Toward a Phase Account of Dependent Case

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1 Introduction

In the generative tradition, Accusative case (ACC) is often analyzed as a *dependent Case*, where being dependent means being dependent on another argument (Burzio 1986), more precisely a θ -role, or being dependent on a chain assigning Nominative case (NOM) to another argument (Marantz 1991), more precisely, an unmarked, i.e. non-lexically governed, case. In both approaches, ACC is a result of grammatical competition. The Minimalist Program (Chomsky 2001, 2008) seems to be an exception: in this framework, abstract Case is assigned by functional heads. Concretely, ACC is assigned by $\nu*.^1$ Whether or not $\nu*$ assigns ACC then depends on whether or not $\nu*$ is a strong phase. Even though the Minimalist Program doesn't seem to employ a competition view of ACC as a dependent case, it is at its core a look-ahead system. Although the dependency on another argument is not explicitly declared, it is inherent to the system.

This paper presents data from Polish, Ukrainian and Northern Russian that contradict the dependency view of ACC and suggest an alternative in terms of structure-dependency, independent of another argument receiving a θ -role or another case being assigned to a chain. This bears on the question of the role of case in syntax and on the nature of spell-out and of cyclic domains.

2 Puzzle

The so called *-no/-to construction* in Polish and Ukrainian (henceforth NT), shown in (1–2), resembles on the surface the canonical passive in that it does not have any overt external argument and in that the surface form of the main verb is identical to the passive participle form.⁴

- (1) Polish:
 - a. *Pies był/został zabity przez samochód.* dog-M-SG-NOM was/stayed-M-SG killed-M-SG by car

'A dog was killed by a car.'

canonical passive

b. *Psa* zabito. dog-M-SG-ACC killed-N-SG 'A/The dog was killed.'

NT

- (2) Ukrainian:
 - a. Žinky buly vbyty woman-NOM-F-PL was-F-PL killed-F-PL '(The) women were killed.'

canonical passive

b. *Žinok bulo vbyto* woman-ACC-F-PL were-N-SG killed-N-SG

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¹What exactly assigns ACC is subject to a continuous debate. For example, according to Lavine and Freidin (2002) ACC is assigned by ϕ -features on v. For many authors, ACC is related to telicity or aspect. Concretely, ACC is assigned by a telic v head (e.g., Borer 1994, 2005, Kiparsky 1998, Kratzer 2004).

²But see Legate 2003 for an alternate view.

³The dependency view is clearly spelled out, for example, in Sigurðsson 2006, In press.

⁴Except for the inflectional ending, as we'll see later.

'(The) women were killed.'

NT

Though the construction superficially resembles the canonical passive, it differs from it in several ways, which can be demonstrated on Polish. First, the internal argument in NT is realized as ACC instead of NOM in a seeming violation of Burzio's generalization, as seen in (3).

(3) a. Psa zabito.
dog-M-SG-ACC killed-N-SG
'A/The dog was killed.'
b.*Pies zabito.
dog-NOM-M-SG killed-N-SG

Suggestive evidence that the external argument is syntactically indeed absent comes from the fact that NT can be formed by unaccusatives, raising verbs (Maling and Sigurjónsdóttir 2002: 104), and modal verbs (Migdalski 2006: 145).

(4) a. Balon rozerwano.

balloon-ACC pierced-N-SG-PPP

'The balloon was pierced.'

unaccusative

b. **Zdawano** się nas nie zauważać. seem-IMP REFL us not notice-INF 'They seemed not to be noticing us.'

raising

c. *Musiano* to vwykonać, bo zbliżał się termin. must-NT this do-INF because approached REFL deadline '(They) had to do this, because the deadline was approaching.'

modal

Note that the ACC marker behaves as a morphological reflex of a structural, not of a lexical case. For instance, if the nominal argument of NT appears in the scope of a sentential negation, the ACC morphology is obligatorily converted to GEN, the usual pattern for structural ACC in this group of Slavic languages. The relevant data are given in (5).

(5) a. Kobietę zabito.

woman-ACC killed

'A woman was killed.'

√POS+ACC

b. *Kobietę/Kobiety nie zabito. woman-ACC/woman-GEN not killed 'A woman was not killed.'

NEG+GEN

Second, even though the main verb is in a non-finite form, there is no overt Tense marking in the clause which is rather unusual in Polish and impossible in the canonical passive.

(6) a. Kobieta była/została zabita.

woman-NOM was/stayed killed

'The/*A woman was killed.'

canonical passive

b. *Kobietę* *(było) zabito. woman-ACC *(was) killed 'A woman was killed.'

NT

Third, the only verbal form present in the construction does not agree with the internal argument. The attested agreement is N.SG, i.e., the default verb agreement attested with weather predicates.

(7) Psa zabito/*zabity.
dog-M-SG-ACC killed-N-SG/killed-M-SG
'A/The dog was killed.'

✓ DEFAULT/*AGR

Fourth, the Tense of NT *must* be interpreted as Past. The Future or Present tense interpretation is not possible. The canonical passive has no such restriction on its temporal interpretation.

(8) Samochód jest/był/będzie malowany. car-NOM is/was/will-be painted 'The car is/was/will be painted.'

canonical passive: any tense

(9) *Teraz/√wczoraj/*jutro opisano problem. now/yesterday/tomorrow described-N-SG problem-M-SG-ACC 'The problem was described/ they described the problem yesterday.' *Present/√Past/*Future

Fifth, while the internal argument in the canonical passive tends to be interpreted as given, there is no restriction on the information-structure properties of the internal argument in NT. As can be seen in (10), the internal argument can be interpreted, for instance, as focus. The contrast between givenness and focus is approximated by the definite and indefinite English articles, respectively.

(10) a. *Kobietę zabito*. woman-ACC killed 'A woman was killed.'

 $NT \sim FOCUS$

b. Kobieta była/została zabita. woman-NOM was/stayed killed 'The/*A woman was killed.'

canonical passive \sim GIVEN

Once we consider Ukrainian and Northern Russian dialects, additional differences between NT and the canonical passive emerge. First, in these language, NT has an optional auxiliary. Interestingly, even if there is an inflected auxiliary in the structure, the Tense interpretation is still restricted, namely, only the Past tense and the Future tense interpretation is possible. The Present tense interpretation is always excluded. The following examples are from Ukrainian.⁵

(11) Presidenta bulo/*jest/bude vbyto president-ACC was/is/will-be killed 'The president was/will be killed.'

√ Past/*Present/√ Future

If there is no overt auxiliary, as in (12) from Ukrainian, Ukrainian and Northern Russian behave exactly like Polish: the NT structure is obligatorily interpreted as Past (Nedashkivska Adams 1998).

(12) *Žinky vbyto*.
woman-ACC-F-SG killed-N-SG
'A woman was/(*is)/(*will be) killed.'

The NT construction has attracted a significant amount of attention in the literature (e.g., Sobin 1985, Borsley 1988, Maling 1993, Billings and Maling 1995, Nedashkivska Adams 1998, Lavine 2000, 2005, 2010a, Maling and Sigurjónsdóttir 2002, Blevins 2003, Danylenko 2006, Kibort 2008). Most of the existing literature concentrates on the seeming violation of Burzio's generalization (Burzio 1986). Consequently, most literature concentrates on the ACC case assignment and the lack of agreement. As far as I know, none of the existing analysis accounts for all the basic properties of the construction (partially because they don't address them). Most of the work agrees that NT is some form of an impersonal passive (e.g., Sobin 1985, Borsley 1988, Billings and Maling 1995, Nedashkivska Adams 1998, Blevins 2003, Kibort 2008, Lavine and Freidin 2002, Lavine 2005, 2010b). Some authors argue that the Polish version of the construction is in fact active and the passive morphology is a morphological 'accident': the seemingly passive morpheme is analyzed as an incorporated auxiliary (e.g., Maling 1993, 2006, Maling and Sigurjónsdóttir 2002, Lavine 2000, 2005). Lavine and Freidin (2002) attribute the lack of NOM and agreement to the Tense head being defective. According to Maling (1993, 2006) and Maling and Sigurjónsdóttir (2002), the Polish NT contains a null subject that gets NOM; ACC is then assigned to the internal argument exactly as we expect: under this view Ukrainian is a morphosyntactic accident. According to some authors, there are language-specific exceptions to the Case assignment system (Sobin 1985 for Polish and

⁵There are additional differences between Polish and Ukrainian suggesting that Polish NT might contain a covert external argument in some cases while Ukrainian never does (e.g., Sobin 1985, Maling 1993, Lavine 2000, Maling and Sigurjónsdóttir 2002, Maling 2006). I leave the issue of a possible covert argument aside.

Ukrainian, and Sigurðsson In press on a similar construction in Icelandic). According to Lavine, the Polish NT has an auxiliary, but it gets incorporated into the participle. However, none of the existing proposals address the issue of the restricted tense interpretation and the unexpected information structure properties, thus a new account of NT is needed.

3 NT as a Have-Perfect Construction

Two main properties that remain unexplained under the existing proposals are the tense restrictions, specifically the fact that (i) if there is no finite auxiliary in the structure, then the structure must get the Past tense interpretation, and that (ii) if a finite auxiliary is present, it must be either in the Past or in the Future tense. The Present tense auxiliary is not possible.

Cross-linguistically, the Past tense interpretation in the absence of an overt morphological marking for Tense is not entirely unusual. So-called tense-less languages, i.e., languages that have no overt tense marking either allow *any* tense interpretation,⁶ or they enforce the Past tense interpretation (Bohnemeyer and Swift 2004, Jóhannsdóttir and Matthewson In press). It remains an open question whether the Past tense interpretation is the default interpretation of a phonologically null T head, or whether the T head is entirely missing and the Past tense interpretation arises as the default semantic interpretation (for example, as in f-seq in Starke 2004 or via semantic straightening of the interpretation of the event as in Bohnemeyer and Swift 2004).

The ban on the Present tense interpretation is more surprising. We know that in Slavic the Present tense is excluded with perfective verbs, but NT may be formed both by Perfective and Imperfective verbs. Furthermore, passive constructions cross-linguistically do not display any such restriction on the tense interpretation.

Interestingly, the dialectology and descriptive linguistics literature (Kuz'mina and Nemčenko 1971, Maslov 1984, Trubinskij 1988, Kuz'mina 1993, Leinonen 2002, Danylenko 2006) often mentions that the syntactic distribution of NT resembles the Western European *habere* Perfect. I argue that NT is indeed a Perfect construction and all the properties observed in Section 1 are a direct consequence of NT being a *have*-Perfect. This section provides semantic, syntactic and morphological evidence for this claim.

Let's start with the semantic piece of evidence. If NT is indeed *have*-Perfect its interpretation should differ from the canonical passive. More precisely, we should be able to find contexts in which only one but not the other would be grammatical. This is exactly what we observe in (13–14).

(13) Polish

a.*Anna jest szczęśliwa od kiedy jej syn był zabrany.

Anna-NOM is happy since then her son-ACC stayed taken-away
Intended: 'Anna has been happy since her son has been sent away.' canonical passive
b. Anna jest szczęśliwa od kiedy jej syna zabrano.

Anna-NOM is happy since then her son-ACC taken-away 'Anna has been happy since her son has been sent away.'

(14) Ukrainian

a.*Anna je shtaslyva vid koly jij syn zabranij

Anna is happy since then her son-NOM taken-away-PP

Intended: 'Anna has been happy since her son has been sent away' cana

Intended: 'Anna has been happy since her son has been sent away.' canoical passive

NT

NT

b. *Anna je shtaslyva vid koly jij syna zabrano.*Anna is happy since then her son-ACC taken-away-NT

'Anna has been happy since her son has been sent away.'

If NT indeed has a Perfect interpretation the immediate question is how the Perfect interpretation could arise in passive. The passive participle morphology is cross-linguistically often identical

⁶Even though the range of aspectual and other tense-related interpretations may still be restricted, see, for example, Fitzpatrick 2006.

⁷Note, Perfect does not equal Perfective.

to the perfect participle morphology (Iatridou et al. 2001). It is thus plausible that what has been traditionally analyzed as a passive participle is in fact a Perfect participle. If this is correct, then the difference between Perfect and passive should reveal itself in the syntactic properties of the construction. In English, the canonical passive differs from the so-called adjectival passive (Wasow 1977). This is not the case in Polish, Ukrainian, or Czech. The canonical passive may be formed by the adjectival passive participle in Czech, and it must be in Polish and Ukrainian. Consequently, the adjectival morphology coincides with the syntactic structure we expect in adjectival and copular clauses (Veselovská and Karlík 2004). We consider here two relevant properties testable for Ukrainian NT. First, the canonical passive may contain two independent aspectual projections. Second, the canonical passive may contain two independent negation projections. As the following examples show, unlike the canonical passive, NT may have only one aspectual projection and only one negation.

(15) Two independent aspectual projections impossible in NT:

a. Žinky byvaly vbyty.
woman-NOM-F-PL was-HAB-F-PL killed-PF-F-PL.
'(The) women used to be killed.'

canonical passive

b.*Žinok byvalo vbyto.
woman-ACC-F-PL was-HAB-N-SG killed-PF-N-SG.
Intended: 'Women used to get killed.'

NT

(16) Two independent negations impossible in NT:

a. Žinky ne buly ne vbyty.
woman-NOM-F-PL not was-F-PL not killed-PF-F-PL
'It wasn't the case that the women weren't killed.'

canonical passive

b.*Žinok ne bulo ne vbyto.
woman-ACC-F-PL not was-N-SG not killed-PF-N-SG.
Intended: 'It was't the case women were killed.'

NT

Furthermore, the NT ending is a participle ending but the canonical passive inflects as a deverbal adjective (Sobin 1985, Lavine 2000, Danylenko 2006). The canonical passive neuter singular ending would be -e, not the attested -o. This morphological fact thus provides additional evidence that NT is structurally different from the canonical passive. More precisely, the participle found in NT is a Perfect participle, not a passive participle.

Three pieces of evidence (semantic, syntactic and morphological) thus seem to converge on the same hypothesis: NT is not a passive construction, instead it is some form of a Perfect construction, as suggested by the traditional grammarians. Once we adopt the Perfect hypothesis, more precisely the *have*-Perfect hypothesis, some facts immediately follow. First of all, cross-linguistically *have*-Perfect participles never agree with the subject (e.g., Kayne 1993, Iatridou et al. 2001). Thus whatever agreement mechanism we adopt for *have*-Perfect participles, it naturally extends to NT. No additional mechanism is needed. Furthermore, unlike in the canonical passive, there is no information-structure requirement on the internal argument.

The question is whether analyzing NT as *have*-Perfect might shed light on the Tense restrictions we find with the construction. There is a continuing debate on the semantic nature of Perfect which surmounts to the question of whether Perfect should be semantically analyzed as Aspect (i.e., in addition to Perfective and Imperfective) or as Tense. An interesting perspective is offered in von Stechow (To appear). von Stechow argues that Perfect is relative time but the denotation of *have* adds additional aspect-like component. Onsequently, the denotation of Perfect is identical

⁸Veselovská and Karlík (2004) investigate clitic-like properties, morphological contraction properties, colloquial forms, zero morpheme distribution and a dialectal variation.

⁹The tests cannot be done for Polish because there is not enough overt morphology.

¹⁰Perfect is thus semantically distinct from morphological Perfective and Imperfective.

According to Iatridou et al. (2001) anteriority is not part of the meaning of the Perfect participle. Instead, anteriority follows from independent properties of the perfect time span, namely, from the fact that the eventuality always precedes the right boundary of the span. As far as I can tell, either of the proposals makes the

to the denotation of simple Past. The denotation of *have* then adds a requirement on the subinterval property, basically the "extended now" of McCoard 1978, here modeled after Dowty 1979. 11

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    (17) Paslawska and von Stechow (2003: 322)
        POST = λPλt∃e . τ(e) < t & P(e)
        (18) XN-Perfect</li>
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(18) XN-Perfect [has] = \lambda t. \lambda P_{it} . (\exists t')[t is a final subinterval of t' & P(t')] (von Stechow To appear)
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This proposal has direct consequences for the Tense interpretation of NT. Since the denotation of the *have* component is XN, it is incompatible with the proper episodic "now" of the Present Tense. Consequently, *have*-Perfect is compatible with the Past and Future interpretation but there is no Present. Furthermore, since the denotation of POST is identical to the denotation of the Past tense, unless the time of the event is overtly shifted to the future, Past arises as the default interpretation, thus explaining the other crucial property of the NT construction.

A question that immediately arises though is if NT really is have-Perfect, how come there is no auxiliary have? A suggestive answer comes from the distribution of be and have in Slavic dialects. Roughly, the distribution of be and have forms a continuum with the western dialects having a higher degree of have than the eastern dialects. Even though Polish has possessive have, already in Polish the syntactic distribution of have is very much restricted which can be demonstrated by the fact that there is no auxiliary usage of have in Polish. Ukrainian is in between, in Russian have is entirely absent. Consequently, if the morphological forms of have are missing in these languages, or at least their auxiliary variants, have cannot be used to mark Tense. Hence, Tense may stay morphologically unexpressed (obligatory in Polish, possible in Ukrainian and Russian) or it may be realized by the default auxiliary forms based on be as in Ukrainian and Northern Russian dialects.

The fact that the NT construction is an instance of *have*-Perfect in and of itself does not explain the ACC marking on the internal argument. A possible hypothesis worth investigating is whether the ACC assignment could be related to the fact that the *have*-Participle does not agree with the subject. Alternatively, one could ask whether the ACC assignment might arise because of the Tense head being in some sense defective (Lavine and Freidin 2002), thus not being able to assign NOM.

The evidence from Northern Russian dialects suggests that neither of these hypothesis is empirically adequate. Northern Russian dialects have the same type of NT as Ukrainian and Polish. ¹² Crucially, in addition to the Polish/Ukrainian type of NT these dialects exhibit a version of the construction in which the internal argument is in NOM. Interestingly, even if the internal argument carries the NOM marking, the finite auxiliary still fails to agree with the NOM argument, as shown in (19). Only NT with ACC is compatible with the Perfect interpretation (Zhanna Glushan, p.c.), as witnessed by (20).

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(19) Northern Russian (Danylenko 2006: 255–256, originally from Kuz'mina 1993:135–137):
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a. (u njego) syn (bylo) otpravleno
at him son-NOM-SG-M be-N-SG-AUX-PRET send-away-N-SG-PPP
'His son has been sent away (by him).'
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b. (*u njego*) parnja (bylo) uvedeno at him fellow-ACC-SG-M be-N-SG-AUX-PRET take-away-N-SG-PPP 'The guy has been taken away (by him).'

(20) a.*Vot uže tre goda kak u nego syn v amerku uvezeno.

here already three years how by him son-NOM to America taken away

b. Vot uže tre goda kak u nego syna v amerku uvezeno.

here already three years how by him son-ACC=GEN to america taken away 'It has been three years since his son has been taken away to America.'

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same predictions for the issues at hand.
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¹¹

Cf. also Iatridou et al.'s claim that have-Perfect is always XN.

¹²These dialects in fact have several distinct constructions related to NT. See Kuz'mina and Nemčenko (1971) for a detailed descriptive overview.

We can thus conclude that the Case assignment (or at least its morphological realization) is in principal independent of agreement. Consequently, the ACC case assignment in NT does not seem to have any direct relation to the Tense head. In the next section, I will propose instead that the ACC case assignment is a direct reflex of the *have*-Perfect structure.

4 Dependent Case without a Dependent Chain

I argue that there is no real dependency of ACC on NOM. In fact, what looks like a structural (or morphological) dependency is a side-effect of phase-based syntax.¹³ In a way, this proposal is close to the view of Case in an early GB era, i.e., the pre-Burzio formulation of Case (Chomsky 1981, Emonds 1985). For Chomsky (1981), Case was a marker for making categories visible to the interpretive components of the grammar. Concretely, if we adopt a morphological view of Case, i.e., case as an interpretation of grammatical structures instead of a "visibility" marker, then Case is less likely to involve any case-internal specific dependencies beyond correlations already present in the structural relation.

The intuition behind the dependency view of ACC is based on the presence of another argument. But perhaps what really matters is not that there are two argument (chain)s in the structure. Instead, the crucial fact is that the structure is big enough to allow for merge of two arguments. In other words, whenever we find ACC in environments other than NT, the first Merge of v and v is not the maximal projection of v. In all these cases, v has been further extended. v

Once we view the more common cases of the ACC assignment as instances of a νP -structure extension, we can investigate the hypothesis that the ACC assignment in NT is a result of a structure extension. If this is correct, we can ask what might cause the relevant extension as there is no external argument merged in the structure.

I argue that the extension is a result of NT being *have*-Perfect. If NT is *have*-Perfect, then it should contain a *have*-related structure, i.e., a structure which is in a certain technical sense 'transitive'. Concretely, I follow Kayne (1993) in that whether a language has *have* or *be* depends on head-movement properties of the language. In particular, *have* is an instance of a functional-head incorporation into *be*. Even though the presently discussed languages do not have the corresponding morphological realization of the auxiliary, the underlying syntactic structure is still present. I argue that the instance of head-movement crucial for incorporation yields a structure extension responsible for the ACC assignment.¹⁵

The question that immediately arises is why an extension should matter. A suggestive answer has been offered in the work on the linearization of syntactic structures, specifically in Richards's Distinctness Condition on Linearization (Richards 2003, 2006).

(21) If the Merge of v and its complement is not followed by another extension of v within the same projection, spelling out vP would violate the Distinctness Condition on Linearization

If we adopt this condition, a possible consequence is that a vP may be Spelled-out only if it can be linearized. This can be formalized as in (22).

(22) Strong Phase Condition:

vP may be a strong phase only if v undergoes more than one instance of Merge within its Spell-out domain.

¹³Supporting evidence for this claim comes from the fact that ACC can be systematically found in measure phrases, i.e., in a syntactic environment lacking NOM (Henk van Riemsdijk, p.c.).

¹⁴I assume a version of Bare Phrase Structure with no vacuous structures.

¹⁵Whether or not head-movement extends the structure is subject of a continuous debate, even though the issue arises only under certain definitions of c-command. See Kayne 1994 for a discussion and for a proposal that avoids problems with governing traces in head-movement chains. See also Chomsky 1995 for a reformulation of the same idea within the Bare Phrase Structure framework. I refer here to Fukui and Takano (1998), Toyoshima (2001), Mohr (2005) and Matushansky (2006), who argue that head movement, like phrasal movement, targets the root and as such extends the tree (contra Chomsky 2000).

It follows from (21) that at the point of Spell-out, the internal argument is assigned ACC by * ν . Alternatively, if ACC is a morphological case, ACC may be defined as the case assigned to the sole argument with the νP spell-out domain which is governed by $V + \nu$ (assigned down). After C/T is merged, NOM remains unassigned/unrealized because the internal argument has already been spelled-out. The difference between the NT with and without an auxiliary is a property of T. If there is no valued Tense feature on T, no auxiliary is inserted and the resulting interpretation is Past as the default interpretation.

5 Conclusion

I have argued that ACC arises only in structures that are in some sense "transitive", where the relevant notion of transitivity needs to be formulated in terms of phasehood (related to a structure extension), not with respect to another argument or an argument chain. Here, "transitivity" is a result of a *have*-Perfect structure. Interestingly, the observed relation between ACC and *have*-Perfect is reminiscent of the case distribution in so called split ergative languages. It is thus plausible that the case assignment we observe in NT is cross-linguistically more prevalent than usually assumed. The Slavic data suggest that there is no one type of a passive structure: instead we are likely to deal with a whole range of constructions with different degrees of argument demotion.

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(i) Dependent case is assigned by V+I to a uniquely merged DP in the domain of V+I.
 Dependent case assigned up to subject: ergative
 Dependent case assigned down to object: accusative

(Katzir 2007)

(ii) DP_i is uniquely merged in the domain of a head x if DP_i is either a complement of x or a specifier of x but not both

¹⁶This formulation is very close to Katzir's 2007 reformulation:

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