used in the work of fiction will be discussed.

3.2.2. Instruments

To achieve the goals of collecting and analyzing the corpus, the author will make use of the Navigation Pane automatically programmed in Microsoft Word version 2010 which helps search for text, tables, graphics, comments and equations in a document.

3.3. DATA ANALYSIS

To start with the process, full text pdf files of the fictions will be The analysis undergoes a series of steps following the foregoing procedure. To start with the process, full text pdf files of

the fictions will be downloaded from the Internet and converted into text file using PDF to Word Doc Converter software. Then the implicative verbs in the corpus will be collected and analyzed qualitatively. Dimension of syntactic, semantic and pragmatic features of the implicative verbs collected in Hemingway's novels will be defined. In terms of syntactic feature, tables will be drawn up to illustrate that implicative verbs take complements which add more information to the whole verb phase. In terms of semantic feature, theories of Presupposition, Entailment and Force Dynamics are employed to categorize the verbs into groups. The last dimension of pragmatics, with the help of Conversational Implicature theory, implications sketched out and sorted into groups. On the whole, this thesis is of descriptive and contrastive method for the purpose of demonstrating what implicative verbs are and how they are meant and used in novels.

CHAPTER 4
FINDINGS AND DISCUSSION

4.1. IMPLICATIVE VERBS CATEGORIZED BY COMPLEMENTS
4.1.1. Intransitive implicative verbs
a. Verb + to-inf

b. Verb + -ing

c. Verb + to-inf / -ing

d. Verb + preposition + -ing

All the mentioned verbs fall into aspectual verbs which is one sub-group of modality verbs with the following syntactic features: (i) the subject of the main verb is also of the complement clause, (ii) the subject of the complement clause is *never mentioned* (Ø) as it is *co-referent* to the subject of the main verb, (iii) the complement-clause verb is in the form of *non-finite* or *nominalized*, (iv) the complement clause bears the characteristics of the object of the main clause and it is likely to follow the *same intonation contour* with the main clause.

Consider 'start' as a common implicative verb in the three novels

(27) […] he **started to fold** the blanket. [A3]

Main clause:　　　　　　　　he started [Comp]

Complement clause:　　　　　he fold(s) the blanket

Combination:　　　　　　　　he started *to fold the blanket*.

4.1.2. Transitive implicative verbs
a. Verb + Object + bare –inf

b. Verb + Object + to-inf

c. Verb + Object + -ing

a.   Verb + Object + preposition + -ing

The above transitive implicative verbs are of manipulation verbs which are syntactically defined as (i) the *manipulator* or the *agent* of the main clause is the *subject*, (ii) the manipulee of the main verb is the subject of the complement clause and its positions as a subject is left *zero*, (iii) the manipulee of the main clause is either the *direct object* or *indirect object* of the main clause, (iv) the complement-clause verb is *non-finite* or *nominalized*.

Take 'force' as an example:

(28) […] he **had forced <u>the Russians</u> to relieve** Kieber of his command […] [A2]

Main clause: he had forced the Russians [Comp]

Complement clause: the Russians relieve(d) Kieber of his command

Combination: he had forced the Russians *to relieve Kieber of his command*.

4.1.3. Summary

Implicative verbs can be either intransitive or transitive. Intransitive implicative verbs can be followed by a bare infinitive, a to-infinitive or a gerund whereas transitive implicative verbs take an object and a complement verb.

4.2. SYNTACTIC FEATURES AND SEMANTIC RELATION OF IMPLICATIVE VERBS

4.2.1 Implicative verbs in elaboration

In this section, the primary group is elaborated by the verb in the secondary group. The basic notion is 'be + do', 'do' stands for any process.

Table 4.1: Implicative verbs in elaboration, adopted from Table 8(3) (p499) and Table 8(6) (p511) in Halliday (2004)

Category: Meaning	System	Term	Aspect of β-verb	Implicative verbs	
				intransitive	transitive
keep	Time-phase	durative	imperf.	keep (on) doing go on doing	keep…doing
start	Time-phase	inceptive	imperf./perf.	start doing/to do begin doing/to do stop doing	

a. Intransitive implicative verbs in elaboration

b. Transitive implicative verbs in elaboration

4.2.2 Implicative verbs in extension

Here, the primary group is extended by the verb in the secondary group. The basic notion is 'have (possession) + do', or success.

Table 4.10: Implicative verbs in extension, adopted from Table 8(4)
(p502) and Table 8(6) (p511) in Halliday (2004)

Category: Meaning	System	Term	Aspect of β-verb	Implicative verbs	
				intransitive	transitive
try	conation	conative	imperf.	avoid doing	
succeed	conation	reussive	imperf./perf.	succeed in doing	help…(to) do
can	potentiality	be able to	perf.	be (un)able to do	

a. Intransitive implicative verbs in extension

b. Transitive implicative verbs in extension

4.2.3 Implicative verbs in enhancement

In this part, the basic notion is 'be (circumstantial) + do'.

The primary verbal group is enhanced by the secondary group

Table 4.18: Implicative verbs in enhancement, adopted from Table
8(5) (p504) and Table 8(6) (p511) in Halliday (2004)

Category		Aspect of β verb	Implicative verbs	
			intransitive	transitive
Cause: reason		perf.	remember to do forget to do	
Contingency: concession		perf.	get to do	
Accompaniment		perf.	help (to) do	
Agency	high	perf.		make…do force…to do
	median	perf.		have…do get…to do
	low	perf.		let…do

a. Intransitive implicative verbs in enhancement

b. Transitive implicative verbs in enhancement

4.2.4. Residue implicative verbs

Apart from the verbs in the three classifications above, other implicative verbs are presented under the light of Functional Grammar as *commence to do/doing, continue to do, keep…from doing, prevent…doing.*

4.2.5. Semantic – Presupposition and Entailment

Regarding the theory of Presupposition and Entailment, implicative verbs may carry entailments and trigger presuppositions at the same time. Implicative verbs under investigation fall into subgroups of: $++|--, +-|-+, ++, --$.

4.2.6. Semantic – Causality and Force Dynamics

By Talmy, force dynamics deals with entities interaction with reference to force. There are certain forces that direct the *agent* into performing the event or affect the *patent*. Whether the agent is directly or indirectly involved in carrying out the action; whether the entities share the equal choice of making the event happen; and if they really have a choice, whether the entity take the action on purpose or not, all will be discussed. For that reason, the semantic relation of the two events in a causative implicative structure concerns with the degree of directness or degree of involvement, degree of control, and degree of intent.

a. Degree of directness or degree of involvement

(41)   a. <u>We</u> will ***keep*** <u>this crazy</u> ***from*** shooting Spaniards.

       causer   causee

    d. <u>We</u> will ***stop*** <u>this crazy</u> ***from*** shooting Spaniards.

       causer   causee

b. Degree of control

In successful manipulation verbs, there is much more imposition from the the manipulator over the manipulee, who thus displays les control, less choice, less independence of action. Such a manipulee is more patient-like and less agent-like. The degree of imposition depends on the position of the manipulation verb in the hierarchy.

Let us consider the examples:

(49) **Make** him **pay** for the line. [A3]

(50) He **have** his mouth **shut** tight on the wire. [A3]

(51) I try to **get** him **to work** far out (…) [A3]

(52) Now I **let** him **eat** well. [A3]

c. Degree of intent

The issue concerns whether the causer manipulates an action accidentally or intentionally. Interestingly enough, 'make', 'have', and 'get' encode higher degree of intent rather than 'let'.

(53) a. I **make** her **tell** me the rest of that story. [A2]

b. *I *inadvertently/unintentionally* *make* her tell me the rest of that story.

(54) a. We **have** no hurricane **coming** now. [A3]

b. *We *inadvertently/unintentionally* *have* no hurricane coming now**.**

(55) a. I (…) **get** him **to come out** after dolphin. [A3]

b. *I *inadvertently/unintentionally* *get* him to come out after dolphin.

(56) a. I **<u>let</u>** you **<u>carry</u>** things when you were five years old. [A3]

     b. I ***<u>inadvertently/unintentionally</u>*** **<u>let</u>** you **<u>carry</u>** things when you were five years old.

4.2.7. Summary

While syntactic features concern clause integration, semantic characterization involves event integration. There are three types of relations among the event integration namely relations of elaboration, extension, and enhancement.

General features of aspectual verbs and manipulation verbs are summarized in (a) and (b):

(a) Aspectual verbs: (i) the complement clause is a proposition, coding an event or a state, (ii) the subject of the main clause is co-referent to that of the complement clause, i.e. the same discourse entity is referred to, (iii) the main verb codes either inception, termination, success, failure, intent, obligation, or ability – by the subject of the main clause – to perform the action or be in the state that is depicted in the complement clause.

(b) Manipulation verbs: (i) the main clause has an agent (the *manipulator*) that manipulates the behavior of another agent (the *manipulee*), (ii) the agent of the complement clause is *co-referential* with the manipulee of the main clause, (iii) the complement clause codes the *target* event to be performed by the manipulee.

4.3. PRAGMATIC FEATURES OF IMPLICATIVE VERBS

4.3.1. Illocutionary force of Implicative verbs

There are three types of illocutionary force of implicative verbs that the writer uses in his novels to show his attitude and opinion.

a. Representative

This act describes some state of affair and what the writer believes to be the case or not.

(67) At that moment he felt him stop moving but the weight was still there. [A3]

The writer describes the old and the fish in the sea without anybody else accompanied along. Although the fish did not move (*stop moving*), it was really hard for the old man to pull it (*the weight was still there*).

(68) Robert Jordan put his hand over his own mouth and went on listening. [A2]

The writer informs the reader of a kind of event in progress and Robert Jordan was paying his attention to that event (*went on listening*)

b. Directive

This type of illocutionary force represents a request, a command or an advice. By using this act, the writer causes the addressee to take a specific action.

(69) Make him go first. [A1]

By this utterance, the writer shows a manipulation of an action. It is a request from Aymo to the anarchist (Bonello) to cross a bridge

c. Commissive

(71) Why don't we stop fighting? [A1]

Though the use of 'why don't we', the writer indicates a suggestion made by Passini to wish for a world without fighting and

war. The illocutionary force commits the speaker to some future action.

4.3.2. Summary

On the whole, it is illocutionary force that generate what is more than communicated. Pragmatic features of implicative verbs concern the feeling or attitude of the writer or the speaker on making an utterance.

CHAPTER 5
CONCLUSION AND IMPLICATIONS

This last chapter summarizes the main points in the findings and suggests some implications for language learning as well. Limitations of the study are also mentioned in addition to a statement of unsolved problems.

5.1. SUMMARY

The thesis "*A Study of Implicative Verbs in Ernest Hemingway's Novels*" has reached the ultimate goal of discovering the syntactic, semantic and pragmatic features of implicative verbs in the three novels by Ernest Hemingway.

In terms of syntax, tree-diagram is used to show the complementation of the verb in the following patterns:

(1) Verb + to-inf
(2) Verb + -ing
(3) Verb + to-inf / -ing
(4) Verb + preposition + ing
(5) Verb + Object + bare-inf
(6) Verb + Object + to-inf
(7) Verb + Object + -ing
(8) Verb + Object + preposition + -ing

In terms of syntactic and semantic relation, Functional Grammar theory and Force Dynamics theory are employed to work out hypotactic relation between the primary verbal group and the secondary verbal group and the semantic relation between them. The structure of implicative verbs is extended by elaboration ($\alpha \rightarrow = \beta$), extension ($\alpha \rightarrow +\beta$), and enhancement ($\alpha \rightarrow x\beta$). Intransitivity of the

verbs is also examined and drawn out in tables.

The verbs under investigation fall in meaning categories as below:

1/ Express aspect

-initiation: start, begin, commence: at least part of the action takes place

-duration: continue, go on, keep on: action is performed without stopping. This relation refers to the continuity of an action.

-termination: stop V -ing: the action in progress is finished.

2/ Express achievement:

- succeed in, get to, be able to: 'get' arouses the general idea of movement and at least this movement is conceived as actually leading to the accomplishment of the complemented verb. The action has the possibility to happen and the secondary verbal group is represented as the result of the realization of the primary verbal group.

3/ Express mental process of remembering:

- remember, forget: in 'remember', the actor of the action actually has some thought about doing the action and in reality, he did it. In the same way, 'forget' shows the commitment of the actor in doing it.

4/ Express non-performance of action:

- avoid V-ing: the action is not done for the reason that it is kept away from realization.

5/ Express successful prevention:

- stop, keep V-ing: the action is prevented successfully and comes to an end.

6/ Express successful manipulation:

- cause, have, force, make, keep NP from, let, help, get: the agent of the verb somehow succeeds to make the action take place and there is successful manipulation in the realization of the action.

In terms of pragmatics, this thesis has shown some implications triggered by implicative verbs in the three novels. There are Representative, Directive, and Commissive acts.

Overall, the study has sketched out outstanding features of implicative verbs in terms of three dimensions syntax, semantics and pragmatics.

5.2. IMPLICATIONS

From the results presented in the previous chapter, remarkable features of implicative verbs in terms of

For language learning and teaching

Abstract grammar and pronunciation rule may appear ridiculous, sometimes even incomprehensible to novice learners. However, it is possible for instructors to teach the beginners to read or say a meaningful group of words in a meaningful context. The students are not aware of the procedure of acquiring language and they feel eager to learn. Later on, students can make more choice of words to make their own meaningful sentences. This approach arranges language as a composition of separate blocks which can be grouped to build a complete sentence. Implicative patterns should be taught for learners in the form of a chain of words first. Then, meaning can be acquired later on in the process of learning. That can be a great help for teaching second languages in a way that parallels the way people acquire their first language. This is of great potential

when teaching basic reading and writing skills.

It is obvious the need to familiarize students with certain patterns of implicative verbs in learning a foreign language, English in particular. However, there is no one-to-one equivalent of implicative verbs patterns between their mother tongue and the second language. Therefore, there should be thorough explanation given to learner so that they can improve their understanding in every aspect of English structures.

Teaching implicative verbs patterns helps students to have the knowledge of English verb structures as well as differentiate between to-infinitive and –ing complementation. Consequently, students are able to decide which pattern is appropriate for utilization in their daily learning at school or for self-study.

In to-infinitive clause, the action expressed is seen as relating to the future whereas –ing clause concerns a process in the past. This difference in word meaning can be easily explained in terms of implicative verbs.

Once implicative verbs are understood, students can give detailed explanation of the reason why some verbs must follow a limited number of patterns.

Additionally, implicative verbs trigger the expression of attitudinal and interpersonal meaning which indicates certain attitude towards a situation or implies the success or non-success of the action.

For translation

With the result presented in the thesis, those who wish to

achieve perfect skills of translation may look at the features of implicative verbs to identify which part of an implicative structure should be translated. Learners should be aware of primary as well as secondary verbal groups so as to choose what to emphasize in their translation. Furthermore, realizing the underlying meaning of the sentence is undeniably an integral part that a competent translator should bear in mind. From the knowledge gained in the foregoing part, learner can choose the best option to have smooth translation for each kind of implicative patterns.

5.3. LIMITATIONS

There are still shortcomings in this thesis due to the limited time, knowledge and references. The number of samples collected in the three novels is not enough to reflect the reality of using implicative verbs in English. The data collection is just 300 samples so that the results may be less generalized. Additionally, the study can only explore linguistic features of implicative verbs the limited number of novels by Hemingway. Furthermore, this study is merely investigated in English, thus the similarities and differences between English and Vietnamese implicative verbs have not been mentioned yet. Nevertheless, the study is expected to contribute useful knowledge to teachers and learners, but it has not reached the expectation of the researcher as it should.

5.4. SUGGESTIONS FOR FURTHER RESEARCH

This thesis is only made an analysis of syntactic, semantic and pragmatic features of implicative verbs in the three novels by Hemingway. Moreover, the researcher's effort has succeeded in

finding out some implications made by implicative verbs in the novels. However, with the limitation of the thesis, the study still remains some aspects can be dealt with in further studies:

- An Investigation into Implicative Verbs in English and Vietnamese.

- An Investigation into Simple and Phrasal Implicative Verbs in English and Vietnamese.