

英语语言学专题 学与练



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Linguistics

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简 介

本书共分三部分。第一部分简单介绍现代语言学各领域中最具影响力的国际语言学家及其理论思想;第二部分为九个章节的基础语言学知识专项练习;第三部分是8套自测题。后附参考答案。本书适合英语专业本科生课堂辅助学习、课后练习,并可作考研强化训练之用。

本书编委成员有:卢二洹 宋 鹏
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Part I Modern Linguists^①

Ferdinand de Saussure, November 26, 1857—February 22, 1913, was a Geneva-born Swiss linguist whose ideas laid the foundation for many of the significant developments in linguistics in the 20th century. He is widely considered the “father” of 20th-century linguistics.

Born in Geneva in 1857, Saussure showed early signs of considerable talent and intellectual ability. After a year of studying Latin, Greek, Sanskrit, and a variety of courses at the University of Geneva, he commenced graduate work at the University of Leipzig in 1876. Two years later at 21 years old, Saussure studied for a year at Berlin, where he wrote his only full-length work, *Mémoire sur le système primitif des voyelles dans les langues indo-européennes* (Thesis on the Primitive Vowel System in Indo-European Languages). He returned to Leipzig and was awarded his doctorate in 1880. Soon afterwards he relocated to Paris, where he would lecture on ancient and modern languages, and lived for 11 years before returning to Geneva in 1891. Saussure lectured on Sanskrit and Indo-European at the University of Geneva for the remainder of his life. It was not until 1906 that Saussure began teaching the Course of General Linguistics that would consume the greater part of his attention until his death in 1913.

Saussure's most influential work, *Course in General Linguistics*, was published posthumously in 1916 by former students Charles Bally and Albert Sechehaye on the basis of notes taken from Saussure's lectures at the University of Geneva. The *Course* became one of the seminal linguistics works of the 20th century, not primarily for the content (many of the ideas had been anticipated in the works of other 19th century linguists), but rather for the innovative approach that Saussure applied in discussing linguistic phenomena.

Its central notion is that language may be analyzed as a formal system of

① from http://en.wikipedia.org/wiki/a_free_encyclopedia

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differential elements, apart from the messy dialectics of real-time production and comprehension. Examples of these elements include the notion of the linguistic sign, the signifier, the signified, and the referent.

In 1996, a manuscript of Saussure's was discovered in his house in Geneva. This text was published as *Writings in General Linguistics*, and offers significant clarifications of the *Course*.

The impact of Saussure's ideas on the development of linguistic theory in the first half of the 20th century cannot be overstated. Two currents of thought emerged independently of each other, one in Europe, the other in America. The results of each incorporated the basic notions of Saussurian thought in forming the central tenets of structural linguistics. In Europe, the most important work was being done by the Prague School. Most notably, Nikolay Trubetzkoy and Roman Jakobson headed the efforts of the Prague School in setting the course of phonological theory in the decades following 1940. Jakobson's universalizing structural-functional theory of phonology, based on a markedness hierarchy of distinctive features, was the first successful solution of a plane of linguistic analysis according to the Saussurean hypotheses. Elsewhere, Louis Hjelmslev and the Copenhagen School proposed new interpretations of linguistics from structuralist theoretical frameworks. In America, Saussure's ideas informed the distributionalism of Leonard Bloomfield and the post-Bloomfieldian Structuralism of those scholars guided by and furthering the practices established in Bloomfield's investigations and analyses of language. In contemporary developments, structuralism has been most explicitly developed by Michael Silverstein, who has combined it with the theories of markedness and distinctive features.

Roman Osipovich Jakobson, October 11, 1896—July 18, 1982, was a Russian thinker who became one of the most influential linguists of the 20th century by pioneering the development of structural analysis of language, poetry, and art.

Jakobson was born to a well-to-do family in Russia of Jewish descent, and he developed a fascination with language at a very young age. As a student he was a leading figure of the Moscow Linguistic Circle and took part in Moscow's active world of avant-garde art and poetry. The linguistics of the time was overwhelmingly neogrammarian and insisted that the only scientific study of language was to study the history and development of words across time (the diachronic approach, in Saussure's terms). Jakobson, on the other hand, had come into contact with the work of Ferdinand de Saussure, and developed an approach focused on the way in which language's structure served its basic function (synchronic approach) communicate information between speakers.

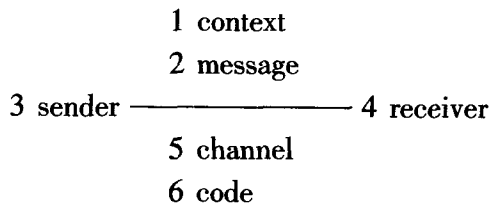
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1920 was a year of political upheaval in Russia, and Jakobson relocated to Prague as a member of the Soviet diplomatic mission to continue his doctoral studies. He immersed himself both into the academic and cultural life of pre-war Czechoslovakia and established close relationships with a number of Czech poets and literary figures. He also made an impression on Czech academics with his studies of Czech verse. In 1926, together with Vilém Mathesius and others he became one of the founders of the "Prague school" of linguistic theory. There his numerous works on phonetics helped continue to develop his concerns with the structure and function of language. Jakobson's universalizing structural-functional theory of phonology, based on a markedness hierarchy of distinctive features, was the first successful solution of a plane of linguistic analysis according to the Saussurean hypotheses.

Jakobson left Prague at the start of WWII for Scandinavia, where he was associated with the Copenhagen linguistic circle. As the war advanced west, he fled to New York City to become part of the wider community of intellectual émigrés who fled there. He was also closely associated with the Czech émigré community during that period. He also made the acquaintance of many American linguists and anthropologists, such as Franz Boas, Benjamin Whorf, and Leonard Bloomfield.

In 1949 Jakobson moved to Harvard University, where he remained until retirement. In his last decade he maintained an office at the Massachusetts Institute of Technology, where he was an honorary Professor Emeritus. In the early 1960s Jakobson shifted his emphasis to a more comprehensive view of language and began writing about communication sciences as a whole.

Jakobson distinguishes six communication functions, each associated with a dimension of the communication process: *Dimensions*



Functions

- 1 referential (= contextual information)
- 2 poetic (= autotelic)
- 3 emotive (= self-expression)
- 4 conative (= vocative or imperative addressing of receiver)
- 5 phatic (= checking channel working)
- 6 metalingual (= checking code working)

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Jakobson's three principal ideas in linguistics play a major role in the field to this day: linguistic typology, markedness, and linguistic universals. The three concepts are tightly intertwined: typology is the classification of languages in terms of shared grammatical features (as opposed to shared origin), markedness is (very roughly) a study of how certain forms of grammatical organization are more "natural" than others, and linguistic universals is the study of the general features of languages in the world.

Bronislaw Kasper Malinowski, April 7, 1884—May 16, 1942, was a Polish anthropologist widely considered to be one of the most important anthropologists of the twentieth century because of his pioneering work on ethnographic fieldwork, with which he also gave a major contribution to the study of Melanesia, and the study of reciprocity.

Malinowski was born in Kraków, Poland, when his nation was occupied by Austro-Hungarian Empire to an upper-middle class family. His father was a professor and his mother the daughter of a land-owning family. As a child he was frail, often suffering from ill-health, yet he excelled academically. He received a doctorate from Jagiellonian University in 1908, where he focused on mathematics and physical sciences. He spent the next two years at Leipzig University, where he was influenced by Wilhelm Wundt and his theories of folk psychology.

In 1914 Malinowski traveled to Papua (in what would later become Papua New Guinea) where he conducted fieldwork at Mailu and then, more famously, in the Trobriand Islands. On his most famous trip to the area he became stranded. The First World War had broken out and as a Pole in a British controlled area he was unable to leave. After a period in which he actively avoided contact with the native Trobrianders, who he considered to be "savages", Malinowski finally decided, out of loneliness, to participate in their society. After he did so Malinowski learned the local language, formed close friendships with the people and is even rumored to have fallen in love with one of the islanders. It was during this period that he conducted his fieldwork on Kula and produced his theories of Participant observation which are now key to anthropological methodology. It is widely recognized that without the outbreak of war and his subsequent isolation Malinowski would never have produced this and never laid the foundations for what is modern anthropology.

By 1922 Malinowski had earned a doctorate of science in anthropology and was teaching at the London School of Economics. In that year his book *Argonauts of the Western Pacific* was published. The book was universally regarded as a masterpiece and Malinowski became one of the best known anthropologists in the world. For the

next three decades Malinowski would establish the LSE as one of Britain's greatest centers of anthropology. He would train many students, including students from Britain's colonies who would go on to become important figures in their home countries.

Malinowski taught intermittently in the United States, and when World War II broke out during one of these trips he remained in the country, taking up a position at Yale University, where he remained until his death.

Malinowski originated the school of social anthropology known as functionalism. In contrast to Radcliffe-Brown's structural functionalism, Malinowski argued that culture functioned to meet the needs of individuals rather than society as a whole. He reasoned that when the needs of individuals are met, who comprise society, then the needs of society are met. To Malinowski, the feelings of people, their motives, were crucial knowledge to understand the way their society functions.

Apart from fieldwork, Malinowski also challenged common western views such as Freud's Oedipus complex and their claim for universality. He initiated a cross-cultural approach in *Sex and Repression in Savage Society* (1927) where he demonstrated that the complex was not universal. Many non-western societies are living proof that many western theories cannot simply be applied to them.

John Rupert Firth, 1890—1960, Keighley, Yorkshire, commonly known as J. R. Firth, was an English linguist. He was Professor of English at the University of the Punjab from 1919 to 1928. He then worked in the phonetics department of University College London before moving to the School of Oriental and African Studies, where he became Professor of General Linguistics, a position he held until his retirement in 1956.

Firth developed an idiosyncratic view of linguistics that has given rise to the adjective "Firthian". Central to this view is the idea of polysystematism. Firth is also noted for drawing attention to the context-dependent nature of meaning with his notion of "context of situation". His work on prosody, which he emphasized at the expense of the phonemic principle, prefigured later work in autosegmental phonology.

As a teacher in the University of London for more than 20 years, Firth influenced a generation of British linguists. The popularity of his ideas among contemporaries gave rise to what was known as the "London School" of linguistics. Among Firth's students, the so-called neo-Firthians were exemplified by Michael Halliday, who was Professor of General Linguistics in the University of London from 1965 until 1970.

Michael Alexander Kirkwood Halliday, often M. A. K. Halliday,

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born in 1925, is an English linguist who developed an internationally influential grammar model, *The Systemic Functional Grammar* (which also goes by the name of *Systemic Functional Linguistics* [SFL]). In addition to English, the model has been applied to other languages, both Indo-European and non-Indo-European.

Halliday was born and raised in England. He took a BA Honors degree in Modern Chinese Language and Literature (Mandarin) at the University of London. He then lived for three years in China, where he studied under Luo Changpei at Peking University and under Wang Li at Lingnan University, before returning to take a Ph. D. in Chinese Linguistics at Cambridge. Having taught Chinese for a number of years, he changed his field of specialization to linguistics, and developed systemic functional grammar, elaborating on the foundations laid by his British teacher J. R. Firth and a group of European linguists of the early 20th century, the Prague School. His seminal paper on this model was published in 1961. He became the Professor of Linguistics at the University of London in 1965. In 1976 he moved to Australia as Foundation Professor of Linguistics at the University of Sydney, where he remained until he retired. He has worked in various regions of language study, both theoretical and applied, and has been especially concerned with applying the understanding of the basic principles of language to the theory and practices of education. He received the status of emeritus professor of the University of Sydney and Macquarie University, Sydney, in 1987, and is currently Distinguished Visiting Professor in the Faculty of Education, University of Hong Kong.

Franz Boas, July 9, 1858—December 21, 1942, was a German-born American pioneer of modern anthropology and is often called the “Father of American Anthropology”. Like many such pioneers, he trained in other disciplines; he received his doctorate in physics, and did post-doctoral work in geography. He is famed for applying the scientific method to the study of human cultures and societies, a field which was previously based on the formulation of grand theories around anecdotal knowledge.

Franz Boas was born in Minden, Westphalia. Although his grandparents were observant Jews, his parents, like most German Jews, embraced Enlightenment values, including their assimilation into modern German society. Boas was sensitive about his Jewish background, and while he vocally opposed anti-Semitism and refused to convert to Christianity, he did not identify himself as a Jew.

Boas received his doctorate in physics from the university at Kiel in 1881. He was unhappy with his dissertation, but intrigued by the problems of perception that plagued his research. Boas had developed an interest in Kantian thought when he

took a course on aesthetics with Kuno Fischer at Heidelberg, and at Bonn took courses with Benno Erdmann, leading Kantian philosophers. This interest led him to “psychophysics,” which addressed psychological and epistemological problems in physics. He again considered moving to Berlin to study psychophysics with Hermann von Helmholtz, but psychophysics was of dubious status, and Boas had no training in psychology.

Coincidentally, Boas took up geography as a way to explore his growing interest in the relationship between subjective experience and the objective world. In 1883 Boas went to Baffin Island to conduct geographic research on the impact of the physical environment on native Inuit migrations. The first of many ethnographic field trips, Boas culled his notes to write his first monograph titled *The Central Eskimo* (1888). Boas lived and worked closely with the Inuit peoples on Baffin Island, and he developed an abiding interest in the way people lived.

He returned to Berlin to finish his studies, and in 1886 (with Helmholtz’s support) he successfully defended his habilitation thesis, *Baffin Land*, and was named *privatdozent* in geography. But Boas worked more closely with Bastian, who was noted for his antipathy to environmental determinism. Instead, he argued for the “psychic unity of mankind,” a belief that all humans had the same intellectual capacity, and that all cultures were based on the same basic mental principles. Variations in custom and belief, he argued, were the products of historical accidents. This view resonated with Boas’s experiences on Baffin Island, and drew him towards anthropology.

In the late 1800s, anthropology in the United States was dominated by the Bureau of American Ethnology, directed by John Wesley Powell, a geologist who favored Lewis Henry Morgan’s theory of cultural evolution. It was while working on museum collections and exhibitions that Boas formulated his basic approach to culture, which led him to break with museums and seek to establish anthropology as an academic discipline. During this period Boas made five more trips to the Pacific Northwest. His continuing field research led him to think of culture as a local context for human action. His emphasis on local context and history led him to oppose the dominant model at the time, Cultural Evolution.

Boas had been appointed lecturer in physical anthropology at Columbia University in 1896, and had been promoted to professor of anthropology in 1899. Nevertheless, the various anthropologists teaching at Columbia had been assigned to different departments. When Boas left the Museum of Natural History, he negotiated with Columbia University to consolidate the various professors into one department, of which Boas would take charge. Boas’s program at Columbia became the first Ph. D.

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program in anthropology in America.

Although Boas published descriptive studies of Native American languages, and wrote on theoretical difficulties in classifying languages, he let his students such as Edward Sapir to research the relationship between culture and language.

Edward Sapir, January 26, 1884—February 4, 1939, was an American anthropologist-linguist, a leader in American structural linguistics, and one of the creators of what is now called the Sapir-Whorf hypothesis. He is arguably the most influential figure in American linguistics, influencing several generations of linguists across several schools of linguistics.

Sapir was born in Lauenburg, Prussia, in Poland, in 1884 to an orthodox Jewish family. He received both a B. A. (1904) and an M. A. (1905) in Germanic philology from Columbia, but his linguistic interests proved to be much broader. In the next two years he took up studies of the Wishram and Takelma languages of Southwestern Oregon, and received his Ph. D. in anthropology in 1909. While a graduate student at Columbia he met his mentor, anthropologist Franz Boas, who was probably the person who provided the most initial impetus for Sapir's study of indigenous languages of the Americas. He arranged Sapir's employment in 1907—1908 researching the nearly extinct Yana language of northern California, to which he returned briefly in 1915 to work with Ishi, the monolingual last surviving speaker of Yahi (southern Yana).

He was one of the first who explored the relations between language studies and anthropology. His students include Fang-kuei Li, Benjamin Whorf, Mary Haas, and Harry Hoijer. Sapir died of heart problems in New Haven, Connecticut, on February 4, 1939, at the age of 55.

Benjamin Lee Whorf, April 24, 1897 in Winthrop Massachusetts, was an American linguist. Whorf, along with Edward Sapir, is best known for having laid the foundation of the Sapir-Whorf hypothesis.

Shortly after graduating from the Massachusetts Institute of Technology in 1918 with a degree in chemical engineering, Whorf began work as a fire prevention engineer (inspector) for the Hartford Fire Insurance Company, pursuing linguistic and anthropological studies as an avocation.

In 1931, Whorf began studying linguistics at Yale University and soon deeply impressed Edward Sapir, who warmly supported Whorf's academic pursuits. In 1936, Whorf was appointed Honorary Research Fellow in Anthropology at Yale. In 1937, Yale awarded him the Sterling Fellowship. He was a Lecturer in Anthropology from

1937 through 1938, when he began having serious health problems.

Whorf's primary area of interest in linguistics was the study of Native American Languages, particularly those of Mesoamerica. He became quite well known for his work on the Hopi language, and for a theory he called the principle of linguistic relativity. Among Whorf's most fascinating findings while studying the Hopi was that: "... the Hopi language is seen to contain no words, grammatical forms, construction or expressions or that refers directly to what we call 'time', or to past, present, or future ..."

The Sapir-Whorf hypothesis primarily dealt with the way that language affects thought. Also sometimes called the Whorfian hypothesis, this theory claims that the language a person speaks affects the way that he or she thinks, meaning that the structure of the language itself affects cognition.

Whorf died of cancer at the age of 44. He is mainly remembered for a posthumous collection of his work, titled *Language, Thought, and Reality*, first published in 1956.

Leonard Bloomfield, April 1, 1887—April 18, 1949, was an American linguist, whose influence dominated the development of structural linguistics in America between the 1930s and the 1950s. He is especially known for his book *Language* (1933), describing the state of the art of linguistics at its time.

Bloomfield was the main founder of the Linguistic Society of America. His thought was mainly characterized by its behavioristic principles for the study of meaning, its insistence on formal procedures for the analysis of language data, as well as a general concern to provide linguistics with rigorous scientific methodology. Its pre-eminence decreased in the late 1950s and 1960s, after the emergence of Generative Grammar.

Avram Noam Chomsky, born in December 7, 1928, is an American linguist, philosopher, political activist, author, and lecturer. He is an Institute Professor and professor emeritus of linguistics at the Massachusetts Institute of Technology.

Chomsky was born in the East Oak Lane neighborhood of Philadelphia, Pennsylvania, the son of Hebrew scholar from a town in Ukraine.

Chomsky is credited with the creation of the theory of generative grammar, considered to be one of the most significant contributions to the field of linguistics made in the 20th century. He also helped spark the cognitive revolution in psychology through his review of B. F. Skinner's *Verbal Behavior*, in which he challenged the behaviorist approach to the study of behavior and language dominant in the 1950s.

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According to the Arts and Humanities Citation Index in 1992, Chomsky was cited as a source more often than any other living scholar during the 1980—1992 time period, and was the eighth-most cited scholar in any time period.

In 1945 Chomsky began studying philosophy and linguistics at the University of Pennsylvania, learning from philosophers C. West Churchman and Nelson Goodman and linguist Zellig Harris. Harris's teaching included his discovery of transformations as a mathematical analysis of language structure (mappings from one subset to another in the set of sentences). Chomsky subsequently reinterpreted these as operations on the productions of a context-free grammar (derived from Post Production Systems).

Chomsky received his Ph. D. in linguistics from the University of Pennsylvania in 1955. He conducted part of his doctoral research during four years at Harvard University as a Harvard Junior Fellow. In his doctoral thesis, he began to develop some of his linguistic ideas, elaborating on them in his 1957 book *Syntactic Structures*, his best-known work in linguistics.

Chomsky joined the staff of the Massachusetts Institute of Technology in 1955 and in 1961 was appointed full professor in the Department of Modern Languages and Linguistics (now the Department of Linguistics and Philosophy). From 1966 to 1976 he held the Ferrari P. Ward Professorship of Modern Languages and Linguistics, and in 1976 he was appointed Institute Professor. As of 2007, Chomsky has taught at MIT continuously for 52 years.

Syntactic Structures was a distillation of his book *Logical Structure of Linguistic Theory* (1955) in which he introduces transformational grammars. The theory takes utterances (sequences of words) to have a syntax which can be (largely) characterized by a formal grammar; in particular, a Context-free grammar extended with transformational rules. Children are hypothesized to have an innate knowledge of the basic grammatical structure common to all human languages (i. e. , they assume that any language which they encounter is of a certain restricted kind). This innate knowledge is often referred to as Universal Grammar. It is argued that modeling knowledge of language using a formal grammar accounts for the “productivity” of language; with a limited set of grammar rules and a finite set of terms, humans are able to produce an infinite number of sentences, including sentences no one has previously said.

The Chomskyan approach towards syntax, often termed generative grammar, studies grammar as a body of knowledge possessed by language users. Since the 1960s, Chomsky has maintained that much of this knowledge is innate, implying that children need only learn certain parochial features of their native languages. The innate body of linguistic knowledge is often termed Universal Grammar. From

Chomsky's perspective, the strongest evidence for the existence of Universal Grammar is simply the fact that children successfully acquire their native languages in so little time. He argues that the linguistic data to which children have access radically underdetermine the rich linguistic knowledge which they attain by adulthood.

Chomsky's theories are still popular, particularly in the United States, but they have never been free from controversy. Criticism has come from a number of different directions. Chomskyan linguists rely heavily on the intuitions of native speakers regarding which sentences of their languages are well-formed. Some psychologists and psycholinguists, though sympathetic to Chomsky's overall program, have argued that Chomskyan linguists pay insufficient attention to experimental data from language processing, with the consequence that their theories are not psychologically plausible.

Noam Chomsky has received many honorary degrees from the most prestigious universities around the world. He is a member of the American Academy of Arts and Sciences, the National Academy of Sciences, and the American Philosophical Society. In addition, he is a member of other professional and learned societies in the United States and abroad, and is a recipient of the Distinguished Scientific Contribution Award of the American Psychological Association, the Kyoto Prize in Basic Sciences, the Helmholtz Medal, the Dorothy Eldridge Peacemaker Award, the Ben Franklin Medal in Computer and Cognitive Science, and others. He is twice winner of The Orwell Award, granted by The National Council of Teachers of English for "Distinguished Contributions to Honesty and Clarity in Public Language".

Chomsky was voted the leading living public intellectual in "The 2005 Global Intellectuals Poll" conducted by the British magazine *Prospect*. In a list compiled by the magazine *New Statesman* in 2006, he was voted seventh in the list of "Heroes of Our Time".

Charles Kay Ogden, June 1, 1889—March 21, 1957, Fleetwood, Lancashire London, was an English linguist, philosopher, and writer.

He is now mostly remembered as the inventor and propagator of Basic English, a constructed language, his primary activity from 1925 until his death. Basic English is an auxiliary international language of 850 words comprising a system covering everything necessary for everyday purposes. To promote Basic English, Ogden founded the Orthological Institute, from *orthology*, the abstract term he proposed for its work.

Educated at Magdalene College, Cambridge, Ogden obtained the M. A. in 1915. He founded the *Cambridge Magazine* in 1912 while still an undergraduate, editing it until it ceased publication in 1922. It evolved into an organ of international comment