# The use of the dative case particle '*ni*' in Japanese literature – a comparison of Kawabata and Ōe

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**Abstract**

This thesis investigates the usage of the Japanese dative particle *ni* in two famous, Nobel-prize winner Japanese authors' novels: Yasunari Kawabata's *Yukiguni* and Kenzaburō Ōe's *Kojinteki Na Taiken,* with the classification framework presented in Mizutani (2005). *Ni* is said to be one of the most complex and hardly definable particles in the Japanese language, and as such has been studied from various perspectives. The present study adds yet another perspective, namely how this particle is used in Japanese literature, and to analyze whether the classification for *ni* in Mizutani (2005) is adequate in order to classify the various usages of *ni* appearing in it. In this thesis, all appearing *ni* were observed and a classification of them was attempted. The results showed that the most favorable function of the particle was to express *goal* in the case of both authors, most often structures including "*ni naru*" – "to become" –, followed by phrases expressing *time* in Kawabata's case, and phrases expressing *direction* and *time* in Ōe's case. The framework was deemed adequate in the sense that all categories in the classification appeared in the two novels. However, a considerable amount of *ni* could not be classified with the framework as basis. These expressions were analyzed and discussed with the help of previous research, most prominently Hansen (2005) and Sadakane/Koizumi (1995).

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## 1. Introduction

The Japanese language has a rich system of so called "grammatical particles", which express direction, emotion and object, et cetera. These particles have the same role as conjunctions or prepositions have in English, and are utilized frequently in both spoken and written Japanese. Among these particles, the most fascinating and oftentimes used ones are the so called "case particles", which indicate grammatical cases, such as subject-predicate-object relations. Due to their frequent occurrence in everyday language, it was deemed most interesting to examine precisely these case particles and their alleged functions. The author's desire to thoroughly investigate how cases and case particles function and are regarded was the main trigger for this research. Since the author is profoundly interested and versed in the linguistic cases of the Japanese language, it seemed appropriate to analyze the Japanese language from a linguistic point of view, mainly by canvassing the possible case relations that can be observed in it.

Since the spectrum of case particles is rather wide, it would require time and quantities of pages to fill to exhaustively investigate the usage of case particles that can be found in the Japanese language. Therefore, it was considered most advantageous to focus on only one, or a few particles instead of treating all of them. The author decided to concentrate on the particle *ni* for two reasons: pro primo, the particle *ni* has the widest range of usage. It can be applied in various situations to express a huge array of grammatical relations. Pro secundo – which is a natural consequence of pro primo – the function of *ni* is the most ambiguous of all the case particles and thus can be debated most easily.

In order to provide a relevant research context, it has been deemed most adequate to apply this research on material where the living Japanese language can be observed, namely Japanese literature. In the present paper the usage of the particle *ni* will be examined in two acknowledged Japanese authors' novels: Kenzaburō Ōe's *Kojinteki Na Taiken* and Yasunari Kawabata's *Yukiguni*, and be classified with the Japanese linguistic lexicon, Mizutani (2005:105) as base.

## 2. Previous research

Tons of research has been conducted regarding Japanese grammatical cases and case particles – a considerable part of it examines precisely the particle *ni*. Some of them deal with the function and the rules behind the case particles in Japanese sentences, others analyze the translation and prediction of case particles from Japanese to English, and vice versa. Most commonly, the particle *ni* is classified as a dative particle or a postposition, depending on the context in which it appears. However, classifications where the pragmatic function of the

particle is defined are usual as well, mainly focusing on aspects such as expressing goal, time and direction. The previous research that will be the most frequently referred to in this paper are the following:

Hansen (2006) is an in-depth study of the dative particle *ni* from a Cognitive Grammar and Construction Grammar-perspective. It argues that the particle has two main functions: to express goal and location, and any other eventual usage forms are extensions of these two functions. She discusses these extensions, namely constructions where *ni* expresses purpose, change of state, conceptual goals and cause. Furthermore, she analyzes the receiving-giving function, along with the causative and passive function of *ni*.

Mizutani (2005) is a linguistic dictionary published mainly for educational purposes, and divides the particle *ni* into eight categories. Furthermore, it explains the variations in the usage of the particle, and compares it to that of other particles. Although numerous authors have contributed to this encyclopedia, to avoid misunderstandings this work will be referred to as "Mizutani (2005)", named after Osamu Mizutani, who was the head of the editorial committee.

Sadakane/Koizumi (1995) has its basis in previous works analyzing the dative particle, Kuroda (1965) and Miyagawa (1989). It examines the particle *ni* in different contexts, and divides it into four major groups: dative case marker, preposition, copula and the *ni of insertion*. The focal point is to analyze and determine how one can distinguish whether *ni* is a case marker or a preposition in a certain context. Beside the four main categories, 31 classes of usage of the particle *ni* are proposed, with Martin (1975) as basis.

Iwasaki (2006) is a more general study on the Japanese language, focusing on the structure of various types of sentences and clauses. An introduction to the usage of *ni*, accompanied by a simple classification of the particle is included. According to this work, the main functions of *ni* are mainly used in three different constructions: with verbs of giving, with verbs of placement, and to express the movement toward a real or an abstract goal (p 112).

### 3.1 Presentation of problems

While previous research investigating the particle *ni* already exists, as it is evident from section 2, various ways of classification are possible, and there is no consensus on the exact definition of the particle. For this reason, further research examining the usage of *ni* is considered necessary in order to explain and define its role. By applying one of the classifications previously established as framework – Mizutani (2005:105) in the present paper – one could investigate and evaluate the validity and coherence of these previous studies.

Furthermore, hitherto studies where the theories formulated by linguists regarding the particle *ni* have been applied to Japanese literature, have been relatively scarce. By examining two prominent Japanese authors' works, the author of this paper suggests that one could shed light on how the particle is applied in actual, practical Japanese. By doing so, the coherence of previously existing theories regarding the usage of *ni* could be proved, and thus the research conducted about this particle could be elaborated and developed furthermore.

### 3.2 Purpose and research questions

The purpose of this research is to investigate the appearance frequency and popular functions of the particle *ni* in Japanese literature, and to examine to what extent the categorization of the so-called dative particle '*ni*' in Japanese found in Mizutani (2005) is valid in explaining the variation found in Japanese literature.

The following two research questions are set as more concrete goals:

1. Do the two authors, Kawabata and Ōe differ in the use of the dative particle '*ni*' in

type and frequency? Both are Nobel Prize winners but known to have very different

styles.

**2.** Mizutani (2005) is primarily meant for teaching or learning Japanese as second language. Is the description of '*ni*' presented there adequate in accounting for the observed variation found in the literary texts? If not, what are the inadequacies and how can such shortcomings be complemented?

### 4. Theoretical framework

The basic theoretical framework applied for the examination of '*ni*' in the present paper is presented by Mizutani (2005:105), which reflects the traditional Japanese grammar. In addition, other studies that are based on non-traditional Japanese grammar such as Hansen (2009) and Sadakane/Koizumi (1995) will also be used for discussion.

In this section the classification of "*ni*" provided by Mizutani (2005) will be presented in a table with accompanying examples. Thereafter, a thorough explanation for each and every category will be given.

The vast majority of researchers agree that the most common feature of the particle *ni* is to express goal and location, including Hansen (2004:1). However, the spectrum of possible ways of application for *ni* is considerably wider than solely these two aspects. In fact, in many cases its meaning and role in the sentence tends to be ambiguous. Table 1 presents the summary of Mizutani's classification of the dative particle '*ni*' in Japanese.  In this regard, Mizutani (2005) provides a clear-cut classification chart, where *ni* is divided into eight groups, based on the function of the particle. They are as follows, with fitting model

sentences. English terminology and translation are of my own.

Table 1 – Classification of the particle ”*ni*” according to Mizutani (2005:105)

| Class | Example |
|---|---|
| 1. Location | a.) 机の上にある‐'(Something) is on top of the desk'<br>b.)大阪に住む‐'To live in Osaka' |
| 2. Goal | a.) 美術館に行く‐'To go to the arts museum'<br>b.) ゴミ箱に捨てる‐'To throw into a trashcan'<br>c.) 大人になる‐'To become an adult' |
| 3. Partner | a.) 友達に会う‐'To meet a friend'<br>b.) 先生にもらう‐'To receive something from a teacher'<br>c.) 母に相談する‐'To discuss with mom' |
| 4. Receiver | a.) 私にはわかる‐'(Something) is understandable for me'<br>b.) 子供には難しい‐'Difficult for children' |
| 5. Cause | a.) 大きな音に驚く‐'To be surprised by a loud sound'<br>b.) 寒さに震える‐'Shake due to the cold' |
| 6. Direction | a.) 東京に向かう‐'To turn towards Tokyo'<br>b.) 南北に長い‐'[Place] stretches towards both south and north' |
| 7. Purpose | a.)見物に行く‐'To go sightseeing' |
| 8. Time | a.) 午前10時に開店する‐'To open the store at 10 AM' |

Henceforth, the tables with their respective examples will be referred to in the following manner: "Table X:ZY", where X equals the number of the table, Z the section in it and Y the model sentence. For instance the very first sentence in the graph above will from this point be called Table 1:1A.

In order to avoid misunderstandings, the classes listed in the left row will from now on be written with capital letters. For instance group 1, will be referred to as LOCATION, group 2 as ”GOAL” et cetera.

As it is evident from the examples stated, albeit some categories are more clearly specified and explained with multiple model sentences, others have but one model sentence assigned. For instance, while GOAL and PARTNER have as many as three examples assigned, PURPOSE and TIME have merely one model sentence. Furthermore, some categories have a wider spectrum of application than others. GOAL is the most obvious example, which is characterized by diversity – this is explained below in this paper.

LOCATION exemplifies expressions related to location, or more specifically ”*the place of the existence of something*”. (Mizutani (2005:99)) Thus sentences where ”*ni*” is linked to words such as the basic existence verbs ”ある”(see Table 1:1A) and ”いる”‐ both meaning "to be", the former for inanimate objects, the latter for animate objects – or verbs indicating the location of an object for a longer period of time, e.g. ”住む”‐"to live in" – (see Table

1:1B), could be regarded as examples for this category. The focal point is on a state or the presence of something at a certain location, rather than on the movement or direction of an action – which group number 2 represents.

GOAL can be seen as an expressor of someone or something being transferred from one point to another. The validity of this explanation can be verified by examining the original work, in which Mizutani (2005) labeled this group as "着点", literally meaning "arrival point", hinting at the goal or destination of an object or persona. However, as mentioned above, among the existing groups, this very one could be regarded as the most diverse and thus possessing the widest array of possible meanings, as it can be seen in the model sentences: while Table 1:2A expresses the destination of movement of the subject, Table 1:2B expresses the destination or goal of an action resulting in the movement of an object. By supplementing the existing examples with subjects, the validity of this statement can be verified:

**i)** (太郎が)美術館に行く

'Tarō goes to the arts museum.'

**ii)** (太郎が紙を)ゴミ箱に捨てる

'Tarō throws paper into the garbage can.'

As it is evident, in (i), the component moving from one point to another is the subject, namely "太郎" – "Tarō". However, in the case of (ii), it is not the subject that is transferred from one point to another, but the object: "紙" – "paper" – in this case.

The final example, Table 1:2C expresses the phase or state into which something proceeds; in this case no actual movement is included what so ever – neither by the subject nor a possible object –, but it is the quality of the subject that undergoes transformation.

Although the main concept for all three examples could be regarded as the "the movement from one point to another", their meaning and manner of application clearly differs.

PARTNER is related to clauses expressing interaction with a second party. Originally, this category is labeled as "相手", roughly meaning companion or partner, indicating the existence of a second participant related to the subject. The examples provided have the basic structure of [(X)*ni*(verb)], where X is defined as the partner toward whom the action – the verb – is conducted, e.g. Table 1:3A and Table 1:3C. Table 1:3B is slightly different in the sense that it is the subject that is being effected by the partner's action, namely "receiving something", rather than the opposite.

RECEIVER contains sentences where a phenomenon is related to how the subject

perceives it. The above examples include the verb ”分かる”(Table 1:4A) – meaning “to understand” –, and the adjective ”難しい”(Table 1:4B) – meaning “difficult” –, both explaining in what manner the subject senses and comprehends an object. It should be noted that in both sentences the particle *ni* is accompanied by the topic-marker “*ha*”, possibly implying that phrases that may be associated with this category most commonly include both particles. However, the possibility of RECEIVER-related sentences with no topic-marker present shall not be excluded. Since the contents and definition of this class were deemed as hard to grasp, an explanation in English is supplemented.

In the English translation, the basic construction of this function could be charted through the following formula:

| (Object) | [verb] | (adjective) | for/to | (subject). |
|---|---|---|---|---|
| It | is | difficult | for | children. |

As it is evident from the second example sentence, Table 1:4B fits into this construction perfectly.

CAUSE serves to explain the cause or the trigger for an action or phenomenon. Structurally, it could be regarded as a sentence where ”something happens by or due to something”(see Table 1:5A, respectively Table 1:5B). It must be pointed out, that while the English translation of this function can oftentimes be expressed by the application of the passive tense, the original Japanese conjugation of the verb doesn't necessary have to take this form. For instance, although the first example of the English translation reads ”surprised (by something)”, ergo the passive voice is applied, the Japanese verb is only conjugated into its past tense.

DIRECTION is essentially intended to explain the *direction* of an action or phenomenon. While the first example is relatively easily graspable: ”東京に向かう”, meaning “someone turns toward, or moves toward Tokyo”, the translation of the second example poses a greater issue. While no verb is present, in this case ”に長い” ‐ meaning “long in...”, if translated literally – indicates the direction into which something stretches or goes. Albeit this function can be regarded as relatively close to the first group, namely LOCATION, it serves to exemplify the direction to where the boundary for something goes, rather than explaining the location of its existence.

PURPOSE expresses the purpose – and in a certain sense, the goal – of an action. The model sentence provided explains ”what somebody goes to do”, or ”why somebody goes somewhere,” thus focusing on the goal or purpose of the movement.

TIME is intended to answer the question ”when something takes place”, – ergo the focal

point is on the occurrence time of an action or an event. Although the example provided is restricted to exact time expressions, where the precise time can be measured: in this case "10 o'clock", it can by hypothesized that other, not necessarily punctual time expressions may belong to this group.

## 5. Analysis

### 5.1 Material

The primary sources used in this paper are Yasunari Kawabata's *Yukiguni* and Kenzaburō Ōe's *Kojinteki Na Taiken*. The former was first published in 1948, revolving around the relationship between a geisha from the countryside and a dilettante from Tokyo. The latter one was written in 1964, describing the struggles of a man called "Bird", and his mentally disabled son.

However, due to time and space restrictions, only the first 50 pages of these two books will be examined. Since these 50 pages per author were deemed as sufficient in order to examine the validity of the framework, this space restriction seemed plausible.

Both authors have received the Nobel-prize, and are thus recognized as famous worldwide. Though being awarded the Nobel-prize is a common feature linking these two authors together, other similarities seem to be almost non-existent: while Kawabata's artistic style is rather fictitious with various abstract dream-like elements, Ōe's way of writing is often semi-autobiographical, tending towards the non-fictional school. Due to this diversity in literary style, the comparison of these two authors could prove to be intriguing and differences in their usage of the particle *ni* could be expected.

### 5.2 Method

To examine the application of *ni* in the above-mentioned works, firstly notes will be taken of all appearances. The appearance frequency of the particle will be investigated and lists or tables will be made of the discoveries, with accompanying sample sentences. The various types of *ni* will then be divided into categories depending on their role, with the classification provided by Mizutani (2005:105) as basis. Thenceforth, the expressions including the particle will be analyzed and compared between the two authors. Any differences or palpable peculiarities in the usage of the particle – first simply by looking at one author at a time, and then comparing the two of them – will be analyzed and their cause will be debated. Furthermore, the coherence of the categorization in Mizutani (2005) will be examined and discussed, and if any issues occur, their cause will be investigated, and a solution will be suggested.

### 5.3 Results

#### 5.3.1 Comparison of model sentences

In the following two tables, an attempt will be made to recreate the original chart, Table 1 based on the framework of Mizutani (2005:105), by presenting example sentences from the primary material, similar to the ones found in Table 1. The results shown display whether examples similar to the model sentences in Table 1 could be found, and thus confirm whether the classes and sentences in the framework are plausible and well-formulated. In case nearly identical sentences could not be observed, phrases as similar as possible were chosen for these charts. However, if similar expressions were absent, frequently recurring phrases suitable for the category in question are listed instead.

Table 2: Model sentences matching the framework

| Class | Kawabata | Ōe |
|---|---|---|
| 1. Location | a.)[...]家にいる[...]<br>'Being home'<br>b.)ここに住んでいる[...]<br>'Living here' | a.)そこには疾走するイボ猪の図がある<br>'There is an illustration of a dashing warthog over there.'<br>b.)一階に住む家主の老婦人が。。。<br> '[…] The landlady living on the second floor...' |
| 2. Destination | a.) 一人で湯に行こうとすると[...]<br>'When he was about to go to the hot water by himself, then...'<br>b.) お湯道具を廊下の外に置いて、<br>'He put the hot water equipment outside the corridor.'<br>c.) それで窓ガラスが鏡になる<br>'And thus the window glass turns into a mirror.' | a.) 舗道に出た<br>'He set out on the pavement.'<br>b.)'陳列棚の上においた [...]'<br>'He put it on top of the display case.'<br>c.) 鳥はつまらない買物をしているという気分になった<br>*Bird* turned into a mood where he felt that the shopping he was doing was boring.' |
| 3. Partner | a.) 弟に言ってやって下さい<br>'Please be kind and tell my little brother.'<br>b.) 彼女が駅長に呼びかけて<br>'She called upon the station master.' | a.) 新産婦につきそっていていただきましょう<br>'I would be happy if you attended the newly pregnant woman.'<br>b.) 脳ヘルニアの新生児に出会う<br>'To encounter a newborn baby with brain hernia.' |
| 4. Receiver | a.)ここで「娘」というのは島村にそう見えたからであって、[...]<br>'What's mentioned here as ”daughter” is simply done so because she looked so to Shimamura...'<br>b.) 彼女に悪いということを忘れていた<br>'He forgot that it was bad for her.' | a.) 鳥は胃に悪いショックをうけて。。。[...]<br>*Bird* experienced a shock that was bad for his stomach...'<br>b.) 中年男に理解しがたい<br>'Hard to understand for middle-age men..."|
| 5. Cause | a.) 娘の美しさに驚いて[...]<br>He was shocked by her beauty... | a.)洪水に溺れているだろう。<br>It's probably drowned by the flood. |

| | | |
|---|---|---|
| | b.) ガラスがすっかり水蒸気に濡れている[...]<br>'The glass was completely wet due to the steam...' | b.) [...]葉むらは、風にざわざわ鳴っている [...]<br>'The pile of leaves rattled noisily due to the breeze...' |
| 6. Direction | a.) 顔をあちらに反向けると。。。<br>'As he turned back towards her.'<br>b.) 鏡台に向かって 。。。<br>'After facing toward the dresser....' | a.) 鳥にむかって近づいてきた<br>'He faced *Bird* and moved towards him.'<br>b.) その逆の方向に鳥は歩きだした。<br>*'Bird* started walking in the opposite direction.' |
| 7. Purpose | a.) これから会いに行く<br>'I'm going to meet her.' | a.) 旅に出る<br>'To set out on a trip.' |
| 8. Time | a.) 半時間ばかり後に[...]<br>'After but a half an our...'<br>b.) 夜のあけないうちに帰る。<br>'I will go home before dawning.' | a.) 八時に電話します<br>'I will call you at 8 o'clock.'<br>b.) [...]この瞬間にもアフリカへ出発する。。。 […]<br>'Even this very moment he is departing toward Africa...' |

As it is evident, examples matching the contents of the proposed model sentences in Mizutani (2005) more or less perfectly, could be found in the two novels.

For instance the expressions connected to LOCATION, namely Table 2:1A-2B were nearly identical with Table 1:1A-2B, both including the phrase "X に住む" – "to live in X" –, and an existence verb, with the slight divergence that Kawabata incorporated only the verb "いる" – "to be" (animate object) – in his sentences (Table 2:1A), while both Ōe's sentence and Table 1:1A contains the verb ある – "to be" (inanimate object).

Structurally identical examples were found for GOAL as well. Table 2:2A matches Table 1:2A both in the manner that the subject moves from one point to another, and in both Kawabata's example and Mizutani's model sentence exactly the same verb, namely "行く" – "to go" – is utilized. Ōe, however, did not employ this verb in a GOAL-related context, instead the most suitable phrase for this class commonly used by the author involved "出る" – "to come out/leave" –, which has approximately the same meaning as the previously mentioned verb in Mizutani's example.

As it is conspicuous, the same verb, "置く" – "to place" – can be found in both authors' sentences in Table 2:2B. Although the verb used here differs from the one in Table 1:2B, the same basic principle can be observed: in both cases an object is being transferred from one point to another. In Table 2:2C, again the verb identical to the one used in the framework is applied, namely "なる" – "to become" – , expressing the transmigration of a state. In this

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sentence beside the state of destination for the subject ("鏡" ‑ "mirror" – in *Yukiguni*, "気分" ‑ "mood" – in *Kojinteki Na Taiken*), the subject itself is also present ("窓ガラス" ‑ "window glass" –, respectively "鳥" ‑ "Bird").

The model sentences in Kawabata's novel for PARTNER mentioned above are among the examples least similar to the ones in Mizutani (2005)*:* phrases where verbs meaning "meeting someone" as in Table 1:3A, and "receiving something" as in Table 1:3B were lacking in the present material. The most common sentences had contents similar to Table 1:3C, where the verb "相談する" ‑ "to consult" – implies direct social interaction. The examples in the table include "言う" ‑ "to say" – and "呼びかける" ‑ "to call out to" – which were considered closely linked to the previously stated expression, and were thus though of as most representative for this category.

In contrast, the verb "to receive" was found in Ōe's book, in the form of a polite expression, "いただく" ‑ "to humbly receive" – which is an equivalent to the one in Table 1:2A, "もらう" ‑ "to receive" –. Furthermore, Ōe's Table 2:2B resembles Table 1:2B in the sense that the verb "出会う" ‑ "to encounter/meet by chance" – can be regarded as a synonym to "会う" ‑ "to meet" – and have thus a similar meaning.

Examples for RECEIVER were comparatively more ambiguous than the above treated groups. While no sentences completely identical to the proposed model sentences could be encountered, highly similar ones could be found. Since Table 2:4A contains the element of personal perception, namely "to Shimamura, she looked like..." – built on the principle of RECEIVER explained in the theoretical framework –, this sentence could be considered belonging to RECEIVER. The same construction applies to Kawabata's Table 2:4B translated "(something) is bad for her" and Ōe's Table 2:4A, which reads "something is bad for his stomach". The definitely most similar example was Ōe's Table 2:4B, which resembles Table 1:4B in the sense that "理解しがたい" and "難しい" both carry the same meaning, namely "difficulty" or "hardship" – this can be seen in the English translation as well.

In CAUSE sentences strikingly similar to Mizutani's could be found: Kawabata's Table 2:5A is essentially identical to Table 1:5A, due to its usage of the phrase "に驚く" ‑ "to be surprised by...". Table 2:5B "に濡れている" meaning "to get wet due to..." greatly resembles Table 1:5B: "に震えている" meaning "to shiver due to..." and was thus recognized as a suitable equivalent. Ōe's examples are somewhat less similar to the original examples, however both "洪水に溺れる" ‑ "be drenched by the flood" and "風に[...]鳴っている" ‑ "to sound due to the wind" express the trigger of a phenomenon and should therefore belong to

this group.

As for DIRECTION, all expressions related to direction that could be found included the phrase "向かう/向ける", "to turn toward..." as it can be seen in both Table 2:6A and Table 2:6B, except Ōe's Table 2:6B, where first the direction is mentioned (逆の方向 – "the opposite direction"), and thereafter the verb (歩く – "to walk") is stated. Sentences matching Table 1:6B could not be observed.

Sentences belonging to PURPOSE could be found, however their shape and way of expression mostly differed from Mizutani's model sentence. While Mizutani (2005) used a noun "見物", meaning "sightseeing", in order to provide a purpose to an action, the most purpose-related sentences found in Kawabata were either cliticized to the stem of a verb (Table 2:7A), or used in the context of "～ために" roughly translated "for the sake of". Nonetheless, since these sentences express the purpose or goal of an action, they could indeed be included in PURPOSE. Ōe's example, however, is an actual equivalent to Mizutani's sentence, since firstly a noun is stated "旅" – "journey" –, and thereafter the particle accompanied by the verb "に出る" – meaning "to leave for" in this case.

Lastly, examples identical to the model sentence provided by Mizutani (2005) applied for TIME, appeared only in Ōe's novel, in which the exact time of occurrence and the predicate is stated (Table 2:8A). On the other hand, Kawabata did not utilize this expression in the same manner, instead of declaring a precise point in time, the amount of time *passed* is mentioned: "half an hour".

### 5.3.2 Appearance frequency

Table 3: Appearance frequency of the particle *ni*

|  | Kawabata | Ōe |
|---|---|---|
| 1. Location | 14 | 10 |
| 2. Destination | 97 | 99 |
| 3. Partner | 8 | 11 |
| 4. Receiver | 6 | 7 |
| 5. Cause | 10 | 13 |
| 6. Direction | 2 | 14 |
| 7. Purpose | 10 | 10 |
| 8. Time | 28 | 14 |
| Total | 175 | 178 |

The total sum of appearance frequency in the case of both novels was strikingly similar: the particle was more frequently applied in *Kojinteki Na Taiken* only by three units. Furthermore, the identical or nearly identical occurrence frequency in the case of certain classes is conspicuous.

As it is evident, the overwhelmingly most frequently utilized function was that of GOAL – this applies for both authors. After this class, the only one that stands out in number is TIME, used 28 times by Kawabata. The remaining classes had approximately the same results, not extending to more than 14 times maximum. From the contrary perspective, the least used phrases belong to RECEIVER in the case of both novels, and DIRECTION in Kawabata's case.

Beside the previously mentioned GOAL, other examples regarding the common features of the two novelists can be lifted forth: PURPOSE had exactly the same number, and a remarkable similarity in number could be observed in the case of LOCATION, PARTNER, RECEIVER and CAUSE also, only differing by 1-4 units.

However, the most intriguing finding in divergence between the two authors is undoubtedly the usage of *ni* expressing *direction* or *time*. While Kawabata's expressions including direction extends to merely two units, Ōe applied this function 14 units, that is 7 times more than Kawabata. While both authors utilized the same expression connected to DIRECTION most regularly, namely ”に向かう/向ける” – ”to face/turn toward” –, in Ōe's case the application was more apparent.

TIME, however was on the contrary more popular with Kawabata, using it 28 times in contrast to Ōe's 14 times, making it twice as frequent.

The frequency of TIME may have differed; even so, it must be pointed out that this group was the second most utilized by both authors. The following graph is intended to present the rank order of the most to least favored categories:

Table 4: Ranking of categories by appearance frequency

| Rank | A. Kawabata | B. Ōe |
|------|-------------|-------|
| 1 | Goal | Goal |
| 2 | Time | Direction / Time |
| 3 | Location | Cause |
| 4 | Cause / Purpose | Partner |
| 5 | Partner | Location / Purpose |
| 6 | Receiver | Receiver |
| 7 | Direction | - |

By displaying the results in this manner, the difference regarding time-related expressions might seem less significant: TIME is equal to rank 2 in the case of both authors. Beside the earlier mentioned similarities regarding GOAL, the rate of RECEIVER was identical, and PARTNER, CAUSE, and PURPOSE acquired approximately the same ranking, with merely one grade of difference: e.g. PARTNER received rank no 5, in Kawabata's, and

rank no 4 in Ōe's case.

LOCATION, on the other hand, and the previously differing DIRECTION are the only conspicuous variations. LOCATION was the third most favored class by Kawabata, while it was two steps lower in the case of Ōe, sharing rank no.5 with PURPOSE.

As previously stated, the most considerable difference between the authors can be observed with DIRECTION: while it reaches rank no. 2 in the case of Ōe, sharing the placement with TIME, it can be found in the uttermost bottom of Kawabata's list.

### 5.3.3 Favored expressions

The following table provides a summary of the most frequently used expressions in the two novels. In the left file, the expressions are stated with the group they belong to in parenthesis: e.g. 〜になる‐ meaning "to become" – belongs to GOAL, 〜うちに‐ meaning "within (a certain period of time" – belongs to TIME et cetera.

Table 5: Frequently used expression

|  | A. Kawabata | B. Ōe | C. Total |
|---|---|---|---|
| 1. 〜になる (GOAL) | 29 | 19 | 48 |
| 2. 〜うちに (TIME) | 17 | 4 | 21 |
| 3. 〜に入る/入れる (GOAL) | 8 | 12 | 20 |
| 4. 〜に向かう (DIRECTION) | 1 | 9 | 10 |
| 5. 〜ために (PURPOSE) | 4 | 8 | 12 |
| 6.〜に出る (GOAL) | 4 | 7 | 11 |
| 7. 〜にいる (LOCATION) | 6 | 4 | 10 |
| 8. 〜にある (LOCATION) | 5 | 4 | 9 |
| 9. 〜に立つ (GOAL) | 5 | 4 | 9 |
| 10.〜に写る/映る (GOAL) | 5 | 1 | 6 |
| 11. 〜ときに (TIME) | 4 | 0 | 4 |
| 12.〜に汚れる (CAUSE) | 0 | 4 | 4 |
| 13.〜に驚く (CAUSE) | 3 | 0 | 3 |
| 14.〜にとって (RECEIVER) | 2 | 2 | 4 |
| 15. 〜に話す (PARTNER) | 2 | 0 | 2 |
| 16. 〜に電話をかける (PARTNER) | 0 | 2 | 2 |

In this table, more often applied expressions for all of the eight categories are shown. However, as it is clearly displayed, some expressions assigned for certain categories, for

instance Table 5:12-13 belonging to PARTNER, Table 5:11 to RECEIVER and Table 5:9-10 to CAUSE, were by far less abounding than the rest.

In the case of rank 1, "～になる", a considerable amount of examples could be found. A substantial part of them consisted of set phrases such as "～ことになる", and "～ようになる, which do not express the actual transmigration of a state in the same manner as presented in Table 1:2C, where the *concrete change* from childhood to adulthood is implied – the meaning of these two expressions is explained on page 19. However, Tayama (2000:71) claims that the main function of both "ことになる" and "ようになる" can be defined as the consequences or results of a change, which is in consensus with the main function of the GOAL-function of the goal category, namely the transition from one point to another. For this reason "ことになる" and "ようになる" were included in the GOAL-class in the present paper.

As it can be seen, the expressions most frequently applied stand in correlation with the results displayed in Table 4: the top-ranking phrases in Table 5 belong to GOAL for both authors, followed by TIME in Kawabata's case and DIRECTION in Ōe's case, which were precisely the most popular categories in these two novels (see Table 4). However, one baffling deviation that could be observed concerns Table 5:5, which corresponds to PURPOSE. As it is displayed in Table 4, this group was one of the least favored ones, and would thus hypothetically not rank high in the list of frequently used expressions. However, the results shown in Table 5:5, where ～ために‐meaning "for the sake of" –, belonging to PURPOSE is ranked 5$^{th}$ most popular, refute this hypothesis. It can thus be concluded, that the variation of expressions linked to this group were limited: out of the 10 times Ōe used this expressions (see Table 3:7) 8 of these particles were utilized in the context of "～ために".

Another intriguing factor is Kawabata's usage of "～うちに" ‐ " within (a certain period of time)". By comparing Table 3:8 and Table 5:2, it becomes clear that among the total 28 times TIME was used, 17 particles were included in the expressions "～うちに". Hence, in this class too, the variation can be concluded as restricted.

The most discernible phrase, listed at the head of the table, was "になる" ‐ "to become" –, used overwhelmingly most frequently among the most often appearing expressions. The reason for the prevalence of this phrase may be that its spectrum of usage is rather extensive, which allows the authors to use this expression effortlessly. This is illustrated in the following sample sentences, handpicked from the two novels:

ix) それで窓ガラスが鏡<u>になる</u>。 – Kawabata (1971)

'And thus the window glass turns into a mirror.'

x) 今朝<u>になって</u> – Kawabata (1971)

'Come morrow...'

xi)[...] 髭を剃ること<u>になった</u>かもしれない – Ōe (1964)

'It's possible that it was decided that he would shave his beard.'

xii) 鳥という渾名でよばれる<u>ようになった</u> – Ōe (1964)

'They started to call him by the nickname of "Bird".'

In the above listed phrases, the expression "になる" is used in different contexts. (ix) describes an abstract transformation where an object (窓ガラス – "window glass") turns into something else (鏡 – "mirror"). (x) describes transformation as well. However, in this case no subject nor object can be assigned: since this sentence describes a time-related phenomenon, "to become morning", it is impossible to imagine an agent or subject conducting or being affected by this action.

In (xi) a set phrase can be observed, namely "ことになる". This expression can be translated as "it was decided/arranged that" in this sentence.

(Xii) does express change, however even in this sentence a set phrase, namely "ようになる" is included, meaning roughly "to come to be that...".

Beside the previously mentioned phrases, "X に入れる" – "insert/put into something" was also a frequently reoccurring expression – especially in the case of Ōe's work. While Kawabata used this expression in simpler sentences such as "お湯に入る" – "to bathe in hot water" –, in Ōe's case it appeared more often in set phrases "手に入れる" meaning "to acquire" (literally meaning "to place into one's hand"), and compound verb constructions "X に入り込む", "to go/come into X".

Finally, one more prominent difference between the two authors concerns the phrase "～に向かう" – "to turn towards...". Even in this case Table 5 stands in correlation with Table 3 and 4: the difference ratio between the two authors is approximately the same. Ōe used this phrase 9 times out of 14 to express direction, which means that the variation of expressions in the DIRECTION-class is limited.

## 6. Discussion

By examining the results of the present paper, it can be concluded that the theoretical framework provided in Mizutani (2005:105) serves to a certain extent as an adequate foundation in order to classify the dative particles appearing even in the novels of two stylistically different Nobel Prize winner authors, Kawabata and Ōe. All the eight functions and concepts in his classification were present in the two author's works and the majority of *ni* that was observed in the two novels could be divided into them. This leads us to the conclusion that the framework is dependable and summarizes the most common features of the particle *ni*. The validity of the eight groups can also be confirmed by the classification provided in Hansen (2004:55), where categories similar to the ones in the present framework are applied: for instance location, goal, purpose and "giving" – closely associated with the PARTNER-category of the present paper – are mentioned and defined.

While the basic classification in Mizutani (2005) was sufficient for the examination of the two novels, certain issues arose during the analysis. Mainly five problematic points can be lifted forth.

The first and most critical issue concerns the *ni* that could not be classified with the eight classes of the current framework as basis. Frequently appearing phrases such as "～に見える" ‐ "look like..." – , "～に似ている" ‐ "resemble..." –, "～に気づく" ‐ "to notice..."–, "～にする" ‐ "to choose" –, "～について" ‐ "about..." –, and a highly important group, namely *passive-constructions,* were not included in the eight classes of the framework and were thus not considered as belonging to either group. Although "について"was mentioned briefly in Mizutani (2005:106) in a separate section, even so, the classification of this expression was not clearly stated.

Sadakane/Koizumi (1995:29) recognizes "～に見える" as a separate category. However, the explanation assigned to it is merely *"appearing to be",* which gives us no information on which category this expression may be associated with. Hansen (2004:73) regards "～にする" as a phrase indicating the change of a state, in a similar fashion as "になる" ‐ "to become" –, with the distinction that the first expression is a causative transformation used with a transitive verb, while the second one includes an intransitive verb. Based on this idea, "～にする"could thus be thought of as a GOAL-expression, like "～になる".

No relevant information regarding the classification of "～に似ている", nor "～に気づく" could be found.

The passive-constructions, on the other hand have been treated thoroughly in previous research. As Hansen (2004:202) claims, *"passives [...] require two individuals for passive events to take place"*. According to her, this holds true with the exception of weather-related phenomenons. Judging from this statement, passive-constructions could be regarded as belonging to the PARTNER-group, where the interaction with a second participant is in focus. For example:

ix) [...女友達に見守られた高校生がカエルを一匹撃ち。。。[...]　 -Ōe (1964)

[...]*the high school student who was watched attentively by a group of girls shot a frog...*
*[...]*

However, if we take a look at the following sentence, where an indirect passive-construction can be observed, the classification might yet prove to be difficult:

x) 島村はその真剣な響きに打たれ...　　　　– Kawabata (1971)

*'Shimamura was struck by that serious tone [...]'*

In this case, the agent is not an individual, but a phenomenon, namely 響き‐ "tone/echo". The structure is more similar to that of Table 1:5A, assigned to the PURPOSE-category, rather than the sentences in Table 1:3, connected to the PARTNER-category, in the sense that a *phenomenon* affects the subject, and not a second participant. However, an essential difference is that in Table 1:5A the verb "驚く"‐"to be surprised" – is conducted by the subject – which is omitted in the sentence –, while in the case of (x), the verb is conducted by an agent, 響き‐"echo/tone" –, and not by the subject, 島村‐"Shimamura". This diversity, along with the fact that the passive-constructions were not included in the examples of the framework, leads us to the conclusion that these sentences can not be divided into the above mentioned classes. Just like in Mizutani (2005),  in previous research, such as Hansen (2004), Tsujima (1996) and Sadakane/Koizumi (1995), Martin (1975), the passive function of *ni* is treated separately from its other functions, and distinguished from giving-receiving situations where a second participant is involved. This distinction may imply that the passives should be thought of as an entirely independent class, and thus can not – or are perhaps not meant to – be classified with the present framework as basis.

The second  issue concerns the definition and explanation of the eight categories. Albeit the model sentences in the framework could indeed be regarded as representative for the

groups mentioned, the width and precise definition of some of them appeared to be ambiguous. The most obvious example is RECEIVER, where both examples (Table 1:4) had exactly the same structure, with the slight difference of one of them including a verb, the other one an adjective. It was not clear whether only sentences where the structure "X には Y" (Table 1:4) could be found, should be considered as belonging to this group, or if any other structure is possible. However, for instance sentences including phrases such as "にとって", meaning "in the case of/for (someone)" were often used to describe in what manner a certain person perceives a phenomenon. As it can be seen in the framework-section, this is exactly the main concept of the RECEIVER-category. Thus the above mentioned phrase was considered as belonging to RECEIVER and was therefore included in this category during the analysis.

Furthermore, the model sentences assigned for the different categories vary in number: while some of them, GOAL and PARTNER, have as many as three, PURPOSE and TIME are assigned merely one. As a result, the definition and the level of comprehensiveness of the eight groups diverged. For example, while TIME is clearly connected to expressions where the exact time is presented, it is not precisely stated whether phrases such as "～うちに" – "within (a certain period of time)" – and "～後に" – "after..." – belong to this group. However, since the above mentioned two examples were considered as sentences expressing time, they were included in this category.

The existence of only one model sentence could have implied that the group is clearly defined in this one example, however this does evidently not hold true in the case of TIME.

Another remarkable aspect is that some of the presented categories are accompanied by a detailed explanation on their usage in Mizutani (2005): for instance, while there is a separate section focusing on the location-function of LOCATION (p 99) and the destination-function of GOAL (p 101), a thorough description of RECEIVER was not included in the encyclopedia. Therefore, grasping the exact definition of RECEIVER proved to be difficult.

The third point is the unbalanced differences in the width of the eight categories. The most frequently appearing category in the two novels, GOAL was also the most extensive one. The reason for the constant recurrence of this group can be explained by the immense width Mizutani (2005) assigned it: since this category can manifest in various forms and thus its rules of usage are flexible, numerous expressions can fit into it – this is explained on page 8 of the present paper. Hence, the frequent occurrence of this particular group is not surprising.

Another explanation for the frequent appearance of GOAL can be given by examining

previous research on *ni*. While Tsujima (1994:134) claims that the dative particle is mostly associated with verbs of giving, Hansen (2004:55) states that *ni* is mainly designated to express goal, and that most other uses are extended from this function. The classification of Iwasaki (2013:112) is in consensus with the latter theory: according to him the dative particle *ni* expresses movement towards a place, e.g. ”穴に入る” – ”enter a hole”, movement towards a person or object: ”電車にぶつかる” – ”to collide with a train”, or movement towards a different state, e.g. ”大人になる” – ”to become an adult”. All of the three constructions in these three sentences express the goal or destination of movement, and can therefore be identified as belonging to the GOAL-category. Accordingly, if the main function of *ni* is to express goal, it can thus be concluded that the GOAL-category should be appearing most frequently among all of the functions of this particle, just as it did in the results of this paper.

On the other hand, certain categories were by far less wide in spectrum compared to the GOAL-category. For instance, PURPOSE is mainly limited to one simple function, namely to express the reason or purpose of an action. CAUSE can only be applied to describe the trigger for a certain phenomenon. In addition, the two sample sentences assigned to this class have a highly similar structure and mainly express the same concept. Hence, two sentences do not expand the spectrum of usage of this class more, than if it had only one example sentence assigned.

Conclusively, a massive divergence in the width of the various classes could be observed, which can be considered as one of the shortcomings of this framework. A possible solution to this issue would be to increase the number of classes in the framework, which leads us to our fourth point of problem.

The fourth point concerns the number of categories in the framework. Since the particle *ni* has a tremendous array of uses, classifying it into only eight categories can seem inappropriate, since it can hardly be limited to merely eight manners of application. In comparison, Sadakane/Koizumi (1994:24) divided *ni* into as many as 31 different groups, distinguished by function and usage. In this classification some elements which are irrelevant for the current framework, for instance the copula function of *ni* (e.g 綺麗に歌う – ”to sing beautifully”) were also included. Furthermore some of these 31 categories were merged into one in Mizutani (2005:105): for instance, while Sadakane/Koizumi (1994:27) differentiates between the functions of *ni* in the following two sentences: ”銀行に勤める” – meaning ”to commute to the bank” –, and ”首相は海部さんから宮沢さんに代わる”, – ”the Prime Minister will change from Mr Kaifu to Mr Miyazawa” –, Mizutani (2005) includes both ”に勤める” -

"to commute" – and "に代わる" - "to change with/to replace" – in the GOAL-category.

Nonetheless, the difference in numbers, 8 contra 31 is conspicuous, and implies that Mizutani's classification is in contrast less specific. On the other hand, the main purpose of Mizutani's framework is to briefly summarize and give an easily graspable overview of the most common uses of *ni*. In this regard, 8 categories have the benefit of being less complicated and perplexing than 31 categories for learners of the Japanese language.

The fifth and final point concerns the lack of information about the identity of the particle *ni*. There is no detailed description which explains whether the particle *ni* in the sample sentences of the framework may be seen as a case marker or a postposition. This question regarding the identity of *ni* is present in earlier research, for instance in Tsujimura (1996:234) and it serves as the main focal point of Sadakane/Koizumi (1995). However, the reason for the absence of this matter in Mizutani (2005) might be explained by the fact that the framework is primarily meant to give easily comprehensible examples for Japanese-learners, and in this sense the distinction between case markers and prepositions might be considered confusing.

To summarize, the following findings have been discussed:

* The *ni* that could successfully be classified according to Mizutani (2005), and the strong points of the framework.

And five problematic points:

1. The *ni* that could not be classified according to Mizutani (2005), and how these could possibly be classified with previous research as reference.

2. Ambiguities regarding the width and definition of the eight classes, partly due to insufficient examples or description.

3. Unbalanced differences in the spectrum of usage assigned for each class.

4. Whether only eight categories can be considered sufficient.

5. The absence of information regarding the case marker, respectively the preposition-function of *ni*.

**Summary**

In this paper the dative particle "*ni*" appearing in the first 50 pages of Y. Kawabata's *Yukiguni* and K. Ōe's *Kojinteki Na Taiken* have been classified with the classification found in Mizutani (2005) as framework. The occurrence frequency of the particle was approximately the same in the case of both authors. The most frequently utilized function of *ni* was to express goal and time in the case of both authors, with the addition that Ōe used it to signify

direction as often as to express time. The framework was considered adequate in order to categorize the particle, although flaws were also found. Some classes had a wider spectrum of application than others, and some were more clearly defined and explained than others. Furthermore, a considerable amount of particles could not be matched with the classification of the framework. The possible categorization of these particle was discussed with previous research as help.

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