



最新版

英语专业硕士研究生入学考试

# 语言学

总主编 何莘莘

本册主编 赵卫 宋晓红

## 辅导全书

山东人民出版社

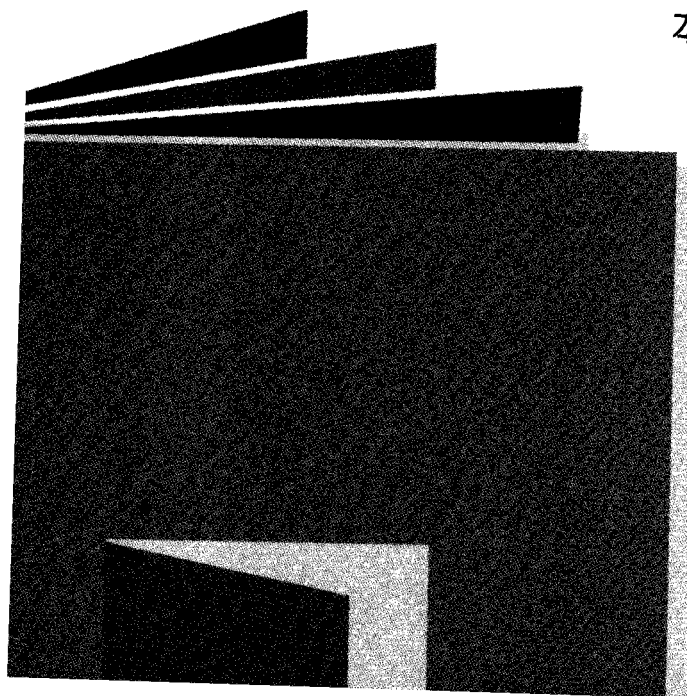
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**图书在版编目(CIP)数据**

英语专业硕士研究生入学考试语言学辅导全书/赵卫,宋晓红主编. — 济南:山东人民出版社,2010.7  
ISBN 978-7-209-05446-1

I. ①英... II. ①赵...②宋... III. ①英语-语言学-研究生-入学考试-自学参考资料 IV. ①H31

中国版本图书馆 CIP 数据核字(2010)第 144165 号

责任编辑:李岱岩

**英语专业硕士研究生入学考试  
语言学辅导全书**

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山东出版集团

山东人民出版社出版发行

社 址:济南市经九路胜利大街 39 号 邮 编:250001

网 址:<http://www.sd-book.com.cn>

发行部:(0531)82098027 82098028

新华书店经销

日照报业印刷有限公司印装

规 格 16 开 (184mm×260mm)

印 张 15.5

字 数 374 千字

版 次 2010 年 7 月第 1 版

印 次 2010 年 7 月第 1 次

ISBN 978-7-209-05446-1

定 价 34.00 元



如有质量问题,请与印刷厂调换。(0633)8221365

## 编写说明



本书是拟为报考语言学方向硕士学位的考生们编写的。参考教材以胡壮麟主编的《语言学教程》为主线，兼收其他教材。如：胡壮麟主编的《语言学高级教程》，戴炜栋、何兆熊主编的《新编简明语言学教程》等等。

英语语言学作为英语语言文学专业一门不可或缺的必修课，它为我们进一步深入探究语言的奥秘和揭示并解释语言运作机制提供了理论基础和方法论。虽然它以晦涩、抽象、枯燥而著称，但如果我们能够抛去浮华喧嚣，静心研修的话，定会从中发现你从未领悟到的浸染于语言中的芳华、趣味和智慧。

本书包括十二章，每章由七部分构成。第一部分知识点图解，细笔勾勒出每一章的知识框架。第二部分要点精解，根据各个大学历年考研真题对每章的重要知识点及考点进行了条分缕析、详略得当地爬梳和整理。第三部分术语盘点，则试图对每章的重要术语进行穷尽性归纳，并根据考试情况将其分为核心术语和一般术语以供考生参考。第四部分历年考研真题，为考生创设了亲临考场的气氛和感受，使考生得以体味各个学校的出题思路和考试风格，从而使考研更有针对性。第五部分参考答案及详解，则详细分析了真题，并做了细致地解答。第六部分模拟练习，是模拟考研真题为考生精心打造的练习题，目的是为考生提供更多的实战经验和进一步巩固、拓展和夯实所学的基础知识。第七部分参考答案及详解，对模拟试题进行了详尽解析。

本书的编者都是具有长期丰富的一线教学经验的优秀大学教师和在读博士。本书融入了编者的教案精华、个人学习总结和体会。由赵卫、宋晓红主编，李永梅、张秀苹、布占廷、甲鲁海、王海娟、吕玉红、王倩、张维娜等参加编写。

本书选用真题来自北京外国语大学、北京第二外国语学院、中国人民大学、首都师范大学、北京航空航天大学、北京交通大学、南京大学、武汉大学、厦门大学、四川大学、上海交通大学、大连外国语学院、中国海洋大学、四川外国语学院等高等院校。在此向他们表示衷心的感谢。

编者



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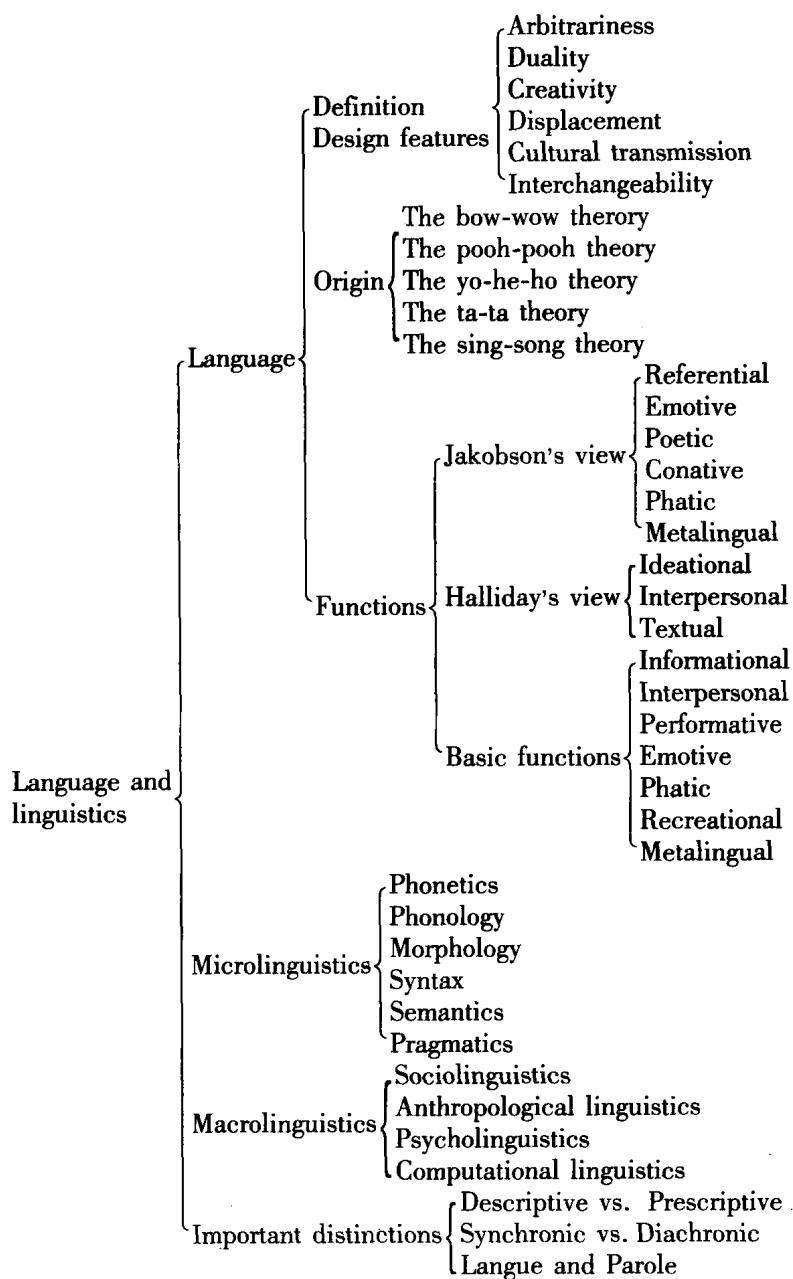
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# Chapter 1 Language and Linguistics

## ★ 知识点图解





## I. The definition of language (语言的定义)

Language is a system of arbitrary vocal symbols used for human communication. In the definition each word counts, especially the five essential ones: system, arbitrary, vocal, symbols and human. A proper understanding of language rests with how to approach those five key words.

First, language is a system. Language is composed of language elements according to language rules, which work both on the paradigmatic and syntagmatic axes and are realized by sounds, words, phrases and sentences etc. They cannot be combined at will. In English, *bkli* will not be a possible word; *He table a green* will not be an acceptable sentence. If language were not systematic, it could not be learned or used consistently. Human language is characterized by many levels, such as phonology, morphology, syntax and semantics. Within these levels, sounds are put together and patterned into larger units that carry meaning, Words are related to each other as signs and can be strung together in various combinations to form sentences. So language can be called a “system of systems” in that each level consists of many interrelated items.

Second, language is arbitrary, first discussed by Saussure, which refers to the absence of any physical correspondence between linguistic signals and the entities to which they refer. The word dog, for instance, has no intrinsic connection with the animal it symbolises; any other word would do equally well to represent it. It is one of the characteristics which distinguish much animal communication from human language. Arbitrariness exists at different levels such as arbitrary relationship between the sound of a morpheme and its meaning, arbitrariness at the syntactic level and arbitrariness and convention.

Third, we say language is vocal because the primary medium is sound for all languages, no matter how well developed are their writing systems. All evidence shows that writing systems came much later than the spoken forms and that they are only attempts to capture sounds and meaning on paper. The fact that children acquire spoken language first before they can read and write also indicates that language is primarily vocal.

Fourth, by the symbolic nature of language we mean words are associated with objects, actions, ideas by convention. This is why some people say “*A rose by any other name would smell as sweet.*” The symbolic property of language is closely related to the arbitrariness of language.

Fifth, the term human in the definition is meant to specify that language is human-specific; that is, it is very different from the communication systems other forms of life possess (such as bird songs and animal cries). Only humans are biologically prepared for language ability. According to Chomsky, children are born with a Language Acquisition Device (LAD) and all language input of a particular cultural environment in which they have grown up only functions as “parameter-setter” to decide the special features of a particular language. No other creatures on the earth possess this ability.



## II. The design features of language( 语言的定义特征)

Design features refer to the distinctive features of human language that essentially make human language distinguishable from any animal system of communication.

### 1. Arbitrariness( 任意性)

By “language is arbitrary” we mean there is no logical connection between meanings and sounds. For instance, there is no reason why English speakers use the sounds /dog/ to denote the animal *dog*, or /pig/ to refer to the animal *pig* while Chinese speakers use different sounds (*gou* and *zhu* respectively) to indicate them. There are different levels of arbitrariness.

#### (1) Arbitrary relationship between the sound of a morpheme and its meaning ( 语素音与其意义关系的任意性)

We must admit that there are certain words with different degrees of onomatopoeia in every language which imitate natural sounds, such as *bang*, *crash*, and *roar* in English, and *dingdang* (叮当), *kacha* (喀嚓), *putong* (扑通) in Chinese. However, arbitrariness and onomatopoeic effect may work at the same time. Widdowson's illustration of a line “The murmurous haunt of flies on summer eves” in Keats' *Ode to a Nightingale* by attempting the substitution of *murderous* for *murmurous* shows that no connection will be established between sounds and the little noises of the flying flies. “It is only when you know the meaning that you infer that the form is appropriate.” (Widdowson, 1996:6)

#### (2) Arbitrariness at the syntactic level( 句法层的任意性)

As to arbitrariness at the syntactic level, there are two opposite points of view. According to some functional linguists (Halliday, 1985/1994), language is not arbitrary at the syntactic level because there may be a certain degree of correspondence between the sequence of clauses and the real happenings. Put it differently, syntax is less arbitrary than words, especially in so far as word order is concerned. Compare:

- a. He came in and sat down.
- b. He sat down and came in.
- c. He sat down after he came in.

Sentence a means the actions occurred in this order; sentence b means the opposite sequence of the real happening—perhaps he got into his wheelchair and propelled himself into the room. In sentence c with the help of the word “*after*” we can reverse the order of the clauses.

However formal linguists underscore the autonomy of syntax. “Human cognition embodies a system whose primitive terms are non-semantic and non-discourse-derived syntactic elements and whose principles of combination make no reference to system-external factors.” (Newmeyer, 1998:18). In other words, to them, syntax is purely arbitrary.

#### (3) Arbitrariness and convention ( 任意性与规约性)

Arbitrariness and conventionality are two indispensable sides of the coin of language. Arbitrariness of language makes it potentially creative, and conventionality of language makes learning a language laborious.

## 2. Duality(二层性)

It refers to the property of having two levels of structures with units of the primary level composed of elements of the secondary level. At the secondary level there is the structure of sounds; at the primary level there is the structure of words. This is important for the workings of language. A small number of sounds can be grouped and regrouped into a large number of units of meaning( words) , and the units of meaning can be arranged and rearranged into an infinite number of sentences. The trait most distinguishes human communication and provides its tremendous resourcefulness. Therefore the advantage of duality lies in the great productive power our language is endowed with.

## 3. Creativity/productivity(创造性)

By creativity we mean language is resourceful because of its duality and its recursiveness. Because of duality the speaker is able to combine the basic linguistic units to form an infinite set of sentences, most of which are never before produced or heard. The recursive nature of language provides a theoretical basis for creating endless sentences.

## 4. Displacement(移位性)

It means that human languages enable their users to symbolize objects, events and concepts which are not present (in time and space) at the moment of communication. In other words, language can refer to contexts removed from the immediate situations of the speaker. Displacement benefits human beings by giving them the power to handle generalizations and abstractions. In a word, the intellectual benefits of displacement to us is that it makes it possible for us to talk and think in abstract terms.

## 5. Cultural transmission(文化传递性)

Language is not genetically transmitted but culturally transmitted from one generation to the next by teaching and learning, rather than by instinct.

## 6. Interchangeability(互换性)

It means that any human being can be both a producer and receiver of messages.

## III. Origin of language(语言的起源)

All the theories about the origin of language are hypothetical in nature. The following are some of them:

## 1/ The "bow-wow" theory(摹声说)

It holds that language is derived from imitating the sounds of the animal calls in the wild environment people in primitive times lived and speech developed from that.

## 2/ The "pooh-pooh" theory(感叹说)

It holds that language comes from instinctive sounds of pain, anger and joy.

## 3/ The "yo-he-ho" theory(杭育声说)

It speculates that as primitive people worked together, they produced some rhythmic grunts which gradually developed into chants and then into language.

#### 4. The “ta-ta” theory( 嗒嗒说)

It argues that body movement preceded language. Language began as an unconscious vocal imitation of these movements.

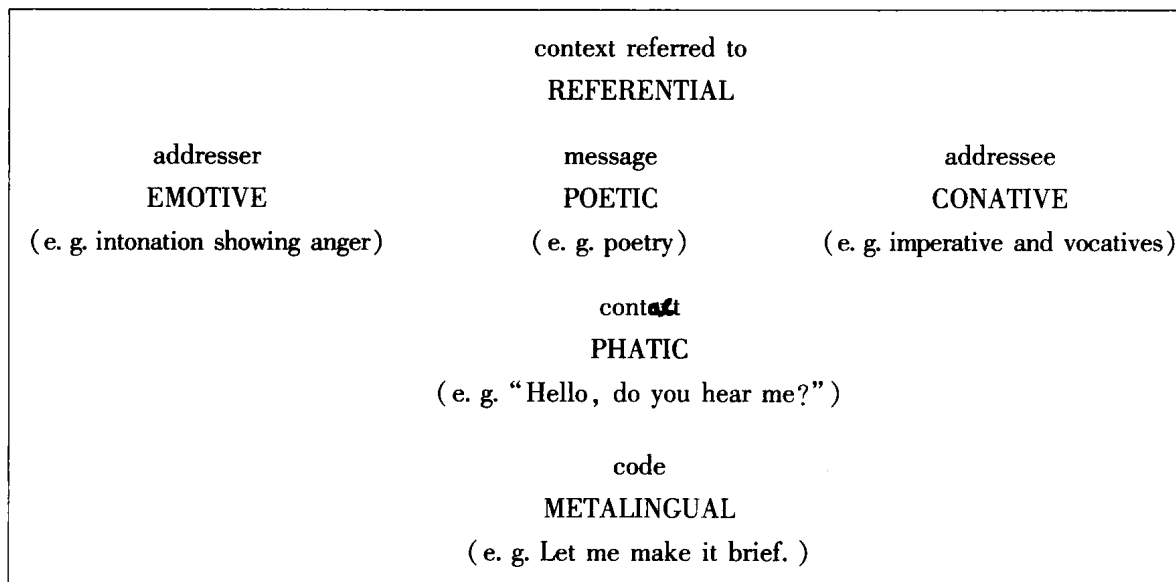
#### 5. The “sing-song” theory( 唱歌说)

It maintains that language originates from primitive ritual songs of praise.

### IV. Functions of language( 语言的功能)

#### 1. Jakobson's classification of functions( 雅格布逊的功能分类)

For Jakobson and the Prague school structuralists, language is above all, as any semiotic system, for communication. Jakobson defined the six primary factors of any speech events, namely: SPEAKER(说话者), ADDRESSEE(受话者), CONTEXT(语境), MESSAGE(信息), CODE(语码), and CONTACT(接触). Based on these six key elements of communication, Jakobson established a well-known framework of language functions: REFERENTIAL (to convey message and information)(指称功能), POETIC (to indulge in using language for the sake of displaying its beauty or rhythm)(诗学功能), EMOTIVE (to express attitudes, feelings and emotions)(情感功能), CONATIVE (to persuade and influence others through commands and entreaties)(意动功能), PHATIC (to establish communion with others)(交感功能)and METALINGUAL (to clear up intentions, words and meanings)(元语言功能). See the following figure for a clear view of the correspondence between six communication elements and six functions of language.



#### 2. Halliday's theory of metafunctions ( 韩礼德的元功能理论)

Halliday proposes a theory of metafunctions of language, that is, language has ideational, interpersonal and textual functions.

- (1) Ideational function ( 概念功能 ) constructs a model of experience and constructs logical relations.
- (2) Interpersonal function ( 人际功能 ) enacts social relationships.

## 3. Basic functions of language (语言的基本功能)

## (1) Informational /referential/ideational function(信息功能)

It is predominantly the major role of language associated with what objects and ideas are called and how events are described. The ideational function in Halliday's framework of systemic-functional grammar is concerned with the content of language, its function as a means of expression of our experience, both of the external world and of the inner world of our consciousness—together with what is perhaps a separate sub-component expressing certain logical relations.

## (2) Interpersonal function(人际功能)

It is the most important sociological use of language, by which people establish and maintain their status in a society. In the framework of functional grammar, this function is concerned with interaction between the addresser and addressee in the discourse situation and the addresser's attitude toward what he speaks or writes about.

## (3) Performative function(施为功能)

Language can be used to "do things", to perform actions. This is called the performative function which is primarily to change the social status of person, as in marriage ceremony, the sentencing of criminals, the blessing of children, the naming of a ship at a launching ceremony, and the cursing of enemies. The kind of language employed in performative verbal acts is usually quite formal and even ritualized. The performative function can extend to the control of reality as on some magical or religious occasions.

## (4) Emotive function (感情功能)

It is one of the most powerful uses of language because it can change the emotional status of an audience for or against someone or something. It is also discussed under the term expressive function, which is often entirely personal and totally without any implication of communication to others.

## (5) Phatic communion (寒暄交谈)

It refers to language used for establishing an atmosphere or maintaining social contact rather than for exchanging information or ideas. Greetings, farewells, and comments on the weather serve this function. Broadly speaking, this function refers to expressions that help define and maintain interpersonal relations, such as slangs, jokes, jargons, ritualistic exchanges, switches to social and regional dialects.

## (6) Recreational function (娱乐功能)

It refers to the use of language for the sheer joy of using it, such as a baby's babbling or a chanter's chanting.

## (7) Metalingual function (元语言功能)

It means language can be used to talk about language. For instance, we can use the word book to talk about a book. So this function of language makes the language infinitively self-reflexive; we human beings can talk about talk and think about thinking, and thus only humans can ask what it means to communicate, to think, to be human.

## V. The definition of linguistics( 语言学的定义)

Linguistics is usually defined as the science of language or, alternatively, as the scientific study of language, and in many ways this is justified since it is concerned with observing facts about language, setting up hypotheses, testing their validity and accepting or rejecting them accordingly. Linguistics, based on the systemic investigation of data, conducted with reference to some general theory of language structure, studies the general principles upon which all languages are constructed and operate as systems of communication in the societies in which they are used. The four principles that make linguistics a science are exhaustiveness, consistency, economy and objectivity.

### 1. Main branches of linguistics

Branches of microlinguistics ( 微观语言学分支)

There are at least five branches of linguistics:

- (1) Phonetics( 语音学): It studies speech sounds, including the production of speech, that is how speech sounds are actually made, transmitted and received, the description and classification of speech sounds, words and connected speech, etc.
- (2) Phonology( 音系学): It studies the rules governing the structure, distribution, and sequencing of speech sounds and the shape of syllables.
- (3) Morphology( 形态学): It is concerned with the internal organization of words. It studies the minimal units of meaning—morphemes and word-formation processes.
- (4) Syntax( 句法学): It is the study of the principles of forming and understanding correct English sentences.
- (5) Semantics( 语义学): It examines how meaning is encoded in a language. It is not only concerned with meanings of words as lexical items, but also with levels of language below the word and above it, e. g. meanings of morphemes and sentences.
- (6) Pragmatics( 语用学): It is the study of meaning in context. It deals with particular utterances in particular situations and is especially concerned with the various ways in which many social contexts of language performance can influence interpretation. In other words, pragmatics is concerned with the way language is used to communicate rather than with the way language is internally structured.

Branches of macrolinguistics ( 宏观语言学分支)

Macrolinguistics studies how linguistics is related with other disciplines such as psychology, sociology, ethnography, the science of law and artificial intelligence etc.

- (1) Psycholinguistics( 心理语言学): It investigates the interrelation of language and mind, in processing and producing utterances and in language acquisition for example. In the psycholinguistic study of grammar, the psycholinguistic constraints on the form of grammar are examined. It also studies language development in the child, such as the theories of language acquisition; biological foundations of language; and the relationship between language and cognition.
- (2) Sociolinguistics( 社会语言学): It covers a variety of different interests in language and society, including the social functions of language and the social characteristics of its users. It is

concerned with the characteristics of language varieties, the characteristics of their functions, and the characteristics of their speakers as these three constantly interact and change within a speech community.

- (3) Anthropological linguistics (人类语言学): It investigates the use of the theories and methods of anthropology to study language variation and language use in relation to human cultural patterns and beliefs.
- (4) Computational linguistics (计算机语言学): It centers around the use of computers to process or produce human language.

## 2. Important distinctions in linguistics (语言学的一些重要区别)

The following pairs of distinctions are among the most frequently mentioned in all branches of linguistics, and virtually form the backbone of linguistics.

### (1) Descriptive vs. Prescriptive (描述式和规定式)

The distinction between these two concepts lies in describing how things actually are and how things ought to be. The essence of prescriptivism is the notion that one variety of language has an inherently higher value than others, and that this ought to be imposed on the whole of the speech community. Descriptivism proposes that the task of the grammarian is to describe, not prescribe—to record the facts of linguistic diversity, and not to attempt the impossible tasks of being language police and trying to stop language from changing, or imposing on members of a language community the so-called norms of correctness.

### (2) Synchronic vs. Diachronic (共时和历时)

These are two fundamental and indispensable dimensions of linguistic study Saussure formalized and made explicit: “SYNCHRONIC”, in which languages are treated as self-contained systems of communication at any particular time, and “DIACHRONIC”, in which the changes to which languages are subject in the course of time are treated historically. In other words, the description of a language at some point in time is a synchronic study. The description of a language as it changes through time is a diachronic study.

### (3) *Langue* & *Parole* (语言和言语)

This is a distinction made by Saussure. *LANGUE* refers to the abstract linguistic system shared by all the members of a speech community and *PAROLE* refers to the actualized language, or realization of *langue*. We can compare them along the following dimensions. *Langue* is abstract; *parole* is specific to the situation in which it occurs. *Langue* is not actually spoken by someone; *parole* is always a naturally occurring event. *Langue* is relatively stable and systematic; *parole* is subject to personal and situational constraints.

### (4) Competence and Performance (语言能力和语言运用)

The distinction between competence and performance is discussed by Chomsky in his *Aspects of the Theory of Syntax*. Competence is the ideal language user's underlying knowledge of the rules of his language. Performance refers to the actual use of language in concrete situations.

### (5) Actual and Potential linguistic choice (真实语言选择和可能语言选择)

This distinction is oriented toward the systemic view of language, namely, language is a semiotic system with sets of oppositions and choices. Actual linguistic choice means what a speaker

actually says on a particular occasion to a particular individual is what he has selected from the many possible things he could have said, that is, what speakers did do or did say on any particular occasion.

As to potential linguistic choice, Halliday holds that with language, there is a wide range of things a speaker can do in the culture he is in, that is, what speakers could have done or could have said.

#### (6) Etic vs. Emic (唯素和唯位)

Following the suffix formations of (*phon*)etics vs. (*phon*)emics, this term was introduced into the social science by Swadesh and Pike to denote the distinction between the material and functional study of language. Etic analysis refers to the linguistic units containing “etic” such as phonetic, morphetic, etc, which are used to describe linguistic facts in detail without distinctive features, whereas emic analysis refers to the linguistic units containing “emic” such as phonemic, morphemic, etc, which are used to describe abstract linguistic rules with distinctive features.

#### (7) Formalism vs. Functionalism (形式主义和功能主义)

- A. Formalists (e. g. Chomsky) tend to regard language primarily as a mental phenomenon. Functionalists (e. g. Halliday) tend to regard it primarily as a social phenomenon.
- B. Formalists tend to explain linguistic universals as deriving from a common genetic linguistic inheritance of the human species. Functionalists tend to explain them as deriving from the universality of the uses to which language is put in human societies.
- C. Formalists are inclined to explain children's acquisition of language in terms of a built-in human capacity to learn language. Functionalists are inclined to explain it in terms of the development of the child's communicative needs and abilities in society.
- D. Above all, formalists study language as an autonomous system, whereas functionalists study it in relation to its social function.

#### (8) Speech and Writing (言语和文字)

One general principle of linguistic analysis is the primacy of speech over writing. Speech is considered as the primary medium of language for several reasons. First, speech is prior to writing historically; speech existed long, long before writing systems came into being. Second, genetically, children always learn to speak before they learn to write. Third, the primacy of speech can also be seen in the forms that writing systems use. The written forms represent the individual sounds, such as English and French, which are called alphabetic writing. Some written forms represent syllables such as Japanese, which is called syllabic writing. Others represent individual words like the Chinese writing system, which is called logographic writing.

While writing gives language new scope and uses that speech does not have. First, with writing, messages can be carried through space. Second, with writing, messages can be carried through time. Third, written messages are not subject to distortion. In a word, speech is believed to be more representative of human language than writing.



## ★ 术语盘点

### ❖ 核心术语

1. **Language (语言)**: It is a system of arbitrary vocal symbols used for human communication.
2. **Design features (定义特征)**: Design features refer to the distinctive features of human language that essentially make human language distinguishable from any animal system of communication.
3. **Arbitrariness (任意性)**: It means that there is no logical connection between meaning and sounds.
4. **Duality (二层性)**: The property of having two levels of structures, such that units of the primary level (words) are composed of elements of the secondary level (sounds) and each of the two levels has its own principles of organization.
5. **Creativity/productivity (创造性)**: By creativity we mean language is resourceful because of its duality and its recursiveness. Because of duality the speaker is able to combine the basic linguistic units to form an infinite set of sentences, most of which are never before produced or heard. The recursive nature of language provides a theoretical basis for creating endless sentences.
6. **Displacement (移位性)**: It means that human languages enable their users to symbolize objects, events and concepts which are not present (in time and space) at the moment of communication. In other words, language can refer to contexts removed from the immediate situations of the speaker.
7. **Cultural transmission (文化传递性)**: Language is not genetically transmitted but culturally transmitted from one generation to the next by teaching and learning, rather than by instinct.
8. **Interchangeability (互换性)**: It means that any human being can be both a producer and receiver of messages.
9. **Informational /referential/ideational function (信息功能)**: Language serves an informational function when it is used to tell what the speaker believes, to give information about facts, or to reason things out.
10. **Interpersonal function (人际功能)**: It is the most important sociological use of language, by which people establish and maintain their status in a society.
11. **Performative function (施为功能)**: Language can be used to "do things", to perform actions.
12. **Emotive function (感情功能)**: It is one of the most powerful uses of language because it can change the emotional status of an audience for or against someone or something. The aim is to amuse, startle, anger, soothe, worry or please.
13. **Phatic communion (寒暄交谈)**: It refers to language used for establishing an atmosphere or maintaining social contact rather than for exchanging information or ideas. Greetings, farewells, and comments on the weather serve this function.
14. **Recreational function (娱乐功能)**: It refers to the use of language for the sheer joy of using

it, such as a baby's babbling or a chanter's chanting.

15. **Metalingual function (元语言功能)**: It means language can be used to talk about language.

16. **(General) linguistics (语言学)**: It is usually defined as the science of language or, alternatively, as the scientific study of language.

17. **Descriptive (描述式)**: A linguistic study is descriptive if it describes and analyses facts observed.

18. **Prescriptive (规定式)**: A linguistic study is prescriptive if it tries to lay down rules for "correct" behaviour.

19. **Synchronic (Synchrony) (共时)**: A term introduced by the linguist Saussure which refers to the state of a language as it exists at any given time.

20. **Diachronic (Diachrony) (历时)**: One of a pair of terms (the other is synchrony), introduced by Saussure, which together describe the two basic perspectives for the study of language. Diachrony is concerned with the evolution of language over time.

21. **Langue (语言)**: It refers to the abstract linguistic system shared by all the members of a speech community.

22. **Parole (言语)**: It refers to the actualized language, or realization of langue.

23. **Competence (语言能力)**: It is the ideal language user's underlying knowledge of the rules of his language.

24. **Performance (语言运用)**: It refers to the actual use of language in concrete situations.

25. **Actual linguistic choice (真实语言选择)**: It means what a speaker actually says on a particular occasion to a particular individual is what he has selected from the many possible things he could have said, that is, what speakers did do or did say on any particular occasion.

26. **Potential linguistic choice (可能语言选择)**: Halliday holds that with language, there is a wide range of things a speaker can do in the culture he is in, that is, what speakers could have done or could have said.

27. **Etic analysis (唯素分析)**: It refers to the linguistic units containing "etic" such as phonetic, morphetic, etc, which are used to describe linguistic facts in detail without distinctive features.

28. **Emic analysis (唯位分析)**: It refers to the linguistic units containing "emic" such as phonemic, morphemic, etc, which are used to describe abstract linguistic rules with distinctive features.

## ❖ 一般术语

1. **Theoretical linguistics (理论语言学)**: It studies language and languages with a view to constructing a theory of their structure and functions and without regard to any practical applications that the investigation of language and languages might have.

2. **Applied linguistics (应用语言学)**: It has as its concerns the application of the concepts and findings of linguistics to a variety of practical tasks, including language teaching.

3. **Phonetics (语音学)**: It is the branch of linguistics which studies the characteristics of speech sounds and provides methods for their description, classification and transcription.

4. **Phonology (音系学)**: It is the study of the sound patterns and sound systems of languages. It