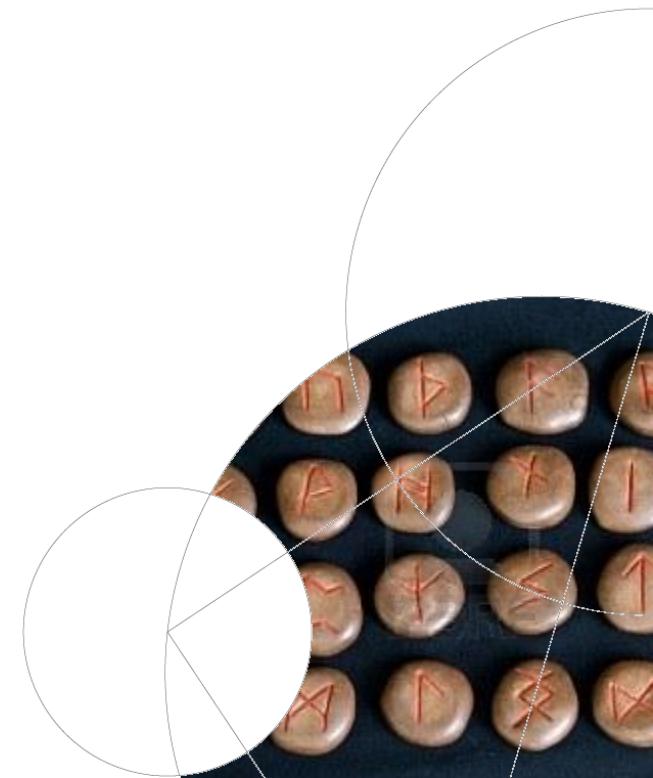




## Faculty of Humanities

# The outcome of PIE \*-ēi(C)♯ and \*-ēu(C)♯ in Germanic

Bjarne Simmelkjær Sandgaard Hansen, Ph.D. fellow  
*Roots of Europe – Language, Culture, and Migrations*  
*Department of Nordic Studies and Linguistics*  
*Faculty of Humanities at the University of Copenhagen*



# Structure of the presentation

- Introduction
- PIE state of affairs
  - Rise of the PIE declension of i- and u-stems
  - Extra-Germanic evidence
- Germanic evidence
  - Previous attempts at a solution
  - A (partly) new working theory: Relevant data and problems
- Conclusion
- References
- Questions and comments from the audience



# Introduction

- **Introduction**
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# Introduction

- Question: What is the Proto-Germanic outcome of PIE  $*-ei(C)\#$ ,  $*-ēi(C)\#$ ,  $*-eu(C)\#$ , and  $*-ēu(C)\#$ ?
- Relevance to Indo-European linguistics
  - Oblique cases of i- and u-stems
  - Unmotivated e- and o-grade forms side by side
  - Importance of Proto-Germanic
- Meillet (1922:79-80):
  - “Le traitement des finales est imparfaitement connu. Les exemples de chaque type de faits sont rares, et l’original indo-européen n’est pas toujours déterminable. On opère avec des formes grammaticales, suspectes par leur nature même d’avoir subi des actions analogiques.”



# PIE state of affairs

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## PIE state of affairs

- Szemerényi (1970:160-165)
  - Type I: Stems in open syllables, subsidiary type (gen.sg. \*-i̥-os, \*-u̥-os)  
Not relevant to these studies
  - Type II: Stems in closed syllables, main type (cf. table below)

	i-stems	u-stems
nom.sg.	-i-s	-u-s
voc.sg.	-i-m	-u-m
gen.sg.	-ei̥-s / -oi̥-s	-ou̥-s / -eu̥-s
dat.sg.	-ei̥-ei̥	-ou̥-ei̥ / -eu̥-ei̥
loc.sg.	-ēi̥	-ōu̥ / -ēu̥
voc.sg.	-ei̥	-ou̥
nom./voc.pl.	-ei̥-es	-ou̥-es / -eu̥-es



## PIE state of affairs

- Szemerényi (1970:160-165)
  - Types already known, cf. e.g. Wackernagel III (1929:138-144)
  - Original distribution: \*-e $\bar{i}$ - and \*-ou $\bar{u}$ - (< \*\*-i $\bar{j}$ - and \*\*-u $\bar{u}$ -)
  - Subsequent mutual analogical influence → \*-o $\bar{i}$ - and \*-eu $\bar{u}$ -
  - Loc.sg.: \*-ēi $\bar{i}$  < \*-e $\bar{i}$ -i; \*-ōu $\bar{u}$  < \*-ou $\bar{u}$ -i
- Rasmussen (1996:137-141)
  - Underlying full-grade in the suffixes, i.e. \*-e $\bar{i}$ - and \*-eu $\bar{u}$ -
  - Pre-PIE could not have stems ending in three or more consonants →
    - Reduction of underlying stem /-e $\bar{i}$ / and /-eu $\bar{u}$ / to \*-i $\bar{j}$ - and \*-u $\bar{u}$ - only where possible, i.e. with roots ending in no more than one consonant
    - Retention of full-grade in suffix with roots ending in two consonants in order to avoid stems ending in three consonants, i.e. \*ment-e $\bar{i}$ - rather than \*\*ment-i $\bar{j}$ .
  - Problem: Why o-grade forms?



## PIE state of affairs

- Superficial o-grade forms
  - Baltic (e.g. Lith. *-aūs*, *-aū* (U-voc.sg.), *-aus/-ous* (U-nom.pl., dialectal))
  - Slavic (e.g. OCS *-ovi*, *-ove* (U-nom.pl.))
  - Italic (e.g. OLat. *-ovs*, Umbr. *Trifo*, Lat. *-uei* > *-ui*)
  - Celtic (e.g. Gaul. *-ou*, *Lugoves* (U-nom.pl.), OIr. *-o*)
  - Germanic (e.g. Goth. *-ais*, *-aus*, *-ai*, *-au*, OE *-a* (U-nom.pl.))
  - Indo-Iranian: Ambiguous in most regards (however e.g. Skt. *-ave* < PIE *\*-euēi* and not *\*\*-ouēi*)
- Have all been accounted for by other scholars, e.g.
  - Stang (1966:73-75, 215-216) for Baltic (and Slavic): BSl. *\*-au(-)* < PIE *\*-eu(-)/\*-au(-)/\*-ou(-)*, sometimes palatalisation from PIE *\*-eu̯(-)*. Maybe problems with Žemaitic/High Latv. *-ou/-ū* < *\*-uo* < PIE *\*-ōu?*
  - Sihler (1995:40) and Buck (1904:46) for Italic: PIE *\*eu* > *ou* (cf. e.g. PIE *\*neuōs* > Lat. *novus*)
  - Thurneysen (1975:39-40, 122) about Celtic: *\*eu* > *ou* (> ó in stressed syllables in Old Irish)
  - Germanic...?



# Germanic evidence

- Introduction
- PIE state of affairs
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  - Extra-Germanic evidence
- **Germanic evidence**
  - **Previous attempts at a solution**
  - **A (partly) new working theory: Relevant data and problems**
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## Germanic evidence

- Previous attempts at a solution
  - Bazell (1937:1-4), following and elaborating on Streitberg (1896:245-246):
    - PIE \*-ēi > PGm. \*-ai/-æ? (coexisting with PGm. \*-ī < PIE \*-eij ??)
    - PIE \*-ēu > PGm. \*-au
  - Standard explanation, e.g. Brugmann II/2 (1911:135, 156, 175-177, 215) and Krahe I (1966:133-134), II (1967:30-33):
    - PIE \*-ōis > Goth. -ais (I-gen.sg.)
    - PIE \*-ēi > Goth. -ai, WGm. \*-i (I-dat.sg.)
    - PIE \*-ōus > Goth. -aus, ON -ar, OE -a, OS -o, OHG -ō (U-gen.sg.)
    - PIE \*-ēu > Goth. -au, RN -iu, OHG -iu (U-dat.sg.)
    - PIE \*-ōu > OE -a, OS -o (U-dat.sg.) (only Krahe, cf. also Szemerényi (1970:162))
    - PIE \*-ou > Goth. -au (U-voc.sg.)
    - PIE \*-eues > Goth. -jus, ON -er, OS -i, OHG -i (U-nom.pl.)
    - PIE \*-oues > OE -a (U-nom.pl.) (only Krahe, cf. also Szemerényi (1970:162))
    - Differentiation between acute and circumflex vowels and diphthongs



## Germanic evidence

- Previous attempts at a solution
  - Boutkan (1995:83-89, 236-257):
    - Following more or less the standard explanation
    - Exception no. 1: No difference between acute and circumflex vowels and diphthongs (of minor relevance)
    - Exception no. 2: Development PIE \*-ē̄i > PGm. \*-ǣi which accounts for both Goth. -ai and WGM. \*-i (following Kortlandt (1990:6))
    - Exception no. 3: Only U-dat.sg. PIE \*-ē̄u > PGm. \*-ǣu accounting for both the high and the low reflexes
    - Exception no. 4: OE -a < Pgm. \*-ewiz (not \*\*-iwiz) < PIE \*-eues (elaborating on and refining an idea by Bazell (1937:4))
  - Rasmussen (1996:137<sup>1</sup>):
    - No reason to posit PIE \*-ous > PGm. \*-auz.
    - Equally possible to posit PIE \*-eus > PGm. \*-auz (no counterexample)
    - Goth. I-gen.sg. -ais analogical from the u-stems



## Germanic evidence

- Disadvantages with the previous explanations
  - Retention of the undesirable o-grade forms
  - Counterintuitive phonological developments
  - Excessive use of analogy
- Any new attempt should...
  - try to avoid these disadvantages,
  - and – if possible – make as few adjustments to the generally accepted picture as possible
- Working hypothesis
  - PIE \*-e $\bar{i}$ (C) # > PGm. \*-ai(C) #
  - PIE \*-e $\bar{i}$ (C) # > PGm. \*-ei(C) # > \*-i(C) #
  - PIE \*-eu(C) # > PGm. \*-au(C) #
  - PIE \*-e $\bar{u}$ (C) # > PGm. \*-eu(C) # > \*-iu(C) #



## Germanic evidence

- The relevant i-stem endings according to the working hypothesis

	<b>PIE</b>	<b>PGm.</b>	<b>Goth.</b>	<b>RN/ON</b>	<b>OE</b>	<b>OS</b>	<b>OHG</b>
gen.sg.	-eis	-aiz	-ais	-er	-æ/-e = dat.	= dat.	= dat.
dat.sg.	-eiei	-ai	-ai D?	-ai D? -e D?	-æ/-e D?		
loc.sg.	-ēi	*-ei > -ī			-i D	-i D	-i D
	-ei ?	-ai	-ai D?	-ai D? -e D?	-æ/-e D?		



## Germanic evidence

- The relevant u-stem endings according to the working hypothesis

	<b>PIE</b>	<b>PGm.</b>	<b>Goth.</b>	<b>RN/ON</b>	<b>OE</b>	<b>OS</b>	<b>OHG</b>
gen.sg.	-eus̥	-auz	-aus	<b>-oR</b> -ar	-a	-o	-ō
dat.sg.	-euei̥	-au	-au D?	<b>-o</b> D? <b>-au</b> D?	-a/-o/ -u D?	-o/-u D?	
loc.sg.	-ēu̥	*-eu > -iu		<b>-iu</b> D -e D			-iu/-i D
	-eu̥ ?	-au	-au D?	<b>-o</b> D? <b>-au</b> D?	-a/-o/ -u D?	-o/-u D?	
voc.sg.	-u	-u	-u	= nom.	= nom.	= nom.	= nom.
	-eu̥	-au	-au				
nom.pl.	-eues	-ewiz	-jus	-er	-a	-i	-i



## Germanic evidence

- Alternative endings arisen from interparadigmatic analogy
  - Goth.: Masculine i-stems in the singular in general ( $\leftarrow$  o-stems), i.e. gen.sg. *-ai*, dat.sg. *-a*, voc.sg.  $\emptyset$
  - ON: I-gen.sg. *-s* ( $\leftarrow$  o-stems), *-ar* ( $\leftarrow$   $\bar{a}$ - and/or u-stems); I-dat.sg.  $\emptyset$  ( $\leftarrow$   $\bar{a}$ -stems), *-o* ( $\leftarrow$   $\bar{a}$ -stems; subsidiary ending); U-gen.sg. *-s* ( $\leftarrow$  o-stems), U-dat.sg.  $\emptyset$  ( $\leftarrow$  U-acc.sg.)
  - OE: I-gen.sg. *-is*, *-es* ( $\leftarrow$  o-stems); I-dat.sg.  $\emptyset$  (only Northumbrian,  $\leftarrow$  old I-instr.sg.  $*-\bar{i}$  or C-instr.sg.  $*-i?$ ); U-gen.sg. *-es* ( $\leftarrow$  o-stems), *-e* ( $\leftarrow$   $\bar{a}$ -stems),  $\emptyset$  (with heavy roots; possibly analogy from the corresponding dative); U-dat.sg. *-e* ( $\leftarrow$  o- or  $\bar{a}$ -stems),  $\emptyset$  (with heavy roots; possibly U-instr.sg. used as a dative)
  - OS: I-gen.sg.  $\emptyset$  ( $\leftarrow$  C-stems), *-(i)æs* ( $\leftarrow$  io-stems); I-dat.sg.  $\emptyset$  ( $\leftarrow$  C-stems), *-(i)æ* ( $\leftarrow$  io-stems), *-iu* ( $\leftarrow$  i $\bar{a}$ -stems); U-gen.sg. *-æs* ( $\leftarrow$  o-stems), *-(i)æs* ( $\leftarrow$  io-stems); U-dat.sg. *-æ* ( $\leftarrow$  o-stems), *-(i)æ* ( $\leftarrow$  io-stems), *-i* ( $\leftarrow$  i-stems),  $\emptyset$  (with heavy roots; possibly U-instr.sg. used as a dative)
  - OHG: I-gen.sg. *-es* ( $\leftarrow$  o-stems),  $\emptyset$  ( $\leftarrow$  C-stems); I-dat.sg. *-e* ( $\leftarrow$  a-stems),  $\emptyset$  ( $\leftarrow$  C-stems); U-gen.sg. *-es* ( $\leftarrow$  o-stems); U-dat.sg. *-e* ( $\leftarrow$  o-stems),  $\emptyset$  (only in *hant*; possibly U-instr.sg. used as a dative)



## Germanic evidence

- Other diphthongal endings I (not relevant)

	<b>PIE</b>	<b>PGm.</b>	<b>Goth.</b>	<b>RN/ON</b>	<b>OE</b>	<b>OS</b>	<b>OHG</b>
o-stems dat.sg.	-ōi̯	-ai		-ai/-e -e	-æ/-e	-æ	-e
o-stems loc.sg.	-oi̯	-æ ?	-a	-i -e	-e	-æ	-e
o-stems nom.du.	-ō(u)	-au	-au	-a	-a	-o	-o
o-stems nom.pl. (str.adj.)	-oi̯	-ai ?	-ai	-e-z -e-r	-e	-æ	-e
ā-stems dat.sg.	-eh₂ei̯	-ai	-ai		-æ/-e	-æ	



## Germanic evidence

- Other diphthongal endings II (not relevant)

	<b>PIE</b>	<b>PGrm.</b>	<b>Goth.</b>	<b>RN/ON</b>	<b>OE</b>	<b>OS</b>	<b>OHG</b>
ipv.3.sg.	-etu	-adau	-adau				
ipv.3.pl.	-ontu	-andau	-andau				
opt.1.sg.	-oim̥	-ai <sup>N</sup>	(-au)	(-a)	-e	-æ	-e
opt.2.sg.	-ois̥	-aiz	-ais	-er	-e	(-æs)	(-ēs)
opt.3.sg.	-oit̥	-ai(b)	-ai	-e	-e	-æ	-e
opt.3.pl.	-oint̥	-ain	-ain-a	-e	-en	-æn	-ēn
pass.	--oi̥	--æ ?	--a	<b>-e</b> -e	-e		
opt. pass.	?	--au ?	--au				



## Germanic evidence

- Problem no. 1a: I-gen.sg. RN *-īz*
  - RN *ekgudijaungandiz...* (Nordhuglo stone, Norway, 425 AD)
  - Standard interpretation reflected by Antonsen (1975:47): "I, the priest of Ungandiz", i.e. I-gen.sg. RN *-īz* < PGm. \*-eis
  - Problem to this working theory: PGm. \*-eiz < PIE \*\*-ē̥is (hardly likely!)
  - Alternative – and preferable – interpretation by Boutkan (1995:245): "I, the priest Ungandijaz", i.e. IO-nom.sg. RN *-īz* < PGm. \*-ijaz
- Problem no. 1b: I-gen.sg. with high reflexes in West Germanic
  - Solution: Analogy from I-dat.sg. (paralleled by the ā-stems)
  - Alternative interpretation by Boutkan (1995:245), following Kortlandt (1990:6): PGm. \*-aiz > pre-WGm. \*-æiz > WGm. \*-ī
  - Consequence of Boutkan's interpretation: I-gen.sg. OE -æ/-e analogical from ā-stems and not direct development from PGm. \*-aiz



## Germanic evidence

- Problem no. 2: U-nom.pl. OE *-a*
  - Not a contradiction to the working hypothesis, but problematic for the elimination of o-grade forms in PIE i- and u-stem inflectional morphemes
  - Traditional explanation: PIE \*-ou̯es > OE *-a*
  - Alternative explanation no. 1: Analogy from the nom.pl. of other stems, e.g. ō-stems (West Saxon and Late Kentish *-a*) or a-stems (if one could operate with otherwise unattested O-nom.pl. OE \*-a < PGm. \*-ōz; the regular O-nom.pl. is OE *-as* < PGm. \*-ōs)
    - Problem: Rather PGm. \*-ōs-iž (> Goth. *-ōs*, OE *-as/-æs*, OS *-ås*) vs. PGm. \*-ōz-iž (> Goth. *-ōs*, ON *-ar*, OFris. *-ar* (especially in the area around Emsigoland)), seeing that OHG *-ā/-a* may be explained as the acc.pl. form. → No actual foundation (PGm. \*-ōz) for the analogy.
  - Alternative explanation no. 2: Continuation of the old O-nom.du. ending PGm. \*-au < PIE \*-ō(u) after traditionally expected PGm. \*-iwiz > pre-OE \*-ju > OE *-Øi* (geminating effect of Umlaut-causing \*-j-; subsequent loss of *-u* after heavy syllables, e.g. pre-OE \*sunju > OE \*synn 'sons'), cf. Bammesberger (1985:366-370)
  - Alternative explanation no. 3: Phonological development PIE \*-eu̯es > PGm. \*-ewiz > WGm. \*-ew [vel sim.] > OE *-a*, cf. Boutkan (1995:83-89)



## Germanic evidence

- Problem no. 3: Assumption of I-loc.sg. PIE \*-e<sub>i</sub> and U-loc.sg. \*-e<sub>u</sub>
  - Actually attested in Indo-Iranian, cf. Brugmann II/2 (1911:176-177), e.g. Av. *mrū̑te* 'to say', Skt. *vásto* 'by illumination' (infrequent ending), OPers. *gāvav-ā* 'on the square' etc.
  - Easier alternative: I-dat.sg. PIE \*-e<sub>i</sub> ( $\leftarrow$  PIE \*-e<sub>i</sub>-e<sub>i</sub> through haplology) is possible for e.g. Lat. -ī, Osc. -eí, cf. Brugmann II/2 (1911:170-171)
  - Thus perhaps U-dat.sg. \*-e<sub>u</sub> through analogy with i-stems
- Problem no. 4: Different outcomes of PIE \*-o<sub>i</sub> in Gothic
  - Of no or only minor relevance to the present working hypothesis
  - Solution by Boutkan (1995:468):
    - PGm. \*-aiC# > Goth. -aiC#
    - PGm. \*-ai# > Goth. -a#
    - Exception: Oadj.-nom.pl. Goth. -ai < PGm. \*-o<sub>i</sub> (analogically restored from e.g. demonstrative pronouns like Goth. *þai* 'they')



## Germanic evidence

- Problem no. 5: Gothic interchange between *au* and *u* in u-stems
  - Of no or only minor relevance to the present working hypothesis
  - Relevant forms: nom.sg. *sunus/sunaus*, acc.sg. *handu/handau*, gen.sg. *sunaus/sunus*, dat.sg. *sunau/sunu*, voc.sg. *sunu/sunau*
  - Solution by Braune-Ebbinghaus (1973:71):
    - Especially in the Gospel of Luke, and in the Cod.Ambr. A and B
    - Restricted to the singular of u-stems, i.e. analogical
    - In all cases except voc.sg., we almost only find the expected reflexes
    - U-voc.sg. in *-au*: 7x *sunau*, 1x *magau*
    - U-voc.sg. in *-u*: 1x *sunu*, 1x *daubu*, 7x Greek names (← Greek voc.sg. *-u*)
  - → nom.sg. *-us*, acc.sg. *-u*, gen.sg. *-aus*, dat.sg. *-au*, voc.sg. *-au*



## Germanic evidence

- Problem no. 6: Enigmatic Gothic verb forms in *-au*
  - Imperative 3.sg./pl.
    - Relevant forms: ipv.3.sg. *-adau*, ipv.3.pl. *-andau*
    - Different inter- and intraparadigmatic analogies are complicated at best... and probably quite unlikely
    - Explanation by Boutkan (1995:326-327, 355-356): Combination of PIE \*-etōd (fut.ipv.) and PIE \*-(n)tu (ipv.3.sg./pl.)
  - Optative passive
    - Relevant forms: opt.1.sg.pass. *-aidau*, opt.2.sg.pass. *-aizau*, opt.3.sg.pass. *-aidau*, opt.pl.pass. *-aindau*
    - Remains enigmatic
    - Some kind of analogical influence from the opt.1.sg. (Goth. *-au*) and/or from the passive (Goth. *-a* < pre-Goth./PGm. \*-ai) is definitely needed



# Conclusion

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# Conclusion

	<b>PIE</b>	<b>PGm.</b>	<b>Goth.</b>	<b>RN/ON</b>	<b>OE</b>	<b>OS</b>	<b>OHG</b>
e-grade diphth.	-e <sup>i</sup> <sub>~</sub>	-ai	-ai	<b>-ai</b> -> -e	-æ > -e		
	-eu <sub>~</sub>	-au	-au	<b>-au/-o</b> -> -a	-a > -o/u	-o/u	-ō
	-ēi <sub>~</sub>	*-ei -> -ī			-i	-i	-i
	-ēu <sub>~</sub>	*-eu -> -iu		<b>-iu</b> -> -e			-iu > -i
o-grade diphth.	-oi <sub>~</sub>	-aiC#	-ai	<b>-ai/-e</b> -> e	-e	-æ	-ē
		-æ# ?	-a				-e
	-ou <sub>~</sub>	?					
	-ōi <sub>~</sub>	-ai	-ai	<b>-e</b> -> -e	-æ > -e	-æ	-e
	-ōu <sub>~</sub>	-au	-au	-a	-a	-o	-o



## Conclusion

- Advantages compared to the standard view(s)
  - Elimination of o-grade in the i- and u-stem suffixes
  - Explanation by phonological development rather than analogy (albeit with the exception of I-gen.sg. WGm. \*-ī > OE -i, OS -i, OHG -i)
  - Parallel development of i- and u-diphthongs with front vowels
  - No need for positing unparallel developments for PIE \*-oi# and \*-ou# as by Boutkan (1995:255) (no examples of PIE \*-ou# seeing that U-voc.sg. Goth. -au < PIE \*-eu)
- Disadvantages compared to the standard view(s)
  - Problems... but they may be accounted for, cf. above
  - Seemingly different outcome of PIE \*-oi > PGm. \*-ai (\*-aiC# / \*-æ# ?) and PIE \*-ei > PGm. \*-ai (\*-aiC# / \*-ai# ?)
    - → Shortening of PGm. \*-ai# (< PIE \*-oi) > \*-æ# prior to development of PIE \*-ei > PGm. \*-ai ???



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## Questions and comments from the audience

- Introduction
- PIE state of affairs
  - Rise of the PIE declension of i- and u-stems
  - Extra-Germanic evidence
- Germanic evidence
  - Previous attempts at a solution
  - A (partly) new working theory: Relevant data and problems
- Conclusion
- References
- **Questions and comments from the audience**



## Questions and comments from the audience

