Contrasting Vertical and Horizontal Transmission of Typological Features

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Abstract

Linguistic typology provides features that have a potential of uncovering deep phylogenetic relations among the world's languages. One of the key challenges in using typological features for phylogenetic inference is that horizontal (spatial) transmission obscures vertical (phylogenetic) signals. In this paper, we characterize typological features with respect to the relative strength of vertical and horizontal transmission. To do this, we first construct (1) a spatial neighbor graph of languages and (2) a phylogenetic neighbor graph by collapsing known language families. We then develop an autologistic model that predicts a feature's distribution from these two graphs. In the experiments, we managed to separate vertically and/or horizontally stable features from unstable ones, and the results are largely consistent with previous findings.

1 Introduction

Centuries of research in historical linguistics have identified groups of languages deriving from single common ancestors. Each of these groups, called a language family, is organized as a tree that reflects its evolutionary history. Such language families include Indo-European, Austronesian and Bantu languages.

Despite the huge success, historical linguistics fails to link some languages with others, and hence they are called language isolates. For example, Basque, Burushaski and Japanese have no established relatives. Although there are several attempts to uncover deep phylogenetic relations, in which the results are often represented as macrofamilies, they remain controversial (Dolgopolsky, 1998; Greenberg, 2000).

We argue that the limitation of the mainstream approach is that it relies on lexical traits. Language families are established by demonstrating that its member languages share cognates, or words that have a common etymological origin.1 Lexical data are also the main target of modern statistical methods that are typically used to date the common ancestor (Swadesh, 1971; Gray and Atkinson, 2003). Language isolates are called so exactly because they lack reliable cognates.

For this reason, we follow a different line to research that makes use of typological data for phylogenetic inference (Tsunoda et al., 1995; Dunn et al., 2005; Teh et al., 2008; Longobardi and Guardiano, 2009; Murawaki, 2015). Linguistic typology is a cross-linguistic study that classifies the world’s languages according to structural properties such as basic word order (SVO, SOV, etc.) and the presence or absence of tone. On the one hand, typological features, by definition, allow us to compare an arbitrary pair of languages including language isolates. On the other hand, they pose several new challenges to us. While the sharing of cognates is a direct indicator of shared ancestry, the sharing of the same basic word order SOV, for example, is only a weak signal because it occurred multiple times in multiple places. We believe that computer-intensive statistical methods can help taming the inherent uncertainty.

In this paper, we give a step forward toward typology-based phylogenetic inference. We specifically tackle the problem that horizontal (spatial) transmission obscures vertical (phylogenetic) signals. Like

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1 In historical linguistics, cognates are distinguished from loanwords. We broadly refer to both the traditional comparative method and modern statistical methods as lexicon-based approaches because they require cognate identification. Note that historical linguists often use regular sound changes, in addition to cognates themselves, as features to determine the relative order of multiple branching events (Pellard, 2009).
loanwords, typological features can be borrowed from one language to another. In fact, non-tree-like evolution has been one of the central topics in linguistic typology (Trubetzkoy, 1928). Lexicon-based approaches, especially statistical ones, often address this problem by narrowing the scope to basic vocabulary, or a list of basic concepts. Words on the list are assumed to be resistant to borrowing (Swadesh, 1971), and some are even claimed to be extremely stable (Pagel et al., 2013). By contrast, typological features, in their original forms, are a mosaic with varying degrees of resistibility. We need to start with quantitatively characterizing each typological feature in this respect.

We present a probabilistic model that directly contrasts vertical and horizontal transmission of typological features. We begin by noting that anthropologists have worked on similar problems. From this field, we borrow a graph-based model (Towner et al., 2012) and extend it to model typological features. In this model, languages of the world are mapped to two neighbor graphs. One encodes vertical transmission and the other represents horizontal transmission. These two graphs are used to predict the distribution of a given feature, and the relative strength of the two modes of transmission is inferred. As a practical application, we use this model to impute missing values that are ubiquitous in the typological database.

In the experiments, we first evaluated the proposed model with missing value imputation and confirmed that the proposed model outperformed simple baselines for this task. We then used the model to estimate the relative strength of the two modes of transmission. Our model managed to separate vertically and/or horizontally stable features from unstable ones, and the results are largely consistent with previous findings. Our code is available online at https://github.com/yustoris/autologistic-coling-2016.

2 Data and Preprocessing

As the database of typological features, we used the online edition\(^2\) of the World Atlas of Language Structures (WALS) (Haspelmath et al., 2005). As of 2016, it contained 2,679 languages and 192 features. The language–feature matrix was very sparse, however. Less than 15% of elements were present. We focused on 48 features, which covered at least 20% of languages. Some previous studies discarded languages with few observed features (Murawaki, 2015; Takamura et al., 2016). To avoid an unexpected bias, we used all but 72 languages in the database. The languages we excluded were sign languages, pidgins and creoles, which were all classified as other in WALS.

An item of the language–feature matrix was a categorical value. For example, Feature 81A “Order of Subject, Object and Verb” has 7 possible values, SOV, SVO, VSO, VOS, OVS, OSV and No dominant order, and every language took one of the 7 values. We used these categorical feature values as they were. Although the mergers of some fine-grained feature values seem desirable (Daumé III and Campbell, 2007; Greenhill et al., 2010; Dediu, 2010; Dunn et al., 2011), we leave them for future work.

Languages were associated with single-point geographical coordinates (longitude and latitude), as shown in Figure 1. We constructed a spatial neighbor graph by linking any pair of languages that were within the distance of \(R\) km.\(^3\) We set \(R = 1,000\) following da Silva and Tehrani (2016). The average

\(^2\)http://wals.info/

\(^3\)Grouping languages by distance is a very rough approximation. Ideally, the spatial neighbor graph should reflect geographic features such as mountains, rivers and oceans (Bouckaert et al., 2012).
number of spatial neighbors was 89.1.

We also constructed a weighted variant of the spatial neighbor graph such that spatially distant pairs of languages carried smaller weight. We set $1 - r/R$ to each edge where $r$ was the distance between the neighboring languages.

Detailed phylogenetic trees were not provided by WALS, but each language is given two levels of groupings: family and genus. We used genera to construct a phylogenetic neighbor graph in which every pair of languages within a genus was linked. The average number of linguistic neighbors was 30.8.

3 Background

3.1 Horizontal Transmission in Phylogenetic Inference

Although our ultimate goal is to infer past states of languages of the world, incorporating both vertical and horizontal transmission into a model is a notoriously difficult task due to excessive flexibility. Although the conventional tree model also requires a huge search space, it can be handled by computer-intensive statistical models (Felsenstein, 1981; Gray and Atkinson, 2003). Intuitively, the degree of uncertainty increases as we trace the states of languages back to the past, but at the same time, the tree model reduces the degree of freedom by repeatedly merging nodes into a parent. Horizontal transmission brings extra freedom that currently cannot be modeled without imposing some strong assumptions on it (Nelson-Sathi et al., 2010).

Most previous studies on phylogenetic inference employ the tree model even if they take horizontal transmission into account (Greenhill et al., 2010; Dediu, 2010; Dunn et al., 2011). Given typological features and a tree that is constructed by human experts or a lexicon-based phylogenetic model, they estimate the rate of change of each typological feature over time. We speculate that if a typological feature is prone to horizontal transmission, it is likely judged to be unstable by the exclusively vertical model. However, this cannot be confirmed in a straightforward manner.

Typologists have identified several geographical areas where the distribution of typological features suggests extensive horizontal transmission (Campbell, 2006). These areas are called linguistic areas, and features shared are referred to as areal features. Daumé III (2009) incorporated linguistic areas into a phylogenetic tree and demonstrated that the use of linguistic areas improved phylogenetic reconstruction. In his Bayesian generative model, each feature of a language has a latent variable which determines whether it is derived from an areal cluster or the tree. As shown in Table 2 of his paper, summary statistics of this variable indicate how likely a feature is transmitted vertically or horizontally. Although linguistic areas are discussed in depth in linguistic typology, horizontal transmission does not necessarily result in areal clusters. For this reason, we make a weaker assumption as to the form of horizontal transmission. We use a single spatial neighbor graph of the world although not all pairs of languages are reachable in this graph.

3.2 Feature Stability Indices

Instead of reconstructing past states of languages, linguists often draw information from the current distribution of typological features. They claim that some features are more stable than others. In an extreme case, it is argued that some features reflect time depth of 10,000 years or more (Nichols, 1994).

With the notion of stability, some typologists try to quantitatively characterize typological features. They typically devise stability indices through series of deterministic arithmetic operations (Nichols, 1992; Nichols, 1995; Parkvall, 2008; Wichmann and Holman, 2009). This line of research was reviewed by Wichmann (2015) while Dediu and Cysouw (2013) conducted empirical comparison of several methods.

The intuition behind these methods is that if the same feature value is shared by a group of languages, defined vertically or horizontally, the feature in question must be stable. For a given feature, Nichols (1992) calculated the ratio of languages not taking the modal value in a given group and then computed

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4 Other resources such as Glottolog (Hammarström et al., 2016) and Ethnologue (Lewis et al., 2014) provide more detailed hierarchical classifications. However, there seems to be no way of selecting groups of languages at some specific level(s) of phylogenetic granularity.
the inter-group average. If groups are defined phylogenetically, the result implies vertical (in)stability and the same is true of areally defined groups. Parkvall (2008) also considered how often feature values were shared among a given group but designed a more complex formula to calculate genealogical cohesiveness \( C_{\text{FAM}} \) and areal cohesiveness \( C_{\text{ARE}} \). Here per-group indices are simply averaged. The final stability index was defined as \( S = C_{\text{FAM}}/C_{\text{ARE}} \). Wichmann and Holman (2009) presented a similar method but focused on vertical stability. Their stability index was adjusted for unrelated languages.

While we share the basic idea with these previous studies, our model is different from theirs. Instead of treating each group separately, we directly model the global distribution of a given feature with the hope that our model captures some universal tendencies. It is built upon a theoretical foundation of probability theory. Although computer intensive, the model itself is much simpler than series of arithmetic operations. Finally, we incorporate vertical and horizontal transmission into a single model. Since the two modes of transmission are directly contrasted, the outcome is more easily interpretable.

### 3.3 Autologistic Model for Cultural Traits

We find that a parallel can be drawn between anthropology and linguistics with respect to vertical and horizontal transmission. In anthropology, the two modes of transmission are known as phylogenesis and ethnogenesis, respectively (Collard and Shennan, 2000). Phylogenesis assumes the transmission of cultural traits primarily from ancestral to descendant populations while ethnogenesis assumes heavy influence from transmission between populations. Thus some models developed in the field of anthropology are applicable to linguistic data.

Towner et al. (2012) propose a variant of the autologistic model to contrast vertical and horizontal transmission. The autologistic model (Besag, 1974) is widely used to model the spatial distribution of a feature. It assumes that the value of a random variable depends probabilistically on the values of its neighbors. Towner et al. (2012)'s extension incorporates two neighbor graphs with associated weight parameters. Once these parameters are inferred from data, the relative strength of the dependency according to the graphs can be measured.

Towner et al. (2012) applied the autologistic model to cultural traits (features) of Western North American Indian societies, such as the presence or absence of agriculture, the tendency toward exogamy, and types of social structure. They constructed a spatial neighbor graph using longitude and latitude data of the societies while a phylogenetic neighbor graph was created by collapsing known language families. They empirically demonstrated that both transmission modes were non-negligible for the majority of traits. The same model was applied to folktales of Indo-European societies by da Silva and Tehrani (2016). At an intermediary step toward discovering folktales with deep historical roots, the model was used to filter out those with strong horizontal signals.

Our model is based on Towner et al. (2012)'s but differs mainly in three points. First, the latter only deals with binary features while we extend the model to handle categorical features. Although the original database of cultural traits was coded categorically, Towner et al. (2012) chose its small subset by dropping unsuitable features and by merging feature values. Second, the latter has four model variants that are compared using model selection criteria. Since the model comparison is performed for a fixed set of parameters, parameters are chosen by grid search. We omit model comparison for simplicity and directly optimize parameters with a gradient-based method. Third, since Towner et al. (2012) only use high-coverage features, they simply drop languages with missing values from the neighbor graphs. By contrast, the typological database is too sparse to ignore missing values. To cope with the inherent uncertainty, we resort to a sampling-based method.

### 3.4 Missing Value Imputation

The idea behind missing value imputation (MVI) of typological features in previous studies is that some features depends on others. Greenberg (1963) presents several rules that hold true for the world’s languages, one of which is as follows: In languages with prepositions, the genitive almost always follows the governing noun, while in languages with postpositions it almost always precedes. In practical applications, we do not limit our scope to pairs of features but use a set of features to predict missing features.
At a preprocessing step, Murawaki (2015) used a variant of multiple correspondence analysis (Josse et al., 2012) for MVI. Takamura et al. (2016) chose a logistic model to investigate the predictive power of features. In their experiments, the discriminative classifier was given all but one feature of a given language and predicted the value of the remaining feature. They repeatedly selected one language for evaluation and trained the classifier using all other languages in the typological database.

Another idea, which we explore in this paper, is that phylogenetically or spatially close languages tend to share the same feature value. Note that proximity is implicitly utilized by the dependency-based approach because languages with similar feature combinations happen to be phylogenetically or spatially close ones. In fact, Takamura et al. (2016) conducted a type of ablation experiments in which they modified the training data (1) by removing languages sharing the same ancestor with the target language or (2) by excluding languages spatially close to the target. They demonstrated that accuracy dropped in either setting. This implies that vertical and horizontal clues are useful for MVI although they did not control for the tendency of smaller training data to decrease test accuracy.

In this paper, we exploit phylogenetic and areal proximity more directly for MVI. Note that the proximity-based approach is complementary to the dependency-based one. A combined model is expected to improve accuracy, but we leave it for future work.

4 Autologistic Model

4.1 Model
Like feature stability indices explained in Section 3.2, our model assumes that if the same feature value is shared by a group, the feature in question is stable. However, the collection of such groups is implicitly represented as a single neighbor graph. For each language, the model counts how many of its neighbors share the same feature value.

Our model incorporates both phylogenetic and spatial neighbor graphs. Given these graphs, our model predicts the distribution of each feature. If the same feature values are shared by many pairs of languages in the phylogenetic graph, it implies a strong vertical association, and the same holds for the spatial association.

Formally, let \( x = (x_1, x_2, \ldots, x_L) \) be the sequence of feature values, where \( x_i \) is the value of the \( i \)-th language and takes one of \( K \) categorical values (\( K \) differs according to feature types). Given a neighbor graph, the model checks if a language shares the feature value with its neighbors. For the unweighted spatial neighbor graph, let \( S(x) \) be the number of pairs sharing the same value. For the weighted variant, the number of pairs is replaced with the sum of the edge weights. Analogously, let \( T(x) \) be the number of pairs in the phylogenetic graph sharing the same value.\(^5\) For each feature value \( k \), \( U_k(x) \) is the number of languages taking the value. Then the probability of \( x \) is given by

\[
P(x|\theta, \lambda, \beta) = \frac{\exp(\theta S(x) + \lambda T(x) + \sum_k \beta_k U_k(x))}{\sum_{x'} \exp(\theta S(x') + \lambda T(x') + \sum_k \beta_k U_k(x'))}.
\]

The denominator is the normalization term. \( \beta_k \) corresponds to the probability of taking the value \( k \) if the two neighbor graphs are not counted. \( \theta \) and \( \lambda \) are parameters for spatial and phylogenetic associations, respectively. If \( \theta \) (\( \lambda \)) is positive, spatial (phylogenetic) neighbors help predicting the value of the language in question. We estimate \( \theta \), \( \lambda \), and \( \beta \) for each feature type while keeping the same spatial and phylogenetic neighbor graphs.

4.2 Inference
Given a feature distribution \( x \), we want to infer \( \theta \), \( \lambda \) and \( \beta \). If all languages are present, the objective function to maximize is \( \log P(x|\theta, \lambda, \beta) \). Unfortunately, the typological database is very sparse, and we have to deal with the inherent uncertainty. Suppose that \( x \) is decomposed into the observed portion \( x_{\text{obs}} \) and the remaining missing portion \( x_{\text{lat}} \). We use the notation \( x_{\text{obs}} \oplus x_{\text{lat}} \) to recover \( x \). Marginalizing \( x_{\text{lat}} \),

\(^5\)Up to this point, we placed vertical elements before horizontal ones. Hereafter we follow Towner et al. (2012) by reversing the order in the model description.
Table 1: Results of missing value imputation.

| Model                                      | Accuracy (%) | Macro | Micro |
|--------------------------------------------|--------------|-------|-------|
| Global majority                            | 55.30        | 54.22 |       |
| Neighborhood                               | 59.20        | 59.18 |       |
| Proposed (Spatially unweighted)            | 61.98        | 61.97 |       |
| Proposed (Spatially weighted)              | 61.84        | 61.82 |       |

we derive the modified log-likelihood function

\[ L(\theta, \lambda, \beta; x_{\text{obs}}) = \log \sum_{x_{\text{lat}}} P(x_{\text{obs}} \oplus x_{\text{lat}} | \theta, \lambda, \beta). \]  

(2)

We perform gradient-based training to maximize the objective. A simple gradient ascent algorithm would update \( \lambda \) as follows:

\[ \lambda \leftarrow \lambda + \frac{\partial L(\theta, \lambda, \beta; x_{\text{obs}})}{\partial \lambda}, \]  

(3)

where \( \eta_t \) is a learning rate that decays according to time \( t \). Instead of the simple gradient ascent algorithm, an adaptive extension of the optimization algorithm called Adam (Kingma and Ba, 2015) is used. \( \theta \) and \( \beta \) are updated similarly.

The derivative of the log-likelihood function with respect to \( \lambda \) is

\[ \frac{\partial L(\theta, \lambda, \beta; x_{\text{obs}})}{\partial \lambda} = E_{x_{\text{lat}} \sim P(x_{\text{lat}}|x_{\text{obs}}, \theta, \lambda, \beta)} \left[ S(x_{\text{obs}} \oplus x_{\text{lat}}) \right] - E_{x_{\text{lat}} \sim P(x_{\text{lat}}|\theta, \lambda, \beta)} \left[ S(x_{\text{lat}}) \right]. \]  

(4)

Both terms are computationally intractable due to the combinatorial explosion in the number of possible state \( x' \). We approximate the expectation with samples. We collect samples of \( x' \) from the probability distribution and take the average of \( S(x') \) to estimate the expectation. We use Gibbs sampling to generate samples of \( x' \). They are obtained by iteratively updating \( x'_i \), one element of \( x' \) while keeping the remaining portion \( x'_{-i} \) fixed. The next value of \( x'_i \) is stochastically selected according to

\[ P(x'_i = k|x'_{-i}, \theta, \lambda, \beta) \propto \exp \left( \theta g_{i,k} + \lambda h_{i,k} + \beta_k \right), \]  

(5)

where \( g_{i,k} \) is the number of \( i \)'s neighbors in the spatial neighbor graph taking the value \( k \) (or the sum of the edge weights for the weighted spatial neighbor graph). \( h_{i,k} \) is defined analogously for the phylogenetic neighbor graph. For the first term of Eq. 4, we only update \( x'_{\text{lat}} \) while keeping \( x_{\text{obs}} \) unchanged. All elements are updated for the second term.

\( \lambda \) and \( \theta \) are initialized with 0. \( \beta_k \) is set to the log-probability of taking the value \( k \) in \( x_{\text{obs}} \). In this initial setting, Eq. 5 reduces to the empirical probability according to \( x_{\text{obs}} \) and forces \( x_{\text{lat}} \) to largely imitate \( x_{\text{obs}} \).
Figure 2: The MVI accuracy of the proposed model compared with that of the neighborhood baseline on a per-feature basis. Each cross denotes the accuracy of the proposed model with respect to a feature while the corresponding baseline accuracy is marked by a circle. Features are ordered in ascending order of the accuracy of the proposed model.

Figure 3: Estimates for phylogenetic ($\lambda$) and spatial ($\theta$) associations. Each point denotes a feature. The shapes of the points represent broad categories of features (called Area in WALS).
### Table 2: Top 5 and bottom 5 features selected by two criteria.

| Feature type | Accuracy (%) |
|--------------|--------------|
| 143G Minor morphological means of signaling negation | 99.31 |
| 11A Front Rounded Vowels | 93.99 |
| 90C Postnominal relative clauses | 93.39 |
| 130A Finger and Hand | 88.91 |
| 18A Absence of Common Consonants | 87.34 |
| 38A Indefinite Articles | 36.23 |
| 37A Definite Articles | 35.48 |
| 1A Consonant Inventories | 34.85 |
| 144A Position of Negative Word With Respect to Subject, Object, and Verb | 28.45 |
| 144L The Position of Negative Morphemes in SOV Languages | 16.75 |

(a) Features ranked by MVI accuracy of the proposed model.

| Feature type | Difference (%) |
|--------------|----------------|
| 51A Position of Case Affixes | +14.03 |
| 90A Order of Relative Clause and Noun | +11.31 |
| 116A Polar Questions | +10.81 |
| 3A Consonant-Vowel Ratio | +9.25 |
| 69A Position of Tense-Aspect Affixes | +9.17 |
| 26A Prefixing vs. Suffixing in Inflectional Morphology | -3.72 |
| 144B Position of negative words relative to beginning and end of clause and with respect to adjacency to verb | -4.55 |
| 144L The Position of Negative Morphemes in SOV Languages | -7.26 |
| 4A Voicing in Plosives and Fricatives | -7.79 |
| 129A Hand and Arm | -8.75 |

(b) Features ordered by gain or loss. The proposed model is compared with the neighborhood baseline.

#### Global majority
Choose the most frequent value among $x_{\text{obs}}$ and always output the value.

#### Neighborhood
For each language, collect neighbors in $x_{\text{obs}}$ and draw a value from the empirical distribution. If one of the two graphs has no observed neighbor, choose the other. If both are available, randomly choose one. If neither is available, draw from the empirical distribution according to the whole $x_{\text{obs}}$.

The proposed model itself had two variants: one with the unweighted spatial neighbor graph and the other with the weighted graph.

The results are shown in Tables 1 and 2(a). Our model outperformed the two baselines although the improvement was not so impressive as that of the dependency-based methods (Murawaki, 2015; Takamura et al., 2016). The edge weighting for the spatial neighbor graph had little effect on imputation performance.

Table 2(b) and Figure 2 compare the proposed model (spatially unweighted) with the neighborhood baseline in detail. As observed by Takamura et al. (2016), huge improvements were observed for Feature 81A “Order of Subject, Object and Verb” and some other word order related features. By contrast, the accuracy dropped sharply for Feature 144L “The Position of Negative Morphemes in SOV Languages,” which might be explained by its mosaic-like distribution.

#### 5.2 Parameter Estimation

In the next experiment, we used all observed features and estimated parameters $\theta$, $\lambda$, and $\beta$ for each feature type. We chose the unweighted spatial neighbor graph for this experiment. We used the same hyperparameter settings for Adam and ran 100 iterations for parameter estimation.

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Table 3: Features ranked by $\theta$ and $\lambda$. Top 5 and bottom 5 features are shown for each parameter.

Table 3 shows top- and bottom-ranked features for each parameter, and Figure 3 depicts the relations between the two parameters. 43 out of 47 features were in the top-right quadrant, meaning that they were both spatially and phylogenetically predictive. Nearly all word order-related features were given positive $\lambda$, which was consistent with previous findings (Daumé III, 2009). Wichmann and Holman (2009) also judged Feature 38A “Indefinite Articles” as “very unstable” although their result disagree with ours for Feature 69A “Position of Tense-Aspect Affixes” (stable) and Feature 129A “Hand and Arm” (stable).

In this study, we used genera to construct the phylogenetic neighbor graph, and thus $\lambda$ can be seen as a genus-level global stability index. Although Feature 83A “Order of Object and Verb” is considered phylogenetically stable by the model, it is well known that the OV languages of India and predominantly VO languages of Europe constitute the Indo-European language family. Much work needs to be done to uncover deep phylogenetic relations. Despite the limitation, we argue that our present study presents a first necessary step toward typology-based phylogenetic inference.

6 Conclusion

In this paper, we quantitatively characterized features of linguistic typology with respect to vertical and horizontal transmission. We presented an autologistic model with which we can estimate the relative strength of transmission. Our model is simple and extensible, and the result are easy to interpret because the two modes of transmission are directly contrasted.

The high sparsity of the typological database remains a huge problem. Although our model recovers missing values better than simple baselines, the gain is not large. In the future, we would like to incorporate into the autologistic model a more effective imputation method that takes advantage of inter-feature dependencies.
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