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Contents

Feline Affinities Between E.T.A. Hoffmann's *The Life and Opinions of the Tomcat Murr* and Natsume Sōseki's *I Am a Cat*

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Abstract

Natsume Sōseki (1867−1916) was an eclectic writer and voracious reader during a historical period when western literary influence flourished in Japan. This article hypothesizes that the German novel, *The Life and Opinions of Tomcat Murr* (1819−1821), by E.T.A. Hoffmann (1776−1822), is as strong a formative influence in terms of structure and satirical perspective on Sōseki's novel, *I Am a Cat* (1905−1907), as other satiric contenders. It pursues this argument by examining correlations between these two polyphonic novels which mix many registers and discourses in a similar way. Biographical, historical and literary analysis underpins this comparison.

Keywords: Hoffmann, Sōseki, satiric, grotesque, Tomcat Murr, cat-narrator

1. Introduction

There are many affinities between the German novel, *The Life and Opinions of the Tomcat Murr* (Lebensansichten des Katers Murr, 1819−1821) by E.T.A. Hoffmann (1776−1822), and the Japanese novel, *I Am a Cat* (Wagahai wa Neko de Aru, 1905−1907) by Natsume Sōseki (1867−1916). Nathan states that Hoffmann's novel was introduced by Teinosuke Fujishiro "as early as 1906" to Japanese readers and to Natsume Sōseki himself (Nathan, 2018, p. 92) (Note 1). While acknowledging that Sōseki's cat-narrator comments on Tomcat Murr in the third and last volume of *I Am a Cat*, he argues that the two novels, "apart from the feline narrators … have little in common" (ibid., p. 93). Keene gives examples from various Japanese critics, including Osamu Hamano in 1934 and Rokurō Yoshida in 1968, who compare the two novels in question, and list no less than a dozen points of resemblances which show Hoffmann's influence. However, Keene also argues that "most of the parallels are unconvincing, and the remainder can be explained as natural developments from the initial conception of having a cat-narrator" (Keene, 1998, p. 350, note 20). He maintains, and Nathan also concurs with the first claim of the following two, that Laurence Sterne's *The Life and Opinions of Tristram Shandy, Gentleman* (1759−1767), and Jonathan Swift's *Gulliver's Travels* (1726) are far better candidates to account for western literary influence on Sōseki's novel. While we agree that the satirists, Sterne and Swift, shape Sōseki's writing (as they also influence Hoffmann's) (Note 2), we do not align entirely with Nathan and Keene's conclusions. Through Marcus's cogent biography of Sōseki, we are enabled to point out that he (Sōseki) knew about Hoffmann's oeuvre even as a student, and definitely before residing in England during his academic scholarship from 1900−1903 (Marcus, 2009, p. 165).

2. Literary and Historical Contexts

Absolute proof that Sōseki knew of Hoffmann's novel occurs in the last pages of Volume Three of *I Am a Cat* (1907), immediately before his cat-narrator's death. This unnamed cat-narrator describes seeing a spectral "German mog called Kater Murr" who "started sounding off in a very high falutin' manner on my own special subject." Sōseki's cat observes "if such a feline culture-hero was already demonstrating superior cat skills so long as a century ago, perhaps a good-for-nothing specimen like me has already outlived its purpose and should no more delay its retirement into nothingness" (Sōseki, 2002, p. 457). Keene argues: "nothing suggests that Sōseki knew Hoffmann's work while writing the earlier sections" (Keene, 1998, p. 350, note 20). Given Sōseki's immersion in western literature since his student days, and the extent of his academic scholarship, we disagree

with Keene.

The opening up of Japan and its adoption of western values and mores after the arrival of Commodore Matthew Perry's American steamships in 1853, brought about varying degrees of welcome and hostility from the very beginning. Sōseki's own fear for the loss of Japanese culture began in his youth and strengthened as he aged (Note 3). Yet he read his way through swathes of the European literary canon, and later introduced western literature and literary theory into Japan (Note 4). His birth and death dates (1867−1916) are almost exactly coterminous with the Meiji period under the reign of Emperor Mutsuhito (1867−1912), during which time Japan was transformed into a modern, industrialized and imperial nation on the model of western powers. Until 1899, when "The Constitution of the Empire of Japan" was ratified with the establishment of the Imperial Diet (legislative government), many German advisors worked in Japan (oyatoi gaikokujin—hired foreigners), particularly as experts in systems of law. Many Japanese envoys were also sent to Germany, Britain and the United States. Consequently, students, professionals, educationalists, medics, scientists and politicians spread western ideas on their return.

In addition to revolutionizing Japan's industrial and naval hardware, new western technologies transformed Japanese art and media. For example, the dissemination of news through wood-block prints and handbills gave way to lithography which allowed the transfer of illustrations and photographs to the printed page. This facilitated large circulations (Note 5). As education for all spread, so newspapers, journals and magazines flourished and reached a broad audience. These included popular magazines for boys, girls and women. One such monthly girls' magazine called *Foundation of the Nation* (*Kuni no Motoi*), published between 1889 and 1890, was suppressed by the Imperial Diet for being too westernized. Short-lived though it was, it contained the first, incomplete translation of Mary Shelley's *Frankenstein* (Nakagawa, 2014) (Note 6). Listed in the order they were published, translations of works by Edward Bulwer-Lytton, Fyodor Dostoyevsky, William Wordsworth, Robert Burns and Shakespeare, amongst others, appeared from the 1870s onwards (Note 7). Charlotte Brontë's *Jane Eyre* (1847), which explores female identity, reached Japan in the late-nineteenth century (Note 8). By 1905, translations of the French Parnassian and Symbolist poets also became available in Japan (Note 9). Émile Zola's work was recognized for its theories of Naturalism, and debated by Meiji intellectuals, including Mori Ōgai (1862−1922) (Note 10). Mori Ōgai (pen name of Mori Rintarō) was the first to introduce German literature widely to Japanese readers. Sent as a young military surgeon to study western methods of hygiene, he lived in Dresden, Munich and Berlin from 1884 to 1888, and avidly read English and German literature during his stay. On his return to Tokyo in 1889, Mori Ōgai founded the literary magazine, *The Weir*, and several other journals in which he published original and translated literature, and literary criticism (Note 11). He was one of the first to acquaint his Japanese audience with the work of Goethe, Gottholdt Lessing, Heinrich von Kleist, Heinrich Heine and Hoffmann (Rimer, 1975, pp. 24, 36). During March to July 1889, he published his own translation, *Tama o Idaite Tsumi Ari*, of Hoffmann's story, *Mademoiselle de Scuderi* (1820), introducing him as a forerunner of Edgar Allan Poe. Both Aeba Kōson (1855−1922) and Uchida Roan (1868−1929) translated Poe's *The Black Cat,* in 1887 and 1893 respectively*,* and in 1896−1897 Poe's *The Pit and the Pendulum* appeared as *Kan-Ippatsu* (Nakai, 1978, p. 383) (Note 12). Mori Ōgai's poetry magazine *Vestiges*, dating, like *The Weir*, from 1889, included translations of many major poets such as Byron and Thomas Gray, together with the traditional Japanese poetic forms *haiku* and *waka*. *Vestiges* also featured Mori Ōgai's translation of the poem, "The Lost Star of my Love," from Hoffmann's tale *Master Martin the Cooper of Nuremberg and his Apprentices* (1819) (ibid.). Thus, Hoffmann's work was part of the influx of translated, abridged and adapted western literature to reach Japan as the nineteenth century gave way to the twentieth. All these publications are symptomatic of a growing appetite for European literature. Whether read in depth or not, western literary works were readily available to the Japanese reading public.

Given this historical and literary context, and that Soseki was an insatiable reader and buyer of books, it is not surprising that he came across Hoffmann's work as a student through his university tutor, the German Professor Raphael von Koeber (1848−1923). Sōseki's "literary portrait" of Koeber, written in 1911, describes him retrospectively as "an avid reader of Poe and E.T.A. Hoffmann" (Marcus, 2009, p. 165) (Note 13). That Sōseki wrote a second piece about Koeber to commemorate the latter's planned departure from Japan, prevented by the First World War, is testament to the bond between him and his old teacher, which lasted for nearly twenty years. Sōseki also became familiar with Hoffmann and other German writers through association with his fellow Monbushō (Ministry of Education) scholar and friend, Teisuke Fujishiro (1868−1927). In September 1900, Fujishiro and Sōseki voyaged from Japan for several weeks together on the Preussen to begin their periods of study in the west, with Fujishiro bound for Germany and Sōseki for London. They continued to correspond with each other, and, when he had completed his studies in Germany and travelled to London, Fujishiro became

Sōseki's "companion" (ibid., p. 216). They would therefore have had the opportunity to discuss the literature Fujishiro had encountered in Germany. Later, they were both professors of literature at Tokyo University (ibid., p. 215, note 46). Nathan describes Fujishiro as "the father of German literature studies in Japan", who introduced Japanese readers to Hoffmann's *Tomcat Murr* and identified similarities and differences between it and Sōseki's novel (Nathan, 2018, p. 92). Despite this, Nathan downplays Hoffmann's novel, attributing dominant influences on *I Am a Cat* elsewhere.

3. Literary Structures and Engagement with Contemporary Discourses

The unusual structure of *Tomcat Murr* splices together Murr's autobiographical novel with the biographical musical adventures of Kreisler, one written on the reverse side of the other according to the fiction of the narration. The two narratives, as indicated by the full title of the novel: *The Life and Opinions of Tomcat Murr: Together with a Fragmentary Biography of Conductor Johannes Kreisler on Random Sheets of Waste Paper*, are printed with the front and back of the sheets alternating and running non-chronologically. Hoffmann, as author and self-designated editor, apologizes for the novel going into print in its entirety, including Kreisler's reverse-sided biography (Hoffmann, 2016, p. 1). In the separate episodes of his first-person narrative, Murr boasts that he has read and written many books and poems and that much of his work has been published, the text of the novel being fictional proof of his claim. Furthermore, fictional human characters in the novel believe him to be a gifted author. The first Foreword of the novel, signed by Hoffmann himself, explains how a friend gave him the manuscript written by Murr which he submitted to his own real-life publisher, Ferdinand Dümmler. In keeping with this conceit, Herr Dümmler is reported to have said that "although he had never numbered a cat among his authors before … he was willing to make the attempt" (ibid.). It is significant that the novel's title, various Forewords (two of which, according to the fiction, are penned by Murr), and the Preface all refer to the eponymous cat, rather than to Kreisler. These witty devices should discourage any marginalization of Murr, yet criticism tends to focus on Kreisler. For example, Meyer regards Murr's autobiography as having merely a "contrastive function" (Meyer, 1968, p. 126). We foreground the equal importance of Hoffmann's tomcat and Kreisler. Hoffmann's novel, by including many discourses, such as the use of various narrators, a high incidence of dialogue, poems, songs, prefaces and editors' comments, can justifiably be described as polyphonic (Note 14).

The entanglement of Tomcat Murr's autobiography with Kreisler's biography in *Tomcat Murr* is a structural and ironic device which questions the stability of meanings in both sections. As Clason succinctly puts it: "Murr wants to live well, but produces bad art, while Kreisler wishes to create true art, but cannot live well …. The novel's intriguing structure embraces both corporal and intellectual principles" (Clason, 1992, p. 500). Thus, the form of the novel expresses the duality of spirit and body, imagination and materiality, and the romantic, aesthetic dilemma of attempting to reconcile artistic inner yearning with the need to live in the world. The comedy of Murr's autobiography is that he defaults invariably to material need and visceral appetite while still believing himself to be "the glowing comet, the celestial meteor passing prophetically in great glory through the world" (Hoffmann, 2016, p. 116). While Kreisler's genuine musical vocation renders him a foolish, comic, but well-meaning social misfit, Murr's gross self-deception that he is a literary genius allows Hoffmann to launch satiric barbs against artistic charlatans (Note 15).

Sōseki's novel, with its single plot, has a simpler narrative structure than *Tomcat Murr*. It began life as a short story, read aloud to members at a meeting of the Yamakai reading group organized by his colleague, Kyoshi Takahama (1874–1959), editor of the literary magazine *Hototogisu* (Cuckoo). Takahama published *I Am a Cat* in the January 1905 issue and, by the end of that year, its subsequent issues featured five further chapters. Sōseki added five more "Installments" (sic), bringing his cat's first-person narrative to its close in the issue of August 1906. In 1905, the first five chapters, published together in one volume, proved so popular that the first printing sold out in twenty days and Sōseki's university students nicknamed him "Professor Cat" (Nathan, 2018, p. 91). This set the publishing pattern of all his novels which, unlike *I Am a Cat,* were printed in daily instalments in the *Asahi Shimbun* newspaper. Sōseki held the post of writer in residence at this newspaper from March 1907 until his death in 1916.

Like Tomcat Murr, Sōseki's fictional cat, (hereafter known as Neko, the Japanese word for "cat"), can read and write. In first-person narrative, Neko explicitly tells his readers "these close written pages, which the more superficial minds amongst you have seen as nothing better than a tiresome spate of trivial chit-chat, shall suddenly reveal themselves as containing weighty wisdom, edifying homilies, guidance for you all" (Sōseki, 2002, p. 295). As conceited about his intellectual abilities as Murr, Neko is thoroughly convinced of his own infallibility. He believes that his powerful tail encompasses "… not only the power of God, Buddha, Confucius, Love, and even Death, but (is) also an infallible panacea for all ills that could bewitch the entire human race" (ibid., p. 104). However, Neko's antics as he chases his tail, which he calls the "Gracious Deity," (ibid., p. 105),

exemplify instinctive, ordinary cat behaviour to which he ascribes metaphysical powers. In common with Murr, Neko observes the behaviour and records the conversation of human beings around him, often making satirical comments about his master, the schoolteacher Kushami, and Kushami's academic associates: the aesthetician and raconteur Meitei, the physics student Kangetsu Mizushima, and the poet Tofu Ochi. Yagi Dokusen, a scholar of Zen Buddhist philosophy, a late-comer to the coterie, is also the object of the cat's satire. Neko reveals himself to have far more insight than any of the humans he meets, observing justifiably that they are "non-productive intellectuals" and "hermits in a peaceful reign" (ibid., p. 66).

These individuals represent a new social group which emerged in Japan between the Sino-Japanese and Russo-Japanese wars of 1885 and 1904–1905 (Katō, 1997, p. 257). Sōseki, refracted through the voice of Neko, ridicules such groups. Given that Sōseki was the leading scholar of English literature in Meiji Japan (Marcus, 2009, p. 2), *I Am a Cat* may thus be read as a mockery of his own circle of late Meiji intellectuals; and its group leader, Kushami, as a satiric portrait of school teachers of the time. He lacks the nobility of character and high standard of professional ethics then expected of teachers (Note 16). Far from seeing teaching as a "sacred profession" (Jenkins, 2014, p. 20), Kushami is so disillusioned and ineffective that he does not even recognise Lancelot Yore, one of his pupils who begs for his help. Sōseki's cat-narrator comments drily, "my master is unpopular, and hardly a single schoolboy ever comes near him" (Sōseki, 2002, p. 386). Kushami may also be a satiric self-portrait of Sōseki. Fujii, however, argues that *I Am a Cat* is much more than a self-referential satire. Its "dialogic structure", he maintains, is a "form of protest against *genbun'ichi*" (Fujii, 1989, p. 556), the new, more westernized form of the Japanese language which the government was then keen to introduce (Note 17). *I Am a Cat*, Fujii continues, therefore embodies Sōseki's concerns about the future of the Japanese language. Treat suggests that Sōseki's position regarding this state-sponsored adoption of *genbun'ichi* is more nuanced than one of protest, and that, by foregrounding orality within a written text at a time when Japanese culture was moving from oral to textual forms, Sōseki, through Neko, is participating in a wider linguistic debate. It is particularly apposite, therefore, that the original story of *I Am a Cat* was read aloud, and only later converted into text.

In entering this current cultural debate, Sōseki echoes Hoffmann's engagement with contemporary issues surrounding, in his case, German philology. Tomcat Murr is so proud of his ability to learn easily the language of Poodlish, as spoken by his friend Ponto, the poodle, that he writes a book about it. Murr's egotistical remarks can be read ironically as referring to the contemporary interest in the study of Sanskrit and the current debate as to whether one can learn a foreign language to the same standard as an indigenous speaker. Murr also pontificates about his owner's, Master Abraham's, advice to the Lord Marshal in the court of Sieghartsweiler that this courtier's verbal affectation, which peppers his speech with rote-learnt French phrases, renders him ridiculous (ibid., pp. 39–40). In comparison, Sōseki's novel not only foregrounds spoken language in Neko's discourse, but also exemplifies it in "*rakugo,* popular songs, epigrams, and a host of other forms with strong traces of orality", which together bring some collective unity to the novel (Fujii, 1989, p. 562). Using Neko's ability to eavesdrop and comment to the reader on what he hears, Sōseki conveys orality within textuality. Poems and stories read aloud and discussed by his master's friends, snippets from a lecture, epigrams from Zen philosophy, and speeches, are amongst its plurality of discourses. The result is a prose text which Treat describes as "carnivalesque", a device which embraces the concepts of farce, bathos, parody, irony and satire (Treat, 2018, p. 95). Such devices and varied registers jostling side by side merit our description of Sōseki's novel as polyphonic.

4. Four Cats—Real and Imagined

In real life, Hoffmann and Sōseki both owned cats, which became models for their fictional cat-narrators. Whilst Hoffmann affectionately named his pet both in reality and in his fiction, Sōseki did not, indicating the authors' differing approaches to their cats. In late November 1821, just before he finished writing Volume Two of *Tomcat Murr*, Hoffmann announced in a letter to friends, the death of his beloved cat, named Kater (Tomcat) Murr. His praise of Kater Murr's "promising life" is ironic in tone, but sorrow at his loss is genuine (Sahlin, 1977, p. 315). At the same time, Hoffmann's surrogate, the fictional editor of his novel, also announces the death of Tomcat Murr. His initial ironic hyperbole gives way to a more ambivalent tone in such phrases as "peace be to your ashes" (Hoffmann, 2016, p. 279). The postscript also ends with the editor's promise for next Easter's book fair of a third volume, containing further fragments of Murr's posthumous writing. As we now know, the third volume did not appear. Hoffman's own death from spinal paralysis in June 1822 prevented completion. Sōseki's autobiographical vignette, "The Cat's Grave" (1909) gives an account of the death of his cat on whom Neko was based. Whilst Sōseki may not have been as attached to the stray kitten which found its way into the Natsume household as Hoffmann was to Murr, nevertheless, after Neko's death, the family erected a grave marker; Sōseki composed a short poem in the cat's memory; and his wife and children treated Neko's grave almost as a shrine (Sōseki, 2015, p. 64). The death of these family pets is not relevant to literary transmission, but might explain to

a degree some of the affection, in the respective novels, of Master Abraham and Master Kushami for their fictional cats (Sōseki, 2002, p. 78). Both feline protagonists fulfil, albeit ironically, the role in the fairytale tradition of the cat as helper, companion, and philosopher (Note 18). Indicatively, a Japanese translation of Charles Perrault's fairy tale, *Puss-in Boots*, was published in a collection of French fairy tales in 1896 (Otaki, 2014, ch. 1, sect. 2). Thus, a western version of feline relationships with humans, as in *Puss-in-Boots*, *Dick Whittington* and the magic-servant cat or witches' familiar, had migrated to the newly-opened-up Japan by that time. The idea of a philosophical cat is completely at odds with the Japanese folklore of cats as frequently presented in kabuki plays and wood-block prints. These supernatural cats, or kaibyō, develop from domestic cats as they grow up, and are invariably monstrous, horrific and vicious (Note 19). By denying Neko any such attributes, Sōseki aligns his fictional cat with the western, rather than the Japanese, tradition.

Both Hoffmann's fictional Murr and Sōseki's Neko have a close attachment to their masters, albeit one mixed with love of the creature comforts they are provided with. Master Abraham, a magus, scholar and maker of fireworks, resident at the petty German royal court of Sieghartsweiler, saves Murr from drowning as a kitten. He is unfailingly kind and patient with his mischievous pet, rescuing him from a skylight when trapped by fire (Hoffmann, 2016, p. 92), playing with him (ibid. p. 142), brushing him clean after he hides in the stove (ibid., p. 195) and nursing him through fever (ibid., p. 265). Lastly, when Master Abraham has to leave Sieghartsweiler, he arranges for Murr to live with his protégé, the musician Johannes Kreisler. Sōseki's master, Kushami, is less solicitous of Neko than Master Abraham is of Murr, but his attitude to his feline companion is markedly different from others in the household. Initially, Neko is "terribly unpopular with everyone except the master", whom he refers to as "the man who had taken me in" and "fed me" (Soseki, 2002, pp. 5, 256). The cat's obsession with food, and the observation of Kushami's friend, Meitei, that Neko has become "chubby" (ibid., p. 74) confirm his unusual status in Japan as a pet, rather than a ratter. Neko forgives his master's indolence; his failure to become a successful academic; and even his critical attitude toward his wife (ibid., pp. 131, 167), because, at heart, Neko sees him as kind. He shows his gratitude and loyalty to Kushami by spying on his neighbours, the self-seeking, materialistic Kanedas, who criticize and discredit him (ibid., p. 119). Neko also purposely sits on a cushion intended for a visitor whom he knows is deceiving his master (ibid., p. 133). When the latter disregards the advice of Tatara Sampei, the family's erstwhile houseboy, to "get rid of" Neko because he is idle and has never caught a rat (ibid., p. 171), the cat's intelligent response is to exercise and attempt to catch rats (ibid., pp. 225, 183-186). Even when Kushami "whacks" Neko's head to elicit a miaow, the latter insists that his action is "guileless and dim" rather than "mean". Kushami's unsuccessful attempts at Zen meditation elicit Neko's irritation with his master's "dullness of … brain" (ibid., pp. 259, 312, 349). In comparison with the cat and his master in Hoffmann's *Tomcat Murr*, the bond between Sōseki's Neko and Kushami weakens in the later stages of the narrative, and, commensurately, Neko becomes increasingly skeptical and purposeless.

5. Shared Literary Legacies

According to critical consensus, Hoffmann and Sōseki share a detailed knowledge of Sterne's fiction; Sōseki, coming later in history, acknowledges both Sterne and Hoffmann as precursors. The extant two volumes of Hoffmann's *The Life and Opinions of Tomcat Murr* clearly owe a debt to the title and structure of Sterne's *The Life and Opinions of Tristram Shandy, Gentleman*. Hoffmann refers directly to *Tristram Shandy*'s digressive narrative shape through Sterne's character, Corporal Trim, by drawing Corporal Trim's waving flourish in the air with his stick, and by copying Tristram Shandy's illustrations of looping, irregular lines to represent plot lines (Hoffmann, vol. 1, p. 781; Sterne, 2009, pp. 379, 490). The Preface, Forewords and complex plotting of *Tomcat Murr* make it immediately clear that Hoffmann is sympathetic to Sterne's writing practices. Sōseki's detailed knowledge of Sterne is apparent in his seminal article on *Tristram Shandy* (1897) (Note 20), while his own novel, described as "writing 'without a head or a tail, a creature like a sea slug'", replicates its structure (Treat, 2018, p. 77). Echoing the implied feline pomposity of Hoffmann's novel title, Sōseki's title *I Am a Cat*, in Japanese grammar (which cannot be translated literally), is suggestive of upper-class arrogance (Note 21).

A recurring theme of Hoffmann, Sterne and Sōseki's novels is the grotesqueness of bodies. Hoffman is fully informed about the aesthetics of the grotesque. For example, the Foreword to his first collection, *Fantasy Pieces in the Style of Callot* (1814), registers his desire to model the characters, themes and structure of his writing on the grotesque illustrations of French engraver, Jacques Callot. He confesses he could not get enough of Callot's hybrid forms, which "emerge beside each other, even within each other", thus combining the fantastic with everyday life (Hoffmann, 1993a, p. 17). The style of the grotesque, featuring incongruous fusions of the ludicrous and the fearsome, or the living and the mechanical, recurs throughout his work. In *Master Flea* (1822), his final story, an adversary who recognized himself in the comic grotesque character, Knarrpanti, took Hoffmann to court for libel. Hoffmann dictated his defense from his deathbed, denying the charge and quoting

from Karl Flögel's *History of Grotesque Humor* (1788), to assert the importance of laughter (Sahlin, 1977, p. 324) (Note 22). In 1827, Walter Scott described Hoffmann, in English translation, as the "first distinguished artist who exhibited the fantastic or supernatural grotesque in his compositions", which comprised "the most strange and complicated monsters" (Scott, 1827, p. 81). Scott favors the historical authenticity of his story, *The Entail* (1817), in comparison with the grotesqueries of *The Sandman* (1816), and states that, as a German Romantic, Hoffmann's "taste and temperament directed him too strongly to the grotesque and the fantastic" (ibid., p. 93). Despite Scott's personal judgement, which imputes the literary results of Hoffmann's "overheated imagination" to excessive drinking and smoking (ibid., p. 82), thus criticizing the author rather than his tales, the grotesque is undeniably a hallmark of Hoffmann's writing. Kayser, in line with critical consensus, argues that Hoffmann's use of the grotesque, together with Scott's essay, shaped the work of Edgar Allan Poe (Kayser, 1963, pp. 76–77). It is significant, then, that Poe's *The Black Cat* and *The Pit and the Pendulum* were published in Japanese translation in 1887 and 1896–1897 respectively. Furthermore, Mori Ōgai, when he published his Japanese translation of Hoffmann's *Mademoiselle de Scuderi* in 1889, introduced him as a forerunner of Edgar Allan Poe (see Section 2, para. 3). Lippit pertinently explores Sōseki's essays on Poe, commenting on "the affinity he felt for the world of Poe" (Lippit, 1977, p. 30). In short, migration of literary modes of writing, including the grotesque, spreads by various routes, Hoffmannesque and otherwise, and so shapes Sōseki's prose fiction.

Burwick's analysis of the grotesque argues that the body is "rendered grotesque because of the way it is perceived" (Burwick, 1987, p. 13) (Note 23). Thus, cultural models of beauty or monstrosity influence received opinion, but personal perceptions may not align therewith. In general, the grotesque is an ill-sorted assemblage of incongruous, distorted or deformed parts, but the eye of the beholder, or, in fiction, the perception of characters or narrators, may override generalized interpretation. If *Tomcat Murr*'s front cover reproduces Hoffmann's original drawing for it, then the impact of Hoffmann's preoccupation with physical grotesqueness is immediately apparent. This vignette depicts Murr writing, seated at a desk on a roof, dressed in a toga. The drawing mirrors musician Kreisler's comment in the verbal text that Murr has "the authoritative look of a Greek philosopher" (Hoffmann, 2016, p. 16). Clason comments: "(d)espite its grotesqueness, the drawing expresses Murr's self-estimation as a model of felinity … in the same manner that the classical authors of Greek or Roman antiquity served as cultural prototypes for later eras" (Clason, 1992, p. 494). Clason goes on to analyse the grotesque figures in the arabesque border of the vignette, with which Hoffmann surrounds all four front and back covers that he drew for his two-volume novel (ibid., pp. 501-502). Furthermore, Murr's perception of his own feline beauty is distorted when seen from the point of view of the poodle, Scaramouche. Scaramouche concedes that Murr is allowed to be friends with his nephew, Ponto, in private, but must not join a gathering of poodles "because you aren't fit for such society and never could be, if only because your small ears betray your vulgar origins … and would be regarded as most improper by all right-minded, large-eared poodles" (Hoffmann, 2016, p. 80). Perceptions of what are suitably large or small ears in relation to the face as a whole, therefore, stem from individualized views of beauty and ugliness.

Sōseki borrows from both Hoffmann and Sterne with regard to grotesque members of the body. The nose in particular engrosses characters in *I Am a Cat*, infusing the grotesque with the comic. Neko watches Kushami wipe his "nose-greased fingertip" on his blotter, ironically calling it one of his "charming little ways" (Soseki, 2002, p. 316). Bitten on the nose by a rat, Zen philosopher, Yagi Dokusen, immediately abandons his belief that Buddhist spiritual enlightenment places him above "mundane matters". Dokusen, fearing for his life, pleads with Meitei to "do something", whereupon Meitei smears the bite with a paste made from boiled rice grains, which he passes off as a rare Indian ointment (ibid., p. 336). Furthermore, Neko reports that when Meitei and Mizushima ridicule the enormous nose of Kushami's neighbor, Mrs Kaneda, Meitei makes explicit reference to Sterne's disquisition on noses in *Tristram Shandy*, calling it an "interesting treatment of the subject" (ibid., p. 146). According to Aldridge, Mrs Kaneda, nicknamed Madam Conk, and Mrs Kushami are "parallel to" the grotesque pedants Phutatorius and Kysarcius in *Tristram Shandy* (Aldridge, 2008, p. 661; Sterne, 2009, pp. 261-262). Jacobowitz also examines "the comic disquisition on the nose", the "nasal humor" and the use of Sneaze as Kushami's nickname in *I Am a Cat* in relation to Sterne's novel (Jacobowitz, 2009, pp. 52, 50). Grotesque genital humor accompanies these nasal jokes. Phutatorius, for example, manages to burn his private parts by dropping a hot chestnut into his open flies and Tristram, while urinating out of a sash window, is almost castrated by its fall (Sterne, 2009, p. 301) (Note 24). Yet, despite Sōseki echoing Sterne's preoccupation with the grotesque, there is a notable difference in narrative stance. Sterne's narrator throughout is the eponymous Tristram Shandy; there is not the thinnest whisker of a cat anywhere in his adventures. By contrast, Hoffmann and Sōseki refract their presentation of human antics through the different perspectives and first-person narration of cats.

Sōseki's presentation of a Japanese bathhouse through his cat-narrator's unique gaze owes as much to Hoffmann's satiric narrative stance as to Sterne's use of the grotesque. Neko's irregular entry by the back door confronts him with a pile of bathhouse fuel. He deduces wrongly that the bathers within have been "apparently reduced to munching lumps of coal" (Sōseki, 2002, p. 241). Leaping up to survey them from above through steamed glass and "foggy veils" of mist rewards Neko with "the crass spectacularity" of human nakedness, which, in his mind, confirms their inferiority to cats (ibid., p. 243). One man's back displays a vast, but incomplete, tattoo depicting the heroic swordsman, Iwami Jūtarō, while another's spine is exposed "like knotted bamboo" and oozes pus as he "steams his crotch" (ibid., p. 252). Kushami's blurred head is "quashed, parboiled and poppy-red"; another's resembles a "haggard cucumber"; another's a "trampled pudding" (ibid., p. 253). "Horribly hairy legs and horrible, hairless things" become entangled as bathers climb out to robe themselves (ibid., p. 256).

Neko's unusual vantage point and the shocking revelation of human nakedness exemplify the grotesque, while his extended account of the rigmarole of speech emerging from the mouths of the bathers is potently satiric. Murr makes similar observations on the inanity of human conversation from a unique viewpoint when enclosed in his basket or hiding in his master's stove (Hoffmann, 2016, p. 192). In addition, it is significant that Neko's encounter with the grotesqueness of the bathhouse, alongside innumerable other encounters with the world around him, occurs in Volume Two of *I Am a Cat*. Thus, the cat's perspective, which strongly suggests a lineage back to Hoffmann, permeates all three volumes. We therefore disagree with Keene, who argues that Neko's dialogue with Murr at the very end of the novel is merely an expedient afterthought which allowed Sōseki to bring his serialization of *I Am a Cat* in *Hototogisu* to a close (Keene, 1998, p. 350, note 20).

6. Autobiographies of Tomcat Murr and Neko

The adventures of both felines comprise a series of scrapes. Murr becomes drunk, has romantic liaisons, is chased by dogs, wounded by bigger cats, and pelted with bricks and insults for caterwauling. Similarly, Neko becomes drunk, and falls in love with Tortoiseshell, a beautiful, high-class cat. Likewise, he is intimidated by a huge "rough customer" of a cat, named Rickshaw Blacky (Sōseki, 2002, p. 10). Endangered by rats, endemic in Tokyo while *I Am a Cat* was serialized, Neko also finds himself fearing for his life (ibid., p. 185). Much of the comedy of both autobiographies stems from the juxtaposition of farce and deluded self-praise. Throughout his life, Murr sustains an unquestioning belief in himself as a true genius, enjoys flattery, and expects young tomcats to emulate him. There is some basis for his self-belief, though not his arrogance. Murr describes Master Abraham's desk as "a magic circle which held me spellbound" (Hoffmann, 2016, p. 19) (Note 25). Initially he buffets papers about with his paws in kitten-like exuberance, but then learns to sit close while his master reads, and so learns to read himself. His method of selecting a book is catlike and comic, as he leaps up with eyes closed, not bothering to read the titles, and pulls one randomly off the shelves. "Through this mode of studying", he observes, "my mind acquired that wide-ranging flexibility, that diverse and brilliant wealth of knowledge, which posterity will admire in me" (ibid., p. 37). This unscholarly accumulation of superficial learning and his frequent relapses into instinctive behaviour set the scene for future battles between his intellectual aspirations and his animal appetites. The comic disjunction of these attributes, a hallmark of Hoffmann's style, also recurs in Sōseki's writing practice.

Like Murr, Neko has an unshakeable belief in his extraordinary abilities, and considers himself "a truly unusual cat … with a mission demanding purely mental activity" (Sōseki, 2002, p. 178). When Kushami receives New Year cards celebrating The Year of the Cat, Neko instantly assumes they are in recognition of himself, and ridicules his master for not recognizing this obvious "fact". Neko credits himself with making his master famous, stating "It is entirely due to me that my master, hitherto a nobody, has suddenly begun to … attract attention" (ibid., p. 20). He (Neko) is also convinced that he can "read thoughts", and, explains in quasi-scientific terms how a "beam of electricity" transmits thoughts into his "mind's eye" (ibid., p. 349). Neko acquires his literary skills differently from Murr, honing them by eavesdropping on the aesthetic discussions between his master's coterie of eccentric friends. Proficient at reading from the outset, he comments on the contents of his master's diary (ibid., pp. 14, 15, 311); a *haiku* in praise of cats (ibid., p. 20); and on an epitaph his master has composed (ibid., p.71). Sōseki also exploits the comic effect of the disjunction between Neko's assumption of intellectual superiority and his instinctive feline nature. As might be expected of a cat, Neko enjoys his home comforts, most of all food and frequent naps. He often exaggerates his successes, either painting himself as a hero or characterizing himself as surviving adversity. He likens his victory over a praying mantis—hardly a dangerous adversary for a cat—to the successes of "Kung Ming, that military marvel of the Shu kingdom in the third century" (ibid., p. 230). He also compares his method of descending pine trees, which he calls "pine sliding", with the legendary warrior Yotshitsune's "headlong horse charge down the cliff at Hiyodori-goe" (ibid., p. 234)

(Note 26). The cruelty of Neko's hunting methods, and his sadistic pleasure in playing with his defenceless prey, sit ironically alongside his perceived moral superiority.

Murr, as a young cat, has much to learn, including restraint when eating, a lesson which he never fully masters. This is typified by his ode to food, beginning: "O Appetite, thy name is Tomcat" (Hoffmann, 2016, p. 29). He cannot even resist eating a herring head which he set aside to give to his mother on their first meeting. Capitulating to this basic feline instinct is comically at odds with his self-perception as a "student of psychology plumbing intellectual depths" (ibid.). Neko cannot resist food either, a character trait which conflicts with his high-flown moral pronouncements. Tempted by leftover rice-cake, he soon discovers that it has glued his jaws firmly together, and in a frantic attempt to free himself, he "pranc(es) madly all over the kitchen". However, this near-death experience, according to Neko, supposedly brings him to a realization of the following four philosophical truths: "golden opportunity makes all animals venture to do even those things they do not want to do"; "all animals can tell by instinct what is or is not good for them"; "in conditions of exceptional danger one can surpass one's normal level of achievement" and "all comfort is achieved through hardship" (Sōseki, 2002, pp. 30–31). In practice, Neko only acts on the first of these truths, and owes his survival to his master's realization that the servant woman, O-san, must act quickly to remove the rice cake from Neko's mouth. The device of ironic juxtaposition shows that both Hoffmann and Sōseki have an eye for comic buffoonery, and, furthermore, both lampoon their cat-narrators.

In Murr's autobiography, Master Abraham is the only being who escapes satire. Rather, he is subject to gentle mockery as Murr recounts how his master unhurriedly packs three nightcaps, underclothes and silken breeches, alongside a few books, when his house is in danger of burning down, (Hoffmann, 2016, p. 93). Murr's amused observations signal his understanding of and affection for the idiosyncrasies of a master who loves him. Otherwise, human shenanigans are subject to seriously scathing satire. For example, Ponto describes to Murr his adventures as a go-between for Baron Alcibiades von Wipp, carrying billets doux to and from his lovers, and facilitating illicit liaisons by guarding bedrooms and barking at danger of discovery (ibid., pp. 234–245). This comic bedroom farce mirrors tomcat sexual behaviour and ridicules aristocratic and bourgeois decadence, adultery, promiscuity and hypocrisy. Leaving kittenhood behind, Murr develops through a period which Master Abraham calls "his awkward age" (Hoffmann, 2016, p. 68). His adolescence concludes with his first experience of romantic love with a beautiful female cat named Kitty. The humour is delightful as Murr checks in Ovid's *On the Art of Love* to see whether he displays the appropriate lovelorn symptoms (ibid., p. 119), and writes copious love poems which he spouts out "like a person … succumbing to terrible fits of sneezing" (ibid., p. 121). Eventually romantic fever wanes and Kitty falls in love with a huge, rough, black tomcat, a heroic figure just returned from war. Although Murr had felt "the last sparks of love … gradually extinguished" (ibid., p. 133), he melodramatically plays the part of an abandoned husband, while secretly feeling relief at his release. Ever opportunistic, self-congratulatory and self-forgiving, he exploits the situation for the sake of appearance, challenges his rival to a duel, and ensures he completes a thick book of poems dedicated to Kitty. Sōseki does not emphasize the poetic prowess of Neko, but shows that inequality and uncontrolled sexual attraction between him and beautiful, socially superior Tortoiseshell drive this feline relationship to disaster. Romance is satirized when he overhears a conversation in which he, as a "tatty-looking tom" and "bad friend", is blamed for making Tortoiseshell ill and eventually causing her death (Sōseki, 2002, p. 51). Thus, both Hoffmann and Sōseki mock feline and human behaviour in love and lust.

Like Hoffmann, Sōseki satirizes acquisitiveness and pretentious intellectualism. Particularly ridiculed for their acquisitiveness are Kushami's neighbours, the Kanedas, who represent a growing social class of prosperous Japanese. When she meets Kushami and Metei for the first time, Mrs Kaneda introduces herself as the wife of a businessman who has been so successful that he has a large house "in the European style, with a godown" (warehouse). Contrary to her expectations, they are unimpressed, so she continues by stating that her husband is too busy "with company affairs" to meet them himself, putting on what Neko describes as a " 'that ought to shift them' " face. She adds that her husband has connections with two or three companies and " 'is a director of them all' " (ibid, p. 88). This undeniable proof of material success also falls on stony ground, and Mrs Kaneda cannot understand Kushami's indifference. After this encounter, Metei concludes that she "ranks a teacher on roughly the same level as a rickshaw owner", whilst Neko confirms that Kushami "only behaves most humbly toward anyone who happens to be a doctor or a professor" (ibid, pp. 97, 88). This conflict of social values is symbolized by the difference between their respective houses; Kushami's "sadly inelegant" dwelling has a "rain leak" (ibid, pp. 155, 87), whereas Neko estimates that the Kanedas' "model" kitchen is at least ten times larger than his master's (ibid, p. 103). Fittingly, Neko relishes leaving behind the marks of his "silent, muddy paws", confirmation of his successful infiltration into their home (ibid, p. 103). His satirical description of the Kanedas'

house, the outward sign of their acquisitiveness, as "vulgar" (and) "Western", confirms that Neko dislikes avarice (ibid, p. 173). This echoes his master's opinion and, indirectly, Sōseki's.

The gullible, pretentious Kushami, who approves unreservedly of Dokusen's Zen Buddhist teachings, is also ridiculed by Neko for his inability to put these teachings into practice. His attempts to master the art of Zen meditation, which should lead him to discover his "inmost nature" through "divine enlightenment", result in failure. Grotesquely, he makes the much more mundane discovery that, when examined closely in a mirror, his facial pockmarks are "repulsive" (ibid., p. 312). Observing that Kushami cannot progress any further than studying his external self, Neko parodies a line from Pope's *Essay on Man* (1734)—"the proper study of mankind is self"—to suggest the pervasiveness of self-obsession in humans (ibid., p. 316). His (Neko's) subsequent comments about self-knowledge show how much wiser he has become than his master. Furthermore, Dokusen is repeatedly satirized for his pretentious pronouncements about Buddhism, coupled with his inability to realize that he can neither express these teachings clearly, nor carry them out. Neko ironically dismisses these as "twaddle" because they include "distorted messages" and "mangled quotations" (ibid., pp. 335, 431, 436). He realizes Dokusen is deluded in believing he has achieved enlightenment, as "his feet still shuffle, earth-bound, through this world" (ibid., p. 466). As the narrative develops, the ironic gaps between the perceptions of Kushami, Dokusen and Neko imply that Neko has not only become wiser than his master, but is also more enlightened than a Zen practitioner. The comedy derives from Sōseki's characterization of Neko as the master of these masters, thus encouraging the reader to laugh at the novel's presentation of a topsy-turvy world.

As Murr matures, his world, if not his understanding, expands. This new stage of life gives Hoffmann a device to make implicit observations on student fraternities. A change in Murr's behaviour is triggered when a fellow cat, Muzius, leader of a student group (*Burschenschaft*), accuses him of a sluggardly life and "base Philistinism" (ibid., p. 158). Indignant, Murr commits himself to joining the student tomcat club and, after bidding farewell to Muzius with "an honest German paw-shake in the good old style" (ibid.), witnesses the huge leap that Muzius takes out of the window onto the roof next door. He reflects that all cats are innate gymnasts who need no vaulting or climbing pole (Note 27). Murr, naively describing his initiation into the student club, assures the reader that these ceremonies bear no resemblance to those of subversive secret societies (which were made illegal in 1819) (Note 28). Subversive or not, the rituals are rambunctious. Authentic German drinking songs are sung and Murr points out that his own magnificent extemporising is much admired by the fraternity. To accompany the novel, Hoffmann composed a lively parodic score of a student drinking song for Murr, which consists of meowing, screeching and caterwauling sounds that human singers are required to produce (Allroggen, 1970, pp. 84-85). At this point, Hoffmann's prose fiction is truly polyphonic. By the end of the evening, in an inebriated state, he wonders why he feels the need to use his tail "as a balancing pole" and has to be helped home (ibid., p. 160). His first hangover is the only experience which brings him loss of self-esteem: "I thought I saw that I was only an ordinary mouser! There can be nothing more depressing" (ibid., p. 173). This low point in Murr's experience foreshadows Neko's loss of self-confidence and the drunken episode which leads to his death in *I Am a Cat*.

Like Murr, Neko accrues a wide variety of experiences of society as he grows up and becomes more confident. Angered by a conversation in which his master is maligned by Mrs Kaneda, he decides to spy on her household, proudly affirming "I go where I like and I listen to whatever talk it interests me to hear" (Sōseki, 2002, p. 104). Neko quickly discovers that the Kanedas are also spying on his master, using Suzuki, an erstwhile associate of Kushami, to do so. Their purely materialistic motive, as Neko ascertains, is to find out if Kushami's protégé, Mizushima, would be a suitable match for their daughter, Opula. The relationship between Neko's master and his wife is also ridiculed as less than perfect. Neko observes the couple appearing so at ease together that Mrs. Kushami sits with her "majestic bum bang in her husband's face", yet, moments later, when Kushami notices the bald spot on her head, he (Kushami) openly expresses revulsion. Neko records his master's cruel judgement that his wife's baldness is a "deformity", which transgresses Japanese ideas of feminine beauty (ibid., pp. 129, 131). The adolescent Neko therefore discovers from personal observation that even that most socially valued institution, marriage, can be founded on material gain and domestic cruelty. In step with Murr, the more Neko learns about human beings, the greater is his understanding of their recurrent slippage downwards towards immoral bullying and fleshly weakness.

The causes of Neko's death are an amalgamation of despair about the human condition, loss of self-confidence, drunkeness and a Zen-like acceptance of fate. It is the culmination of a chain of events set in motion by feelings of sadness and disillusion which Neko experiences after eavesdropping on another rambling discussion between his master's friends. Their dialogue encompasses the relative merits of western and Japanese cultures; the power of the state; and the role of women in Japan. Therefrom Neko conceives that any happiness these friends might

experience will be transient. This epiphany combines with his recent encounter with the ghost of Tomcat Murr who appears before him "piqued with curiosity" about his Japanese descendant. Realizing that he is no longer unique, Neko laps up two glasses of beer in quick succession. Inebriation brings a temporary, comic and triumphant sense of "radiant … glory" (ibid., p. 469), but once unable to stay vertical or keep awake, he accidentally falls into a large water-filled clay pot. After desperate attempts to climb out, he resigns himself to impending death, saying "I've had quite enough, thank you, of this clutching, clawing, scratching, scraping, scrabbling, senseless struggle against nature." (ibid., p. 470). Kawana's critical explanation of the drowning argues that the cat's words are in inverted commas because they are addressed to someone who has facilitated his death and is watching him drown (Kawana, 2010, p. 17). However, Kawana's argument fails to prove convincingly that the cat's utterance is anything other than the last few words, spoken aloud, of Neko's marathon interiorized monologue. We suggest that the inverted commas signal Neko's final moments of consciousness. The novel closes with a moving expression of his transition from the material world into "the endlessness of peace" that precedes Buddhist transcendence, as he drowns his sorrows and himself (Sōseki, 2002, p. 470). The fragmented sentences and repetition of the word "thankful" through a nenbutsu chant intensify a sense of acceptance that derives from true Zen Buddhist doctrines. Porcu (2008) confirms that Neko's final words are indeed a Buddhist prayer, in which he utters the nenbutsu twice, and also expresses his gratitude to the Buddha, twice (Note 29). As the buffoonery and banality of Neko's drunkenness switches in tone to the language of philosophical acceptance, his understanding and practice of Buddhist tenets, adumbrated earlier in the novel, lends gravitas to his death. Thus, in the closing section of *I Am a Cat*, Sōseki makes judicious use of rapidly changing registers to present his cat-narrator's tragi-comic death.

7. Hoffmann and Sōseki—Masters of Satire

The sum total of Murr's adventures in *Tomcat Murr* constitutes a parody of a *Künstlerroman* (artist novel), a variation of the *Bildungsroman* (development novel), both familiar genres during Hoffmann's writing career. Contemporary examples are Ludwig Tieck's *Franz Sternbald's Wanderings* (1798) and Novalis (Friedrich von Hardenberg)'s *Henry von Ofterdingen* (1802), whose unworldly Romantic protagonists, respectively a painter and a poet, pass through various developmental stages and struggle with the dichotomy of self and society (Note 30). In parallel, *Tomcat Murr* begins with Murr's adventures as a blind newborn kitten, and ends with his death, although the planned third volume did not come to fruition. The divisions of Murr's life into periods of development are all mock-heroic. They are a neat device through which Hoffmann even-handedly critiques the tendency towards solipsism in artists and the follies of contemporary society. As Kofman points out, the pompous repetition by Murr of the beginning and ending of each stage of his life "ridicules all autobiographies of geniuses which operate in this fashion" (Kofman, 1980, p. 5).

A funeral oration is also parodied through the mouthpiece of Murr. The funeral of Muzius, who died from street-fighting injuries, offers Hoffmann excellent scope to satirize fashionable society. The gathering of cats in the cellar round his dead body reveals their collective love of food and sex, and their desire to show themselves off to each other. Over the corpse, Murr quips "Ah brother Muzius, where be now your merry gambols?", thus revealing his ostentatious aptitude for Shakespearean quotations from *Hamlet* (ibid., p. 212) (Note 31). His words accompany an oration of over two thousand words delivered by Tomcat Hinzmann. This cat is ironically named, giving Murr the opportunity to boast that Prime Minister Hinz von Hinzenfeldt, "so dear to the world, so greatly valued, by the name of Puss-in-Boots", is his "great and distinguished ancestor" (ibid., p. 41) (Note 32). Hinzmann's eulogy begins recognisably with "Dearly beloved brethren, gathered here to mourn …", but switches several times mid-sentence from rhetorical praise to comic understatement: "A good and faithful husband? Ay, for he chased other little ladies only when they were younger and prettier than his wife" (ibid., p. 214). Food and drink lower the funeral from dignified mourning to flirtatious and salacious liaisons. In mock-heroic style, Murr proposes marriage to Muzius's daughter, Mina, a coupling which Kitty prevents because she knows that Mina is not Muzius's daughter, but Murr's (ibid., p 217). Murr does not explicitly comment, but this revelation shows that Muzius, whom he once idolized, put Kitty in kitten while he was encouraging Murr to duel with the soldier tomcat who broke up his (Murr's) marriage; later it transpires that Hinzmann takes his chance at the funeral to pair up with the lovely widowed Kitty (ibid., p. 230). Family deceptions seep into conversations as the funeral slips downwards from its lofty beginning into bathos, which constitutes a satire of human hypocrisy and lechery.

Murr's first-person narration bristles with literary misquotations. Indeed, Hoffmann as author often inserts his own editorial comments in brackets to chastise him for misquoting (ibid., pp. 175, 206, 218). An armoury of footnotes on literary sources in most editions of *Tomcat Murr* testifies to the cat's incessant plagiarisms, which are all the more comic because delivered so seriously. Whatever experiences come Murr's way, he reworks them into doggerel, and many of his orations concern food; for example, his verse eulogy of Muzius includes:

Transfigured tom! Whene'er I eat

A tasty fish I'll think of you;

At every slice of good roast meat

I'll vow to emulate you too." (ibid., p. 229)

Describing inspiration, he again focuses on bodily, rather than spiritual expression. For example, he gives an account, taken from one of Master Abraham's old books, of the process of writing as a desire to evacuate ideas through the fingers. Although dismissing this reference to excretions as a "spiteful satire", he acknowledges that he too has a similar peculiar feeling when putting pen to paper (ibid., p. 116). Likewise, he recommends budding literary tomcats to "scatter little bits of poems here and there into their prose", which would "serve the same function as bacon in sausage … lending the entire mixture a greasier gleam, a more delicious sweet flavour" (ibid., p. 259). Furthermore, poetry, he claims "subdues all earthly sorrows, and they say has even conquered hunger and toothache on many occasions" (ibid. p. 228). Hoffmann's parody, through the voice of Murr, of the activity of writing implies that writers would do well to keep in check their egotism and susceptibility to flattery, both of which Murr fails to do.

Petty rivalry between coteries of writers, academics and cognoscenti is also thoroughly ridiculed throughout Murr's autobiography. A character most exercised by Murr's writing talents is Professor Lothario, Master Abraham's neighbour and first owner of Ponto. As a Professor of Aesthetics, Lothario feels his superiority threatened once Ponto brings him a page of Murr's poems. To prove their provenance, he jealously watches Murr from his attic and witnesses him writing: "… sitting there at a little desk, upon which his pens and paper lay … now dipping his pen in the ink, writing, ceasing to write, writing once again, reading his work through and purring … with sheer delight" (ibid., p. 50). He accuses Master Abraham of teaching his cat unnatural skills, but Abraham points out his accusations are as absurd as the contemporary pedagogical fad of producing infant prodigies by teaching them as one would train dogs and monkeys (ibid., p. 49). Later Lothario confides to Abraham his deepening suspicion that Murr is a political subversive (ibid., p. 192). While Murr is eavesdropping, the Professor and a professional colleague reason that ancient academic statutes do not allow an ass to be appointed as professor, so surely that must also apply to a cat. They conclude that all they need to do in order to fend off competition is to cut off Murr's sharp claws so that he can never wound them (ibid., p. 98). That Murr characterizes himself as possessing "sharp claws" also reinforces this as a metaphor for Hoffmann's satirical rhetoric (ibid., p. 4). Clearly, Hoffmann uses Murr's feline perspective to lampoon controversial pedagogy and the politics of academia. In a similar way, Sōseki finds fertile ground for mockery in the self-important philosophical ideas on long-established Japanese cultural practices and literary forms. Neko describes Kushami's coterie as a group of "eccentrics … gathered to keep a cat amused", denoting them as "heroic figures" and "matchless warriors" when they are nothing of the sort. He takes it as "the highest accolade that I am accepted by them" (Sōseki, 2002, p. 213).

Neko's opinion somersaults yet again, when later he finds these academics to be tedious or even laughable, describing them as a "gathering of gasbags" who keep up "endless blather, carping and flapdoodle" (ibid., p. 223). Through Neko, Sōseki uses the haiku, one of the most highly refined forms of Japanese poetry celebrated for its brevity, to satirize Mishima's lack of understanding of his cultural heritage and the ridiculous nature of the new art form which he proposes, called the "*haiku*-play", (ibid., p. 215). Although the haiku was then a very popular and respected poetic form, Mishima is unaware that its brevity, and its customary description of nature and the seasons, make it unsuitable as the foundation for a play. Mishima's ignorance becomes even more ludicrous, when he assumes the persona of the celebrated haiku poet, and editor of *Hototogisu*, Kyoshi Takahama, to declaim the haiku on which he intends to base his play:

"A crow

Is in love

With a woman in a bath" (ibid., p. 216) (Note 33).

Mishima's companions struggle with the concept that the only action in this play is a poet walking across the stage. The poet, he says, will "strike a pose for fifty seconds, to indicate how deeply he is moved by the refined *haiku*-like effect of the scene before him" (ibid., pp. 215–216). Although he will declaim his poem, there is no further dialogue; the woman will remain in the bath and the crow will stay in its tree. Neko senses his master's disbelief. However, Mishima remains so convinced of the validity of his new art form that he envisages Takahama himself playing the part of the poet, and devises a complex, but clearly ridiculous argument to demonstrate that the audience will realize the poet falls in love with the woman. Despite their best efforts, his friends cannot persuade

Mishima of the absurdity of his *haiku*-play. Thus, in *I Am a Cat,* Sōseki interrogates the process and legitimacy of creating new art forms, issues which were then preoccupying Japanese intellectuals. Simultaneously he lampoons the narrow-mindedness of the world of academia, the pomposity of intellectuals and the self-importance of mediocre teachers.

As one of several forerunners to Sōseki's mastery of satire, Hoffmann employs satiric devices to lambast the showmanship and superficiality of literary salons in *Tomcat Murr*. Murr, in his advanced years, convinces himself that he can be both a high-minded Romantic writer *and* enjoy the glamour of high society. To this end, Ponto takes him to a soirée of his canine friends where he introduces him as "cat of renown" (ibid., p. 263). Only after several conversations does Murr realize that most guests are not paying any attention to his words. A snow-white greyhound, Minona, appears to be a true acolyte who can recite from his books. As he boasts about his illustrious career, he falls madly in love and offers marriage. Despite her breaking off the dialogue "mid-rapture" to talk with a young pug, Murr remains enthralled, "just as the man of La Mancha adored his Dulcinea" (ibid., p. 265). He unwittingly mocks himself by this comparison, revealing his superficial knowledge of Cervantes' knight, Don Quixote, as a comic grotesque. At the same time, Hoffmann ridicules the philistine tastes and manners of the salon. Murr's final humiliation comes while singing love songs below Minona's window, where his vocal efforts are greeted with a dowsing from a bucket of icy water. As Meyer argues, the figure of Murr "reveals the terrible banalization of poetic language". Although signing himself pretentiously as an "hommes de lettres", he fulfils this only in the letter and not in the spirit of the word (Meyer, 1968, p. 143).

In continuity with Hoffmann and a European satiric literary heritage, Sōseki also targets a broad field of human pretension and weakness displayed in Japanese culture and literary forms. His deliberately provocative aesthete, Meitei, whose Japanese name translates as Puzzling Tower, delights in subverting discussions with digressions, cleverly constructed lies and tall stories. Aware of how much Meitei likes the sound of his own voice, Neko comments "(t)he dragon's head of his opening remarks has dwindled down to a snake's head of an ending," but he keeps on talking (ibid., p. 149). Similarly, fellow group member, Mishima, is ridiculed for the futility of his scientific research. His work on "The Eyeball of the Frog", is lampooned because it demands that he spends long hours in the laboratory fruitlessly "grinding glass balls" (ibid., pp. 198–199). Neko's description of this recalls Gulliver's account of the many absurd experiments in the Grand Academy of Lagado, such as "extracting sun-beams out of cucumbers" for use in inclement weather (Swift, 1963, pp. 175–176). Furthermore, the third member of the group, the poet Tofi Ochi, is satirized for two reasons. Firstly, he lacks understanding of "ancient works", and writes New-style poetry in which the imagery is so "heightened" that even he admits it is "not easy" (Soseki, 2002, pp. 41, 219). For the initial meeting of his reading group, Ochi selects a passage by the dramatist Chikamatsu Monzaemon (1653–1725), writer of *bunraku* (puppet plays) and *kabuki* plays. In Ochi's chosen passage, a boatman ferries passengers to a brothel. Ochi seems unaware of how inappropriate this is for the members of his group, as the young men who belong to it must play the parts of prostitutes. Although Ochi is supposed to have studied the piece, Neko knows more about the different types of prostitutes than he does. Secondly, Ochi is ridiculed for acting out his role as boatman so melodramatically that it is greeted with laughter, and the meeting has to be abandoned. He does not realize what a laughing-stock his reading group has become, and, undaunted, even petitions Kushami to patronize it. Neko asks, through laughter disguised as a purr, "If this were considered a success, what would failure be like?" (ibid., p. 43). Despite reading some of Ochi's poetry aloud, Kushami rejects the proliferation of imagery it contains as "beyond" him, while Mishima's puzzled response is to stutter, "I … s… e… e" (ibid., p. 219). As a scientist, Mishima might be forgiven for not understanding such dense imagery, yet Sōseki clearly satirizes Kushami for his refusal to analyse it. To prove that he (Ochi) is not the only writer whose meaning might be obscure, Ochi refers to Sōseki's short story "A Single Night". In this merging of fact and fiction, Ochi reveals that when he spoke to Sōseki, the latter "refused to give any explanation, but even implied that … he couldn't care less" (ibid., p. 219). Thus, Sōseki not only lambasts the group's inability to understand New-style poetry, but also turns his satire on himself when Meitei calls the author, Sōseki, "a fool" (ibid., p. 220). This exchange of views indicates that no one escapes Soseki's satire, least of all himself.

Kushami's role in these discussions is inconsistent. Although he sometimes appears wise, as shown by his initial comments on Ochi's choice of text, he is also duped by Meitei and Dokusen, the loquacious proponent of Zen Buddhism. Kushami's literary judgement is questionable as he praises "The Giant Gravitation", a story of little substance (ibid., p. 73), and his own writing abounds in ludicrous metaphors. For instance, in his poem "The Spirit of Japan" (ibid, pp. 221-222), he uses the sound of clearing phlegm from throats to evoke this spirit, which overturns a patriotic reader's expectation of inspiring rhetoric. His reference to phlegm reinforces his obsession with noses, and the grotesque use of nasal imagery which recurs—or even runs—throughout *I Am a Cat*. It also

repeats the conceit, adumbrated in *Tomcat Murr*, which links Murr's writing with evacuating bodily fluid, and the recitation of love poems with sneezing (Hoffmann, 2016, p. 121). Neko's comment that his master's poem is "undoubtedly the masterpiece for which the anthologists have been waiting", clearly satirizes Kushami's efforts. Sōseki, mediated through the voice of his cat, satirizes teachers like Kushami, who are neither particularly creative nor adventurous. Rather, they are so set in their ways that, when they encounter new uses of language such as New-style poetry, they find them incomprehensible rather than exciting.

Lastly, through Neko's perspective, Sōseki invites the reader to re-evaluate Shakespeare's *Hamlet* from an unusual viewpoint, namely upside down and from a low angle. Sōseki links this act of looking with the Japanese legend of the "so-called Bridge of Heaven" (ibid., p. 226) (Note 34). When the landscape, sea, sand bar and pines are seen by bending down and looking through parted legs, a stance known as *matanozoki*, the landscape and its reflection appear inverted, giving the impression that the sand spit is reaching skywards, like the bridge of heaven in the legend. Thus, Sōseki ascribes a uniquely Japanese sense to the concept of topsy-turviness. Neko irreverently suggests that, were *Hamlet* to be viewed in this subversive way, it might be judged very differently, as a "bad" play (ibid., p. 226). Satirically, Sōseki applies this inversion to literary critics, concluding that the only way they can make any progress is to "stand on their heads" (ibid., p. 227). *I Am a Cat* evenhandedly directs satire at all members of the intelligentsia and the rising middle classes, thus making it impossible to decide which viewpoint, register or discourse, if any, Sōseki favours. His implied philosophical position is encapsulated in Neko's conclusion that "mankind's value judgements turn somersaults and cartwheels for no conceivable reason" (ibid., p. 226).

8. Conclusions

Both Hoffmann and Sōseki were passionate readers and prolific writers. Hoffmann read and drew upon Shakespeare, Cervantes, Swift, Sterne and Walter Scott, and immersed himself deeply in his own German literary heritage. His own oeuvre, a substantial part of which was translated into English and French by the 1830s, influenced writers as diverse as Charles Baudelaire, Edgar Allan Poe, Fyodor Dostoevsky, Thomas Mann and Angela Carter. We add Sōseki to this roll-call. As our article shows, Sōseki, like Hoffmann, drew on a multitude of literary precursors and his Japanese heritage, creatively reworking many literary strands. There is no better illustration of Sōseki's obsession with books than Teisuke Fujishiro's visit to his room in London in 1902, which he (Sōseki) was unable to vacate for the return voyage with him to Japan because of piles of book in every inch of available space (Nathan, 2018, p. 70) (Note 35). As we have argued, Sōseki's life-long friendship, both with Fujishiro, fellow Monbushō scholar, and German professor, Raphael von Koeber, suggests that Hoffmann's work was known to all three. Furthermore, as proven, the historical and cultural context of the late-nineteenth and early-twentieth century attests to a massive influx of western literature into Japan which was available to all readers, not only those inhabiting academia. Sōseki explicitly refers to Tomcat Murr in the third volume of *I Am a Cat*, published in novel form in 1907, but we hypothesize that all three volumes published from 1905 onwards, show the integral influence of Murr on Neko, Soseki's unnamed cat. Hoffmann's *Tomcat Murr* and Sōseki's *I Am a Cat* are hybrid novels which comprise many intertextual borrowings, both literary and social. These two distinctively polyphonic novels are amalgamations of many precursory literary texts. Therefore, while Sterne's *Tristram Shandy*, *Gentleman* and Swift's *Gulliver's Travels* obviously shaped Sōseki's *I Am a Cat*, there is no reason to exclude Hoffmann's *Tomcat Murr* from sharing an influence upon this Japanese novel.

Acknowledgements

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Notes

Note 1. Sōseki's given name was Natsume Kinnosuke. He took on the pen name Sōseki in 1887 when he met Masaoka Shiki, who encouraged him to write haiku.

Note 2. In comparing Walter Scott with Laurence Sterne and Jonathan Swift, Hoffmann writes that "he lacks the radiance of deep humour that flashes from Sterne's and Swift's work" (Sahlin, 177, p. 305).

Note 3. Napier argues that the dream images in Sōseki's Ten Nights Dreaming (1908) "relate to the deep transitions convulsing his (Sōseki's) community as a whole", caused by the challenge of western modernity to Japanese culture during the Meiji period (Napier, 2015, p. 7). In the seventh dream, the narrator voyages towards a destination unknown even to the crew. He decides to commit suicide, but then regrets jumping overboard. His perceptions may signify that Sōseki cannot live without Japanese culture, even if it is heading in a direction that he finds disturbing. The narrator's description of the black smoke belching from the ship may have been inspired by Commodore Matthew Perry's so-called "black ships", the Japanese term for his steam ships, the like of which had never been seen before their arrival in 1853.

Note 4. Lectures entitled "The Philosophical Foundations of Literature", which Sōseki gave as a Professor at Tokyo University were published in 1904. Here he advocates synthesizing the realism, so prevalent in western literature, with the philosophical Japanese preoccupation with goodness, beauty and sublimity. See Sōseki, 2004. He also published *Theory of Literature* (1907), one of the earliest critical works on literature in Japanese.

Note 5. Gordon explains that, "(w)hereas 2,000 to 5,000 copies might have been made of a traditional woodblock print of this era, each issue of the *Japanese Graphic* (and its competitors) boasted print runs of 40,000 to 50,000 copies, offering 20 to 50 photographs and illustrations of varied sizes and types per issue." The *Customs Graphic* (Fūzoku Gahō) founded in 1889, and the *Japanese Graphic* (Tōyō Gahō) founded in 1903, typify the explosion of print magazines and books modelled on European or American predecessors at the turn of the century (Gordon, 1991, ch. 1).

Note 6. The Japanese translation of *Frankenstein*, given the title *The New Creator*, appeared in *Kuni no Motoi*, *1*(3), 1889.

Note 7. Edward Bulwer-Lytton's *Ernest Maltravers* (1837), and its sequel, *Alice* (1838), were translated by Oda Jun'ichirō (1851−1919) as *Karyū Shunwa* (A Springtime Tale of Blossoms and Willows) in 1879. See Poch, 2019. Typically, as early translations, they were not literal, and omitted passages thought not to be intelligible to

a Japanese audience (Keene, 1998. pp. 65−68). A "synopsis-translation" by Tsubouchi Shōyō (1859−1935) of Bulwer-Lytton's *Rienzi* (1835) followed in 1885 (ibid., pp. 96−97). Tokutomi Soho (1863−1957) refers to Wordsworth in his 1888 essay, *Shin Nihon no Shijin* (The Poet of the New Japan). Doppo Kinikida (1871−1908) included a translation of part of Wordsworth's *Tintern Abbey* in his novel *Koharu* (1900). See Ishikura, 2006. In 1893 Sōseki published his essay "Nature as Viewed by the English Poets", which focuses on Wordsworth and Robert Burns (Keene, 1998, p. 307). In 1892-1893, Uchida Roan (1868−1929) published his translation of Dostoyevsky's *Crime and Punishment* (1866). See Cockerill, 2008−2009. Also in the 1890s, Shōyō published translations of the first scenes of Shakespeare's *Hamlet* and *Macbeth*, which were not intended for performance. By 1913, Shōyō had translated all of *Hamlet*, *Romeo and Juliet*, *Othello*, *King Lear* and *Julius Caesar* using language appropriate for the stage. See Gallimore, 2016. Literary criticism also burgeoned in Japan in the 1880s. See Lozerand, 2013.

Note 8. A partial translation of Brontë's *Jane Eyre* (1847) by Mizutani Futō (1858−1943), entitled *Risō no Kajin* (*Ideal Woman*), appeared in 1896. Shimamura Hōgetsu's adapted translation of Grant Allen's bestselling New Woman novel, *The Woman Who Did* (1893), was serialized in the newspaper *Yomiuri Shimbun*, with the title *Sono Onna* (*That Woman*, 1901) (Yoshio, 2012, pp. 30, 73).

Note 9. The anthology *Kaichōon* (*The Sound of the Tide*, 1905), compiled by Ueda Bin (1874-1916), includes translations of poems by Charles Baudelaire, Stéphane Mallarmé and Paul Verlaine. Retrieved August 25, 2020 from http://japan_literature.enacademic.com/149/KAICHOON

Note 10. According to Keene, Uchida Roan also introduced Émile Zola to the Japanese (Keene, 1998, p. 224). In 1889, Mori Ōgai wrote two essays on Zola: "Literary theories derived from medicine" and "The recent theories on the novel" (Milasi, 2009, p. 291). Naiga Kafū (1879−1959) published a partial translation of Zola's *Nais Micoulin* (1884) in 1902 and a summary translation of *Nana* (1880) in 1903 (Keene, 1998, p. 395).

Note 11. Mori Ōgai's contributions to the journals *The Weir*, *Vestiges* and *Remarkable Notes* are extensive. See Rimer's summary, 1975, pp. 24−27. During his stay in Germany, Mori Ōgai saw a performance of Albert Lorzing's version of Hoffmann's opera, *Undine*, and annotated his own copy of Lorzing's libretto, now in Tokyo University Library (Nakai, 1978, p. 398, note. 14). Nakai interprets Mori Ōgai's first Japanese trilogy of stories, *Youth and Other Stories* (1890−1891) as parodies of Jacques Offenbach's version of Hoffmann's tales (Nakai, 1978, p. 389).

Note 12. See Miller's conference paper on Poe's *The Black Cat* (2018) for insights into his debt to Hoffmann and the transmission of themes and stories from author to author.

Note 13. Sōseki wrote a literary portrait of Koeber, published in the *Asahi Shimbun* newspaper in July 1911, where he states: "I recall having seen him, long ago, taking out the collected works of Edgar Allan Poe from the University library. He'd mentioned being an avid reader of Poe and E.T.A. Hoffmann." Sōseki also describes him quoting the famous line "Never more" from Poe's poem, "The Raven" (Marcus, 2009, p. 165).

Note 14. Polyphony is a literary critical term borrowed from the field of music, in which it means multi-stranded choral, instrumental or orchestral sounds. When applied to literature, it refers to the textual interweaving of multiple registers and discourses.

Note 15. Hoffmann's use of a humanized animal in *Tomcat Murr* to satirize artistic and philistine pretensions is anticipated in a *Kreisleriana* sketch, "Report of an Educated Young Man" (1815). The young "man", named Milo, is a concert pianist, but also an ape. Through Milo, Hoffmann mocks a so-called cultured élite, which does not know good music from bad. Jonathan Swift's device of inverting the status of Yahoos (apes) and Houyhnhnms (horses) in order to satirize perceived human superiority in *Gulliver's Travels* (1726) was probably an influence on Hoffmann.

Note 16. For an account of teaching as a sacred profession and its social status in the early years of Japan's state education system, see Jenkins, 2004, p. 20.

Note 17. Treat defines *genbun'itchi* as "the modern, vernacularized literary language" which had become a matter of government concern at the time when Sōseki was writing *I Am a Cat* (Treat, 2018, p. 87). In March 1900, the Genbun'itchi Society was tasked with promoting this colloquial style and disseminating it through written contributions to newspapers and magazines.

Note 18. In Aarne-Thompson-Uther's catalogue of folktales, *Puss-in-Boots* is categorized as ATU 545B, a subsection of ATU 545, in the section entitled "Services of Helpful Animals".

Note 19. The Japanese attribution of viciousness to cats may stem from Japanese folklore which characterizes

the snake and the cat as the only creatures who did not cry when Buddha died. In brief, when a domestic cat grows old, Japanese legends say it turns into a bakeneko, a shape-shifting cat, often depicted on its hind-legs dancing with a towel on its head; or it may transform into a nekomata, which develops a split tail and grows huge; or it may transform into a prostitute which eats its clients; or it may arrive in a flaming cart from the sky to steal and eat corpses, and so on. Benign supernatural cats are fewer in number, including gotoku neko, the trivet cat, which keeps the fire in the hearth going and maneki neko, the beckoning cat that brings good luck (Davisson, 2017, p. 16).

Note 20. Sōseki's influential essay on *Tristram Shandy* was published in the journal *Koko Bungaku*. See Kuramoto, 2006.

Note 21. Sōseki's title, *Wagahai wa Neko de Aru*, ridicules a form of speechmaking called *enzetsu* invented by Fukuzawa Yukichi in 1874 in order to raise the tone of speech-makers. Treat explains that the then prime minister, Ōkuma Shigenobu, employed *enzetsu* by adding "the presumptuous first-person singular pronoun *wagahai* at the start of his illocutions (sic) and ending his sentences with the equally pompous copula *de aru n de aru*. Sōseki's ridicule of *enzetsu* is found throughout the novel" (Treat, 2018, p. 76).

Note 22. See Barasch's Introduction to *A History of Caricature in Literature and Art* (1788) by Thomas Wright, which summarizes Flögel's theories of the grotesque (Barasch, 1968, pp. 49–51).

Note 23. Burwick focuses on the use of the grotesque in Hoffmann's *The Sandman* (1816), but affirms that the theme is systemic throughout Hoffmann's work (Burwick, 1987, pp. 258–266).

Note 24. In his essay on *Tristram Shandy*, Sōseki cites the opinion of Thomas Carlyle (1795–1881) that Sterne and Cervantes "were the two great humorists of the world" (quoted in Kuramoto, 2006). Both satirists influenced Hoffmann and Sōseki's writing.

Note 25. The motif of the circle to characterize the cat-narrator, Tomcat Murr, and his world connects him with the other protagonist in *Tomcat Murr*, Johannes Kreisler, whose surname means circler, and who "circulates in circles", as he progresses through life (Hoffmann, 2016, p. 42).

Note 26. Yoshitsune (1159–1189) is "probably the single most famous man in all of premodern Japanese history." One of his most celebrated exploits, commemorated in Utogawa Hiroshige's series of woodblock prints, *The Life of Yoshitsune* (1832–1834), was to lead his cavalry down the Hiyodori Pass, the ravine at Ichinotani, to carry out a surprise attack. "The slope was so steep that those behind found the front of their stirrups bumping against the helmet of the rider ahead". See Beauchamp, 2019. Sōseki's contemporary readers would have immediately recognised the irony of cat-narrator, Neko, arrogantly comparing his pine sliding to Yoshitsune's horse charge.

Note 27. The allusion here is probably to Friedrich Ludwig Jahn who founded the student gymnastic movement in Berlin in 1810, whom Hoffmann also satirizes through the character Professor Mosch Terpin in his fairy tale, *Little Zaches, Acclaimed as Zinnober* (1818–1819) (Hoffmann, 1985, vol. 3, p. 552).

Note 28. The restoration of Prussian rule after the defeat of Napoleon's forces brought with it the Carlsbad Decrees of 1819 which censored the press, installed inspectors in the universities, banned student fraternities and outlawed any activity judged to be unpatriotic. In 1818, Hoffmann, as a high-ranking judge in the Supreme Court of Justice in Berlin, was appointed to the reactionary commission which enforced these laws. He defended Friedrich Ludwig Jahn when he was arrested as an enemy of the state. See Scullion and Treby, 2013, p. 134.

Note 29. Porcu cites the 1961 translation of *I Am a Cat* by Katsue Shibata and Motonari Kai, which is closer to Sōseki's original Japanese than the translation we have used by Aiko Ito and Graeme Wilson. She questions the inaccurate and non-Buddhist insertion of Ito and Wilson's translated phrase, "I am dying, Egypt, dying", just before the nenbutso chant (Sōseki, 2002, p. 638). In the Shibata and Kari translation, the nenbutso is rendered as the twice repeated chant "Save us merciful Buddha!". Then the final words, "Gracious blessings", show the cat-narrator, Neko, thanking the Buddha for his compassion. Porcu concludes that closing the novel with this chant demonstrates Sōseki's dependence on ideas derived from the tradition of Pure Land Buddhism (Porcu, 2008, p. 113). Mizukawa also cites this chant, calling it a nembutso, but associating it with Shin Buddhism (Mizukawa, 2007, p. 154).

Note 30. Satirizing the Romantic artist and parodying the *Künstlerroman* are recurring preoccupations in Hoffmann's work. As one example, Schmidt relates the tribulations of the first person narrator, Erasmus Spikher, in Hoffmann's *New Year's Eve Adventure* (1815) to Franz Sternbald in Tieck's *Franz Sternbald's Wanderings* (1798). She analyses a scene set in an Italian inn, where aspirational artist, Spikher, meets with fellow painters, as "burlesquing" the gathering of painters in an Italian garden in *Wanderings* (Schmidt, 2001, p. 198; Hoffmann,

1993c, vol. 2/1, p. 342).

Note 31. Hoffmann, refracted through cat-narrator Tomcat Murr, quotes from August Schlegel's contemporary translation of Shakespeare's *Hamlet*, V. i, the scene in which Hamlet addresses Yorick's skull.

Note 32. The surname Hinze comes from Ludwig Tieck's satiric play, *Puss-in-Boots* (1797). Tieck, a personal acquaintance of Hoffmann, dramatized the fairy tale for inclusion in the first edition of *Phantasus* (1811), a collection of fairy tales which Hoffmann describes as "magnificent" (Sahlin, 1977, p. 300). Tieck's version predates the temporary inclusion of *Puss-in-Boots* in the first edition of the Grimm Brothers' fairy-tale collection, *Children's and Household Tales* (1812).

Note 33. Miura Yuzuru translates Takahama's haiku as

"A woman

Taking a bath in a tub

Is coveted by a crow". See Yuzuru, 2001, p. 52.

Note 34. In Japanese mythology, Izanagi (He Who Invites) and Izanami (She Who Invites) stand on the floating bridge of heaven and stir the primeval ocean with a heavily jewelled spear, to create the first land mass. Izanagi and Izanami thus created Japan's many islands, and legend has it that their bridge to heaven is represented by the 3-metre-long isthmus, Ama-no-hashidate, at Miyazu Bay, in Japan's northern Kyoto Prefecture. For images of the location and the matanozoki stance, see http://www.viewland.jp/en/hiryukan/Retrieved January 20, 2021.

Note 35. Fellow-boarder, Watanabe Shunkei, describes Soseki's room as "absolutely crammed with books—piled onto his desk, on the floor, on the mantelpiece—everywhere!" (Marcus, 2009, p. 33).

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A Conceptual Metaphor Account of Desdemona: Body, Emotions, Ethics

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Abstract

This paper aims to delve into Desdemona's mind in Shakespeare's *Othello*. In this paper, Desdemona's utterances are perused through conceptual metaphor analysis. The objective of this study is to disclose Desdemona's cognitive complexity, and conceptual metaphor analysis offers an opportunity to enter Desdemona's cognitive world notwithstanding the degradation of her speech. These conceptual metaphors will follow three major axes of scrutiny: body, emotions, and ethics. The findings of this paper demonstrate that a cognitive exploration of the character reveals a structured system of thoughts where corporeal passions, emotional acuity, and ethical choices are culminated in a coherent and dynamic female protagonist. Desdemona's conceptual metaphors confirm a sensual and wilful persona who broke an ascetic image of femininity associated with conditioning and interdictions. The study aspires to demonstrate how Desdemona would become a haunting presence on stage, triumphant even as all other characters fell, and how she would reach from beyond the grave to hold the audience in the throes of empathy. The intent of the paper is also to point out that conceptual metaphor analysis, with its ties to cognitive poetics, can furnish character criticism with dissimilar readings.

Keywords: conceptual metaphor analysis, Desdemona, body, emotions, ethics

1. Introduction

A pillar of the English Renaissance, William Shakespeare wrote masterpieces in literature. After 400 years, he is still a pivot for fierce debates and discussions. Shakespeare is quoted in political speeches and popular advertisements, modernized in movies and theatres, and written about in books and articles. His works seem to draw from bottomless themes which are at the heart of contemporary debates. One of his most relevant and cardinal plays is *Othello*. The tragedy is based on an Italian short story by Giraldi Cinthio. *Othello* was performed in 1604 by the King's Men at the court of James I. The play is about a young and noble Venetian woman, Desdemona who elopes with Othello, an older black Moorish general and marries him without the blessings of her father and family. Their true love is quickly compromised when Iago's whispers of treachery and deceit are believed. Othello's composure and forbearance are eroded with doubt and hate once he becomes convinced of his wife's treacherous actions. In an attempt to regain his honour, Othello strangles Desdemona for her supposed love affair with his lieutenant Cassio. Once the truth is revealed, he commits suicide out of grief and despair.

As the play draws its curtains, the audience is left with a sinister final scene littered with dead bodies and fragmented words. Indeed, the injustice of the heroine's demise seems to crowd the stage. She becomes the lacuna in the play; a chasm dense with other possible outcomes. Abbott (2015) declares that to "end with a still is to end with a photograph—a moment of action, assuredly but a fixed memoir of a moment now firmly in the past" (p. 111). One can add that this stillness in Desdemona's death scene is further titillated by the body hidden behind the bed curtains. Her tragic heroism is magnified by its own ubiquitous stillness and omission. As other characters invade the stage and while other stories unfold, Desdemona's voice remains a focal point of attention making all other narratives futile and meaningless. What might have happened if Desdemona had been granted the space to speak and refute accusations of infidelity? What might have happened if she had been able to provide her own ocular proof that she did not "*trespass 'gainst his love* [Othello] *either in discourse of thought or actual deed*" (4.2.153−154)?

Within the cultural context of the Renaissance, one might wonder how to live under the crushing presence of patriarchy (Drakakis, 1992; Stone, 1990; Loomba, 1989; Stallybrass, 1982). As a dominant voice, the latter gains the privilege not only to monopolize cultural references and political bodies; also it chooses who can be included in discourse and who must be excluded from it. The patriarchal figure is omniscient, omnipresent, and omnipotent. Women are potential sites of resistance that the totalitarian voice will rush to colonize and neutralize within fabricated frames of imposed chastity and submission. Belsey (1985) advances that "to be a subject is to speak, to identify with the 'I' of an utterance, to be the agent of the action inscribed in the verb" (p. 15). Thus, to ideologically implode patriarchal networks, Desdemona needs to verbalize and conceptualize her own rhetoric of identity. To found a distinct identity is to fashion a separate and subversive subject position. Evans (2015) advances that "speakers come to own their speech and belong to what they say" (p. 20). Accordingly, one would wonder if conceptual metaphors allow Desdemona to foster acts of resistance. Would her conceptual metaphors express verbal and mental subversive messages? Would they provide tools to reform the feminine body, to speak desires and passions, and to verbalize power from within?

Therefore, this study proposes to scrutinize Desdemona's untold stories by deconstructing her mind through conceptual metaphor analysis. There are three major objectives to fulfill: first, to document the extent to which conceptual metaphor analysis can unveil Desdemona's interiority; second, to determine how her perception of her body, affective turmoil, and ethical beliefs reflect a dissident voice.

2. Conceptual Metaphor Analysis and Literary Interpretation of Desdemona

Interest in metaphors can be traced back to Aristotle and Plato (Stockwell, 2002; Ortony, 1993). The emergence of different literary schools expands its understanding of metaphors beyond classical definitions. Old designations were questioned while new ones were adopted. Traditionally, metaphors go back to the Aristotelian philosophy. In the *Rhetoric*, Aristotle defines metaphors using the term 'defamiliarizing language' (p. 10). He explains that a metaphor is created when "giving the thing a name that belongs to something else" (p. 8). Technically, a metaphor is defined as the association of unconventional attributes between two entities, which share some common traits. It is a figure of speech and a process of comparison. Thus, a metaphor is a matter of language through which it gains an ornamental layer in discourse. Schwarz (1997) remarks that "Roman rhetoricians emphasized the use of metaphor to promote a sublime style for the expression of noble thoughts" (p. 21). The insistence upon the lofty and exclusive nature of metaphors to literature will be cemented through time until the 19th century.

The definition of the metaphor took a new course with cognitive approaches. In their book, *Metaphors We Live By* (1980), George Lakoff and Mark Johnson inaugurated the foundations of Conceptual Metaphor Analysis. They promote the idea that metaphor is about thought more than grammar or linguistics. It is the transcription of the mind's conception of the world. Kovecses (2020) advances that

> "the main aim of Conceptual Metaphor Theory is to analyze and describe the conceptual nature of metaphors: how conceptual metaphors structure thought, how they enable inferences, how they can give us new perspectives on reality, how they can construct new ideas and concepts, how they are grounded in experience, and so on" (p. 9).

In other words, people do not define the world through metaphors. They actually understand the world by knitting a conceptual net of that world.

Technically, Lakoff and Johnson (1980) contend that a conceptual metaphor is the mapping from a concrete source domain to an abstract target domain. To further explain this theory, they give the following example in the context of a dating couple: "'it's been a long bumpy road'" (p. 206). According to this example, the metaphorical concept is 'LOVE IS A JOURNEY' where the source domain is journey and the target domain is love. Kovecses (2010) defines the notion of mapping in the following terms: "There is a set of systematic correspondences between the source and the target in the sense that constituent conceptual elements of B correspond to constituent elements of A. Technically, these conceptual correspondences are often referred to as mappings" (p. 7). So conforming to the example presented above, love is the abstract target domain. It is conceptualized in terms of a concrete source domain, which is journey. Hence, it can be said that love traits become those of a journey; it needs organization, supplies, a means of transportation, and a compass. The speaker will have to cooperate with his partner to reach their final destination.

Moreover, a conceptual metaphor is composed of a linguistic expression and a conceptual frame. Lakoff and Johnson (1980) explain the linguistic expression as a "word, phrase, or sentence that is the surface realization of such a cross domain mapping" (p. 203). Kovecses (2010) defines the conceptual form as "ways of thinking" (p. 8) manifested and revealed into existence through the linguistic expression of the metaphor. To illustrate, he

provides the following example: as a linguistic expression "she devoured the book" (p. 28) while the conceptual metaphor is "IDEAS ARE FOOD" (p. 28). However, occasionally, there may be conceptual metaphors that have no linguistic metaphors to express them (Kovecses, 2010, p. 27). For instance, the concept PROBLEMS ARE PHYSICAL WEIGHT (Kovecses, 2010, p. 101) can be expressed on a stage or by a character in a play through the way he walks: heavy steps, hunched back, and dropping shoulders. The image conveys that problems are a burden on one's body and mind.

As mentioned before, some linguistic expressions are the starting point for other conceptualizations that can be inferred through numerous mappings or suppositions. Conceptual metaphors are grounded in human experience and language. Both are flexible and fluid notions that expand the meaning of the metaphors. Kovecses (2010) calls the phenomenon "metaphoric entailment" (p. 11). The mapped spaces or domains can derive further relationships and source-target knowledge can be extended and enriched. For instance, the example JULIET IS THE SUN can lead to the metaphoric inference that Juliet is warm, luminous, and a source of life for Romeo. Indeed, the sun transfers its qualities to Juliet. In this context, Monika Fludernik (2010) points out that conceptual metaphors may be "semantically enriched constructs" birthing "new meanings not contained in either the source or target domain" (p. 10). To illustrate this idea, Fludernik uses a cartoon published during the American presidential campaign in which Obama and his adversary MaCain are dressed as cowboys, shooting at each other with pistols. She comments that the cartoons can be read as "an implied denigration of Obama (qua villain cowboy or Indian)" or as a criticism of MacCain's "subconsciously racist attitude towards his antagonist" (p. 11). Accordingly, the conceptual metaphor POLITICS IS CONFLICT transcends itself and proliferates to include other mental constructs such as race and tolerance.

With nascent academic interest in interdisciplinary approaches to literature, old boundaries are dissolving. Various disciplines that range from linguistics, to cognitive studies, to sociology and psychology became involved with elements of literature. It is impossible to provide an exhaustive account of the scholarly work conducted on conceptual metaphor. However, one can survey a list of some relevant research related to the context of this paper. Accordingly, a number of studies have adopted conceptual metaphor analysis to studying Shakespearean plays. In "Metaphor in Literature", Semino and Steen (2008) observe that "the use of metaphor in individual plays has received comparatively less attention, with the notable exception of Shakespeare's works" (p. 240). Both attribute the most influential studies in the field to Donald Freeman who uses conceptual metaphor analysis to investigate three major Shakespearean plays: *King Lear* (1993), *Macbeth* (1995), and *Antony and Cleopatra* (1999). In more recent research, Oncins-Martinez (2007) adopts conceptual metaphor analysis to conduct a perusal of Shakespeare's sexual language in the bulk of his plays. Jennifer McDermott (2014) uses conceptual metaphor analysis to argue that conceptual mappings between body and affect in *Othello* serve to foster particular feelings in the audience. While there is an extensive academic foray into conceptual metaphor analysis as a discipline, the theory's adaptations to a theatrical corpus are moderately limited. There are still unchartered terrains that call to be explored when it comes to applying conceptual metaphor analysis to literature.

In conjunction with the examples cited above, conceptual metaphor analysis seems to be suitable to dramatic texts. Drama is a particular genre because of its directness. There is no narrator to run interference between the audience/reader and the characters. With Shakespeare, this candour becomes even more acute since the dramatist uses few if barely stage directions. The protagonists' speech becomes representational in that words instantiate mental spaces that provide access to the characters mind style. Fowler (1996) defines mind style as "the world-view of an author, or a narrator, or a character, constituted by the ideational structure of the text" (p. 21). Desdemona is a pillar character in *Othello*. Her importance does not reside in her role as a catalyst for action in the play but on the way she is used conceptually by other characters. She is the focal point of conflicting inner narratives. Under the grind of Rodrigo's desires, Iago's perversions, and Othello's jealousies, reading Desdemona's mind would liberate her from these encroaching impressions.

In the light of the foregoing discussion, one might inquire about the choice to found the core of the study on Desdemona's character. In fact, she has been the center of continuous curiosity and interest within the scholarly community. From Mary Cowden Clarke's *The Girlhood of Shakespeare's Heroines* in the 19th century to Toni Morrison's *Desdemona* in the 21st century, several attempts were made to allow her words to come to life and be heard. *Othello* opens with a Desdemona locked in a '*world of sighs*' at Othello's '*wondrous*' tales. At the end of the play, all of her sighs are smothered and withered into death. She is an obsession, a possession, and an offence. This absence of interiority seems to characterize Shakespearean female heroines (Barker, 1995; Belsey, 1985). Whatever her position in discourse is, Desdemona is one of those who are devoured in the tragedy. Paris (2009) comments that when it comes to Desdemona "many critics have been struck by the disparity between her

assertive behaviour early on the play and her inability to defend herself later" (p. 95). In his *Faultlines*, Sinfield writes about her complete lack of subjectivity. He argues that Desdemona displays through the tragedy's scenes different personalities that are unexplainably broken. She is a bold woman who elopes with her lover and eloquently defends her rights to make decisions for herself. Then, she transforms into a shrewish meddlesome wife who tries to manage her husband's political affairs:

> *"My lord shall never rest,*
>
> *I'll watch him tame, and talk him out of patience;*
>
> *His bed shall seem a school, his board a shrift"* (3.3.22−24).

The play closes with a weak powerless victim who easily submits to Othello's rage, all former boldness gone.

In the same vein, Slater (2019) claims that "in the patriarchal world of *Othello*, Desdemona marks a site of contest. Suspended between father and husband, Venice and Cyprus, domestic and public, her character is largely a function of place and obedience, and her relation to both is obscure" (p. 215). Hence, what is relevant about the use of conceptual metaphor analysis is that it aims to dissipate this obscurity that surrounds her character. It attempts to excavate the traces of Desdemona's disobedient voice from the reputably silent Shakespearean text itself. Kovecses (2020) comments that a metaphor is "not simply an ornamental device in language but [is] a conceptual tool for structuring, restructuring, and even creating reality" (p. 1). Conceptual metaphor analysis offers to refute the idea that Desdemona is an adrift signifier whose signified is inscribed by external forces. She successfully recreates reality, breaks the fetters of patriarchy, and weaves a dissident self into the intricate fabric of the play.

3. Desdemona Conceptual Metaphors of the Body

In *Othello*, Desdemona's body is turned into a political emblem. When she gives her body to her lover without the consent of her father, Brabantio loses his faith in all women "*for your sake jewel, / I am glad at soul I have no other child; / For thy escape would teach me tyranny*" (1.3.193−95). Iago capitalizes on patriarchal obsession with female sexuality to entrap Othello in jealousy and turmoil "*I'll pour this pestilence into his ear*" (2.3.336). Othello reduces Desdemona's body into a monolithic interpretation of sexuality which is whoredom and sin. Karim-Cooper maintains that "imagining the woman as text was not uncommon in early modern writing" (p. 147). In the play, Othello asks Desdemona "*was this fair paper, this most goodly book made to write 'whore' upon?*" (4.2.73). Accordingly, Othello assimilates the body to a book and sexuality becomes a text that is rewritten and reread according to masculine insecurities and anxieties. Othello's obsession with Desdemona's body breaks his mind and drives him to murder:

> *"Lie with her? Lie on her? We say lie on her when they belie Her. Lie with her! Zounds, that's fulsome! Handkerchief Confessions—handkerchief! To confess and be hanged for his Labor. First to be hanged and then to confess"* (4.1.35−39).

Towards the end of the play, Othello asks Desdemona "***what** art thou*?" (4.2.34; Emphasis added) instead of "***who** art thou?*". This syntactic deviation reflects the irresolute nature of the feminine body in the linguistic contradiction between "what" that denotes objects and "thou" which denotes personhood.

In this amalgamation of misconceptions, Desdemona wrestles the words to craft her own definition of the female body in her exchanges with Othello. The table below is a qualitative examination of conceptual metaphors present in Desdemona's speech pertaining to the body. The first column will provide textual references. The second column corresponds to conceptual metaphorical constructs which are capitalized according to Lakoff and Johnson's requirements. The symbol "*" designates entailed conceptual metaphors. The table will be complemented with a literary interpretation of the findings. The same pattern will be adopted with the following tables in this study.

Table 1. Desdemona's conceptual account of the body

Reference	Conceptual Metaphor
I saw Othello's visage in his mind (1.3.248)	PHYSICAL FEATURES ARE IDEAS
	MIND IS MIRROR *
	SEEING IS KNOWING *
	IDENTITY IS A MENTAL STATE *
It [Desdemona's hand] yet hath felt no age, nor known no sorrow (3.4.33)	FEMALE'S BODY PART IS A WHOLE PERSON
For twas that hand that gave away my heart (3.4.41)	A FEMALE'S BODY PART IS AN AGENT
	A PERSON IS A HEART
If to preserve this vessel for my lord from any other foul unlawful touch be not to be a strumpet, I am none (4.2.83−85)	A FEMALE BODY IS A CONTAINER

In a morbid blazoning of Desdemona, Othello breaks her body into blood, skin, breath, and lips. She is alabaster, snow, and a plucked rose. Fox (2013) contends that "the blazon verbally enacts the disintegration of the female body under the controlling gaze of the male subject, ensuring that the threat of her subjectivity is neutralized" (p. 198). This dissemination of the body in *Othello* is aborted when Desdemona claims that a FEMALE'S BODY PART IS A WHOLE PERSON. She conceptually imparts the attributes of the whole into the parts. The female body becomes an uncountable and coherent entity that cannot be dissociated into fragments. The body's capacity to feel and think is suffused into its totality. This impermeability to a fracturing discourse is further emphasized in the schema A FEMALE BODY PART IS AN AGENT as feminine will is affirmed. Desdemona's body is not merely a vehicle of actions but also a source of volition and thoughts as the concept SEEING IS KNOWING entails. In his attempts to explain the relationship between seeing and knowing, Barry Stroud observes "seeing is described in a sentence in which the complement of the perceptual verb 'see' is a sentence with a truth value, not a singular term referring to an object" (87). Accordingly, Desdemona's perceptual experience of the world is what initiates thinking. In the utterance "*I saw Othello's visage in his mind*" (1.3.248), truth value resides in the idea that the body is defined in cognitive terms and not through immediate physical attributes. The conceptual metaphor PHYSICAL FEATURES ARE IDEAS embeds the body in the mind. Thus, Desdemona abolishes the barriers of skin and cognitive perception extends and encroaches on social order.

By designating identity as a mental state, Desdemona wields acceptance and substitutes comfort over anxiety and rejection. Race and gender by association are turned into ideological constructs which are independent from their physical forms. They are only visible in the mind as invoked in the conceptual metaphor THE MIND IS A MIRROR. The speaker liberates the body from xenophobia and misogyny, relocating it from the realm of the concrete to the realm of fluid abstraction. Whether feminine or black, Desdemona conceptualizes the body as self-motivated and self-representing. She mentally projects a refined sense of feminine volition that stems not only from the heroine's consciousness but also from its physical shape. Desdemona humanizes the body that patriarchy has objectified and vilified. Her dissidence resides in this elevation that departs from a denigrating value system in which a woman's body is located at the fringe of her being.

Additionally, Desdemona uses the concept A FEMALE BODY IS A CONTAINER in her speech. Lakoff (1987) consider that "a container schema, on a standard cognitive account, consists of a boundary distinguishing an interior and an exterior" (p. 271). The concept marks Desdemona's need to introduce her body as a separate entity from a hegemonic external patriarchal consciousness that classifies womanhood in form and in essence. The body as a container becomes the boundary and the repository of emotions, sexuality, and beliefs. It is also a protector, a limit that aims to "*preserve*" (4.2.83) what it carries. The container schema also invokes a powerful religious iconicity to the female body. Desdemona sanctifies the feminine body as she claims

> "No, as I am a **Christian**
>
> If to preserve this **vessel** for my **lord**
>
> From any other foul **unlawful touch**
>
> Be not to be a strumpet, I am none" (4.2.83−85; emphasis added).

The utterance has various biblical connotations. Desdemona mentally reiterates the biblical line "*if anyone cleanses himself from these things, he will be a vessel for honor, sanctified, useful to the Master*" (2 Timothy 2:21). Culturally, in the Renaissance, God's commandments are the standards to determine lawful and unlawful touching. The interplay in the use of the expression "*my lord*" with its double significance—sacred and secular—lexically, seems to refer to God in the utterance. Therefore, the 'vessel' as a holy Christian utensil is extended to include Desdemona's body. These mappings appeal to powerful sacramental imageries that moor the

female body within a religious experience of salvation as she declares "*I shall be saved*" (4.2.87).

Tita Baumlin (2009) advances that "the Renaissance construction of ideal womanhood prescribed for female behaviour three interlocking cardinal virtues: chastity, obedience and silence" (p. 144). Desdemona breaks one of these covenants when she decides to follow her husband to war in Cyprus. Her foray into the world of men casts over the feminine body suspicions of illicit libidinous desires. However, having a voice seals her fate even before Iago's machinations come into fruition as she flaunts her disobedience of social orders. In fact, Desdemona's interpretation of the female body is not only exclusive to its corporeal dimension. It also includes concepts of the body as a voice. The body speaks and manipulates language. Hence, feminine discourse is a continuity of the body that produces it. The table below explores Desdemona's perception of her voice:

Table 2. Desdemona's conceptual account of her voice

Reference	Conceptual Metaphor
Alas she [Emilia] *has no speech* (2.1.105)	FEMININE SPEECH IS A POSSESSION
My advocation is not now in tune (3.4.118)	FEMININE SPEECH IS MUSIC
	FEMININE SPEECH IS DISSONANCE *
	FEMININE SILENCE IS HARMONY *
And Stood within the blank of his displeasure for my free speech (3.4.122-123)	FEMININE SPEECH IS FREEDOM
	TO SPEAK IS TO BE PUNISHED *
If e'er my will did trespass 'gainst his love either in discourse of thought or actual deed (4.2.154−155)	SPEAKING IS FELONY

Looking at the table, there are two colliding conceptual configurations that emerge. The masculine subject mentally constructs the feminine voice as: FEMININE SPEECH IS DISSONACE, FEMININE SILENCE IS HARMONY, TO SPEAK IS TO BE PUNISHED, and SPEAKING IS FELONY. On the other hand, Desdemona conveys the mental images that FEMININE SPEECH IS A POSESSION, FEMININE SPEECH IS MUSIC, and TO SPEAK IS TO BE FREE. Desdemona seems to be aware that patriarchy is constantly negotiating and inscribing limitations to her ability to speak. Her voice cannot rise beyond a consented verbal space.

For instance, the conceptual metaphors FEMININE SPEECH IS DISSONANCE and FEMININE SILENCE IS HARMONY denote that, to belong to the dominant music of the group, Desdemona needs to be a mute. Yet, by choosing to voice her opinions, she willingly exalts dissonance over harmony "*you must awhile be patient: what I can do, I will; and more I will*" (3.4.127−28). It is only through irrelevant tunes that the heroine transforms from an eerie object of adoration to visibility and attention. By talking out of turn, she dispels the auditory simulacrum of patriarchal harmony that used to edit and erase scratchy feminine voices as the encounter shows:

Desdemona: *[...]Good love, call him back.*

Othello: *Not now sweet Desdemona; some other time.*

Desdemona: *But shall't be shortly,*

Othello: *The sooner, sweet, for you.*

Desdemona: *Shall't be tonight at supper?*

Othello: *No not tonight;*

Desdemona: *Tomorrow dinner then?*

Othello: *I shall not dine at home: I meet the captains at the citadel.* (3.3.56−64)

Desdemona's insistence to pursue Cassio's matter against her husband attempts to reject her demand marks the beginning of a dissonant interaction between the spouses for the rest of the play. Forthwith, when she pierces the synchronization of masculine music, the female protagonist provokes irritation, incredulity, and even cavernous existential anxieties since discordance negates harmony and brings chaos and change to order and stability as Othello rails:

"I think my wife be honest, and think she is not

I think that thou art just, and think thou art not" (3.3.385−86).

By professing cognitive awareness of an oppressive cultural voice, Desdemona claims along the repercussions of a loud speaking 'I', dispelling allegations of a naive and self-deluded heroine. Indeed, there is a penalty for feminine discourse. The conceptual metaphors, TO SPEAK IS TO BE PUNISHED and SPEAKING IS FELONY,

pit feminine choice against masculine discipline. Desdemona's unhinged discourse incurs patriarchal ire and she is exiled into a no man's land as she says "*and stood within the blank of his displeasure for my free speech*" (3.4.126). Feminine discourse is a path to the void and words that engender existence become words of absence and blankness. Once she refused to be tongue-tied, the heroine has embarked on a perilous journey where she valorises resistance over submission. She shifts focus from her physical alienation to her verbal alienation highlighting the intentionality to fissure these walls of confinement.

4. Desdemona's Conceptual Metaphors of Emotions

Othello stands at the vortex of violent emotions; debilitating jealousy, envy that degenerates into mayhem, shame that aggravates and destabilizes, love that kills and self-destructs, and desire that is tainted with revenge and fear. For many characters, these emotional movements are expanded and revealed in soliloquies and monologues, allowing Othello and Iago fluid expressions of affective states. On the other hand, Desdemona's emotions are inaccessible in the world of the play. She is given no soliloquies. Theatrically, her character delivers six monologues which frequency decreases as the play unfolds. At the opening of the tragedy, Brabantio describes his daughter as a

> *"maiden never bold*
>
> *of spirit so still and quiet that her motion*
>
> *Blushed at herself"* (1.3.94−95).

His words imply Desdemona's inability to display any sort of affective distinctiveness. It is a static portrait of Desdemona that denies her emotions, motion, and by consequence life. Thus, one of the purposes of this study is to refute this emotional penury and reveal the heroine's plethora of emotions through conceptual metaphor analysis.

Actually, understanding Desdemona's emotions is a prerequisite to understanding her character. Paster argues that "the history of the embodied emotions is also a history of ways of inhabiting the world" (8). He asserts that emotions as a medium that react and interact with the world are entrenched in the body as well as in the social and cultural context that surrounds them. Accordingly, to inhabit the world refers to an ontological geffort to carve a physical space within it and to establish an individual affective experience of how the world is constructed. While navigating the troubled waters of her marriage, Desdemona will question age-old cautionary tales against the treacherous and mercurial passions that plague women and render them untrustworthy and irrational. The Conceptual Metaphors displayed in the table below open a door into an interpretive reading of Desdemona's emotions:

Table 3. Desdemona's conceptual account of emotions

Reference	Conceptual Metaphor
My heart subdued even to the very quality of mu Lord (1.3.246)	LOVE IS WAR
	LOVE IS SURRENDER *
	LOVE IS DEFEAT *
	HEART IS A WARRIOR *
And to his honors and his valiant parts did did I my soul and fortunes consecrate (1.3.249-50)	LOVE IS SACRED
I be left behind a moth of peace, and he goes to the war the rites for which I love him are bereft me (1.3.251-53)	LOVE IS OWNERSHIP
	LOVE IS RITUALS *
	LOVE IS A PURPOSE *
When I have a suit where in I mean to touch your love indeed, it shall be full of poise and difficult weight (3.3.80−82)	LOVE IS A PHYSICAL OBJECT
	LOVE IS A BURDEN
I was unhandsome warrior as I am, arraigning his unkindness with my soul; but now I find I had suborn'd the witness, and he's indicted falsely (3.4.151−54)	EMOTIONS ARE LITIGATIONS
	LOVE IS WAR
	LOVE IS INDICTMENT *
	UNKIND BELOVED IS ARRESTED OFFENDER *
	LOVER'S LIFE IS COURT PROCEEDINGS *
What shall I do to win my lord again? (4.2.149)	LOVE IS WAR
If e'er my will did trespass'gainst his love either in discourse of thought or actual deed or mine eye, mire ears, or any sense delighted them in any other from (4.2.151−54)	LOVE IS OWNERSHIP
Some bloody passion shakes your very frame (5.2.44)	EMOTIONS ARE VIOLENCE
	EMOTIONS ARE A NATURAL FORCE *
Oh my fear interprets! (5.2.74)	EMOTIONS ARE KNOWLEDGE
	EMOTIONS ARE ANIMATE BEINGS *

Love is the dominant emotion that Desdemona tends to express in her conceptual metaphors and it is mapped with two experiential dimensions, battleship and law, as the figure below summarizes:

Battleship	Law
LOVE IS WAR (repeated 3 times)	EMOTIONS ARE LITIGATIONS
LOVE IS SURRENDER	LOVE IS INDICTMENT
LOVE IS DEFEAT	UNKIND LOVE IS ARRESTED OFFENDER
HEART IS WARRIOR	LOVER'S LIFE IS COURT PROCEEDINGS
EMOTIONS ARE VIOLENCE	

Desdemona's mental schemas of love are built over alien domains since war and justice are masculine privileges in the Renaissance. Jennifer Vaught asserts that during early modern England "men often express their emotions stoically or moderately, or vent intense emotions through violent actions" (4). She adds that meanwhile women "were thought to possess less innate ability to control their emotions" (8). However, Desdemona shatters this dichotomy when she appropriates forms of masculine expressions of emotions by adopting the conceptual metaphor LOVE IS WAR. The affective interplay between reason and aggressivity subverts conventional representations of women in love, being neither modest nor coy. Her emotional display of passion towards her husband or even her friends such as Cassio is structured by the concept of war and its entailments. Desdemona perceives love as dynamic and active. She is not a pursued but equally a pursuer. She strategizes the purposes for this war. Winning is succeeding in securing Othello's support in her endeavors for Cassio's suit as well as restoring his affections towards her.

Construing love within the domain of war might paint Desdemona as hysterical, unreasonable, and vicious in her passions. Kovecses (2003) maintains that "control, in the realm of emotion at least, can be broken down into three parts, or stages: attempt at control, loss of control, and lack of control" (p. 43). Even though Desdemona conceptualizes love in the violent events of war, she claims a rational self that governs her actions and intentions. One can assume that mapping love into the concept of law indicates Desdemona's adherence to self-control. Mentally, she fits violent emotions into a universe ruled by reason as in the conceptual metaphors EMOTIONS ARE LITIGATIONS and LOVE IS INDICTMENT. Love is deliberated within a judicial system that prevents chaos and oppression as it is reflected in the schema UNKIND LOVE IS ARRESTED OFFEDER. The desire to order her emotional bursts reflects Desdemona's desire to rearrange an external world that Othello has sent into disarray as she finally understands "*alas, he is betrayed and I undone*" (5.2.77).

Likewise, Desdemona seems to realize that, unlike her, Othello's emotions are brutal forces, distorting his perception of the world. The conceptual metaphor EMOTIONS ARE NATURAL FORCES intimates her awareness that uncontrollable emotions are destructive of the self and the other. Unruly affections have displaced Othello's rational mind, clouded his judgment, and spilled to infect his relationship with the world. Ironically, excessive passions are conventionally associated with female experiences. Paster comments that Early Modern era regarded women's passions as just another term for "The emotional volatility of inconstancy [that] seems to be a threat, rather than an incentive, to the production of individuality in speech and action" (80). In the wake of an evanescent Othello, Desdemona remains unified. In opposition to patriarchal ideology, she appears to believe that emotional forces if controlled are capable of higher mental functions as she thinks that EMOTIONS ARE KNOWLEDGE. The concept that the heart is the seat of emotions is destabilized by Desdemona who relocates emotions into the mind; emotions that produce and are produced by knowledge.

Wehrs (2017) comments that affect "destabilizes modalities of embodiment (nature) constituted by linguistically mediated conceptualities, ideologies, and psychicbodily formations (nurture)" (p. 39). Indeed, for Desdemona, emotions are an anchor for inner consistency. When she was confronted with Othello's wild passions and broken language, Desdemona's feelings were her only compass in a sea of disordered words and muddled meanings "*O, my fear interprets!*" (5.2.75). In *Rhetorical Power*, Mailloux (1989) argues that "interpretation always creates the signifying text, that meaning is made, not found" (p. 5). Metaphorically, Desdemona's emotions enable her to understand and contextualize Othello's discourse "*I understand a fury in your words*" (4.2.31−32). Pickavé and Chapiro (2012) remark that the Renaissance followed a "long tradition of taking emotions as both opposed to reason and rational thought" (p. 1). The concept that EMOTIONS ARE KNOWLEDGE is a challenge to a system that stifles affective exhibitions claiming a perpetual conflict between the rational self and the emotional self. Thus, one can assume that for Desdemona emotions are meaning-making filters that attribute and allocate significance to a world of "*foregone conclusions*" (3.3.431).

5. Desdemona's Conceptual Metaphors of Ethics

While navigating emotions and their associations, Desdemona also subtly binds her actions to ethical motivations in *Othello*. In the tragedy, Othello tells Iago:

> *"to say my wife is fair, feeds well, loves company,*
>
> *Is free of speech, sings, plays, and dances well;*
>
> *where virtue is, these are more virtuous"* (3.3.187−189).

Yet, the more the world of *Othello* unfolds, the more Desdemona is stripped back almost to nothing. Her virtue hailed by Othello at the beginning of the play is shattered by a primeval belief that all women are immoral:

> *"tis destiny unshunnable, like death:*
>
> *Even this forked plague is fated to us when we do quicken"* (3.3.278−279).

In *Doctrine for the Lady of the Renaissance,* Kelso maintains that the moral ideal for a man is "self-expansion and realization […] for the lady the direct opposite is prescribed" (p. 6). As patriarchy denies moral equality between men and women, conceptual metaphor analysis shows that Desdemona's system of thoughts is composed of moral-binding values that offset Renaissance restrictions:

Table 4. Desdemona's conceptual account of ethics

Reference	Conceptual Metaphor
I see a divided duty (1.3.181)	DUTY IS A DIVISBLE OBJECT
But what praise couldst thou bestow on a deserving woman indeed, one that in the	HONESTY IS POWER
authority of her merit did justly put on the vouch of very malice itself? (2.1.142−45)	REPUTATION IS A GARMENT *
If I have any grace or power to move you his present reconciliation take (3.3.47−48)	POWER IS SELF-PROPELLED MOTION
	PASSIVITY IS INABILITY TO MOVE *
My downright violence and scorn of fortunes may trumpet to the world (1.3.250−252)	SELF-DETERMINATION IS PHYSISCAL STRENGHT
	SELF-DETERMINATION IS NARURAL FORCE *
	ACTIONS ARE PERSONS *
If I do vow a friendship, I'll perform it to the last article (3.3.21−22)	FRIENDSHIP IS A TREATY

Desdemona sets standards of moral values through which she sees and acts in the world. Knapp (2011) advances the concept that "for Shakespeare, the fraught relationship between what we see and what we do is a condition of ethical agency" (p. 160). Actually, Desdemona reconciles between what she sees and how she behaves. Because she identifies duty as a divided object, she is able to recognize it as the sum of multiple alternatives for her loyalty and choice. Thus, she opts to follow her husband and not her father. In *The Right and the Good*, W.D. Ross proposes the idea that if the individual is faced with two conflicting duties then the duty that is most "incumbent to the circumstances of the case" (p. 19) supplants the other one. The idea that duties are conditional is what allows Desdemona to remain faithful to her commitment to Cassio in spite of Othello's recurring wrath and mistreatment. By conceptualizing their friendship in terms of a political and legal treatise, Desdemona confers a compulsory and authoritative aspect to her vows and pledges in helping him reinstate his Lord's favour.

The concepts, HONESTY IS POWER and REPUTATION IS A GARMENT, dissociate Desdemona's vision of ethics. Despite the protagonist's occasional omissions and lies about the handkerchief, which may be considered a defence mechanism against Othello's unbridled violence, honesty for the female protagonist is a given token of authority, a matter not of excess or defect, but of her nature. In fact, even though these concepts are delivered to overthrow Iago's derogatory classification of women, Desdemona seems to implicitly associate to her character two traits: deserving and merit. In the context of the Renaissance, Gollapudi (2011) argues that "at a time when the link between visibility and moral discipline was becoming pervasive, the role of the female gaze is defined as that of deliberate indirection" (p. 105). Moral behaviour is the basis of social interaction. By claiming that she is worthy of social praise and recognition for her moral merit, Desdemona does not only claim visibility but also moral agency. Through this public assertion of the ability to construct moral judgement, Desdemona circumvents the expectations of a closed masculine world in her congenial appreciation of self-worth.

In a memorable passage with Iago, Cassio laments "*reputation, reputation, reputation! O, I have lost my reputation! I have lost the immoral part of myself, and what remains is bestial. My reputation, Iago, my reputation*" (2.3.249−251). The Renaissance was a culture that meted public punishments for private transgressions, parading adulterous wives and putting bridles on nagging spouses. The image of the self in the

eyes of the other came to define the individual in a convoluted amalgamation between a collective consciousness and private conduct. Regarding women's reputation, the Renaissance funnelled an obsession with chastity. Juan Louis Vives writes "in a woman, no one requires eloquence or talent or wisdom or professional skills or administration of the republic or justice or generosity; no one asks anything of her but chastity. If that one thing is missing, it is as if all were lacking to a man" (p. 85). Hence, chastity "was not only the leading but the sole index of feminine conduct" (Macleod, 1991). Sixteenth-century Britain summarised the feminine ideal into three icons: the virgin maiden, the abstinent widow, and the faithful wife. The fears of being a gulled father or a cuckolded husband came to be evaluators of female morality; a morality that is compromised by the limitations of social interpretation of female reputation. Ironically, Desdemona violates all of these codes since the beginning of *Othello*.

Yahri-Milo (2018) comments that "fighting for vital interests involves fighting to secure certain material stakes, irrespective of the reputational considerations involved" (p. 30). Desdemona's vital interests are to secure happiness and freedom. Her elopement with Othello is a challenge to the social rituals of marriage that consecrates the transference of duty to the husband through paternal consent. Her choice to trespass into politics when she sails on warfare with her husband flaunts Renaissance feminine ideals of temperance and fortitude. The material stake that she strives to obtain is a marriage based on love and choice "*for twas that hand that gave away my heart*" (3.4.40).

The concept REAPUTATION IS A GARMENT comes to reflect Desdemona's awareness that she embarks in the world of the play with an already 'tarnished reputation'. Weiner and Schneider (1989) argue that "complex moral and ethical issues of dominance and autonomy, opulence and poverty, continence and sexuality, find ready expression through cloth" (p. 2). Hence, one might deduce that reputation, which is a social construct, can be associated with clothes. Clothes are a mask that can conceal and hide identities making it arduous to distinguish between authentic innocence and forged morals. For Desdemona, the softness of materials that make up clothes reflects the fragility of a person's reputation which can unravel as easily as the threads of a fabric. Ironically, she seems to echo Iago's belief that a "*reputation is an idle and most false imposition*" (2.3.250).

The concept, POWER IS SELF PROPELLED MOTION, maintains Desdemona' belief that power is located within the self. Patriarchy cannot grant or deprive her from what it does not own. Power is self-generated and self-entertained by the individual himself. Free action becomes uninhibited. The conclusion that passivity is the inability of movement further emphasizes the illusory nature of the shackles and walls that a patriarchal society implements to convince Desdemona of her physical and moral impairment. This vision is cemented by her concepts, SELF-DETERMINATION IS PHYSICAL STRENGTH, SELF-DETERMINATION IS NATURAL FORCE, and ACTIONS ARE PERSONS. Desdemona defines her choices and actions as world changing factors. Lakoff considers that "actions do not continue to exist after they occur" (200). Through the personification of her actions, Desdemona secures their existence after being performed. Her subjectivity is concretized. Her rebellion against father and culture becomes a self-proclaimed physical reality that gains the attributes of the action itself; blatant, violent, and scornful.

6. Desdemona's Scope of Agency

In the play, Desdemona is doomed to die for her rebellion. Her fate is sealed once she chose to "*profess due to the Moor my lord*" (1.3.188) against all social norms and expectations. Towards the end of the play, Ludovico mystifies her demise into a nameless act "*till that the nature of your fault be known to the venetian state*" (5.2.336−337). His words intimate a certain sense of impunity for her murder. Indeed, disobedient daughters must be banished for putting their fathers "*in impatient thoughts*" (1.3.243) and willful wives must be eradicated for merely "*shrewd doubt*" (3.3.431). However, Desdemona makes a cognitive leap over normative definitions and standards. She becomes the epitome of Jin Ko and Shurgot observations that in Shakespeare the characters are "free artists of themselves, continually overhearing themselves and reinventing themselves with an introspective consciousness" (5). Indeed, the analysis of Desdemona's conceptual metaphors allows for the inception of a female character who monopolizes empathy and achieves self-actualization.

Conceptual Metaphor analysis allows for the immergence of a heroine who commanders empathy on stage by emotionally imprinting on the audience's cognitive space. Examining the tables above, Desdemona's conceptual metaphors aggregate in three major instances in the play: the Senate scene in the first act, the beginning of tension between the spouses in act three, and the violent clash between a jealous Othello and Desdemona in act four. Her conceptual metaphors become increasingly sparse and absent as she is smothered into silence in the final scene of the tragedy. Zlatev (2012) explains that "in moving ourselves, we move others; in observing others move – we are moved ourselves" (p. 2). In these turbulent occasions, she loads the cognitive space of the stage with emotional

bursts, even though she fails to move Othello. The target of her conceptual metaphors is not the hero but rather the actual audience, holding their attention by the force of the unsaid and promoting retention and recall. All the efforts to abort her words in what follows are supplemented by her previous transference of ideas and thoughts to the audience.

In the same vein, Charteris-Black (2004) suggests that the "analysis of metaphor is often, then, an exploration of the inner subjectivity of speakers—what it is unique to their perception of the words" (p. 11). At the beginning of the tragedy, both Brabantio and Othello urge Desdemona to speak. Both were eager to hear her story which each believed to be in his favor, only to be disgraced once her advocations are deemed out of tune. Her voice is interrupted not only through death but also through the suffocating words of Iago and Othello. Within an overarching allegory of patriarchal narratives, Desdemona's concepts of the feminine body and voice, emotions, and ethics are metaphoric stories of a distinct individual. She becomes the bearer of a shadow story in the play. Abbott (2015) describes shadow stories as "unnarrated, they are tendrils of story that generally hook onto parts of the text […] they are rather sensed possibilities" (p. 104). Desdemona discards the literal in favor of the allegorical, since her words are possible yet incompatible in the world of the play. She embeds her own story within others' stories. Consequently, her conceptual metaphors "open on a vast arena of virtual events that are never realized but rather exist like a kind of dark, weightless energy, hidden under the words and images that actualize a story" (Abbot, 2015). They shed light on these fleeting tendrils of Desdemona's supposedly incomplete text. Conceptual metaphors become a tapestry that unfolds cognitively, ripe with clandestine tales.

Desdemona's expression of subjectivity is translated in the tensions between the symbolic order in the play and the heroine's own mental space of self-perception. Charteris-Black (2004) suggests that "If language is a prime means of gaining control of people, metaphor is a prime means by which people can regain control of language and create discourse" (p. 253). In the Renaissance, patriarchy has claimed the privilege to name and to define. Desdemona agitates these normative foundations when she rearranges cultural definitions of womanhood; the body is celebrated, emotions are a source of knowledge, and women are endowed with morality. Conceptual metaphor theory becomes a technique of subtle criticism of external forces that want to infringe upon her inner autonomy. Resistance takes shape when the material and the affective are franchised from an insular social discourse. The nature of conceptual metaphors itself threatens to topple stable monolithic significations. The infinite possibility of interpretations of Desdemona's words and intensions dispels any attempts to restrain her existence into a predictable and unique signified.

7. Conclusion

All things considered, Desdemona reflects a complex Shakespearean character where emotions, subjectivity, and power are intimately intertwined in her system of thoughts. The analysis showed how the heroine's mental schemata dissolve the restraints of patriarchy. In her mind, the body is putative. Emotions are heuristic and ethics are idiosyncratic. She claims an ethical code of her own against morally dubious social expectations when it comes to women. Her identity is celebrated while being defiled and challenged by patriarchal laws. She reconciles irreconcilable Renaissance values: emotions and reason, desire and ethics, women and dissidence. Therefore, even though her access to agency remains tortuous, it is a cognitive journey that she embarks on in the play. She intrudes upon the male sphere by insisting to follow Othello to battle. She seeks political activism when she interferes with Othello's martial decisions even though it causes her to stand "*within the blank of his displeasure*" (3.4.120). She engages within the quiet and subtle register of female action through conceptual metaphors. To read Desdemona as a complete character, one needs to factorize all the previous conclusions and assumptions.

Finally, Desdemona's tragic journey resides in her sense of shared trauma with Othello. Both are social rejects. He is the victim of racism. She is the victim of sexism. Symbolically, their marriage is an alliance of wills against prejudice, a frontline of resistance and challenge. Yet, unlike Othello whose existential and sexual anxieties deepen, Desdemona frees herself from patriarchy. She cannibalizes his stories in her mind and grafts them to her identity as Othello himself comments "*she wished that heaven had made her such a man*" (1.3.164). Conceptually, Desdemona usurps power. She becomes the warrior and the adventurer in her own metaphoric stories. Her marginalization becomes strength instead of a weakness. By committing her first act of defiance in liberating her body from patriarchal custody, Desdemona overcomes trauma and reconstructs her femininity in her own terms.

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Symbolic Meaning of the Wind—Journey, Initiation and Identity in *Gardens in the Dunes*

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Abstract

Silko, as a writer who attaches great importance to the landscape of the Laguna reservation, accentuates natural elements and imagery in her literary creation. *Gardens in the Dunes* is the most typical one. This novel is infused with a vast scope of flora and detailed delineation of weather to the extent that some even believe that Silko must be an expert in horticulture and meteorology. "Wind" is one of the most recurrent weather imageries in *Gardens in the Dunes*, ranging from the literary form of "wind", "breeze" to "storms" and "hurricane". Based on the analysis of the wind's interaction with different characters and the roles it plays, such as "backgrounder", purifier, facilitator, messenger, consoler, mentor and destroyer, the author is dedicated to elucidating that through depicting the "wind" in different circumstances, Silko reveals her advocacy of reconstructing female identity, her denunciation of imperialism and capitalism as well as her reflection on native cultures.

Keywords: the image of wind, journey, initiation, identity, *Gardens in the Dunes*

1. Introduction

The story of *Gardens in the Dunes* is set in the late 19th century. The protagonist Indigo was an eleven-year-old girl who began her transcontinental journey with the white couple—Hattie and Edward—after she escaped from the excruciating boarding school; during the journey she visited various gardens in American, England, and Italy. Having witnessed the hypocrisy and extravagance of the white upper-class people, Indigo finally went back to the old garden in the dunes. In this journey, she had not only achieved her self-growth but also enlightened the people around her, especially her surrogate mother, Hattie.

In the previous study of *Gardens in the Dunes*, scholars attach great importance to the exploration of strategies of resistance and indigenous views of the environment in this novel. Researchers have analyzed various ways of resistance, among which the traditional ritual of Ghost Dance has been widely discussed. For example, Regier (2005) thinks that "the revolution of Ghost Dance discourse becomes part of the historical fuel feeding the inflamed imaginings of gender and culture revolution in American literary modernism" (p. 137). Ziarkowska (2010) interprets the Ghost Dance in Silko's ideology as an act of resistance to the American colonization, believing that the Ghost Dance "has reestablished the balance between the people and the earth" (p. 140) and "becomes a metaphor of survival whose main components are cultural syncretism and selective adaptation" (p. 142). In Li's (2009) conception, the interweaved activities of gardening, mothering, and storytelling are combined to achieve a powerful means of resistance against oppression and cultural erasure. Li Xuemei (2016) argues that Silko in *Gardens in the Dunes* seeks for the developing route of gender politics in traveling narrative, and elaborates on the victimization that the white males' colonizing travel inflicts upon Native American in a solemnly realistic tone, to challenge linear development concept of western colonial history and disclose Native American females' rebellion against colonial plunder and racial oppression by means of circular traveling route. Researches have also been done from the perspective of environmentalism. Grounded her work in a decolonial framework, Boyles (2018) highlights the relationship between water rights, climate change, and sovereignty, and promotes environmental practices grounded on indigenous knowledge. Tillett (2020) thinks that Silko's narrative of lived resistance tells us that we need to reject the unsustainable—the established narratives of domination and exploitation—and embrace and enact the sustainable: the indigenous tenets of grounded normativity (p. 206). Based on the above analysis, we could find that the "wind" as a recurrent image in this novel has been neglected

in the previous study. After a close reading of *Gardens in the Dunes*, the author finds that the "wind" plays a significant role in the revelation of the themes of this novel, which is worth our further study.

According to Janis P. Stout, Americans are and have always been intrigued by motion. In *The Journey Narrative in American Literature* (1983), Stout has summarized five patterns, those are "exploration and escape," "the home-founding journey," "return," "quest" and "lost and wandering." In *Gardens in the Dunes*, Silko has explored the protagonist Indigo's escape from the boarding school, the lost and wandering in the white people's world, and her homing-in journey to the old gardens; in the process of questing, she finally returned to her native place to ascertain her own identity. In the depiction of their transcontinental journey, Silko employs the imagery of "wind" to reveal the features of the character, the themes of the novel, as well as her reflection on native culture, capitalist culture and female identity.

In the following part, based on relevant ideas from bildungsroman, literary geography, and ecofeminism, this essay will first analyze the functions of the "wind" embodied in this novel, and then explore the themes that Silko attempts to reveal through various roles the "wind" has played with relation to different characters, and examine Silko's reflection on native culture through the imagery of wind.

2. The Wind's Symbolic Roles in *Gardens in the Dunes*

According to the Chinese scholar Zou Jianjun (2010), natural imagery is the primary object and content of literary geography criticism (p. 38). "The natural landscape in literary works can be a realistic depiction or a kind of symbol. In essence, all things in literary works are artistic imaginations. They are the psychological images and emotional symbols of writers. In this sense, the natural landscapes in literary works are symbols with meanings" (Zou, 2009, p. 43). With no exception, "wind" in *Gardens in the Dunes* is also profound in connotation, which not only exposes the inner activity and the deepest emotion of the writer but also sheds light on the themes.

This novel opens with the two sisters chasing, leaping, laughing, and playing in the wind and rain.

> She took a deep breath and ran up the dune, where Sister Salt was naked in the rain. She pulled the ragged sack over her head and felt the rain and the *wind* so cool. So fragrant all over her body. Off in the distance there was a faint rumble of thunder, and the *wind* stirred; the raindrops were large now. She tilted back her head and opened her mouth wide the way Sister Salt did. The rain she swallowed tasted like the *wind*. She ran, leaped in the air, and rolled on the warm sand over and over, it was so wonderful (Silko, 2005, p. 13; quotations from *Gardens in the Dunes* in the following part will only indicate the page number).

Instead of taking shelter, they came outside, smelling the "heavenly" rain, enjoying the "magic" fragrance of flowers, feeling the "refreshing" breeze and the warmth of the ground. In this case, "breeze" plays the role of backgrounder, which throws into relief a harmonious picture of man and nature. This situation can also be found in the scene of Ghost Dance. Ghost Dance is an important ritual in Indian culture. It is said that "if the Paiutes and all the other Indians danced this dance, then the used-up land would be made whole again and the elk and the herds of buffalo killed off would return" (p. 23). The wind is an indispensable part of this "peaceful" dance. "As the people danced, great *storm* clouds would gather over the entire world" (p. 23); when all the Indians are dancing, "great *winds* would roar out of clear skies, *winds* the likes of which were never seen before" (p. 23), they sing, "Dust of the *whirlwind*, dust of the mountains in the *whirlwind*, even the rocks are ringing!" (p. 30). It seems that the wind is livening things up and entertaining the people. It has made the Ghost Dance more sacred and grander, striking one as being God's will.

In some other situations, "wind" is incarnated as a destroyer. When the claimed botanist and in fact botanic smuggler, Edward, initiated his expedition, "a great gust of *wind* and ocean surge flung the small boat containing all their supplies against the crushed pier" (p. 84–85). Every time the wind appears simultaneously with Edward, its role of destroyer would be intensified. Wind also acts as a destroyer and impartial punisher in the case of Big Candy and Delena. Big Candy ignored his son when Sister Salt took him home, at this moment, "the thunder cracked and shook the ground, and raindrops clattered against the tent while the *wind* pulled at the canvas and rattled the cottonwood branches and leaves above them" (p. 346), as if protesting against Big Candy's indifference towards his new-born baby. Delena, the "Mexican dog circus Gypsy" (p. 385) stole all Big Candy's money and run off. In the process of escape, Delena "thought she must have reached the edge of the land of the dead or some kinds of hell because a terrible howling *wind* stung her face with grit and dust" (p. 440), then "the *wind* increased with the rain and carried with it grit the size of seed beads, then the size of peas; as the *wind*'s scream increased even pebbles the size of small acorns were blasted against her…" (p. 441). The wind is just like an upright judge who abhors any evil-doing and tries to punish the evildoers.

"Wind" also plays the role of the purifier. In performing the Ghost Dance, "the *winds*, for weeks without end, would blow away all the topsoil and strip the trees of all leaves; the *winds* would dry up all the white people and all the Indians who followed the white man's ways, and they would blow away with the dust" (p. 23). When Grandma Fleet, Sister Salt and Indigo were dancing, a Paiute woman commented that "the *whirlwind* would transform the Earth... when the *wind* scoured away all impurities, then the Earth's rebirth would follow" (p. 30). Jesus told them "if they kept dancing, great *storms* would purify the Earth of her destroyers" (p. 23). Wind filters out all the incompatible parts and blows them away, thus maintaining the purity of the nation and bringing regeneration to the earth. In her journey, Sister Salt met Delena, a wandering gypsy who could read cards and made money through dog circuses. Sister Salt noticed "a dark purple scar from the middle of her forehead down the bridge of her nose to her chin" (p. 343), and through further conversation, she realized that it was the war that caused the scar. Sister Salt was quite confused "why the Messiah didn't stop the killers", since "the Messiah told the people here not to take up weapons but to dance until the great *storm winds* of heaven scoured the earth of killers" (p. 354). However, Delena said that "they were lucky to have the *storm winds* do the work for them; in the south they had to do the fighting themselves" (p. 354). From the quotations above, we can find that for the indigenous people, the wind has been endowed with perceptivity and the sense of justice. Acting as a healer or purifier, it possesses the power of bringing away all the bad things—wars, injustice, and impurities and bringing in the revival and revitalization of everything on earth.

Besides, wind possesses feelings and can sympathize with people. After losing her temper and shouting at Indigo, Sister Salt was regretful, but she was even more worried about what lied ahead without Mama and Grandma. "The *wind* rustled the dry cornstalk and leaves as the sun went down... the sound of the *wind* in the dry stalks seemed like the saddest sound Sister Salt had ever heard; it seemed to say, 'All gone, all gone'…" (p. 56−57). It seems that the wind knows what Sister Salt was thinking and tried to voice out the words in her heart.

Wind is inextricably related to the characters in this novel. Acting as a messenger who conveyed her innermost feelings to the family and a consoler who comforted her in dismay, the wind was a crucial element in Indigo's growing-up process. For Hattie, wind resembled a mentor who guided her and encouraged her to achieve self-actualization rather than being objectified by others. With regards to Edward, who was engaged in botanical piracy, the wind was incarnated as a destroyer, aspiring to devour and demolish every specimen that was ready for the market. Through connecting the image of wind and the characters in this novel, Silko elucidates her advocation of a harmonious human-nature relationship and her reflection on native culture. Meanwhile, she also expresses her support for the reconstruction of female identity as well as her denunciation of imperialism, capitalism, and consumerism. In what follows, the author of this essay will have a detailed analysis of the various roles "wind" has played with relation to different characters and the themes Silko attempts to reveal.

3. Indigo's Healthy Growth in the Wind

3.1 Indigo's Companionship with the Wind

According to Rui Yuping, an important structural feature of initiation stories is the change of time and space, making the protagonist walk out of the familiar living environment and enter into a strange space to increase knowledge. In doing so, their cognitive development can advance the story along the direction of the theme. This is why many novels have to let the protagonist leave home. It needs to describe the protagonist "on the road" and the story "on the road" (Rui, 2012, p. 286). Centering around Indigo's forced leaving of the familiar Sand Lizard tribe, her deliberate escape from the Indian boarding school, and maturation in the transcontinental journey, *Gardens in the Dunes* bears the hallmark of the initiation story. The initiation guide is an essential part of the initiation story (Rui, 2004, p. 124). Wind, though impersonal in general understanding, acts as the positive initiation guides in Indigo's growing up process.

In this novel, there are many scenes related to the interaction between wind and Indigo. The wind is just like a loyal friend who understands her, accompanying her going through the toughest days of the journey. When Indigo escaped from the boarding school, she inadvertently entered the white couple's garden, hiding in the lilacs and refusing to come out even though Hattie extended the olive branch. In this moment, the wind guided her to take the first step. "The west *wind* stirred and cooled her face; she inhaled the scent of orange and lemon blossoms, then suddenly caught the scent of roasted meat that wafted down the path from the back of the house … she crept out from the low wall …," the "warm *breeze*" caresses her skin (p. 83). In this case, wind guided her when she was at a loss and brought solace to her heart.

Wind also resonates with Indigo. "The sounds of the *wind* in the grass and the nearby waves gave the deserted village *a lonely feeling* that did not leave Indigo until the carriage pulled around the driveway to the house and she saw Mr. Abbott walking from the stables with two brown-and-white goats on leashes" (p. 181). At that time,

Indigo was really lonely. She missed her family so much. Previously she got lost and was saved by an Indian woman, who had presented her a button and "she carried the button with her everywhere she went because the button was her first gift from another Indian and because the shell came out of the same ocean she soon must cross" (p. 180−181). The sound of the wind sweeping across the grass and waves made Indigo feel lonelier in this "deserted village", which aroused her emotional resonance and further intensified her nostalgia for the old gardens and her family.

What's more, in Indigo's mind's eye, the wind is a messenger who helps convey her yearnings for the family. When traveling with the white couple, "the great rhythmic voice of Ocean" and "the Earth's moving by her sister Ocean's waves" (p. 224) reminded Indigo of her own sister. "I have a sister too, but this ship and you, Ocean, are taking me farther from her, Indigo whispered … now a great ocean lay between them … Tears filled her eyes and she cried softly into her pillow: Please help me, Ocean! Send your rainy *wind* to my sister with this message: I took the long way home, but I'm on my way. Please don't worry" (p. 224). Though Indigo was "adopted" by the couple and had no need to worry about the material life, her spiritual longing for and attachment to the family and old gardens could never be replaced. Wind, at this time, was metamorphosed as a messenger who shouldered the responsibility of a confidant and the emotion sustenance, listening to her and accompanying her when she was depressed. Cognition of emotion is an indispensable part of initiation stories since the growing up of protagonist must entail his or her emotional maturity, which not only becomes the structural elements of the story but also provides an internal impetus for the plot development (Rui, 2012, p. 237−238). Indigo's emotional maturity is fully manifested in her confession to the wind. She is no longer the little girl who relies heavily on her family, but an independent person who can handle her fickle feelings and make plans for the future.

3.2 Indigo's Understanding of Nature in Her Interaction with the Wind

Through the depiction of the interaction between wind and Indigo in the transcontinental journey, this novel suggests that the protagonist has achieved her maturity in emotional, intellectual, personal, and social cognition. Through Indigo's process of growing up, Silko also exhibits to us the indigenous people's harmonious relationship with nature.

Indigo's innocent, amiable, and lovely interaction with "wind" reflects Native people's respect for Mother Earth. The children's attitude towards nature, to some extent, can mirror a nation's view of nature, for the children are influenced and molded by adults, and they will learn from or mimic the behavior of the elder. From this novel, we can find Indigo and Sister Salt's connection with nature was forged and maintained by Mama and Grandma Fleet's storytelling about the old garden. Though she learned from Mama and Grandma that they were forced to abandon the dunes after it was ravaged by starving refugees, Indigo imagined the former old gardens as "tall corn plants swaying gracefully in the *breeze*, surrounded with bushes of beans pods and black-eyed peas, their golden green tendrils tangled around the thick pumpkin vines" (p. 34−35). It presents us with a vivifying old garden where plants grow freely and luxuriantly, and "wind" (breeze) is an important element in her imagination.

Moreover, Grandma Fleet told the sisters about the essence of Sand Lizard people's way of reseeding: learn to share and "Don't be greedy" (p. 15).

> "The first ripe fruit of each harvest belongs to the spirits of our beloved ancestors, who come to us as rain; the second ripe fruit should go to the birds and wild animals, in gratitude for their restraint in sparing the seeds and sprouts earlier in the season. Give the third ripe fruit to the bees, ants, mantises, and others who cared for the plants. A few choice pumpkins, squash, and bean plants were simply left on the sand beneath the mother plants to shrivel dry and return to the earth." (p. 15).

From their ritual after each harvest, we could perceive the Sand Lizard people's reciprocal relationship with Mother Earth. This point echoes with what Merchant (1996) proposes in *Earthcare: Women and the Environment*—"humans must give nonhuman nature space, time, and care, allowing it to reproduce, evolve, and respond to human actions" (p. 8). The tribe people teach their children to be temperate and grateful to earth, and never monopolize the things presented by nature. This ideology is passed down from generation to generation and becomes an internal part of their beliefs.

Grandma Fleet also instructed the sisters to respect the lives in nature by telling them the stories of the snake. The snake was "almost as old as she was, and the spring belonged to him"; "all desert springs have resident snakes. If people killed the snakes, the precious water disappeared" (p. 36). Through this story, Grandma Fleet cautioned her children: "whatever you do, don't offend the old snake who lives at the spring" (p. 36). Just as Li (2009) observes that the tales from Grandma Fleet "present the world as an integrated universe where the presence of humans is inextricable from the processes of nature" (p. 26). After hearing what Grandma said, Indigo whispered gently to the snake, "Remember us? We won't harm you, Snake" (p. 36). This cute and naïve

interaction manifests that Grandma's education is effective, and Indigo has internalized this creed of land.

In Indigo's world, everything around her is imparted with life and worth the respect from human beings, such as the wind, the snake, and the land, which epitomizes the indigenous people's view of nature that Silko advocates: rather than exploiting nature without any restraint like some of the white people, the indigenous people's reverence for Mother Earth and peaceful coexistence with other species are adoptable and admirable. It corresponds to what James Lovelock tries to convey in her book, *Gaia: A New Look at Life on Earth*, which treats the earth as a living organism, proposing that "the entire range of living matter on Earth […] could be regarded as constituting a single living entity…" (Lovelock, 2000, 9).

The indigenous people's holistic view of land, of nature, and of white people find its full expression in Ghost Dance. Ghost Dance is a continuation of indigenous culture and it is a peaceful dance, "Jesus promised Wovoka that if the Paiutes and all the other Indians danced this dance, then the used-up land would be made whole again and the elk and the herds of buffalo killed off would return" (p. 23). As Ziarkowska comments, "the central motif in Silko's reenactment of the Ghost Dance in *Gardens in the Dunes* is the recognition of the ancient connection between the people and the earth, in both physical and metaphorical sense" (p. 135).

In performing this dance, we can perceive an intimate communication between native people and the earth. When they were dancing, Indigo found that "they were careful to drag their feet lightly along the ground to keep themselves in touch with Mother Earth" (p. 26); "around and around they danced, lightly caressing the Mother Earth with their feet" (p. 30); "they danced slowly, careful to trail their feet gently to caress Mother Earth" (p. 465). Out of the reverence and love towards land, their movement was tender and soft. In Ghost Dance, multifaceted natural elements have also been incorporated, such as the "wind" that has been analyzed earlier. In this ritual, people would sing, "the *wind* stirs the willow", "the *wind* stirs the grasses" (p. 27). In their conception, the universe is an organic whole, and humans and non-human beings are all united together. Though the Paiute woman said that the "wind" in Ghost Dance would clear away the white people as well as the impure things, and the "storm" would purify the Earth of her destroyer, it does not mean that this ritual enhances racial distinctions. On the contrary, it eliminates the boundaries among different racial groups and forges connection instead. For example, Mormons also participated in this ritual. As "the Messiah gave his blessing to the Mormons" (p. 32), the language he spoke is Sand Lizard, not English, "yet the Mormons understood his words and murmured their thanks to him" (p. 32). Silko explains that "in the presence of the Messiah and the Holy Mother, there was only one language spoken—the language of love—which all people understand… because we are all the children of Mother Earth" (p. 32). Through Ghost Dance, Silko has envisioned a harmonious scene where people revere the lives in nature, where all the boundaries are removed "in the wind", and where human beings and non-human beings all live peacefully together.

Indigo learned from the stories that Mama and Grandma Fleet had told her, she was enlightened through what she had observed in the Ghost Dance, and gradually grew up in her interaction with the wind. She became a member of the new generation of Sand Lizard people who inherited the land ethic from her ancestors.

4. Hattie's Spiritual Awakening in the Wind

4.1 Hattie's Pursuit for Independence in the Wind

In *Gardens in the Dunes*, Hattie is highly repressed by the male-dominated society. Born in a white middle-class family, she was influenced by her father's research at a young age and got interests in the early church. Hattie's father encouraged her to further her study, and "arranged with the Divinity School to allow Hattie to attend lectures as a nondegree student until she proved she was capable of distinguished graduate work" (p. 95−96). In this process, doubts arose and she challenged the dogma of Christianity, believing that the Gnostic heresies denounced by it were reasonable. Unsurprisingly, the related thesis topic was declined by the thesis committee, which embodied the end of her academic career. Then Hattie went back to the widely accepted track of a woman: marriage. Previously, she believed she would not get married, but Edward changed her mind. In Hattie's view, Edward was "remarkable" (p. 79), for he had been well-traveled to the places that she had never been to, and he was humorous and adventurous, which fascinated her deeply; besides, Edward did not care about whether Hattie was a heretic or not. As a result, she wishfully believed he was the one who would care for her and share her happiness. However, "in the course of their journey, Hattie went through a traumatic realization of being objectified by her husband and abused as an alibi companion to cover up her husband's criminal practices. When she reclaimed her right to independence, she must face the fact that her ex-husband had also ruined her financially. Hattie had to build up an entirely new existence for herself" (Kohler, 2002, p. 240).

In her way to independence, the wind is just like a mentor, illuminating her and leading her to break up the bondage of male chauvinism and realize self-actualization. Hattie's mother Mrs. Abbott had internalized the

patriarchal values that dominated the whole society and tried to inculcate Hattie with those values. She was not optimistic about her daughter's academic career, holding that few respectable gentlemen want scholars of heresy for wives. According to Mrs. Abbott, Hattie's value could only be realized through marriage rather than her academic achievements. Mrs. Abbott insisted on Hattie taking riding lessons because she wanted "Hattie to develop normal interests and hobbies to take her away from her books long enough to find a suitable husband" (p. 95). However, Hattie didn't share her mother's idea. She galloped her pony in the dunes only because "she loves the rush of the *wind* in her face and the sensation of flying above the powerful muscles of the horse" (p. 95). A ride in the *wind* refreshed her and allowed new ideas to spring up. The wind is just like a mentor who inspires her and supports her, giving her time and space for her own independent thinking.

The wind has appeared in another scene which symbolizes Hattie's epiphany. There was a time when Hattie sleepwalked and went to the garden. After waking up, she was quite shocked and tried to trace back her experience there. "Thoughts raced through her mind in swift-moving *torrents*—glittering and flashing. Words from her thesis notes cascaded before her mind's eye, then suddenly scattered as if suddenly the words were dry leaves blowing away in the *wind*: poor judgment, bad timing, late marriage, premature marriage, dread of childbirth, sexual dysfunction" (p. 249). All those unbearable memories crowded in her mind, but at that moment, Hattie seemed relieved and could confront those problems calmly. The most urgent one was about the Indian child, Indigo. Hattie's encounter with Indigo "results in her growing awareness of experiences of life that she shares with the Indian girl, since they are ultimately both denied the right to decide on their roles and positions in the American cultural system" (Kohler, 2002, p. 239). When Hattie was contemplating on her own problems, she could somewhat understand Indigo's isolated situation as well as the native girl's inner loneliness. Some further analyze that "Hattie's exclusion from a male-governed intellectual world and Indigo's racial estrangement make for a perfect, unspoken understanding between the two" (qtd. in Kohler, 2002, p. 239). Therefore, in this *wind* scene, when facing her struggling thoughts and imperfections of life, Hattie suddenly realized that "they must help the Indian child return to her sister and mother!" (p. 249), thus deciding to help Indigo to go back home rather than keep her around.

4.2 Hattie's Awakening of Female Consciousness in the Wind

As a female writer from the ethnic group, Silko faces double oppression from the white male society; therefore, topics related to women and their identity are hard to circumvent (Zhao, 2017, p. 184). By depicting the awakening of Hattie's feminist consciousness, Silko is actually elucidating her ideas of the reconstruction of female identity by resisting the male-dominated culture.

Hattie lived in a society that expected women to be docile, passive, and subservient, and new ideas from women are not welcomed, which explains why Hattie's thesis topic had been rejected. She had a keen interest in early Christianity and had planned to continue with graduate study. With her father's help, she was able to attend lectures as a non-degree student at Harvard Divinity School. Though she read and studied with great eagerness, the scholars of early church history were too conservative to accept her topic, and advised that "the committee might have entertained her proposed thesis topic had Miss Abbott not reject all reliable authorities and texts in favor of odd forgeries of old heresies" (p. 101). The committee did not agree with Hattie's heretical views since she challenged both the male scholarly authority and Christian religious predominance. However, "women do not differ from men as rational agents and that exclusion from educational and economic opportunities has prevented them from realizing their own potential for creativity in all spheres of human life" (Merchant, 1996, p. 8). Through Hattie's doomed academic pursuit, Silko attempts to reveal that women's identities and values are denied in a male-dominated society, their voices are submerged in the patriarchal system. Thus, in the following part of this novel, Silko delineates Hattie's awakening and transformation in her identity-seeking journey.

The rejection of her thesis topic was a heavy blow to Hattie, and it "had shaken her self-confidence" (p. 75). "Before the thesis committee's decision, she seldom cared what others might think of her" (p. 75), but after that, Hattie compromised and seriously doubted herself. The first compromise was her marriage. Despite Edward was much older than her and was sexually impaired in his expedition, she determined to marry him. She did not like Edward so much that he was the only one who did not care about her heretic ideas. After that, it became obvious that Hattie gradually conformed to the expectations of society and suppressed her own feelings and desires. Just as Li has analyzed: "She accepts Edward's attempts to commodify plants and flowers and does not challenge Susan's aesthetic exploitation of the earth. Hattie functions largely as an empty vessel to be filled with the beliefs and ambitions of others" (p. 31). However, in the journey, Hattie was deeply influenced by Indigo and began to respect her own opinions and feelings.

When she traveled alone, Hattie received a letter from her father which begged her to go back home. Though

moved to tears, she refused and would rather "wander naked as Isaiah for years in the wilderness than go back to Oyster Bay to endure the stares and the expressions of sympathy" (p. 452). In her journey to Needles, Hattie was assaulted. All her valuable properties were gone and she was heavily injured. Her family came here to take her to the hospital in Albuquerque, but Hattie escaped. When she finally found the place where she was attacked, Hattie burnt the livery stable of the perpetrator. She was "amazed and elated by the beauty of the colors of the fire against the twilight sky" (p. 473), and the "white town" (p. 473) Needles was burnt to the ground. As Regier comments, "Hattie's barn and town fire, metonymically burning down a culture, parallels the attempt to burn the patriarchal barn in William Faulkner's 'Barn Burning' (1938), as well as the burning of colonial structures in Jean Rhys's *Wide Sargasso Sea* (1966)" (Regier, 2005, p. 153). The arson was the first time that Hattie showed her aggression and initiative, which demonstrates her awakened female consciousness and resistance to the male-dominated society. At the end of the story, Indigo received a letter from Hattie and was relieved to find that she lived a happy life in England.

From Hattie's experience, Silko attempts to convey that women in a patriarchal society should break the bondage that men imposed on them, and try to pursue independence rather than being defined by other people. Only by doing so can they affirm their subjective position and realized their own values.

5. Edward's Doom Manifested in the Wind

5.1 The Wind's Rage Against Edward's Money Worship

Edward was a white botanist who smuggled forbidden plant material for lucrative interest. He was an indifferent capitalist machine who cared only about money and profits. Putting too much of his energy into profit-making, Edward communicated less with his wife; fighting over the property rights, he was estranged from his sister Susan; trying to train the Indigo to be a maid and servant, he showed no sympathy for the poor girl. He even risked his life to pirate orchids and citron and sought meteorites for valuable metals and diamonds.

In *Gardens in the Dune*s, whenever wind appears simultaneously with Edward, it takes the role of a destroyer, as if it is nature's revenge for his smuggling of rare plants. When they were in the Key West expedition, "an early *hurricane*" cut short their journey when "the tropical *storms* lashed the Bahamas and the Keys," so they decided to "wait out the first *storm*"; however, "a great gust of *wind* and ocean surge flung the small boat containing all their supplies against the crushed pier" (p. 84−85). Edward tried to send a telegram to extend the effective dates of their expedition, "but the high *winds* from the approaching storm knocked out telegraph communication" (p. 85). The captain said that "in more than thirty years on the Caribbean...[he] had not seen as many *storms* as there were this season" (p. 88). "The wind howled and drove the rain relentlessly against the ship; on the third day the storm gave no sign of abating, and the sailor began to recount old stories about hurricane that raged for weeks" (p. 88).

It was not the first time that Edward was up against the hurricane. In his return trip from the Pará expedition, "a sudden storm sprung up off the coast of Venezuela", "wind-driven waves nearly swamped the ship; the terrified sailors cast overboard much of the ship's cargo to buy the wind's mercy, and all but two crates of the rare orchids specimens were lost" (p. 88). "The rain and wind were relentless, never increasing but never decreasing in velocity" and "the relentless howling of the wind brought on a deafness in his right ear" (p. 89). The wind is never a friend to Edward. He was always under the menace of its various forms, the "storm" or the "hurricane." The specimens painstakingly collected by him were frequently subject to the devastation of the wind: "... a rainstorm and wind threatened to flood the boxed of orchid specimens" (p. 147), "a great gust of *wind* and ocean surge flung the small boat containing all their supplies against the crushed pier" (p. 84−85).

Under such circumstances, the wind has incarnated as an impartial judge. Having witnessed various injustices and immoralities done by the profit-driven human world, it decides to eradicate all the harms for constructing a more harmonious man-and-nature relationship.

The wind also voices its dissatisfaction when Edward neglected his family. When Edward had just bought the lead curse tablets from the major, he was pleased with his purchases and wondered how marketable the tablets would be, considering "pleading a headache to excuse himself from the picnic so he could spend time with his new acquisition" (p. 259). At this moment, "… the clear sky and sun gave way to dark blue *storm* clouds and *wind*-driven rain. The sky darkened, so hall lamps were lit by two o'clock. As the afternoon wore on, the *wind* blew harder and the creak and groan of the roof timbers could be heard, along with other noises in the *wind*—clatters and bangs of loose shutters…" (259). Before long, "the *wind* made a howling sound like the sea monsters in stories Aunt Bronwyn heard as a child. The monsters were not flesh and blood but the great violent *storms* that lashed these islands…" (259). Edward was a typical merchant, who cared solely about profits rather than the warmth of family. In most situations where "wind" and Edward appear simultaneously, the former plays

the role of a "destroyer," seemingly trying to devour and demolish everything in the human world. It is not surprising that Edward finally faced his doom in a desolate way.

5.2 Destruction of Money-Worshipped Edward in the Wind

The howling of the wind not only voices the indignation of nature but also reflects Silko's denunciation of the anthropocentric and profit-driven capitalism. As Ryan argues, "In *Gardens* plants are exquisite tokens that signify the international imperialism behind the botanical piracy in which Edward and his employers engage" (Ryan, 2007, p. 127). The mechanism behind capitalism drives people to maximize their profits by every means. Rather than regarding plants as edible or ornamental, the white people view them as a symbol of social status and means of making profits. As a result, they throw a cold shoulder to the family warmth and ecological equilibrium, plunging headfirst into consumerism to find their life meaning. Edward finally broke up with Hattie and was alienated from his sister, dying a desolate death. His tragic end demonstrates Silko's severe reprimand of the alienation brought about by capitalism.

This point is also manifested in the comparison of people's different attitudes towards money. For Edward, money was everything. He risked his life to participate in the ruthless botanical exploitation in the name of a private collection. He was not an authentic botanist, for he was fascinated by the money represented by those plants rather than their value for academic research. The dog circus woman Delena's "eyes widened at the mention of money" (p. 352), and her "dark eyes lit up when Sister Salt described the canvas money-bags Big Candy delivered to the boss" (p. 353). Finally, she stole Candy's money and began her fugitive journey. Big Candy, in order to get his money back, abandoned Sister Salt and his newborn son and chased after the Gypsy woman for his savings. People believed that "a man, white or colored, was nothing without money" (p. 387). However, it is not true of the indigenous people. For example, Sister Salt was at first "excited by the stacks of silver she earned", "but she was tired of money, tired of the noise the boredom and the dust required to make money; tired of the worry money caused over thieves and floor safes buried in the sand" (p. 352). She also lamented that "Money! You couldn't drink it or eat it, but people went crazy over it" (p. 398). It expressed Silko's attitude towards money. In a profit-driven world, people are estranged from each other, and family, friendship, and love are no longer important for them: because of money, Edward divorced his lovely wife, Susan disregarded her dying brother, Big Candy abandoned his new-born son, and Delena betrayed her trustworthy friends. The relationship she really admired is that of the native people. In their separate journey, Sister Salt and Indigo were concerned about each other and missed their family and home; the friendly Indian woman helped Indigo when she got lost and refused Hattie's father's reward, etc.

Moreover, through comparing people's different attitudes towards plants, Silko also expresses her advocation of the plant wisdom of native people. For Edward, plants such as orchid were for profits; for Susan, flowers were for ornament and display. However, Indigo collected seeds in her transcontinental journey, which was a tribal tradition that she had inherited from Grandma Fleet. "Others did not grow a plant unless it was food or medicine, but Sand Lizards planted seeds to see what would come" (p. 84). As Cole has analyzed, Edward's "entitlement to the almighty dollar compels him to steal, to harm the citron as a whole for the sake of the sample, and to create Americanized hybrids that degrade the quality of the original. In contrast, Indigo always receives her seeds as either gifts or lucky finds in wild spaces, and as seeds there is minimal ethical conflict for replanting them, particularly because she does not intend to profit from her collection" (Cole, 2018, p. 15). Nature has bestowed our human beings a lot of things for free, and we should observe the law of nature rather than ravage it just for material gains.

Silko here criticizes the estrangement of human relationships within themselves and with nature, reprimands the changes that commodity fetishism has induced, and highly praises the values and natural views of native people.

6. Conclusion

Silko, as a writer who attaches great importance to the landscape of the Laguna reservation, accentuates natural elements and imagery in her literary creation. *Gardens in the Dunes* is the most typical one. This novel is infused with a wide scope of flora and detailed delineation of weather to the extent that some even believe that Silko must be an expert in horticulture and meteorology. In *Gardens in the Dunes*, the frequent occurring of wind is no coincidence. Actually, Silko is exercising her inventive mind when she employs this imagery. With relevance to different characters, the wind takes on different roles—such as backgrounder, purifier, facilitator, messenger, consoler, mentor, and destroyer, which helps the revelation of different themes. For Indigo, the wind is like a loyal friend, who helps convey her innermost feelings to the family and comforts her in dismay. Through the depiction of her initiation in the transcontinental journey, Silko praises the native people's attitude towards nature: they revere Mother Earth and coexist peacefully with other species. For Hattie, the wind resembles a

mentor who guides her way to independence and self-actualization. In the delineation of her independent journey, Silko is advocating a reconstruction of female identity in the male-dominated world. Rather than being passive and subservient to men, women should have their independent thinking, make decisions for themselves, and should resist when injustice happens. As for Edward, the wind is incarnated as an impartial judge and a destroyer, who aspires to devour and demolish everything that he holds dear to make profits. In his profit-making journey typical of capitalism, Edward not only brings damages to nature but also neglects his family, which is severely denounced by Silko. All in all, wind as an essential imagery in *Gardens in the Dunes* is of significant thematic concern.

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Code-Switching Among Kuwaitis in the Social Context: Attitudes and Practices

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Abstract

This paper investigates the Kuwaiti attitudes and code-switching practices between the two most common languages used: Arabic and English. Additionally, it discusses which factors may affect how Kuwaitis code-switch, as well as their attitudes toward this phenomenon. In this study, a qualitative approach was used to collect data by conducting one-on-one interviews with seven participants. The study results showed that four of the seven participants had positive attitudes toward code-switching, whereas the remaining few had either neutral or negative attitudes. The thematic analysis of the qualitative narratives revealed that all of the participants habitually employed code-switching in their social interactions, despite their different attitudes. Being a bilingual speaker is an advantage—it can widen users' horizons and open new socioeconomic opportunities thanks to globalization and English as a *lingua franca*. Therefore, parents, teachers, and policymakers are encouraged to work and help create bilingual speakers who are competent users of their mother tongue and their second language, English.

Keywords: code-switching, language attitude, language practice, EFL

1. Introduction

Bilingualism and multilingualism are widespread throughout the world because of colonization and globalization, with English established as the lingua franca (Grosjean, 2010). One of the outcomes of bilingualism and multilingualism is code-switching, an essential topic in the field of linguistics. Despite the number of studies conducted on code-switching in the Kuwaiti educational context, few studies have focused on the practice of code-switching in social contexts outside the classroom.

1.1 Problem Statement

Code-switching has become one of the most controversial topics in Kuwaiti society (Dashti, 2015)—a judgment tool by which Kuwaitis form their opinions about one another. People discuss it on several platforms, including social gatherings and social media platforms. Although some perceive code-switching negatively, they nevertheless want their children (and themselves) to practice it. The negative attitude toward code-switching is that many believe it is only used as a bragging tool or that speakers exaggerate their reliance on it in almost every situation among their peers.

1.2 Research Questions

This study investigates the Kuwaiti attitudes toward code-switching in the social context and seeks to answer the following research questions:

1) What are the Kuwaiti attitudes toward English-Arabic code-switching in the social domain?

2) What are the practices of code-switching in Kuwait among Kuwaitis?

3) What factors affect Kuwaiti attitudes toward code-switching?

2. Literature Review

2.1 Language Attitude

Attitude is broadly defined as "an individual's feeling, prejudice, or belief about a given topic" (Likert, 1932, p. 10). Language attitudes are the evaluation of a language user and the speech itself. They can be positive or negative and

classify, judge, and stereotype the social object, for example, a language, a person, or a law (Fasold, 1984; Garrett, 2010). Carrie (2017) added that behavior is an important element when defining attitudes—she noted "an internal state of readiness that guides behavioral responses and is inferred from introspection and self-reporting" (p. 430). According to Weinreich (1953), "the ideal bilingual is someone who is able to switch between languages when required to do so by changes in the situation but does not switch when the speech situation is unchanged and 'certainly not within a single sentence'."

2.2 Code-Switching

Different researchers have suggested different definitions for code-switching. Myers-Scotton (2006, p. 239) gave a general definition of code-switching as "the use of two language varieties in the same conversation" (p. 239). Several researchers have adopted Gumperz's (1982) definition of code-switching,: "the juxtaposition within the same speech exchange of passages of speech belonging to two different grammatical systems or subsystems" (p. 59). However, this definition neglects the fact that not only bilinguals code-switch, but multilingual speakers as well. According to Hymes (1971), code-switching is a term that describes the alternating between two or more languages or varieties of languages or speech styles. Additionally, Auer (2013) defined code-switching as "the alternating use of two or more codes within one conversational episode" (p. 1). Therefore, although bilinguals commonly use code-switching, monolinguals can also switch between styles and dialects (Aranoff & Miller, 2003; Auer, 2013). According to Bullock and Toribio (2010), there are three main approaches to code-switching: the structural approach, the psychological approach, and the sociolinguistic approach. This study will focus on the sociolinguistic approach to determine the Kuwaiti attitudes and practices regarding code-switching.

2.3 Factors Behind Code-Switching

According to Baker (2001), code-switching does not happen randomly, there is always a reason for code-switching. Gardner-Chloros's article, in Bullock and Toribio (2009), classify the factors behind code-switching into three main and general types. The first type includes the independence of particular speakers and their specific circumstances; for example, prestige or other specific contexts. The second type is related to the speakers as individuals and as part of a group. The third type is related to the discourse in which code-switching occurs—where bilingual users have more tools than are available to monolinguals (Auer, 2013).

2.4 Age and Gender

According to Bullock and Toribio (2009), "gender is considered one of the most important sociolinguistic categories" (p. 107), and it can play a role in affecting the context where code-switching takes place. Factors, such as age and gender, can also shape a person's attitude toward code-switching (Hughes & Shaunessy, 2006; Lawson & Sachdev, 2000). Several studies on the relationship between gender and code-switching in different parts of the world reveal that code-switching between any language and English is preferred more by women than men (Dewaele & Wei, 2014; Fattah & Ilyas, 2018; Lawson & Sachdev, 2013). Farida and Buriro (2018) and Panhwar (2018) added that women's positive attitudes toward code-switching are due to the high status of the English language in the context of Pakistan where the studies took place. The situation is similar in the Kuwaiti context. A study conducted by Dashti (2015) demonstrated that female bilinguals code-switch more than male bilinguals in Kuwait.

According to Dashti (2015), the English language status in Kuwait has changed, and it is now seen as the language of the future—as well as technology. Fattah and Ilyas (2018) mentioned that the younger generation is more accepting of code-switching, whereas Dewaele and Wei (2014), in contrast, stated that older people—specifically those in their forties and older—were more accepting and in favor of code-switching.

2.5 Globalization

Code-switching is one of globalization's effects on language use. Studies have shown that people's attitudes to code-switching are different around the world depending on their perception of globalization. "any kind of language change, which is an inevitable process in almost every world language, has always been resisted in Saudi Arabia mostly due to national identity and religious factors" (Omar & Ilyas, 2018, p. 78). Because of globalization and English as a lingua franca, code-switching has become common in Saudi Arabia (Omar & Ilyas, 2018).

In contrast, from a cultural perspective, globalization can be seen as a cause of clashes and tensions between different cultures (Della, 2006). Due to globalization and a diversity of different religions and cultural, ethnic, and linguistic groups in the Arab world, researchers believe that code-switching can be considered an obstacle when seeking to create a national identity (Kumaraswamy, 2006). Take Morocco, for example. Studies have shown that Moroccans have negative attitudes toward code-switching for two main reasons: (a) it is considered a sign of "showing off" and (b) it reflects the effect of colonization on Moroccans. Finally, to some Moroccans,

code-switching demonstrates disloyalty to their country (Bentahila, 1983; Ennaji, 2005).

3. Method

In this study, a qualitative approach was used to collect data by conducting one-on-one interviews with seven participants. The focus was to achieve a more detailed and nuanced understanding of the code-switching phenomenon by focusing on the "why" and "how." Participants were asked a range of questions that fall under four categories: personal information and education, the use of code-switching, gender and age, and place and time. The chosen interview method was the semi-structured interview, and interviews were conducted after asking the participants to fill out a consent form. Although a questionnaire would cover a larger number of participants, face-to-face interviews were chosen to provide more in-depth information. First, the idea was to help make the participants more comfortable while talking because it was more or less a structured interview. Second, the participants were free to express themselves in the way they preferred. Third, the ages and proficiency levels were different from one participant to another. Therefore, the semi-structured method was chosen to make it possible to reword and reorder the questions and translate them to the participants' first language, Arabic.

The interviewees were asked to provide background information, such as social environment, education, and language proficiency level. In the second part of the interview, participants were asked to express their opinions and attitudes toward code-switching. The interviewees described code-switching and why they engaged in it. Following this, the interviewees were asked to describe their code-switching relationships between age, gender, place, and time from their perspective and how people around them perceive it.

3.1 Participants

The participants were selected through personal connections. To find answers to the research questions and to develop a more detailed understanding of the Kuwaiti perspectives and attitudes toward code-switching, factors, such as age, gender, social class, and education, were considered when selecting the participants.

These criteria were chosen to reflect the different geographical and social features of Kuwaiti society. The ages ranged from 18 to 57 years, reflecting three generations. Among the seven participants, three were male and four were female. All of the participants worked in different fields and came from different educational backgrounds. During the interview, participants were asked to use the language and the speaking style with which they were most comfortable. Therefore, both literal and interpretive analyses have been used in the findings and discussion sections to analyze the data collected.

4. Results

The data collected from the interviews were categorized into three main themes: participants' code-switching practices, participants' attitudes toward code-switching, and factors affecting participants' attitudes and code-switching practices.

4.1 Participants' Code-Switching Practices

Analysis of the interviews shows that some participants code-switch based on the specific context, whereas others code-switch all the time in all contexts. For instance, people who rarely code-switch mentioned that code-switching between two languages signifies that the speaker is not a competent language user and it is a sign of weakness. People who rarely codeswitch use this method either consciously or unconsciously to employ technical terms and concepts that can be hard to explain or are not commonly used. This is common when using religious terms, such as "In sha'a Allah," which means "if God will" when speaking in English.

Interviewee three, who studied public relations and advertising in English, mentioned it is more convenient for him to codeswitch to English when discussing topics related to his field of study. Additionally, interviewee three stated,

> "We have to codeswitch at the company, because there are some terms that you can't say in Arabic, or it is not commonly used . . . such as 'client,' 'social media,' and 'post.' I can't imagine myself saying 'wsael altawasol alejtmae' or saying post in Arabic . . . I don't even know what the translation of 'post' in Arabic is."

Moreover, he noticed that other employees with low English proficiency started to code-switch on topics related to their field of work because of the English input they receive daily. Four out of the seven speakers mentioned that they code-switch all the time and that code-switching is their natural speaking style.

According to interviewee four, only using his first language required more effort and more focus when speaking. This usually happens in social contexts, such as large family gatherings where he communicates with older people or speakers who do not speak English. Alternatively, two interviewees found it impossible to form long conversations in Arabic without switching to English. The three speakers believed that code-switching made their speech more coherent. Interviewee five added that she found switching to English helped her find more precise

words when expressing her emotions.

4.2 Participants' Attitudes Toward Code-Switching

This paper draws on the Garrett (2010) definition of language attitudes—how attitudes toward a language can be determined to interpret the findings. Attitudes toward code-switching varied in the interviews among positive, negative, and neutral, and the participants who had a positive attitude toward code-switching did not think it would negatively affect themselves or society, so they encouraged the act. Furthermore, they felt it helped them express themselves, allowing for better communication.

The interview indicated that the same participants who mentioned that they practiced code-switching also had a positive attitude toward code-switching. Four speakers saw code-switching as a tool that helped them deliver their emotions and their messages more easily. Interviewee four also mentioned that code-switching helped him when he wanted to say something to his wife without their young children understanding. Additionally, he believed it helped in the learning process because he saw code-switching as an opportunity to practice a second language and to learn new lexicons.

Although three out of the four interviewees had a positive attitude toward code-switching, they also believed it could be problematic. One interviewee noted that young children overused it to the detriment of their first language, Arabic. However, according to interviewee five, the practice of code-switching should not affect the user's proficiency in their mother tongue. Interviewee five believed that, although being bilingual was important, neglecting the Arabic language can have negative consequences. She emphasized the importance of learning a new language but was concerned about code-switching causing speakers to neglect or regard their mother tongue as a lesser language. Code-switching, for some, is considered a negative phenomenon when users utilize it to the detriment of their Arabic skills.

4.3 Kuwaitis' Negative Attitudes Toward Code-Switching

Interviewee two had a negative attitude toward code-switching. Her attitude stemmed from her concerns about the effect of code-switching on the mother tongue. Although she thought that learning languages was quite beneficial, she felt that code-switching was destroying the identity of Kuwaiti society as an Arabic country. Additionally, other participants mentioned that code-switching would be seen as a harmful practice only when it is overused. Code-switching might make a child speak only English and forget Arabic. A third reason for having a negative attitude toward code-switching is that it might affect the process of English language learning, especially for people with low proficiency levels, who often switch to Arabic when communicating in class instead of trying to search for the word in English.

4.4 Globalization

According to interviewees one and three, code-switching became commonly used in Kuwait because of the need to be connected economically, socially, and educationally with the rest of the world. Globalization forced Kuwaitis to code-switch; therefore, it became a necessity. Interviewee one mentioned that, during the 60s and 70s, using English in everyday communication was not expected. He also added that the Arab nationalism ideologies were dominant in Kuwaiti society. People take pride in speaking Arabic, and nationalism affects their attitudes toward code-switching and using English in everyday communication.

4.5 Age and Gender

All interviewees stated that they did not think age or gender affected code-switching practices in contemporary Kuwaiti society. People from all age groups use code-switching; however, it is most common among young people because of their greater English exposure. Interviewee five stated, "*Age and gender are not an issue. My mom code-switches, but my dad doesn't. That's only because my mom is better at English, and she needs to use it.*" Interviewee five also agreed that code-switching is not related to age or gender but, instead, to the English proficiency of the language user.

5. Discussion

5.1 Attitudes Toward Code-Switching

Based on the Agheyisi and Fishman (1970) classification of language attitude studies mentioned in the literature review, the results in the discussion focus on the social significance of code-switching by analyzing the social practices and attitudes toward code-switching outside the classroom context.

The interviewees' findings agree with Taqi (2010) and Dashti (2015), who found that code-switching between English and Arabic in social contexts was a sign of higher status among Kuwaitis and that those who engage in code-switching were regarded as more highly educated. This is a consequence of the English language being

considered a prestigious language in Kuwait. In line with other research findings (Akbar, 2007; Taqi, 2010), all participants mentioned that English was seen as the most prestigious language in Kuwait compared to the other commonly spoken languages and dialects, such as the Kuwaiti dialect and Standard Arabic. This attitude is similar in other countries in the Arabian region, such as Saudi Arabia, United Arab Emirates, and Egypt, where use of the English language is associated with higher socioeconomic status (Alissa & Dahan, 2011; Hussein, 2018).

Al-Rawi (2012) noted that educated parents prefer their children to be bilingual, and they like to show off their children's knowledge of languages. Similar to Garrett (2010) definition of language attitude, the participants' attitudes toward code-switching are based on a stereotypical perspective that employ such linguistic variety in social contexts, which implies a higher educational background. This stereotype leads Kuwaitis who have little English knowledge to use it to give the impression they are educated. In contrast, many people see code-switching as a communication style used in business; nevertheless, many still prefer using Arabic and code-switch less when they are with their family or in formal social gatherings, such as weddings or *diwanyah* (Dashti, 2015).

Although interviewee two believed that bilingual speakers should not code-switch and should speak using one language in one conversation, she saw the English language as a sign that the speaker received a privileged education. One of interviewee two's negative attitudes toward code-switching came from the negative effect of code-switching on learning a new or second language. This finding supports Weinreich (1953) opinion mentioned earlier in the literature review and is in contrast to Ennji (2005), who mentioned that code-switching could be seen as less patriotic and socially less attractive.

According to interviewees one and four, code-switching has become a "communication necessity," connecting Kuwaitis with the rest of the world. Due to globalization and other global political events, it has become standard practice to code-switch, especially among the younger generation and even for some older generations who may not practice code-switching. Additionally, factors, such as the growing number of foreigners and bilingual schools in Kuwait, have made code-switching a more acceptable practice.

5.2 Practices and Purposes of Using Code-Switching

The findings of this study also reflect the types of factors mentioned by Gardner-Chloros (2009). Similar to Dashti's (2015) findings, some participants code-switch, regardless of their English proficiency level, to inject humor, express a concept that does not have an equivalent in Arabic, or help when a person either forgets or does not know the word in Arabic. For many, making a request or apologizing in English is more accessible and less of an embarrassment than using Arabic. English is sometimes necessary when communicating with those who do not know Arabic, such as interviewee six's American mother. Finally, some participants relate their practice of code-switching to the social discussion topic—the type of education received or the language input and exposure to a language result in an alternation between different speaking styles.

5.3 Relationship Between Participants' Code-Switching Attitudes and Practices

This study agrees with Carrie (2017) explanation of the relationship between attitude and behavior. People's attitudes toward English or code-switching affect how (or if) they practice it or how they might judge others. The more people have a positive attitude toward it, the more they will use it.

The interviewees who had positive attitudes toward code-switching would code switch more often than those who stated that they had a negative or neutral attitude toward this phenomenon. Interviewee two rarely used code-switching because of her negative attitude toward code-switching.

The interviews also provided clear support of Baker (2001) position that the phenomenon of code-switching was not a random practice; evidently, there are logical reasons behind people practicing it. These factors affect peoples' attitudes to, and practices of, code-switching—differing from one community to another and from person to person. Therefore, discussing the factors that affect the attitudes is an important consideration.

5.4 Age and Gender

Although Dewaele and Wei (2014) stated that people who are in their forties and fifties are more accepting of code-switching, our results from interviews agree with Fattah and Ilyas (2018) view that the younger generations are more accepting of code-switching. Thus, in Kuwait, age and gender do not affect how Kuwaiti people judge the other code-switchers, yet it arguably can influence when, where, and how they practice code-switching.

The interviews suggested that men and women use code-switching for different purposes and in different settings. Reflecting on the interviews, the female participants suggested that code-switching became a communication necessity to express themselves and their emotions. However, male participants use it for purposes such as communication and humor. Cheshire and Gardner-Chloros (1998) explored code-switching among the Greek

community in London, England, and their findings also suggested that, although the purposes of code-switching were different for men and women, men and women code-switch equally. However, this was not the case among the seven Kuwaiti participants in this study. The results of the interviews showed that female interviewees practice code-switching at a rate higher than male interviewees. Thus, the results of this study support the argument that women code-switch more often than men (Dewaele & Wei, 2014; Fattah & Ilyas, 2018; Lawson & Sachdev, 2013).

5.5 The Effect of Education on Shaping Attitudes Toward Code-Switching

Edward (1982) mentioned that attitudes toward code-switching are based on three components, which are cognitive (beliefs), affective (feelings toward an object), and behavioral (intended reaction). The negative attitude toward code-switching by interviewee two was formed by her observation of the behavior of Kuwaiti society and the people around her. She mentioned that one of the reasons that influenced a more negative attitude toward code-switching was its perceived detrimental effect on the language learning processes—especially on children's performance in, and acquisition of, their mother tongue. Assagheer (2011) emphasized that teaching the English language as a second language, especially at early ages, can negatively affect a child's acquisition of their native language. Conversely, the Ghasemi and Hashemi (2011) research on foreign language learning during childhood confirmed it was easier for children to acquire a foreign language than adults, who may find it more difficult to separate their first language system from the other language systems they are learning. Therefore, parents need to find a balance and place a greater effort on the type and amount of secondary language input their children receive.

6. Conclusion

This study demonstrates Kuwaiti's attitudes and practices toward code-switching and the other factors that might affect their practices and attitudes toward the same phenomenon. Attitude and practice are two related aspects that rely on each other; therefore, this study shows how peoples' attitudes depend on whether people practice code-switching or accept people who code-switch.

The study results show that four out of seven participants had a positive attitude toward code-switching, whereas two had a neutral perspective, and only one had a purely negative attitude. Additionally, this study uncovered that all participants use code-switching despite their attitudes toward it. Two significant factors affect the attitude and practice of code-switching in Kuwait: globalization and education. All participants believed that code-switching is seen as a sign of being well educated.

In the past, factors such as age, gender, and social class would affect how people code-switched or their attitude toward it. This study revealed that factors, such as age and gender, do not affect participants' attitudes toward code-switching or its practices. Yet, other factors play a role in shaping the attitudes and practices of code-switching in and among Kuwaitis: globalization and education.

Being a bilingual speaker is an advantage, opening both cultural and socioeconomical opportunities. Living in a country where the percentage of bilinguals is high encourages people to be compatible users of their mother tongue and second language (usually English in Kuwait). Globally, English is considered a lingua franca; therefore, code-switching between Arabic and English became a communication necessity. Language policymakers should put more effort into encouraging and offering opportunities for learning English and Arabic equally. Parents, teachers, and policymakers should be aware of the importance of bilingualism and code-switching might result. Last, parents should pay attention to the amount of language input their young children receive and focus on creating bilingual speakers who are excellent in both languages to avoid domain loss.

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Philip Sidney's Stella: The Lady, the Countess, and the Queen

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Abstract

In his poetic sequence, *Astrophil and Stella* (1591), Philip Sidney dramatizes his speaker's romantic ambitions of climbing the Ladder of Love. While many academics interpret the sequence as a semi-biographical work, they disagree in evaluating how deep the sequence mirrors Sidney's life. Traditionally, Astrophil is interpreted as a surrogate for Sidney and, more critically, Stella is read as a fictionalized version of Lady Rich. However, given the inconsistency of literary evidence, a new reading of the sequence emerged and argued that Stella is Sidney's wife, Frances Walsingham. Although this paper agrees on the surrogacy of the speaker in the sequence, a closer analysis of the poetic language used in Sidney's sonnets would contradict these Stella's interpretations. Furthermore, as this paper cites historical documents that confirm the non-romantic relationship between Philip Sidney and Lady Rich, a closer examination of the sequence and the historical context of the Elizabethan Era would conclude that Stella's real identity is far more complex and multidimensional than to be a mere fictionalized version of Lady Rich or Frances Walsingham. In fact, an investigation of Sidney's personal life and a close reading of *Astrophil and Stella* would conclude that Sidney's Stella is a masked version of Queen Elizabeth.

Keywords: Elizabethan Era, Philip Sidney, platonic love, English Renaissance poetry, *Astrophil and Stella*

1. Introduction

Understanding how poets navigated the political climate during the Elizabethan Era (1558−1603) is crucial in analyzing their works. For socioeconomic reasons, poets during the Elizabethan Era frequented the royal court. Some of them were outsiders, and others were elite aristocrats whose heritage permitted them to occupy a role in the royal court. However, that role was not fixed; it shrank and widened—depending on the circumstances (Greenblatt & Abrams, 2006, p. 481). Thus, many courtiers fought to expand their role(s) using their fortunes, assets, and talents—especially literary talents. Given the Elizabethan political climate, many courtiers disguised their gratitude, love, frustration, regrets, and disappointments through their works (Greenblatt & Abrams, 2006, p. 482). Chief among them was Philip Sidney, whose work in *Astrophil and Stella* (1591) serves as an exemplum of how a courtier deployed his talents to empower his position.

While Sidney's sequence depicts Astrophil's attempts of reaching his lover, his sonnets draw direct, as well as indirect, parallels between his own life and his speaker. In other words, to read the sequence through a romantic literal lens is to simplify Sidney's works and ignore the historical context of the Elizabethan Era. In a way, Sidney modifies the Platonic concept of the Ladder of Love and employs it to express his social and political ambition of transcending the declining-status of his social life by romanticizing, or dramatizing, a failing love story between his speaker and Stella. While many critics and scholars agree that Astrophel is a mouthpiece for Sidney (i.e., Stillinger, 1960; Marotti, 1982; Banks, 1935), they disagree on who is the real Stella. In this paper, I argue that Stella is non-other than Queen Elizabeth.

2. Historical Context

Although this paper's goal is not Sidney's biographical history, the premise of this paper relies heavily on the historical context of the Elizabethan Era—a historical period in which Sidney, as a Courtier and a Poet, thrived and moribund. During the Sixteenth Century, the English throne played a critical role within society and had an incomparable impact on people's life (Greenblatt & Abrams, 2006, p. 486). That role significantly transformed the royal court into a battleground, where the upper class fought to gain power, protect their status, and minimize the influence of their rivals. To Sidney, and other poets, the court held another dimension of significance—it was

"the center of culture as well as power" (Greenblatt & Abrams, 2006, p. 486). Poets, playwrights, lyric-writers aspired to employ their skills and talents to be courtiers and fulfill their ambitions of establishing themselves as members of the upper-class society. During that period, England was an absolute monarchy, in which the throne occupier enjoys a wide range of institutionalized power that surpassed the judicial authority and, later, the church authority (Greenblatt & Abrams, 2006, p. 481). For that reason, the "Tudor courtiers were torn between the need to protect themselves and the equally pressing need to display themselves" (Greenblatt & Abrams, 2006, p. 487). In other words, English writers, who aspired to show their literary talents, structured their works, crafted their stories, and composed their writings cautiously and carefully so they could avoid disturbing the throne. As a result, more often than not, English writers, who wanted to express their disappointments or criticisms, resorted to employing allegorical and metaphorical devices to speak their minds—and Sir Philip Sidney was undoubtedly one of them.

Many scholars argue that Astrophil is a fictionalized speaker who was employed to serve "primarily [as] an allegory of court politics" (Wilson, 1991, p. 313). Furthermore, when Sidney was working on *Astrophil and Stella*, he was more likely to have written the sonnets separately on different timeframes (Banks, 1935, p. 408; Stillinger, 1960, p. 619). Then, he revised them and restructured them into one semi-united sequence (Banks, 1935, p. 408; Stillinger, 1960, p. 619). Economically, Sidney could not sustain his fortune and wealth—although he had hoped to inherit his uncle's Leicester estates, his uncle, unpredictably, had a son with his mistress (Marotti, 1982, p. 400). Politically, his diplomatic ambition was cut short as he was labeled, by his rivals in the court, as "an irresponsible radical Protestant"—which led Queen Elizabeth to believe that he is "unfit for major office" (Marotti, 1982, p. 400). In fact, for years, Sidney had been denied the honors he had hoped to achieve through "merit, service, and birth" (Marotti, 1982, p. 400). Socially, although he enjoyed a status of a knighthood, Sidney is believed to be humiliated publicly in an infamous tennis court quarrel with the Earl of Oxford—an incident that he alludes to in "sonnet 41" (Marotti, 1982, p. 403). This incident exemplified Sidney's social status and implied that he "could not bear the weight of his aspirations" (Marotti, 1982, p. 403). In short, Sidney's declining economic, political, and social status made him aware of the disparity between himself and the aristocratic class, which motivated him to employ different approaches to bridge that gap—from writing poetry to give presents to Queen Elizabeth.

In 1581, Philip Sidney, then-a-veteran courtier, presented a jewel to Queen Elizabeth as his New Year's gift (Minogue, 1996, p. 555). During that time, not everyone was able to offer gifts to the throne (Greenblatt & Abrams, 2006, p. 482). In fact, if the Queen allowed a courtier to exchange gifts with her, it would be understood as a favor from the Queen (Minogue, 1996, p. 555). To Sidney, the Queen's acceptance of his gift marked an end of his decaying status as "a court hanger-on" and meant that he resumed his old position as a courtier (Minogue, 1996, p. 555). To explain, as a single woman who occupied the Tudor Throne, Queen Elizabeth was the center of marriage proposals that flood her court. While many of these proposals (the vast majority, in fact) failed from the beginning, a few of them were close to succeeding—one of the few proposals came from Francis, Duke of Alençon (Minogue, 1996, p. 555). However, Sidney opposed the proposal and pressed "too strongly the case against Elizabeth's possible marriage to Alençon" in a letter that somehow went public in 1579 (Minogue, 1996, pp. 555–556). Because of the letter, Sidney was "banished from the Court" from 1579 to 1581—a period which is believed that he started composing *Astrophil and Stella* (Minogue, 1996, p. 555). Literary historians believe that Sidney's gift to the Queen was "witty, coded self-abasement" and recognition of Elizabeth's power over him (Minogue, 1996, p. 555). More important, Sidney's gift to the Queen and his opposition to Alençon's proposal is indicative of the unusual closeness of the ambiguous relationship Sidney enjoyed with Queen Elizabeth. The nature of that relationship was yet to be defined—due to the fashion of the royal court during the 1580s, in which the multidimensional relationship(s) between a courtier and the Crown is multilayered. However, in sonnets 9, 23, 27, and 30, a glimpse of this relationship between Sidney and the Queen is implied.

Sidney's speaker situates Stella to be the object, as opposed to the subject, of his speech in *Astrophil and Stella*—a semi-traditional approach to the Petrarchan poetry. The employment of this rhetorical situation allows Astrophil to shape our perspective(s), as his audience, through his narrowed narration/articulation. As some critics put it, "[w]hether he writes a solitary meditation, an epistle to Stella, or a defense to outsiders of his love, he controls the experience" of his readers (Jones & Stallybrass, 1984, p. 54). There are two approaches to interpret Sidney's employment of this rhetorical situation: First, if the lines are to be blurred between the speaker and Sidney himself (as it will be explained later), Sidney wants to take control and resort all the power within his voice—as though he paradoxically switches position between reality and fiction. To illustrate, during the period from 1579 to 1581, Sidney realized that he is powerless in front of the Queen, in which his gift to the Queen marked his recognition for "the need for submission to the Queen before all else" (Minogue, 1996, p. 557). In

fact, he wrote a letter to a friend, in which he "laments his loss of voice with the Queen" (Minogue, 1996, p. 557). Second, he situates Stella to be the object for practical reasons since the speaker is the one who will undergo a journey of transcending while Stella is already positioned as a transcendent-figure. Now, to contemplate the thesis of this paper, it is crucial to illustrate who Stella is, how she is depicted, and for what reasons Astrophil aspires to join her.

3. Analysis

While Stella's real identity has been the center of various debates, many scholars agree on two significant interpretations: (1) Sidney employed a historical, or a real-life, figure named Penelope Devereux, otherwise known as Lady Rich, to be the model of his Stella (among those scholars are Arber and Buxton); (2) others have argued that Stella is based on Sidney's wife, Frances Walsingham, (this interpretation inspired by Spenser's *Colin Clouts Come Home Againe*). Before presenting my argument that Stella is Queen Elizabeth, it is crucial to dispute these two interpretations first.

In his introduction to Sidney's sonnet, Edward Arber claimed that "Lady Penelope Devereux, eldest child of Walter, 2nd Earl of Essex; and elder sister to his successor Robert, the second favourite of Queen Elizabeth: was Sir Philip Sidney's first and only love, *his* Stella." (qtd. in Stillinger, 1960, p. 617, emphasis added). This interpretation is echoed by John Buxton who declared that there is "no doubt Stella represents Virtue in many sonnets as well as Beauty; but she also represents Penelope Devereux." (Buxton, 1987, p. 164). There were two reasons to support this argument: (1) The frequent mention of Rich, Penelope's last name after her marriage, in *Astrophel and Stella*; (2) the long relationship between Sidney and Penelope's family.

As mentioned earlier, Penelope Devereux was known, at least for while, as Lady Rich because she married a man named Robert Rich and took his last name (Stillinger, 1960, p. 618). At first, it seems appropriate to link Stella to Lady Rich. Still, upon a closer examination of literary devices and historical context, it would become clear that Sidney uses "Rich" as a pun in his sequence. For example, in sonnet 24, Sidney writes:

> Rich fools there be, whose base and filthy hart
>
> Lies hatching still the goods wherein they flow:
>
> And damning their own selves to Tantal's smart,
>
> Wealth breeding want, more blest, more wretched grow.
>
> Yet to those fools heav'n such wit doth impart,
>
> As what their hands do hold, their heads do know,
>
> And knowing love; and loving lay apart,
>
> As sacred things, far from all danger's show.
>
> But that rich fool who by blind Fortunes lot,
>
> The richest gem of Love and life enjoys,
>
> And can with foul abuse such beauties blot;
>
> Let him, deprived of sweet but unfelt joys,
>
> (Exil'd for aye from those high treasures, which He knows not) grow in only folly rich. (1−14)

While it's possible that Sidney ridicules Lord Rich as a "rich fool" in line 9, the wordplay is more evident in lines 10 and 14, where he puns the name as "rich" or "richest." The usage of "Rich" as puns becomes clearer in Sonnet 37:

> My mouth doth water, and my breast doth swell,
>
> My tongue doth itch, my thoughts in labour be:
>
> Listen then, Lordings, with good ear to me,
>
> For of my life I must a riddle tell.
>
> Toward Auroras Court a Nymph doth dwell,
>
> Rich in all beauties which mans eye can see:
>
> Beauties so far from reach of words, that we
>
> Abase her praise, saying she doth excel:

> Rich in the treasure of deserv'd renown,
>
> Rich in the riches of a royal hart,
>
> Rich in those gifts which give th'eternal crown;
>
> Who though most rich in these and every part,
>
> Which make the patents of true worldly bliss,
>
> Hath no misfortune, but that Rich she is. (1−14)

Although "Auroras Court" in line 5 is perhaps a reference to Lord Rich's estate in Essex, the repeated uses of "rich" in lines 9−11 is nothing but a wordplay (Stillinger, 1960, p. 625). As Theodore Banks points out, Sidney wanted to imitate his contemporaries given the Elizabethan fondness for puns (Banks, 1935, p. 410). Sidney had "only to provide Stella with a rich husband" for the pun to work (Banks, 1935, p. 410). Furthermore, throughout the sequence, Sidney's speaker struggles to reach his unattainable Stella, which is quite different from Sidney's relationship with Penelope, as historical documents show.

In August 1576, the Earl of Essex, Penelope's father, wrote to Philip Sidney and urged him to visit him after he had fallen ill (Stillinger, 1960, p. 622). Although Sidney failed to arrive in time, the Earl of Essex had left him a message before he died:

> "I wishe him well, and so well that if God so move both theire hartes I wyshe that he might matche with my Daughter. I call him sonne, he so wyse, vertuous and godlye, and if he go on in the Course he hath begonne, he wil be as famouse and worthie a gentleman as ever England bredd." (qtd. in Stillinger, 1960, p. 622).

Months later, Edward Waterhouse, the former secretary to the Earl of Essex, wrote to Sir Henry Sidney:

> "All thes[s] Lords that wish well to the Children [of Essex], and, I suppose, all the best Sort of the English Lords besides, doe expect what will become of the Treaty between Mr. Phillip, and my Lady Penelope." (qtd. in Stillinger, 1960, pp. 622−623).

From these documents, we understand that Penelope's father admired Philip Sidney and, more importantly, there was a "treaty" of a proposed marriage between Sidney and Penelope, which begs the question: If there was an existing marriage proposal between Sidney and Penelope, why would Philip Sidney base Stella, who was presented in the sequence as an unattainable lover, on Penelope?

Furthermore, as Stillinger points out, academics who supported this view failed to present valid historical evidence of a love affair between Philip Sidney and Penelope Devereux (Stillinger, 1960, p. 638). Equivalently, the same argument could be made against interpreting Stella as Frances Walsingham, Sidney's wife, also known as the Countess of Clanricarde.

Penelope Devereux was traditionally thought of as the inspiration for Stella until the publication of two elegies by Spencer and Lodowick Bryskett in 1595, nine years after Sidney's death (Stillinger, 1960, p. 630). Both these elegies "identify" Stella with Sidney's widow (Stillinger, 1960, p. 630). However, some critics have argued that Spencer, a friend to Sidney, was only trying to "cover-up" for his friend's misbehavior by publishing these two poems (Stillinger, 1960, p. 630). More importantly, a closer reading of the sequence would conclude that Frances Walsingam cannot be Stella.

In Sonnet 45, Astrophel claims that Stella refused to believe him and ignored all the evidence of his love:

> Then think, my dear, that you in me do read
>
> Of lover's ruin some sad tragedy:
>
> I am not I, pity the tale of me. (12−14)

Implicitly, in the opening sonnet, where the speaker is in the midst of a conflict between passion and reason, he admits that he knows that he will never win Stella but cannot help but desire her. The correlation between Stella and Sidney's widow is not supported by any reading of the text, which is why "no one has taken it very seriously that Frances is Stella" (Stillinger, 1960, p. 630). Quite the opposite, the text suggests that Stella is based upon someone far more powerful and unattainable to reach.

For instance, the references in the opening line of sonnet 9 imply that Sidney's speaker has a more influential figure in mind than the Lady Rich, the supposed model, or Sidney's wife, as he opens the sonnet with "Queen Virtue's court, which some call Stella's face" (Greenblatt & Abrams, 2006, p. 977). The personified "Virtue"—which is sandwiched between "Queen" and "court" (1)—serves as a literary and practical mask, in which Sidney disguises the identity of his Stella beneath it (Greenblatt & Abrams, 2006, p. 977; Minogue, 1996,

p. 558). Furthermore, "Virtue" can be interpreted as a reference to Elizabeth's virginity, in which Sidney's speaker creates a virtual, or a hypothetical, equation: If Elizabeth is to be married to Alençon (hence, she would lose her virginity), her "Virtue" is to be lost as well (Greenblatt & Abrams, 2006, p. 977). Profoundly, the speaker hints that the Queen's virginity is interconnected with the Crown's fate—since Elizabeth's "childbearing capacities" could determine the next occupier of the throne (Minogue, 1996, p. 558). The second part of the opening line, "which some call Stella's face" (1), is problematic since it indicates that the speaker wants to distance himself from those "some," which can be only understood as an attempt from Sidney's speaker to continually hide Stella's identity and confuse his audience. In other words, the speaker indicates that Stella in the sonnet is not his Stella—it is the others' Stella, a character who "some" of his readers fictionalized (1). On the other hand, it can also be a symbolic reference Sidney's speaker employs to imply that his Stella has been seen by only "some" (1), which refers to the courtiers. The imagery he uses in the sonnet further depicts an extremely wealthy, as well as powerful, character with a royal prestige as he describes her place, or at least a metaphorical place, as:

> The door, by which, sometimes, comes forth her grace,
>
> Red porphir is, which lock of pearl makes sure;
>
> Whose porches rich (which name of cheeks endure),
>
> Marble mixed red and white do interlace. (5−8)

The employment of golden images can be taken literally as a description of Stella's place/Elizabeth's court, in which she "comes forth" through the "[t]he door" as a mark of her entrance among the courtiers (5). On the other hand, it can be taken as golden "petrifactions of parts of [her] body (hair, lips, teeth)"—respectively (Minogue, 1996, p. 558). Significantly, the speaker concludes this sonnet with an indication that he is "touch[ed]" as he employs Sprezzatura—a rhetorical term that describes "the well-practiced naturalness, the rehearsed spontaneity, which lies at the center of convincing discourse of any sort" (Lanham, 1991, p. 143)—in which he repeats "touch" five times. The repetition means that he is touched "emotionally, physically/sexually, [and] personally," without actually being touched (Minogue, 1996, p. 558). In other words, he is metaphorically touched/affected by a woman who cannot be touched (Minogue, 1996, p. 558; Marotti, 1982, p. 402). Hence, although the untouchable woman can be understood as a direct reference to Stella, who resists any physical contact with Astrophil, it can also be seen as an allegorical reference to a more powerful woman that imposes a wall between her and the speaker.

On the other hand, there is a spiritual glimpse, or a less-materialistic spot, that we encounter in line 9, in which the speaker describes Stella as a "heavenly guest" (9). Hence, the speaker identifies Stella with her soul, in which her body is troubled—or saved, depends on how we look at it—with its temporality. To him, Stella is more than what it appears on the surface, in which the depth of her soul creates new dimensions to the external appearance of her body. Critics, like Minogue and others, argue that Sidney's speaker in this line sees Stella through a religious lens, which can be interpreted as Elizabeth's role within the Anglican Church (Minogue, 1996, p. 558). However, this interpretation falls short since the religious references, or the biblical language, are barely employed in this sonnet. In addition, the speaker's "heavenly guest" is not necessarily a religious one—it is, more likely, a defensive line. In other words, while Sidney's speaker implies that he sees a side in Stella that no one else does, he also defends his love to her as though it is not related to the materialistic aspects within her. In the case of Queen Elizabeth, his love for her is not of a "political self-serving" nature, which is the most persistent theme of Sonnets 23 and 27 (Marotti, 1982, p. 401).

While the speaker opens sonnet 23 with a direct reference to his critics, "The curious wits" (1), who interpret his love as a political-motivated approach, this sonnet also refers to "the normal attitude of Elizabeth's courtiers" (Marotti, 1982, p. 402), who "judge ambition's rage" (9). Consistently, in lines (5−11), the speaker recites what his critics assumed the reasons behind his sadness and disappointment(s):

> Some, that know how my spring I did address,
>
> Deem that my Muse some fruit of knowledge plies;
>
> Others, because the Prince my service tries,
>
> Think that I think state errors to redress.
>
> But harder judges judge ambition's rage,
>
> Scourge of itself, still climbing slippery place,
>
> Holds my young brain captived in golden cage. (5−11)

First, they think his poetry and "Muse" (6) have misguided him to waste his youth, his "spring" (5), on poetry. Second, they lament his luck as he is given harsh diplomatic crises to solve, in which his "service" to "the Prince" (7)—which is more probably a reference to "the French marriage negotiations" Sidney was tapped to solve (Marotti, 1982, pp. 401–402)—might cause him sadness since he failed to accomplish what he was asked to achieve. Third, the "harder judges" (9) think he is too ambitious compared to his social status and political skills. The last criticism against his ambition is the significant one since it appears in multiple places in Sidney's writings, which indicates that this particular criticism gets under Sidney's skin. For instance, Sidney wrote a letter—probably during the 1580s—to his father-in-law, in which he states: "I understand I am called very **ambitious** and prowd at home, but certainly if thei knew my ha[rt] thei woold not altogether so judge me" (qtd. in Marotti, 1982, p. 402 emphasis added). The criticism against his ambition leads his critics to assume that he employs a Machiavellian plot in his attempt at "climbing slippery place" (10). In other words, they believe that he uses his love for Stella as a way to elevate himself socially, economically, and politically. Hence, Stella can only be seen as Queen Elizabeth since no one can elevate a **Knight** to a higher social position other than royalty. The poem's pivot comes when the speaker concludes this sonnet with lines that dispute their assumptions as he describes them as "O fools, or over-wise: alas, the race/Of all my thoughts hath neither stop nor start,/But only Stella's eyes and Stella's heart" (12–14). Although many critics read the concluding lines (13 and 14) as a testimony of the speaker's endless love, in which neither its genesis nor its end is known, the line is more rhetorically complicated than that. Structurally, the last two lines could be read differently: it could be read as though the speaker's love "start[s]" (13) with "Stella's eyes" (14) and it "stop[s]" (13) with "Stella's heart" (14). Sidney switches "start [and] stop" (13) to fit the rhyme scheme of the sonnet's structure. It could also be read as though the speaker is preoccupied with Stella, in which she is the beginning and the end—she is the embodiment of time. On the other hand, which is probably the most accurate interpretation, it could be read as an admission from the speaker that although his love "start[s]" with her eyes, it will be stopped by her "heart" (13–14).

The speaker's defense in the concluding lines of Sonnet 23 is mirrored in Sonnet 27, in which Sidney "reconverts the language of ambition into the language of love" (Marotti, 1982, p. 402). In a way, Sidney's pretense of combining ambition and love is paradoxically emphasized through the speaker's denial that his love is pure and without any personal or social agenda. For example, when the courtiers "deem" (4) his love as a "poison foul of bubbling pride" (5), Sidney's speaker spends the last eight lines defending himself against them, in which he responds by admitting that:

> But one worse fault, ambition, I confess,
>
> That makes me oft my best friends overpass,
>
> Unseen, unheard, while thought to highest place
>
> Bends all his powers, even unto Stella's grace. (10–14)

However, playfully, the speaker manipulates his admission, in which "ambition" here is not a political one—the one he is being accused of—as much as it is a romantic ambition to reach for "Stella's grace" (10 and 14). As Marotti (1982) puts it, in many of Sidney's sonnets, "[the] lyric […] emphasizes the conjunction between the political and the amorous" (401). The rhetoric in Sonnet 27 (as well as in sonnet 30) also blurs the lines between Sidney, the historical figure, and his speaker as though the author and his narrator evolved into one being, in which it is hard not to draw parallels that connect the fictional voice to the historical body. For example, in Sonnet 30, the speaker leaves no margin of interpretation as he narrates a semi-political experience that mirrors Sidney's. While the speaker lists political, historical, and religious figures and nations, he reproduces Sidney's own political experience and interests.

One of these political involvements is his diplomatic relationship with "the Dutch" (6), in which Sidney was instrumental in supporting the "Protestant cause" there (Marotti, 1982, p. 401). However, according to Minogue, Sidney situates the Dutch—the Holland Dutch, whose "good towns" (7) were taken by the Catholic Spanish—as a way to illustrate his advocacy for the Protestant cause of his country. In addition, he mentions his "father" (10) and his "golden bit" (9) in the sonnet because he had hoped it will help him "to succeed his father as Elizabeth's Lord Deputy in Ireland" (qtd. in Minogue, 1996, p. 556). Hence, while Sidney's speaker tries to deny his political/social desire and that his love is for itself (without any agenda), here, he reveals part of the truth as he highlights his political ambition, which is "something […] his coterie readers would have been all too aware [of]" (Marotti, 1982, p. 401).

In short, if the entire sequence of *Astrophil and Stella* is about love and overcoming sexual desire, why does Sidney's speaker include a sonnet that does not help him advances with the premise of the sequence? Although

some would answer this question by saying that this part of the journey the speaker undergoes after the Muse told him to "look in [his] heart" (line 14 in Sonnet 1), this answer might condemn the speaker even more. To explain, if the speaker looked in his heart and wrote the sequence accordingly, then it means that his political ambition lies deep in his heart, in which he could not hide it anymore.

To recap, Sidney's refusal of Queen Elizabeth's marriage-proposals is motivated by personal agenda, his disappointment(s) of being marginalized is mirrored in the sequence, and the tension at the Elizabethan Court is depicted in his sonnets through Astrophil, a fictionalized speaker that was used as a device to vocalize Sidney's unachieved-ambition. Ironically, Sidney's political disappointments, declining social status, and failed romantic attempts led him to compose *Astrophil and Stella*—a poetic and literary masterpiece that enabled him to obtain a historical prestige that no political or social achievements would give him.

4. Conclusion

Although his sequence is undoubtedly open for different yet valid interpretations, Philip Sidney's *Astrophil and Stella* is freckled with a politicized language. While some readings might follow the sexual desire, the love aesthetic, or the rhetorical situations, the reading here tries two things: On one hand, analyzing the sociopolitical context of the period and connect it to the sequence, and on the other hand, tries to explore literature through a historical lens as much as trying to decode the sequence through human motifs. It argued that Queen Elizabeth's situated power is mirrored in Stella's unattainable love—a place that neither Lady Rich nor Frances Walsingham, the Countess, could occupy. More importantly, it concludes that Astrophil's attempt and failure is more of an elaborate metaphor for Sidney's social, economic, and political despondencies.

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Eco-translatology-based Analysis of Children's Literature Translation—A Case Study: *Peter Pan*

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Abstract

Children's literature occupies a peripheral position in literature system according to the polysystem theory so that the translators of children's literature can manipulate the texts with great liberty. The translator of children's literature in the ternary relation of translation, namely the source texts, the translator and the target text, is in a relatively important position. Thus, it is a feasible way to analyze the translation of children's literature from the translator-centered perspective. Eco-translatology is a translator-centered translation theory, aiming to analyze how the translator selects and adapts during the translation process in the translational eco-environment. In this paper, the author will adopt Eco-translatology as the translation framework to analyze the translation of children's literature, and try to explore how 'children', an important factor in the translational eco-environment, influences the translator's selection and adaptation in the process of translating children's literature. Furthermore, the author will take Peter Pan as a case study, comparing two Chinese versions of this book to analyze how the two translators adapt and select differently from those three dimensions during the translation process, as one follows the target-reader-oriented strategy and the other one follows the source-text-oriented strategy.

1. Introduction

Children's literature, as an integral part of literature, did not draw much attention from scholars and its translation was considered not worthy of academic studies by many scholars for a long time until the 1980s. But in the past 40 years, critical interests in children's literature and its translation have developed dramatically. Göte Klingberg's *Children's Fiction in the Hands of the Translators* (1986) is an influential work of analyzing the translation of children's literature in the early stage. While in the past 20 years, the studies of the translation of children's literature have seen remarkable progress, with a number of scholars publishing studies and works about a specific aspect of translating children's literature. For example, Ritta Oittinen's *Translating for Children* (2000), Gillian Lathey's *The Translation of Children's Literature: A Reader* (2006) and *The Role of Translators in Children's Literature* (2010), which have greatly promoted the development of children's literature translation.

In this paper, eco-translatology (full name: ecological-translatology) is adopted as the translation theory to analyze the translation of children's literature. The author wants to deal with the following two questions: first, to discuss whether eco-translatology can be adopted to analyze the translation of children's literature. Second, for translators, how the factor 'children' in the translational eco-environment will influence the translation strategy during the translation process.

This paper is comprised of four chapters. In chapter 1, characteristics of children and childhood are reviewed to clarify their connotation and extension. Chapter 2 focuses on the approaches of children's literature translation. According to the polysystem theory, children's literature occupies a peripheral position in the whole literature system, and translators of children's literature are free to manipulate the texts, thus the author tries to analyze the translation of children's literature from translator-centered perspective. Then the author introduces how Klingberg summarizes the adaptation in children's literature, including several specific kinds of subcategories like addition, deletion, localization and simplication. Chapter 3 introduces the theory of eco-translatology, comprised of three parts. The first part is the theoretical basis of eco-translatology: Darwinian evolution theory, in which the author discusses the applicability of Darwinian evolution theory to translation. In the second part,

translators' adaptation and selection in the process of translating are analyzed according to eco-translatology. Next, based on the translators' adaptation and selection in the translation process, the author talks about the principles of eco-translatology: multi-dimensional adaptation and adaptive selection. Besides, during the discussion of eco-translatology, the author tries to apply it to the analysis of the translation of children's literature to explore the possibility and methodology of its application. Chapter 4 is a case study of the famous children's book *Peter Pan*, in which the author compares two Chinese versions of this book from the perspective of eco-translatology. By comparing these two translation versions, we can see how the factor 'children' in the eco-environment of translation influences the translators' transformation strategies.

2. Children's Literature and Its Readers

Some scholars define children's literature from different perspectives, many of which are related to the reading audience. Malmkjaer gives a definition from the perspective of the range of the reading audience: 'For us children's literature is any narrative written or published for children and we include the "teen" novels aimed at the "young adult" or "late-adolescent" readers (1996, cited in O'Connel, 2006, p. 16). Besides, Lesnik-Oberstein defines children's literature as 'it wants to be something in particular because this is supposed to connect it with that reading audience-children—with which it declares itself to be overtly and purposefully concerned' (1999, p. 15).

It is apparent that the definitions of children's literature defined by different scholars above all take the reading audience "children" as a critical element. The reading audience will influence the creation of the literary works as the writers should consider the interests and characteristics of the readers. Children's literature, just as its name implies, is suitable for children to read. But children maybe not the only group of readers who will read this kind of literature. Based on Reiss's definition of literature for children, O'Connell states there are two groups of reading audience of children's literature: 'Children, who want to be entertained and possibly informed, and adults, who have quite different tastes and literary expectations' (O'Connell, 2006, p. 17). The latter group comprises adults such as editors, publishers, academics, as well as parents and educators.

There are also some literary works popular to both children and adults, but the two groups of people may understand or interpret the same story from different angles. Such works are called 'ambivalent' texts by Shavit (2009, p. 71). *Peter Pan*, for example, is popular with both children and adults. For children, the plots of the story are interesting and attractive. While for adults, they can interpret the story on a more sophisticated level, that is, the conflict between the naivety of childhood and the responsibility of adults, which might be the real value of this literary work and also what the author wants to express by this book. Just as Shavit says: 'The child, the official reader of the text, is not meant to realize it fully and is much more an excuse for the text rather than its genuine addressee' (Shavit, 2009, p. 71).

3. Children's Literature Translation from the Perspective of Polysystem Theory

3.1 Polysystem Theory and Children's Literature

Polysystem theory was proposed by Even-Zohar based on works of the Russian Formalists and the Czech Structuralists. The Formalists hold the view that literary work is studied as part of a literary system that has a continual interrelationship with other orders. Thus, literature is a part of the social, cultural and historical framework. Following the Formalists, Even-Zohar gives a new term, the 'polysystem'. He regards literature as a polysystem, which includes "high" or "canonized" literature like poems and "low" or "non-canonized" literature such as children's literature, thrillers and the whole system of translated literature (Munday, 2013, p. 166). But Even-Zohar (1978) opposes the idea that children's literature is in a less important position, he thinks translated literature operates as a system in itself, and children's literature is an integral part of the literary polysystem. He also points out that the translation strategies of translating children's literature are determined by the position of the children's literature system in the literary polysystem.

According to the polysystem theory, children's literature occupies a peripheral position in this system as it is considered more often as a pedagogic and educational vehicle and is not seen as a literary phenomenon. What is more, children's books are written for a minority and not considered as "high art", which allows translators to manipulate the texts with great liberties as long as they follow two principles: 'a. Adjusting the text to make it appropriate and useful to the child, in accordance with what society thinks is "good for the child." b. Adjusting the plot, characterization and language to the child's level of comprehension and his reading abilities' (Shavit, 1981, p. 172).

However, the polysystem theory is criticized for paying too much attention to the objective cultural factors, while ignoring the translator's subjective factors (Jing, 2021). A translator's adoption of translation strategy is

influenced by objective cultural factors indeed, but it is ultimately up to the translator himself. Because to a large extent, it is the translator who subjectively compares the target culture with the source culture and decides which one is 'higher' and which one is 'lower'. On this point, eco-translatology theory is opposite to the polysystem theory as the translator's subjective initiative occupies a dominant position in the translation process, so there is no compatibility between these two theories. But when we talk about children's literature, the particularity of the target readers determines that the translators will relatively be in a dominant position. Translators consider how and what they want children to learn from the translation version as adults, which is also one of the main reasons that adaptations in children's literature translation are more common than in other kinds of literature.

Based on this, translators of children's literature are relatively free to manipulates the texts compared to adults' literature. In the ternary relation of translation, namely the source texts, the translator and the target text, the translator of children's literature is in a considerable position. 'In children's literature, shortened or otherwise edited version is much more common than in adult literature' (Oittinen, 2000, p. 81). It is the translator who manipulates the texts, so studying the translation of children's literature from translator-centered perspective to explore how the translator manipulate the texts and why they manipulate the texts can be a feasible way.

3.2 Adaptations in the Translation of Children's Literature

'As long as there has been literature, there have been adaptations' (Oittinen, 2000, p. 77). Adaptations in children's literature is common because they may make children understand the texts better. Klingberg talks about the adaptation in children's literature in *Children's Fiction in the Hands of the Translators*. Oittinen quotes Klingberg's adaptation ideas in her book *Translating for Children*, and summarizes the main concepts in Klingberg's book. Klingberg thinks that when translators translate children's literature, they will assume the expectations of authors:

> As a rule (although not always) children's literature is produced with special regard to the (supposed) interest, needs, reactions, knowledge, reading ability and so on of the intended readers. An author's or a publisher's consideration of this type and its results are termed *adaptation*. (cited in Oittinen, 2000, p. 89)

For children, they may not have enough life experience to understand some contents of the texts, and may have relatively lower reading abilities, so it is difficult for them to understand long sentences with complex sentence structures. For adults, they stress the educational function of children's books and do not want children to read texts containing things that are adverse to the growth of children like pornographic and bad words. Klingberg also talks about the degree of adaptation in children's literature. Klingberg claims that the degree of adaptation will influence readers' reading experience. If a text has a higher degree of adaptation, the text will be easy to read. In contrast, if a text has a lower degree of adaptation, the text will be difficult to read. But Klingberg claims that adaptation in translation is negative because he thinks this kind of manipulation of the original texts cannot faithfully show the world of the original. He also regards adaptation as deviation from the meaning of the words in original texts. He claims that translation should have the same degree of adaptation as the original texts: 'The translation should not be easier or more difficult to read, be more or less interesting, and so on. We could thus try to find methods to measure the degree of adaptation in the source text and in the translation and to compare them.' (cited in Oittinen, 2000, p. 89)

Furthermore, Klingberg divides adaptation into several subcategories in children's literature like addition, deletion, localization and simplification. Adaptation will be adopted if there are some things like foreign names and places or things which are usually seen in adults' life in the original texts, children may not understand them because they lack life experience and the background knowledge of foreign cultures.

Klingberg argues that adaptations (or we can regard adaptations as a kind of manipulation of texts) are common in children's literature, but manipulating texts are negative because they will distort the original texts or cannot completely transfer fully the content of the original texts, which will hinder children from learning about foreign cultures and develop an international vision.

Some examples of adaptation in Children's literature translation will be more clearly showed and discussed in chapter 4 when comparing two Chinese versions of *Peter Pan*, and we can see how and why the translators make adaptations.

4. Children Literature Translation from the Perspective of Eco-Translatology

Eco-translatology was first proposed in 2003 by Hu, a professor of Tsinghua University, and did not develop to a systematic theory until 2014. The related researches of this theory mostly focus on the comparison for different translation versions and adult literature, there are few works that view children's translation from this theory and very few of them talk about whether this theory is suitable for being used in analyzing children's literature

translation.

4.1 Theoretical Basis of Eco-Translatology: Darwinian Evolution Theory

In 1859, Darwin published his famous work *The Origin of Species: The Origin of Species by Means of Natural Selection or the Preservation of Favored Races in the Struggle of Life*. The most famous and well-known idea in this theory is 'Natural selection or the survival of the fittest' (Darwin, 2009, p. 63). The content of Darwinian evolution theory is rich with abundant knowledge. The main ideas can be generally concluded into three aspects: mutation, adaptation and evolution (Hu, 2004, p. 64).

First, it is necessary to talk about whether a theory of biosphere can be applied to translation. Hu (2004) thinks that translation is a transformation of languages, and language is a part of the culture. Cultures are the accumulation of human's communicative activities, and human is a part of the biosphere. From the chain of translation-language-culture-human-biosphere, we can see the interrelationship among these elements. It also makes sense if we think from the end of the chain. As a member of the biosphere, human's communicative activities from cultures which disseminate by language, and translation is needed if languages are different. Thus, translation activities and the biosphere are associated. This is just a rough description of the relationship between translation activities and the biosphere, but it is the premise of exploring translation based on Darwinian Evolution Theory.

Eco-translatology, whose full name is 'ecological-translatology', does not borrow all the ideas and aspects of Darwinian evolution theory or its derivative theories such as social Darwinism. The main idea Eco-translatology borrows from Darwinian evolution theory is 'Natural selection or the survival of the fittest' that how organic beings 'adapt to' the living environment and how the living environment 'select' organic beings. Hu (2003) holds the view that translation activities have similar intrinsic laws and can communicate with the ideas of 'adaptation' and 'selection' in the biosphere, and he tries to explore the commonalities and similarities between biology and translation behaviors.

First, in Darwin's *The Origin of Species*, the meanings and explanations of 'selection' and 'adaptation' in the biosphere:

> We are sure that any mutation with the least damage will be strictly destroyed. I call the preservation of favorable individual differences and variations, and the destruction of those which are injurious as 'Natural Selection', or 'Survival of the Fittest'. (2009, p. 63)

> […] the numerous and beautiful co-adaptations that we see in nature. (2009, p. 17)

In eco-translatology theory, 'selection' also exists in translation activities, and 'the Fittest' can be explained as 'adaptation'. There are a lot of 'adaptations', 'selections', 'survivals' and 'eliminations' in the translation process. For translators, they will adapt to the environment of the source text and source language, then select the better translation text. For the translation text, the most suitable translation will be selected and the inferior translation will be excluded. This is a kind of 'survive' and 'eliminate'.

Second, Darwin talks about how human use 'the principle of selection' which is unconscious but has great consequences:

> Can the principle of selection, which we have seen is so potent in the hands of man, apply under nature? I think we shall see that it can act most efficiently. […] As man can produce, and certainly has produced, a great result by his methodical and unconscious means of selection. (2009, p. 62)

In eco-translatology theory, translators also use 'the principle of selection' to select the most proper translations: Translators use adaptive selections during the process of translation with varying degrees, which is a kind of behavior of translators either consciously or unconsciously. The final translations are a group of the best selections among several choices of the possible translations, while the translation texts are the results of translators adapt to the translational eco-environments.

Third, Darwin argues that the selections of social animals will adapt to the profits of the whole. Also, the variations of creatures will benefit the improvement of their overall conditions:

> In social animals it will adapt the structure of each individual for the benefit of the whole community; if the community profits by the selected change. […] Natural Selection acts exclusively by the preservation and accumulation of variations, which are beneficial under the organic and inorganic conditions to which each creature is exposed at all periods of life. The ultimate result is that each creature tends to become more and more improved in relation to its conditions. (2009, pp. 67–97)

Eco-translatology also talks about the relationship between translation and social value, and also the relationship

between a single translation study and translatology: The selections of the texts that will be translated should always be consistent with the overall interest and the social value of the whole society. Besides, the ultimate aim of studying translation theories is for creating the most suitable translation texts and furthermore promoting the development and progress of translatology.

From the contrasts above, organic beings will adapt to the natural environment and be accepted by natural selection. Analogously, translators and translations will adapt to the translational eco-environment, and be accepted by the translational eco-environment. From this view of point, we can see that there are common or similar situations between organic beings and translation activities, and it is feasible to use the principles in the biosphere to study human behaviors which include translation behaviors.

But on the other hand, there are some differences between biosphere and translation. According to the principle 'the survival of the fittest' in the biosphere, animals or plants that cannot survive under the selection of nature will become extinct. Here 'extinct' means a species that die out or disappear, like dinosaurs and mammoths. In contrast, 'survival of the fittest' in translation means the translations that cannot survive will be abandoned, replaced or fail to be chosen, but not disappear in the world.

Eco-translatology emphasizes that translation is a natural behavior, which has been discussed by many other scholars. Rabinson argues that translation is 'an intuitive process' (1991, p. 12). Rabbassa (1989) claims that translation is a process of making decisions, and the translation strategies rely on the instinct of translators. A Chinese scholar also argues that translation is 'the translator's deepened understanding of himself based on his understanding of other people.' (Yuan, 2000, p. 405)

4.2 Translation as Adaptation and Selection: Author-Centeredness

4.2.1 Adaptation and Selection in the Process of Translation

The theoretical basis of eco-translatology is the idea 'survival of the fittest' of Darwinian evolution theory, which means organic beings should adapt to the natural environment, and only in this way can organic beings survive and multiply. In other words:

> 'The principle of natural selection hinges on the ability of organic beings to survive by adapting to the natural environment in which they live. The individual's—and especially the species'—survival and propagation are the result of this adaptation and lead to the "survival of the fittest" […] we might posit that this adaptation presupposes that living organisms are confined by their natural environments and that selection implies constraint, and to some extent, manipulation.' (Hu, 2003, p. 284).

This opinion can be interpreted as follows: the translators should adapt to the eco-environment of translation and be selected and restrained by its eco-environments. 'eco-environment of translation' means the worlds of the source text, the source language and the target language, comprising languages, communication, cultures, societies, authors and readers, and also the author, readers (including clients). Hu points out that the process of translating comprises two stages: '(1) The translational eco-environment "selects" the translator; and (2) the translator (who stands for the translational eco-environment) selects or decides on the form of the final target text' (Hu, 2003, p. 284).

In the first stage, the translational eco-environment selects the translator, that is, a translator should adapt to the eco-environment of the source text and the source language. For example, if the source text is a poem, the translator should have some attainments in poetry. Otherwise, his translation may fail to be chosen by publishers or readers. Similarly, if the source text is children's literature, the translator should be a writer of children's literature or a translator who has some attainments in children's literature. This is how translational eco-environment 'selects' the translator, and in this stage, the translator is not included in the translational eco-environment.

In the second stage, the translator has adapted to the translational eco-environment, so the translator becomes one of the factors of the translational eco-environment, then the translator represents the translational eco-environment of the original text to do translation, thus selecting proper translation strategies. This is a stage that the translator has been a factor of the translational eco-environment and 'selects' the translation text.

How does the translator select the translation text? Hu (2004) thinks that the translator will make decisions and selections at different levels from different dimensions. At the macro-level, the translator will think about whether domestication is better than foreignization (or the selection between literal or free translation). According to eco-translatology, no matter which kind of translation strategy the translator selects, the translator will naturally make decisions by adapting to the translational eco-environment. In other words, the translator will consider all components of the translational eco-environment and select the most suitable words to translate the

source text. In the micro-level, the translator may consider translating the original into a declarative sentence or an interrogative sentence, or using a formal tone or an informal tone. According to eco-translatology, the translator will make decisions by weighing all the factors in the translational eco-environment, but usually, there is a most important factor, and the translator should decide choosing which translation strategy by considering that factor. For example, in the translation of children's literature, 'children' is the most important factor, so if a translator regards children as the presumptive readers, he will consider children's knowledge background and the amount of vocabulary size, etc. and then decides on which word to choose or what style to adopt to make compulsory reading material for children. The latter process is how 'a translator of children's literature selects the translation text'.

We can see from the above analysis that in the process of translation, a translator acquires 'a dual function or identity: a selectee and selector who adapts, selects, and makes decisions' (Hu, 2003, p. 285). Based on this, Eco-translatology defines translation as 'a translator's adaptation and selection activities in a translational eco-environment' (Hu, 2003, p. 283).

Compared to other translation strategies, like Skopos theory and functional equivalence theory, which always study translation from the perspective of 'how' to translate, eco-translatology studies translation behaviors from the perspective of 'why' the translator translates in that way. The difference results from how a translation theory sees the essence of translation. For example, polysystem theory regards translation as a system in the literary system, and the translation strategy will depend on the position that translation occupies in the literary system. As eco-translatology regards translation as a translator's adaptation and selection activities in a translational eco-environment, naturally, this translation theory will analyze translation behaviors from author-centered perspective - why the translator decides to translate in that way and how the translational eco-environment will influence the decision-making of the translator.

However, the natural principles may not completely applicable to translation activities. Many complex factors are involved in a social phenomenon, and many relationship operation mechanisms cannot be explained by the principles of natural science. For that, Hu (2014) explains that translation eco-environment is defined as a sum of all external conditions that affect the survival and development of the translator. The ecological environment of translation is the combination of various natural and humanistic factors in the occurrence, existence and development of translation activities. The eco-environment of translation is a "collection" of various factors that restrict translators' optimal adaptation and selection. Besides, eco-translatology does not aim to use biological theories to explain all translation activities, it tries to analyze translation behaviors from an interdisciplinary perspective and better explore the root causes of translation.

The contents and forms between translation theory and practice are different on the surface. But fundamentally, the research of translation theory comes from practice, which is promoted from individual practical problems to universal cognitive problems. It does not mean that after reaching the development stage of the disciplinary system, the theoretical research of translation can be far away from practice. Therefore, eco-translatology is expected to further explain the practical root causes of eco-translatology based on the theoretical issues discussed at present to better highlight the theoretical value (Mu, 2020).

In children's literature translation, 'children' will be an important factor in the translational eco-environment, and this factor will influence the translator's selections in the translating process. Furthermore, if a translator adopts the translation methods of eco-translatology, he will implement his adaptive transformation strategy from mainly three dimensions, namely the linguistic dimension, cultural dimension and communicative dimension. On one hand, it is an explanation of translation behaviors, on the other hand, it provides the translator a wider perspective on translation, and furthermore helps translators make the best decision in the translation process. The translator of children's literature should also reflect the characteristics of "translation for children" during the translation process, taking children as the starting point to help them grow up healthily in the process of reading, and have relatively equal treatment with adults (Wong, 2020).

4.2.2 Translation Principles of Eco-Translatology

Translation principles mean 'principles or standards that should be followed in the translation process' (Hu, 2004, p. 128), the translation principles can guide translators through translation. In the following, the author will talk about the translation principles of eco-translatology.

As is discussed in the last part, eco-translatology regards translation as a translator's adaptation and selection activities in a translational eco-environment, and eco-environment means a whole of the worlds of the source text, the source language and the target language, comprising languages, communication, cultures, societies, authors and readers, and also the author, readers (including clients). However, it is difficult and impossible for a

translator to adapt to all the factors of the translational eco-environment, so Hu (2004) thinks that the translator's adaptation is a 'multi-dimensional adaptation'. And based on multi-dimensional adaptations, translators will make selections according to their adaptations in the translational eco-environment, this is called 'adaptive selection'.

In conclusion, the principle of eco-translatology is 'multi-dimensional adaptation and adaptive selection'. Specifically, this principle means during the process of translation, a translator should try his best to adapt to the factors and aspects in the translational eco-environment as more as possible and then do adaptive selections and transformations among possible choices of translation texts.

4.2.3 Translation Methods of Eco-Translatology

As Hu (2004) introduces, based on the principle of eco-translatology, the translation method of eco-translatology can be summarized into 'adaptive transformation from linguistic, cultural and communicative dimensions'. He gives reasons for choosing these three dimensions as follows: Language, culture and communication are three important perspectives that should be considered in translation, which is a consensus that has been widely accepted. The translator will do adaptive transformations according to different phases and orders of language, culture and communication. Also, translation is the transformation of languages, while languages are carriers of cultures, and cultures are accumulations of communication. Thus, there are internal connections among these three factors, namely the linguistic dimension, cultural dimension and communicative dimension.

5. A Case Study: *Peter Pan*

5.1 Two Chinese Versions of Peter Pan

There have been more than 30 Chinese versions of *Peter pan* since its first publication in 1929, and the two versions to be discussed in this paper are respectively Yang Jingyuan's version published in 1991 and Ren Rongrong's version published in 2001.

Yang is a famous translator, she translated *The Letters of Charlotte Bronte*, *Charlotte Bronte* and *The Wind in the Willows*. Yang (1989) considers *Peter Pan* as a classic of children's literature and claims that a good children's book should also be attractive to adults. She also explains the reasons for translating this book: *Peter Pan* was her favorite story in her childhood, the plot is attractive and the setting of Neverland is interesting. What is more, she stressed that the language of this book is expressive and vivid, and the translator should retain the fluent and beautiful language features of the original text. Indeed, her version is popular, and the success of her translation is mainly due to her reservation of the language features of the original texts.

Ren Rongrong is a renowned Chinese writer and translator of children's literature, his aim of translating children's literature is to provide Chinese children with some interesting and good foreign children's stories and books. So, the primary consideration during his translation is to make Chinese children easily understand the stories and enjoy them. This can be reflected in his language features that his language of translation is simple and easy to be understood.

5.2 Analyzing Translators' Adaptive Selections from Three Dimensions in Two Chinese Versions of Peter Pan

Peter Pan is considered as an 'ambivalent' text by Shavit, which is popular among not only children but also adults. Things and animals in this book are able to have thoughts and gain speaking ability just like in many other children's books. What is more, the leading characters are children who talk and behave the same as children in the real world. But on the other hand, this book contains negative things like death, violence and illness, but we can see that Barrie does not want to avoid them, instead, he describes them faithfully according to reality. For example, Hook's one arm is eaten by a crocodile, and if the Lost Boys is overpeopled, Peter Pan will starve some boys to death. Besides, in many children's books, characters are either absolutely good or bad, but in *Peter Pan*, pirates still want to have a mother and be loved, while human boys may also do wrong things or hurt others.

What is more, Barrie has surpassing imagination. He creates a story with fantastic adventures, breathtaking plots, and also the perceptions of adults' life, which is also attractive to adults because it is positively reviewed by the translator Mr. Yang. He says, 'a critic regards it as a dazzling circus, but the author thinks it is more like a rhapsody, a dreamlike rhapsody. The author's imagination is like a lively and naughty mountain stream, dancing brightly and twiddling all the interesting things in its path, throwing them away after carrying a stretch of distance' (1989, p. 84). Yang also spoke highly of Barrie's vivid and beautiful language. Because of these reasons, she decided to retain Barrie's language style, translating the text just according to the way Barrie expressed. Thus, for Yang, Barrie's language style and the magical world he created are the main factors in the translational eco-environment that should be considered, and she also adapted to this important factor in the

translational eco-environment and made the adaptive transformations.

While for Ren, as a writer and translator for children, the most important factor in the translational eco-environment is the readers—children. As he insists that his intention of translating children's literature is to provide children with some interesting foreign children's stories, the primary consideration in his translation process is to make the book easier for children to understand and enjoy the story. Thus, by comparing the two translation versions, we can see from the differences of their translation strategies that how the factor 'children' in the translational eco-environment will influence the translator's adaptive selections.

5.2.1 Adaptive Transformation from the Linguistic Dimension

'The translator's adaptive selections from the linguistic dimension (or of a linguistic form) take place at different levels and perspectives' (Hu, 2004, p. 134). To explain translators' adaptive transformations from the linguistic dimension more clearly, in the following part, two examples respectively at two linguistic levels, namely the lexical level and the syntactic level will be discussed.

Example 1: One day when she was two years old she was playing in a garden, and she plucked another flower and <u>ran</u> with it <u>to her mother</u>. (Barrie, 2016, p. 2)

Yang: 她两岁的时候，有一天在花园里玩，她摘了一朵花，拿在手里，<u>朝妈妈跑去</u>。(2013, p. 1)

(Back translation: when she was two years old, one day played in a garden, she plucked a flower, with it in hand, <u>ran to her mother.</u>)

Ren: 她两岁的时候，有一天在花园里玩，摘了一朵花，拿着它<u>蹬蹬蹬</u>跑到妈妈那里。(2015, p. 1)

(Back translation: when she was two years old, one day played in a garden, plucked a flower, <u>ran</u> with is to <u>her mother deng-deng-deng</u>.)

Example 2: They will find the cake and they will <u>gobble it up</u>. (Barrie, 2016, p. 29)

Yang: 他们会看到蛋糕，会<u>狼吞虎咽地把它吃下去</u>。(2013, p. 51)

(Back translation: They will see the cake, will <u>voraciously eat it up</u>.)

Ren: 他们会找到这蛋糕的，就啪嗒啪嗒<u>把它吞下去</u>。

(Back translation: They will find the cake, and <u>swallow it pa-da-pa-da</u>.)

From the two examples above, Yang translates 'run' and 'gobble' literally without any amplification, which is just as what she claims, that is, she wants to transfer the text faithfully to the original text and show Barrie's language style. In example 1, she just uses the same language style as the original text, and in example 2 she selects a Chinese idiom '狼吞虎咽' (to eat like wolfs gulping and tigers swallowing) to translate 'gobble'. But Ren adds onomatopoeic words '蹬蹬蹬'(with the same pronunciation as deng deng deng) and '啪嗒啪嗒' (with the same pronunciation as pa-da-pa-da) to provide readers (children) a more vivid picture, which the author thinks will be more attractive and easily understandable to children. This is the case of 'addition' in Klingberg's adaptation, Ren adopts this translation strategy because she adapts to children's interest and reading ability in translational eco-translatology.

5.2.2 Adaptive Transformation from the Cultural Dimension

As Edward (1997) states, there is no aspect in human life that will not be influenced or changed by culture. In translation, there are differences between the culture of the original language and the culture of the target language. So, translators should not only consider the language transformation of the original language but also adapt to the cultures of the original language and the target language to allow readers to understand the texts without cultural barriers and appreciate cultures from foreign countries.

Example 3: 'I've thought it out. There's a Jonah abroad.' (Barrie, 2016, p. 70)

Yang: '我想起来了，这船上有一个约拿' 注：(圣经《旧约.约拿书》第一章：约拿躲避耶和华，登上一艘船，耶和华使海中起大风，船上的水手知道这灾难是因约拿而起，便把他抛进海中，海便平静了。) (2013, p. 128)

(Back translation: 'I remember, there is a Jonah abroad.' Footnote: In the first chapter of *Old Testament. Book of Jonah*: Jonah went on board to elude Jehovah and caused heavy wind in the sea. Sailors on the board know the disaster is caused by Jonah, so they threw him to the sea and then the sea became clam.)

Ren: '我想出来了。船上有个不祥之人。' (2001, p. 189)

(Back translation: 'I've thought it out. There is an ominous person aboard.')

Jonah is not a character in Peter Pan, instead he is a character who will bring trouble to others in Bible. Yang adds a footnote to explain who is Jonah, but Ren translates 'Jonah' to '不祥之人' (an ominous person) instead of mentioning 'Jonah'. Yang's translation is a normal way of translation when dealing with cultural barriers. While Ren directly translates the meaning of Jonah without adding a footnote to explain this person. As he claims that in children's literature, 'footnotes can be added sometimes but should not be always because children may not stand that and give up reading' (2011), he considers more about children's reading habits and adapts to this factor in his translational eco-environment.

5.2.3 Adaptive Transformation from the Communicative Dimension

Communicative dimension means in translation process, sometimes if a translator does "word for word" translation of the text, the translation text might not transfer what the original text wants to expresses because the text may have underlying meanings, and some of them can only be understood in the original language. Thus, in this case, translators should transfer the underlying meaning of the text to make readers understand what the original text means. This is similar to functional equivalence theory which aims to make readers have the same responses to the texts as the readers of the source language.

Example 4: it (the light) had been in all the drawers in the nursery, <u>looking for Peter's shadow, rummaged the wardrobe and turned every pocket inside out.</u> (Barrie, 2016, p. 56)

Yang: 那光亮找遍了育儿室所有的抽屉，<u>寻找彼得的影子，它在衣柜里乱搜，把每一个衣袋都翻转过来。</u> (2013, p. 17)

(Back translation: The light had found all the drawers in the nursery, looked for Peter's shadow, rummaged the wardrobe, turned every pocket inside out.)

Ren: 它已经进过这儿童室里所有的抽屉<u>寻找彼得的影子。</u> (2001, p. 20)

(Back translation: it had been in all the drawers in the nursery, <u>looking for Peter's shadow.</u>)

This is the scene that the light (Tinker Bell) went back to the nursery to find his shadow. In English, 'looking for Peter's shadow' is a Participle serves as an adverbial of cause, which in Chinese it should be translated to 'for looking Peter's shadow' to let readers understand that the light rummaged the wardrobe and turned every pocket inside out to find Peter's shadow. But Yang decides to transfer the text according to the sentence structure of the original text, which in Chinese means the light looked for shadow, rummaged the wardrobe, turned every pocket inside out. This expression does not illustrate that 'looking for shadow' is the reason for the latter two behaviors of the light. Adults can understand what does this sentence mean by reading the context but children may not understand it. So, Yang's translation for children does not have a communicative function. In contrast, Ren simplifies the sentence, deleting 'rummaged the wardrobe and turned every pocket inside out', directly transferring these two behaviors' aim—finding Peter's shadow. This is called 'simplication' in the adaptation of translating children's literature by Klingberg. Considering children's reading ability, Ren selects this simplified translation to make children understand the text, which is his adaptive selection on communicative dimension.

In Ren's translation version of *Peter Pan*, this kind of situation happens many times. Because of adapting to the most important factor 'children' in his translational eco-environment and trying to do adaptive selections based on children's receptivity, his translation seems not faithful to the original text as he simplifies the original text. Ren also talks about this situation, he claims that

> The Chinese version seems not compliant with the principle of "faithfulness" in translation, but in this way, Chinese children can enjoy this book the same as foreign children.

> I think this is also the wish of the author, from this perspective manipulating the text is in keeping with the spirit of the original text. This is another kind of "faithfulness" to the original text. If it is necessary, I will explain that I manipulate the text to let children's better understanding in the preface and the postscript. I do not want the translators' 'faithfulness' to affect children's reading experience. (2011)

6. Conclusion

The author puts forward two questions at the beginning of this paper. In terms of the first question, as children are young and they have a limited knowledge base, translators of children's literature can manipulate the text with much liberty compared to adults' literature. Thus, translators in the translation of children's literature are in an important position and analyzing the translation of children's literature from translators' selections of the text is a feasible way. Based on eco-translatology, a translator-centered theory, 'children' is the most important factor in the translational eco-environment during the process of translating children's literature. So, translators should adapt to children's reading characters such as children's knowledge base, amount of vocabulary and reading

ability. At the same time, translators will do adaptive selections and transformations according to these characters, deciding the adoption of translation strategies. But the author finds that although eco-translatology is a suitable theory for analyzing translation behaviors, including translating children's literature, this translation theory mainly deals with 'why translators adopt this translation strategy' rather than 'how to translate in translation practice'. It indeed has some guiding functions of the translation practice by analyzing the existed translation and then summarizing the particularities of the translation to put it into practice, but this is not the key point of this theory and it has little guiding significance. The reason of this situation is that eco-translatology defines translation as 'a translator's adaptation and selection activities in a translational eco-environment'. In conclusion, eco-translatology is a suitable method to analyze translation behaviors of children's literature, which can analyze how the factor 'children' will influence translators' adaptive selections, but has a limited function for guiding the translation practice.

This paper does not discuss the similarities between Eco-translatology and other translation theories such as hermeneutics, narrative theories of translation, sociology, and this will be explored in the follow-up studies.

In the case study of *Peter Pan*, it is clear to see how the factor 'children' influences translators' adaptive selections from the comparison of the two Chinese versions. Yang respects and appreciates the original text, and the most important factor in her translational eco-environment is 'the original text', so her adaptive selections are based on the faithfulness of the original text. From the examples, we can see some of her translations are beyond the understanding ability of children as she retains the language features of the original text. In contrast, for Ren 'children' is the most important factor and consideration in his translational eco-environment, so he does adaptive selections and transformations based on children's characters by adopting translation strategies like simplication and addition. Ren's language is simple and can be easily understood by children, he also manipulates the text to make it more suitable for children to read.

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Assessing the Communicative Use of Literary Texts in EFL Coursebooks

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Abstract

Integrating and utilizing literary texts from coursebooks in foreign language teaching could impact the communicative competence of language learners. The study aims to scrutinize the usage of authentic and inauthentic literary texts found in 44 mainstream English as a foreign language (EFL) coursebooks. The article particularly examines how texts can facilitate communicative language learning and teaching in language classes. To do this, the study proposes a set of principles that can enable using literary texts more appropriately. The analysis of the study indicates that authentic and inauthentic literary texts are used differently, with authentic texts providing great opportunities for communication and offering a unique contribution to the EFL classroom. The study has implications for language teachers and coursebook designers in language programs. Further recommendations are made on how literature can be used communicatively.

Keywords: literary texts, EFL, coursebooks, CLT

1. Overview

Literature plays a major role in foreign language teaching, and this role has been different at different times. Literature was a vital source for foreign language learning classes when the grammar translation method of teaching was in vogue. However, with the shift to the direct method and then to situational language teaching, literature lost its central role and was even excluded from foreign language learning. With the rise of the communicative language teaching (CLT) method, along with its emphasis on including authentic texts, literature gradually returned to the scene in language learning.

A considerable body of research has been conducted on the use of literature in EFL classes and has highlighted its benefits for language learners. Thus, many scholars have recommended incorporating literary texts in English as a second language (ESL) classes. Regarding the position of literary texts in ESL classes, Khatib et al. (2011) provided an overview of their advantages and drawbacks. In a recent article, Ali et al. (2021) studied the use of poetry in ESL classrooms and found that it motivated learners to engage in extensive and intimate interactions with each other and thus increase their language fluency. In addition, poetry according to Imron and Hantari's (2021) study strengthens the writing skills of EFL learners via improving their creative thinking, motivation, and vocabulary learning. Similarly, Ashrafuzzaman et al. (2021) confirmed the significant effect of literature on developing learners' language skills. It enhances the learners' motivation. Mart (2016) explained that a reliance only on linguistic elements in ESL teaching hindered leaners' language fluency; the researcher concluded that observing the interactional exchanges among the characters in literary texts contributed to the development of ESL learners' communicative competence and language proficiency. The use of suitable literary texts in a language classroom, as explored by Violetta-Irene (2015), not only contributed to the overall learning experience but also offered learners a space in which to comment and reflect on themselves. Other studies have also shown the significant role literature can play in motivating foreign language learners (Khatib et al., 2011; Vural, 2013). Despite their benefits in foreign language teaching, literary texts are not used as often or as freely as they should be (Gumusok, 2013).

These studies have shown the advantages of using literature in classes. An important additional consideration is the way in which literature is used. Ideally, tasks should be realistic or transferable to real-life situations and should also elicit an authentic response. However, a recent study by Al-Saeed and Alenezi (2020) showed that recent popular EFL coursebooks continued to use inauthentic and poorly adapted literary texts. Therefore, it is

important to consider the effect of such materials on coursebooks.

This is an area that requires further exploration since not much research has been conducted on this subject in general, and specifically in the middle east. It is a neglected area of study, especially in the Arab region, where it is of great significance as cultural awareness needs to be raised. Examining course books' use of literary texts concerning communicativeness is a step towards a better understanding of how authentic literature is used in this region, and hopefully would lead to recommendations on how to make use of these texts communicatively.

The researchers of the current study aim to assess how literary texts are used and the approaches in dealing with them by focusing on the following objectives:

1) Comparing the usages of authentic and inauthentic literary texts.

2) Evaluating the degree to which literary texts are used communicatively based on the application of a set of principles derived from the evaluative criteria.

3) Proposing a set of principles, based on the analysis criteria, that could be applied to facilitate the utilization of a literary text more appropriately.

To meet these objectives, a set of criteria needed to be formed that would assess the use of literary texts for communicative teaching. The current study is not only important for acquiring knowledge about the way literature is used in coursebooks, but it is also useful for exploring the position of literature in current approaches. For this study, the following research questions were addressed:

1) How does the use of authentic and inauthentic texts differ in terms of communicativeness?

2) To what extent are literary texts used communicatively (based on a set of principles derived from evaluative criteria listed below)?

3) Could the set of evaluative criteria used as a tool in this study facilitate the communicative use of literary texts in the ESL/EFL classroom?

2. Literature Review

This section discusses and outlines the principles of approaching literary texts to reach a practical solution for assessing the ways in which literary texts are used in communicative language teaching.

2.1 Communicative Language Teaching

It was particularly difficult to choose criteria for analyzing the factors enabling communicative use because "there is no one accepted methodology for communicative language teaching" (Cunningsworth, 1995, p. 116). The very broadly defined principles listed below are the ones usually applied:

1) Language is a system for the expression of meaning.

2) The primary function of language is for interaction and communication.

3) The structure of language reflects its functional and communicative uses.

4) The primary units of language are not merely its grammatical and structural features but its categories of functional and communicative meaning (Richards & Rodgers, 1986, cited in Cunningsworth, 1995, p. 117).

Literature may be seen to fit into these principles in several ways. For instance, the negotiation of meaning is a catalyst for acquisition, as asserted by several theories: Givon's discourse hypothesis (Johnson, 1995, p. 84), Vygotsky's sociocultural theory (Lightbown & Spada, 1999, p. 44), Long's interaction hypothesis (Johnson, 1995, p. 83), and the cooperative principle (Widdowson, 1984, p. 221). Literature is particularly useful in this respect because "there can be no final reading of a literary text—the meaning is always subject to negotiation" (Brumfit, 1985, p. 106). If they are to be truly communicative, tasks and materials should place more importance "on conveying messages and expressing opinions than on the study of discrete units of language themselves" (Woodward, 2001). Moreover, "prediction, creating a scenario, debating topics on or around a text … all seem to develop naturally out of [a] literary text" (Long, 1986, p. 58). Many linguists agree that "the keys to approaching a text successfully lie in … the experience they can bring to making sense of it" (Hedge, 2000, p. 69), and literature can be relevant on two levels: context and theme.

Clearly, "Communicative Language Teaching is best considered an approach rather than a method. It refers to a diverse set of principles" (Richards & Rodgers, 2001, p. 172). However, there are some factors that enable the communicative use of a text. These are summarized in the checklist below, which is composed of points from different sources.

2.2 Criteria for communicative use of literary texts

Checklist for Enabling Factors

1) Interaction

a. Is the text relatively open and sufficiently inexplicit in its meanings to allow students to mobilize discussion and debate? (Carter, 1986, p. 115)

2) Student's Role

a. Does the material expect active input from learners? (Cunningsworth, 1995, p. 106)

b. Is additional material provided or are there recommendations for materials for further reading? If so, is guidance provided on how to proceed with these materials? Is there a key for self-monitoring? (Cunningsworth, 1995, p. 106)

3) Authenticity of Task

a. Are tasks *real* in terms of the real world? (Cunningsworth, 1995, p. 118)

b. Do activities promote the learning of skills and strategies that are transferable to real-life communication? (Cunningsworth, 1995, p. 118)

4) Style and Appropriateness

a. Is there material for sensitizing learners to different levels of appropriateness? (Cunningsworth, 1995, p. 131)

5) Do tasks focus on fluency (meaning) or accuracy (form)? (Littlewood, 1981, p. 1)

Checklist for communicative interactions

1. Does the task involve a negotiation of meaning? Does it lead the learner to engage in language use as a dynamic problem-solving activity? (Widdowson, 1984, p. 227) Activities that include a negotiation of meaning are as follows:

(a) *Information-gap activity*, which involves a transfer of given information from one person to another and generally calls for the decoding or encoding of information from or into language.

(b) *Reasoning-gap activity*, which involves deriving some new information from given information through the processes of inference, deduction, practical reasoning, and the perception of relationships or patterns.

(c) *Opinion-gap activity*, which involves identifying and articulating a personal preference, feeling, or attitude in response to a given situation. (Prabhu, 1987, cited in Hedge, 2000, p. 58)

2. Does the task allow the reader to be engaged at the discourse level and to infer, anticipate, adjust, and interpret? (Widdowson, 1984, p. 171)

3. Does the task relate to and engage attributes such as knowledge, attitudes, and experience? (Cunningsworth, 1995, p. 86)

3. Methodology

The study follows a qualitative research design where content analysis of literary texts is applied. The data used is based on the work of Al-Saeed and Alenezi's (2020) study, in which the content of 44 mainstream EFL coursebooks (see Appendix A) was analyzed. The coursebooks were used between 2015 and 2019, and some of them are being used currently in higher educational institutions in Kuwait and colleges internationally. The article revealed that in these 44 coursebooks, only 25 literary texts (12 inauthentic and 13 authentic) were found. The current study was in part guided by these findings in the 44 coursebooks. For the purposes of this study, the researchers particularly analyzed the way in which the tasks used the texts for communicative teaching according to a set of evaluative criteria based on the principles in literature from the communicative methodology. The findings were recorded in tables, compared, and presented in bar charts.

4. Findings and Discussion

4.1 Literature and Communicative Methodology

This analysis examined communicativeness in relation to works of literature as texts, applying factors enabling their communicative use. Twenty-five texts were analyzed, and the results were divided into two categories, authentic texts and inauthentic texts (Figures 1 and 2).
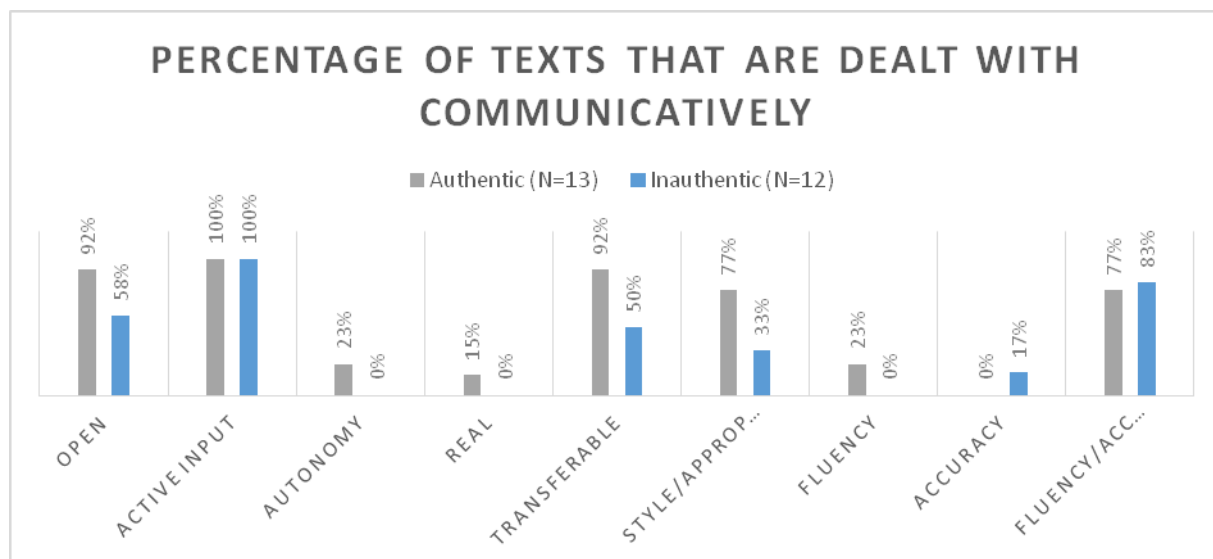
Figure 1. The bar chart clearly shows that although there are some similarities between authentic and inauthentic texts, authentic texts lend themselves better to communicative language use. They are more likely to promote autonomy, as well as provide a more realistic learning situation. It is also clear that inauthentic texts lead to a focus on accuracy, whereas authentic texts lead to a focus on fluency.

Figure 1 shows the percentage of texts that give the learner a positive role (i.e., active input, autonomy), use the texts authentically (i.e., are real, are transferable to real life), sensitize learners to style and appropriateness, and focus mainly on fluency or accuracy.

4.2 Students' Role

First, because the student's role is central in communicative methodology, the tasks were evaluated as positive if they called for active input from the learner and encouraged autonomous learning. As shown in Figure 1, both authentic and inauthentic texts sought active input from learners. Such a task, for example, asked students to think of a book they have read or a film they have seen and then engage in a speaking activity about the book or film.

The second role concerned autonomy. The results for this feature were not as positive as for the previous criterion. The authentic texts did to some extent (23% of the texts) encourage autonomous learning. The inauthentic texts did not encourage autonomous learning. In the examples found, three types of autonomy were seen: self-assessment, reading for pleasure, and learning strategies. This result may reflect how the learner was viewed in each of the environments; one context could be considered flexible and empowering, whereas another context could be considered more rigid and controlling (i.e., the aim was not to develop a capacity that would be useful in the long term but, rather, to get to a certain level as quickly as possible).

4.3 Authenticity

Another aspect that contributes to communicativeness is authenticity. This can mainly be judged by whether the tasks imitate to some extent real-world behavior or enhance skills that are transferable to real life. One example is extensive reading, the purpose of which is "to 'flood' learners with large quantities of L2 input with few or possibly no specific tasks to perform on this material" (Hafiz & Tudor, 1989, p. 5, cited in Hedge, 2000, p. 221). Intensive reading is useful for strategy training, whereas extensive reading gives "substantial practice in operating these strategies" (Hedge, 2000, p. 202). It has been proven that "incidental vocabulary acquisition can take place through extensive reading … when no instruction was provided" (Ellis, 1999, p. 36). Furthermore, because communicative methodology seeks to incorporate genuine language uses in its syllabus, then reading for pleasure should have a place. Unfortunately, this is not reflected in the coursebooks, despite the availability of standard exercises such as Scott's (1983) 'Exercise types for EAP comprehension'. The results again indicate the better methodology employed by the coursebooks that included authentic texts. Examples are tasks that involved short stories to be read for pleasure, allowing for a more natural reading.

Furthermore, the second category, the teaching of skills transferable to real life, highlights major differences

between the two categories of texts. This suggests that coursebooks that valued texts as literature also treated them as literature, whereas coursebooks that had inauthentic texts viewed the texts as language resources. There seems to be three main ways in which texts are utilized to mimic real life:

1) Reading for pleasure (extensive reading): This category is important because an integral part of reading literature is reading it individually and developing a personal response to it. The only series that seemed to do this well was *Mosaic*.

2) Making literature-literature or literature-life connections: This aspect is important because real readers usually make connections with other literary texts or with life. For literature-life connections, literature is contrasted with texts used in everyday life or students are asked to refer to their own experiences in relation to a text. Examples from my data included extracts presented in conjunction with an article that reflected the texts' theme. Another example asked students to use their own experience of the topic as their subject matter. For literature-literature connections, different literary works were compared.

3) Dealing with a text naturally: This may be achieved by asking questions that *real* readers would ask, such as "How did you feel when reading this text? Did it amuse you?" This rarely occurred, and when it did, it was not emphasized; hence, it was not included in the results of this study. Another way to deal with a text naturally is through a real task such as retelling a story.

4.4 Style and Appropriateness

Another aspect included was that of style and appropriateness. It is important to make a distinction between this category and the second of Littlewood's levels. The language of a literary work as explained by Littlewood (1986) can be divided into five perspectives. The second perspective deals with language as a specific stylistic variety. It is concerned with literature as "a vehicle for the learning of differences between language varieties" (p. 179). (This distinction is important because literary style is accounted for in the analysis of the levels. Only the elements of style not specific to literature will be included here.) This is especially relevant because literature makes extra use of stylistic variation. Tasks should promote the awareness "of the social meaning of language forms … to use generally acceptable forms and avoid potentially offensive ones" (Littlewood, 1981, p. 6). Literature is ideal for developing this ability because it provides "discourse in which the parameters of the setting and role relationship are defined … there is a basis for determining why a particular form is used" (McKay, 1986, p. 191). This potential is overlooked in inauthentic texts. In authentic texts, examples of this are formality, register or social rank, and the status of texts as modern or old-fashioned.

4.5 Fluency and Accuracy

It is necessary to determine whether a text focuses mainly on fluency or accuracy, or both, because the communicative approach "pays systematic attention to functional as well as structural aspects of language" (Littlewood, 1981, p. 1). If we are to refer to the analysis of Littlewood's perspectives, this may be linked to a balanced approach to the levels; although a complete focus on fluency is more authentic and realistic for native speakers reading their L1, it is not so in the EFL context. Once again, the results show that authentic texts are used more communicatively; the focus of the tasks is spread among *mainly* fluency, or both accuracy and fluency simultaneously.

The second group of findings shows the percentage of tasks that involved learners in a negotiation of meaning (i.e., information, opinion or reasoning gap), engaged them on a discourse level, or related the text to learners on a personal level.

4.6 Negotiation of Meaning

For the elicited interactions to be communicative, they should include some elements of genuine communication, namely, the negotiation of meaning, which could involve the expression of opinions and feelings, the passing on of real information, or reasoning. This provides learners with a chance to produce their own discourse and be exposed to the unpredictability of normal conversation.
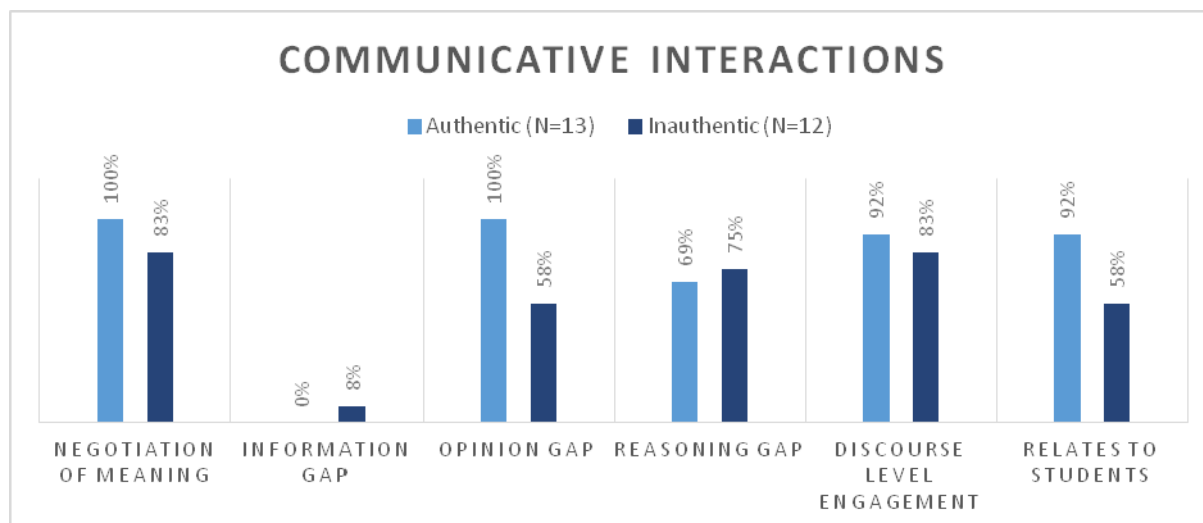
Figure 2. The chart shows that authentic texts promote the negotiation of meaning and stimulate the genuine expression of opinion. They also give the reader more opportunities to relate to the text on a personal level. Overall, the findings confirmed that authentic texts encourage the use of communicative interactions.

- Opinion gap: This is the most relevant type of negotiation to the study of literature, because literature is valued for the personal response it generates. There is a significant difference between the results for authentic and inauthentic texts. The tasks involve discussion and groupwork or pair work in the negotiation of meaning. Opinion-gap tasks concerned the characters in the texts and how the students related to them. They also concerned general opinions triggered by underlying themes of the texts.

- Information gap: This form of negotiation is important in communicative language teaching but is not as relevant to literary texts as are opinions. Unsurprisingly, it is used more for inauthentic texts. Examples of this seemed to be personal experiences, knowledge, or skills.

- Reasoning gap: This seemed to be a popular form of negotiation because it goes beyond the mere passing on of new information (which is difficult because all of the students were reading the same text) to "deriving some new information from given information" (Hedge, 2000). In some cases, the reasoning gap involved predicting, but in other cases, it involved inference and reasoning.

4.7 Discourse Level Engagement

With regard to the promotion of engagement at a discourse level, the results suggest that the texts tended to encourage this equally. In order to fulfill this criterion, texts must encourage inference, anticipation, adjustment, or interpretation. Inference involves making deductions logically from previous information; anticipation involves prediction through the activation of schemata; adjustment involves correcting the predictions anticipated in light of new information; and interpretation involves making a personal judgment on the discourse that goes beyond inference to reading between the lines using a person's individual set of schemata.

4.8 Relates to Students

Tasks should be individualized to elicit a genuine personal response by having a relationship to students' lives, personal experiences, and attitudes. Involving each student on different levels is a fundamental part of communicative methodology, especially in the case of literature because reading it is a very individualized process. This may refer to the importance of eliciting opinions, as well as the authenticity of literature-life connections. As for the results, there was a significant difference between the two groups, and this may suggest that authenticity does have an effect on this criterion. The lack of these questions makes coursebooks less interactive and more detached. Allowing students to talk about themselves and their experiences in connection to the texts read may make them more passionate about what they are saying and more eager to negotiate and discuss.

5. Conclusion

The study was set to investigate the use of literary texts found in 44 popular EFL coursebooks for

communicative use in language teaching. Various principles were explored to determine the criteria for scrutinizing the texts. The analysis has shown that authentic and inauthentic literary texts are used differently, and that the former lend themselves to greater communicative usage. Contrary to common belief, literary texts provide great opportunities for communicative use and offer a unique contribution to the EFL classroom that other authentic texts cannot match. The study proposed a set of principles that would enable the utilization of a literary text more appropriately. The criteria proposed in this study proved to be effective as an evaluative tool. It also has the potential to be used to adapt tasks to facilitate the communicative use of literary texts. The findings shed light on how literary texts are currently used, as well as made recommendations on how literature can be used communicatively and be better utilized in coursebooks.

Before defining recommendations, a few limitations of the study should be highlighted. The main limitation relates to the fact that the examined coursebooks were published between the years 2015 and 2019 and the selected titles were those available in the Kuwaiti bookstores.

Furthermore, while the study explored certain principles to suggest a tool for assessing the texts, this is not to advocate these are the only available principles, but the study is limited to the suggested ones.

6. Recommendations

- It is important to use literature in a systematic way because it is believed that its teaching "has lacked a consistent methodology for presentation to non-native speakers" (Long, 1986, p. 42). The evaluative criteria in this study may be used as a set of principles that suggest ways in which literary texts can be effectively employed in the classroom.

- It would be useful to conduct follow-up research to garner perception data from teachers and students regarding their views on using literary texts in the ESL classroom. The findings could help to provide more insight into the current position of literature in this context, as well as point to ways to improve learning and disperse negative associations between literature and second language teaching.

- Another important aspect is coursebook designers' views on this matter. Although it would be difficult to gather such data, having it would provide very valuable insights into this issue, as well as pave the way toward improving the current learning situation.

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Appendix A

Coursebooks that are used in the research as listed in Al-Saeed and Alenezi's (2020) study.

Coursebooks which included literary texts

1   New Headway Plus pre-intermediate
    Oxford (2006)

2   New Headway Plus intermediate
    Oxford (2006)

3   New Headway pre-intermediate
    Oxford (2007)

4   New Headway Plus upper intermediate
    Oxford (2009)

5   New Headway Plus elementary
    Oxford (2013)

6   College Reading 2
    Heinle Cengage Learning 2006

7   Empower upper intermediate
    Cambridge university press 2015

8   Mosaic Reading 1
    McGraw Hill (2014)

9   Mosaic Reading 1

McGraw Hill (2014)

10 New language leader Pre-intermediate
Pearson (2014)

Coursebooks which did not include literary texts

1 New Headway Plus beginner
Oxford (2013)

2 Unlock reading and writing skills 1
Cambridge University Press (2014)

3 Unlock reading and writing skills 2
Cambridge University Press (2014)

4 Unlock reading and writing skills 3
Cambridge University Press (2014)

5 Unlock reading and writing skills 4
Cambridge University Press (2014)

6 English Unlimited 1
Cambridge University Press (2015)

7 English Unlimited 2
Cambridge University Press (2015)

8 Read This! 1
Cambridge University Press (2010)

9 Read This! 2
Cambridge University Press (2010)

10 Read This! 3
Alice Savage
Cambridge University Press (2010)

11 Interchange Intro
Cambridge University Press (2017)

12 Interchange 1
Cambridge University Press (2017)

13 Interchange 2
Cambridge University Press (2013)

14 Interchange 3
Cambridge University Press (2013)

15 Well Read 1
Oxford university press (2008)

16 Well Read 2
Oxford university press (2008)

17 Language Leader Elementary
Pearson Longman (2008)

18 Language Leader Pre-intermediate
Pearson Longman (2008)

19 Language Leader Intermediate

      Pearson Longman (2008)

20   Interactions Access Reading and Writing

      McGraw Hill (2012)

21   Interactions 1 Reading

      McGraw Hill (2015)

22   Interactions 2 Reading

      McGraw Hill (2015)

23   Starting skills 1

      Garnet Education 2010

24   Touchstone 1

      Cambridge University Press and Obeikan (2012)

25   Touchstone 2

      Cambridge University Press and Obeikan (2009)

26   Touchstone 3

      Cambridge University Press and Obeikan (2012)

27   Touchstone 4

      Cambridge University Press and Obeikan (2012)

28   Q: Skills for Success Reading and Writing Intro

      Oxford University Press (2016)

29   Q: Skills for Success Reading and Writing 1

      Oxford University Press (2016)

30   Q: Skills for Success Reading and Writing 2

      Oxford University Press (2016)

31   Q: Skills for Success Reading and Writing 3

      Colin S. Ward and Margot F. Gramer

      Oxford University Press (2016)

32   Q: Skills for Success Reading and Writing 4

      Debra Daise and Charl Norlioff

      Oxford University Press (2016)

33   Pathways 1

      National Geographic Learning and Heinle Cenage (2013)

34   Headway academic skills introductory level

      Oxford University Press and Oxford (2018)

Animal Vision and Life Consciousness—'Horse' in D. H. Lawrence's 1920s Short Stories

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Abstract

D. H. Lawrence is seeking for the consciousness of life throughout his lifelong creation; he resorts to animals that bear closer connections with nature mainly in the 1920s. Based on three short stories which mention 'horse' in the title, "The Horse-dealer's daughter" (1922), "The Woman Who Rode Away" (1925) and "The Rocking-horse Winner" (1926), this essay illustrates how horses function as Lawrence's pastoral ideal, pursuit for the primitive and shape of humanity. From the background that represents the past agricultural lifestyle to a life vehicle that carries the woman to freedom, and finally to a symbol with fantasy that mirrors crises in human relations, Lawrence's deepening attention towards the 'horse' belabors his life pursuit of the primitive and balances between the binary oppositions of animality and humanity, finding for modern people a way out of distortions under industrialization and civilization.

Keywords: horse, animality, life, short stories, D. H. Lawrence

1. Introduction

> He [Horse] is a dominant symbol: he gives us lordship: he links us, the first palpable and throbbing link with the ruddy-glowing Almighty of potence: he is the beginning even of our godhead in the flesh. And as a symbol he roams the dark underworld meadows of the soul (Lawrence, *Apocalypse*, p. 97).

D. H. Lawrence is never to be buried in obscurity in the literary scene as a genius and prolific novelist, poet, reviewer, thinker, literary critic and even a painter, almost all of whose masterpieces elaborate on the inroads that the over-speed industrial developments have made into human society. Although misunderstood by some owing to his unconventional touches upon sex and irrationality (Note 1), Lawrence's contributions to modernism take some beating—emphasizing the importance of animality in shaping humanity, thus offering a way of balance in this distorted modern world under industrialization and commercialization.

It is the major theme of the beginning of the twentieth century to break with the tradition and limitations of an industrialized society under rapid pace of science and technology. Some major modernist literary figures have taken this rebellious spirits into practice: the Imagists, represented by Ezra Pound, directed their foci to the "thing" itself, refining the rhetoric of language and conventions of rhyme to emphasize the exact mood instead of pastoral sentiments on social issues; E. M. Foster concentrated on personal relationships amid the complexities of English gentility, searching for "a world of vital exuberance" out of the British middle-class values (Reidhead, 2018, p. 248); Virginia Woolf delved into moments of importance of human consciousness, creating literary works that are "androgynous in mind" for the awakening of female power; James Joyce, soaked in Dublin, pounced upon the state of exile and flagged up the paralyzed modern society… It is D. H. Lawrence who, with animals being the protagonists rather than the environmental background in his works, came forward among his contemporaries in depicting nature—humans' deepest connection with the world, and attached great importance to non-human animals so as to find a balance for the distorted human society.

Lawrence woke up to animals as the most significant portion of the living universe and particularly in the 1920s, he shifted his focus from men and women relationship to men and animal connections. Regarded as a trail-blazing pioneer of human-animal relationship, he resorted to animals as the access to the primitive, matching up with his philosophy of "blood-consciousness"—to seek the "down to the earth" power (Lawrence, 2004, p. 114). The mining culture where Lawrence grew up and the tuberculosis that he suffered from left

Lawrence only the sense of doom and gloom to the highly industrialized land. Lawrence's consuming passion for the living universe originated from the primitive animism presented in *Primitive Culture* by Edward Tylor who believed the biological phenomena of "Life and Death, Health and Disease, Sleep and Dreams, Trance and Visions" formed into the plurality of souls that lead up to Life (Tylor, 1871, p. 10). Lawrence's great emphases on animals in his works during the 1920s are worth mentioning, both in fiction and non-fiction treatises or poem collections as represented by *Birds, Beasts and Flowers* (1923), *Kangaroo* (1923), *St Mawr and Other Stories* (1925), *The Woman who Rode Away and Other Stories* (1928) and so forth. With the release of *Psychoanalysis and the Unconscious* (1921) and *Fantasia of the Unconscious* (1922), Lawrence's animal turn in the prime of his creation is inferred from his attention of humans' connection with animals, "The primal consciousness in man is pre-mental, and has nothing to do with cognition. It is the same as in the animals" (Lawrence, 2004, p. 79). Such a pre-mental stage is lost during the rapid development of industrialization.

So far, most critical analyses on Lawrence's animals find a foothold in his ecological collection *Birds, Beasts and Flowers* (1923) which contains animal poems that best represent Lawrence's preoccupation with Nature. R. P. Draper collected a review on this collection in *Times Literary Supplement* that generally summarized Lawrence's insights into the human society based on the vision of animals and plants in nature.[2] David Ellis further focused on "voice" of nature that differentiated Lawrence's writings with T. S. Eliot's, delving into Lawrence's attention to animal depiction due to his "powerful poetic presentation of 'otherness'." (2003, p. 395) Animals in novels, however, bear closer attachments to humans and are featured as oppositions of humanism, thus emphasizing more the inseparable tie between humans and non-human others, compared with those in poetry.

If the 1920s is noted as Lawrence's turn to animals, then it is one particular kind of animal that wins Lawrence's constant attention—horses. The images of horses run through most of his well-known works. The stallion in *Sons and Lovers* (1913) as a catalyst to the decline of Paul and Miriam's spiritual love and stimulus of Paul and Clara's physical love; the horse in "The Prussian Officer" (1913) as a symbolic of the captain's rank; the group of horses in *The Rainbow* (1915) as the deciding key to Ursula's death and rebirth. Literary interpretations of horses mostly lie in symbolization of horse-related discourses, horsemanship and status as well as horse-human identities. As domesticated animals, horses have long been considered as labor forces, fulfilling humans' routine businesses of riding, breeding, selling, driving and handling. Unlike the asses, horses are among the 'nobility' in pre-industrial domesticated animals. Peter Edwards and Elspeth Graham view horses as cultural icons, attaching horses to sex and power (Note 2). Amanda Eisemann emphasizes horses' link to masculinity by exploring horses' bodies as "territories for men…[their] identities supported certain social assumptions about gender and class" (2012, p. 380). In addition to slavishly domestic labels and unattainably wild spirits, horses are ascribed a prehistoric and mythical aura by Lawrence.

Horses suggest the developing process of Lawrence's animal view. Even though the three short stories which contain 'horse' in the title in Lawrence's 1920s, "The Horse-dealer's daughter" (1922), "The Woman Who Rode Away" (1925) and "The Rocking-horse Winner" (1926) are widely discussed, not many have studied the function of horses. Shirley Bricout linked the "tied up draught-horses [that] lack such vitality" with the reification of humans in the analyses of "The Horse-dealer's daughter," holding the horse dealings to arouse a pastoral nostalgia. (2017, p. 67) Ria Banerjee, in his critical essay on "The Woman Who Rode Away," regarded the horse that "plodded dejectedly on" as a sway of the woman's mind, "...And if she had any will of her own left, she would have turned back..." (2012, p. 79) W. R. Martin formed a contrast between the lively and real horses and the wooden horse in "The Rocking-horse Winner": "The rocking-horse is seven times referred to simply as the 'horse'," blaming ironically on the mechanization of human life. (1962, p. 65) Several critics have concentrated on the inner developing ideas through Lawrence's 1920s short stories. Kathryn Miles, for example, woke up to Lawrence's progressive notion of human-nature relationship based on the narrative techniques in "The Horse-dealer's daughter" as well as "The Rocking-horse Winner." So far, few has pointed out 'horse' as a key element that connects the three short stories. This essay, by analyzing horses that reflect 'the rural,' 'the primitive' and 'the fantastic,' explores Lawrence's deepening attention towards horses in the 1920s and the pursuit for a "living universe."

Whatever symbolic meanings horses bear, the fantastic elements in Lawrence's short stories make possible the coexistence of three pairs of conflictive powers triggered by horse-related discourses: industrialization and agricultural tradition; civilization and the primitive; animality and humanity. It is the 'free' style of literary fantasies according to Rosemary Jackson, "… [literary fantasies] doing away with chronology, three-dimensionality and with rigid distinctions between animate and inanimate objects, self and other, life and death" (2009, p. 1) that adds a sense of "grotesque" to the content and form. From horses as appearing in the

background of the story to the setting of horse as an essential symbol that promotes the plot, D. H. Lawrence's increasing preoccupation with the image of horses serves as what Bakhtin believed the fantastic can achieve: "not for the positive embodiment of the truth, but as a mode for searching after the truth, provoking it and, most important, testing it" (1984, p. 114).

2. Horse the Rural: Awakening of Animal Instincts in "The Horse-Dealer's Daughter"

Horses symbolize Lawrence's pastoral ideal. Peace was broken when the last horse business by the Pervins was to be done with "confused tramping of horses' feet" outside. The stagnation of horse industry led to the bankruptcy of a family who used to make a living on this agricultural civilization. Ever since the rise of capitalism in Britain, lands had been enclosed, fenced and becoming private possessions rather than being used collectively before the enclosure movement, during which all the treatments of domesticated animals such as cattle, sheep, horses, asses, hens, pigs etc. were in the aim of gaining as many profits as possible. Up till the late 19th century when machines took the place of conventional husbandry, a major victim of traditional agriculture's transforming into an industrial one was domesticated animals who were mainly utilized as the labor forces on farms. Horses, oxen and asses were mostly used as animal-powered engines such as the oblique (Note 3). A common scene of London's streets then was depicted by John Gay in *Trivia* (1716), "Wheels clash with Wheels" and "The lashing Whip resounds, the Horses strain, /And Blood in Anguish bursts the swelling Vein" (qtd. in Perkins, 2007, p. 14). The stables of the Pervins, however, which used to be in a turmoil with "come-and-go of horses and of dealers and grooms" are now empty (Lawrence, 2012, p. 314). The increasingly modernized society no longer requires horses as domesticated labors, leading up to the collapse of agricultural industries represented by the horse dealings.

To a deeper extent, the domesticated-ness of horses is paralleled to the passivity of humans' attitudes towards life. The four heavy-loaded horses, "tied head to tail," moving forward in the groom's leading rope, symbolized Mabel's four siblings, who, though suffering from the misery of bankruptcy, engaged themselves endlessly in material pursuits. "The horses were almost like his [Joe's] own body…" Joe's hopeless gaze at the draught-horses, Fred's "sang-froid" as the master of horse but not that of life, Malcolm's horsey fashion suggested a sense of stupidity that Lawrence attached to modern people, just as the sufferings of the domesticated horse subjected to labor work for human beings (Lawrence, 2012, p. 305).

As victims of industrialization, the inert horses, "in a motion-like sleep," reminded Mabel of the repressed life, ineffectual communication and selfish behaviors of the family members, preparing for the rebirth of her sensuality. Instead of traditional narrative devices as plot and characterization, Lawrence digs deep into the interiority, the "subtleties of interpersonal dynamics" (Miles, 2008, p. 184). By depicting the overturn of Mabel and Ferguson's physical attachment to their conventional moral bounds, Lawrence reforms human sensibilities, calling for one's animal instincts hidden in humanity. Mabel's bodily attachment with Ferguson broke free of their stubborn doctor-patient relationship, though he had no intention of loving her at first glance. Lawrence insists a basic distinction between one's conscious mind and the unconscious, the latter of which being his 'blood' philosophy, "…we can go wrong in our minds. But what our blood feels and believes and says, is always true" (Lawrence, 2004, p. 21). Despite others' groundless gossips about their relation, Ferguson's "I love you! I love you!" dispelled all the previous concerns, thus proving how inner emotions win over rationality (Lawrence, 2012, p. 335).

The pond fantasy where both the doctor and Mabel plunge into the pond and finally remain alive saw mutual rejuvenation of the two. The liminal state, neither alive nor dead, they faced in the pond prepared for the power of rebirth. Ferguson saved Mabel from the pond, awakening her remaining 'liveliness'—the animal instincts that weaved a magic to Mabel's 'rebirth.' But it was the innermost body of life in Mabel that attracted Ferguson, a man who could not swim, to venture into the pond without any hesitation. In this sense, Mabel was searching for a new way of living more than committing suicide in the pond. Ferguson's miraculous rescue helped the completion of Mabel's life. Then, their physical affection fed back on Ferguson's human instincts, thus highlighting the transfer from their physical emancipation to spiritual and psychological communication.

3. Horse the Primitive: Envoy of Peace in "The Woman Who Rode Away"

By the end of "The Horse-dealer's Daughter," Ferguson's seemingly affirmative but hasty promise with the terrible intonation "No, I want you, I want you…" left a spate of uncertainties: Is this a carefully considered decision? Will Ferguson go back on what he has promised? Can Mabel really get rid of her previous repressed life in her marriage with Ferguson? Lawrence himself is not sure; he is exploring the unconscious power that exists deeply in the blood, and the animal instincts that take human beings away from distortions. This massive and slumberous strength can be found in the horse.

The frequent occurrence of horses in Lawrence's writings reflect his cling to animality, which is based on a call for the primitive: attentiveness to animals that "our faraway ancestors possessed and we have lost" (Coetzee, 2003, p. 97). He stripped horses of the role as submissive domesticated animals in "The Woman Who Rode Away," and instead, imbued prehistorical features of the horses in which they are "swift and fierce and supreme, undominated and unsurpassed" (Lawrence, 1925, p. 26). Just as what he has pointed out in his *Fantasia of the Unconscious* that a horse's gaze, "bright and glancing…full of terror…aggressive and frightening," is different from a cow's gaze (p. 201). Horses as "savages" echo Lawrence's call for a return to the primitive and search for animality. If the slumping horse dealings ring down the curtain of the traditional agricultural-centered life style, and flags up men and women relationship, then the horse on which the female protagonist rides further calls attention to femininity and humans' interrelations to nature, forwardly playing the role as a bridge to spiritual freedom and intercultural peace.

The horse on which the woman rides takes her away from her husband, the previous religious belief like an albatross around her neck, as well as the social duties of women that weigh heavily on her. Interested in the "funny sort of hats with flowers [a]round" and the almost naked people with a sort of shirt, "striding round with their savage's bare legs," the woman headed for the fanciful old religions and mysteries with a vague enthusiasm and curious imagination for unknown Indians—"it must be wonderful, surely it must" (Lawrence, 1928, p. 13). The horse almost disappeared where the story was shifted from reality to fantasy. The primitive fantasy featured the major conflicted clues of the story: the woman headed for the primitive villages by herself, someplace she might not have heard before. Nevertheless, she was also afraid of the spark in the Indians' eyes like what could be seen in a snake's eyes, "paralyzed with fear" of the Indian rituals, feeling as if she is dying, "She knew she was dead" (pp. 32, 24). A potential power can be felt under the physical body of the horse.

That the symbolization of the horse as an envoy of freedom and annihilation of the dominated White consciousness also meets some limitations. The horse indeed resembles independence of the woman to get rid of domestic slavery, a heroic femininity to break loose from her husband's dominance, but can the woman fully represent white womanhood? If so, her decisive submission to the Indian religion seems unreasonable. With no name from the beginning to the end, the woman is just an archetypal scapegoat who has no choice but to pay for the sins of the White race in hiding human passions and depriving liveliness of life.

However, the woman can be seen as an envoy of peace who succeeds in arousing the natural bonds between the White people and the Indian aborigines. Different from the White people who are immersed in a more cultured society represented by delicate clothes, sophisticated social classifications, beautiful toys, the Indians bear closer relationship with nature; they live their lives with the natural shifts of the sun and the moon,

> …our men are the fire and the daytime, and our women are the spaces between the stars at night…the man all the time have to keep the sun happy in his side of the sky, and the woman have to keep the moon quiet at her side of the sky (Lawrence, 1928, p. 63).

Immersion in nature differs the Indian aborigines who live in a primitive state of life from the White people mired in spiritual decadence. It is the mystical power contained in nature that nourishes all living creatures. There being no specific God as Christianity requests, every living thing in the world can be God Pan with a freedom of the spirit. The woman was no longer a female in the Indians' eyes, but a sacrifice "perfumed with incense and sprinkled with ash" to regain peace from the sun and the moon which were shut by the white people (p. 56). Thus, the blue wind, incarnation of the white woman, was sent to the sun and the moon so as to open the gate that had been shut by civilization of the white consciousness. The color blue implied by the blue eyes of the woman also marked the "colour of dead" (p. 58). In this sense, the Indians' intention of bringing a red horse to a blue mare indicates the arouse of the primitive connection with nature covered up by human civilization.

The horse that takes the woman away marks Lawrence's shifting foci on horses as domesticated animals of the past to a savage whose primitive power is what modern society lack. The process of the woman's escape was faced with a spate of disagreeables, during which the horse was pulled, struck and reined fiercely. Being no longer the background that represents nature and labor force, the horse features a life-symbol that feels and resists. Be the woman an envoy of peace and freedom, or rather a victim and sacrifice of Western civilization, she succeeds in escaping from her husband, a typical symbol of white consciousness. To Lawrence, killing seems to be as natural as "lying with a woman" (Lawrence, 1923, p. 376). The ritualized murder of the young protagonist, thus, is no tragedy: the woman is faced with her bodily death, but experiences a rather vivid life, the spiritual freedom nowhere to be gained in her past.

4. Horse the Fantastic: Mirror of Humanity in "The Rocking-horse Winner"

The rocking-horse is the externalization of the young protagonist's Oedipus complex (Note 4), on which Paul

rides to predict the token of the victory horse. The wooden horse bears more function than mere winner prophesy; it drives Paul to his mother's heart, bearing Paul's deep wish of close attachment to his mother. Such distorted maternal love results from the grasping materialism and advancements in industrial regions, leading up to the turbulent society lacking in spiritual life. This connection of one's psychological interrelations to animals can be traced back to Freud who resorted a five-year-old boy Hans' fear of his father to the phobia of a horse, regarding the father to be a competitor for the favors of the mother, towards whom "the obscure foreshadowing of his budding sexual wishes were aimed" (Freud, 2001, p. 149). The child's displacement of his feelings from the father to the horse suggested not only the child's detest of the father, but the appreciation of his mother. Thus, an original totemism, an inner power of the horse that attracted the child, can be inferred, for as long as the boy conquered his fear, he could approach the horses with interest and admiration.

The superpower of the rocking-horse discloses fantasy in the family relation, calling for one's suppressed sensual self. Lawrence considers "the horse as an image of fear [that] refers to the great sensual centre, subjected to domestic control, but flashing terribly into anger and hostility" (2004, p. 287). Instead of being a son, Paul played the role of a father in the family. The ever-lasting whisper: "There must be more money! There must be more money!" deprived the young boy of a carefree childhood, forming the materialistic background of the story (Lawrence, 1994, p. 551). Such an urgent need and constant anxiety for more money had been deeply rooted in Paul's mind, as if dissolving in the air they breathed. The lack of money failed to prevent the couple's vain material pursuit: new furnishings, Paul's tutor and education plan in Eton, luxurious flowers and accessories, the white fur cloak, the endless parties appear as usual despite the madly screaming voices, "There must be more money…Now-w-w…More than ever!" (p. 560). However, Hester the mother, attributed their economic situation to the absence of luck. Therefore, Paul, earning money from the rocking-horse prediction, tried to prove to his mother that he had done a better job than his father in gaining more luck, behaving more as a husband than a son to take care of Hester and concern for the family's economic issues. The imagination of earning a large amount of money by luck without practical endeavors forms the bourgeois fantasy of the era.

Unfortunately, only in a way of fantasy could the wooden horse drive Paul close to her mother, heading for Hester's attention and satisfaction. Then came the heraldically graphic picture,

> …[Paul] in his green pajamas, madly surging on his rocking-horse. The blaze of light suddenly lit him up, as he urged the wooden horse, and lit her [Hester] up, as she stood, blonde, in her dress of pale green and crystal… (p. 563)

The boy used up his last breath uttering "Malabar," the name of the winner horse through his prophesy. Unconscious of the surroundings, Paul's blazing eyes turned to "blue stones;" ironically, the mother felt her heart "turned [turn] actually into a stone" (p. 563). Paul's madness of the distorted family relations was released on the rocking-horse. In the end, however, Paul won the game, but Hester lost her son.

The rocking-horse remarks the bourgeois fantasy, which might be the imitation of life, but not true life. The rocking-horse, as one of the delicate toys displayed in the shop-windows is one particular representation of commercialized society. The "expensive and splendid toys" represented by the "shiny modern rocking horse" suggests material possessions that are full of temptations. Paul is the rocking-horse winner, but in fact a loser of life. The only winners in the stories are the real horses, Sansovino, Daffodil, Lancelot, Lively Spark…predicted by Paul to win the race. In contrast with such liveliness, the wooden horse with its "springs" can only be forced into the "mechanical gallop," which is doomed to face the failure. Such an irony reflects the living conditions not merely of the protagonist in the short story, but of a large number of common people submerged in the process of industrial development, Paul's distorted love to his mother being one side of the social diseases.

The objects to which Lawrence applied the elements of fantasy in the three short stories suggest his increasing focus on animality, especially how it shapes humanity. That Lawrence lays emphasis on the lifeless wooden horse instead of the real horses suggests his shifting attention from horse as domesticated animals, and even savages, to a discourse of animality that awakes the restrained humanity against civilization. Lawrence's autobiographical analysis of Paul and Hester's relationship, on the one hand, stands for his own family life and social status; but on the other hand, reflects powerful social conflicts and divisions in the capitalist society, thus showing his intention of seeking remedies for social diseases, in the words of Vincent Pecora, "lay[ing] the cure for all of modernity's ills" (2005, p. 716).

5. Conclusion

It is no coincidence that horses occur in many of Lawrence's major works. From a material symbol of Lawrence's nostalgia of the pastoral past, to a life symbol that contains the power of nature, to a discourse of animality that helps shape humanity, D. H. Lawrence is discussing various possibilities of horses. By digging

into how horses' domesticatedness resembles humans and how their savageness is lost in human beings, Lawrence is exploring and seeking more wholesome humanity, calling for the hidden power in the blood—the animality faraway due to the rapid development of industrialization and commercialization. Fantasy are chosen to juxtapose such binary oppositions as the losing human instincts during the process of civilization as well as the wakening female power in the patriarchal society, thus reaching a balance between the industrialized and primitive power, muscularity and femininity, and a repressive instrumentalism as well as a vibrant organism, just as the real and unreal elements in Lawrence's short stories.

Lawrence had once thought about writing fiction for all people in the world in that "every continent has its own great spirit of place" (1923, p. 17). Despite nationality, every human being bears the blood-consciousness of spiritual freedom. What Lawrence seek is an equilibrium (Note 5) for freedom in between—a new connection between men and men, males and females, men and Nature, providing a way out for modern people who are indulged in the acceleration of mechanic industries.

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Notes

Note 1. Critics such as T. S. Eliot and E. M. Forster views unfavorably Lawrence's emotional writing style. In Eliot's letter to Sydney Schiff: "what little I have seen of [D. H.] Lawrence lately makes me think him thoroughly dégringolé [run down]." Ever since F. R. Leavis' overturning Eliot's judgment during the 1950s and 1960s, viewing him as "the essential opposition" regarding the talents of Lawrence, Lawrence's grievance had been redressed and his position in the literary scene settled.

See in Eliot, Valerie, and Hugh Haughto (Eds.). (2011). *The Letters of T. S. Eliot* (vol. 1, pp. 362−363). Yale University: Faber and Faber. 7 vols.

See in Crick, Brian, and Michael DiSanto (2009). D. H. Lawrence, "An Opportunity and a Test": The Leavis-Eliot Controversy Revisited. *The Cambridge Quarterly*, *38*(2), 130−146. https://doi.org/10.1093/camqtly/bfp006

Note 2. See Peter Edwards, Karl Enenkel and Elspeth Graham (Eds.). (2012). *The Horse as Cultural Icon: The Real and the Symbolic Horse in the Early Modern World* (p. 27), Leiden and Boston: Brill.

Note 3. According to Hribal, an oblique is a kind of animal-powered machine whereon a horse, a large dog etc. can trot on the outside or inside of the wheel for pumping water, churning milk and so forth for "pumping water, light wood-sawing, churning milk or kneading flour" among which horses also served in transportation, driving carts or coaches for human beings.

See Hribal, Jason C. (2002). Animals Are Part of the Working Class: Commons, Enclosure, and Resistance in the Atlantic World (Diss., p. 66). The University of Toledo.

Note 4. Even though Lawrence himself denies Freud's psychoanalysis, his depiction of mother-son relationship, to a large extent, is influenced by Freud's experiments on Hans. According to Lawrence, "I never read Freud, but I have learned about him since I was in Germany."

See Jennifer Spitzer (Jan 2014). On Not Reading Freud: Amateurism, Expertise, and the "Pristine Unconscious" in D. H. Lawrence. *Modernism/Modernity*, *21*(1), 89−105.

Note 5. The balance between culture and nature as suggested by E. O. Wilson and Stephen Kellert's "biophilia hypothesis."

See Edward Wilson (1984). *Biophilia*. Cambridge, MA: Harvard UP.

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Interpretation of the Heroine's Emotional Reconstruction in *The Ghost Train*

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Abstract

Paul Yee's imaginary myth *The Ghost Train* mainly relates the experience of the heroin Choon-yi who is born with the drawing talent that helps those deceased Chinese labors return to China with the guidance of her father in her dream. On the road, she has confronted with many Chinese-Canadian cultural conflicts. Thus, the article will analyze the process of her emotional reconstruction from the aspects of her inner rebellion against the Canadian hegmonism, adaption and integration of the dual cultures, revealing how she accomplished a journey of salvation for nationalities and a pilgrim of seeking herself-growth.

Keywords: emotional reconstruction, rebellion, adaption, integration

1. Introduction

1.1 Overview of the Author's Work

Paul Yee, as a celebrated Chinese Canadian writer, was born in Spalding, Saskatchewan, and grew up in Vancouver's Chinatown. He was active as a volunteer for the Chinese Cultural Center and with the Chinese Canadian radio program *Pender Guy*. In 1996, he won the Governor General's Award and his books included *Saltwater City: An Illustrated History of the Chinese in Vancouver*, *Teach Me to Fly*, *The Curses of Third Uncle*, *Tales from Gold Mountain and Ghost Train* etc., all of which advocated the Chinese values and aimed at the construction of Chinese Canadian history. His works are children-centered, compounding the objective historical facts with the imaginary fairy tales, offering a novel view of the Chinese Canadian Literature in English. *The Ghost Train* is Paul Lee's magnums opus, which depicts a gifted girl named Choon-yi born with only one arm who can paint pictures looked as real as life went to Canada to take the soul of the deceased Chinese laborers back to their home under her father's guide and advice.

1.2 Review of Previous Studies

The data are mainly from CNKI, including 5 journals and 1 dissertation. From the perspective of time distribution, domestic scholars' research on *The Ghost Train* was mainly concentrated from 2008 to 2015, showing an upward trend. The research topics can be roughly divided into the following categories: firstly, the article *Myth Archetype Theory and The Ghost Train* (2007) written by Wen Jing, showed how the Chinese Canadian labors got their right of historical speech; secondly, from the aspect pf feminism, Chen Zhongming and Jia Hongbo's article *"Teach Me to Fly": the Female literature and Cultural Study in Paul Yee's Works* (2010)*, represented the new female image who continuously pursues her own independence and freedom to break the system of male supremacy; the next year, Yan Youping, Fu Jun wrote the article *From the Historical Ghost Train* (2012), indicating the opposite history and hegemony, appealing to fight for their own rights; and Liu Fang and Liu Yumei approached the issue of cultural identity, published the text *The Combination of the Chinese and Western Culture—Analysis of the Image in The Ghost Train* (2012), whose analysis of the character image, material image and scene image exhibited the sense of culture and historical significance, but have no further exploration of how the cultures combine and how to get rid of the differences in various ethnic groups. These researches have explored some themes of the novel, but are limited by the Canadian environment ignoring the China's condition at that time and the realistic life of Chinese. Therefore, the article will explore the heroine's emotional reconstruction combined with Chinese-Canadian cultures and experience to reveal the process of salvation for nationalities and a pilgrim of seeking growth under the influence of the dual cultures.

2. The Process of the Heroin's Emotional Reconstruction

2.1 Rebellion Against the Canadian Hegemonism

According to the explanations of hegemonism in English-Chinese Dictionary, hegemonism means the oppression and discrimination existing in different nations, which is a kind of policy that the dominated country holds the tendency to invade, control and intervene in the affairs of other countries by its strong comprehensive national power. It's unveiled in the novel *The Ghost Train* through the perspective of the heroine Choon-yi. The period of Chinese first coming to Canada can be dated back the "Gold Rush" in the 1850s, nearly ten thousand Chinese taking part in the construction of the Pacific Railroad in Canada. When finishing the building of the railroad, almost all the Chinese are out of work, a few of whom choose to return to China and most of whom try to find jobs in Canada. While owning to the discrimination in Canada and the Chinese Exclusion Law of Canadian government in 1923 including the "Head Tax" and the poor and weak China having no status in the world. Particularly those unequal phenoms and unfair treatments to aliens make her bravely stand up to fight against Canadian hegemonism. From the history, it's known that they come to Canada for the "Gold Dreams" because of the poor condition, civil strife and bitter starvation and poverty-stricken in China. While when they come and live in Canada, their golden dreams vanish because of bitter and miserable life, as the author Hughes and Kallen points that they were hopelessly and helplessly pinned on the position of foreigner who would incur "decay and ruination" to "the new Canadian nation" (Hughes & Kallen, 2011, p. 187), which indicates that they are regarded as strangers in this new land without any equal rights and any guarantee to their security, work and life etc., such as those deceased labors in Paul Yee's *The Ghost Train*, whose bitter experiences let Choon-yi in Canada view these unequal actions in the face directly and critically choose the life as her will and bravely rebel against hegemonism as a new generation to seek for her rights and voices.

Choon-yi born with drawing talents in a poor family learns her father and her nation's golden dream sailing to North America to make money for the sake of getting rid of poor-stricken life in Canada by building a railway through mountains. However, many of them has been dead in the process of building railway, which is known by her dream through her father's narration and suggestion that she should go to Canada with her drawings to bring those dead souls back to China because of the hegemonic Canadian policy setting limitations for the Chinese. Thus, she sets off to Canada with her ink brushes, colors and a roll of the finest paper as her father told her. During her journey to Canada, she overcomes all kinds of hardships such as the language differences, the unknown paths and people and the unclear fire-train her father described to her etc. The moment she arrives in Canada, she acquires others about her farther, but tragically she is told that her father has died, as the text reads, "*She was told that her father had died. The side of the mountain collapsed and carried his crew into the river far below. No bodies were found.*" (The Ghost Train: 5). She feels heart ache, but she cannot believe in it. She continues to seek the train when her father coming into her dream again and showing her what the train is like. Under her father's guidance, Choon-yi finally succeeds in drawing the fire-train and seeing those deceased souls in the train, as the text writes, "*Their clothing was torn and dirty, stained with mud and blood…As more and more men came aboard, they hailed each other with hearty welcomes.*" (The Ghost Train: 16), whose miserable sufferings and conditions in the drawing arouse so much grieve in Choon-yi's mind that she will do her best to bring those ghosts back to their home. She hears those Chinese labors' dreams and hope, "*The men talked of their families, about how they longed to see them. They talked of hopes and dreams…*" (The Ghost Train: 17), which makes her more brave and decisive to conquer any kind of difficulties and hiders to take them home, especially the hegemonism in Canada. Nothing can prevent her from the way to home and she succeeds in being the heroine of the nation. In particular, when facing hegemonism, she does not retreat and shrink from her responsibility of helping those Chinese souls rest in peace, growing up as a warrior to seek the identity and status of China, gradually understanding and fusing the Chinese and Canadian cultures together.

Accordingly, Choon-yi is the warrior in Paul Yee's pen, deified as the savior of the nation, carrying the author's emotion of rebellion against the hegemonism and hopes for the Chinese. She is brave enough to fight against those unequal regulations and gradually realizes the importance to be a strong girl to bring the people back to China, accomplishing the salvation of the nation and the emotional reconstruction of herself.

2.2 Adaption to the Double Cultural Conflicts

As a Chinese living in Canada, Choon-yi has witnessed the different cultures in her process of growing up. There are cultural conflicts between the dual cultures, such as the different religions, different dietary habits, various customs and beliefs. Facing with them, Choon-yi does not show much dissatisfaction and misunderstanding as she has when in the front of Canadian hegemonism. Instead, she adapts herself into the double cultures, combining them together and finding her own way to live. For instance, she accepts the Canadian education in

the school, learning the knowledge and comprehending the culture. At home, her parents teach her how to behave and speak Chinese, and also to paint the drawings as she likes. Choon-yi is a talented girl in drawings and she grows happily under the love and protection of her parents. She gladly accepts the way of living and the habit of eating. She can feel the meaning of the different food, which should all be respected. She understands the idea of ghosts in China, on the other hand, she knows the power of science advocated in Canada. She gradually combines the differences with the similarities, living the life as she will.

For example, the idea of "Fallen leaves return to the roots.", is totally accepted by Choon-yi when she finds the deceased souls in the ghost train by her father's lead. At the outset, she shows a little unbelief because of the incredible dream that she has and also due to the different belief in Canada which she has been educated. Nevertheless, she draws the train as her father has told her. At the first sight of fire-train coming alive, she knows that her father's word is true. And she has to do what her father told her, that is to bring the Chinese souls back to China. Because the place is a temporary survival state and means for these Chinese who has lived in in order to make money for their family, whose decision to return to their native country would never be forgotten. It is at the moment that Choon-yi realizes the essence of Chinese idea. She accepts it and figures out the deep and profound sense of Chinese culture, adjusting to the background of times and environment. At the same time in the year of 1971, Canada has employed an open attitudes to those ethnic groups and they accept the different nations' cultures and values, which makes Choon-yi feel less confusion and doubt about the cultural conflicts and be the girl she wants. She is the heroine of Paul Yee's work *The Ghost Train*, and she carries the hope and the idea of the author. Therefore, the process of adapting to the cultural conflicts also and reflect the author's intention of the dual cultural combination and understanding. The self-growth of Choon-yi is the awareness of the whole nation's progress and prosperity.

The author Paul Yee invests Choon-yi with symbolic meaning as a heroine image conveying the theme of promoting Chinese values and accepting the good aspects of Canadian culture. As the myth shows, the experience of Choon-yi is undoubtedly a journey of salvation for nationalities and a pilgrim of seeking herself-growth, because she offers the hope for the elders and assists them to realize their dreams of coming back to China and on her road to Canada she goes through the tough difficulties and obstacles, which makes her become stronger and stronger to fight for her country and seek emotional reconstruction as a brave heroine in the heart of the nation.

2.3 Integration of the Dual Cultural Values

With the passage of time, Canada gradually encourages members of the different racial groups to share their language and culture, as Donna and Philip pose that Multiculturalism within Bilingual Framework was announced by Prime Minister Pierre Trudeau in 1971. Official federal policy views multiculturalism as "a powerful bonding agent" that "helps unite us and identify us, while at the same time allowing every element of our society to retain its own characteristics and cultural heritage" (Donna & Philip, 1986), which shows the intention of promoting tolerance of diversity and integrating the cultural differences. Under the influence of the Canadian social factors, in addition to the element of China's growing powerful economy, Paul Yee foresees the hope and the trend of cultural combination. In the process of Choon-yi's growth, she combines the Chinese and Canadian cultures together, not just denying one or wholly affirming the other, but to seek for a more reasonable and suitable existence and get rid of the prejudices.

First of all, the integration of the dual cultures can be presented in the method of Choon-yi's memorial ceremony for those dead Chinese labors' souls. As the text reads, she is told by her father to light the sticks in the Chinese way to show her respect and pray for the deceased in order to bring them back to China, "*At dusk, as the sun slips below the horizon, lay your painting open between the steel tracks. Light three big sticks of incense and plant them firmly...*" (The Ghost Train, 12). Her behaviors show her exact understanding of the Chinese culture and the deep meaning behind it. And later in her dream under her father's guidance, when she sees the souls and hears their talking, getting a deeper understanding of their dreams and hopes that how they are eager to go home. Thus, she does the thing as her father said to take her drawing to China and "*Then climb the highest hill in the region and burn it. Let our ashes sail on the four winds. That way our souls will finally find their way home.*" (The Ghost Train: 18), which is known as "the four winds", a kind of western sayings originated from the famous American poetry Shawondasee by Henry Wadsworth Long fellow "*and the South-Wind over the prairie, wandered warm with sighs of passion*" in order to peace the rest. The way she employs for the deceased shows that she and her father gradually gets the awareness of transforming their own culture and combining the dual cultures, further realizing the significance of the Chinese conception of "Fallen leaves have to come back to the roots", which is also the author's intention of seeking for equal development. Through the description of the heroine Choon-yi, the combination and integration of the dual cultures are represented in front of the readers.

And the author's idea of returning to nation has been indicated in Choon-yi's words and behaviors.

In the fantastic myth, Paul Yee invents the gifted and heroic image Choon-yi through whom the author represents Chinese forms of mourning the dead by burning incense to worship the gods for the sake of having the souls in peace afterlife and also mentions the western ceremony in memory of the dead by letting the ashes sail on the four winds, which exhibits his positive attitude towards Chinese culture and objective perspective to view Canadian culture. It reflects that the Chinese has gradually integrated themselves into the dual cultures and found their status in the main society. Through the depiction of Choon-yi who carries the responsibility of the nation and the hope of the author, the spirit of Chinese and the identity reconstruction can be indicated.

3. Conclusion

The interpretation of the heroin's emotional reconstruction reveals how to live in the clash of dual cultures and how she has accomplished a journey of salvation for nationalities and a pilgrim of seeking herself-growth. The author Paul Yee boldly describes the fiction to reflect the reality and the dream to show the illusory death and life, indicating the historical truth and the serious sense of life. The depiction and narration of *The Ghost Train* are full of hope and harmonious developmental view based on the mutual understanding and cultural fusion.

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Oscar Wilde's Multiple Appeals Revealed in the Male Characters in *The Picture of Dorian Gray*

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Abstract

Concerning Oscar Wilde's *The Picture of Dorian Gray*, the previous studies have mainly been conducted on the writer's aesthetic thoughts and moral senses reflected in this novel, while the relationship between his literary creation and his psychological appeals needs to be further explored, for possibly these appeals are essentially related to his multiple personalities and complex psychology. Focusing on the three male characters, this paper attempts to examine Wilde's psychological appeals for the recognition of his aestheticism and the acceptance of his non-aesthetic appeals, and how they are revealed in the novel. According to A. H. Maslow's hierarchy of needs theory, human needs include the physiological need, the safety need, the belongingness and love need, the esteem need, and the need for self-actualization and so on. Through close text analysis, this study has had the following findings: (1) As an artist, Wilde's pursuit of art is the expression of his appeal for self-actualization. The interpretation of aestheticism by Basil and Henry denotes this need of Wilde; (2) As an aristocrat, Wilde also wants to be respected by the society, which is reflected in Dorian, while as an ordinary man his love need and physiological need are reflected in Basil's feelings for Dorian and Henry's admiration for hedonism. Hopefully, this study might help readers better understand Wilde and his works, and achieve a deeper understanding of the artist's complicated personality and psychology, the complexity and difficulty of the artistic creation, and various forms of artistic expressions.

Keywords: *The Picture of Dorian Gray*, Oscar Wilde, psychological appeal, aestheticism

1. Introduction

As one of the representative works of Oscar Wilde (1854−1900), who is the famous Irish advocator of "art for art's sake," *The Picture of Dorian Gray* has always been heatedly discussed. The previous researches of this novel have mostly dwelt on the sense of traditional morality and the aesthetic thoughts of this novel, in that many scholars are concerned with aestheticism and the contradiction in Wilde's personal lives, and Wilde's sexual orientation has often been studied as a main aspect of these contradictions. However, there is still a need of further study concerning Wilde's own psychological appeals and the relationship between the literary creation and his complex personality structure. Throughout the whole novel, in which Lord Henry Wotton, Dorian Gray and Basil Hallward are the three main male character, the conflicts between characters coincide with Wilde's complex personality structure and reveal his multiple needs or appeals.

This paper will analyze these characters combined with Wilde's personal experiences to reveal his psychological appeals for the recognition of his aestheticism and acceptance of non-aesthetic appeals in the novel (including the appeal for the social acceptance of his self-identity, the appeal for the social acceptance of platonic love, and the appeal for the social acceptance of his hedonism), and the complex personal structure reflected in the characters. Firstly, the study will have a short overview of the studies on Wilde and the novel, and try to seek the possible research space. Then, it will analyze Wilde's aestheticism and the male characters in *The Picture of Dorian Gray*, so as to further explore Wilde's psychological appeal for the recognition of aestheticism. Next it will discuss the writer's non-aestheticism appeals, including the appeal for social acceptance of his self-identity, the appeal for social acceptance of platonic love, and the appeal for social acceptance of hedonism. At last, this study will summarize the previous sections and restate the significance of it.

Through the analysis of the complexity of Wilde and the three main male characters in *The Picture of Dorian Gray*, this study hopes to help readers achieve a better understanding of the complex psychology of an artist in

general and Wilde in particular, a grasp of the relationship between the artist's creation and his or her psychological appeals, which might provide some implications for the interpretation of other literary or artistic works.

2. A Short Overview of the Studies on Wilde and His *The Picture of Dorian Gray*

Many studies have been conducted on *The Picture of Dorian Gray*, concerning the biography, the senses of morality and aestheticism. Some scholars have undertaken *The Picture of Dorian Gray* from the perspective of Wilde's personal characteristics. Aatos Ojala (1956, pp. 215–216) has studied Wilde and aestheticism in his work *Aestheticism and Oscar Wilde*, which focuses on aestheticism and its propositions, such as the philosophy, historical background, and psychological characteristics of aestheticism. It includes applied aesthetics and art criticism, art theory and philosophy of life, such as Wilde's aesthetics theory and his mature thoughts. In *Oscar Wilde: His Life and Confessions* (1916) by Frank Harris, there are facts or facts as Harris sees them. At the end of volume one it dawns on Harris that Wilde is homosexual when he hears it from the writer himself. Richard Ellmann's (1988) biographyabout Wilde's life includes his early years, his love and marriage, his indoctrinating in America, his hard prison life, and his subsequent exile in France and Italy. Neil McKenna's *The Secret Life of Oscar Wilde* (2003) draws on newly discovered interviews with some of the witnesses at Wilde's trials, as well as numerous unpublished memoirs and diaries. This meticulous reconstruction of Wilde's "sexual journey" breaks important new ground by placing Wilde at the center of a pantheon of gay sexual revolutionaries. In short, these biographies mainly examine Wilde's personal life, but not discuss fully the relationship between Wilde's personal life and his literary creation. "Pleasure was everything to him, but grief and pity followed his pleasure-mad ways. This is something that we need to understand in our times" (Zacharias, 2002, p. 7). Ravi Zacharias brilliantly formulates an imaginary conversation between God, Wilde and Pascal about reality and pleasure. This author holds the view that God is not against the pursuit of pleasure, and Wilde's view on the pursuit of pleasure is revealed in this imaginary conversation as well. Focusing on the psychological trauma of narcissism and how social alienation has brought about Dorian Gray's mental breakdown, Ali Taghizadeh (2014, p. 1446) states that Dorian's tragedy is both influenced by himself as a narcissist and the society of that time, while Huang Yujie (2013, p. 18) points out: "So there might be a certain psychological appeal of Wilde who always had to wear masks to live in his age—that was, he wished to be recognized among the upper-class society." She examines Wilde's psychological appeals for recognition for aestheticism and acceptance for homosexuality. However, her study is confined within two appeals of Wilde and cannot adequately interpret Wilde as a complicated person.

The researches mentioned above have mostly dwelt on the sense of traditional morality or the aesthetic thoughts of this novel, in that many scholars are concerned with aestheticism and the contradictions of Wilde, and Wilde's sexual orientation is often studied as the focus of these contradictions. Anyhow, there is still a need of further study concerning Wilde's psychological appeals or needs and their relationship with his artistic creation. According to A.H. Maslow's hierarchy of needs theory, human needs generally include the physiological need, the safety need, the belongingness and love need, the esteem need, and the need for self-actualization, while "in *some* individuals there is a truly basic aesthetic need" and "they crave actively, and their cravings can be satisfied *only* by beauty" (1970, p. 51, author's emphasis). It's no objection that Wilde is a representative of such individuals, for whom the satisfaction of aesthetic need or appeal (one of the higher needs) is closer to self-actualization, though non-aesthetic appeals might play some roles in their lives and careers as well.

These multiple appeals are closely related to the writer's personality structure, denoting different aspects of the self. According to S. Freud's theory of personality structure, a complete personality structure consists of three systems: id, ego, and superego. These three systems of a normal person are harmonious and unified, while those of a person with imperfect personality might be in an abnormal state (Li & Ye, 2008, p. 44). The root of various troubles is mainly associated with id, which, as the instinctive self, tends to ignore the existence of value, good and evil, and morality (superego). The only purpose id pursues is satisfaction and happiness. The result of the struggle between id and superego might determine the state of an actual self (ego) in action. In the case of Wilde, his complex personality structure and the different aspects of the self are interwoven with the aesthetic appeal and non-aesthetic appeals, which are revealed in the three main male characters in *The Picture of Dorian Gray*. As Wilde's own words recall, these three characters combine to formulate the portrait of writer himself, denoting his complex personality structure: "Basil Hallward is what I think I am; Lord Henry what the world thinks me; Dorian what I would like to be—in other ages, perhaps" (Cited by Huang, 2010, p. 6, the same source for the quotation of these items in the following sections).

Next two sections will examine Wilde's aesthetic appeals and non-aesthetic appeals respectively, and accordingly how the male characters reveal them.

3. Oscar Wilde's Aesthetic Appeal and the Male Characters in *The Picture of Dorian Gray*

3.1 Oscar Wilde's Life and His Aestheticism

Wilde was born to a family of intellectuals in Dublin on October 16, 1854. He started to love art and literature even when he was a child and showed his outstanding artistic talent very early. It was in the middle of the 19th century when Wilde went to Oxford University to study, and the aestheticism movement was in the ascendant in England. John Ruskin and Walter Pater, two famous Oxford professors at that time, were the pioneers and backbone of this movement. It was during this period that Wilde formed his own unique aestheticism aesthetics He studied and synthesized aestheticism developed by his predecessors, and thus established his own rigorous and marvelous aesthetic thoughts which includes the autonomy of art, individualism, and New Hedonism. In 1895, Wilde was arrested for "gross indecency." Since then, British aestheticism began to decline.

Wilde's *Intentions* which were originally published in 1891 displays his biting wit and extensive study of art, criticism, literature, and society. It includes "The Critic as Artist," "The Decay of Lying," "Pen, Pencil and Poison," and "The Truth of Masks." These four essays and the contemporary essay "The Soul of Man Under Socialism" confirm Wilde's aestheticism and supply the philosophical context for his novel *The Picture of Dorian Gray*.

"The Decay of Lying" mainly analyzes the autonomy of art and the power of lying, in which Wilde opposes realistic interference of art and claimed for the autonomy of art is like previous aesthetics. For Wilde, the sentence that "Life imitates Art far more than Art imitates Life" is the most famous claim in this work. As to the autonomy of art, he refuses to evaluate art by conventional moral standards, claiming that "all art is immoral and all thought dangerous." Lying can be put in other way as the imagination which Wilde advocates in artistic creation—"The final revelation is that Lying, the telling of beautiful untrue things, is the proper aim of Art".

In "The Critic as Artist," Wilde posits the autonomy of art and rearranged the relationship between art and critic. He inherits Pater's thoughts on art's influence on reality. He claims the superiority of art over real life. He also maintains that art is the very method to gain perfection, which can also be interpreted as art's function in developing individualism. One theme in this essay is that criticism is creation, suggesting the new role of criticism in literature.

Wilde gives further supplement to Pater's New Hedonism in *The Picture of Dorian Gray* and "The English Renaissance." In the latter, he claims that life is in many ways an aestheticized form or New Hedonism which is the satisfaction of desire and will. In the former, through Henry's words Wilde points that Dorian represents a New Hedonism advocated by Pater and him. Henry induces Dorian to pursue sensual enjoyment. Besides, Wilde restates Pater's emphasis on momentary experiences. Wilde believes that experience is the goal of real life. Therefore, human should focus on moments in order to enrich his life. Such hedonistic views run through the whole novel.

3.2 Analysis of Oscar Wilde's Aesthetic Appeal Revealed in the Male Characters in The Picture of Dorian Gray

3.2.1 Henry's Aesthetic Appeal

"Lord Henry is what the world thought I was." Wilde, a maverick, being bohemian and unrestrained, has his own cynical theory. That is the same with Henry in the novel. The influences Henry exerts on Dorian is that of the id on the ego. This id wants to understand his instinctive desire and vent his instinctive impulse through the ego. He is against orthodox social morality and cynical. His articles are full of disdain and ridicule of the upper class, but his talent makes him one of them. However, unlike Wilde, Henry never puts his ideas into practice. Wilde himself was a practitioner in his life. In addition to writing, his behaviors have highlighted his exceptional personality. For Wilde the happiness principle pursued by his id was advocated and much respected.

Anyhow, Wilde and Lord Henry have many characteristics in common in most people's views. The contest between the id and the ego revealed Wilde's struggle. It was both a blessing and a misfortune for him to live in the obstinate and biased period of the late Victorian era. In such a society at that time, people's words and deeds must be consistent with strict social behaviors and moral norms. Even a minor deviation from the norms would be regarded as breaking away from them. The principles of art and literature have been abandoned, for social norms must be abided by. Henry's preachment of his aesthetic thoughts reveals his appeal for the acceptance of his view towards art and ethics, while in Wilde's eyes "art is destroyed by life and morality, and that ethics and aesthetics belong to separate spheres of thought and judgement" (Mighall, 2018, p. 26). For Wilde, one of the energies of art asserted an isolation from experience and "[a]rt is a kind of trick played on nature and God, an illicit creation by man" (Ellmann, 1998, p. 378). Wilde once claimed that art would be ruined by the reality (2000, p. 98). Hereafter only the page number of this textbook referred to in parenthetical citations. Similarly,

Henry's view of art is that art has nothing to do with real life and morality, and real life can destroy the beauty of art. Henry doctrines that art has nothing to do with morality and he tries to make Dorian to accept this idea (p. 100). In the real life, Sybil Vane is not beautiful, though she is a part of art when she plays Juliet on the stage. Here, Wilde uses the character Sybil Vane to explain the relationship between art and reality.

Henry makes every effort to praise beauty. In his mind, beauty is most important in the world, which is just in accordance to Wilde's aesthetic idea. Henry thinks that beauty is a form that is higher than genius (p. 24). For Henry, beauty is like sunlight and it cannot be questioned in that beauty is the wonder of wonders. "It is only shallow people who do not judge by experiences. The true mystery of the world is the visible, not the invisible" (p. 24). He doctrines aestheticism to Dorian and continuously puts the aesthetic thoughts into Dorian. He tries to persuade Dorian to cherish his youth and show him what beauty is.

3.2.2 Basil's Aesthetic Appeal

Wilde once denoted: "Basil Hallward is what I think I am." This painter, who pursues the beauty of art, is the superego in this novel, which is undoubtedly a bitter medicine for ego. It reminds ego to regulate its own behavior and helps it resist the desires. When ego makes mistakes, superego requires self-examination of the conscience. Surely it can make ego suppress the request, but this might bring some pain to ego as well. Moreover, the medicine under superego is too mild and slow to take effect, leading to a bad result for ego. To Dorian, Basil is a kind of alarm that remind him to abide by morality and protect his pure heart. He is the guardian of traditional morality in the novel. After Sybil's death, compared with Henry's coldness, Basil thinks that Sybil's death is a tragedy, but it never crosses to him that Dorian has done cruel deeds to Sybil before her death. In his eyes, Dorian remains a piece of pure and beautiful art.

Basil wants Dorian to keep pure and tries to protect him from bad influences, while Henry's appearance leads Dorian to pursue sensual enjoyment and gradually get lost. After hearing horrifying rumors about Dorian, Basil tells Dorian that every gentleman is interested in his good fame and he doesn't want people to talk of Dorian as something vile and degraded (p. 143). In Basil's heart, Dorian is always perfect and pure—"But you, Dorian, with your pure, bright, innocent face, and your marvelous untroubled youth—I can't believe anything against you" (p. 143). Basil thinks good fame is quite important for Dorian to maintain his perfect image. But after seeing the portrait, he realizes that the portrait has become twisted and ugly. The portrait has endured Dorian's evil deeds and is not intact and beautiful as before. This is also an indication that real life could ruin art. Basil thinks that art will follow moral standards all the while, though it might be influenced by the reality. It is beyond his imagination that immorality can be fatal to art.

Basil's understanding of the relationship between art and morality is a manifestation of Wilde's contradiction as well. On the one hand, he advocates the autonomy of art, but on the other hand, his art is restrained by morality at some extent. This contradiction between art and morality reflects the contradiction and complexity of Wilde's artistic creation.

4. Oscar Wilde's Non-Aesthetic Appeals and the Male Characters in *The Picture of Dorian Gray*

4.1 Oscar Wilde's Life and His Non-Aesthetic Appeals

Born in an Irish family which occupied a high social status, Wilde has lived a good life since he was a child. Wilde's mother has a wide range of expressions, political ardent and social knowing. As a radical intellect, she provides his son with the inspiration and unique insights. Her passion for knowledge and art has set a further example for Wilde. Wilde inherited his mother's rebellion. Maintaining the good fame of his family built by his parents was important for Wilde. As Dorian Gray wants to protect his intact appearance, Wilde also wanted to protect the perfect image of his family and himself. In *De Profundis*, Wilde expresses his regression for destroying the good fame of his family that his mother had maintained. As an Irish writer, Wilde gave people a sense of social alienation. Seeking social acceptance of his talent and life was important to him as well.

Concerning Wilde's love, it was Robert Rose that induced Wilde to begin "the manner of murky dealings that disastrously defeated him in 1895" (Harris, 1916, p. 81). "The love of Wilde for Douglas was full of erotic passion and aesthetic meaning" (Huang, 2013, p. 28). Wilde's sexual orientation was much influenced by Greek culture during his schooling. His academic experience at Trinity College in Dublin was especially influenced by J. P. Mahaffy who was a professor of Greek history. Wilde was very fond of Greek culture in his school days. Greek humanism emphasizes the individual value of human beings, respects the growth and choice of individuals, and human beings have the right to choose themselves and pursue happiness. These ideas provided the motive force for Wilde's exaggerated dress and the brave pursuit of his favorite things in the future.

As a famous artist, behind his high position in the field of art, Wilde also has ordinary people's appeals. These

appeals are revealed in the male characters in *The Picture of Dorian Gray*—Basil (representative of Platonic love), Henry (advocator of sensual enjoyment), and Dorian (contradictory perfectionists). Basil's love to Dorian, which does not dare to speak its name at that time, is depicted by Wilde to convey his own appeal for social acceptance of platonic love. Through Basil's advocating of sensual enjoyment, Wilde wanted to tell people that seeking for sensual pleasure was a wonderful experience rather than a sin. Dorian who later becomes crazy to maintain his perfect image just represents the hardship of Wilde protecting his good fame and social position. These three characters represent Wilde's three appeals and are shaped by Wilde's complex self.

4.2 Analysis of Oscar Wilde's Aesthetic Appeal Revealed in the Male Characters in The Picture of Dorian Gray

4.2.1 Dorian's Identity Plight

Dorian is a handsome man with finely-curved scarlet lips, and crisp golden hair. He has kept himself unspotted from the world. Dorian has not only intact appearance, but also high social status. However, Dorian is so naïve that after being continuously encouraged by Henry, he destroys himself by self-indulgence and moral decay in the end.

Dorian's amazing appearance and high social status are alienated from most people in society. Inculcated continuously by Henry—"youth is the one thing worth having" (p. 24), Dorian begins to insist on protecting his youth and protecting his perfect image in the eyes of the world. He hopes that the portrait will bear the torment of years for himself. After bearing his sins, the portrait becomes uglier and uglier, but Dorian's own face remains intact. Under Henry's instigation, Dorian can only accept the beauty and youth of his own. In order to hide his dark side, he hides the painting in the attic. Basil, who is the only person has seen the ugly portrait is killed by Dorian. In order to maintain his perfect image, Dorian has gone crazy.

"Dorian what I would like to be—in other ages, perhaps," Wilde once stated. This Dorian, whom Wilde wanted to be, represents the straggling and complicated soul of Wilde. It is Dorian that represents ego in the novel. Dorian is gradually dominated by Henry who stimulates his instinctive impulse and desire. As the id, Henry drives the ego to indulge into the sensual enjoyment. On the one hand, he wants to satisfy the id's desire, but on the other hand, he wants to restrain the id's impulse. Dorian once doubts his choice, but the id is so strong that the ego finally accepts the idea of id. The ego has been trying to get rid of the id. But every time he comes home and opens the secret room to watch the portrait, which stands for the superego, he is tortured. This reflects that the ego is always resisting the id.

Dorian wants to enjoy the pleasure, while keeping the perfect image in the eyes of the public. He doesn't want to follow the moral norms that people all obey, but he can't get rid of them, in that although he wants to stand out, he wants to be accepted by the society as well. As Dorian can't get rid of the constraints of the portrait, Wilde can't get rid of the traditional norms, either. Wilde moved to London later, but he could not eliminate the truth that he is an Irish man. Longing for acceptance by the society, He tried his best to maintain a perfect image in the society, which was like Dorian's hiding his portrait. Wilde's lifelong career was to break down the moral shackles. Relying on his brilliant talent and outstanding personality, he challenged the powerful feudal ethics everywhere. The destruction of superego in this novel unveils Wilde's dissatisfaction with the social moral system at that time. What's more coincidental was that Wilde was unfortunately arrested and his reputation has been completely ruined. Under the contempt and humiliation, Wilde died alone with the destruction of ego.

4.2.2 Henry's View of Pleasure

Wilde's works are full of disdain to the upper class. Like Wilde, Henry is cynical and against orthodox morality, however, his talent makes him a member of the circle. John Ruskin's thought of harmonious combination of soul and flesh is reflected in Henry's aesthetic idea—"Nothing can cure the soul but the senses, just as nothing can cure the senses but the soul" (p. 23). There is an inseparable relationship between the senses and the soul. That is to say that senses can satisfy and complete the soul, and the soul can excite the senses.

Wilde expressed his idea of enjoying pleasure fully by Henry's preachment: "A new Hedonism is what our century wants" (p. 25). The purpose of the new hedonism is to experience itself, but not to produce fruit, whether it is sweet or bitter. The asceticism that stifles the feeling is not compatible with it, and the low sensual indulgence that numbs the feeling is also incompatible with it. The mission of the new hedonism is to persuade people to concentrate on the moment of life. It is not difficult to see that in Wilde's new hedonism, there is another modernist idea, which is the praise of "nature," "desire," "ugliness," and "youth."

The thought of cherishing the youth and enjoying the sensual pleasure is both reflected in Henry and Wilde. Henry's idea of emphasizing the importance of youth is similar to Wilde's, as Wilde says in *De Profundis*— "Only youth has a right to crown an artist" (Wilde, 2000, p. 52). In addition to his pen, Wilde's behaviors

highlighted his personalities as well. For him, being pursued by id was always a big concern in his life.

4.2.3 Basil's Pursuit of Platonic Love

Basil's love towards Dorian is obviously madness and exceeds his love towards art. Basil admits that he worships Dorian with far more romance of feeling than friendship, while he has never loved a woman. He tells Dorian that he has been attracted by his personality, and therefore has been influenced a lot by him. There is no denying that he adores Dorian madly, extravagantly, absurdly, and he is even jealous of every one to whom Dorian speaks. Basil wants to have Dorian all to himself: "I was only happy when I was with you. When I was away from you, you were still present in my art" (p. 110). This kind of emotion is the ideal mode of Wilde's aesthetic love, that is, Platonic love, concerning which the Greek spirit is also an important spiritual source of aestheticism.

Basil's love towards Dorian is Platonic interpretation of the artist's need for his model. The relationship between Basil and Dorian cannot be merely called friendship. This reflects Wilde's love towards Douglas. Dorian's rejection of Basil's courtship is cruel and painful for Basil. This love is difficult to tell and can hardly be accepted by the society, which is similar to Wilde's love towards Douglas. The hardship of the love between Wilde and Douglas strengthens Wilde's desire for the social acceptance of Platonic love. Here, Basil's sexual orientation reveals Wilde's appeal for the acceptance of Platonic love.

5. Conclusion

The Picture of Dorian Gray is like a mirror, through which people can observe Wilde from different angles. Through the analysis above, we may say that Henry, Dorian, and Basil possibly represent three aspects of Wilde's self or personality structure. The entanglement and struggles between these characters reveal Wilde's multiple psychological appeals.

Wilde and Henry are equally cynical in their attitude towards life. Wilde expresses his aestheticism by Henry's words, who makes every effort to praise for beauty. He doctrines Aestheticism to Dorian and continuously puts the aesthetic thoughts into him. He tries to persuade Dorian to cherish his youth and show him what beauty is. This reflects Wilde's psychological appeal for the recognition of his aestheticism. And Henry also preaches his idea of pleasure. His emphasis on carpe deim denotes Wilde's psychological appeal for the acceptance of hedonism. Basil can be understood as a reminder of traditional morality. Basil, whose understanding of the relationship between art and morality is also a manifestation of Wilde's contradiction. On the one hand, he advocates the autonomy of art, but on the other hand, art is restrained by morality at some extent. This reflects the complexity which lies in Wilde's view of artistic creation. And Basil's affection towards Dorian represents Wilde's appeal for the acceptance of Platonic love. Dorian has to make hard choices between his desire and Basil's moral restraint. At last, with the death of Basil, Dorian gets completely lost and goes to destruction. Similarly, Wilde didn't overcome the temptation, his contact with Alfred Douglas caused imprisonment for him. Wilde was special and few people understood and supported him at that time. Dorian's tragedy reflects that Wilde wanted to break the shackle of traditional morality and hoped his distinctive identity to be accepted by the society to some extent.

This study has arrived at its goal, if it might help readers achieve a better understanding of the complex psychology of an artist in general and Wilde in particular, a grasp of the relationship between the artist's creation and his or her psychological appeals. It hopes to provide some implications for the interpretation of other literary or artistic works as well.

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