ESTUDOS GERMÂNICOS

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APRESENTAÇÃO

Este é o segundo número de *Estudos Germânicos*, revista do Departamento de Letras Germânicas da Faculdade de Letras da UFMG.

Esperamos dar continuidade, através dele, à divulgação dos trabalhos produzidos pelos professores de nosso Departamento nas áreas de Língua Alemã e Inglesa e Literaturas Alemã, Inglesa e Americana. A diversidade de interesses e linhas de pesquisa desenvolvidas por nosso corpo docente se encontra expressa na variedade de assuntos e enfoques apresentados nos diversos artigos.

Desejamos que essa revista incentive os estudos na área das Letras Germânicas, levando o resultado de nosso trabalho para além de nossas salas de aula e possibilitando o contato com colegas de outras Universidades ou escolas.

O Conselho Editorial da Revista, composto pelos professores Rosa Maria Neves da Silva, Ian Linklater, Lívio Viggiano Fernandes e Ana Lúcia Almeida Gazolla, apresenta agradecimentos à Secretária do Departamento, Marilda Valéria Santos Azevedo, pela colaboração no trabalho de organização desse número. Também nossos agradecimentos às Profas. Eunice Dutra Galery, Diretora da FALE, e Maria da Conceição Magalhães Vaz de Mello, Chefe do Departamento de Letras Germânicas.

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A.L.A.G.

ÍNDICE

The Building of Macbeth's Character through Comparison and Contrast

Astrid Costa, Elisa Cristina Gallo e Suely Lôbo

One of the ways in which Shakespeare builds characters in *Macbeth* is by using comparison and contrast. In order to demonstrate this idea, we have selected three characters, namely Duncan, Banquo,and Lady Macbeth, who will be analysed in relation to Macbeth. The reasons for the choice of those three characters acting as foils to Macbeth are: a) their relevance to the play as characters proper; b) the significance of their link with Macbeth; c) their presence in moments which can be considered turning points in the plot.

Duncan opposes Macbeth, first of all, in the sense that while Macbeth's cunning mind is open to all possibilities and capable of pretence, Duncan's naïvety makes him an easy prey to Man's cleverness at deceiving. His misjudgement of character leads to his own destruction. He is first betrayed by the former Thane of Cawdor, and recognizes his own blindness by saying:

> '... There's no art
> To find the mind's construction in the face:
> He was a gentleman on whom I built
> An absolute trust.' (I,4,11-14)

It is quite significant that, in the play, this comment is immediately followed by Macbeth's entrance, as if the king's words were an ironic harbinger of the events to come, announced by Macbeth's aside:

> '... Stars, hide your fires!
> Let not light see my black and deep desires.'
> (I,4,50-1)

In the second place, Duncan's regal behaviour and noble feelings when he arrives at Inverness oppose Macbeth's evil plotting. While Duncan offers his friendship and confidence, Macbeth, taking advantage of that, is about to betray him three times: as his subject, his relative,and his host.

Banquo and Macbeth are focused in a similar way in the beginning of the play: as brave leaders and loyal subjects. In spite of that, Macbeth seems to occupy an outstanding position, since it is he that makes peace terms with the king of Norway.

But some striking differences are gradually revealed as they meet the three witches and react differently. In the first place, Banquo seems to doubt their existence when he says:

> '... Live you? or are you aught
> That man may question?' (I,3,42-3)
> 'Are ye fantastical...?' (I,3,53)

Macbeth, on the other hand, does not question the reality of what he sees, and simply asks them to speak. After the prophecies, their attitudes do not change, as Macbeht wants to know more and more, and Banquo begins to attribute the vision to a mental hallucination:

> 'Were such things here as we do speak about?
> Or have we eaten on the insane root
> That takes the reason prisoner?' (I,3,83-5)

It is as if the prophecies had echoed Macbeth's own suppressed ambition, whereas Banquo's unshakeabke loyal character repels any suggestion of a power whose nature seems to be ambiguous and even devilish.

The newly received title of Thane of Cawdor works for

Macbeth as a confirmation of the truthfulness of the prophecies:

> 'Glamis, and Thane of Cawdor:
> The greatest is behind.' (I,3,116-7)

While he considers them 'As happy prologues to the swelling act / Of the imperial theme' (I,3,128-9), Banquo calls them 'The instruments of darkness'' that 'Win us with honest trifles, to betray's / In deepest consequence' (I,3,124-6).

But let us not suppose that he is entirely without ambition. What happens is that he knows how to deal with it, and between his sense of loyalty and the temptation of power, he bends towards the former. The evidence that he also is in conflict is that he evokes the help of 'merciful powers' to free him from 'the cursed thoughts that nature / Gives way to in repose' (II,1,7-9).

In the beginning of Act III the two characters are once more confronted.Emphasis is put on Banquo's display of loyalty, which is strongly contrasted to Macbeth's symptoms of moral deterioration. Banquo places himself under Macbeth's acknowledged command, as his subject. However, he hints at knowing the truth about the crime, and at his own hopes concerning the prophecies. Thus, he threatens Macbeth's security in a double way, as Macbeth's throne is menaced both by Banquo's incriminating revelation and by his progeny. At this moment the audience understands the motivations for the murdering of Banquo, and the confront is now between Macbeth's cunningness and Banquo's passive behaviour. As he is plotting the deed, he conceals his evil intentions under apparently trifling questions about Banquo's plans for the evening, to which Banquo, unable to detect what lies behind, willingly answers.

Thus Macbeth's shrewdness is once again reinforced by contrast with Banquo's artlessness.

Macbeth and Lady Macbeth have the same aim, but they differ in their attitudes in the achievement of this aim. Macbeth becomes reluctant every time he has to face crude action:

'My thought, whose murder yet is but fantastical,
Shakes so my single state of man that function
Is smother'd in surmise.' (I,3,139-41)

But, to Lady Macbeth, action is no obstacle. As soon as she finishes reading her husband's letter telling her the news, she readily takesfor granted the realization of the last prophecy. The audience promptly perceives that she is as cunning in relation to Macbeth as he is in relation to Duncan, because she knows of his inability to act in moments of crisis. She feels that he must come at once so that she can remove all the obstacles between him and the crown. If let to himself, he will hesitate, as his nature is 'too full o' the milk of human kindness/ To catch the nearest way'. (I,5,18-9). Her first step is to show him the ways of deceiving by defying him to act in keeping with his unrestricted desire. Up to the end of Act I, all his strength derives from her own, so much so that her advising him to be a serpent hidden under an innocent flower is echoed in his words in the final line of the act:

'False face must hide what the false heart doth know.' (I, 7,82)

After the murdering of Duncan is committed, Lady Macbeth shows a perfect practical handling of the situation: she keeps watch lest someone may have witnessed the deed, appeases Macbeth's fears, tells him to wash away the incriminating blood in his hands and put his nightgown on, to place the daggers near the grooms and smear their clothes with blood to lay the blame on them. As he hesitates, she herself does it. In other words, she is concerned only with the concrete evidence of the crime. Macbeth, on the other hand, fears the moral implications of the murder, and the contrast is summarized in:

Macbeth: 'Will all great Neptune's ocean wash this blood
Clean from my hand?' (II, 2,61-2)

Lady Macbeth: 'A little water clear us of this deed.' (II, 2,68)

In Act III, scene II, the situation is reversed. Now it is Lady Macbeth that expresses her discontent in terms of spiritual values:

'Nought's had, all's spent,
Where our desire is got without content.' (III,2,4-5)

And Macbeth is the one who is worried about the problem of security in the physical sense, about things such as 'steel', 'poison', 'malice domestic' and 'foreign levy' (III,2,24-5)

Lady Macbeth is beginning to break down and even suggests that her husband should stop, which he will not do.

It is interesting to notice that, amid all evil, there is a touch of humanity provided by their mutual concern. They spare each other in different ways: she does not reveal her anguish lest he may be the more worried, and he does not involve her in his plotting, perhaps already detecting her imminent breakdown.

In the opening of the banquet scene they seem to be on the same level: gracious host and hostess welcoming their guests. Soon after, chaos emerges from order as Macbeth's delirium disturbs the ceremony. She reacts with her former strength, appeasing the guests and trying to keep an illusionary idea of order. At this moment of crisis she gathers all her inner resources to support her mentally disturbed husband. As she had done in the past, she appeals to his sense of manhood and tries to convince him that that ghost was made of the same stuff as 'the air-drawn dagger' (III, 4,62). This is her last outburst of courage and, as Macbeth gradually recovers self-control, she sinks into an apathy which won't leave her any more.

In act V Macbeth's self-control is transformed into an overboldness which will lead him to his own destruction. In a frenzy of violence, he gets stronger and fearless:

'I'll fight till from my bones my flesh be hack'd.
Give me my armour.' (V, 3,32-3)

As a matter of fact, this feverish state of mind is rather similar to Lady Macbeth's. The difference is that her disordered mind weakens her into madness:

Doctor: 'You see, her eyes are open.
Waiting gentle:
Woman: 'Ay, but their sense is shut.' '(V,1,27-8)

She succumbs under the pressure of having suppressed her natural instincts to the advantage of her ambition. Her moral conscience, already awakened, rejects the bloody deeds they have sunk into, and throws her into the despair of saying:

'Here's the smell of the blood still: all the perfumes of Arabia will not sweeten this little hand.' (V,1,55-7)

We may conclude that the opposition that is reinforced in this relationship is of two kinds: a) inactivity versus action; b) madness leading to apathy versus madness leading to action.

As we have seen, through the confronting of Macbeth and each of the three characters, main faults and qualities are effectively emphasized. Our vision of Macbeth as a character is broadened by this kaleidoscopic perspective. And this positively enriches our understanding and appreciation of the play.

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A Structuralist Analysis of *Exiles*

Irene Ferreira de Sousa Eisenberg

Exiles[1] is a recalcitrant text, "one of the more difficult of Joyce's works", as Tindall puts it.[2] One of its basic themes is the problem of freedom and creativity. Farrell[3] and Macleod[4], though differing on many issues, deal with at least one subject common to both Joyce and Ibsen: "the dilemma of freedom and responsibility, and the problem of the status of the artist."[5] Of course, Joyce was also fictionalizing a series of incidents in his own life, as Ellman has shown.[6] And one of the aspects which Joyce, Richard, and Stephen Dedalus share is the belief that "isolation is the first principle of artistic economy."[7] Referring to *When We Dead Awaken*, Joyce suggested "the idea of creativity and freedom as being central" to Ibsen's work, as Farrell notes.[8] Joyce's phrase would still hold true if applied to his own drama.

Discussing the play as a dramatic failure, Levin remarks that "in identifying himself with Richard, he (Joyce) cuts himself off his other characters";[9] the same solipsistic attitude is to be found in Richard's relationship to the other characters. Farrell accepts the esthetic analogy, proposing that Richard, the artist, molded his wife as an artistic creation, and then strives to liberate himself, insisting that she "be as free as he".[10] Goldman insists that "the 'author' (Richard) , is careful not to restrict the freedom of will of his 'creation' (Bertha) ."[11]

Ellmann mentions the duality in Richard, for "as a searcher for freedom he cannot try to control another, as a necessary victim he cannot resist for himself."[12] By comparing *Exiles* and *Candida*, Tindall says: "It resembles triangular *Candida*, to be

sure — in reverse, perhaps with emphasis not here but there."[13] Both works are concerned with "freedom, choice, and loyalty,"[14] but to Tindall, *Exiles* is a "*Candida* gone morbid."[15]

Joyce's notes to *Exiles* suggest two Biblical parallels:that of Richard to the Prodigal Son, and of Bertha to Jesus.[16] Tindall goes further still, and compares Richard to Jesus, Satan, and God, and Robert to Judas.[17] Kenner sees Richard as an "ape of God" who sets the others in a garden of temptation.[18] Another investigation of Biblical parallels is that of Cixous,[19] who relates Robert to Adam, Bertha to Eve, and Richard to an artist-god and Satan.

By examining the recurrent ideas mentioned above (Richard as a searcher for freedom and as creator, the other characters as his creations), we will attempt to show why the protagonist is depicted as a negative god, obsessed with the prospect of total freedom, and to what extent the destruction of links with his creation (secondary characters) is a necessary condition for the acquisition of this goal. We will also see how, by eliminating those links, Richard provokes his own defeat.

In analysing *Exiles* we have chosen to use the critical tools provided by the structuralist method, which have never been applied to this play. Since all structuralist analysis supposes the presence of a constant system capable of generating diverse variations, we feel that this method is appropriate for use with *Exiles*. This play may be compared to portions of the *Bible*,thus constituting an adequate "corpus" (works chosen for use in the comparative analysis).

We have already pointed out some Biblical parallels in *Exiles*. As a result of these parallels, which will be further discussed later, it is possible to employ segments of the Bible as our "given" structure, and to consider *Exiles* as a transformation of that structure.

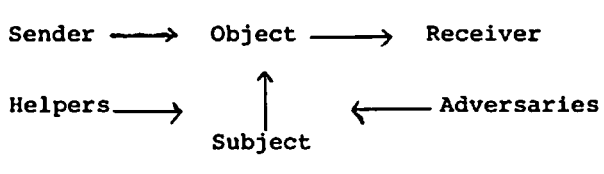
Besides the Biblical elements, we must notice the psychological evolution of the characters. As in the structural model

proposed by Greimas, whose method we will be employing, the subject-hero,[20] tempted with a type of absolute, has to destroy a secondary character in order to obtain his goal, thus provoking his own fall. It is at the level of the distribution of roles and analyzing the game of acceptance and refusal among the characters that we will try to clarify the position of Richard as creator-god or destructive Satan, contrasting the basic roles of creator and creations, temptor and tempted, in both the Bible and *Exiles*.

The actantial system of A.J. Greimas[21] is, among the various structuralist methods used in analysing constant structures in narrations,[22] particularly suitable for use with Joyce's work. Greimas' method focuses on the roles played by the characters (or, as he prefers to call them, the actors[23]), and it is therefore appropriate to use with a "corpus" in which unity is derived first from the repetition of basic roles (the creator/created ones, temptor/tempted ones), and second from the relationships of the characters, which follow a certain pattern, as suggested before.

By employing Greimas' concept of the actant we will attempt to clarify the relationships of the characters in *Exiles*. The actant, the most important concept in Greimas's system, is a class or group of roles, defined by their sphere of action.The actants are classified into three opposing types, subject-object, sender-receiver, and helper-adversary. The relationships between them can be seen in the following diagram:

Diagram I



As the diagram shows,

1) By definition, the subject (in *Exiles*, Richard) desires the object (freedom).
2) The characters and forces, internal or external, which assist the subject in his quest are called helpers,and the opposing characters and forces, adversaries.
3) All support which comes from a superior level, marvellous or supernatural, is called the sender, and works in the following way:

Sender —— Benefit(Object) ——→ Receiver

4) The sender is the force which lures the subject with the object. Its function is to give the first order to the subject, so that he acts. The sender in *Exiles* is double, splitting into divine and demonic forms, or simply divinity and demon.
5) The receiver is, of course, the recipient of the benefit present in the object. The receiver may or may not be the same as the subject. Richard strives to obtain freedom for himself, and it seems that he is the only possible receiver of the object he is trying so hard to get hold of. However, he struggles to pose as if he were amalgamating freedom for Bertha, who would then be the receiver.

The articulation of the quest present in the narration is represented in Diagram II.

Diagram II: The Actants

Subject	Sender	Object of Desire	Adversary
Richard	Divinity (S)	Creative freedom	Robert
	Demon ($\bar{S}$)	Total liberty	Bertha

S Sacred
$\bar{S}$ Anti-sacred

The subject (Richard) wants the object ("freedom," in the broad sense). In order to acquire it Richard has to go through "tests", that is, he must overcome certain obstacles. The first test (qualifying) always starts with the order of the sender (divinity, demon) to the subject to accomplish the test. The order is accepted by the subject, who is said to have been tempted and then yielded to temptation.

In structural terms,the order,defined by the semic category "command" versus "acceptance",undergoes a negative transformation, to become "tempting" versus "succumbing".The subject,Richard,is thus tempted by sender (divinity,demon) with the object of his desire(freedom). A contract is thus established between the sender (divinity,demon) and Richard, who will go on his mission. The contract is discussed later on.

In each test, the subject meets an adversary, whom he may destroy in a "combat", thus acquiring the object. In this case the subject is destroyed, since the acquisition arose from temptation. If the adversary wins, the subject realizes that he was tempted and bears witness to the destruction of the object. Richard goes through both types of evolution, on different levels.

Depicting himself as a god, Richard feels in the end that he cannot release himself by creating his own freedom out of the subjection of his creations. Also, as Cixous remarks, "Richard is God only in his own mind,"[24] since he is unable to know what happened between Bertha and Robert, and, consequently , since he is not omniscient, he is not free to control the lives of his art-creations. His fate is to be maintained in a state of perpetual doubt.

Richard undergoes tests which oppose each other due to a semic investment enunciated by the category sacred (S) versus anti-sacred ($\bar{S}$). The senders divinity (S) and demon ($\bar{S}$) represent the polarities of that opposition, and, of course, oppose each other.

Richard is tempted by both senders, thus depicting the internal duality of his split personality, for this "God, divided

into father and son, is also divided into sadist... and masochist; he is both creator and destroyer."[25]

Moreover, this double temptation serves another purpose: it stresses Richard's complexity, revealing the double imperfection of this god: while in Genesis the temptation derives only from the negative force, the Devil, in *Exiles* the creator tempts his creations, just as he himself is being lured by two opposing forces. The dynamics of human/non-human relationships serve here to stress the fact that Richard is a mock-god. In a way, he is the sender to Bertha and Robert.

Tindall reveals that Richard plays the role of Satan, though "he thinks himself God."[26] He is even called a devil by Robert, Bertha, and Brigid, as Tindall verifies.[27] Explaining the paradoxical nature of this god, Cixous declares: "the striking and embarrassing feature of this god is his insecurity: he has no confidence in anyone."[28] The ambiguities of Richard's behavior pervade the play to such an extent that its outcome leaves a s sense of insecurity and doubt not only in the characters, but also in the readers.

Throughout the narration Richard is portrayed as the creator-artist, yet here "the creative act can only spring from an act of destruction."[29] Actually this comes as a projection of the protagonist's dialectical nature. Likewise, since the account both parallels and reverses that of Genesis, Richard's "creation of his world " followed by the "fall of his creatures," emphasizes the view of Richard as a negative god. For while God created man in his image and He could rest because "it was good," Richard is disgu sted at what he is able to accomplish. He is unable to perceive that the imperfections of his work are a mirror of his own flaws: an imperfect god can merely produce imperfect creations. Isn't Robert, his disciple, "a pale reflection"[30] of himself? The reflection may be pale, but it is a reflection as well. Furthermore, the fall of Richard's creations, which he himself provckes, is, in one way, his own fall, and it happens because, by denying the other characters the right to

choose (a right he carefully keeps for himself), Richard isolates himself completely. Dialectically, it seems that he creates a new Richard in the process , for Robert leaves , becoming, in his own way, another exile.

We have already stated that Richard's object of desire is freeedom. As could be expected from the alchemy of this divided character, freedom to Richard becomes a complex problem because although his motives are not pure, he searches for an ideal of purity. From this dichotomy it is clear that Richard's ideal freedom articulates in a binary opposition, which may be described as: freedom marked (by divinity) versus freedom non-marked

This implies that "Divine freedom" is positive, creative, because it is "marked". "Demonic liberty" is negative, destructive, because it lacks those qualities related to the index "divinity"; it is thus the "non-marked" or zero-degree term of the opposition.[31]

When tempted by divine freedom, Richard aims at the "freedom of the priestly artist".[32] At this level freedom is a tool to create art; it is also freedom to know, to believe, and to love. The temptation here is "divine", since Richard becomes the giver of life, the sun, the god who manipulates life into art. He creates and molds Robert, his disciple; Beatrice, his inspiration; and Bertha, the woman. All three are created in his image. Richard's jealousy, if any in this regard, is that of the artist toward his art, a creative jealousy. Since he is the sun, the other characters revolve around him, forming a sort of solar system. Bertha is called the moon by Robert. The significance of the image here, aside from Joyce's explanation in his notes,[33] may be connected with the idea that the Moon could only be the second, never the first in any medieval hierarchy. Of course,the moon has its source of life and light in the sun; Bertha would not be able to survive without her sun.

Richard is obsessed with the prospect of breaking all the

bonds which tie him to the others. He makes it clear that he wants to liberate himself from Beatrice, Bertha, and Robert, incarnations respectively of inspiration, love, and friendship. Since he is no real god, he cannot help identifying himself with his creations. Richard's definition of identity stems from the awareness that he is the continuation and complement of his creations. This is stressed by the complementarity of Richard's and Robert's personalities ("an automystic and an automobile," in Joyce's notes[34]), and that of Richard and Bertha. But he aims at being God, so he cannot accept this. His obsession with the removal of human links emanates from his struggle to find his real self. Richard wishes to regain his own identity, because his fusion with his creations makes him feel himself less divine;on the other hand, by trying to give light to his creations so that they can live, he notices that their relationship turns into over-identification with him, smothering their creator-god. By defining his identity through the projections he casts on Robert, Bertha, and Beatrice, he can observe,as in a mirror,the reflections of his own identity on them. His image is gradually clarified, and the creator would rather destroy his mirror than accept what he sees, a mere imperfect man. Posing as a god, Richard feels superior to his creations, and refuses to identify with them, calling them imperfect. Determined to disentagle himself from those embryonic forms, mere distorted images of the deity, Richard feels free to impose his views on them and force them to follow his example, and set themselves free. However, an "artist cannot endow his creation with complete freedom, even if he so desires; there is something recalcitrant, something given about it which permits at best an ambivalence... in which the creation can attain in the creator's eyes at most a borderline possibility, between the condition of freedom and fixity."[35]

It might be argued that Richard is aware of this fact.However, he insists on offering Bertha and Robert total freedom, though he knows that they will not be able to handle it. Robert tells his master: "you have driven me up to this point. She

(Bertha) and I have only obeyed your will."[36] And when Robert suggests that they fight together and freely "against the spectre of fidelity... and friendship,"[37] Richard implies that he is not free by telling Robert: "Fight your part alone. I will not free you. Leave me to fight mine."[38] A paradox exists here:the Biblical God, a real and free one, does not bestow total freedom on his creations, and He so states. Richard, on the other hand, presents his "people" with something he is still searching for, pretending that he does not lack it and that he is not using constraint over the others. The real God insists on links with men; the demigod demands total freedom. The true God knows total freedom, and he knows that men cannot handle it. Moreover, God does not depend on his creations to be free. The demigod lacks freedom, assumes that he can be as free as God, and insists on breaking all bonds with his creations.

Yet, at this moment, if Richard is free, his is human freedom. When man is totally free, he is wholly responsible for his acts. Richard is now responsible for the people he molded; all the same, he rejects all human commitments, engaged as he is in his own freedom. Paradoxically, this will only be acquired through the cooperation of the human beings which he has brought to life.

Richard must destroy all the links which tie him to them, so that he is set free from the disciple who will betray him, from the security in his love relationship with Bertha, and from the admiration of Beatrice.

The dialectical movement from the divine artist to the demonic destructor may explain Richard's wish to be betrayed, since in a way he is betraying his creatures by forcing them to accept his gift of freedom. At this point Richard is refusing responsibility for his acts, and the weight of freedom becomes anguish to him. The freedom he is tempted by here is the demonic one, the total liberty to destroy, to doubt, to hurt, and to betray.

If the first Sender could be called divine, the second one is demonic. The double temptation Richard undergoes is made stronger by an error on his part: he confuses the possibility of a utopic, "divinely" free world with his sado-masochistic desire

to be unconstrained in order to hurt, destroy, doubt, and suffer betrayal. The problem at this level is one of satanic pride and guilt, since Richard cannot bear Bertha's innocence as compared to his own guilt. On the other hand, the problem might be existential, for as Jaspers notes, "freedom is always a failure,and its maintainance necessarily means the acceptance of guilt. To live and to struggle unceasingly in such failure and risk is to exist as a man."[39]

As mentioned before, Richard undergoes tests which reflect the dualistic motion of his self. We have already discussed the dualism inherent in Richard's tortured personality. The tests he endures in pursuit of his object of desire will be called "sacred" when the Sender is Divinity and "Anti-sacred" when it is Demon. Diagram III illustrates the tests.

Diagram III: The Tests

Subject	Established Contract	Combats	Contract Accomplished
Richard	Creation of a free world (S)	←Against: Robert, ↑ Beatrice (Helper:Bertha)	Adversary destroyed; object (freedom) acquired
	Destruction of constraints ($\bar{S}$)	←Against: Beatrice, ↑ Bertha (Helper:Robert)	Adversary — Helper Object (liberty) destroyed
	Creation and destruction (S,$\bar{S}$)	Against: Beatrice — Bertha — Robert —	Adversary destroyed Adversary — Helper Adversary destroyed
			Object (liberty) destroyed Object (freedom) acquired

Following the parallel of *Exiles* to the creation story found in Genesis, we will notice that both narrations deal with the creation and the fall of man. Richard's creation of his world precedes the action of the play.

The first test is Sacred because Richard is tempted by the Divinity with his object of desire, which, as we know, is creative freedom. The implicit contract between Richard and Divinity consists in the creation of a perfectly innocent world, a form of utopic free universe; to populate it Richard must re-create the three human beings which surround him. In a certain way this implies the destruction of their old selves, yet it is a creative act. Richard is here a god. He creates his disciple, Robert, a pale image of himself, thus a man, made in the image of his god. He then creates the woman, since Bertha becomes one only after knowing Richard, and "her age is the completion of a lunar rhythm,"[40] an implication of her being a complete woman now. As will be seen shortly, Robert and Bertha will play the roles of Adam and Eve, reinforcing the assumption of their being the man and the woman of Richard's universe.

Trying to decipher some of the connotations of the names may also provide us with some cues or raise more questions: first of all, there is a clear complementarity in the pair Ro-Bertha;[41] they are two, but they also sound like one. They may be Richard's humanity. The dictionary tells us that both Robert and Bertha share the same "brightness". The implication may be ironic, because both depend on external light, revolving around the "sun". As to Richard's last name, Rowan, Tindall wonders whether its meaning "tree of life" might imply life or creative power.[42] Still at this time Richard creates his inspiration, Beatrice; the "perfect happiness" of her name or the Dantean vision she might elicit are ironic. In his notes Joyce likens her mind to an "abandoned cold temple."[43] In this sense she seems to be a symbol of the church Richard is creating.

In this first test a combat takes place between Richard and Robert, who plays the Adversary against Richard's decision of

leaving Ireland and taking Bertha with him. Since Robert needs his master and also Bertha, he fights to keep both near him, but he is eliminated. The couple is free to leave. Since Beatrice depends emotionally on Richard, she also acts as an Adversary in this combat. Bertha is a Helper to Richard; however, since Richard uses Bertha's love as a simple exterior support for his personal means, the Helper here plays the role of participant. In grammatical terms, it is the adjective which modifies the subject.

The second test is Anti-sacred, and it occurs when the play is in action. This test parallels the fall of man in Genesis. However, here the creator, Richard, is tempted by the Demon,and a contract is established which must lead to the destruction of all constraints. The obstacle to Richard's liberty is the relationship he developed with the other three characters. This test presents two combats.

The first combat is a confrontation between Richard and Beatrice in which she is shown her inability to love, to give herself "freely and wholly."[44] In a way, Richard is successful in his attempt to make her detach herself from him, and admire him less: God reminds the church that she should not be confused with him. However, Beatrice is reminded of her complete loneliness.

Richard follows his plan of acquiring his own freedom, by imposing it on Bertha. His creation of Adam and Eve is a reversal of the Biblical one. Unlike God, Richard wants the man and the woman to eat of the tree of knowledge, transforming himself into his own temptation and tempting Adam and Eve. Though he mentions to Robert the "faith of the master in the disciple who will betray him,"[45] this master abandons his creations, and he is the one who betrays them. This is so because "as an 'ape of God' he has dominated everyone, forced them to a recognition of their isolation, and set them in the garden for their temptation."[46]

First, during the second combat, Bertha plays the role of Helper and Adversary to Richard. Later on, she realizes that he

is playing the role of the devil, and she becomes his Adversary. Robert feels that this is his opportunity to conquer Bertha, and he assumes the role of Helper to Richard. However, the creation of Richard's freedom serves merely to emphasize the "separatedness" of Bertha and Robert. While revealing a need to be betrayed by Robert and Bertha, Richard must only be compensating for his own betrayal to them. He prepares the scene of sin as a ritual, creating Eden for Adam and Eve. On leaving, he says: "My part is ended here,"[48] meaning that he has played his part in the liturgy as an acolyte.

He is successful in this combat, for Bertha meets Robert, stays there, and knows the loneliness of her freedom, to serve Richard, or to prove his love to her.

In the third test Richard has a confrontation with each one of his creations. This test is both Sacred and Anti-sacred, because of the syncretism present in the subject. The contract here is a combination of creation and destruction. Depending on the perspective taken by the observer, Richard either wins or loses all the combats.

The Adversary of the first combat is Beatrice, whom Richard defeats, for she is reacting, freeing herself. To Richard the "isle is full of voices," echoing Prospero, who is also a "man of letters, betrayed and exiled."[48] Now more than ever, Richard feels these three qualities with all their weight. And the demons that he stirred are swarming his universe. In this sense he is a loser.

In the second combat, Richard enjoys victory over Bertha. He shows her that she is free now, and she understands it, accepting her utter loneliness. But he is unable to know what happened between her and Robert, so he is also a loser.

The Adversary in the third combat is Robert, who is leaving, thus repeating Richard's exilic gesture of nine years ago. Richard wins, since his disciple is set free, as he wanted.He loses, also, because Robert is not following the path delineated by the master, and because Richard's doubt becomes unbearable on

a confrontation with Robert.

The structure thus elaborated serves to interpret psychologically the two basic themes related to the search for the absolute in the play: the problems of sincerity and error. The contract between the Subject and the Sender is considered negative because it is a result of the Subject's temptation to acquire an Object which will be destructive to him. So Richard's freedom will lead to the destruction of the human links he previously enjoyed. If one follows this rationale a success on the structural level, that is, the acquisition of the object, seems to demonstrate a defeat of the Subject's will,since he succumbs to temptation. The object of a temptation is negative, and it necessarily leads the Subject to a fall. And as we pointed out before, Richard cannot bear the weight of the existential freedom without paying for it. He is totally responsible for his freedom and this turns into a burden. Perhaps he will even hate it afterwards.

As stressed throughout this paper, the structural symbolism of the play illustrates the interplay of the divine and the demonic in Richard, the god-artisan. His struggle against the temptation of the absolute may also be felt structurally in the presence of an adversary in each combat; the adversaries may be seen as an extension of the interior resistance of Richard to his desire, because, in one way, the creations are part of their artisan. Richard is the exile who is able to exile the others from him, and among themselves, in the same fashion as he is exiled from them. If they are really free, what is left to all of them is an attempt to doubt; in the Husserlian sense: "The attempt to doubt everything has its place in the realm of our perfect freedom."[49] Moreover, these people are to suffer "the ultimate loneliness and doubt that must possess the soul, the inevitable exile of man."[50]

N O T E S

[1]James Joyce, *Exiles*, ed. Padraic Colum (New York: Viking, 1951). This edition contains Joyce's notes for the play. All subsequent references to this work are to this edition.

[2]William York Tindall, *A Reader's Guide to James Joyce* (London: Thames and Hudson, 1970), p. 105.

[3]James T. Farrell, "Exiles and Ibsen," in *James Joyce: Two Decades of Criticism*, ed. Seon Givens (New York:Vanguard, 1948), pp.95-131.

[4]Vivienne Koch Macleod, "The Influence of Ibsen on Joyce," PMLA, 60 (1945), 879-98.

[5]Marvin Magalaner and Richard M. Kain, *Joyce: The Man, The Work, The Reputation* (New York: New York University Press, 1956), p.131.

[6]Richard Ellmann, *James Joyce* (New York: Oxford University Press, 1959); see especially pp. 286-90, 326-28, and 366, where biographical background to the play is furnished.

[7]*Stephen Hero*, p. 33, as quoted by A. Walton Litz, *James Joyce* (Princeton: Hippocrene, 1972), p. 74.

[8]Farrell, p. 103.

[9]Harry Levin, *James Joyce, A Critical Introduction* (Norfolk, Connecticut: New Directions, 1941), p. 38.

[10]Farrell, p. 114.

[11]Arnold Goldman, *The Joyce Paradox* (Evanston: Northwestern Univ. Press, 1966), p. 166.

[12]Ellmann, p. 366.

[13]Tindall, p. 108.

[14]Tindall, p. 109.

[15]Tindall, p. 112.

[16]*Exiles*, pp. 114- 15.

[17]Tindall, p. 119.

[18]Hugh Kenner, "Joyce's *Exiles*," *Hudson Review*, 5 (1952).

[19]Hélène Cixous, *The Exile of James Joyce*, trans. Sally A. J. Purcell (New York: David Lewis, 1972), pp. 527-63.

[20]Sometimes Greimas employs the term "hero", preferred by Propp, together with *subject*.

[21]The actantial method is discussed by A. J. Greimas in *Sémantique structural. Recherche de méthode* (Paris: Larousse, 1963), pp. 172-91. The method is a combination of two models: a linguistic one, and a psychoanalytic one.

[22]Myths, short stories, dramas are considered "dramatized narratives" or "narrations" by Greimas.

[23]In Greimas, the *roles* are social, anonym. The *actor* is a figurative entity, susceptible of individualization (e.g., Richard), who may play one or more roles. The *actant* is constituted by bundles of functions (e.g. subject versus object). One actor may play more than one actant, e.g. Richard is the Subject and the Receiver.

[24]Cixous, p. 547.

[25]Cixous, p. 561.

[26]Tindall, p. 120.

[27]Tindall, p. 120. The references to Richard as a devil occur on pp. 51,58,90 in our edition of *Exiles*.

[28]Cixous, p. 543.

[29]Cixous, p. 543.

[30]*Exiles*, p. 21.

[31]These oppositions follow the model for paradigmatic oppositions proposed by Cantineau and Roland Barthes in *Communications*, 4 (1964), 123-26.

[32]Farrell, p. 129. Farrell discusses here the significance of freedom in Ibsen and Joyce, pointing out that "Ibsen's freedom is the freedom of man; Joyce's is the freedom of the priestly artist."

[33]*Exiles*,p. 113. "Robert likens her (Bertha) to the moon because of her dress. Her age 28 is the completion of a lunar rhythm". (Joyce's notes to the play.)

[34]*Exiles*, p. 113.

[35]Goldman, p. 167.

[36]*Exiles*, p. 71.

[37]*Exiles*, pp. 70-71.

[38]*Exiles*, p. 71.

[39]John Wild, *The Challenge of Existencialism* (Bloomington:Indiana University Press, 1970), p. 158.

[40]*Exiles*, p. 133. (Joyce's notes to the play.)

[41]Though we are aware that the choice of the name "Robert" must have some relationship to Roberto Prezioso (see note 6), "Bertha" cannot be explained in biographical terms. Moreover, Joyce explores the words so attentively that one might use the dictionary whenever possible, even if it turns out that we only arrive at more questions.

[42]Tindall, p. 106.

[43]*Exiles*, p. 119.

[44]*Exiles*, p. 22.

[45]*Exiles* , p. 44.

[46]Magalaner and Kain. p. 138. The quotation is a paraphrase of Hugh Kenner.

[47]*Exiles*, p. 74.

[48]Tindall, p. 120. The allusion refers to Caliban's utterance: "The isle is full of noises," contends Tindall.

[49]*The Age of Analysis*, ed. Morton White (New York: Mentor, 1955), p. 111. The quotation comes from the chapter by Edmund Husserl on "Phenomenology". Author's italics.

[50]Magalaner and Kain, p. 137.

Edith Wharton's *The Age of Innocence*

Thomas LaBorie Burns

The world of *The Age of Innocence* is New York upper-class leisured society. There is a "younger set" that, surprisingly enough to us moderns, yields to its older relatives in matters of how to think and behave. The families that make up the characters in the novel are, then, remarkable conservative, because of the time they lived, 'the early seventies', i.e. the last quarter of the nineteenth century, the 1870's, and also because of the social environment in which they moved and found the meanings of their lives. One thing the reader notices right away is that New York must have been a very different place a hundred years ago. The "vehicles" referred to throughout the novel are carriages, of varying types in accordance with the status of the occupants, and telephones are talked about as in the process of being invented. Another noteworthy thing is that the characters, like those in Henry James's novels, never seem to be working. They are "leisured" in the true economic sense, either having inherited money or having made it through being part of an important family with the resulting good connections. The main male character, Newton Archer, for example, is a lawyer in a conservative law firm, but he hardly kills himself working and even comes to feel that he is in the office more because it is proper that a man have a profession than because he is needed there. Business, it is to be noted, is nowhere in evidence, and is, indeed, considered a bit vulgar by these well-bred families. It is unthinkable, for example, that Countess Olenska should go to Mrs. Struthers' house on Sunday evenings only because the latter is a rich windowof a man who made his fortune in shoe polish.

Money, although it lies at the root of these characters' lives, is rarely referred to, for their greatest horror is of being vulgar, of doing something which is "bad form". The

rules, traditions, conventions, what is "done", and most of all, what is not even referred to or spoken of (such as Ellen's disreputable past) are all things which are sacred, and yet they are things that are difficult to observe and follow without error. The social pyramid is made up of what Mrs. Wharton keeps calling "old" New York, and what she has called in other stories and novels "the invaders", or the new money, earned in business, which poured into the city in the decades following the Civil War (which ended in 1865, or a few years before the time of the novel). This new money was necessary, of course, and was eventually accepted, as evidenced by the intermarriage of the old aristocratic families with the new ones like the Beauforts. But "old New York" continued to feel itself superior in all social questions and the tension, often comic, between the old and the new New York families is a major focal point of the novel.

Newland Archer is a dilettante, a rather effete young man to whom "few things seemed...more awful than an offence against 'Taste', that far-off divinity of whom 'Form' was the mere visible representative and viceregent". Newland, at least in the beginning, strikes us as somewhat of a prig and ever so slightly ridiculous. The satire attendant upon what is considered in his circle "proper" is constant and heavy. As the novel progresses, however, he becomes more sympathetic as he begins to question his own values, up to then always taken for granted, and those of his family and friends. His awakening coincides with his falling in love with Ellen, the Countess Olenska, but it is gradually developed through what he hears people say about her, and what he himself can observe, her freer spontaneous behavior. He seys, almost surprising himself, that "women ought to be as free as we are", during his initial and gallant defense of the Countess, undertaken for the sake of the name of his fiancé's family, the Countess being a close relative. He is not here being the liberated male nor does he ever achieve such a status; he is merely defending the woman against the inevitable slander of

stodgy New York society because he feels that the scandal reflects adversely on May, the Countess's cousin and his own young, "abysmally pure" (his words) wife-to-be. Women can only be free as long as they conform to the expectations of men. "'Nice' women, however wronged, would never claim the kind of freedom he meant". This is a reference to the two kinds of women in the society — those, "who are loved and respected" and those "who are enjoyed and pitied". And we might add, ignored, like the pathetic married woman, Mrs. Rushworth, with whom Newland has had an affair. For men, such affairs are "adventures", but for women they are something to be ashamed of. "It was...foolish of the man, but somehow criminal of the woman".

This double standard of conduct is satirized, but it is also the central dramatic dilemma of the Countess, and in an oblique way, of May. Newland's words, quoted above, about "nice" women is an explicit repudiation of the immoral foreign (in Ellen's case foreign-cultured) women, the type Henry James portrayed in *The Ambassadors* in the person of Madame Vionnet, a threat to the virtue and safe domestic futures of young American males. Mrs.Archer, Newland's mother, thinks smugly about how all men must have their "little adventure" before their families try to get them married off to a "nice girl", to which the old Mrs.Mingott would agree, and at the earliest possible age so that the wife can "look after" the man. Women are seen, then, as preying on masculine innocence, and men haven't a real chance with such conniving creatures. With regard to May, Newland has an insight into a social system whereby nice girls are also trapped, but in a different way. If the women who are to be enjoyed have to live with "talk", the nice girls are doomed to an innocence which allows them no freedom. Thinking of May, Newland wonders:

> What could he and she really know of each other, since it was his duty, as a "decent" fellow, to conceal his past from her, and hers, as a marriageable girl, to have no past to conceal?

Trained by a "conspiracy of mothers and aunts and grandmothers and long-dead ancestresses" — i.e. tradition handed down through the female line where "all this frankness and innocence were only an artificial product", nice girls hadn't a chance.

Newland is thinking these thoughts because he has just became engaged to a "nice" girl and is afraid, nay, knows, that his marriage will turn out like all the other marriages of that type he is familiar with. The romance is so carefully tended in the young lady that she prefers to "think about" going off to Europe before the conventional time rather than actually do it. That is, the dream is more important than the reality, and the "conspiracy" of society, embodied in other women who have presumably also been disillusioned but dare not face the fact, ensures that convention will triumph over love, as indeed it must. As Newland pleads with May more and more, he cannot comprehend her reluctance to give into her feelings rather than what is correct until his relationship with a woman who is not considered nice has begun to develop. The simplicity of his old views are challenged by his perception of the Countess's situation. She is so delightfully unfettered by the sort of thing May yields to, and therefore is so penetrating in her remarks. She wants a divorce because, we find out later, she wants to be "free" for Newland. He doesn't know this but he is in the beginning against the divorce because he still thinks like old New York. When he sees the family and their lawyer raise their objections, however, he immediately feels the injustice of their views. Following orders, he talks her out of it, only to learn the truth to his sorrow.

Like Chad Newsome in *The Ambassadors*, Archer can see the charms of someone who is not nice in the conventional away, a woman who has sophistication and experience precisely because she was not part of the conspiracy to become dishonestly innocent in order to attract a husband. Both Mme. Vionnet and Mme. Olenska have had husbands who have been unsatisfactory and both feel that that doesn't disqualify them from society; they are the type of charming independent woman, who is beautiful in a more mature style, that would attract a man disillusioned with the vacancy of a young virgin. Like Chad,

Archer resists the secure but bleakly banal future of marriage with one of these, and like Chad he becomes resigned to his fate by repressing his chance for freedom that his feeling for the Countess represents and submitting to the code of society by which a young man must marry the girl he is engaged to. It is a nice touch of irony that the device by which the engagement is prolonged is the preparation of a proper bridal trousseau, "twelve dozen of everything" all hand-worked, in itself a female social rite. Newland is doubly frustrated, first by not being able to get married right away and then by not being able to get out of it, both times by the code of what is "done". Even after he is married, he is surprised that "life should be going on in the old way when his own reactions to it had so completely changed". Underneath, he has the feeling that the "right" thing to do is the end of a meaningful life. "Not she (May) has changed; she is everything he could have hoped for. But what if 'niceness' carried to that supreme degree were only a negation, the curtain dropped before an emptiness"? That is the question as far as marriage to a nice girl is concerned. As for himself, Newland has become, in Edmund Wilson's words, one of those tragic heroes of Wharton, "victims of the group pressure of convention... hungry for emotional or intellectual experience, who find themselves locked in to a small closed system and either destroy themselves by beating their heads against the prison or suffer a living death in resigning themselves to it".

What kind of system was it that commended the allegiance of the important families, so they formed a sort of "tribe" (as Wharton keeps insisting in the novel) ready to close ranks against anyone who might defy the norm?

> They all lived in a kind of hieroglyphic world where the real thing was never said or done or even thought, but only represented by a set of arbitrary signs.

Wharton's allegiance is clearly, in this novel, with individual freedom against the stifling repression of the tribe. Countess Olenska and, to Newland's dismay, her family, are slighted when

the invitations for the dinner given for her are turned down by the "smart younger set" (new money) represented by the hypocritical Lawrence Lefferts, the adulterous setter of style. Here the moral vacancy of cultural Form is exposed, especially in the person of Lefferts, a seducer of other men's wives and therefore in no moral position to snub the Countess for her past. Wharton repudiates the famous double standard by which men need not abide by rules which women must be so careful to observe. Archer ponders this and is disturbed by it but his worry at this point is double-edged. Mrs. Archer, his mother, appeals to Mr. and Mrs. Van der Luyden, king and queen of the old families and final appeal as to what is correct in New York society, and they pronounce on Lefferts' interference by saying that "society has not come to that" — i.e. people who are merely rich dare not snub someone as important as the Mingotts (who sent the invitations). Old New York in the person of Van der Luydens defends the Countess and allays Newland's anxiety by deciding in favor of the old family values. Form, by a nice twist, has been overturned, but only in the name of a higher Form!

Wharton throughout the novel is critical of old New York and its values. Newland's "living death" is indeed a repudiation of all it stands for. The representation of the tribal values of the family before the happiness of the individual, in the way the family crushes Ellen and excludes Newland from the decision to send her back to her husband, is extremely negative. And yet the author is herself ambiguous about old New York. She not only attacks the tradition but defends it, as is shown by Newland's not marrying Ellen after his wife dies. The widower, who sincerely mourns May, thinks:

> It did not so much matter if marriage was a dull duty, as long as it kept the dignity of a duty: lapsing from that it became a mere battle of ugly appetites. Looking about him, he honored his own past, and mourned for it. After all, there was good in the old ways.

Here a reader might validly object that this is just one more example of how completely Newland accepted his repression, but it also bespeaks a sort of troubled peace with the "old ways". Perhaps Wharton herself hadn't resolved the basic conflict between individual freedom and the necessity for social conventions — necessary to prevent the "battle of ugly appetites" and other forms of social chaos. When Newland tells Ellen that he dreams of a place where they can be together, Ellen realistically wants to know where such a place could be. She is the biggest loser because of the rules and yet she defends them. Not breaking the trust which others (the family) have in them is more important than the consummation of their love. She says, "I can't love you unless I give you up". Still Archer wants to have it both ways, and again she understands the world better. She reminds him of the "shabby watering holes" in Europe, the out-of-the-way resort areas where adulterous couples , repudiated by society, end up, and shows him that This is the final outcome of romantic hopes and dreams. Like James, Wharton saw that one of the principal interests in fiction lay between the irreconcilable claims of society and the heart.

In the novel, then, there is tension between the longing for a society of finer sensibilities and that very society's repression of individual desire. The "totem terrors" of Archer's ancestors are said to have "ruled the destinies of his ancestors" much as the Forms of old New York rule him and his fellow characters. The group is repeatedly called a"tribe" because of the closeness of their beliefs and the rigidity of traditional forms to which everyone in the group must submit without question. Here is the pathos of Archer. He is a would-be rebel, sensitive enough to perceive the repression and be disgusted by it and yet not strong enough to decisively act against it. He is crushed by the tribe, who take life "without effusion of blood: the way of people who dreaded scandal more than disease, who placed decency above courage..."

On the other rule, Mrs. Wharton's portrait justifies her title, which is only partly ironic. The Age of Innocence is of

course not all that innocent. But the book is a portrait of an age which the author lived through and, despite her bitter memories, thought was worth saving. Vernon I. Parrington says:

> ... though she laughs at the deification of "form" by the Van der Luydens of Skuytercliff and the tyranny of their rigid social taboos, she loves them too well to suffer them to be forgotten by a careless generation.

The "careless generation" has begun immediately with the Newland's son, Dallas, who has none of the qualms or need for "mysteries" that his father had. Things are simpler for him; he can go right in and greet Madame Olenska. But even he gives to this father's generation credit for "knowing more about each other's private thoughts than we ever had time to find out about our own". It is hard not to hear the voice of the author in these words, for

> She loved old New York with that mixture of grieving affection and protective impatience Faulkner would later feel toward Mississippi and Saul Bellow toward the Jewish neighborhoods of Chicago. (Irving Howe)

Newland Archer, like his creator, "cherished his old New York even when he smiled at it". It seems there was, without irony, good in the old ways after all. In her autobiography, Wharton has written:

> It used to seem to me that the group in which I grew up was like an empty vessel into which no new wine would ever again be poured. Now I see that one of its uses lay in preserving a few drops of an old vintage too rare to be savored by a youthful palate.

Again we think of Dallas and the impatience of the new generation. Although she was the most ruthless critic of old New

York, Wharton herself was too much a part of it not to think it was worth "saving" in fiction. This saving gives the book the "flavor of an historical novel". (Auchincloss)

In considering what evokes the period so well, the first thing that is evident is the close and exact description of clothes, furniture, and homes that we should not be surprised to find coming from one who not only moved in the higher social circles, European and American, but published books titled *The Decoration of Houses* and *Italian Villas and Their Gardens*.To the modern reader, the endless descriptions of rooms almost get in the way of the business of the story, but their precision and detail provide the setting for what is, after all, a story of wealth and the infinite small matters that make up the difference between the correct and the adventurous. The objects in Madame Olenska's poor but interesting house are one way of characterizing her, her aptitude and flair for arrangements and the unexpected individuality of her taste, and work upon Newland's imagination so that he thinks with some despair of the unimaginative rooms of his future mansion with the conventional May.

The description of people are also discriminating and show the firm artistic control of the author at all points in the story. The old tyrant Mrs. Mingott has a body which is "an immense accretion of flesh which descendend on her in middle life like a flood of lava on a doomed city". On her face, "a flight of smooth double chins led down to the dizzy depths of a still-snowy bosom veiled in snowy muslins". The descriptions are pointed as well as comic, like the one of May, who remains "virginal even after marriage , a creation of factitious purity", Diana-like, complete with bow and arrow and dressed in white. Mrs. Wharton's style is clear and straightforward, unlike that of Henry James, of whom she has been said to have been a disciple. Her prose, whether ironic or descriptive, is a fine instrument for both comedy and the near-tragic destinies of her characters in this masterpiece about a "world of faint implications and pale delicacies".

Narrative Technique in *The Good Soldier*

Stela Arnold

In the dedicatory letter to Stella (Bowen) Ford, Ford Madox Ford wrote that, at a certain point in his life, he decided to put in a novel all he knew about writing to produce the Auk's egg of a career ordaíned to end at the age of forty. He was mistaken as far as his literary career was concerned, for many more books would be written in times to come. However, in the critics' appraisal *The Good Soldier* remains his swam song, his Auk's egg. In this work we can see the results of Ford's endless studies of the form of the novel, done alone or with Conrad during the years of their partnership, and it is generally agreed that, through its unity of form and substance, technique and theme, Ford reveals himself at his best.

The book is structurally divided into four parts. While this division has been frequently used by other novelists, in *The Good Soldier* it receives a different treatment since the parts are not arranged in a chronological order. The reasons for this rejection of chronological sequence are given by the first-person narrator, John Dowell, in part one, chapter two:

> I don't know how it is best to put this thing down-whether it would be better to try and tell it from this distance of time, as it reached me from the lips of Leonora or from those of Edward himself. So I shall just imagine myself for a fortnight or so at one side of the fireplace of a country cottage, with a sympathetic soul opposite me.[1]

By proposing to adopt this method of story-telling, Dowell and, by extension, Ford, also proposes to subordinate the narrative to the revelation of the moment, a fact that brings forth the violation of common conventions of structure and orderly arrangement of parts, for "when one discusses an affair, a long and sad affair — one goes back, one goes forward."[2] The novel, as Dowell talks reminiscently, moves back

and forth and from the vantage point of the present, the narrator proceeds to a reconstruction of the past.

This reconstruction is accomplished by means of impressions which flash through the narrator's mind. Thus, he first talks about some crucial events that took place in a very hot summer of 1904, in August, when he and his wife, Florence, met the Ashburnhams (Edward and Leonora) and also witnessed the death of Mrs. Maidan . In part two, Dowell shifts back further in time and gives the listener-reader a brief account of his life to the day of August 4, 1913, the date of Florence's death. After the unfolding of his own story, he goes back to Edward ane Leonora Ashburham in part three and recounts their lives to the autumn of 1913. In part four the remaining veils are lifted, and, with the revelation of the ultimate consequences of Florence's death, the narrative is brought to the present time again.

Although the narrative appears inconsecutive and vague in outline, as Dowell himself points out, "I have, I am aware, told this story in a very rambling way so that it may be difficult for anyone to find his path through what may be a sort of maze"[3], it is not difficult for the reader to perceive that an internal relationship among the events, evoked in the narrator's mind, is the force that brings them together in his remembrance, even though they might have occurred at different points in the past. Dowell's central role in the novel is that of a "linking consciousness", that is, he holds the story together by connecting the various parts and imposing order on a conglomerate of impressions. Of course, this is also the problem for we don't quite trust his connections, and, throughout the narrative, we are called to make the necessary accommodations between Dowell's vision and our own.

Moving freely within two chronologically different plans of development, those of time present and time past, Dowell makes abundant use of free associations, while information

about the characters and their lives is given in bursts, through partial disclosures. He depicts the "four square coterie" as directed by his emotions, pausing randomly to dissect the lives of individuals, describing people and events according to the effect they have produced upon him. In doing so Dowell bestows upon the narrative method a realism of presentation harder to achieve by using conventional time-sequence patterns. The reader is confronted not with a detached omniscient narrator, but with a witness emotionally involved in what is being rendered by his memory.

To illustrate the process of free association mentioned above, let us first look into the passage on Peire Vidal, narrated in part one, chapter II. The occasion for the story is apparently the memory of Provence (a place beloved by Ford), where even "the saddest stories are gay". With the image of Provence in the background, Dowell invites his listener to "consider the lamentable story of Peire Vidal", but leaves the invitation floating in the air and suddenly starts talking about Florence and himself, two years before, motoring from Biarritz to Las Tours. Las Tours, he explains, was the way from France to Provence, and it was "poor dear Florence who wanted to go to Las Tours."[4] From Las Tours and Florence, Dowell turns to the listener in an attempt to explain the reasons for his digressions: he is trying to show us the sort of life it was he and Florence led and the kind of woman she was. Of course, the explanation is not very enlightening and the listener-reader, who hasn't forgotten the opening invitation, is still left to wonder as to what all that has to do with the story of Peire Vidal. Proceeding on in his association, Dowell mentions Florence's aunt and the doctors who had advised him to keep his wife from any sort of excitement for fear that her heart would "cease to beat." Because of her "heart", his life had been transformed into that of the guardian of Florence's existence, and, in order to keep that "bright thing" in existence, it had been necessary to get

her interested in more "spiritual" matters, like culture. At this point, light is thrown on the first link in the chain, the story of Peire Vidal, for "his story is culture and I had to head her towards culture."[5] Culture then works as the key symbol of his relationship with Florence, and everything related to culture is also related to him and Florence, the kind of life they led, what Florence was like. He is now ready to narrate the factual story of Peire, whose content in itself is meaningless to the plot, its sole importance coming from the fact that by meaning culture it somehow helps to explain Florence's and Dowell's mode of life; as we can notice, Dowell's mind works under some principle of inner logic, and the associations do not occur so gratuitously as we would suppose.

Gradual revelation becomes essential to the creation of effect made all-important in *The Good Soldier* because of the submission of the narrative to the narrator's mood. The significance of effect on a novel, short story or poem had already been anticipated by Edgar A. Poe in both his essay on "Philosophy of Composition" and his theory of short story contained in a review of Hawthorne's tales. According to Charles G. Hoffman, in composing *The Good Soldier*, Ford relies upon "progression d'effet", a theory of narrative progression developed by Conrad and Ford during their studies of the form of the novel. Hoffman quotes a passage from Ford in which he says that "in writing a novel we agreed that every word set on paper ..... must carry the story forward and that, as the story progressed, the story must be carried forward faster and faster with more and more intensity."[6]

Indeed, if we stop for a moment to consider the way Florence's death is unfolded to the reader, we will have a good example of this "progression d'effet" at work: in the first chapter of part I, Dowell tells us that Florence and Captain Ashburnham are dead, suggesting that both have died from "heart problems". In part II, he gives an account of the events on the night of August 4, 1913, date of Florence's death,

mentioning a little phial that should have contained nitrate of amyl found empty in Florence's hands. Leonora's casual remarks in part III reveal that Florence's death was actually a suicide and that the empty phial had contained not nitrate of amyl but prussic acid. The prussic acid not only kills Florence but also reveals the falsehood of their mode of life. Dowell's failure to distinguish between a medicine and a poison suggests the character's inability to achieve a certain balance between possibilities which seem antithetical but which in fact supplement each other, such as, for instance, the pseudo-polarity reality-appearance. In part IV, it is finally shown that Florence's suicide eventually leads to Edward's suicide and Nancy's madness, thus completing the destruction of the "four square coterie". As we can feel, the revelation progressed both in terms of detail and emotional content until in the last focus Florence's death is shown in its broader significance to the lives of those left behind. Most important of all, the effect produced by this gradual and non-sequencial disclosure of the events reaches both the reader and the narrator, for Dowell is also telling the story to himself in an attempt to grasp the full meaning of the past and penetrate into its darkness.

The narrative pattern, that of shifting focus as if the events were being photographed, is reinforced in *The Good Soldier* by the image of "shuttlecocks". On the level of content, "shuttlecocks" is a word uttered by Nancy in her unconsciousness, and is interpreted by Dowell as the dramatic recollection of being "tossed backwards and forwards between the violent personalities of Edward and his wife"[7] by a mind gone insane. Edward replaces "shuttlecocks" by the image of a "blooming parcel that someone didn't want to pay the postage on"[8]. But the idea of movement towards and away from is preserved carefully. On the level of form Dowell's impressions move around the "four square coterie" as a shuttlecock, or as a photographer's camera, freeing the narrative from horological time. After exposing one corner of the coterie, the magnifying lens is focused on another corner, then back again until the inti-

macy of the inhabitants of this coterie and their interrelationship are fully analysed. Whenever the lens is diverted to people like Mrs. Maindan and Nancy, it exposes them for what they mean to the four-member group. We must always have in mind, though, that the choice of viewpoint, lenght of exposure, size of focal opening are still controlled by the narrator.

As the novel comes to a close, the bits of information can be pieced together to provide a full picture of the "four-square coterie". This picture is finally completed im part IV and turns out to be one of ultimate despair: Edward is dead, Nancy has become a walking shadow which Dowell keeps from fading away, and Leonora is immersed in the task of propagating the human race. The final revelations are enlightening to the reader and relieve the tension in relation to the plot.

For Dowell, however, "the path through the maze" has not been found and in that respect the recollection has proved fruitless: the past has not shed any light upon the present. In the final chapter, talking about Nancy in her madness, he refers to her pretty face as a "picture without a meaning". Ironically, after having photographed the recesses of his memory in the search for the truth, all there is left for Dowell is also a "picture without a meaning". Dowell's problem is that he cannot reach any satisfactory conclusion as to the relation between appearances and realities, love-hatred, reason-feelings, spirit-flesh. Entrenched in his manicheism, he refuses to accept the mixed nature of life and man and remains at a loss trying to extract coherence from ambiguity. The maze is the truth, but Dowell's mind cannot comprehend that. The reader alone receivesthe illumination.

In line with the design of the narrative, the last paragraphs in the books do not resemble a conventional conclusion. They only give details of an already familiar event

(Edward's death), prior to other events which have already been accounted for. This formal inversion, I think, has a two-fold purpose: on the one hand, it is meant to reflect Dowell's bewilderment, his sense of inconclusiveness,of "still not knowing". On the other, it may imply that there is not such a thing as a resolution of facts. The end contains the beginning and the middle, making formal distinctions among the parts unnecessary.

Footnotes

[1]Ford Madox Ford, *The Good Soldier* (New York: Vintage Books, 1955), p. 12.

[2]Ford Madox Ford, *The Good Soldier*, p. 183.

[3]Madox Ford, p. 183.

[4]Ibid., p. 13.

[5]Ibid., p. 16.

[6]Charles G. Hoffman, "My Great Auk's Egg" in *Ford Madox Ford* (New York, Twayne Publishers, 1958), p. 75.

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Tragedy and Value:
Miller's *Death of a Salesman*

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In the many years since the performance and publication of Arthur Miller's *Death of a Salesman*, one central question has haunted literary critics and students and keeps recurring in any discussion of the play: is it or is it not a tragedy? The question of the tragic and genre definition in relation to *Death of a Salesman* followed the publication of Miller's essay "Tragedy and the Common Man" in *The New York Times* (February 27, 1949), only two weeks after the opening of the play. Many critics, opposing the view of the tragic presented in that essay, raised various questions which, according to them, invalidated Miller's claims that the protagonist of his play (although he did not mention explicity any of his works) was a tragic hero. They discussed the problem of the hero's stature, "heroism", and representativeness, the question of insight and self-awareness, and the problem of values. There were also those critics who claimed that tragedy can no longer be written in the modern world, for we have lost religious faith and a sense of values, and skepticism has become a characteristic trait of mankind. In our increasingly complex world, according to these critics, man has come to see himself as the victim rather than the master of things, and tragic dignity has given place to mere sentimentality. Joseph Wood Krutch, for example, states that

> we write no tragedies today... as a result of one of those enfeeblements of the human spirit..., a further illustration of that gradual weakening of man's confidence in his ability to impose upon the phenomenon of life an interpretation acceptable to his desires... .[1]

Tragedy can arise only when "a people fully aware of the cala-

mities of life is nevertheless serenely confident of the greatness of man, whose mighty passions and supreme fortitude are revealed when one of these calamities overtakes him."[2]

It has also been argued that there is an incompatibility between the tragic view of life and the intention of social criticism revealed in *Death of a Salesman*. Such is the opinion of Eric Bentley, who sees two conflicting aims in Miller's work:

> The 'tragedy' destroys the social drama; the social drama keeps the 'tragedy' from having a genuinely tragic stature. By this last remark I mean that the theme of this social drama, as of most others, is the little man as victim. The theme arouses pity but no terror. Man is here too little and too passive to play the tragic hero. More important than this, the tragedy and the social drama actually conflict. The tragic catharsis reconciles us to, or persuades us to disregard, precisely those material conditions which the social drama calls our attention to ... .[3]

Other critics defended the opposing view and on the basis of a number of different criteria concluded that the play is indeed a tragedy. Underlying most of these endless discussions there was the assumption that to consider a play as tragic or non-tragic implied a value judgement — that is, a tragic play would necessarily be better than a play belonging to any other genre. In defense of *Death of a Salesman* as tragedy a variety of critical opinions thus followed, some considering the play as perfectly fitting the mold of classical tragedies and others viewing it as an adaptation or variation of Greek and Elizabethan standards. William Hawkins stated that

> *Death of a Salesman* is a play written along the lines of the finest classical tragedy. It is the revelation of a man's downfall, in a destruction whose roots are entirely in his own soul.[4]

Esther Merle Jackson, among others, focused on the responses evoked by Willy Loman's predicament, and considered them the same as those described by Aristotle in his *Poetics*:

> The enactment of his suffering, fall, and partial enlightenment provokes a miked response: that of anger and delight, indignation and sympathy, pity and fear, which Aristotle described as catharsis.[5]

Some critics have emphasized the notion of representativeness, considering Willy Loman as the prototype of modern man and his predicament, therefore fitting another requisite of the classical tragic hero. Comparisons then have been made between Willy Loman and the protagonists of Greek or Elizabethan tragedies. Miller's *Salesman* has been compared to *King Lear*, in that both plays present the theme of the "know thyself" and know your world, and exemplify the need to keep a sense of human limitations.[6] Willy Loman's error has been seen as identical with Oedipus' flaw, that is, the misuse of reason in an individual who conflicts with his society and thus creates tragic circumstances that lead to his destruction[7]. Willy's suicide has been equated by Esther Merle Jackson with Oedipus' self-blinding and Antigone's self-murder, for it is "obviously intended as a gesture of the hero's victory over circumstances."[8]

Other critics have seen some differences between *Death of a Salesman* and classical tragedies, and felt that, although Miller's play is a low-key adaptation of the genre, the tragic quality is nonetheless present in it. They have referred somewhat patronizingly to Willy Loman as a "surburban King Lear,"[9] and a number of labels have been used in relation to the play — "low tragedy"[10] (or tragedy of commonplace life in commonplace circumstances), "liberal tragedy"[11] (understood as the conflict between an individual and the forces that destroy him), "tragedy of consciousness"[12] (defined as the imitation of a moral crisis in the life of a common man), "tragedy of illusion"[13] (the notion of tragic fall being transformed here into the presentation of a fall from an imagined height).

Still other critics have focused on the question of tragedy by trying to determine who the tragic hero is in *Death of a Salesman*. Although most critics who consider the play a tragedy agree that Willy Loman is the tragic hero, there have been some opposing views. William Beyer, for example, states that

> The play, it strikes us, is essentially the mother's tragedy, not Willy Loman's. Willy's plight is sad, true, but he is unimportant and too petty, commonplace, and immature to arouse more than pity... . What the mother stands for is important and when she goes down the descent is tragic.[14]

Others have considered Biff as the tragic hero, for, according to them, he is the only character in the play to achieve insight and self-awareness, and to adopt an affirmative stance.[15] Still other critics have looked for the qualities in Willy that enable him to attain a certain greatness. His death, for example, has been seen as a sort of expiation that ennobles him and represents an acceptance of responsibility; his tremendous capacity for love, and his commitment to his ideal of success, have been pointed out. Some critics have claimed that he achieves partial insight, as seen in his dialogue with his brother Ben who is merely a projection of his mind.[16] Others, echoing Arthur Miller, focus on the Salesman's fanatical commitment to his dream and on his alleged refusal to settle for half. William B. Dillingham has gone so far as to state, in a questionable version of Hegel's theories, that Willy Loman fits

> Hegel's description of the tragic hero, the character who seeks a "good" too far on in the wrong way so that he loses his identity, his necessary values, and is carried to destruction.[17]

The critical confusion and the avalanche of contradictory

opinions, most of which are based on isolated elements of Aristotle's definition of tragedy, were initiated by Miller himself, in his essay "Tragedy and the Common Man." In this essay, and in various other short articles, Miller tried to formulate a modern definition of the tragic hero and of the nature and function of tragedy.

The underlying assumption in "Tragedy and the Common Man" is that, contrary to what many critics imply, tragedy is possible in the modern world. In answer to the accepted notion that only characters who hold an elevated position in life are fit material for tragic heroes, Miller stated that "the common man is as apt a subject for tragedy in its highest sense as kings were."[18] According to the writer, as a general rule, "the tragic feeling is evoked in us when we are in the presence of a character who is ready to lay down his life, if need be, to secure one thing — his sense of personal dignity."[19] The underlying force that propels all tragic characters to action is, in Miller's view, the attempt to gain or regain what each of them considers to be his rightful position in his society. The tragic hero, then, feels a compulsion to evaluate himself justly, and reacts against the indignity derived from displacement or from his feeling of not attaining his rightful status and thus preserving his personal dignity. The "tragic flaw" which characterizes the hero is then "his inherent unwillingness to remain passive in the face of what he conceives to be a challenge to his dignity, his image of his rightful status."[20] The hero is the man who acts against that which degrades him, and questions the scheme of things with which he is faced. Fear and terror, the responses usually associated with tragedy, according to Miller, result from the sense of displacement and from "the disaster inherent in being torn away from our chosen image of what and who we are in this world."[21] Man's destruction in his struggle for self-assertion and realization in society reveals that the source of misery is to be found in social factors. Tragedy "posits a wrong or an evil in man's environment,"[22] and

herein lies its morality. Tragedy enlightens, for it shows that society is the enemy of man's freedom; it is a stiffling force that prevents the individual from attaining full realization of his potential. Although Miller realizes that society alone is not responsible for the hero's failure, he clearly places the responsibility for it more on social forces than on the individual's inner weakness. Tragedy can only come about, he says, when the author questions everything—institutions, habits, customs — that in some way prevents man's fulfillment. The function of tragedy is to attack and examine whatever it is that degrades man and lowers his nature, and to reveal the truth about society. Although it is true that the hero is destroyed in his struggle against society, an element of optimism is derived from tragedy, and it resides in the recognition of man's willingness to throw all he has into his search for self-assertion:

> For, if it is true to say that in essence the tragic hero is intent upon claiming his whole due as a personality, and if this struggle must be total and without reservation, then it automatically demonstrates the indestructible will of man to achieve his humanity.[23]

Miller, therefore, concludes that the average modern man is as capable of becoming a tragic hero as kings or noblemen, and thus by implication defends the right of *Death of a Salesman* to be considered a tragedy.

In another essay, entitled "The Nature of Tragedy,"[24] Miller tries to distinguish tragedy from pathos; he explains that tragedy implies a hope regarding the human condition, this being what raises sadness out of the pathetic towards the tragic. The playwright must always posit a world in which good might have been allowed to manifest itself without succumbing to evil:

> Tragedy arises when we are in the presence of a man who has missed accomplishing his joy. But the joy must be there , the promise of the right way of life must be there,

> Otherwise pathos reigns, and an endless, meaningless, and essentially untrue picture of man is created — man helpless under the falling piano, man wholly lost in a universe which is too hostile to be mastered. In a word, tragedy is the most accurately balanced portrayal of the human being in his struggle for happiness.[25]

There are various questionable assumptions in Miller's definition of tragedy. Not only his theory itself is loose and vague, but also its application to the plays is not always consistent.

This leads us to the discussion of the question of the conflict of values in tragedy, an aspect clearly explained by Hegel and Max Scheler in their various writings on the tragic. These two philosophers were able to grasp what the quality of the tragic really is, as an essential feature, a constant moment of the universe itself, which must be distinguished from any art form in which it may be present.

The basis of Hegel's theory of tragedy is related to his view of the function of negation in the universe, whereby any action elicits an antithetical counterpart. Tragedy, according to him, presents a collision of ethical forces in which both sides of the contradiction, if taken separately, are justified. The claims of both are just because both forces that inspire them are aspects of the ethical substance which rules the the world of man's will and actions. What is not justified is the claim of exclusiveness on the part of the conflicting forces and the resulting attempt to ignore the equally justifiable claim of the opponent. The characters become in a sense monolithic. Hamartia lies here not in the rightfulness of the power the character asserts, but in his assertion of his right being exclusive. Although we recognize this flaw in the opposing characters, we cannot blame them, for they are ethically justified in themselves.

Tragic guilt and moral guilt are therefore never equated. A tragic conflict will not occur when good is destroyed by

evil, or vice versa. Only when a good value is destroyed by another equally justified value does the tragic conflict occur. Scheler adds that the destruction, which occurs as result of the clash, such as a character's death, is not in itself tragic. The tragic lies in the fact that one high positive value destroys an equal or higher value. The characters must believe in the value for which they stand and they must convey their conviction of the legitimacy of their particular values. This conviction is what leads a tragic character to a consciously chosen act of renunciation and self-sacrifice, for he cannot live if he ignores his spiritual values and his duty. But this renunciation of his will to live, which is also a positive value, occurs accompanied by great suffering, as Eugene H. Falk explains in his book *Renunciation as a Tragic Focus*. The tragic hero does not choose death out of despair or in consequence of a feeling of insufficiency and failure. Man's tragic potential resides in his capacity to renounce the worldly values he cherishes for the sake of a superior duty. And this act of renunciation is accompanied by a deep sense of loss, because the hero's worldly aspirations were capable of realization and fulfillment.

Let us now examine Miller's statement that tragedy posits an evil in the environment, an evil which destroys man. This already implies an unequal struggle in which man becomes a victim. We come back to one of the points constantly stressed by Hegel and Max Scheler — if external evil is what destroys the character, there is no manifestation of the quality of the tragic, but merely a sad or pathetic event. Another point Miller fails to consider is that a character's image of himself is not necessarily a worthy one, and the ideals to which he is committed may not have any ethical justification. Furthermore, commitment may be blind or fanatical, thus revealing a complete lack of insight. Tragic commitment, according to Hegel, must be total, but examined, never the result of blindness of fanaticism. Not every

struggle, not every pursuit of happiness or of what one considers to be one's "rightful status" carries in itself the potential for tragic action. A value must be there, a positive, ethically justifiable value to which the character consciously commits himself, and which conflicts with another value of a similar nature. We must also consider the fact that not every value confers greatness upon the character that espouses it. The value may be selfish, or wrong in ethical terms, or false. In addition, it is not very clear what Miller understands by the search for dignity as a value. If carried out under false premises, can such a search be justified? What is then the importance of awareness and insight in tragedy? Would a character who is self-deluded — and half aware of his falsehood — be as "tragic" in his search for dignity as another who has authentically and wholly committed himself to an ethical course of action? Is suffering unaccompanied by knowledge and insight capable of evoking tragic pity and fear or is it merely pitiful waste? These and other questions show how open to debate Arthur Miller's theories are, and how loosely he has used certain terms such as dignity, rightful status, and values. In order to discuss these problems from the viewpoint of Hegel's comments on the tragic and tragedy, let us then examine first the question of values in *Death of a Salesman*.

The play portrays the last day in the life of Willy Loman, a sixty-three-year-old salesman. After having put more than thirty years into the firm for which he works, Willy, who has been having increasing difficulty in selling, is reduced to straight commission status. Returning home from an unconcluded selling trip, he is faced with his two sons, on whom he had placed his hopes and who have failed him: his favorite son Biff, a drifter at thirty-four, and Happy, the younger son, a minor employee in a store, concerned only with women and a comfortable life. In the repeated conflicts between Willy and Biff, it is revealed that something in the past caused Biff to abandon his dreams and become hostile to his father.

We later find out that Biff found his father in a hotel with a strange woman, a scene which destroyed his faith. Willy is now exhausted, and he is faced with the wreckage of all of his hopes and illusions. When his wife Linda tells her sons that the father has been trying to kill himself, Biff decides to stay home and look for a loan from a former employer to finance a business. Willy, with his optimism raised, asks Howard, his boss, for a job in New York so that he can stop travelling. Things turn out wrong — Willy is fired and Biff, who is not even recognized by his former boss, realizes that he based his hopes on lies. After a violent confrontation between father and the older son in a restaurant, Biff and Happy go off with two girls they met there, leaving their father in the restroom, humiliated and alone with his memories. When they return home, Biff tries to make his father understand that both of them are only "fakes", and that he has now found his identity. His feelings overcome him, and he shows that he still loves his father. Willy, for whom Biff's love is the supreme gift, decides to kill himself to provide him with the insurance money so that he can start a new life. In the funeral, the reactions of the sons are shown as diametrically opposed. While Biff realizes that his father had the wrong dreams, Happy proposes to come out number-one to show everybody that his father was right.

Willy Loman has committed himself to, and transmitted to his sons, a set of social values that have been known as constituting the "American Dream" — the search for money, material success, and popularity. He worships success, and in pursuit of this hollow dream, he is tricked into ignoring the calls of his true nature and into trying to be something he is not. The "rightful status" he is trying to achieve is equated with the overpublicized values of society and the illusion that appearance and a "jolly locker-room personality", as a critic has said, are substitutes for moral values and solid accomplishments. In the race for recognition and wealth, Willy Loman pledges allegiance to the code of business success, and for that he sacrifices his values as a human being. The

dream of success based on easy business ethics is transmitted by him to his children — the false promises of unlimited human possibilities for those who have personal attractiveness, talk well, and are popular:

> It's not what you do ... It's who you know and the smile on your face! It's contacts, Ben, contacts![26]

In order to succeed, it is important not only to be liked, but to be "well liked":

> That's just what I mean. Bernard can get the best marks in school, y'understand, but when he gets out in the business world, y'understand, you are going to be five times ahead of him. That's why I thank Almighty God you're both built like Adonises. Because the man who makes an appearance in the business world, the man who creates personal interest, is the man who gets ahead. Be liked and you will never want. You take me, for instance. I never have to wait in line to see a buyer. "Willy Loman is here!" That's all they have to know, and I go right through. (p. 33)

The ideals to which he pledges himself are vague and superficial. For him, it is not a question of the difference between being right or wrong, or of moral or ethical values, but only a question of degree: you are liked or well-liked. Seeing everything in light of the American Dream, Willy creates a false image of himself and of his sons, and of what might happen to them in the competition of life. He encourages their weaknesses and inflates their images of themselves so high that they are unable to cope with reality once they are faced with it. Misconstruing the ideal of fatherhood, Willy is blind to his son's adolescent mistakes and, by not correcting them, and even by encouraging them, causes the solidification of these mistakes into adult habits. Linda warns him that Biff is driving without a driver's license, that he is too rough with girls, that he should return the football he stole. But

Willy always finds an excuse to justify Biff, and even encourages his sons' stealing, for that shows that they are fearless individuals with initiative:

> Willy: Sure, he's gotta practice with a regulation ball, doesn't he? To Biff: Coach'll probably congratulate you on your initiative!
>
> Biff: Oh, he keeps congratulating my initiative all the time, Pop.
>
> Willy: That's because he likes you. If somebody else took that ball there'd be an uproar. So what's the report, boys, what's the report? (p. 30)
>
> . . . . . .
>
> Willy: ... Boys! Go right over to where they're building the apartment house and get some sand ... You shoulda seen the lumber they brought home last week. At least a dozen six-by-tens worth all kinds a money... I gave them hell, understand. But I got a couple of fearless characters there. (p. 50)

In other opportunities, Willy again demonstrates how he teaches his sons to take the easiest way around things, even when it means breaking the law or being dishonest. The best examples of this attitude and his willingness to make his son exploit others are found in the dialogues relating to the math exam Biff might fail: Bernard, the son of their neighbor Charley, warns them that the math teacher said he would fail Biff, who then would be unable to graduate and go to the University of Virginia (for which he has a scholarship). Bernard, who is a studious boy and who admires and loves Biff, wants to study with him and often comes to the Lomans' home for that. Since Biff never studies, Willy then insists that Bernard give him the answers. The alternatives he is presenting to the boys are clear: one does not need to study if one's father himself approves of and even suggests cheating as a solution:

> Willy: ... You'll give him the answers!
> Bernard: I do, but I can't on a Regents! That's a state exam! They're liable

to arrest me! (p. 40)

Later, in the hotel in Boston, when Biff tells his father that he has failed, the only thing Willy can say is to blame Bernard and the teachers. It never occurs to him whose fault it really is, and once again he shows Biff how not to accept responsibility for one's acts:

> Biff: Dad, I flunked math.
>
> Willy: Not for the term?
>
> Biff: The term. I haven't got enough credits to graduate.
>
> Willy: You mean to say Bernard wouldn't give you the answers?
>
> Biff: He did, he tried, but I only got a sixty-one.
>
> Willy: And they wouldn't give you four points? (pp. 117-18)

This is the philosophy of life Willy is teaching his sons — people have to give you what you need, you order them and they obey, as in the scenes in which Biff tells his friends to sweep out the furnace room. He is totally incapable of realism ans spends his life only talking. In a way, what he tries to do and teaches his sons is how to sell oneself to others on the basis of superficial qualities and easy and flexible ethics. His sons are adult results of this easy ethics taught to them: Biff, a drifter and a thief, who recognizes only later that he "never got anywhere because Willy blew him so full of hot air he could never stand taking orders from anybody!" (p.131); Happy, a "philandering bum" (p. 57), as his mother calls him, applies in his adult life the same principle of salesmanship he learned from his father. His "technique" of conquering women by means of lies and pretenses is another example of a person selling himself. Both sons, indulged by their father into creating an empty sense of superiority, compensate in different ways for the impossibility of realizing their hopes

— Biff by stealing himself out of every job he has, Happy by corrupting the fiancées of the employees superior to him.

Willy's dream results from the wrong worshipping of hollow materialistic values to which he devotes his whole life, and which he wants his sons to achieve at any cost. We can almost say that, in a way, for him the end justifies the means. One can do wrong, but if one proves to be fearless and full of initiative, success will be there at the end. Completely blinded by his notion of how to attain success, Willy ignores all the warnings he receives from various people in different moments. His wife warns him on several occasions about Biff's attitudes; Bernard explains the danger of failing math; Charley tells him that the watchman of the construction site will call the police if the boys steal more from him; and Biff himself, in the last scene with his father, asks him to burn his "phony dream... before something happens" (p. 133). It is useless, however, for Willy has accepted certain social values and even if he could recognize their hollowness, he would be unable to change at this point and face reality. As a critic has said,

> His failure to build anything worthwhile stems from his inability to confront reality and his failure to adopt the affirmative stance which his son Biff finally outlines to him at the end — "I'm just what I am, that's all."27

The main problem with Willy and the cause of his sense of emptiness at the end is the fact that he has turned away from himself and has therefore misplaced his identity. Forgetting his own values as a human being in order to conform to society's standards, he creates a false image of himself, and he is unable to live up to this created image. He lives in a continuous conflict between what he is an what he wishes to be, between reality and his dream, and his sense of failure gradually overcomes him. Having denied his true nature and talents for the

sake of the American Dream, Willy has to fail, and his life becomes a series of excuses for this failure. He finally transposes his hopes to Biff. These become a burden that almost destroys his son when his illusions about his father are shown to be false. Both Biff and Willy are, in a sense, paralyzed — Willy by his illusions, Biff by his disillusionment. Only Biff is capable, at the end, of overcoming his state of paralysis, as he realizes he is only what he is, and that is all. Willy, however, still blind, reveals through his suicide that he is totally unable to act in an effective and rational way.

One of the reasons for which Willy is unable to accept himself or his sons as they are, and continuously substitutes for their true identity an imagined one, is that he has certain models to which he wants to measure up — or even surpass. These models are, first, his father and Ben, the symbols of the pioneer success and of the challenge of the frontier. As Ben (recreated by Willy's memory) says

> When I walked into the jungle I was seventeen. When I walked out I was twenty-one. And, by God, I was rich!
>
> Willy: ... was rich! That's just the spirit I want to imbue them with! To walk into a jungle! I was right! I was right! (p. 52)
>
> . . . . . .
>
> Ben: Father was a very great and very wild-hearted man. We would start in Boston, and he'd toss the whole family into the wagon, and then he'd drive the team right across the country; through Ohio, and Indiana, Michigan, Illinois, and all the Western states. And we'd stop in the towns and sell the flutes that he'd made on the way. Great inventor, Father. With one gadget he made more in a week than a man like you could make in a lifetime.
>
> Willy: That's just the way I'm bringing them up,

> Ben — rugged, well-liked, all — around. (p. 49)

Other models against which Willy measures himself are Charley and Bernard. Charley, his only friend, as he recognizes at the end, has his own business, and Willy dreams of being more successful than he is:

> Willy: Someday I'll have my own business, and I'll never have to leave home any more.
>
> Happy: Like Uncle Charley, heh?
>
> Willy: Bigger than Uncle Charley! Because Charley is not — liked. He's liked, but he's not — well-liked. (p. 30)

Charley, who is a very rational person, constantly and unsucessfully tries to bring Willy back to reality and have him face things. Later, when Willy is working on commission and has no money to pay his bills, Charley lends him fifty dollars a week, the money to pay his insurance, etc. Knowing that his friend wants a job in New York and that his boss refused his request, Charley asks Willy to come work for him. Willy, however, refuses, for he is too proud to do it:

> Charley: I offered you a job. You can make fifty dollars a week. And I won't send you on the road.
>
> . . . . . .
>
> Willy: I — I just can't work for you, Charley.
>
> Charley: What're you, jealous of me? (pp. 96-97)

While he compares himself to Charley, Willy uses Bernard as a point of comparison for his children. He refers to Bernard as a "pest," "a worm", "an anemic", and tells his sons that even if Bernard is a better student, in the business world they will be ahead of him. At the end, Willy is shown how wrong his predictions were. While his own sons accomplished nothing solid, Bernard — like his father Charley — became a success. He is described as "a quiet, earnest, but self-

assured young man" (p. 90); he is married and has two children, has become a lawyer and is about to argue a case before the Supreme Court, and he has friends who have tennis courts — for Willy, the image of total success, domestic, social, and professional. But Willy still dreams that one day Bernard and his own sons will all play tennis together, and that with the insurance money, Biff will "be ahead of Bernard again!" (p.135)

The difference between Charley and Bernard and the Lomans is summarized by Charley when Willy finds out about the defense of the case before the Supreme Court:

> Willy: ... The Supreme Court! And he didn't even mention it!
>
> Charley: ... He don't have to — he's gonna do it. (p. 95)

Unlike the Lomans, Charley and Bernard are not talkers. They do not boast, either of what they are not, or of what they are and do. They evaluate themselves and their world realistically, and they do not give exaggerated value to anything. As Charley puts it: " his salvation is that he never took any interest in anything." (p. 96) While Willy reveals an inherent incapacity to transpose imagination into effective action, for he is completely blinded and paralyzed by his illusions, Charley has no illusions. He is generous but firm, and he always says things as they are. Willy, a more intense character than Charley, has a great capacity for love; this is frustrated by his pursuit of the wrong aspect of the American Dream because he does not accept himself as he is, and because he has an inordinate tendency to self-deception.

Willy would rather conform to the life imposed upon him than to choose his own way. He is a conformist and suffers not only because he has ignored his true nature, but because he cannot measure up to the code of material success to which he has dedicated his life. In his old age, he is faced with the failure of his way of life. He has achieved no success,

no wealth, no popularity; neither have his sons, and he has nothing to put in place of his shattered dreams. Having exhausted himself with illusions and false hopes, he is now faced with failure. He is bewildered, his pride is battered, he is tired, and his despair grows as he feels an increasing sense of alienation, unrelatedness, aloneness, and loss of meaning in his life. In a state of near-breakdown, Willy longs for the past in which his children still believed in him. It is through his compulsive need to recover the past and the recurring flashbacks that his sense of guilt and confusion becomes apparent. One sees it, for example, in the scene with Biff in the hotel room in Boston, when the son realizes that his father is a fake. Willy is utterly confused and in contradiction with himself when he comes to perceive in part his own guilt and emptiness. As he tells his brother Ben, "sometimes I'm afraid that I'm not teaching them the right kind of — Ben, how should I teach them?" (p. 52) He encouraged his sons to steal, and then complained: "What is he stealing? He's giving it back, isn't he? Why is he stealing? What did I tell him? I never in my life told him anything but decent things." (p. 41) The painful memories of his affair with the other woman recur very frequently — he constantly hears her laughter, he becomes more upset when Biff is around, he cannot stand the sight of Linda mending her stockings, and once he promises that " he will make it all up" to her. He also realizes that "some people accomplish something..." (p. 15), and he suffers because he thinks that his son hates him:

> Willy: Oh, Ben, how do we get back to all the great times? Used to be so full of light, and comradeship, the sleigh-riding in winter, and the ruddiness on his cheeks. And always some kind of good news coming up, always something nice coming up ahead. And never even let me carry the valises in the house, and simonizing, simonizing that little car! Why, why can't I give him something and not have him hate me? (p. 127)

Having failed to succeed in business terms, Willy then

feels unworthy of love. He never realizes that the values to which he pledged himself are wrong, but he comes to realize that his life is empty and that he has accomplished nothing. This partial insight explains his compulsion to buy seeds and plant, although one knows that nothing will grow in the little garden covered by the shadows of the neighboring buildings. In the same way, nothing could grow in Willy, for he allowed the true human values to be destroyed by the mechanized society to which he pledged himself. His failure is a result not only of a personal failure in relation to his values, but also of a failure in the values themselves. He accepted society's distortion of certain basic values, and he himself misinterpreted certain ideals which could have been positively acted out. Richard J. Foster summarizes this process of distortion as follows:

> A final set of values implicit in Willy 's character, and defeated by the circumstances in which he finds himself, are his unformed impulses toward two of the original American virtues — self-reliance and individualism of spirit. These virtues, implying basic self-sufficiency and personal creativity, not domination of others, are perhaps the pure forms underlying the corrupt and destructive societal imperatives of success and getting ahead. Willy has the self-reliant skills of the artisan: he is "good at things," from polishing a car to building a front porch, and we hear of his beloved tools and his dream of using them some day to build a guest house on his dreamed-of farm for his boys and their families to stay in. But self-reliance has collapsed, the tools rust, and Willy has become the futile and pathetic victim of a machine culture. And individualism has been translated and corrupted in Willy into a belief in the jungle value of privilege for the strong: he encourages his boys to steal, and he calls it initiative and their right.[28]

For the sake of distorted societal values, Willy abandoned some incipient values that attracted him. Foster summarizes these values as concern with nature, freedom, and the body, and a comprising free self-expression and self-realization, individualism, and the simple life. Willy's recurring memories of

his father and Ben, symbols of pioneer and free life, the flute music of his childhood, the trees in front of the house, and his own sons playing in the yard, and his remarks about the beauty of the country's landscape, are all part of a natural world degenerated and destroyed by mechanistic society. The result is a sense of alientation and suffocation: the garden is sterile, there are no trees or light, the little house is surrounded by big apartment houses, the sense of nature is lost. Willys's fixation with his garden, at the end, reveals the attempt to return to these calls he ignored, but it is too late. His world has already collapsed and he realizes that he is a failure.

Arthur Miller has stated that

> The trouble with Willy Loman is that he has tremendously powerful ideals. We're not ac-- customed to speaking of ideals in his terms; but if Willy Loman, for instance, had not had a very profound sense that his life as lived had left him hollow, he would have died contentedly polishing his car on some Sunday afternoon at a ripe old age. The fact is he has values. The fact that they cannot be realized is what is driving him mad ... The truly valueless man, a man without ideals, is always perfectly at home anywhere... because there cannot be a conflict between nothing and something. Whatever negative qualities there are in the society or in the environment don't bother him, because they are not in conflict with what positive sense one may have. I think Willy Loman, on the other hand, is seeking for a kind of ecstasy in life, which the machine civilization deprives people of. He's looking for his selfhood, for his immortal soul, so to speak.[29]

Reading this statement, one has to ask oneself where the flaw really is. Who is to be blamed, society or Willy Loman himself? It is true that there is in *Death of a Salesman* (and in Miller's statements) an indictment of society — represented in Willy's boss Howard — for destroying man's true potential, for degrading and humiliating man, for exploiting and then abandoning him,for

valuing the machine over the individual (as in the scene in which Howard is so interested in his tape recorder that he barely listens to Willy). We must consider the fact that Howard is making use of the very business notions defended by Willy — the privilege of the strong to decide and command. Willy is not a non-conformist in conflict with his environment. On the contrary, he accepts the values of his environment and loses his identity in the process. When he fails to live up to those standards and his vague ideal of success crumbles, he realizes that he has accomplished nothing solid. He placed his emphasis on the wrong things, and he retreated into a world of self-delusion for which he is more responsible than anybody else. It is true that he is a man in search of something, but the values to which he pledges his allegiance are empty, hollow, meaningless. Furthermore, the methods through which he means to attain success are also questionable — stealing, cheating, lying, using women to get to buyers, etc. There is definitely an evil posited in Willy's environment, but there are other characters who do accomplish something, especially Charley, a businessman who is a decent person, and Bernard, who works seriously rather than indulging in self-cult as Biff, Happy, and Willy do. The failure is therefore to be found mainly in Willy himself, in the values he has chosen, and in the easy ethics he employs and transmits to his sons. He does not die, as Mr. Miller has said, "for the want of some positive viable human value,"[30] but because he did not accomplish what he wanted and feels empty and desperate. He did have some values, but the wrong ones, and his life therefore lost its meaning. He cannot preserve his view of himself, for he is forced to face the fact that he is a failure. But even at the end he does not question the values themselves. His death is still an instance of distorted thinking and a result of his continuing belief in the ideology that ruined him. He thinks that 20,000 dollars of the insurance money is all that is needed to save Biff and bring about a magnificent destiny that will place him, once again, ahead of Bernard.

He gives his son the only thing that Biff does not want from him — money.

Occasionally, Willy shows some self-awareness. He tells Linda that he is fat and that he talks too much, he has recurring memories of the Boston scene, he realizes that he is a failure — but he never questions the assumptions that underlie this failure and his self-delusion. The problem for Willy is that he cannot make enough money, and he never realizes what the real failure is. The critic Benjamin Nelson has stated that

> Willy can relive the most crucial events of his life and still wonder how he has erred in raising his sons. His memory is active and his search for answers intense, but his ability to perceive the meaning of these answers is limited. He can still sincerely ask Bernard near the end of the play what the secret of success is.[31]

Most of the times, Willy refuses to face the implications of his illusions and of the attitudes caused by them. He does not realize that the values he has are false, and, as the critic Saisselin has said, he is a pathetic man "who dies having learned nothing."[32]

Willy dies without learning anything about the inherent flaw of the values themselves. His gained insight refers only to his sense of personal failure. The values remain unquestioned by him and he struggles against self-knowledge until the very end. Only Biff arrives at an understanding of a different way of life. He realizes what Willy failed to see: one is what one is, and that is all. He comes to understand that his father's ideal is false and that he must set out on a new path to try to recover his true identity. Happy, on the contrary, does not reject his father's dream, and he is determined to fulfill it and come out "number-one". It is again an instance of a blind, irrational commitment to the wrong ideal of mere materialistic success.

Willy does have values, but they are distorted, misinterpreted, and empty. His commitment to them is fanatical, blind, and unexamined, and he is unable to evaluate himself justly and to face reality. He never comes to understand that his failure is a logical result of his approach to life and of his self-delusion, and he is not really aware of the implications of this approach. His destruction is therefore not tragic, but merely pathetic, for he pledges himself to the wrong values and later realizes that his life has been empty. There is no ethical justification for his values nor for the methods he employs. His death is meaningless, for it proves only that he is desperate and lost. No feeling of reconciliation can accompany Willy's death, but merely a sense of the pathos of the situation. Willy is a deluded figure who never knows himself, and who dies not because of a sense of duty, but out of desperation.

There is no tragic renunciation in this play, for Willy's death is at the same time an act of desperation and a search for personal redemption. The sense of guilt for Biff's failure has haunted Willy Loman for many years, and he longs for the possibility to give him something and regain his love. When he finds out that his son still loves him, he then decides to sell himself for the insurance money. If in life he cannot help Biff, in death he can. He races happily to his death in the illusion that he has found a solution for his conflict, never really knowing what the conflict is. His death is an act of expiation, and, ironically and pathetically, he solves nothing and expiates nothing, for Biff has already forgiven him and does not "worship" him for having killed himself. Willy's death is the easiest way out for him, and he formulates this when he says to his brother:

> Why? Does it take more guts to stand here
> the rest of my life ringing up a zero? (p. 126)

Willy's death is not an instance of renunciation of worldly values he cherishes. On the contrary, he has nothing to lose, and his life means nothing to him. Death, for him, is in a

sense,a form of escape,for the value of life is lost. Biff's love, which he regains at the end, matters so much to him that his death is almost a way to pay it back. To reinforce the fact that his death is mainly an act of despair resulting from his feeling of insufficiency and failure, it is only necessary to remember that Willy had been trying to kill himself even before he realized that his son still loved him.

No tragic grief surrounds Willy's predicament, merely pathos. It is a feeling that comes from within the hero, for he is self-deluded to the very end. Miller has said that Willy dies because he is unable to settle for half, and because he refuses to surrender his dream. I believe that Willy has surrendered his dream when he realized that he has failed and that he has transposed it to Biff because he realizes his own incapacity to fulfill it. On the other hand, it is not true that he has not settled for half. It is enough to recall the scene in which he humiliates himself in front of his boss, hands him the lighter, gradually decreases the amount of money for which he is asking, and finally begs Howard to let him go to Boston again. Willy has compromised his dream and tried to settle for half, and his desperation reaches its climax when he loses everything, His death does not result from the search for dignity, or from a refusal to yield his view of himself, but from the sense of unworthiness, anguish, and despair.

Willy Loman is a pathetic symbol of man's predicament in an increasingly complex and demanding world, where pressures may lead one to misplace his identity and stiffle his true self. He is an example of a man unable to evaluate himself and his world realistically, a man who chooses the wrong priorities and pledges his allegiance to false dreams. He dies the death of a bewildered, lost person, his pride battered, his energy exhausted, his sense of guilt even more intense. Death means, for him, self-redemption, and a heritage of money for his son to fulfill the success dream. Willy dies defeated and still unaware of any true values. His life and death are pitifully

wasted because of the flaw in those values to which he blindly committed himself.

Death of a Salesman is a powerful play, but it is not a tragedy from the viewpoint we chose as our focus. The quality of the tragic does not emerge from the conflict experienced by Willy Loman. What emerges is merely the sense of pathos resulting from his loss, anguish, and alienation.

NOTES

[1]Joseph Wood Krutch, "The Tragic Fallacy," in *Two Modern American Tragedies*, ed. by John D. Hurrell (New York: Charles Scribner's & Sons, 1961), p. 7.

[2]Krutch, pp. 8-9.

[3]Eric Bentley, *In Search of Theater* (New York: Knopf, 1953), p. 85.

[4]William Hawkins, "*Death of a Salesman*: Powerful Tragedy," in *Death of a Salesman. Text and Criticism*, ed. by Gerald Weales (New York: The Viking Press, 1977), p. 202.

[5]Esther Merle Jackson, "*Death of a Salesman*: Tragic Myth in the Modern Theatre," *CLA Journal*, 7 (September 1963), 58-59.

[6]Paul N. Sigel, "Willy Loman and King Lear," *College English*, 17 (1955-1956), 341-45.

[7]Mitchell A. Leaska, *The Voice of Tragedy* (New York: Robert Speller & Sons, 1963)

[8]Jackson, p. 67.

[9]John Gassner, *A Treasury of the Theatre* (New York: Simon and Schuster, 1967), p. 101.

[10]John Gassner, "Tragic Perspectives: A Sequence of Queries," *Tulane Drama Review*, 2 (May 1958), 27.

[11]Raymond Williams, *Modern Tragedy* (Stanford University Press, 1966), p. 103.

[12]Jackson, p. 62.

[13]Sheila Huftel, *Arthur Miller: The Burning Glass* (New York: The Citadel Press, 1965). p. 123.

[14]William Beyer, "The State of the Theatre. The Season Opens", in *Death of a Salesman. Text and Criticism*, p. 230.

[15]C.W. E. Bigsby, "Arthur Miller," in *Confrontation and Commitment: A Study of Contemporary American Drama, 1959-1966* (Columbia: University of Missouri, 1968), p. 34.

[16]Sister M. Bettina, "Willy Loman's Brother Ben: Tragic Insight in *Death of a Salesman*," *Modern Drama*, 4 (February 1962).

[17]William B. Dillingham, "Arthur Miller and the Loss of Conscience," in *Death of a Saleman. Text and Criticism*, p. 345.

[18]Arthur Miller, "Tragedy and the Common Man," in *Death of a Salesman. Text and Criticism*, p. 143.

[19]Miller, p. 144.

[20]Miller, p. 144.

[21]Miller, p. 145.

[22]Miller, p. 145.

[23]Miller, pp. 146-47.

[24]Arthur Miller, "The Nature of Tragedy," *The New York Herald Tribune* (March 27, 1949), Sec. 5, pp. 1-2.

[25]Miller, "The Nature of Tragedy", p. 2.

[26]Arthur Miller, *Death of a Salesman. Text and Criticism*, p. 86. Subsequent quotations from the play are from this edition.

[27]Bigsby, p. 34.

[28]Richard J. Foster, "Confusion and Tragedy: The Failure of Miller's *Death of a Saleman*," in *Two Modern American Tragedies*, ed. by John D. Hurrell (New York: Charles Scribner's & Sons, 1964), p. 85.

[29]Arthur Miller, "*Death of a Salesman*:A Symposium", *Tulane Drama Review*, 2 (1958), 66.

[30]Phillip Gelb and Arthur Miller, "Morality and Modern Drama," *Educational Theatre Journal*, 10 (October 1958), 190.

[31]Benjamin Nelson, *Arthur Miller: Portrait of a Playwright* (New York: David McKay Company, 1970), p. 132.

[32]Remy G. Saisselin, "Is Tragic Drama Possible in the 20th Century?," *Theatre Annual*, 17 (1960), 51.

Fausto - Redenção ou Salvação?

O tratamento do tema em quatro obras: *Volksbuch*, Marlowe, Lessing e Goethe*

Gerhard Fuhr

0. INTRODUÇÃO

O espírito fáustico alimenta a fantasia do homem, sobretudo na transição da Idade Média para a época moderna; ou seja, o fenômeno do conjurador ou aliado do demônio tem inspirado o homem desde o início da época cristã. O ponto em comum desta tradição é:

> Que um ser, insatisfeito com os limites de sua existência terrestre, promete ao demônio sua alma, que seria sua parte imortal, ligada ao além, com a finalidade de expandir sua vida do aquém, no domínio do eros ilimitado, do poder, da magia ou do conhecimento em troca de uma força demoníaca[1].

Por causa dessa força demoníaca, Fausto tem sido visto de maneiras diversas, tais como charlatão, anti-cristo, feiticeiro, ateu, intelectual, sobre-humano; e tem consequentemente gerado diferentes perspectivas de análise, ora como a altivez do sábio, ora como a atividade político-social, ora como a ambição pelo poder e mais ainda como a oposição entre a expansão da experiência estética e a procura do prazer — que são alguns dos critérios reconhecidamente válidos para uma avaliação desta tão polêmica vontade humana que é representada por Fausto. O tema é um dos mais importantes da literatura ocidental e foi, consequentemente, tratado em inúmeras obras de autores de diferentes épocas, até a moderna, em vá-

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rias línguas. Ele motivou formas artísticas tão diferentes quanto o romance, o drama, a ópera e o cinema, sem deixar de mencionar canções, melodramas e o teatro de bonecos[2]. Este último é de de grande importância histórica, já que foi assim que o jovem Goethe conheceu Fausto, inspiração que nunca mais o deixou.

As estruturações literárias que pretendemos estudar refletem diferentes possibilidades de combinação dos motivos do tema fáustico, e em cada uma delas Fausto ganha uma nova interpretação e julgamento dependendo da intenção do autor e da sua visão de mundo. A condenação ou salvação de Fausto tem origem em uma união com Mefisto e é desenvolvida em cada obra em consequência deste fato. Meu estudo comparativo limita-se a quatro interpretações que são, a meu ver, bastante distintas em forma e conteúdo e têm um valor essencial na tradição da história da literatura: *Volksbuch* (Livro Popular), Marlowe e Lessing como versões primárias, culminando em Goethe. Como as primeiras obras são mais raras, elas vão ser tratadas de uma maneira mais explícita para o melhor entendimento daqueles que não dispõem dos textos em questão. A *História de D. Johann Fausten, o famigerado feiticeiro e praticante da magia negra*, denominada "Volksbuch", é a primeira apresentação da matéria e foi escrita, segundo o espírito protestante vigente na época, como meio de intimidação e advertência, certamente também com a finalidade de entreter os leitores sensacionalistas. Marlowe ousa fazer a primeira interpretação literária com sua obra entitulada *História trágica de Dr. Fausto*. A titanização de Fausto no estilo elisabetano da tragédia, seu *tragic flaw*, o leva a queda e declínio. O *Dr. Fausto* de Lessing foi escrito com o espírito da época do esclarecimento; o ímpeto do saber é agora o maior bem da humanidade. Aqui insinua-se uma possível salvação. *Fausto*, a obra prima da literatura alemã, cuja elaboração tomou de Goethe a maior parte de sua vida, coloca a ambição do protagonista num contexto de maior dimensão, por ter sido Mefisto inserido no mundo divino, e não fora dele. Fausto, como servo de Deus, faz uma aposta, não um pacto, com o demônio, e morre em plena atividade produtiva para a sociedade, o que possibilita sua salvação misericordiosa.

1. VOLKSBUCH

Segundo Spies, a biografia do Fausto histórico, que só veio a morrer pouco mais de uma geração antes da publicação do *Volksbuch* (Frankfurt 1587, morte de Fausto por volta de 1540), obedece à tradição dos "livros populares" do século XVI, uma literatura de feiras populares, destinada à massa[3]. O título harmoniza-se com o tom da obra, assim como a dedicatória:

> História de D. Johann Fausten,... feiticeiro e praticante da magia negra... até que ele finalmente recebeu seus bem merecidos honorários.
> ... resumida para todos os homens altivos, intrometidos e afastados de Deus, exemplificando com atrocidade e sincera advertência. Jacó III, sirvam a Deus, resistam ao demônio , que ele se afastará[4].

Na introdução da obra, Spies admira-se de que "pessoa alguma tenha redigido satisfatoriamente tão terrível história, nem a tenha comunicado através da imprensa a todo o mundo cristão". Assim sendo, Spies expõe quais objetivos sua versão de Fausto deveria alcançar:

> ...apresentar e tornar público...para todos os cristãos como advertência e exemplo de logro e extermínio diabólico do corpo e da alma...Mostrar como neste exemplo notável e terrível pode-se ver não somente a inveja, o logro e a crueldade do diabo contra o gênero humano, mas também sentir de uma maneira palpável como tais sentimentos podem levar o homem à segurança, ao atrevimento e à intromissão, que o põem no caminho certo para o afastamento de Deus, para a comunidade dos maus espíritos e para a ruína da carne e da alma. Por tudo isso apliquei tanto trabalho e custo, esperando fornecer serviços benevolentes a todos aqueles que querem se deixar adverter.

Para entender o empenho de Spies é bom retroceder ao século XVI, época em que viveu Fausto, quando histórias de magos eram bastante divulgadas. Paracelso, por exemplo, era uma das figuras históricas mais famosas, justamente por sua suposta associação com

o diabo. Todavia esta época não é ainda o marco inicial da tradição cultural dos aliados do diabo.Ela tem início no final da antigüidade. Lendas com final feliz, culminando em arrependimento e redenção do pecador se tornaram ainda mais atraentes para aqueles que já se interessavam pela feitiçaria e pela magia negra. (Talvez por esta razão tenham os alunos de Fausto no Volksbuch acreditado que, ainda no seu último dia, sua salvação teria sido possível, se ele se tivesse arrependido.) Toda essa polêmica acerca do decadente e malvado Fausto tanto motivou um público sensacionalista ou herege quanto possivelmente instigou alguns a pensar em copiar seus pecados, pretendendo — não tão obstinadamente quanto Fausto — receber o perdão oportuno dos mesmos. Tão convencido estava o editor da força e do fascínio das fórmulas que Fausto usou para conjurar o demônio, que evitou intencionalmente citá-las em sua obra, para não divulgar ainda mais o poder do mal.

O espírito científico no começo da nova era, o questionamento ou a anulação de valores religiosos, o abandono do padrão espiritual e intelectual instituído pela Igreja doutrinária da Idade Média fazem com que o homem procure novos caminhos de conhecimento e experiência. A nova auto-avaliação do homem protestante no seu relacionamento direto com Deus sob a renúncia da instância intermediária da Igreja, que fora o único meio de salvação, facilita a Fausto também o contato direto com o diabo, antípode de Deus. O próprio homem é responsável por seus atos, caindo no pecado por escolha própria, devendo justificar-se só perante Deus. A condenação de Fausto deve-se à sua intenção de permanecer em pecado, pois são raros seus momentos de arrependimento. Em sua última noite, ele contempla a idéia de uma aproximação com Deus, mas acaba não evocando seu nome, já que seu pacto feito com o diabo era de natureza irreversível. Na despedida dos amigos, embora tivesse recomendado sua alma a Deus como "bom e mau cristão", ele ainda se integrou à fila dos homens pecadores.

As aventuras de Fausto se dão em dois níveis: à altura do conhecimento científico, da disputa e viagens científicas e ao nível do mundo da farsa e da gula. Utiliza seu poder mágico de maneira restrita. Por exemplo, não o aplica para benefi-

ciar-se de um sucesso pessoal e/ou político. Tampouco lhe ocorre a idéia de uma possível ascensão social através da ajuda de Mefisto[5]. Em contrapartida, sua sede de saber é praticamente ilimitada; uma das condições do pacto com Mefisto é que este "deveria responder a todas as suas perguntas sem qualquer inverdade". Suas perguntas voltam-se para os mais importantes tópicos da teologia, cosmologia e das ciências, contrariamente ao Teófilo da lenda e de Militarius. O primeiro se entregou ao diabo revoltado por não ter conseguido o grau de bispo. O segundo almejava benefícios financeiros[6]. Em *Volksbuch* a sede do saber é um motivo essencial para o pacto. Esta sede de conhecimento intelectual coloca Fausto numa posição de relevância perante os escolásticos, que se preocupavam unicamente com o reconhecimento de Deus, a *unio mystica*. Para estes, tanto as ciências moderna e exata, quanto qualquer outra teoria do conhecimento que não se subjugasse ao dogma escolástico, significava heresia, o que podia resultar em pena de morte pela Inquisição, como é o caso de Giordano Bruno em 1600[7]. Portanto, na visão escolástica, Fausto é culpado, pois reitera como indivíduo o mito do pecado original ao desejar colher o fruto da árvore da sabedoria.

A forma de prosa do *Volksbuch* serve à intenção instrutiva de Spies, pois fornece entre as narrações das aventuras de Fausto parênteses didáticos nos quais ele se dirige diretamente ao leitor. A seu bel-prazer, o autor aproveita para voltar à temática de sua introdução, cujo objetivo é o de intimidar seus "leitores cristãos", enfatizando a gravidade dos pecados de Fausto. Segundo o autor, a idolatria e magia negra são realmente os maiores pecados, pois pressupõem um afastamento total de Deus. Assim, ele inclui Fausto na lista dos famosos malditos, com uma pequena apresentação:

> Tinha um pacto e uniu-se ao diabo, meteu-se em aventuras curiosas, terríveis vergonhas e vícios, como gula, bebedeiras e prostituição e toda voluptuosidade até que finalmente o diabo lhe deu sua bem merecida recompensa e torceu-lhe o pescoço de maneira chocante. (p. 10)

E para comprovar a justiça do castigo sofrido por Fausto, o autor recorre à autoridade das citações da Bíblia que sustentam a validade de tal punição. Ao invés de deixar que o leitor venha conhecer e julgar Fausto pela leitura da estória de sua vida, Spies já lhe entrega de antemão o conteúdo geral de toda a trama em que ele se envolve. Não ocorre ao autor criar tensão, sua intenção é interromper a estória à sua vontade e induzir o leitor à reflexão sobre cada passo de Fausto ou ainda assegurar-se do efeito moralizador que seus próprios comentários acrescidos de oportunas citações das Escrituras teriam sobre ele.

O primeiro pecado de Fausto, a conjuração do espírito, na verdade, já significa o afastamento de Deus, o que Mefisto logo capta. Fausto, hesitante, diz: "Não quero ser condenado por sua causa", ao que retruca Mefisto: "Assim mesmo, você tem de vir comigo, não adianta rogar; seu coração desesperado o levou à perdição". Expressões marcantes como estas são frequentemente elaboradas em forma de versos de cadência simples, certamente para sua melhor assimilação e possibilidade de repetição pelas massas. Os motivos que levaram Fausto a conjurar-se com o diabo, "intromissão, liberdade e frivolidade" (p. 16), são repetidamente mencionados para apresentar ao leitor um exemplo desalentador. Inicialmente, seus escrúpulos o levam a repelir o demônio. Mas a partir do momento em que este faz menção de ir embora, o Dr. Fausto fica na dúvida e implora seu retorno. "Demonstra-se assim o coração e a opinião de Fausto afastado de Deus, pois o demônio, como se diz, conta-lhe a respeito do pobre Judas, de como ele padeceu no inferno, mas mesmo assim persistiu em sua teimosia". Tal qual Judas, Fausto persiste e finalmente, envaidecido por seu poder de invocar o demônio a seu bel-prazer, acaba selando com ele o contrato. Aqui refere-se ao diabo como o "Príncipe das Trevas", segundo a denominação bíblica da Epístola de Ephesos de São Paulo.

É interessante notar que a sede do conhecimento de Fausto na versão final do pacto quase não aparece de maneira explícita. A segunda cláusula diz apenas que o demônio "deveria fazer tudo aquilo que desejasse e quisesse dele" (p. 20), o que inclui, de uma maneira geral, perguntas sobre a essência e a ordem do mundo.

A exigência original de Fausto, bem mais explícita neste aspecto, era que ele (o diabo) "lhe respondesse a todas as perguntas sem sombra de inverdade" (p. 18). É óbvio que a sede de conhecer não tem tanta importância aqui, e que ela ainda diminui no decorrer da obra.

O contrato é escrito com sangue, segundo o ritual tradicional, levando sua alma à mercê dos infernos. Deve renunciar à cristandade e não se deixar converter novamente. o Dr. Fausto assina, pois estava, segundo as palavras de Spies, "tão ousado por seu orgulho e altivez, que apesar de ponderar por alguns instantes, não quis considerar a bem-aventurança de sua alma... . Acha que o diabo não é tão feio como se pinta nem o inferno tão quente quanto se diz, etc." Numa carta que deixa para a posteridade, especialmente para seus alunos, o Dr. Fausto diz quando e porque resolvera se meter com Mefisto:

> Depois de haver me proposto a estudar os elementos, não tendo tal habilidade através das dádivas que me foram concedidas com benevolência das alturas e nem podendo aprender tais coisas com os homens. p. 23

Logo então se põe a "especular os elementos... dia e noite... pretendendo descobrir os fundamentos de tudo, tanto no céu quanto na terra"[8]. É, portanto, a partir da consciência de sua limitação que Fausto renuncia a Deus. E o faz "com altivez orgulhosa, desespero, ousadia e atrevimento" (p. 22), tornando-se irreversivelmente um sócio do diabo, pois a gravidade de seus pecados e sua obstinação não permitem um verdadeiro arrependimento. Como doutor em Teologia, conhecedor das Escrituras, deve estar ciente das consequências de seu passo. "Quem conhece a vontade de Deus e não lhe obedece, pecará duas vezes" (p. 15). Não é por acaso que o editor protestante Spies acentua tanto a gravidade desta forma de pecar. Ela é, segundo esta religião, o único pecado sem perdão. O Editor deixa em aberto se a salvação da alma de um verdadeiro pecador seria possível nessas circunstâncias. No caso específico de Fausto, sua absolvição é excluída devido à sua teimosia e obstinação. Vacilação e ocasionais idéias de liberação das garras do diabo são constantemente mencionadas, mas logo em seguida ele se desvia dessas

idéias e comete erros ainda maiores, ou se submete à ameaças brutais do diabo. Seu medo do perigo imediato é maior do que sua confiança em Deus, até que é tarde demais para qualquer arrependimento. O narrador se aproveita destes episódios para fazer outros comentários didáticos que são colocados no presente para maior efeito, enquanto as ações de Fausto são apontadas no imperfeito ou, mais raramente, no presente histórico. O leitor pode portanto concluir que até mesmo um grande pecador pode se converter caso venha a se arrepender sinceramente. Mas Fausto reprime tanto os pensamentos dirigidos ao seu futuro próximo quanto aqueles relacionados à eternidade no inferno. Ele "não crê que exista um Deus, inferno ou diabo e nega que corpo e alma morram juntos" (p. 28). Somente no último mês sente as consequências do pacto, e começa a se lamentar (p. 119 em diante). Condena sua própria razão, ousadia, teimosia e libertinagem, sua cegueira e inconsenquência, voluptuosidade temporária e seu comodismo, e mesmo assim não se dirige a Deus e se amaldiçoa. Mefisto lhe aparece e o adverte quanto ao cumprimento de sua promessa. Aqui é óbvio que as rimas criadas por Spies para a fala de Mefisto neste encontro-chave se dirigem tanto a Fausto quanto ao leitor. E assim prossegue a técnica didática do autor. Sempre fazendo uso de ditos populares e de analogias que refletem as repercussões dos pecados de Fausto, Spies consegue gradativamente examinar a questão do espírito fáustico num contexto mais amplo.

A morte de Fausto vem como um clímax há muito esperado através dos detalhes, mas seu fim havia sido antecipado já no próprio subtítulo, onde Spies indica a condenação sem saída de Fausto, não esquecendo de esclarecer seu envolvimento cada vez maior com o submundo diabólico. Contudo, Spies reserva um pouco de misericórdia para Fausto, e esta vem através de seus amigos que conseguem pelo menos enterrá-lo em sua aldeia, mesmo se não for em terra santa. Para terminar, o autor repete sua advertência aos leitores: que aprendam com o destino de Fausto, e lhes deseja a bem-aventurança em Cristo, ao que ele responde dramaticamente com três "amêns".

2. MARLOWE

Marlowe toma conhecimento da matéria de Fausto através do *English Faust Book* de aproximadamente 1590, tradução esta, segundo Frenzel[9], espiritualizada. Estudos sobre *Tamburlaine* mostram que Marlowe aprofunda-se em suas fontes, mantém-se nelas e as amplia em certos pontos. O mesmo evidentemente acontece com sua versão de "Fausto". Talvez algumas particularidades do destino de Fausto tivessem levado Marlowe a se lembrar de sua própria biografia. Ele também fora estudante seminarista e depois tornara-se ateu. A intenção no *Faust Book* é, na verdade, advertir e intimidar o leitor, e sobretudo descrever o sábio que, tal qual um intelectual da Renascença — assim como Marlowe — se deixa levar pela verdadeira curiosidade, pelo gosto da beleza e pela antiguidade clássica[10].

Marlowe estiliza a lascividade explícita com que o *Volksbuch* alemão trata do encontro de Fausto e Helena e vê na atitude deste uma justificada busca da paixão pela beleza como forma de complementação e satisfação. O Fausto de Marlowe não se ocupa somente de sua luxúria e gula. É também um pensador e artista por excelência,e ele traça, passo a passo, seu próprio destino[11]. As palavras de Horácio dirigidas a Hamlet, "Now cracks a noble heart" (*Hamlet*, V.2, v. 357), que Boas cita neste contexto[12], também se adaptam a este outro famoso estudante de Wittemberg, Fausto. Se o estilo de *Volksbuch* foi bastante inflexível e hipócrita, a maior glória de Marlowe reside no fato de ter dado uma forma artísticamente bem estruturada, além de ter liberado Fausto, pelo menos parcialmente, do rótulo unilateral de "charlatão". A estrutura da peça que se concentra no Fausto sobrehumano reflete um rítmo dialético entre manifestações sentimentais contraditórias, como a teimosia e o arrependimento, nas oposições entre o bom e o mau anjo, bíblia e magia, cenas trágicas e cômicas[13],versos brancos e cenas em prosa.

A exclusão do narrador através do drama, forma escolhida por Marlowe, possibilita uma apresentação neutra dos atos de Fausto. Assim, o leitor ou expectador não é coagido a uma perspectiva pou

co sutil. O coro, que age como elemento épico e tem função de comentador, conta no prólogo da "História Trágica" (sem outro sub-título com teor antipropagandista) das "fortunas de Fausto boas ou más" (I, Prol., v.8)[14] e apela ao "julgamento paciente" (v.9). O sucesso de Fausto-teólogo é, no entanto, sombreado:

> Swoln with cunning, of a self-conceit/ His waxen wings did mount above his reach,/ And, melting, heavens conspir'd his over-throw;/ For, falling to a devilish exercise,/ And glutted now with learning's golden gifts,/ He surfeits upon necromancy.
>
> I, Prol., v. 20 em ad.

Aqui, o *tragic flaw* de Fausto é compreendido como *hibris* no sentido do antigo mito de Ícaro, enquanto o *Volksbuch* o compara aos gigantes que se levantaram contra Deus.

O grande monólogo da primeira cena mostra um Fausto como sério estudioso. "Stupendium pecati mors est" (a morte e o pagamento do pecado) (v. 39) já entoa o motivo de seu destino. Ele finalmente abandona a teologia e a crença, pois "Si pecasse negamur, fallimur/ Et nulla est in nobis veritas". (Se negamos ter pecado, nós erramos,/ E nenhuma verdade há em nós). (v.41-42). O homem precisa pecar e consequentemente morrer para todo o sempre. A partir de então, Fausto aceita o lacônico "che sera, sera" como seu lema (v. 49) e dedica-se à magia negra, que promete um mundo de lazer e do qual ele tiraria fácil proveito, poder, honra e onipotência (v. 54-55), crendo que assim seria mais poderoso do que um rei ou imperador, pois "a sound magician is a demi-god" (v. 63). Sua vaidade progride para o *hibris*. Este motivo repete-se várias vezes (por exemplo I, 3, v. 33-34, 94; III, 1, v. 62), bem nitidamente em "The God thou serv'st is thine own appetite" (II, 1, v.11). A fraqueza de Fausto é estimulada pelo anjo mau: "Think of honour and of wealth" (II, 1. v. 33).

A assinatura do contrato mostra uma inversão da situação que *Mateus* 26 descreve como tipicamente humana: o espírito anticristão de Fausto é fraco e se submete à tentação, enquanto a carne é forte e resiste. Quando ele diz "Faustus offers thee his

soul" (II, 2, v.62), o sangue coagula e ele não consegue continuar escrevendo. A racionalização de sua arrogância ("is not thy soul thine own?" (v.68)) faz com que a parte mais forte se sobreponha, podendo ele assim concluir o contrato. Seu corpo ainda não é vencido; "homo fuge" aparece escrito em seu braço (v. 77). Mefistófeles o ilude com coroas e pomposas vestimentas e assim o distrai. Esta cena deixa bem claro para o público que o mal de Fausto sai dos seus desejos espirituais e intelectuais e não da sua fraqueza carnal, como é comum nos homens. A prescrição na obra de Marlowe é copiada quase literalmente do *Volksbuch*, ou seja, do *English Faust Book*. No entanto, as reflexões de Fausto sobre os serviços que espera de Mefisto esclarecem o que lhe é mais importante e o motiva: "By him I'll be great Emperor of the world" (I, 3. v.94-95). Após a assinatura do contrato, Fausto começa a satisfazer sua sede de saber, mas logo depois exige uma mulher. Apesar disso, posteriormente é considerado um sábio. O coro conta no prólogo do quarto ato:

> They put forth questions of astrology,/ Which Faustus answered with such learned skill./ As they admir'd and wonder'd at his wit:/ Now is his fame spread forth in every land.
>
> IV, Prol., v. 9 em ad.

Dois anjos acompanham Fausto no decorrer da tragédia. O bom, enviado de Deus, lhe oferece repetidamente a possibilidade de voltar atrás, o que ele recusa por força de sua própria vontade e da influência de Mefisto. Depois da proscrição ele medita sobre seu destino e conclui que deveria se arrepender, se o "doce prazer" (II, 2, v. 25) não tivesse vencido seu desespero. Esse "doce prazer" ele não associa às brincadeiras indecorosas de Fausto em *Volksbuch*, mas à arte e beleza dos cantos de Homero (v. 26).

Somente no quinto ato, Fausto verdadeiramente nega o mundo divino, o qual continuava à sua disposição, simbolizado pelo bom anjo que um velho presente nesta cena vê sobre sua cabeça (v. 1, v. 69). "Yet, yet, thou hast an amiable soul./ If sin by custon grow

not into nature:/ Then, Faustus, will repentance come too late." (V,1. v. 43 em ad.) Isto lhe é avisado ainda em V,1. Mas Fausto precisa de tempo para pensar, tempo este que Mefisto utiliza para induzí-lo ameaçadoramente a assinar um segundo contrato. Em seguida, Fausto manda Mefisto estraçalhar o velho, motivo que Goethe reitera no episódio de Philemon e Baucis de uma maneira muito mais sutil. O fato do velho conseguir salvar sua alma imediatamente após a destruição de seu corpo é um indício da impotência que tem o diabo de controlar à alma dos crentes. Culpando-se da morte do velho e não entendendo a possibilidade de salvar sua alma, mesmo acabando com sua vida terrena nas garras do diabo, Fausto fecha para sempre as portas para o além. Mefisto o recompensa com o aparecimento de Helena. Quando Fausto beija Helena, sua alma o abandona, e ele encontra uma imortalidade ilusória nos braços da beleza ideal. "Sweet Helen, make me immortal with a kiss, /.../ there will I dwell, for Heaven's in these lips." (Compare-se aqui a formulação das palavras na obra de Goethe: "...verweile doch..." (continua aqui! Não te vás!) (v.1700)[15], quando a aspiração de Fausto é satisfeita).

Após este curto clímax, o tempo expira e Fausto começa realmente a se arrepender e expõe seus motivos ao público. "I gave them my soul for my cunning . /.../ For vain pleasure of four and twenty years/ Hath Faustus lost eternal joy and felicity." (V,2, v. 63 e 67/68) Ele amaldiçoa seu tentador e ouve o julgamento de seu bom anjo: "In what resplendent glory thou hadst sit,/ In yonder throne, like those bright shining saints,/ And triumph'd over hell; this hast thou lost." (V,2,155 em ad.) No último grandioso monólogo Fausto, amaldiçoando-se a si mesmo, assume finalmente sua culpa. (v. 185). Apesar do seu fim terrível, seus alunos resolvem enterrá-lo decorosamente "yet for he was a scholar" (V,3, v.5). Somente no epílogo o coro profere a moral da queda de Fausto e adverte os espectadores que:

> ...regard this hellish fall,/ Whose fiendful fortune may exhort the wise,/ Only to wonder at unlawful things,/Whose deepness doth entice such forward wits/ To practice more than heavenly power permits.
>
> (V, epilogue)

3. LESSING

Já os espetáculos populares nas regiões católicas da Alemanha, surgidos no século XVII, mostravam tendências de perdoar Fausto, caso mostrasse seu arrependimento e cumprisse a merecida penitência. Mas só o espírito burguês-humanista da segunda parte do século XVIII possibilitou uma transição decisiva[16], porque nesta época se impôs a emancipação do dogma escolástico do conhecimento. A nova idéia da ciência, que se desenvolveu a partir do interesse não convencional pelas ciências naturais e que deu o título do livro de Blumenberg — "mudança copernicana" — está dentro do contexto de "uma reavaliação na auto-compreensão do homem e de uma divisão cada vez mais pronunciada entre suas possibilidades transcendentais de salvação e sua auto-afirmação dentro do mundo temporal"[17]. No entanto, na Idade Média a idéia de dependência absoluta do mundo de Deus obrigou os sábios a comprovar esta dependência de uma maneira sistemática na física e na cosmologia[18]. Fausto agora pode também ser colocado neste espaço intelectual que foi a condição prévia para as conclusões revolucionárias de Copérnico. Goethe achou nas *Revolutiones* "um desafio à humanidade", a abertura de uma "liberdade intelectual e de uma grandeza no modo de pensar até então desconhecidas e que estavam para além da imaginação"[19]. Agora o pecado irreversível já não consiste mais em apenas duvidar e superar finalmente os limites que se criam impostos ao homem, por assim dizer apanhando a fruta da "árvore da sabedoria". São as intenções nas quais se baseia este ato, e os meios usados que se tornam relevantes.

Tomando-se em conta a importância que a cosmologia tinha dentro do sistema científico na Idade Média, é quase natural que, em todas as versões, as perguntas de Fausto a Mefisto se situem no campo da física celeste. Com isso, Fausto pode agora ser considerado como precursor de uma transição dentro do vácuo intelectual que estava se formando e que, pela primeira vez, possibilitou o questionamento das bases da física, independentemente da metafísica. Ao mesmo tempo, este vácuo foi a condição para o desenvolvimento

de uma consciência burguesa emancipada. Essa, por sua vez, reconhece a negatividade dos absolutismos teológicos e procura substituir pelo uso da razão suas fórmulas teórico-cognitivas.

Foi reservado a Lessing, representante principal do esclarecimento alemão, apresentar a contradição em Fausto entre "suas chances transcendentais de salvação e sua auto-afirmação dentro do mundo temporal", conciliá-las e, consequentemente, prometer a salvação de Fausto. O fragmento *Fausto* de Lessing leva a supor tal feliz conclusão do drama. Isto é confirmado na carta de v. Bankenburg, na qual se lembra que Lessing faz os anjos exclamarem no final da peça: "Não triunfem: a divindade não deu ao homem o mais nobre dos impulsos para jogá-lo na infelicidade eterna"[20]. A culpa de Fausto consiste na exigência megalomaníaca de ser onisciente aqui e agora, de "ter uma sede insaciável pela ciência e pelo conhecimento", como o descreve Mefisto. "Ter curiosidade em excesso é um defeito, e todos os vícios podem nascer de um defeito, isto é, se o homem se entrega em demasia ao defeito", diz o diabo superior. "Então ele é meu, e mais certamente meu que se fosse por qualquer outro caso de vício." (p. 977.)

A luta de Fausto com o tentador que está dentro dele é sobreposta pela disputa entre Satã e o anjo. O demônio escolheu Fausto como uma vítima muito atraente, porque ele é descrito pelos seus mensageiros diabólicos como homem "insubordinável, sem paixões, sem fraquezas," (p. 984). O anjo induz Fausto a um sono profundo e apresenta a Mefisto, encarregado por Satã da sedução de Fausto, um fantasma no seu lugar. O verdadeiro Fausto então vive tudo isso como se fosse sonho. A cena II,3 do fragmento, que foi recuperada, mostra sua consciência de estar pecando devido ao pacto com o diabo; porém não acredita que a vingança de Deus chegue logo. Fausto brinca com a condenação mas escapa ao tentador pela volta inesperada que Lessing dá ao drama. Engel , que havia visto a obra completa, disse em carta a Karl Lessing, irmão e editor da obra de Gotthold Ephraim Lessing, que Fausto agradece "a Providência pela advertência recebida através de um sonho tão instrutivo. Agora está mais firme do que nunca na verdade e na virtude." (p.988).

V.Blankenburg, na carta já citada, sente o perigo da exigência

incondicional pelo saber, como salienta a Karl Lessing: "O senhor vai sentir sem qualquer exclamação minha, tudo que contém esta idéia; ela seria, talvez, maliciosa demais, se a solução da peça não tranquilizasse a humanidade" (p. 984). No final que Lessing dá ao drama, segundo v. Blankenburg, uma "aparição do mundo superior" interrompe os precoces cantos triunfais dos diabos "da maneira mais inesperada, porém mais natural, e para todo mundo mais tranquilizante. ... 'Vocês não venceram... O que vocês viram e acham que possuíam não é nada mais que um fantasma'. (p. 985). Assim fala o anjo da Providência aos diabos, o mesmo que já no encontro com eles no primeiro ato tinha profetizado: "Vocês não vencerão", como informa Engel. (p. 988).

Embora Lessing dê a entender implicitamente que foi "o mais nobre impulso humano" que desencadeou o pecado original, não assume uma posição definitiva diante deste problema. Sua peça chegou a nós apenas em forma de fragmento. Lessing possibilita a Fausto a experiência de realizar o pacto com o demônio e de aprender a lição daí resultante sem comprometê-lo, nem comprometer-se.

4. GOETHE

Goethe, em sua *Tragédia, primeira e segunda parte* modifica a matéria de Fausto em três pontos fundamentais:

1) O "Prólogo no Céu" introduz Fausto como "servo de Deus", que "irrt, solang er strebt" (v. 3178)[21] (erra... enquanto a algo aspira) (p.38)[22]. A relação Fausto-Mefisto justapõe-se à disputa entre Mefisto e Deus. Fausto representa explicitamente a humanidade na sua aspiração.

2) O pacto de Fausto com o diabo é feito em forma de uma aposta, e não como um acordo final. A condição pela qual Fausto perderá a aposta e sua alma é que ele encontre a satisfação no momento e assim contrarie o mandato divino.

3) As experiências de Fausto, além dos planos tradicionais do co-

nhecimento científico, impulso pela beleza, pelo poder e pela paixão satisfeita e da gula epicurêia, são ampliadas pelo campo da atividade social, que lhe permite aplicar produtivamente, na sociedade, as forças que lhe são concedidas.

Todos os três pontos tornam improvável uma condenação final de Fausto. Pelo menos o primeiro deles talvez a exclua totalmente, pois levaria ao absurdo o julgamento que Deus faz de Fausto no Prólogo:

> Wenn er mir jetzt auch nur verworren dient,/ So werd' ich bald ihn in die Klarheit führen./ Weiss doch der Gärtner, wenn das Bäumchen grünt," dass Blüt' und Frucht die künft' gen Jahre zieren.
>
> (Se em confusão me serve ainda agora,/ Daqui em breve o levarei à luz./ Quando verdeja o arbusto, o cultor não ignora/ Que no futuro fruta e flor produz.)
>
> v. 308 em ad./p. 37

Também "Ein guter Mensch in seinen dunklen Drange/ Ist sich des rechten Weges wohl bewusst" (v. 328 em ad.) (Um homem de bem, na aspiração que, obscura, o anima, /Da trilha certa se acha sempre a par, p. 38) indica uma possível solução positiva. Fausto, a quem Deus chama de "meu servo" (v. 299), certamente pertence a estes "homens de bem", ainda que use meios ilícitos para alcançar seus objetivos e no cumprimento do seu mandato divino. Consequentemente Fausto é culpado diante de Deus e dos homens. Sua culpa se torna mais evidente nos episódios das mortes de Gretchen, Valentin, Philemon e Baucis. Fausto é apresentado no conceito específico de Goethe como um "homem de possibilidades", cuja vida se abre a diferentes formas existenciais.

Goethe não deixa Deus explicar o princípio fundamental da ambição humana, nem em que consiste a "claridade" e para onde leva a "trilha certa". De maneira semelhante, no *Wilhelm Meister*, Goethe propõe o tema central, a educação; como uma pedagogia pragmática, na qual o indivíduo se educa por sua disputa crítica e interação que tem com o mundo. Em *Fausto* é o hino dos anjos sobre o mundo maravilhoso que leva a entender, desde o prólogo, o sol como símbolo e ponto central da criação divina, como o "supremo prin-

cípio" da vida. Seu acordo

> Ihr Anblick gibt den Engeln Stärke,/ Wenn keiner sie ergründen mag;/ Die unbegreiflich hohen Werke/ Sind herrlich wie am ersten Tag.
>
> (Anima os anjos a visão/ De incrustável harmonia! / Da obra máxima a imensidão/ Pasma, qual no primeiro dia.)
>
> v. 247 em ad. /p. 36

Explica quão insondável é Deus e deixa implícita a posição panteísta de Goethe, isto é, que Deus é onipresente na natureza, e que ele e sua perfeição deduzidos dela. Daí já a resposta à pergunta-chave de Fausto. Segundo o *Genesis*, o homem é a coroação da criação, e, se a obra de Deus "pasma qual no primeiro dia", ou seja, se se encontra no estado paradisíaco de antes do pecado original, o homem também não é necessariamente submetido à condenação. Lukács faz uma acertada observação quanto ao problema do "ponto central" em *Fausto*: ele cita Goethe, e o que este deduz dos exercícios interpretativos que os filósofos fizeram sobre sua obra. Goethe concorda com as observações críticas e diz: "Tem que haver alguma coisa no livrinho (*Fausto* (!) e passar pelo livrinho algo que indique o ponto central, a idéia que se manifesta em tudo e em cada coisa". Então Lukács assim expõe o que seria uma idéia poética para Goethe:

> Um ponto central invisível, no qual se concentra um conceito do mundo, e do qual — sem que o ponto central esteja tratado explicitamente ou mesmo manifestado — a ordem das partes se torna nítida e compreensível, atinge a universalidade genérica, sem perder a sensualidade imediata da individualização[23].

É o próprio Mefisto que fala no "Prólogo no Céu" sobre a ambição insaciável de Fausto: nada "...lhe contenta o tumultuoso peito" (v. 307,p.37). Mefisto não reconhece que ele mesmo também depende de Deus, tendo um lugar fixo no mundo divino e atuando segundo o conceito do senhor se leva o homem à tentação, pois "Der Menschen Tätigkeit kann allzuleicht erschlaffen" (O humano afã tende a afrouxar ligeiro) (v. 340, p. 38), diz Deus. Fausto tam-

bem sabe que o demônio não alcança o homem em sua grande ambição (v.1676 em adiante). A aposta entre Fausto e Mefisto está totalmente enquadrada no conceito de Deus, pois Fausto se vê como um homem que quer sempre lutar para cumprir sua tarefa na vida e que se perderia "Werd ich beruhigt je mich auf ein Faulbett legen, /.../ Werd' ich zum Augenblicke sagen: /Verweile doch, Du bist so schön!" (Se eu me estirar; jamais num leito de lazer, /.../ se vier um dia em que ao momento/ disser: Oh, pára! És tão formoso!) (V. 1972 e 99 em ad., p. 83, cf. 15). Sem saber, ele se identifica aos homens sob a exigência divina que é expressa no prólogo ("... o humano afã...") e está ciente do seu perigo ("... tende a afrouxar ligeiro"). Ele se mostra como um verdadeiro servo de seu Senhor apropriando-se das categorias de Deus. Os meios e instrumentos de que faz uso para satisfazer sua ambição, ou seja, o pacto com o demônio, têm uma importância relativamente menor e ainda não significam o pecado definitivo. Ao contrário, Deus cede ao homem o direito de errar continuadamente. Vivendo sua "existência de múltiplas possibilidades", que o leva, com a ajuda de Mefisto, a muitos, talvez a todos os âmbitos da vida humana, Fausto realmente vive todas as experiências da humanidade, como já previa em sua conversa com Mefisto depois do pacto:

> Und was der ganzen Menschheit zugeteilt ist, / Will ich in meinem Innern selbst geniessen,/ Mit meinem Geist das Höchst' und Tiefste greifen,/ Ihr Wohl und Weh auf meinem Busen häufen,/ Und so mein eigen Selbst zu ihrem Selbst erweitern.
> (Quero gozar no próprio Eu, a fundo,/ Com a alma lhe colher o vil e o mais perfeito,/ Juntar-lhe a dor e o bem-estar no peito,/ E, destarte, ao seu Ser ampliar meu próprio Ser,/ E, com ela, afinal, também eu parecer.9
> v. 1770 em ad.)[25].

Como Fausto faz sua volta ao mundo na qualidade de representante de toda a humanidade, ele não se dispõe ao arrependimento pelos pecados cometidos, como Lukács observa[24], sendo isto uma categoria moral individualizada.

Fausto usa os poderes que Mefisto coloca à sua disposição na procura do conhecimento daquilo, "... was die Welt/ Im Innersten zusammenhält" (... que a este mundo/ liga em seu âmago profundo...) (v. 382 em ad., p. 41), a pergunta central, que o move, que ele quer responder no sentido do Senhor. O canto dos sílfides purifica a culpa que ele carrega desde a primeira parte da tragédia, e o devolve à "luz sagrada" (v. 4633), o sol. Nesta primeira cena da segunda parte Fausto atinge seu objetivo teórico de reconhecimento quando compreende, agora modesto e contente (ou maduro), a limitação humana. Do arco-íris diz: "Der spiegelt ab das menschliche Bestreben. Ihn sinne nach, und du begreifst genauer: Am farbigen Abglanz haben wir das Leben." (É ele que reflete a ânsia humana. Medite sobre ele, e entenderá mais exatamente: Temos, no espelho colorido, a vida.) (v. 4727 em ad.)[21]. A última razão "que a este mundo/ liga em seu âmago profundo", só pode ser reconhecida por seus efeitos, quer dizer, o absoluto se mostra de uma maneira indireta. O sol deslumbra Fausto com seu brilho, fazendo-o virar as costas. Dele Fausto só pode ver e compreender o reflexo, ou seja, o arco-íris. O sol simboliza na visão panteísta de Goethe a natureza, a vida, Deus. Esta imagem é fundamental para entender a filosofia de Goethe e a mudança que o caminho de Fausto toma a partir desta primeira cena da segunda parte. Dele se infere a limitação do homem, pois só pode apreender estes conceitos indiretamente.

No último plano de suas experiências, o trabalho prático social e político, Fausto se sai bem como Deus e ele mesmo o haviam exigido — "Nur rastlos betätigt sich der Mann" (Panteia-se o homem na incessante ação) (v. 1759, p.85). Isto pode acontecer só depois que o gozo do prazer e da glória o depuraram[26]. O sentido da 2a. parte da tragédia consiste, segundo uma citação do velho Goethe, em "gozo de atividades e criação" em contraste ao "gozo de vida" da primeira parte[27]. Ao superar as tragédias[28] das estações individuais de seu caminho, Fausto finalmente consegue sua "satisfação" numa visão de possibilidades para o futuro. A tão procurada "Weisheit letzter Schluss" (Da razão...a suprema luz) ele reconhece em: "Nur der verdient sich Freiheit und das Leben,/ der täglich sie erobern muss" (À liberdade e à vida só faz jus,/ Quem tem de conquistá-las diariamente) (v.11574 em ad.,p. 436).

Por seu pressentimento desta felicidade, que corresponde à multiplicidade de suas possibilidades como indivíduo, e por cumprir a exigência divina ele pode dizer:

> Auf freiem Grund mit freiem Volk stehn. / Zum Augenblicke dürft' ich sagen:/ Verweile doch, du bist so schön!.../ Im Vergefühl von solchem Glück/ Geniess' ich jetzt den höchsten Augenblick.
>
> (Em solo livre ver-me em meio de um livre povo./ Sim, do momento então diria:/ Oh! para enfim — és tão formoso!/ .../ Na ima presciência desse altíssimo contento,/ Vivo ora o máximo, único momento,)
>
> v.11589 em ad., p. 436

Com isto não perde sua aposta com Mefisto, mesmo que este ache que sim. Mefisto entende por "gozar" apenas uma satisfação sensual no presente.

Depois deste grandioso momento, Fausto morre, contente e sem a interferência de Mefisto. Apesar do fato de Fausto talvez ter pecado contra a ordem divina por não parar de se esforçar, também este servo de Deus, que erra como todos os homens, pode alcançar a misericórdia divina. Os anjos levam a alma imortal de Fausto para cima porque: "Wer immer strebend sich bemüht,/ Den können wir erlösen" (Quem aspirar, lutando, ao alvo, / à redenção podemos trazer.) (v. 11936 em ad, p.447)[29].Fausto pôde entrar no céu escapando às garras dos diabos raivosos. Ele não é condenado pelo pacto com o demônio, mas sua vida é julgada segundo sua capacidade de aspirar, o que é, na visão de Goethe, a qualidade mais importante exigida aos homens por Deus.

♀ ♀ ♀ ♀ ♀ ♀ ♀

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NOTAS

1. Wiemken, p. XXX.
2. Uma antologia das mais significantes obras, editadas por Eike Middell, contêm 47 versões.
3. Wiemken, p. X.
4. Citações do texto segundo edição de Wiemken.
5. Cf. Wiemken, p. LIII.
6. Ibidem.
7. Cf. Wiemken, p. LVI.
8. Tradução segundo Erwin Theodor, p. 2.
9. Frenzel, p. 174.
10. Cf. Boas, p. 35 em ad.
11. Cf. Boas, p. 40 em ad.
12. Idem, p. 41.
13. Cf. Frenzel, p. 174.
14. Citações do texto segundo edição de Boas.
15. Prefere aqui a tradução mais livre de Erwin Theodor (p. 13) àquela de Jenny Segall Klein ("Oh, pára!", p. 83), porque expressa mais claramente a importância destas palavras-chaves de toda a obra.
16. Cf. Frenzel, p. 175.
17. Blimenberg, p. 9.
18. Ibidem.
19. Materialien zur Geschichte der Farbenlehre, citado segundo Blimenberg. p. 122.
20. Citações do texto segundo edição de Stenzel. As traduções são minhas.
21. Citações do texto segundo edição de Trunz.
22. As traduções são de Jenny Klein Segall.
23. Luckács, p.
24. Idem, p. 156.
25. Tradução minha por não concordar com a tradução de Jenny Klein Segall que julgo incompleta: "Vês a ânsia humana nele refletida; / Temos, no espelho colorido, a vida." (p. 210.
26. Lukács, p. 155.

27. Citação segundo Likács, p. 142.
28. Cf. Lukács, p. 142.
29. Tradução minha por não concordar com Jenny Klein Segall que diz "traremos" (p. 447). No original a possibilidade de alcançar a graça divina é bem mais explícita e não pode ser desprezada.

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How do people speak in Nof Ca'lina?

Rosa Maria Neves da Silva

INTRODUCTION

The present work studies the speech of a standard Southern-Midland speaker of American English. The informant is a resident and native of Charlotte, North Carolina, belonging to the area of the Apalachians and the Blue Ridge Mountains, which goes from the Pennsylvania line to northern Georgia . There is no dominant population center in this area and the speech features can occur either in the South or the South Midland.

METHOD

This study was based on a questionnaire, part of a project at the Center for American English of the Illinois Institute of Technology.

The material contains 239 questions and a text to be read. All the material was recorded, the informant being questioned, asked to read the text and finally, asked to speak freely. Two 3-hour interviews were required to complete the recording.

The researcher accounted mostly for vowel sounds used is significant environments, like when they occur before r, l stops and nasals, the production of the th sounds, clusters, and major consonants.

To help the distribution and organization of the sounds, a test used by Labov[1] was checked as a model. The words were displaced in groups according to specific environments and needs. A description of each group and its peculiarities follows the examples which are shown with phonetic transcription.This transcription is meant to be as closer to the actual sound as possible.For this purpose and reason,as for better comprehension of this paper, a description of the used symbols follows this introduction.

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[1] William Labov, *Study of Nonstandard English.*

LIST OF PHONETIC SYMBOLS AND DIACRITICS

/ / used to indicate a phonemic reference.

[ ] used to indicate a phonetic reference.

[ː] the colon is placed after vowels to indicate long vowels.

[ˑ] a dot after a vowel indicates half-long sound.

[̃] indicates nasalization.

[ʰ] indicates aspirated sound.

[̦] indicates lack of aspiration.

[̥] this sign placed under a consonant indicates voiceless sound.

[ʔ] shows glottalized stops.

[̩] the sign (,) indicates syllabication, as in [ˈmæ̃vʔn̩] mountain.

[ʷ] indicates labiolization.

[̚] indicates that the sound is unreleased.

[̝] it is placed under a vowel to indicate that the vowel is lower.

[c] indicates the palatal /k/.

[ɬ] indicates the velar /l/.

Primary stress is indicated by a vertical line placed before the stressed syllable. Secondary stress is indicated by a vertical line (inferior) placed before the syllable as in [ˈblækˌbɔəˌd] blackboard.

Although not a very large territory, the state reveals language characteristics which differ radically between the coastal line and the inland speakers.

It is well known that North Carolina is a region where the r-less speech is universal. However, the central coast still hears a marked retroflection of postvocalic /r/.

A striking difference between the speech of the coastal population and that of the inland people is the treatment of the diphtong /aI/ which is [ãɪ] on the coast and [aɪ] before voiceless consonants and [a.] before voiced consonants in the inland.

Other features typical of the coastal line are:

- a fronting of the vowels /u/, /ʌ/ and /U/.
- the pronunciation of /o/ which comes out as /əʊ/

The features listed below are common to speakers all over the state:

- final stops are unreleased.
- final [-ŋ] in participles comes out as [-n].
- initial [sr] appears instead of [ʃr] for some speakers.
- you all or y'all are plural forms for you.
- [ɪ] stands for [ɛ] as in pin, pen, although not with marked frequency on the Outer Banks Islands.
- words like sit, set and sat generally sound as if they were only one word containing the sound [ɛ].
- [æ] is usually prolonged to produce [æᵊ] or [æɪ] and sometimes [æᴵjə]
- the diphtong [aI] comes out as [ɔI]. Although strange, the variant is heard all over the territory being more frequent along the coastal line. Among the Irish settlers of the Blue Ridge Mountains the variant changes to [ʌI] or [ɜI].
- The curious substitution of [aI] for [aU] can also be heard

all over and careful studies done previously by a number of researchers have proved it to be a deviation produced naturally by many speakers.

- Already suggested by Kurath and McDavid[1] [æʊ], [ɛʊ] and [ʌʊ] appears instead of [aʊ] with great frequency.
- A clear constriction of the mid central [ɜ] is heard determining the "r quality" given to the sound.
- [ə] is more frequently heard than [ɚ] in unaccented position in the end of a word.

Given the above description, the researcher now hopes that the following interview accomplish the expected results. Let us now enter the world of an American English speaker of North Carolina.

THE VOWELS

The vowels are studied in this paper according to the following distribution:

i I	ɨ	ʊ ʉ
e ɛ	ɝ ɜ ɚ ə	ɔ o
æ ɑ		ɑ ɒ

The mid front tense [e] appears in Mary, [ˈmɛːrɪ] marry [ˈmɛːrɪ] and married [ˈmɛːrɪd̚] as opposed to the mid front lax [ɛ] in merry; [ˈmɛːrɪ]

Bat and bet are [ˈbæ̝t] and [bɛt], the first one showing a sound between the mid front [ɛ] and the low front [æ]. This sound characterizes some words in which the sound [æ] could be expected, specially before /r/.

[1]Hans Kurath and Raven I. McDavid, Jr., *The Pronunciation of English in the Atlantic States* (Ann Arbor: The University of Michigan Press) maps 28 and 29.

One of the clearest sounds in this informant's speech, [æ] is long in any environment, following the same pattern as the long /a/. In some words it also seems to be lower. Words like parents [ˈpʰæ̃:rɪnts] and attic [ˈæ:ʃɪk̚] are examples. However, this sound is many times confusing sounding like [e], which makes it very difficult to distinguish.

[æ] is always nasalized specially before nasals [m, n]. Hammer [ˈhæ̃:mə] apple [ˈæpl̩] can't [kʰæ̃:nt]

The mid central [ɜ] is dominant in stressed syllables in words like:

butter [ˈbɜʃə] yolk [ˈjɜk̚]
butt [ˈbɜt] roof [rɜf]

[ɝ] appears in third

third [ɝd] stirrup [ˈstɝəpˀ]
purse [pʰɝs] forniture [ˈfɝnɪʧə]
sermon [ˈsɝmən]

The schwa [ə] substitutes this sound in unstressed syllables and also appears instead of /r/ after vowels. See sermon and butter.

The low back rounded [ɒ] in balm [bɒ:m̩] and palm [pʰɒ:m̩] becomes lower in bomb [ˈbɑ:mb̩].

The same rounded [ɒ] in caught [kʰɒ:tˀ] becomes the unrounded [ɑ] in cot [kʰɑ:tˀ]

The low front [æ] in cab [kʰæ̃:b̩] becomes the low back [ɑ] in cob [kʰɑ:b̩]

Notice that the length of the vowel is changed from [kʰɒ:tˀ] to [kʰɑ:tˀ]

The long [ɑ:] is, therefore, the dominant sound everywhere as well as [æ:]:

hat [ˈhæ̃:tˀ]
hod [ˈhɑ:d̩] calf [kʰæ̃:f]
hot [ˈhɑ:tˀ] cab [kʰæ̃:b̩]
cob [ˈhɑ:b̩]

The low back rounded [ɒ] is sometimes confused with the mid back unrounded [ɔ] in words like dog [dɔ:g̩] and in some diphtongs which will be described later in this paper.

DIPHTONGS

Noticeable are the changing in the regular American diphtong [aʊ] shown as slow diphtong in all positions but changed into [æʊ] in most words like:
cow [ˈkʰæ̃:ʊ], house [ˈhæ:ʊs], used before voiceless nasals as in pounds [ˈpʰæ̃:ʊn̥dz] and mountains [ˈmæ̃:ʊʔn̥z] and being nasalized everywhere.

A second variation is the diphtong [ɜʊ] as in boat [ˈbɜʊtˀ] and in coat [kʰɜʊtˀ] goat [ˈgɜʊtˀ] and go [ˈgɜʊ].
This diphtong remains as a strong feature coming from the British influence in the area.

A diphtong [eɪ] appears in dance [ˈdeɪ̃n̥s] and chair [ˈʧeɪə˞] also being nasalized before nasal consonants.

[ɜə] appears in theater [ˈθɜəʧə]
Other diphtongs are formed by the occurrence of a schwa in postvocalic position substituting the /r/, while few triphtongs are also noticed for the same reason. (See the study of /r/.)
The diphtong [ou] is usually shorter than the dipthong [æʊ] and very rarely occurs.

THE CONSONANTS

THE STOPS: The voiced stop /d/ is voiceless in final position as in the following examples:
bread [ˈbrɛd̥]
spoiled [sˈpɔəɪ̯d̥]
boiled [ˈbɔəɪ̯d̥]
scrambled [sˈkræ̃mbl̩d̥]
forehead [ˈfɔəhˀɛd̥]
haunted [ˈhɔn̥id̥]

wounded [ˈwu:ndɪd].

However, it sounds in some other words. Notice the final /ed/ of the verb forms, where the /d/ sound is usually voiceless. The same /d/ is a flap in mid position between vowels, as in: widow [ˈwɪɾə] and ladder [ˈlæɾə].

The voiceless stop /t/ remains aspirated in front position, but it is unreleased in final position in most of the words. There is no regularity in the occurrence of these two stops. Unreleased /t/ is found in: yeast, [ˈjist'], chocolate [ˈʧa:k'lit'] and closet [ˈk'ha:zit'] Aunt is one of the words in which the /t/ is produced:

- It becomes flap in mid position between vowels, like in:

put it on [ˈp'ʊɾɪɾˈan]
daughter [ˈda:ɾə] water [ˈwa:ɾə]
latter [ˈlæ:ɾə] saturday [ˈsæ:ɾədə]

- It remains as unaspirated /t/ in sister [ˈsɪstə] and parents [ˈp'æ̃:rɪnts] and it is unreleased and followed by a glottal stop in right ear low: [ˈraɪt'ʔɪəˌloʊ].

The voiceless bilabial stop /p/ is mainly unreleased in final position. In isolated words it is sometimes pronounced but not in a text or in free conversation.

syrup [ˈsɝəp'] stirrup [s'tɝəp']

The liquid /l/ is velar in final position:

towel [ˈt'haəɫ] wool [ˈwɜɫ] wail [ˈweəɫ]
oil [ˈɔəɫ] whale [ˈweəɫ]

- It is not pronounced before the voiceless fricative /f/, the voiced bilabial nasal /m/ and the voiceless stop /k/.

palm [ˈp'ɒ:m̥] yolk [ˈjɜk]
balm [ˈbɒ:m̥] calf [ˈk'æ̃:f]

Notice that the bilabial nasal /m/ becomes voiceless in the above examples in final position.

The /r/ sound is one of the strongest characteristics of the informant, being the cause for many changes in the vowel

quality of certain words. Professor Lucia Morgan had studied the dialect spoken in North Carolina and had pointed out some of the major features of the pronunciation of students at Chapel Hill and in the Outer Banks. According to this study, most of the informants had a clear loss of the postsyllabic /r/ which is substituted for /ə/. The informant for this particular study showed the following samples:

saturday [ˈsæːɾədə] furniture [ˈfɝnɪʧə]
morning [ˈmõənɪŋ] scorched [ˈskoəʧt]
afternoon [æːftəˌnuːn] horse [hɔəs]
porch [ˈpʰoəʧ] lawn mower [ˈlɑʊmɔə]
florida [ˈflɒədə] garden [ˈgɑːədn̩]

The same occurs after the so called "vowel r words" in unstressed position. Either the plain schwa [ə] or the [ɚ] is produced as a variation of the /r/ sound which does not occur in postsyllabic position.

Examples are:

father [ˈfɑːdə] flowers [ˈflɑɚs]
daughter [ˈdɒːɾə] butter [ˈbɜːɾə]
sister [ˈsɪstə] war [ˈwɔɚ]
shoulders [ˈʃoʊdɚs] ladder [ˈlæːɾə]
theater [ˈðɜə ɾə] beard [ˈbiɚd̩]
chair [ˈʧeɪɚ]

The /r/ sound has a great influence upon the preceding vowels. The mid back rounded [o] is lower and not completely rounded in:

four [ˈfo̞ə] morning [ˈmo̞ənɪŋ]
forty [ˈfo̞ɾɪ] porch [ˈpʰo̞əʧ]
oranges [ˈo̞rɛ̃nʤɪs]

It also changes the sound of the mid central [ɜ] in stressed position where the /r/ is sometimes clear and sometimes very short.

Observe the words:

syrup [ˈsɝəpˀ]
stirrup [sˈtɝəpˀ]
purse [pʰɝs]
nurses [ˈnɝsɪz]
furniture [ˈfɝnɪʧə]
sermon [ˈsɝmən]
girl [ˈgɝːɫ]
bird [ˈbɜːd̥]

Words like cemetery, american, dairy carry a mid front unrounded in stressed syllables: [ˈsɜməˌtʰɛːrɪ] [əˈmɛːrɪkən] [ˈdɛːrɪ].

The /r/ sound appears as labialized in front position in words like:

room [ˈr̥uːm] road [ˈr̥ɜʊd̥] roof [ˈr̥uːf]

This aspect only occurs in the speech of educated people. As the informant had been a student at Chapel Hill and at the time of this interview was taking courses at Ball State University, it is obvious that this sound occurs mainly for this reason although the expected labiolized /g/ does not appear in her speech.

Lawn mower and horse have a clear unrounded /ɔ/ before /r/.

THE /TH/ SOUND:

The /t/ voiceless is not pronounced in words like: moths [ˈmɒs]. It is unreleased in math [ˈmæ̃ːθˀ] and, path [pʰæ̃ːθˀ] and changed into /t/ in final position in mouth [mæ̃ʊt] but remains /th/ in teeth: [ˈtiːθ]

It is also changed into /s/ in the plural forms of: lengths [ˈlɛŋs] sixths [ˈsɪks] and twelfths [ˈtwɛlvs] constituting the most irregular sound in Miss Reeves' speech. For this reason, this sound has several variations in the ordinal numbers, like:

fifth [ˈfɪf] eighth [ˈeɪθ]

fourth [ˈfoɚθ] tenth [ˈtɛnθ]

The voiced /th/ changes into /d/ in mid position between vowels like in <u>father</u> [ˈfɑːdə] <u>without</u> [ˈwɪdaʊtˈ] and in final position as in <u>with</u> [ˈwɪːd].

FINAL NOTES

Few answers did not correspond to the expected word. However these words do not show any dialectal difference. Anyway they are listed here, with the correspondent equivalent:

condominiuns substituted for houses.

cow leather and real leather were said instead of genuine.

funeral service substituted for mourning.

Three words differed in pronunciation:

vase was pronounced [ˈvɑ:z] which is considered unatural or snobbish by some scholars,and people.

sari was [ˈsərɑ:] . No basis was found for this pronunciation. It seems to this researcher that the word was not known by the informant.

aunt was [ɑ:nt] in isolation but it changed to [ˈæ̃:nt] in context. It is clear that the informant, like the residents of her area, and also the residents of Ocracoke, keeps many of the British features that incorporate the dialect of the region.

No difference was noticed between:

morning/mourning [ˈmõə̃mɪŋ]

ladeer/latter [ˈlæ:ɾə]

pin/pen [ˈpʰɛ:n]

horse/hoarse [ˈhʰɔəs]

Syllabication: this feature does not appear very frequently in her speech, although some of the words carry it with final nasals [m,n] and the liquid /l/ specially when a stop occurs immediately after:

garden [ˈgɑːədn̩] apple [ˈæːpl̩]
mountains [ˈmæ̃vʔn̩z] table [ˈteɪbl̩]
room [ˈɹuːm̩]

To complete this work, the final list of words is given here in transcription, in order to show the occurrences of sounds when said in comparison to minimal pairs.

dog, log, fog [ˈdɒːg] [ˈlɒːg] [ˈfɒːg]
Mary, marry, merry [ˈmeːɹɪ] [ˈmeːɹɪ] [ˈmɛːɹɪ]
syrup, stirrup [ˈsɝəpˀ] [sˈtɝəpˀ]
mourning, morning [ˈmôəmɪŋ] [ˈmõəmɪŋ]?
broom, room [ˈbɹuːm̩] [ˈɻuːm̩]
horse, hoarse [ˈhʰɔəs] [ˈhʰɔəs]
a can, I can [əˈkɛːn] [aɪˈkæːn]
card, cord, barred [ˈkʰɑɚd] [ˈkʰpɚd] [ˈbɑɚd]
boy, buoy [ˈbwɔɪ] [ˈbuɪ]
furry, hurry, worry [ˈfɜːɹɪ] [ˈhʰɜːɹɪ] [ˈwɜːɹɪ]
poor, pour, pore [ˈpʰoə] [ˈpʰoə] [ˈpʰoə]
scorch, porch [ˈskʰɔəɬ] [ˈpʰɔəɬ]
mirror, dearer [ˈmiːɹə] [ˈdiːɹə]
caller, collar [ˈkʰɑːlə] [ˈkʰɑːlə]
beer, dear [ˈbjə] [ˈdjə]
scare, bare [ˈskɛə] [ˈbɛə]
sorry, starry, story [ˈsɑːɹɪ] [sˈtɑːɹɪ] [sˈtoɹɪ]
wore, was [ˈwoɚ] [ˈwɔɚ]
any, many, penny [ˈɛ̃ːnɪ] [ˈmɛ̃ːnɪ] [ˈpʰɛ̃ːnɪ]
farmer, former, foreman [ˈfɑəmən] [ˈfɔəmə] [ˈfɔəmən]
whipping, whooping [ˈwɪpɪŋ] [ˈwupˀ]

CONCLUSION

After an analysis of this informant's speech, some of the main features encountered were the following:

1. the occurrence of the long low back unrounded [ɑ] before liquids [l,r] and voiced or voiceless stops [d, t, p, b].

2. the diphtong [ɜʊ] used instead of [oʊ] in the examples on page

3. the nasalization of [æ] (see page 107) everywhere except before the flap [ɾ] and in the words afternoon and apple (front position)

4. the syllabication of the voiced bilabial nasal /m/ in room and broom; the voiceless nasal /n/ after the voiced stop /d/ and the glottal [ʔ]; the liquid /l/ after /p/ and /b/ (see page

5. the lack of /r/ in postsyllabic position, either in isolation or in context.

The list of words on page 114 shows the relationships between sounds and it is useful to observe the following occurrences:

1. the difference between: boy and buoy; car/cor/barred; sorry/ story/starry; wore/war; the noun can and the verb can;

2. the similarity between scare/bare; beer/dear; poor/pour/ pore; horse/hoarse; morning/mourning, etc.

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The Teaching of Foreign Languages for Adult Beginners in their Native Country

Maria Helena Lott Lage

The problem of how to approach the teaching of foreign languages has always concerned educators all over the world. A long time ago, to know a foreign language was almost a luxury, a privilege to the wealthy, an indicative of social and educational status. Parents would spend fortunes to send their children abroad, or to bring a foreign governess into their homes to initiate their children in the acquisition of a foreign language. Along with progress, however, what used to be an optional extravagance turned out to be a necessity. The teaching of foreign languages was introduced in the schools, as the world became "smaller" through the development of modes of communication. People now learn foreign languages for several different reasons, and in many different ways. As the number of learners increased, the number of teachers also raised significantly, as well as the interest in the field. A new science emerged — Linguistics — with the specific purpose of studying the phenomenon language, namely, what language is and how it is acquired.

The hypotheses and theories concerning the process of language acquisition inspired the creation of various methods and techniques with the purpose of helping people learn a foreign language. However, the significant number of people who have not succeeded in acquiring a foreign language, especially adults in a classroom situation in their own country, is an indication that either the methods and techniques used are inefficient, or that they have not been used adequately. It is a most controversial subject which, nevertheless, has raised more questions than pointed solutions. On examining a considerable amount of the vast literature about approaches to second language teaching, and theories of second language acquisition, one gets rather discouraged with the results presented. It is common for authors to report that their conclusions cannot be

generalized because their samples are never representative enough. The results of the experiments done are directly related to, and influenced by, the specific groups of teachers and learners involved in each experiment, the specific learning environment, the time devoted to the learning, as well as the specific goals and expectations in mind. Still, following the behaviouristic theory of "trial and error", the search persists — new methods are introduced and modified, an incredible amount of money, time, and energy is spent, frustrations are overcome, and hopes are constantly renewed.

It is about time to stop and face the obvious reality of the situation. No matter how much people investigate and invest on research, they will never find the ideal, "miraculous", universally applied formula to teach people how to actually acquire a foreign language. Success or failure depends on a number of different reasons, but one thing is certain — there ought to be a realistic consideration of the fact that people have individual capacities and abilities; that an adult learns what he wants to learn and what he is taught, not what he is expected to learn; that the best motivation is necessity; and that one should be taught what he wants and needs to learn. Therefore, it is essencial to match the material to be taught with the necessity and ability of the learner, so that his expectations can be met. It is equally essential that expectations of learners, teachers, methods, and school systems be coherent and realistic. The adult foreign language student is a mature individual who knows why he needs to learn a second language. He has already succeeded in acquiring one language — his own — but he has neither the potentiality nor the means he used to have when he acquired his first language.

Several studies of the human speech and brain mechanism, among them that of Penfield and Roberts (1959), have already proved that there is a physiological reason for the difficulties encountered by adults attempting to acquire a second language. One has only to look around and observe the facility and ease with which a child acquires a language; not only his

first, but also a second, and sometimes even a third language at the same time. One factor is crucial — the more a person knows his native language, the more it will interfere in the acquisition of a second. This is directly related to the fact that the adult, besides being much more self-conscious than a child, requires of himself a performance beyond his competence. Moreover, the adult belongs to a generation that has been trained in function of the printed word. He is word-oriented, as opposed to the child, who has been raised and educated after the development of communication media, such as television, and videotape, thus being visually-oriented. When a child listens to a word, he associates it directly to the object which it symbolizes, or which he understands as being representative of the concept it conveys, in case it is an abstract word. The adult, on the other hand, associates the sound of a word with its graphic representation — the written symbol. Therefore, it should be taken into account that the process by which an adult acquires a second language differs from that of a child.

Roberto Lado (1977) gives evidence to this fact, with the well known example of the adult foreign language student who is constantly asking for the spelling of a word he cannot understand. The adult's ear is not very receptive for foreign sounds, which seem just meaningless noise to him. He needs to visualize the written symbol in order to connect the word with some meaning. Frequently, he feels even more confident when he sees the word printed, and many times he realizes that the word was not totally unfamiliar as he had thought. Mainly in the first stages of his learning, he will always make sure to check the graphic representation of the words before they become a part of his automatized vocabulary. Caroll (1965) stated that

> Even though the objective of teaching may be the attainment of mastery over the auditory and spoken components of language learning, an adequate theory of language learning should take account of how the student handles visual counterparts of the auditory elements he is learning, and help to prescribe the optimal utilization of these counterparts, such as printed words, phonetic transcriptions, and other

visual symbol systems.[1]

Lado (1977) suggests that the written form be presented to the adult beginner concurrently with the spoken form, at the initial stage of instruction, as an aid to listening-comprehension. His suggestion is not only valid as it is a true statement based on what actually happens with the adult foreign language student, inside and outside the classroom. One of the most difficult tasks for teachers, when following the instructions of production-oriented methodology, is to convince their students that the written symbols will prevent them from understanding the spoken language, and from acquiring an intelligible pronunciation. Even if the students avoid it in the classroom, they will do it at home. According to Davies (1976), adult learners undergo three major stages in the process of acquiring a foreign language — first, they acquire the "receptive reading skills, especially those related to one's professional field or scientific discipline;" next, the "receptive aural skills, i.e., the ability to understand the spoken language, which generally implies a certain level of reading skill;" and, finally, "the productive skills which will enable them to communicate actively through speaking and writing."[2] And no matter how hard teachers try, they will never succeed in imposing their beliefs on a student, since he will learn only what he wants to learn, and according to his individual abilities and characteristics.

Experiments done by Lado (1968, 1972), Fink (1971), Hawkins (1971), and Couts (1972), among others, have proved that the combined presentation of listening and reading contributes to assimilation of the foreign language and does not affect pronunciation to the extent that it is proclaimed. What is wrong is to let the student rely too much on the written language, to the point where he will recur to translation and connect the foreign word with the corresponding term in his native language. Words have different connotations, and the danger of translation is that it often leads to misinterpretation. The meaning of a word is the meaning it has in the context it is used. Students should recur to the written language as a means

that will help them acquire the foreign language, not as an end in itself. This leads us to another problem that usually arises with some methods for teaching a foreign language — an exaggerated emphasis on speech production disregarding comprehension which is a prerequisite for conveying meaning in the communicative interaction. Oller (1969) accuses the theories of second language teaching of failing to give adequate attention to the use of language to convey information, and many other researchers agree with him.

Indeed, it is widely known that many of the current methods for teaching a foreign language insist on oral production at the initial phase of instruction. The Audio-Lingual approach, so commonly used, is a representative illustration. The learner is expected to be vocally active through constant repetitionof pattern drills he listens to, but of which he often fails to grasp the meaning. The goal is to make the learner unconsciously automatize the basic patterns of the target language which would supposedly enable him to speak. Nevertheless, the experience using such approach has not corresponded to the expectations. In fact, the results are quite discouraging, especially for the adult learner, who gets bored and tired of over-listening and over-repeating as if he were a parrot. Belasco (1965) stated that "despite the ease with which students manipulate drills and memorize dialogues to a very high degree of proficiency, not many students can understand and speak the language outside the ordinary classroom situation."[3] Besides, how can a learner be expected to speak when he has been trained in listening to and repeating something which he often does not understand? As Rivers (1969) said,

> It is through recoding that the listener clarifies interpretatively relationships between what is being attended to and what it has already been assimilated, and this establishing of meaningful associations is essential to storage and later recall."[4]

Automatization and assimilation cannot be imposed to an adult

that way, as Caroll (1965), Rivers (1966, 1969), Mueller (1969), Postovsky (1974, 1975, 1977), and Lado (1977), among many others, have tried to prove. Likewise, many researchers have pointed to the necessity of giving more emphasis to aural-comprehension in the foreign language classroom, such as Belasco (1965, 1969), Rivers (1966, 1969), Mear (1969), Asher (1974), Postovsky (1974, 1975, 1977), and Pimsleur, Hancock, and Furey (1977). After listening, to the extent that what is heard is related to meaning, and being allowed to count on the help of reading, the student will be able to recognize the sounds of the target language. The productive skills will result naturally, rather than pushing the adult learner and leaving him with a frustrating sense or failure.

Let us consider the case of the "typical" adult foreign language student who wants to acquire the target language in his own country. (I have the Brazilian foreign language student in mind). He is attracted by all kinds of propaganda of the inumerous institutions which offer courses intended to teach that language. A great number of these institutions, however, is commercially-oriented, and the student cannot afford the prices usually charged. Time does not represent a problem, because such institutions often have schedules to fit most conveniences. The student manages to budget his money and registers. He is willing to learn, he needs to learn, and he believes that he will acquire the target language in thirty days, in ninety days, in a year or three, depending on what he is told by the administration staff, by the teachers, or simply by the slogan of the institution. He soon realizes that the task is not as easy as he had predicted, and he either gives up or persists, in the same place or elsewhere.

After years of struggle, the adult student still has not acquired the language. He might have learned many words, many structures, and quite a lot about the language. He might have learned most of the material presented in class; but the fact that he has learned what he was taught in class is not an indication that he has acquired the language, because most of the time he has not been taught what he is interested in and what he needs to learn. He might even be able to use the language

in the classroom, or in some simple situations outside the classroom. But, still, he has not acquired the language as he should and could. What is worse, he is often disillusioned when he cannot understand or make himself understood by a native speaker, either in his own country or, and principally, in the target country.

The situation is even worse if the student cannot count on the additional reinforcement of a private language institution, which, although unrealistic and often deficient, still represents some help. The foreign language courses offered by academic schools are far from being satisfactory. It is an endless vicious circle. In order to charge less from the students (if the school is not public), and also because there is never extra money to hire enough teachers, the foreign language classes are usually larger than they should be. Because there is an academic curriculum to be fulfilled, composed by all other courses which are required by the educational laws of the country, there are never enough class-hours for the foreign language courses. Because more sophisticated language course materials are too expensive, or because previous experiences with language laboratories and/or several audio-visual materials have failed, further investment is generally discouraged. On top of all that, there is the foreign language teacher who, in most cases, is the prototype of the idealist. Being faced with students, school systems and all kinds of methods and materials which, in addition to his salary, are far from being satisfactory, he persists on his struggle, overcoming one frustration after the other. In many cases, there are deficiencies on teachers themselves, but, frequently, these deficiencies are a consequence of other factors.

A number of similar situations could be presented to illustrate the real conditions under which foreign language courses are given. One might even be inclined to conclude that there is no way of avoiding deficiencies and frustrations of learners, teachers, and schools. In 1969, Belasco stated that, as of date, it was still unanswered whether a foreign language

can really be acquired in a "unicultural, artificial situation", and that "those who do manage to learn a foreign language do so not because of the system but in spite of it - and they make up less than five per cent of the students enrolled in foreign language courses."[5] It seems that the point is exactly that, unlike native speakers, teachers expect too much from foreign language learners. As Davies (1976) pointed out, "the level of competence needed for minimal communication acceptable to native speakers is much lower than that supposed by teachers."[6] The solution does not seem so difficult to be depicted. What is really lacking is a realistic consideration of the adult's ability and need to acquire a foreign language in his own country.

The adult student does not have the facility of a child to learn a foreign language. The classroom situation in the adult's native country can never be transformed into the real milieu of the target country. The adult cannot be expected to produce a foreign language in terms of speaking and writing without understanding it orally and being acquainted with its written symbols. A significant number of foreign language students in their native environment may not need to speak the target language as much as they need to read and comprehend the meaning of written and spoken forms, the former more than the latter. Many will even need to write more often than they will have a chance to practice the spoken language with a native speaker, and most of them will hardly have a chance to travel abroad. Therefore, if the adult wants to acquire a foreign language for instrumental purposes in his native country, he should be trained according to his ability and need to learn the foreign language in order to achieve the target.

NOTES

[1]John B. Caroll, "The Contributions of Psychological Theory and Educational Research to The Teaching of Foreign Languages", *Modern Language Journal*, XLIX, No. 5 (May 1965), 273-281.

[2]Norman F. Davies, "Receptive Versus Productive Skills in Foreign Language Learning", *Modern Language Journal*, LX, No. 8 (December 1976), 440-.

[3]Simon Belasco, "Nucleation and The Audio-Lingual Approach", *Modern Language Journal*, XLIX, No. 8 (December 1965), 482-491.

[4]Wilga M. Rivers, "Linguistic and Psychological Factors in Speech Perception and Their Implication for Teaching Materials", in *The Psychology of Second Language Learning: Papers from The Second International Congress of Applied Linguistics, 8-12 September, 1969*, ed. Paul Pimsleur and Terence Quinn (Cambridge: Cambridge University Press, 1971)

[5]Simon Belasco, "The Feasibility of Learning a Second Language in an Artificial Unicultural Situation", in *The Psychology of Second Language Learning: Papers from The Second International Congress of Applied Linguistics, 8-12 September, 1969*, ed. Paul Pimsleur and Terence Quinn (Cambridge: Cambridge University Press, 1971)

[6]Norman F. Davies, "Receptive Versus Productive Skills in Foreign Language Learning," *Modern Language Journal*, LX, No. 8 (December 1976), 440-.

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BRIEFE aus BRASILIEN

Hedwig Kux

Vor genau hundert Jahren begann eine junge Deutsche ihre Erlebnisse in Brasilien niederzuschreiben. Es handelt sich um das Buch: "Leid und Freud einer Erzieherin in Brasilien" von Ina von Binzer, Berlin bei Richard Eckstein Nachfolger (Hammer und Runge) o.J. wahrscheinlich aber 1887.

Erstmals in Übersetzung erschienen unter dem Titel "Alegrias e Tristezas de uma Educadora Alemã no Brasil" in São Paulo 1956, übersetzt von Alice Rossi und Luisita da Gama Cerqueira. Die zweite Auflage der Übersetzung erschien unter neuem Titel: "Os Meus Romanos. Alegrias e Tristezas de uma educadora alemão no Brasil", Rio de Janeiro 1980 bei PAZ e TERRA.

In herzerfrischender Offenheit berichtet die junge Lehrerin, sie ist zweiundzwanzing Jahre alt, in über vierzig Briefen, datiert vom 27. Mai 1881 bis zum 8, Juni 1883, was ihr in diesen zwanzig Monaten begegnete,

Jeder Brief ist einem Thema gewidmet. Dir Adressatin ist eine Freundin in Deutschland, Grete. Gab es denn damals soviel zu erzählen? Aber gewiß! Es was doch die Zeit kurz von der endgültigen Aufhebung der Sklaverei in Brasilien. (Lei do Ventre Livre:1877, Lei Aurea 1888). Zunächst einmal mußte die Schreiberin, sie zeichnet ihre Briefe mit "Ulla", einige in der Heimat verbreitete Ansichten über Brasilien richtigstellen. Aber noch Stefan Zweig beklagte sich darüber, daS man in Europa immer noch glaube, in Brasilien werde Spanisch gesprochen. Und das war doch schon in unserem Jahrhundert! So schreibt also Ulla wie die Fahrt zur Fazenda São Francisco in einer "Chaise" verlief, ganz ohne Zwischenfall. Somit kommen im ersten Brief keine Abenteuer wie Indianerüberfälle oder Tigerkämpfe vor. Ironisch stellt die Schreiberin das fest indem sie aber die üblichen Vorurteile höflich als Illusionen abtut. Die Deutschstunden finden auch nicht

in Hängematten schaukelend unter Orangenbäumen statt.

Keine Kolibris umflattern die schönen, feschen Brasilianer, die gar nicht so fesch aussehen, wie auf der Berliner Opperettenbühne. Ihre Lehrfächer sind English, Deutsch, Französisch und das Klavierspiel, also Fremdsprachen und Musik, eine gute Zusammenstellung. Leider verrät sie uns nicht, wie sie ihre Schüler zum Sprechen brachte. Es muß ihr aber letztlich doch gelungen sein. Wer aufmerksam liest, findet die Beweise dafür in Ullas Briefen. Eigne Illusionen muß sie bald über Bord werfen. Ihre pädagogische Ausbildung, ihre Grundsätze sind nun einmal in Brasilien nicht zu brauchen. Sie fordert ganz energisch eine brasilianische Pädagogik. Sehr verzweifelt schreibt sie über ihre Tätigkeit in einem "Collegio" in Rio: "Ich glaube, ich bin wirklich eine ganz miserable Lehrerin! Sie lernen nichts bei mir, sie lernen gar nichts!"

Einmal verrät ihr eine Kollegin, eine Französin, sie habe Eindruck bei den Kindern gemacht durch ihre gute Toilette! Gerade dies hatte sie gar nicht für so wesentlich gehalten! Nun, deutsche Sprache zu unterrichten in einem "Collegio" mit begrenzten räumlichen Verhältnissen ist nicht ganz einfach, wenn noch dazu im gleichen Raum eine Kollegin eine "turma" in Portugiesisch vorhat, und Deklamieren übt! Überdies bedenke man: Deutsch, das heißt drei Artikel und dann noch die vier Fälle, das ergibt "zwölfteilige Dunkelheiten", die Mehrzahl gar nicht gerechnet. Recht kritisch werden die brasilianischen Tischsitten beurteilt anläßlich einer Einladung zum Abendessen. Die Gerichte sind recht amüsant beschrieben, besonders scheint ihr der Nachtisch mit "doces" und großen Stücken Käse zu gefallen. Der aufmerksame Leser aber entdeckt, daß eine Mahlzeit recht gut geeignet ist, eine fremde Sprache im Lande zu praktizieren. Trifft man das rechte Wort, wenn man etwas erbittet, stellt der Erfolg sich sofort ein: Sollten wir nicht die komplizierteren Probleme der deutschen Sprache unseren Studenten gezielt mit etwas Eisbein und Knödeln oder Sauerkraut und nachher Apfelkuchen gleichsam einfüttern?

Es gibt aber auch Enttäuschungen und dann schreibt Ulla "ach

Grete!" Dieser Seufzer muß Herrn Antonio Callado, Verfasser des Vorworts der zweiten brasilianischen Ausgabe, besonders gefallen haben. Er zitiert ihn mehrfach.

Der Tageslauf der Hauslehrerin ist recht anstrengend und ermüdend. Ulla fühlt sich traurig und verlassen, wünscht sich ein "deutsches Wesen", um wieder einmal die eigne Sprache richtig zu hören. Diesmal ist es ein deutscher Naturforscher, über den sie ganz glücklich ist. Bald stellt sich heraus, daS der Professor sehr ängstlich ist, und glaubt, die Neger der Pflanzung wollen ihn verzehren. Das veranlaßt den Hausherrn, den deutschen Professor zu den Hütten der Neger zu führen, ihm zu zeigen, wie sie leben, keineswegs menschenfressenderweise. Der Professor faßt seine Beobachtungen zusammen: "Ich bin hier auf eine Pflanzung geraten, wo ich nur die guten Seiten des Sklaventums zu sehen bekomme." Was man damals und vielfach heute noch in Europa gedacht habeb mag — aus eigener Anschauung sah die Sklavenhaltung in Brasilien nicht so trübe aus.

Ulla über ihren Brotherrn in São Francisco: "Weißt Du, Grete, ich habe es ihm schon längst verziehen, daS er nicht fesch aussieht, und nicht so bunt angezogen geht wie der Opperetten-Brasilianer. Er ist wirklich ein guter Mensch."

Eine Reise nach São João del Rey führt durch Minas Gerais, wo sie Goldwäscher im Fluß stehen sieht. Der Kaiser Dom Pedro II wollte eine neue Eisenbahnstrecke einweihen. Auch heute noch weiht hierzulande das Staatsoberhaupt persönlich neue Bahnstrekken ein. Das Eindruckvollste ist aber die Beschreibung der Kirchen in São João del Rey. Zwar gefallen sie Ulla nicht, aber sie sagt: "Und doch habe ich in gröserer Bewunderung vor diesen Zeugen der Frömmigkeit eines Volkes gestanden, als ich solche je vor den ragenden Türmen des reizenden Münsters in Ulm oder dem Wunderwerke des Kölner Doms empfunden. Denke Dir mächtige a faustdicke und oft mehr als zwei Meter lange Steine, massive Pfeiler, Treppen und Wälle ringsum, und dann frage Dich, wie sie hierhergelangten! Dann sage Dir, Daß jeder dieser Steine auf dem Rücken von Maultieren den Weg von der Küste ins Innere zurücklegte, eine Strecke, die heute mit der Bahnn 16 bis 18 Stunden in Anspruch nimmt, und

zu der die Tiere wohl vier bis fünf Monate gebrauchten; frage Dich einmal, abgesehen von dieser erstaunlichen *Arbeitsleistung* nach den Kosten eines solchen Werkes, und Du mußt billig mit mir erstaunen und den Geist der Frömmigkeit eines Volks bewundern, das vor allen anderen daran dachte, seinem Gott Altäre zu bauen und seine Heiligen angemessen unterzubringen."

Eine Sitte der Damen, wenn sie gegenseitig die Kleider bewundern, verlangt noch heute, daß man an dem Kleid der Bekannten herunterstreicht und sagt:"A Senhora está muito elegante". Eine schmerzhafte Neuralgie und ein Fieber veranlassen Ulla nach Rio de Janeiro zu fahren, um einen Arzt zu konsultieren. So ist sie Weihnachten 1881 allein und hat rechtes Heimweh, ach Grete! Ein Erholungsaufenthalt in Pertropolis bringt ihr den nötigen Mut und Humor zurück. Sie kann dort auch die deutsch-brasilianische Mischprache hören Plattdeutsch und Portugiesisch gekauderwelscht:
"Kiek mal, ob dat noch schuwt!"
"Esperen Sie mal een beten!"
"Ich kann ainda nicht."
Wieder in Rio de Janeiro ist sie ganz begeistert von der schönen Landschaft, den Farben, dem Licht, zitiert Dranmores Idylle über die Blumeninsel, besucht die Gemäldesammlung und den botanischen Garten. Die berühmte Palmenallee gafällt ihr gar nicht sowenig wie der Karneval. Die schönste Zeit aber hebt für Ulla an, als sie nach São Paulo reist, wieder als Hauslehrerin. Diesmal aber in der Stadt. Dort findet sie Bekannte und gewinnt Freunde. Sie versteigt sich sogar zu der Bemerkung: "São Paulo ist der beste Platz für Erzieherinnen in Brasilien!" Zu diesem Urteil kommt es aber auch durch einen gewissen jungen Mann mit schönen blauen Augen. Mr. Hall, er ist zwar Engländer, "aber fast wie ein Deutscher". Immerhin das höchte Lob was dem Herrn zuteil werden konnte! Im gleichen Brief schickt sie, offenbar in romantischer Stimmung, zwei Übersetzugen des Canção do Exilio von Gonçalves Dias an ihre Freundin. Eine davon ist wortgetreu die andere poetish übersetzt von Dranmore. Ein ganzer Brief handelt von Namen. Romanische Vornamen sind bei den Republikanern beliebt, Cajus

Gracchus, Plinius, Lavinia, Cornelia heißen ihre Zöglinge. Mädchennamen werden oft mit Maria verbunden, außerdem gibt es noch die Beinamen (apelidos). Die Anreden und die Adelsprädikate haben schon frühere Reisende zu Betrachtungen verleitet. Ulla findet aber die Familiennamen auf a,o oder oa viel klangvoller als die deutschen. Eine Reise nach Santos und ein Aufenthalt am Meer bringt eine ausführliche Beschreibung der Insekten und anderer Plagegeister. Was konnten die Baratten nur an Goethe finden?

Einen Schock erlebt Ulla beim Anblick eines Aussätzigen. Schon damals war (1881) Lepra eine biblische Krankheit in Europa. In Deutschland bekam man sie nicht mehr zu sehen. Der Gedanke Neger und dazu noch Sklave und aussätzig sein verfolgt das Mädchen tagelang. Schließlich ringt sie sich zu einem täglichen Gang in die Nähe seiner Hütte durch, um sich nicht selbst der Lieblosigkeit zeihen zu müssen. Es gab in der Nähe Kolonieen, wo Lepröse zusammenwohnten und sich gegenseitig halfen. Die Besitzer des kranken Sklaven Ignacio behalten ihn auf der Pflanzung und lassen ihm täglich sein Essen bringen.

Es gab aber auch eine Art Humanität um deretwillen freigewordene Sklaven ihre früheren Herren verfluchten. Darüber schreibt Ulla am 17-11-82. Wenn Sklaven für ihre Freiheit noch nicht reif waren, war es gewiß ein Schade für sie aber auch Herren wurden durch Sklavernarbeit verdorben.

Das zwite Weihnachtsfest in Brasilien feiert Ulla in São Paulo bei ihren alten Freunden, nun längst nicht mehr so betrübt wie im Vorjahr! Warum? Das Happy-end steht bevor, er war ja doch ein Engländer!

Der Wert dieses Buches mag für den Historiker und den Soziologen vor allen in der lebensnahen Beschreibung des Familienlebens auf den Pflanzungen bestehen. Den Historiker wird besonders das eingreifende politische Geschehen am Vorabend der Sklavenbefreiung und seine Auswirkung auf die Landwirtschaft interessieren. Die kritische Darstellung der Autorin ist um so wertvoller, weil sie auch kritisch gegen sich selbst ist aber dabei aufrichtig. Gilberto Freyre sagt, in Ländern wie Brasilien sei es nicht leicht in die intimen Geheimnisse der Vergangenheit einzudringen, wie

sie sich in der Häuslichkeit ausdrücken. "Ich glaube, daß es in ganz Brasilien kein von einer Frau geschriebenes Tagebuch gibt," (Casa Grande e Senzala). Nun, die Briefe der Ina von Binzer sind für ihre Zeit eine der wertvollsten Quellen. Sie hat es nicht ausdrücklich gesagt aber gerade als Lehrerin hat sie viel gelernt, wohl immer dann am meisten, wenn sie von ihren pädagogischen Bemühungen so sehr enttäuscht war. Wer recht zu lesen versteht, lernt auch als Leser von dieser Kollegin.

A Calendar

A calendar says something
We fail to hear —

Has aging grace
Speeds the mind's pace
Removes love's place
Enshrouds death's lace
And loosens the heated tear...

I Had Halted

I had halted on the road
Hald awake — time to take
My rest beside a quiet
Shaded tree — green and free
Oh opposite the gray
Gloomy place — where my face
Had habitually moaned
A share — of earth's wear
And I knew while serenely
I stood — silence would
Permit a triumph of calm
And joy — to employ
The best I could ever
Hole to hold —

Peace is Gold!

Thee

Close to thee,
Sweetest liberty —
Loved by thee,
Oh, yes, perfectly —
Near to thee
Splendid harmony —
Saved by thee
Precious company!

The Lark