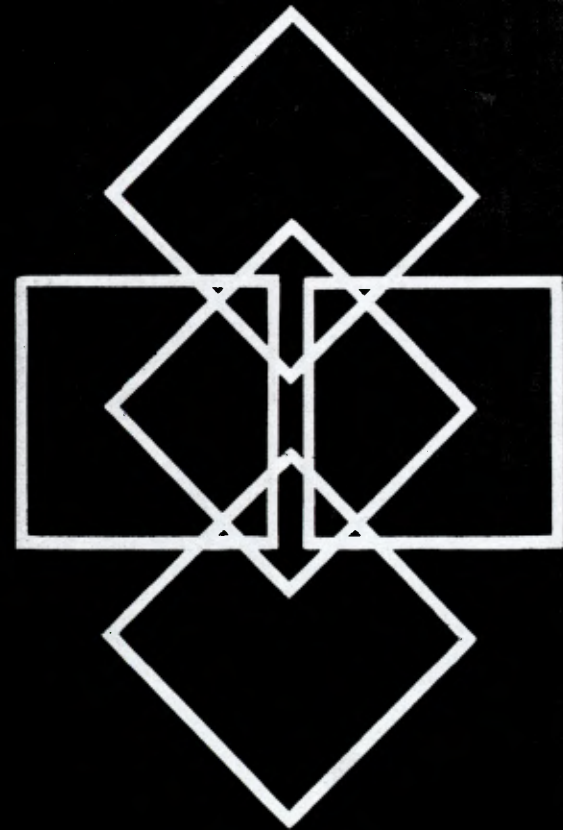


ESTUDOS ANGLO-AMERICANOS



Nºs 7-8 1983-1984

ESTUDOS ANGLO-AMERICANOS

Números 7-8

1983-1984

Publicação da Associação Brasileira de Professores
Universitários de Inglês

(ABRAPUI)

NOTA DA REDAÇÃO

Estudos Anglo-Americanos, revista editada pela ABRAPUI, reúne trabalhos de seus membros — e, eventualmente, de especialistas não ligados a ela — escritos em inglês ou em português. Publica artigos e resenhas sobre Língua Inglesa e Literaturas de Língua Inglesa, assim como notícias e informações do interesse dos associados.

Os eventuais colaboradores poderão enviar seus trabalhos em qualquer época, sendo que os mesmos serão considerados para a publicação mais próxima possível.

Agradecemos a colaboração que nos vem sendo dada pelos associados, para a publicação desta revista, a qual é indispensável para a sua continuidade.

Agradecemos também à Comissão *Fulbright*, cujo substancial auxílio tornou possível a publicação deste volume.

A Comissão Editorial

EDITORS' NOTE

Estudos Anglo-Americanos, a journal sponsored by ABRAPUI, publishes papers by its members — and, occasionally, by non-member scholars — written in English or Portuguese. It carries articles and reviews on English Language and Literature in English, as well as news and information of interest for the membership.

The prospective contributors may send their works at any time. They will be considered for publication in the oncoming issue.

We thank all members for their support, which is indispensable for the continuity of this journal.

We are also grateful to the *Fulbright Commission*, whose support allowed the publication of this volume.

The Editors

Produção editorial-gráfica: TAQ

Diretoria da ABRAPUI (1983-1984)

Presidente: Carlos Daghlían
Vice-Presidente: Hilário I. Bohn
Secretária: Daisy S. M. Salman
Tesoureiro: João Carlos Gonçalves

Comissão Editorial de Estudos Anglo-Americanos

Paulo Vizioli, Alfredo L. C. de Carvalho, Carlos Daghlían; M. Antonieta A. Celani, Francisco Gomes de Matos, Hilário I. Bohn

CONSELHO CONSULTIVO

Carly Silva, Euzi R. Moraes, Francis Aubert, Heloisa M. F. Boxwell, Mary Kato; Dilvo I. Ristoff, Lúcia V. Sander, Munira H. Mutran, Nora Ther Thielen, Sigrid Renaux

As opiniões expressas nos artigos são da
 responsabilidade de seus autores.

A Comissão reserva-se o direito de fazer
 adaptações de caráter editorial.

Toda e qualquer correspondência relacionada com
 Estudos Anglo-Americanos deverá ser enviada a
 (mailing address)

ABRAPUI
 Caixa Postal 164
 15100 São José do Rio Preto, SP
 BRASIL

SEA AND LAND SYMBOLISM IN MRS. GASKELL'S
SYLVIA'S LOVERS

Stephen Lee Schwartz

1

PARALELISMOS ENTRE WILLIAM WILSON E SR.
 GOLIÁDKIN, OS "DUPLOS" DE POE E DOSTOIEVSKI

Sigrid Renaux

16

FICTION AS AN OUTLET FOR PROBLEMS OF
 IDENTITY: ANALYSIS OF SOME OF KATHERINE
 ANNE PORTER'S STORIES

Cristina Maria Teixeira

43

E. E. CUMMINGS: THE COMEDY OF LANGUAGE

Sérgio Luiz Prado Bellei

59

MARK TWAIN ON PEDRO CAROLINO'S PORTUGUESE
 GRAMMAR

George Monteiro

69

BECKET — BEING AND ITS TRANSCENDENCY

Carmen Gago Alvarez

74

CHANGING IMAGES OF WOMEN

Sonia Zyngier

81

REBUFFS AND CROSS-CULTURAL ENCOUNTERS

Maria Helena Lott Lage

90

JAMES JOYCE AND SPANISH AMERICAN FICTION

Gerald Martin

106

A PORTRAIT OF THE ARTIST AS A YOUNG MAN: A
STUDY ON IMMORTALITY

Alan Magalhães Costa

131

TRAVELLER'S NOTES: THE WORDSWORTH COUNTRY

Olga Creidy

139

REVIEW OF *THE AMERICAN WAY, AN INTRODUCTION
TO AMERICAN CULTURE* (Edward N. Kearny, Mary Ann
Kearny and Jo Ann Crandall. Englewood Cliffs, New Jersey,
Prentice-Hall, 1984, ix, 241 p.)

Francisco Gomes de Matos

142

IT PAYS TO BE UP-TO-DATE BUT LET'S NOT BE TOO
TRENDY

Francisco Gomes de Matos

144

ROBERT B. KAPLAN *ANNUAL REVIEW OF APPLIED
LINGUISTICS* (Rowley, Mass., Newbury House Publishers,
1981)

Reviewed by Bernard Spolsky

148

SEA AND LAND SYMBOLISM IN
MRS. GASKELL'S *SYLVIA'S LOVERS*.

STEPHEN LEE SCHWARTZ

Sylvia's Lovers,¹ published in 1863, has some claim to be called an historical novel since Mrs. Gaskell did extensive research into the whaling industry in eighteenth century England and into the activities of the press-gang in seizing sailors and other able-bodied men to serve in the navy. The novel contains many descriptions of that part of the whaling industry practiced on land (rather than picturing the actual hunting of whales) and of the town and countryside of Whitby, North Riding of Yorkshire, called Monkshven in the novel.

What has little, if at all, been noted previously is that many of these descriptive passages function symbolically, they illuminate the relationship of the two types of love, human love and God's love, that exist in the novel. There are two ways of interpreting these passages: the first corresponds to the relationship between Sylvia and Kinraid; the second, to the relation of life in the world to eternal life. As the second type of love is made to transcend the first in the novel, so, as the novel progresses, one type of interpretation assumes importance over the other. In particular, passages from the opening and closing sections of *Sylvia's Lovers* will be examined.

Although writers such as Winifred Gérin, for example, speak of Mrs. Gaskell's "life-long love of the sea,"² her experience was obviously not that of a sailor. She enjoyed vacations at seaside towns, crossed the English Channel various times and voyaged from Marseilles to Civita Vecchia during several trips to Italy but never had the experience of an ocean voyage; naturally, her point-of-view would be that of a landsman. Further, as Gérin suggests, the recent breaking-off of Meta's engagement (Margaret Emily, "Meta", was Mrs. Gaskell's favorite daughter) to a man whose character might have suggested that of Kinraid could have shown up in the unwholesome effects of the sea on the land in *Sylvia's Lovers*. Sylvia is of the land, and it is in the various descriptions of the dichotomy and interrelationship between the land and the sea that the first part of the sea-land symbolism makes itself known.

The effects of the sea on the land are present from the novel's are present from the novel's opening pages. The description of the town and surrounding countryside opens leisurely with snatches of historical and social background interspersed with accounts of the townspeople and the occupations at the time of the opening of the novel. The material is presented in much the same manner as it would be in a guidebook.⁴ The author then shifts the description to the countryside and the contrast is immediate:

But above and around these rare and fertile vales there were moors for many a mile here and there bleak enough, with the red freestone cropping out above the scanty herbage; then, perhaps, there was a brown tract of peat and bog, uncertain footing for the pedestrian who tried to make a short cut to his destination; then, on the higher sandy soil there was the purple ling, or commonest species of heather, growing in beautiful wild luxuriance. Tufts of fine elastic grass were occasionally to be found, on which the little black-faced sheep browsed; but either the scanty food or their goat-like agility kept them in a lean condition that did not promise much for the butcher; nor yet was their wool of a quality fine enough to make them profitable in that way to their owners. In such districts there is little population at the present day; there was much less in the last century....

There were old stone halls in the valleys; there were bare farm-houses to be seen on the moors at long distances apart, with small stacks of coarse poor hay, and almost larger stacks of turf for winter fuel in their farm-yards. The cattle in the pasture fields belonging to these farms looked half-starved; but somehow there was an odd, intelligent expression in their faces, as well as in those of the black-visaged sheep, which is seldom seen in the placidly stupid countenances of well-fed animals. All the fences were turf banks, with loose stones piled into walls on top of these.⁵

While the description of the town was confined to social types and occupations with hardly any physical description of the town itself, the countryside is described purely in physical terms with little thought to the people, admittedly few, who live in this area. The account of the town focused on the principal trade of the area, whaling; the description of the countryside centers on the effect of the nearness of the sea. While the prosperity of those in the town depends on their connection with the sea those who live from the land find the sea primarily a destructive force. The reader is constantly reminded of the barrenness of the moorland which is closest to the sea and its influences: "there were moors for many a mile, here and there bleak enough, with the red freestone cropping out above the scanty herbage; then, perhaps, there was brown tract of peat and bog, uncertain footing for the pedestrian." The viewer is invited to shiver "at the waste desolation of the scenery"⁶ which is only relieved by "the pur-

ple ling, or commonest species of heather, growing in beautiful wild luxuriance" and occasional "tufts of fine, elastic grass." Nothing prospers in this wild region, the sheep have barely enough food to survive and are of little profit to their owners; the faces of the cattle seem to reveal a hard knowledge gained through suffering. For the most part, the farms and manor houses show the signs of poverty and of the most elemental means of obtaining a living from the soil.

The only truly fertile areas are the valleys and bottoms:

There was comparative fertility and luxuriance down below in the rare green dales. The narrow meadows stretching along the brookside seemed as though the cows could really satisfy their hunger in the deep rich grass; whereas on the higher lands the scanty herbage was hardly worth the fatigue of moving about in search of it. Even in these 'bottoms' the piping sea-winds, following the current of the stream, stunted and cut low any trees; but still there was rich, thick underwood, tangled and tied together with brambles and briar-rose, and honeysuckle; and if the farmer in these comparatively happy valleys had had wife or daughter who cared for gardening, many a flower would have grown on the western or southern side of the rough stone house...

But for twenty miles inland there was no forgetting the sea, nor the sea-trade; refuse shell-fish, sea-weed, the offal of the melting-houses, were the staple manure of the district; great ghastly whale-jaws, bleached bare and white, were the arches over the gate-posts to many a field or moorland stretch. Out of every family of several sons, however agricultural their position might be, one had gone to sea, and the mother looked wistfully seaward at the changes of the keen piping moorland winds. The holiday rambles were to the coast; no one cared to go inland to see aught, unless it might be to the great annual horse-fairs, held where the dreary land broke into habitation and cultivation.

Somehow in this country sea-thoughts followed the thinker far inland; whereas in most other parts of the island, at five miles from the ocean he has all but forgotten the existence of such an element as salt water.

The valleys and bottoms described above are more protected than the highlands from the sea air, but even here "the piping sea-winds, following the current of the stream, stunted and cut low any trees." The emphasis in these pages always returns to the influence of the sea: "for twenty miles inland there was no forgetting the sea, nor the sea-trade"; "somehow in this country sea-thoughts followed the thinker far inland." The descriptions are in literal terms; yet they depart from the literal in the emphasis afforded certain parts of the description and from the connection of these descriptions with plot development. The description: "refuse shell-fish, seaweed, the offal of the melting houses were the staple manure of the district; great ghastly whale-jaws bleached bare and white, were

word that could distinctly tell her he disliked her going to the sea.¹²

To complicate the picture, Sylvia is very like the sea she gazes upon so intently. The author speaks of Hester Rose, who secretly loves Philip, as being "ignorant of the strange mystery of Sylvia's heart as those who are guided solely by obedience to principle must ever be of the actions of those who are led by the passionate ebb and flow of impulse."¹³ It is this principle of "passionate ebb and flow" that form the basis for the portrayal of Sylvia's character. Sylvia's impulsive nature leads her to the sea to obtain a reflection of her own inner moods. After a quarrel with Philip,

she walked on, crying bitterly, almost unawares to herself; on, through the high, bleak fields at the summit of the cliffs: fields bounded by loose stone fences, and far from all sight of the habitation of man. But, below, the sea rose and raged; it was high-water at the highest tide, and the wind blew gustily from the land, vainly combating the great waves that came invincibly up, with a roar and an impotent furious dash against the base of the cliffs below.

Sylvia heard the sound of the passionate rush and rebound of many waters, like the shock of mighty guns, whenever the other sound of the blustering gusty wind was lulled for an instant. She was more quieted by this tempest of the elements than she would have been, had all nature seemed as still as she had imagined it to be, while she was yet indoors and only saw a part of the serene sky.¹⁴

Sylvia accepts absolutely the identification of the sea with Kinraid, feels a kinship with the sea because she sees her own passionate nature reflected in it, and unconsciously participates in the scheme of symbolism set up by the author's descriptive passages whereby the interaction of sea and land (Kinraid and Sylvia) is destructive to the land. Here, however, must enter in the second way of interpreting the sea-land symbolism: that of the relationship of life in the world to eternal life, the relationship of human love and God's love. This second set of interpretations, deliberately placed in the novel by the author, supercedes Sylvia's views and proves them to be of limited vision.

In Chapter VI, Sylvia attends the funeral of a sailor who had been killed by the press-gang as Kinraid led the resistance against it. (Kinraid, himself, was wounded in the attempt):

Many such old people set out betimes, on the Sunday afternoon to which Sylvia had been so looking forward, to scale the long flights of stone steps — worn by the feet of many generations — which led up to the parish church, placed on a height above the town, on a great, green area at the summit of the cliff, which was the angle where the river and the sea met, and so overlooking

both the busy, crowded little town, the port, the shipping, and the bar on the one hand, and the wide, ilimitable, tranquil sea on the other—types of life and eternity. It was a good situation for that church. Homeward-bound sailors caught sight of the tower of St. Nicholas, the first land object of all. They who went forth upon the great deep might carry solemn thoughts with them of the words they had heard there: not conscious thoughts, perhaps, rather a distinct if dim conviction that buying and selling, eating and marrying, even life and death, were not hall the realities in existence.¹⁵

There was too great a crowd immediately within the door for Sylvia and Molly to go in again; and they accordingly betook themselves to the place where the deep grave was waiting wide and hungry, to receive its dead. There, leaning against the headstones all around, were many standing — looking over the broad and placid sea, and turned to the soft salt air which blew on their hot eyes and rigid faces; for no one spoke, of all that number. They were thinking of the violent death of him over whom the solemn words were now being said in the grey, old church, scarcely out of their hearing, had not the sound been broken by the measured lapping of the tide far beneath.¹⁶

But Sylvia was too highly strung for banter. If she had not been one of those who went to mock, but remained to pray, she had gone to church with the thought of the cloak-that-was-to-be uppermost in her mind, and she had come down the long church stair with life and death suddenly become real to her mind, the enduring sea and hills forming a contrasting background to the vanishing away of man. She was full of a solemn wonder as to the abiding-place of the souls of the dead, and a child-like dread lest the number of the elect should be accomplished before she was included therein. How people could ever be merry again after they had been at a funeral, she could not imagine; so she answered gravely, and slightly beside the question:

"I wonder, if I was a Friend, if I should be good."¹⁷

The above three passages, the last from Chapter VII, show the introduction of the sea-symbolism in a new guise and Sylvia's growing "awareness" of it. Neither Philip nor Sylvia realizes fully the transcendence of earthly troubles by eternity. Philip lets his love for Sylvia obscure the knowledge he should have gained through his religious background. Sylvia, without such training, has "the types of life and eternity" before her eyes but cannot see them with sufficient clarity.

The theme of tranquil eternity transcending earthly cares is used as a resolution to the situation of conflicting loves. In the final chapter (XLV), the sea-symbolism returns with increasing power and uignificance. The symbolism enters into the action as Sylvia hesitates before the door of the room where Philip lies dying:

She stood by the door, shivering all over, almost facing the people in the road, but with her face turned a little to the right, so that they thought she was looking at the pathway on the cliff-side, a hundred yards or so distant, below which the hungry waves still lashed themselves into high ascending spray; while nearer to the cottage, where their force was broken by the bar at the entrance to the river, they came softly lapping up the shelving shore.

Sylvia saw nothing of all this, though it was straight before her eyes. She only saw a blurred mist; she heard no sound of waters, though it filled the ears of those around. Instead, she heard low whispers pronouncing Philip's earthly doom.¹⁸

From this point until the end of the novel, the sea-symbolism becomes increasingly associated with Philip's dying, especially in phrases concerning the waves "lapping on the shelving shore":

Without a word to them — without a word even of inquiry — which many outside thought and spoke of as strange — white-faced, dry-eyed Sylvia slipped into the house, out of their sight.

And the waves kept lapping on the shelving shore.¹⁹

"I did thee a cruel wrong," [Philip] said at length. "I see it now. But I'm a dying man. I think that God will forgive me — and I've sinned against Him; try lassie try, my Sylvie — wilt thou not forgive me?"

He listened intently for a moment. He heard through the open window the waves lapping on the shelving shore. But there came no word from her; only that same long shivering, miserable sigh broke from her lips at length.

"Child" said he, once more, "I ha'made thee my idol; and, if I could live my life o'er again, I would love my God more, and thee less; and then I shouldn't ha' sinned this sin against thee. But speak one word of love to me — one little word, that I may know I have thy pardon."

"Oh, Philip! Philip!" She moaned, thus adjured.

Then she lifted her head, and said —

"Them were wicked, wicked words, as I said; and a wicked vow as I vowed; and Lord God Almighty has ta'en me at my word. I'm sorely punished, Philip; I am indeed."²⁰

Then he was silent — very still. Sylvia knew — widow Dobson had brought it in — that there was some kind of medicine, sent by the hopeless doctors, lying upon the table hard by, and she softly rose and poured it out and dropped it into the half-open mouth. Then she knelt down again, holding the hand feebly stretched out to her, and watching the faint light in the witsful eyes. And in the stillness she heard the ceaseless waves lapping against the shelving shore.²¹

His mind was wandering, and he plucked it back. Was this death in very deed? He tried to grasp at the present, the earthly present, fading quick away. He knew that much. And the door was open into the still, dusk night; and through the open casement he could hear the lapping of the waves on the shelving shore, could see the soft grey dawn over the sea — he knew it was over the sea — he saw what lay unseen behind the poor walls of the cottage. And it was Sylvia who held his hand tight in her warm, living grasp; it was his wife whose arm was thrown around him, whose sobbing sighs shook his numbed frame from time to time.

"God bless and comfort my darling," he said to himself. "She knows me now. All will be right in heaven — in the light of God's mercy."²² Then there came a rush and an eddying through his brain — his soul trying her wings for the long flight. Again he was in the present: he heard the waves lapping against the shelving shore once again.²³

All this leads to the now-inevitable climax of Philip's death:

Then he spoke, and said, "Lord, forgive us our trespasses, as we forgive each other!" And after that the power of speech was conquered by the coming death. He lay very still, his consciousness fast fading away, yet coming back in throbs, so that he knew it was Sylvia who touched his lips with cordial, and that it was Sylvia who murmured words of love in his ear. He seemed to sleep at last, and so he did — a kind of sleep, but the light of the red morning sun fell on his eyes, and with one strong effort he rose up, and turned so as once more to see his wife's pale face of misery.

"In heaven!" he cried; and a bright smile came on his face, as he fell back on his pillow.²⁴

The cumulative effect of the sea-symbolism and the especially hypnotic repetition of phrase with the faintly biblical cast of the characters' diction and the narrator's rhetoric must be taken into account in any judgment of this chapter's worth. With each recurrence of the symbolism, Philip's journey to heaven, and Sylvia's acceptance of Philip's worth and God's judgment progresses another step. In the first example (p. 521), Sylvia is still contending with the ebb and flow of her own passions; she does not notice the sound of the waves. With the second passage (p. 522), she enters the room, and with the third is able to renounce her own passions and see her own position with regard to Philip and God's judgment clearly. In the remaining passages, the two are reconciled to each other and hope for forgiveness in heaven as was predicted by an earlier statement of the author's: "Yes; with God all thing are possible. But oftimes he does his work with awful instruments. There is a peacemaker whose name is Death."²⁵

The final chapter of *Sylvia's Lovers* provides a resolution to the conflicting valuation of the sea-land symbolism by showing that the strict identi-

fication of the sea with Kinraid was an interpretation existing mainly in Sylvia's limited vision. In the confines of this interpretation the conflict between the sea and the land can only be destructive (although this, too, is beyond Sylvia's vision; she can only see in the ocean her own passionate nature which she feels would be fulfilled by marriage to Kinraid). The author's acknowledgement of the conflict and its destructive result is Mrs. Gaskell's judgement both of the relationship between Sylvia and Kinraid and of the result of placing wordly desires above the considerations of man's debt to God and eternity. Once the sea is recognized to be eternity, its destructive effect can be seen to be an illusion since human suffering and death are trivial to the soul in heaven.

A novel about eternal concerns must be at least partly written in the symbolic mode since all representation of eternity in realistic terms ultimately appears ridiculous. Unfortunately, *Sylvia's Lovers* is no more a symbolic novel than it is an historical novel. It is not an historical novel since the actions of the characters have little or nothing to do with the historical background; contemporary situations could easily have been found. It is not a symbolic novel since the passages containing the sea-land symbolism comprise only a small fraction of the novel (they appear mainly at the beginning and the end, and are almost entirely noted in this paper). *Sylvia's Lovers* is actually a realistic and psychological novel; it purports to be a novel concerned with the earthly problems and motivations of human beings about whom any reader at any time and place can be interested in and relate to his own experiences. It is here that the novel is a failure. Kinraid is hardly portrayed at all and, except for the chapter in which he confronts Sylvia and Philip, his presence as a character disappears after his impressment. Philip and Sylvia are the characters Mrs. Gaskell concentrates on, but the results are not satisfying. The very qualities that make Sylvia stand out in the novel, her heedlessness and impulsiveness, are the very qualities Mrs. Gaskell must condemn, while the characteristics that Mrs. Gaskell notes most favorably about Philip, his seriousness and steadfastness, are the qualities that make him seem dull to the reader. Moreover, Philip's and Sylvia's motivations in love are not given in the novel except as outward action. Sylvia demands absolute devotion in love; Philip, not Kinraid, is the only character in the novel who can give this to her. She does not recognize this fact. Philip and Sylvia have almost nothing in common; while Philip and Hester Rose have almost everything in common; why then does Philip love Sylvia? Sexual attraction could be an answer, but Mrs. Gaskell cannot write about sexual motivation; she does not even attempt to indicate it strongly. A mismatched pair of lovers is not an unusual situation in life as well as in literature, but there is so much suffering here and it is so earnestly portrayed by the author that the reader expects, almost demands, some sort of answer even one stated in the most specific and didactic terms. Not only is no answer given, but the very possibility of an answer in human terms as to the "why" of suffering in love is specifically rejected by the author. The following words are put into the mouth of one of the minor characters. Alice Rose, speaking to Philip:

Lad! it's not schooling, nor knowledge, nor book-learning as carries a man through t'world. It's mother-wit. And it's noane schooling, nor knowledge, nor book-learning as takes a young woman. It's summat as cannot be put into words.²⁶

Such a view, I would submit, is disastrous to a literary work. "It" must be put into words, no matter how obliquely or symbolically expressed. *Sylvia's Lovers*, neither fish, flesh nor good red herring, is a most frustrating novel.

Footnotes

The action of *Sylvia's Lovers* takes place in the whaling town of Monkshaven at the end of the eighteenth century, and is based on the complexities of the love triangle between Philip Hepburn, Sylvia Robson and Charlie Kinraid, and on several melodramatic incidents. Philip is a Quaker, a sober, industrious shopkeeper (having risen from a clerk to a partnership through his own efforts). Sylvia is the daughter of a sailor and sometime smuggler, now turned farmer, and has an impulsive, but, basically good character. She is also Philip's cousin on her mother's side. Philip is in love with Sylvia, and, although he does not at first express his love directly, she senses it and is rather repelled by it. Philip does not live up to her romantic expectations: he is unhandsome, too morally serious, and makes her conscious of her own lack of education. Kinraid, a harpooner, on the other hand, meets all of Sylvia's girlish ideal and is something of a town hero as well, having defied the press-gang.

Philip's disapproval of Kinraid, based on the very real fact that Kinraid has loved and left several neighborhood girls, only encourages Sylvia further. She and Kinraid become engaged with her father's (but not her mother's) knowledge. The novel quickly turns to melodrama at the crucial point. While walking along a desert beach, Kinraid is seized by the press-gang. The only witness to this is Philip whom Kinraid charges to tell Sylvia what has happened and to tell her to wait for him. Philip is on a mission to London at the time and decides to first go there to think matters over. On his return, Philip finds that the townspeople believe Kinraid to have been accidentally drowned. Choosing his passion for Sylvia over his conscience, Philip says nothing.

Sylvia mourns greatly for Kinraid and for the loss of her girlish dreams, but circumstances draw her closer to Philip. Sylvia's father leads a mob against the press-gang, is later arrested and prosecuted by the government, and hanged. Needing a refuge for herself and her now ailing mother, Sylvia turns to Philip for aid and ultimately marries him. A child is born, but Sylvia's love for Kinraid remains and Philip realizes his error. After a year of marriage, Kinraid returns and confronts both Philip and Sylvia. After a highly emotional scene, Philip resolves to leave quietly: he now realizes Kinraid's love for Sylvia had been sincere. As Sylvia's mother now becomes seriously ill, Philip's disappearance is not noticed until it is too late to locate him. Sylvia tries to resign herself to what she feels to be a broken life, but has only hatred in her heart for Philip.

Philip and Kinraid encounter each other at the siege of Acre, where Philip rescues the wounded Kinraid. Almost immediately afterwards, Philip is disfigured in a shipboard accident. The grateful Kinraid is unable to locate Philip who eventually returns to England. Later, Sylvia learns of the incident from Kinraid's wife (whom he married shortly after finding Sylvia married) and begins to realize that Philip's love was the deeper and truer. This is confirmed when Philip, who has returned to Monkshaven disguised as a beggar, rescues their child from drowning. Philip, though, is dying and a highly emotional death-bed scene takes place: Sylvia can forgive and even love Philip now, but Philip realizes that his excessive passion for Sylvia has been caused by his turning away from the proper object of the greatest of loves, that is, God. The novel ends with a brief resumé of the fortunes of the surviving characters from a viewpoint contemporary with the novel's composition.

2. Elizabeth Gaskell: *A Biography* (Oxford: Oxford University Press, 1976), p. 211.

3. See Gérin, p. 215.

4. Cf. the following descriptions of Monkshaven and its inhabitants with the descriptions of the countryside:

Monkshaven was a name not unknown in the history of England, and traditions of its having been the landing-place of a throneless-queen were current in the town. At the time there had been a fortified castle on the heights above it, the site of which was now occupied by a deserted manor-house; and at an even earlier date than the arrival of the queen, and coëval with the most ancient remains of the castle, a great monastery had stood on those cliffs, overlooking the vast ocean that blended with the distant sky. Monkshaven itself was built by the side of the Dee, just where the river falls into the German Ocean. The principal street of the town ran parallel to the stream, and smaller lanes branched out of this, and straggled up the sides of the steep hill, between which and the river the houses were pent in. There was a bridge across the Dee, and consequently a Bridge Street running at right angles

to the High Street; and on the south side of the stream there were a few houses of more pretension, around which lay gardens and fields...

The magnates of Monkshaven were those who had the largest number of ships engaged in the whaling-trade. Something like the following was the course of life with a Monkshaven lad of this class: — He was apprentice as a sailor to one of the great shipowners — to his own father, possibly — along with twenty other boys, or, it might be, even more. During the summer months he and his fellow-apprentices made voyages to the Greenland seas, returning with their cargoes in the early autumn, and employing the winter months in watching the preparation of the iol from the blubber in the melting-sheds, and learning navigation from some quaint but experienced teacher, half schoolmaster, half sailor, who seasoned his instructions by stirring narrations of the wild adventures of his youth. ... At the time of which I write, there was but little division of labour in the Monkshaven whale-fishery. The same man might be the owner of six or seven ships, any one of which he himself was fitted by education and experience to command; the master of a score of apprentices, each of whom paid a pretty sufficient premium; and the proprietor of the melting-sheds into which his cargoes of blubber and whalebone were conveyed to be fitted for sale. ... Every one depended on the whale-fishery, and almost every male inhabitant had been, or hoped to be a sailor. Down by the river the smell was almost intolerable to any but Monkshaven people during certain seasons of the year; but on these unsavoury "staites" the old men and children lounged for hours, almost as if they revelled in the odours of train-oil.

Elizabeth Gaskell, *Sylvia's Lovers, Etc., The Works of Mrs. Gaskell*, ed. A. W. Ward (London: Smith, Elder & Co., 1906), VI, 1-3.

The "Knutsford" edition. Hereafter referred to as *Sylvia's Lovers*.

5. *Sylvia's Lovers*, pp. 3-4. Cf. the beginning of this passage, below:

The country for miles all round was moorland: high above the level of the sea towered the purple crags, whose summits were crowned with greensward that stole down the sides of the scarp a little way in grassy veins. Here and there a brook forced its way from the heights down to the sea, making its channel into a valley more or less broad in long process of time. And in the moorland hollows, as in these valleys, trees and underwood grew and flourished: so that, while on the bare swells of the high land you shivered at the waste desolation of the scenery, when you dropped into these wooded 'bottoms' you were charmed with the nestling shelter which they gave.

Sylvia's Lovers, p. 3

6. See note 5, above.

7. *Sylvia's Lovers*, pp. 4-5. See also the middle of this passage:

But at that time gardening was not a popular art in any part of England: in the north it is not yet. Noblemen and gentlemen may have beautiful gardens: but farmers and day-labourers care little for them north of the Trent, which is all I can answer for. A few "berry" bushes, a black-current tree or two (the leaves to be used in hightening the flavour of tea, the fruit as medicinal for colds and sore throats), a potato-ground (and this was not so common at the close of the last century as it is now), a cabbage bed, a bush of sage, and balm, and thyme, and majoram, with possibly a rose tree, and "old man" growing in the midst: a little plot of small, strong, coarse onions, and perhaps some marigolds, the petals of which flavoured the salt-beef broth: such plants made up a well-furnished garden to a farm-house at the time and place to which my story belongs.

The point is that almost all of what is grown in the garden is useful rather than ornamental. An "old man" is "a name of the Southernwood (*Artemisia jabrotanum*); perh. from its hoary foliage." *O.E.D.*

8. The interpretation of the sea as having a destructive influence on the land also offers a resolution to the problem of whether Kinraid is the hero and Philip the villain of the novel or not, the answer being that while Philip is not an heroic figure, he is the principal male character in the novel and that Kinraid definitely is not the man for Sylvia.

Contemporary criticism of the novel found Philip to be a disagreeable and villainous character, and the earlier book-length studies of Mrs. Gaskell's work usually went along with this. For example:

"... detestable and disagreeable Philip Hepburn." A. Stanton Whitfield, *Mrs. Gaskell: Her Life and Work* (London: George Routledge & Sons, Ltd., 1929), p. 171.

"Philip is unlovable, a pedant, incapable of Understanding the fierce extremes which are characteristic of Sylvia Robson."

"... Mrs. Gaskell was too true an analyst of character to make the merry, happy Kinraid continue true to one woman after he knew he could not win her... when he found Sylvia unwilling to leave everything for him and had thought over the matter a night, he was not the person to pine away or waste more time thinking about her." Gerald DeWitt Sanders, *Elizabeth Gaskell* (New Haven: Yale University Press, 1929), p. 119; pp. 120-121.

More modern studies tend at least to give Philip the benefit of the doubt, possibly owing to the prominence of the anti-hero in the modern novel. For example:

"While Philip is no fool, he is a dull personality... While his love was possessive it was at the same time selfless. Such things give us pause when we are tempted to turn from him with toathing."

"The author wisely leaves Kinraid to the reader's judgement." A. B. Hopkins, *Elizabeth Gaskell: Her Life and Work* (London: John Lehmann, Ltd., 1952), p. 269; p. 270.

"[Philip] is possessive and jealous... self-seeking, [but] possesses a nobility that is always evident to the reader but which Sylvia does not see."

Arthur Pollard, *Mrs. Gaskell: Novelist and Biographer* (Cambridge-Mass.: Harvard University Press, 1966) see p. 221.

Also see note 2, above.

9. *Sylvia's Lovers*, p. 245.

10. *Ibid.* See also note 7, above.

11. *Sylvia's Lovers*, pp. 279-380.

12. *Sylvia's Lovers*, pp. 380-381.

13. *Sylvia's Lovers*, pp. 516.

14. *Sylvia's Lovers*, pp. 389-390.

15. *Sylvia's Lovers*, p. 67. One reason Sylvia had gone to church was to look at other people's cloaks as a pattern for her own. It was this occupation "to which Sylvia had been so looking forward." She had also gone to attend the funeral. In Molly Corney's words (she is Sylvia's friend and Kinraid's cousin), "Besides, there's to be this grand burryin' o' t' man t' press-gang shot, and 't will be like killing two birds at once." (p. 63).

Sylvia had been choosing material for a new cloak when the press-gang seized the crew of the first whaler to return to Monkshaven that season. Two days later, Kinraid's ship arrived and resisted the press-gang. Sylvia heard this story at home. She was emotionally affected by the actions of the press-gang that she had witnessed and this caused her to listen to the story of Kinraid's defiance with more than a curious interest. The cloak is the means of tying these characters and the symbolism examined in this part of the paper together.

16. *Sylvia's Lovers*, pp. 73-74.

17. *Sylvia's Lovers*, pp. 79-80. Molly Corney has been teasing Philip as they walk back from the churchyard about his piety and the piety of Quakers in general: "Deary me! What a wonder yo' can speak to such sinners as Sylvia and me, after keepin' company with so much goodness!... 'Is na' it, Sylvia?" (p. 79). It is this that Sylvia answers "gravely, and silightly beside the question."

18. *Sylvia's Lovers*, p. 521.

19. *Sylvia's Lovers*, p. 522.

20. *Sylvia's Lovers*, p. 523. When Kinraid returned, accused Philip of betraying him and asked Sylvia to leave Philip and come with him. Sylvia, refused but said: "I'll make my vow now, lest I lose mysel' again. I'll never forgive yon man, nor live with him as his wi'e again. All that's done and ended." (p. 404).

21. *Sylvia's Lovers*, p. 524.

22. *Sylvia's Lovers*, p. 527.

23. *Sylvia's Lovers*, p. 528.

24. *Ibid.*

25. *Sylvia's Lovers*, p. 516.

26. *Sylvia's Lovers*, p. 257.

London: Smith, Elder & Co., 1906. VI. The "Knutsford" Edition. *Sylvia's Lovers* occupies pp. 1-530 of vol. VI.

Gérin, Winifred. *Elizabeth Gaskell: A Biography*. Oxford: Oxford University Press, 1976.

Hopkins, A. B. *Elizabeth Gaskell: Her Life and Work*. London: John Lehmann, Ltd., 1952.

Pollard, Arthur. *Mrs. Gaskell: Novelist and Biographer*. Cambridge-Mass.: Harvard University Press, 1965.

Whitfield, A. Stanton. *Mrs. Gaskell: Her Life and Work*. London George Routledge & Sons, Ltd., 1929.

Universidade de Brasília
Brasília, DF

A LIST OF WORKS CITED IN THE TEXT

De Witt Sandres, Gerald, *Elizabeth Gaskell*. New Haven: Yale University Press, 1929.
Gaskell, Elizabeth, *Sylvia's Lovers, Etc., The Works of Mrs. Gaskell*. Ed. A.W. Ward.

PARALELISMOS ENTRE WILLIAM WILSON E
SR. GOLIÁDKIN, OS "DUPLOS" DE POE E DOSTOIEVSKI

SIGRID RENAUX

Os nomes de Poe e Dostoievski já haviam sido aproximados pelos simbolistas russos, que viam em Dostoevski o "primeiro decadente" e o ligaram a Poe pelo tratamento que ambos davam ao perverso.¹ Entretanto, a introdução que o próprio Dostoievski escreveu sobre Poe em seu jornal *Vremja*, I, em 1861, para a tradução dos contos *The Black Cat*, *The Tell-Tale Heart* e *The Devil in the Belfry*, apesar de curto e não totalmente favorável, mostra que a maior atração dele por Poe era exatamente seu poder de penetração e vigor de imaginação, aliados à especificidade de detalhes:

He almost always takes the most exceptional actuality, places his hero in the most exceptional external or psychological position, and with what power of penetration, with what striking verity does he tell the state of that man's soul! Besides this, there is in Edgar Poe one characteristic that decisively separates him from all other writers and establishes his originality: this is the vigor of his imagination. Not that he surpasses other writers in imagination. But in his capacity for imagination there is such a unique quality as may be found only in him. This is the power of specific detail.²

Se bem que J. Grossman considere esta crítica "the most intelligent and the only original piece of criticism written on him [Poe] in Russia until at least the seventies", ela entretanto conclui que esta avaliação percebe Poe "from the outside, as it were, noting several salient traits but not penetrating his spirit".³

Levando em consideração a precariedade da qualidade das traduções pré-baudelairianas⁴ de Poe que chegaram à Rússia, não é de admirar que a absorção de Poe por Dostoievski fosse incompleta, ou "from the outside", como quer J. Grossman. Entretanto, Dostoievski provavelmente leu *William Wilson* (publicado em 1839) antes de escrever *O Du-*

plo (publicado em 1846), pois Spiller afirma que os russos já liam Poe no final da década de 1830, muito antes de ele ser absorvido na França,⁵ e portanto, no original inglês. Assim, examinando em detalhe o conto de Poe e o romance de Dostoievski, achamos que essa opinião de Grossman merece reconsideração, à luz das semelhanças achadas entre ambas as obras, não apenas em relação ao tema — o duplo, uma constante em ambos os escritores — mas e principalmente em relação aos detalhes na caracterização dos heróis e seus respectivos duplos, como também em relação a outros aspectos da narrativa, que demonstrariam ter Dostoievski assimilado Poe muito mais do que Grossman sugere. Assimilado e, evidentemente, transformado.

Deste modo, se por um lado poderíamos falar da influência de Poe sobre Dostoievski em *O Duplo*, não só pela cronologia das duas obras como também pelas semelhanças estruturais entre ambas — como diz Alfred Bem sobre a suscetibilidade de Dostoievski à influência.

Dostoevski was unusually sensitive to the literary influence of another. The awakener of his artistic receptivity, however, was not so much the literary work itself as the circle of ideas hidden in it.⁶

por outro lado, embrando-nos de que um conto "nasce da necessidade irrecusável de expressão, que em cada autor segue a lei da própria individualidade", teríamos, ao comparar as duas obras, de aceitar o fato de que apesar de uma possível influência de Poe sobre Dostoievski, vale realmente o tratamento original que ele deu ao grande mito coletivo do "duplo" e que irá perseguir ao longo de seus grandes romances posteriores.

Nosso objetivo neste trabalho será, portanto, apontar alguns dos paralelismos e também diferenças existentes entre ambas as obras, levando em consideração, entretanto, que a caracterização psicológica do herói de *O Duplo* é muito mais profunda, já pela extensão do romance, em relação ao conto *William Wilson*. Por uma questão de ordem, cotejaremos essas semelhanças a partir do conto de Poe, após apresentarmos um resumo das duas obras para verificarmos que são bastante diversas a nível de história e que, portanto, as semelhanças aparecerão a nível de discurso.

*William Wilson*⁷ é o nome do narrador na primeira pessoa que confessa, antes de morrer, sua vida devassa, a fim de obter nossa piedade. Ele é um rapaz arrebatado e voluntarioso, líder de seus companheiros de internato. Entretanto, há um rapaz de sua idade e aparência além disso seu homônimo, que lhe é superior, o atemoriza e o persegue constantemente, tentando protegê-lo, mas isto tudo só é notado pelo próprio William Wilson. Seu senso de perseguição aumenta tanto que foge da escola, vai a Eton e Oxford e depois viaja pela Europa, sempre procurando o caminho do vício e do prazer. Seu duplo continua aparecendo em momentos críticos, para alertá-lo ou desfazer sua ascendência sobre os outros. Finalmente, em Roma, quando o duplo aparece para impedir seu plano de seduzir a duquesa Di Broglio, Wilson, furioso, o desafia para uma luta e o mata. Ao

morrer, o duplo lhe diz que, apesar de haver vencido, de agora em diante ele também estaria morto, pois matando-o, ele havia também matado a si próprio.

*O Duplo*⁹ narra a estória do senhor Goliádkin, um pobre neurótico que sofre de mania de perseguição: finge não ser ele quando cruza com amigos, confessa a seu médico ter inimigos, considera-se desprezado pelos colegas de repartição e vítima de maquinações destinadas a impedir sua promoção, não é recebido na festa de Olsuf Ivânovitch, comete tolices, e seu ressentimento chega ao paroxismo quando um outro Sr. Goliádkin, numa noite tempestuosa, atravessa sua vida. Igual a ele em tudo, o duplo consegue até um emprego na mesma sala em que Goliádkin trabalha. Acompanha-o até sua casa, e dorme lá após travarem amizade. No dia seguinte, ele se apossa dos papéis de Goliádkin na repartição e o ridiculariza perante os colegas. Até no restaurante o duplo lhe prega uma peça. Goliádkin tem pesadelos, persegue seu duplo, seu criado Pietruchka o abandona, é novamente expulso da casa do ministro e o conto termina ao ser levado da festa na casa de Olsuf Ivânovitch para o manicômio, pelo seu médico.

Em ambas as narrativas, percebemos que há uma deformação temporal, pois o discurso linear ou cronológico é interrompido, se bem que de maneiras diferentes. Em *William Wilson*, a narrativa se inicia no presente, para através das recordações de Wilson voltar ao passado e se encerrar com sua morte, já anunciada no início da narrativa. Em *O Duplo*, a narrativa também se torna circular, pois apesar da minuciosa marcação do tempo cronológico — a estória se passa em quatro dias — há premonições, sonhos e ambivalências entre passado, presente e futuro, que destroem a linearidade ideal do discurso cronológico.

Outro aspecto que ambas as narrativas têm em comum, seria a ambivalência sonho-realidade, referida por William Wilson

Have I not indeed been living in a dream? And am I not now dying a victim to the horror and the mystery of the wildest of all sublimary visions? (p. 40)

como também, em várias ocasiões, pelo Senhor Goliádkin: ao acordar, após seu primeiro encontro com o duplo, ele “estava inclinado a atribuir tudo a um sonho, a um passageiro delírio de imaginação, a um obscurecimento momentâneo do espírito” (p. 318); mais tarde, não compreende os acontecimentos, ao ver o duplo usurpar seu lugar junto ao chefe na repartição: “Tudo isto é nacredeável! (...) Não é possível... Eu devo ter sonhado” (p. 337); ou quando corre atrás de seu duplo e trepa no carro em que este se encontrava: “Por um instante esqueceu tudo, concluiu que aquela aventura não era real, que era inverossímil e que de nada valia protestar...” (p. 368).

Examinando a seguir os heróis e seus respectivos duplos, chama-nos a atenção o fato de o próprio nome William Wilson, decomposto, nos dar “Will” + “I” + “Am”, ou seja, “I am Will”, enquanto seu sobrenome, além da primeira sílaba repetida “Will”, tem como segunda sílaba

“Son”, isto é, “Will’s Son”, o que é confirmado etimologicamente, pois o sobrenome Wilson quer dizer “filho de Will”, e além disso, Will é hipocorístico de William (que significa “protetor por sua própria vontade”). Portanto, assim como a personalidade de William Wilson irá se decompor, com o aparecimento do duplo, também seu nome se torna icônico dessa decomposição, pois contém seu duplo, ou sua repetição, em potencial. Além disso, a importância da decomposição de “William” se torna evidente ao examinarmos sua auto-análise, pois como ele mesmo se descreve, em sua infância

I am the descendant of a race whose imaginative and easily excitable temperament has at all times rendered them remarkable; and, in my earliest infancy, I gave evidence of having fully inherited the family character. As advanced in years it was more strongly developed; becoming, for many reasons, a cause of serious disquietude to my friends, and of positive injury to myself. I grew *self-willed*, addicted to the wildest caprices, and a prey to the most ungovernable passions. Weak-minded, and beset with constitutional infirmities akin to my own, my parents could do little to check the *evil propensities* which distinguished me. Some feeble and ill-directed efforts resulted in complete failure on their part, and, of course, *in total triumph on mine*. Thenceforward my voice was a household law: and at an age when few children have abandoned their leading-strings, I was left to the guidance of my own will, and became, in all but name, the master of my own actions. (p. 40)¹⁰

Portanto, se o narrador já se caracteriza como “I am Will” e desde uma tenra idade o dono de suas próprias ações — pois nem seus pais podiam refrear suas propensões malignas — o sobrenome “Wilson” corrobora ainda mais essa inclinação, pois repete e confirma o fato de o narrador ser “Will” e “filho de Will”, herdeiro desta característica de família.

Este traço da personalidade do herói seria talvez o mais contrastante com o herói de Dostoiévski, o senhor Goliádkin, pois assim como William Wilson é a imagem encarnada da “vontade”, Goliádkin parece não ter personalidade própria, o que é enfatizado no decorrer do romance. Por exemplo, ao passear de carruagem e cruzar com o chefe de departamento na repartição em que era amanuense, Goliádkin cora até as orelhas e pensa:

“Devo cumprimentar ou não? Dou-me a conhecer ou faço de conta que não sou eu? (...) Será melhor fazer de conta que não sou eu mas alguém que se parece muito comigo, e não fazer caso. É isso, não sou eu, é o mais fácil.” (p. 290)

Seu complexo de inferioridade é constantemente mencionado, pois também “ficava sempre atrapalhado quando era necessário dirigir-se a alguém para qualquer assunto pessoal” (p. 292).

Em consequência desse contraste, no momento em que seus "duplos" se manifestam, é natural que estes se oponham às personalidades originais de William Wilson e Goliádkin: o do herói de Poe será a sua consciência, seu lado "bom", como o próprio epigrama do conto anuncia

What say of it? what say (of) CONSCIENCE grim,
That spectre in my path? (p. 39)

enquanto o do herói de Dostoievski será o lado "diabólico" de sua personalidade, desdobrada patologicamente, já que seu lado "honestíssimo e bom" não conseguiu se afirmar.

Esta manifestação tem lugar, em *William Wilson*, já nos anos em que ele está estudando numa academia inglesa, onde passou o terceiro lustro de sua vida. Como ele comenta em relação ao aparecimento do duplo,

In truth, the ardor, the enthusiasm, and the imperiousness of my disposition, soon rendered me a marked character among my schoolmates, and by slow, but natural gradations, gave me an ascendancy over all not greatly older than myself; — over all with a single exception. This exception was found in the person of a scholar, who, although no relation, bore the same Christian and surname as myself; — a circumstance, in fact, little remarkable for, notwithstanding a noble descent, mine was one of those everyday appellations which seem, by prescriptive right, to have been, time out of mind, the common property of the mob. In this narrative I have therefore designated myself as William Wilson, a fictitious title not very dissimilar to the real. *My namesake alone*, of those who in school phraseology constituted "our set", *presumed to compete with me* in the studies of the class — in the sports and broils of the play-ground — *to refuse implicit belief in my assertions, and submission to my will* — indeed, *to interfere with my arbitrary dictation in any respect whatsoever*. (p. 44)

Ao passo que em *O Duplo*, o aparecimento do homônimo do senhor Goliádkin acontece já na sua maturidade, pois Goliádkin é descrito como um homem calvo e míope. E é quando o duplo aparece pela primeira vez na repartição em que Goliádkin trabalha, que este descobre tratar-se de seu sócio, não só na aparência mas até no nome:

— Estou a dizer, Anton Antônovitch... há aqui um novo funcionário...
— Ah! Sim..., é claro, ... o seu homônimo...
— Como? — exclamou o senhor Goliádkin.
— Sim, o seu homônimo... Também se chama Goliádkin... Não é seu irmão?
— Não, Anton Antônovitch, não...
— Então, desculpe! Julguei que era um parente seu. Sabe? Tem um ar de família... (p. 321)

Comparando os dois techos podemos perceber como, além dos paralelismos de nome e sobrenome — com a variante de que o duplo de Goliádkin é chamado de Goliádkin Júnior ou Goliádkin número dois, pelo narrador em terceira pessoa — há também semelhanças em outros aspectos, tais como o fato de o duplo de William Wilson ter ousado competir com ele nos estudos da classe como também nos esportes e brigas no pátio de recreio (ver citação acima), enquanto Goliádkin Júnior competia com seu Sênior na repartição:

fingindo querer tirar um borrão numa folha, o duplo agarrou o papel que o chefe pedira mas em vez de o rapar com o canivete, enrolou-o, meteu-o debaixo do braço e em duas passadas estava junto de Andriei Filipovitch, que não dera por nada.

O Senhor Goliádkin ficou pregado no lugar, com o canivete na mão, como se se preparasse para rapar alguma coisa. (p. 336)

E, da mesma maneira como o duplo de William Wilson se recusava a acreditar nas afirmações deste, e a submeter-se à sua vontade, como até interferia em sua prepotência, Goliádkin Júnior ironiza Goliádkin Sênior, ridicularizando-o perante os colegas, na cena que se segue à posse dos papéis:

— Então? diz o senhor Goliádkin Júnior, olhando com descaramento o senhor Goliádkin Sênior, que mal podia respirar.

— Eu preciso de saber... como é que o senhor explica a sua estranha atitude para comigo...

— Continue... — Nesta altura o senhor Goliádkin Júnior olhou à sua volta, piscou os olhos como para dar entender aos colegas que o rodeavam que a comédia ia começar naquele momento... (p. 337)

Esta ironização também tem lugar em *William Wilson*, mas com uma inversão de papéis — como já visto, em consequência de o duplo de William Wilson ser seu lado bom, enquanto que o de Goliádkin seria seu lado perverso — pois é William Wilson que "ataca" seu duplo com trotes e caçoadas:

It was no doubt the anomalous state of affairs existing between us, which turned all my attacks upon him, (and there were many, either open or covert) into the channel of banter or practical joke (giving pain while assuming the aspect of mere fun) rather than into a more serious and determined hostility. (p. 46)

Mas tanto as investidas de William Wilson quanto as tentativas de Goliádkin Sênior de enfrentar seu Júnior são infrutíferas, pois o duplo de William Wilson é invulnerável aos gracejos de seu "original":

But my endeavours on this head were by no means uniformly successful, even when my plans were the most wittily concocted: for my namesake had much about him, in character, of that unassuming and quiet austerity which, while enjoying the poignancy of its own jokes, has no heel of Achilles in itself, and absolutely refuses to be laughed at. (p. 46)

do mesmo modo como o Senhor Goliádkin número um não é bem sucedido em desmascarar o duplo, enquanto o número dois não se intimida com seu sênior, como nesta cena à saída da repartição:

- Cavalheiro, cavalheiro, espero que...
- Não, não espere coisa nenhuma. Tal foi a resposta evasiva do seu cruel inimigo que, já com um pé no estribo, procurava meter o outro pé dentro do carro (...).
- Iákov Pietróvitch, apenas dez minutos.
- Estou com pressa, desculpe.
- Por favor, Iákov Pietróvitch (...) Precisamos de ter uma explicação como homens de palavra que somos. É só um segundo, Iákov Pietróvitch.
- Meu querido amigo, não tenho tempo, respondeu com uma familiaridade fora de propósito e uma certa bonomia o tratante do senhor Goliádkin. Fica para outro dia. Creio que outro dia, da melhor vontade, mas agora é impossível. (p. 365)

Por essa superioridade e ascendência que os duplos exercem sobre seus originais, ambos William Wilson e o senhor Goliádkin os temem. Como comenta o primeiro sobre seu duplo,

Wilson's rebellion was to me a source of the greatest embarrassment; — the more so as, in spite of the bravado with which in public I made a point of treating him and his pretensions, I secretly felt that I feared him, and could not help thinking the equality which he maintained so easily with myself, a proof of his true superiority: since not to be overcome, cost me a perpetual struggle. Yet this superiority — even this equality — was in truth acknowledged by no one but myself: our associates, by some unaccountable blindness, seemed not even to suspect it. (p. 44)

Goliádkin, igualmente, teme seu sócia, desde o aparecimento deste, junto à ponte, numa noite de tempestade, até o final do romance, em que é levado pelo médico Krestian Ivánovitch para um manicômio. E é exatamente numa cena na repartição, em que Goliádkin se vê subitamente confrontado com o seu duplo, que este temor se torna muito explícito, pois se associa com o fato de o duplo querer usurpar seu lugar na repartição:

O recém-chegado cumprimentou Andriéi Filípovitch, o qual respondeu com aquela voz oficial e acolhedora com que os chefes em todas as repartições recebem os novos funcionários.

— Sente-se aqui — disse Andriéi Filípovitch, apontando a mesa de Anton Antônovitch. — Sente-se em frente do senhor Goliádkin... Vão já dar-lhe trabalho...

(...) O homem que estava sentado na sua frente era o seu terror, a sua vergonha, o pesadelo da véspera, era o próprio senhor Goliádkin. Mas não era aquele que, sentado numa cadeira, com a boca um pouco entreaberta e a pena parada na mão, ia desempenhando as funções de adjunto do chefe. Não era aquele que tinha o hábito de apagar-se e desaparecer na multidão (...) Não. Era um outro senhor Goliádkin, completamente diferente mas em tudo semelhante ao primeiro. (p. 319-20)

E, do mesmo modo como em *William Wilson* os colegas não suspeitam dessa superioridade — ver citação acima — pois o duplo de William Wilson, pelo fato de ser sua boa alma, sua consciência, não tem a ambição de ultrapassá-lo,

He appeared to be destitute alike of the ambition which urged, and of the passionate energy of mind which enabled me to excel. In his rivalry he might have been supposed actuated solely by a whimsical desire to thwart, astonish, or mortify myself; although there were times when I could not help observing (...) that he mingled with his injuries, his insults, or his contradictions, a certain most inappropriate, and assuredly most unwelcome *affectionatness* of manner. (p. 44-5)

em *O Duplo*, os colegas de repartição também não suspeitam da ascendência do duplo, se bem que esta superioridade se manifesta através de sua ambição, pois ele é o lado “ativo” de Goliádkin sênior:

No compartimento contíguo a esse gabinete dá de cara com Andriéi Filípovitch e seu homônimo, que vinham de falar com o ministro. (...) Num segundo, o senhor Goliádkin compreendeu a situação. o seu trabalho (como veio a saber mais tarde) tinha excedido as esperanças de Sua Excelência. O ministro estava extremamente satisfeito. Dizia-se até que tinha agradecido ao senhor Goliádkin número dois com toda a simpatia e lhe tinha prometido lembrar-se dele na primeira ocasião... (p. 336)

Contraditoriamente, ambos os duplos agem de maneira paradoxal em relação a seus “originais”, alternando um comportamento “afetivo” ou paródico, com insultos e injúrias. William Wilson se admira que seu duplo misturava com suas injúrias, uma certa afeição (citação acima), enquanto Goliádkin é tratado de maneira semelhante por seu júnior, na repartição,

como quando tenta esclarecer a situação com seu duplo, sob os olhares dos colegas:

— O senhor esqueceu-se... — disse o senhor Goliádkin número um completamente transtornado, a ponto de perder quase os sentidos.

— O senhor há de mudar de tom, juro-lhe!

— Meu pobre amigo... — diz o senhor Goliádkin Júnior fazendo uma careta ao senhor Goliádkin Sênior. Depois, com grande familiaridade, deu um beliscão na face direita do senhor Goliádkin, que ficou fora de si. (p. 338).

Os paralelismos continuam ao compararmos o fato de que William Wilson comenta a extrema proteção por parte de seu duplo, a ponto de os colegas pensarem que fossem irmãos, por haverem entrado na escola no mesmo dia, mais a descoberta posterior de William Wilson de que haviam nascido na mesma data:

Perhaps it was this latter trait in Wilson's conduct, conjoined with our identity of name, and the mere accident of our having entered the school upon the same day, which set afloat the notion that we were brothers, among the senior classes in the academy. (...) Wilson was not, in a most remote degree, connected with my family. But assuredly if we *had* been brothers we must have been twins: for, after leaving Dr. Brasnby's, I casually learned that my namesake was born on the nineteenth of January, 1813 — and this is a somewhat remarkable coincidence, for the day is precisely that of my own nativity. (p. 45)

com o fato de que em *O Duplo*, após a observação inicial de Anton Antônovitch de que o novo funcionário tem um ar de família com Goliádkin, é este que chama a atenção de Antônovitch para a profunda semelhança entre ambos:

(...) não notou que ele se parece extraordinariamente com alguém? Sim... comigo? O senhor já me disse que tem a impressão de que há um certo ar de família, Anton Antônovitch... Sabe? Há às vezes gêmeos tão semelhantes como duas gotas d'água, que não se podem diferenciar... Era aqui que eu queria chegar...

— Sim, respondeu Anton Antônovitch após uns instantes de reflexão e como se pela primeira vez reparasse em tal fato. — Sim, tem razão, a semelhança é na verdade assombrosa, a ponto de se confundir um com o outro. Tal como se ele fosse o senhor mesmo e não outro. A princípio reparei ligeiramente, mas agora noto que a semelhança é surpreendente, pasmosa! Mas diga-me uma coisa, Iákov Pietróvitch; o senhor é natural daqui mesmo?

— Não.

— Pois nem ele tampouco o é. Há de ser da mesma região que o senhor. (...) (p. 322)

Evidentemente, não há referência quanto à data do nascimento de Goliádkin em relação a seu duplo, mas isto é substituído pela alegação de Antônovitch de ambos não serem de Petersburgo e, ainda mais, de o duplo provavelmente ser da mesma região que Goliádkin — o que é posteriormente confirmado pelo duplo (p. 327).

E, assim como William Wilson e seu duplo entraram na academia no mesmo dia, Goliádkin Júnior aparece na repartição em que seu Sênior trabalha no dia seguinte ao do primeiro encontro na ponte. Além disso, William Wilson menciona que ele e seu duplo poderiam ter sido gêmeos, caso fossem irmãos, e a mesma possibilidade é aventada por Goliádkin e Antônovitch, deixando a sugestão de gêmeos em potencial, o que equivaleria a dizer que nasceram no mesmo dia, como comenta Antônovitch:

O senhor não tem culpa disto. Olhe, quer ver outro exemplo? Já ouviu falar de uns irmãos chamados siameses, não verdade? (p. 323)

Como consequência desta crescente similaridade e rivalidade, tanto William Wilson como Goliádkin vivem ansiosos, o primeiro sem entretanto no momento odiar seu duplo,

It may seem strange that in spite of the continual anxiety occasioned me by the rivalry of Wilson, and his intolerable spirit of contradiction, I could not bring myself to hate him altogether. We had, to be sure, nearly every day a quarrel in which, yielding me publicly the palm of victory, he, in some manner, contrived to make me feel that it was he who had deserved it: yet a sense of pride on my part, and a veritable dignity on his own, kept us always upon what are called "speaking terms", while there were many points of strong congeniality in our tempers, operating to awake in me a sentiment which our position alone, perhaps, prevented from ripening into friendship. (p. 45).

pois da mesma maneira como seu duplo o trata de modo contraditório, também William Wilson tem sentimentos contraditórios para com seu duplo

It is difficult, indeed, to define, or even to describe, my real feelings toward him. They formed a motley and heterogeneous admixture; — some petulant animosity, which was not yet hatred, some esteem, more respect, much fear, with a world of uneasy curiosity. (p. 46)

enquanto que Goliádkin, mais ansioso ainda, tem sentimentos ainda mais indefinidos em relação a seu duplo, sentimentos que passam da indiferença, à severidade e à compaixão, como podemos ver nesta cena à saída da repartição, no final do primeiro dia de trabalho com seu duplo:

“Enfim, tempo virá em que terei vontade de rir de tudo isto. Senão, vejamos, meu amigo, raciocinemos. Tu és um homem absolutamente igual a mim, em tudo semelhante, e daí? Será razão para eu me pôr a chorar? Que tenho eu com isso? (p. 325)

Também um pouco adiante, ao perceber que seu duplo o acompanhava, diz a ele: “Julgo (...) julgo que não é preciso dizer mais nada...” (p. 325) em “tom severo”, e, logo em seguida, atendendo às súplicas do duplo, Goliádkin o convida a ir à sua casa, quando este lhe expõe sua penúria:

— Ouve, Iacha — continuou o senhor Goliádkin com uma voz trêmula e fraca — instala-te em minha casa por algum tempo ou para sempre. Havemos de entender-nos bem, não te parece? Não te preocupes com a nossa extraordinária semelhança. Há entre nós um laço tão estranho que seria pecado revoltarmo-nos! Seria um pecado! (p. 330)

Assim, do mesmo modo como William Wilson e seu duplo se tornaram “the most inseparable of companions” (p. 46) na academia, Goliádkin, além de ter seu duplo trabalhando em uma mesa em frente à sua na repartição, ainda o tem como hóspede em sua própria moradia.

Um dos paralelismos mais marcantes entre os duplos é sem dúvida o fato de ambos falarem em voz baixa, contrastando com a voz de seus “originais”, o que é ressaltado diversas vezes no decorrer de ambas as narrativas. Em *William Wilson*, por exemplo, este comenta, em relação à invulnerabilidade de seu duplo às suas investidas:

I could find, indeed, but one vulnerable point, and that, lying in a personal peculiarity, arising, perhaps, from constitutional disease, would have been spared by any antagonist less at his wit's end than myself; — my rival had a weakness in the faucial or guttural organs, which precluded him from raising his voice at any time *above a very low whisper*. Of this defect I did not fail to take what poor advantage lay in my power. (p. 46)

Isto é confirmado adiante, quando comenta que o duplo tentava até imitar sua voz: “My louder tones were, of course, unattempted, but then the key, it was identical; *and his singular whisper, it grew the very echo of my own*.” (p. 47) Entretanto, como veremos ao comentar a cena final de *William Wilson*, este aspecto sofre uma inversão marcante, pois aí será a vez de William Wilson falar com voz rouca e seu duplo, ao morrer, assume todo o potencial de sua voz.

Esta mesma inversão também tem lugar em *O Duplo*, pois no começo da usurpação, o duplo fala em voz baixa, como a voz do próprio Goliádkin — que além disso balbucia, quando atrapalhado — ao passo que gradativamente a voz do “júnior” vai ficando mais forte, numa gradação ascendente,¹¹ até dominar a do herói. Compare-se, no início da narrativa, a voz tímida do duplo ao se dirigir a Goliádkin:

— Se o senhor, Iákov Pietróvitch... Quisesse ter a bondade de ouvir-me...

— Olhe, o melhor... é irmos para minha casa — respondeu o senhor Goliádkin. (...)

— Como quiser, vamos por essa travessa — diz timidamente o dócil companheiro do senhor Goliádkin: o tom da resposta significava que ele não tinha o direito de discutir. (p. 326)

com uma situação posterior, na repartição, quando o duplo responde à interpelação de Goliádkin: “Desculpe-me, depois, depois me poderá falar!” (p. 333) E, finalmente, o duplo até parodia a voz de Goliádkin, ao meter-lhe o sobretudo pela cabeça abaixo durante a festa na casa do ministro, e dizendo, em voz de “falsete”: “O sobretudo, o sobretudo... do meu melhor amigo!” (p. 377)

Num ponto, porém, as duas personalidades dos heróis divergem de modo sensível: no fato de William Wilson odiar seu próprio nome — talvez por já conter seu duplo em potencial na repetição da sílaba “Will”, se bem que ele atribua esse ódio a uma outra razão —

I had always felt aversion to my uncourtly patronymic, and its very common, if nor plebeian praenomen. The words were venom in my ears; and when, upon the day of my arrival, a second William Wilson came also to the academy, I felt angry with him for bearing the name, and doubly disgusted with the name because a stranger bore it, who would be the cause of its twofold repetition, who would be constantly in my presence, and whose concerns, in the ordinary routine of the school business, must inevitably, on account of the detestable coincidence, be often confounded with my own. (p. 46)

Segundo William Wilson, seu duplo havia descoberto esta aversão e uma das maneiras de mais perturbá-lo era exatamente imitar o “original” o mais possível — pois ele estava constantemente na presença de William Wilson — já que tinham a mesma altura, eram extremamente parecidos e até da mesma idade — fato também mencionado repetidas vezes nas narrativas:

I had not then discovered the remarkable fact that we were of the same age; but I saw that we were of the same height, and I perceived that we were even singularly alike in general contour of person and outline of feature. (p. 47)

Assim,

His cue, which was to perfect an imitation of myself, lay both in words and in actions: and most admirably did he play his part. My dress it was an easy matter to copy: my gait and general manner were, without difficulty, appropriated: in spite of his constitutional defect, even my voice did not escape him. (p. 47)

E, em cenas posteriores, William Wilson comenta "the figure of a youth about my own height, and habited in a white kerseymere morning frock, cut in the novel fashion of the one I myself wore at the moment" (p. 51), como também percebe, em outra ocasião, que a capa do duplo era idêntica à sua:

The cloak which I had worn was of a rare description of fur; (...) Its fashion, too, was of my own fantastic invention (...) When, therefore, Mr. Preston reached me that which he had picked up upon the floor (...) it was with an astonishment nearly bordering upon terror, that I perceived my own already hanging on my arm (...) and that the one presented me was but its exact counterpart in every, in even the minutest possible particular. (p. 56-7)

Essa identidade de trajes atinge o clímax na cena final do conto, quando Wilson descreve o traje do duplo novamente como igual ao seu:

He was attired, as I had expected, in a costume altogether similar to my own: wearing a Spanish cloak of blue velvet, begirt about the waist with a crimson belt sustaining a rapier. A mask of black silk entirely covered his face. (p. 59)

Deste modo, é evidente que o medo que William Wilson sente, de seus assuntos particulares se confundirem com os do duplo, se torne realidade. E, em *O Duplo*, se bem que Goliádkin não odeie seu próprio nome — o que é compensado, parece-nos, pelo fato de não ter personalidade própria — mesmo assim ele se irrita ao perceber que o duplo procura imitá-lo em tudo, caricaturando-o, e usurpando seu trabalho, como já comentado, já que nomes e aparências se confundem:

Tinha a mesma estatura, a mesma corpulência, a mesma roupa, a mesma calvície. Era em tudo igual ao outro, sem tirar nem pôr, a tal ponto que ninguém poderia gabar-se, comparando-os, de ser capaz de determinar qual era o verdadeiro senhor Goliádkin e qual o falso, qual o antigo, qual o novo, qual o original, qual a cópia. (p. 320)

Também um pouco adiante, ao levar Goliádkin Júnior à sua casa, o senhor observa que o duplo

tinha gestos tímidos, desajeitados. Podia-se compará-lo a alguém que, não tendo roupas próprias, vestisse as de outra pessoa: as mangas são compridas demais, a cintura fica-lhe muito acima. Puxa constantemente o colete que está curto, encolhe-se, procura sumir-se. (p. 326)

E o medo manifestado por William Wilson, que seus assuntos escolares fossem confundidos com os de seu duplo, também transparece em Goliádkin, cujo duplo aproveita a semelhança e a homonímia para roubar o trabalho de Goliádkin e subir de posição, como já mencionado acima.

Outra similaridade entre ambos os pares de heróis seria o fato de sua semelhança física não ser percebida pelos colegas, mas apenas pelos próprios "originais" e seus duplos. William Wilson afirma que

I had no reason to believe that (...) this similarity had ever been made a subject of comment, or even observed at all by our school-fellows. That *he* observed it in all its bearings, and as fixedly as I, was apparent. (p. 47)

enquanto Goliádkin, ao ver entrar na repartição seu duplo, seu primeiro movimento

foi olhar à volta para ver se os outros funcionários cochichavam entre si, se não se preparavam para dizer qualquer graça de repartição, se não havia qualquer rosto em que se pudesse ler espanto ou terror. Contudo, o senhor Goliádkin verificou com grande admiração que não se passava nada deste gênero. (p. 320)

É apenas Anton Antônovitch que percebe a semelhança, e assim mesmo só depois que o próprio Goliádkin lhe havia chamado a atenção, como visto acima. Nem Pietruchka, o criado de Goliádkin, não percebe a semelhança, quando este leva o duplo à sua casa.

Outro paralelismo seria o fato de, novamente, os companheiros de William Wilson e Goliádkin não perceberem que seus duplos os imitam em tudo. Entretanto, enquanto o duplo de William Wilson o copia em tudo, como comenta o herói,

How greatly this most exquisite portraiture harassed me (for it could not justly be termed a caricature), I will not now venture to describe. I had but one consolation — in the fact that the imitation, apparently, was noticed by myself alone, and that I had to endure only the knowing and strangely sarcastic smiles of my namesake himself. (p. 47)

o duplo de Goliádkin é realmente uma caricatura do mesmo, o que é projetado diversas vezes no decorrer da narrativa, como já visto acima, ou como nesta cena na repartição, em que, além da caricatura, parece haver

mais uma inversão e Goliádkin imita o duplo para daí ser mais uma vez parodiado:

Depois de ter saltitado por aqui e por ali e desempenhado o seu papel junto de cada um, logo que chamou sobre si as atenções e abraçou a todos, o senhor Goliádkin Júnior, que decerto por descuido não tinha ainda reparado no seu amigo mais antigo, estendeu a mão ao senhor Goliádkin Sênior. Também por descuido — e, contudo, ele tivera tempo de sobra para reconhecer o nojento senhor Goliádkin Júnior — o nosso herói apertou com força e simpatia a mão que o outro lhe estendia.

(...) Mas o senhor Goliádkin Júnior apercebe-se logo do erro do seu homônimo e, sem pudor, sem a mínima delicadeza, retira repentinamente e com uma insolência brutal a sua mão da do senhor Goliádkin Sênior, e sacode-a depois como se estivesse suja. Cospe de lado num gesto insultuoso, tira o lenço do bolso e limpa a mão que durante um momento estivera na do senhor Goliádkin Sênior. (p. 359-60)

Esta paródia é percebida pelos colegas, pois quando Goliádkin Júnior dá dois piparotes na cara de seu sênior, há “grande galhofa dos rapazes que assistem à cena” (p. 338); ou quando o duplo lhe mete o sobretudo pela cabeça abaixo, “o senhor Goliádkin ouviu distintamente os dois criados rindo” (p. 377). Assim, contrariamente ao duplo de William Wilson, que

satisfied with having produced in my bosom the intended effect, he seemed to chuckle in secret over the sting he had inflicted, and was characteristically disregardful of the public applause which the success of his witty endeavours might have so easily elicited. (p. 47)

o duplo de Goliádkin regoziza-se com o sucesso que seus “ataques” produzem nos colegas: “O senhor Goliádkin Júnior, como era seu hábito, olhava intencionalmente em volta cada um dos presentes para que aprovassem a sua atitude e desprezassem o senhor Goliádkin”. (p. 360)

A explicação para esta diferença é dada pelo próprio William Wilson, ao dizer que

That the school, indeed, did not feel his design, perceive its accomplishment, and participate in his sneer, was, for many anxious months, a riddle I could not resolve. Perhaps the *gradation* of his copy rendered it not so readily perceptible; or, more possibly, I owed my security to the masterly air of the copyist, who, disdaining the letter (...) gave but the full spirit of his original for my individual contemplation and chagrin. (p. 47-8)

Percebemos aqui novamente o contraste entre os duplos, pois, atuando como sua consciência protetora — como o nome sugere — o duplo de Wil-

liam Wilson não está interessado em se expor aos colegas, enquanto Goliádkin Júnior quer exatamente “destronizar” o original, para ocupar seu lugar e, para tanto, o apoio dos colegas é importante.

Os sentimentos antagônicos de William Wilson em relação a seu duplo recrudescem, com o passar do tempo — mesmo percebendo que o senso moral do duplo era bem mais desenvolvido que o seu e que se tivesse seguido seus conselhos teria se tornado um homem melhor — e portanto, a intromissão do duplo em sua vida leva a agressividade de William Wilson a tal ponto que chega a odiá-lo. E é numa dessas alterações com o duplo que William Wilson percebe nele uma vaga semelhança com alguém que já conhecera:

I discovered, or fancied I discovered, in his accent, in his air, and general appearance, a something which first startled, and then deeply interested me, by bringing to mind *dim visions of my earliest infancy* — wild, confused and thronging *memories of a time when memory herself was yet unborn*. I cannot better describe the sensation which oppressed me than by saying that I could with difficulty shake off the belief of my having been *acquainted* with the being who stood before me, *at some epoch very long ago* some point of the past even infinitely remote. (p. 49)

Essa semelhança também é pressentida por Goliádkin em relação a seu duplo, quando do seu primeiro encontro na ponte, naquela noite de tempestade:

O desconhecido, silencioso e enfadado, afastou-se e continuou a caminhar como se quisesse reaver os segundos que o senhor Goliádkin o obrigara a perder. Quanto a este último, tremia dos pés à cabeça (...). Na verdade tinha razões para estar assim perturbado. *O desconhecido parecia-lhe agora muito seu conhecido*, podia até descrevê-lo da cabeça aos pés. *Vira já muitas vezes aquele homem. Tinha-o visto há tempos e ainda muito recentemente*. Onde? Ontem, talvez? (p. 315)

Essas similaridades percebidas de maneiras diversas pelos “originais”, parecem apontar para o fato de que, primordialmente, tanto o original como o duplo eram um só ser, que com o passar do tempo um lado da personalidade afastou o lado menos desejável, até que este novamente se torna preponderante. No caso de William Wilson, sua consciência, que limitaria o poder de sua vontade — “I am Will” — enquanto que em Goliádkin, o lado doentio e fraco, até que o duplo — mau e ativo — consegue anular este lado deficiente de Goliádkin Sênior.

Mas é o próximo incidente em *William Wilson*, e que encontra novamente um paralelo em *O Duplo*, que nos faz pensar numa possível influência de Poe sobre Dostoiévski, pois a coincidência de detalhes — como o da voz fraca — é bastante grande para pensarmos apenas em paralelismos. Trata-se do episódio noturno em que ambos os originais exami-

nam à luz da vela seus duplos dormindo, e espantam-se — para não dizer aterrorizam-se — com a espantosa semelhança consigo mesmos. Assim, William Wilson

One night, about the close of my fifth year at the school (...) finding every one wrapped in sleep, I arose from bed, and, lamp in hand, stole through a wilderness of narrow passages, from my own bedroom to that of my rival. I had long been plotting one of those ill-natured pieces of practical wit at his expense (...). It was my intention, now, to put my scheme in operation, and I resolved to make him feel the whole extent of the malice with which I was imbued. Having reached his closet, I noiselessly entered (...). Assured of his being asleep. I (...) took the light, and with it again approached the bed. Close curtains were around it, which (...) I slowly and quietly withdrew, when the bright rays fell vividly upon the sleeper, and my eyes, at the same moment, upon his countenance. I looked: — and a numbness, an iciness of feeling instantly pervaded my frame. My breast heaved, my knees tottered, *my whole spirit became possessed with an objectless yet intolerable horror.* (...) Were these—*these* the lineaments of William Wilson? (...) What was there about them to *confound* me in this manner? I gazed; (...) Not thus he appeared—assuredly not *thus* — in the vivacity of his waking hours. The same name! the same contour of person! the same day of arrival at the academy! And then his dogged and meaningless imitation of my gait, my voice, my habits, and my manner! (...) *Awe-stricken*, and with a creeping *shudder*, I extinguished the lamp, passed silently from the chamber, and left, at once, the halls of that old academy, never to enter them again. (p. 49-50)

enquanto que, ironicamente, as observações que Goliádkin faz a respeito de seu duplo, ao vê-lo dormindo, referem-se em última análise a si mesmo, sem que ele esteja consciente disso; esta cena tem lugar em sua casa, quando, após haverem jantado, Goliádkin arranja-lhe uma cama improvisada sobre duas cadeiras grandes, em seu próprio quarto, e, após uma alteração com Pietruchka, senta-se na cama e murmura para o duplo:

— Confessa, lacha (...) confessa, maroto, que não há direito de seres assim para mim, de me teres roubado o nome. (p. 331)

Mas, quando o hóspede começava a risonhar, Goliádkin é apoderado de uma estranha sensação e

levantou-se, pegou na vela e, nas pontas dos pés, foi olhar mais uma vez o hóspede que dormia. Permaneceu diante dele muito tempo, refletindo profundamente. “*Que figura triste! Parece um mendigo, um verdadeiro mendigo!*” Finalmente o senhor Goliádkin deitou-se. Sentia a cabeça estalando, ouvia campainhas e

sinos. Já não se lembrava de nada. (...) Por fim o sono apossou-se dele e dormiu. (p. 331-2)

Assim, a piedade que sente nesta noite em relação ao duplo adormecido, contrasta com o horror que a semelhança do duplo adormecido inspira em William Wilson e, curiosamente, do mesmo modo como William Wilson foge da academia, em seguida, para nunca mais voltar, Goliádkin, ao acordar, percebe que “não só o hóspede já não estava no quarto, como a cama em que dormia tinha desaparecido!” (p. 332), aproximando, como em outros aspectos, o “original” William Wilson — maléfico — com o duplo de Goliádkin, também maléfico.

A esta altura, William Wilson procura esquecer os acontecimentos na academia e passa três anos de vícios e loucuras em Eton. Seu próximo encontro com o duplo se dá exatamente numa dessas noites de orgia, em que ele e seus companheiros bebiam e jogavam desregradamente. A um certo momento William Wilson é chamado para o vestibulo, onde o aguarda

the figure of a youth about my own height, and habited in a white kerseymere morning frock, cut in the novel fashion of the one I myself wore at the moment. (...) Upon my entering he strode hurriedly up to me, and, seizing me by the arm with a gesture of petulant impatience, whispered the words “William Wilson!” in my ear.

I grew perfectly sober in an instant.

There was that in the manner of the stranger (...) which filled me with unqualified amazement; but it was not this which had so violently moved me. It was the pregnancy of solemn admonition in the singular, low, hissing utterance; and, above all, it was the character, the tone, *the key*, of those few, simple, and familiar, yet *whispered* syllables, which came with a thousand thronging memories of by-gone days, and struck upon my soul with the shock of a galvanic battery. Ere I could recover the use of my senses he was gone. (p. 51-2)

Percebe-se mais uma vez como certos paradigmas se repetem, já antes mencionados, como a semelhança física e de trajes, o caráter admoestatório das palavras do duplo e, para William Wilson, a comoção ao reconhecê-lo pelo tom de voz murmurante. E, finalmente, o fato de o duplo desaparecer repentinamente.

Em relação a *O Duplo*, há novamente uma inversão de papéis, pois se o duplo de William Wilson mais uma vez exerce poder moderador sobre seu original, o duplo de Goliádkin é que leva uma vida desregada e a culpa recai sobre Goliádkin sênior, como se percebe pela conversa entre Anton Antônovitch e Goliádkin, na repartição:

- Não, não é isso... há outras coisas que lhe censuram.
- Que coisas, Anton Antônovitch?

— Quem é que o senhor quis enganar, afinal? — interrompeu com dureza Anton Antônovitch...

O senhor Goliádkin, pasmado, estremeceu e tornou-se pálido como cera.

— Sim... Anton Antônovitch — disse com voz sumida — se se derem ouvidos só às calúnias dos inimigos, se ninguém quiser tomar a defesa de um acusado, então é claro que este... acabará por sofrer sem culpa nenhuma...

— Sim. E que me diz da feia ação que cometeu, atentando contra a reputação de uma honesta menina, cuja família sempre o acumulou de atenções?

— Deixe-me falar, Anton Antônovitch. Escute-me...

— E as outras indecências, as calúnias contra outra pessoa que o senhor acusou de uma ação de que era o único culpado? Como se chama isso, hem?

— Eu não o expulsei de minha casa, Anton Antônovitch, nem fui eu quem deu ordem a Pietruchka... ao meu criado... Ele partilhou do meu pão, Anton Antônovitch, aceitou a minha hospitalidade — afirma o senhor Goliádkin em tom sincero, com o queixo a tremer e as lágrimas nos olhos... (p. 362)

A vida depravada de William Wilson continua, desta vez em Oxford, onde, além da extravagância pessoal, ainda se vicia na trapaça no jogo de cartas, a fim de aumentar sua já enorme fortuna. E é numa dessas festas em que novamente rouba no jogo, que seu duplo reaparece, no momento crítico em que William Wilson havia arruinado totalmente seu parceiro Glendinning:

“Gentlemen,” he said, in a low, distinct, and never-to-be forgotten *whisper* which thrilled to the very marrow of my bones, “Gentlemen, I make no apology for this behaviour, because in thus behaving, I am fulfilling a duty. You are, beyond doubt, uninformed of the true character of the person who has tonight won at *écarté* a large sum of money from Lord Glendinning. I will therefore put you upon an expeditious and decisive plan of obtaining this very necessary information. Please to examine, at your leisure, the inner linings of the cuff of his left sleeve, and the several little packages which may be found in the somewhat capacious pockets of his embroidered morning wrapper.” (p. 55)

Desmascarando William Wilson na frente do anfitrião e outros convidados, o duplo cumpre sua missão de agir como consciência — “CONSCIENCE grimm” — e desaparece “as abruptly as he had entered” (p. 55), enquanto William Wilson é expulso pelo anfitrião, “abased, humbled to the dust” (p. 56), fugindo, na manhã seguinte, para o continente.

Coincidentemente, assim como o verdadeiro caráter de William Wilson permanecia oculto de seus companheiros, em *O Duplo* é Goliádkin Júnior

que também usa máscara, enquanto o verdadeiro Goliádkin comenta o tempo todo o fato de ele próprio não usar máscara, como os “outros”:

— Eu sei, Anton Antônovitch. Eu também sou da sua opinião. Não era disso que eu queria falar, mas da *máscara*, Anton Antônovitch.

— Da máscara?

— Isto é... Receio que volte a interpretar mal o sentido das minhas palavras. (...) Eu só quero acrescentar que hoje em dia não são raros os homens que usam máscaras, e que, debaixo da máscara, é difícil reconhecer um homem...

— Não creio. Não é assim tão difícil, às vezes mesmo é muito mais fácil e não é preciso irmos muito longe para vermos isso.

— Não, Anton Antônovitch. Repare. Eu falo por mim. Eu, por exemplo, uso máscara no carnaval, em reuniões mundanas. *Mas não uso máscara* nos restantes dias, perante os homens. E isso que eu quero dizer, Anton Antônovitch. (p. 335)

Tanto William Wilson como Goliádkin admiram-se, em seus novos encontros com seus duplos, da personalidade e função de ambos. Wilson, evidentemente, pensando em se livrar dele:

But who and what was this Wilson? — and whence came he? — and what were his purposes? Upon neither of these points could I be satisfied; (...) (p. 52)

E, após seu desmascaramento perante Glendinning e o anfitrião, a mesma pergunta:

And again, and again, in secret communion with my own spirit, would I demand the questions “*Who is he? whence came he? — and what are his objects?*” But no answer was there found. (...) It was noticeable, indeed, that, in no one of the multiplied instances in which he had of late crossed my path, had he so crossed it *except to frustrate those schemes, or to disturb those actions*, which, if fully carried out, might have resulted in *bitter mischief*. (p. 57)

Mas, enquanto William Wilson pelo menos percebe que seu duplo só atravessava seu caminho para impedir suas maldades, Goliádkin, mesmo intrigado sobre seu sócio, não tem forças suficientes para se desvencilhar dele, e pensa: “E, quanto ao outro, que trabalhe em paz. Contanto que não incomode ninguém, que não se meta com ninguém e seja um bom funcionário, não serei eu que irei contra ele.” (p. 324). E, ao ir para casa, monologa:

“Enfim, tempo virá em que terei vontade de rir de tudo isto. Senão, vejamos, meu amigo, raciocinemos. *Tu és um homem ab-*

solitamente igual a mim, em tudo semelhante, e daí? Será razão para eu me pôr a chorar? Que tenho eu com isso? Isso não me diz respeito. Não sei de nada, eis a verdade. O que é preciso é que ele faça a sua obrigação! Afinal onde está o milagre? Fala-se dos irmãos siameses. Pois bem. Suponhamos que somos gêmeos. (...) Eu sou eu. Não desejo conhecer ninguém, não tenho culpa de nada e não quero saber dos inimigos. Não sou de intrigas e tenho orgulho nisso; sou simples, correto, honesto, cordial..." (p. 325)

Entretanto, a idéia do duplo continua a atormentá-lo, um pouco adiante:

(...) *Que vem a ser, afinal, todo este disparate? Se o destino, se a natureza quiseram que dois homens se pareçam um com o outro como duas gotas de água, que um seja a cópia fiel do outro, será razão para lhe fecharem a porta do Ministério? Se o destino é cego, ninguém tem a culpa. (...) Claro que seria muito melhor que nada disto tivesse acontecido, que não houvesse gêmeos nenhuns... Que o diabo leve tudo isto! Para que esta estúpida coincidência? Meu Deus, que diabo de barulho se fez por causa disto tudo!... E o pior é que tem mau feitio, é vil, arisco e bajulador, este Goliádkin. É capaz de dar cabo do meu nome, o malandrim! É preciso trazê-lo debaixo de olho...* (p. 342)

Esta perversidade por parte do duplo de Goliádkin é projetada através de duas cenas nas quais Goliádkin sênior tem de assumir a "máscara" do outro, ao ser julgado culpado das "traquinagens" de seu júnior. Estas duas cenas se contrapõem, também às duas cenas de admoestação e desmascaramento por parte do duplo de William Wilson, mas, novamente, invertidas, isto é, o "original" inocente paga pelos pecados do duplo. Na primeira, ao querer pagar dez copeques por um bolo que havia comido no restaurante, o vendedor lhe diz, "por entre dentes":

— O senhor Goliádkin deve um rublo e des copeques — (...)

O senhor Goliádkin ficou estupefato.

— E cornigo que está falando? Não... não é, pois não? Eu apenas comi um bolo...

— Eu contei. Foram onze. Cada um tem de pagar o que come. Aqui não há nada de graça.

O senhor Goliádkin estava perplexo. Parecia obra de feitiçaria! Entretanto o vendedor esperava. Já havia gente em volta do senhor Goliádkin.

(...)

De repente ergue os olhos e compreende então onde estava o enigma e a feitiçaria; tudo era claro... Na porta que dava para a sala vizinha, que o nosso herói supunha ser um espelho, (...) em frente do senhor Goliádkin, estava um homem. *Este era o próprio senhor Goliádkin, não o antigo, não o herói desta novela, mas o outro Goliádkin, não o novo senhor Goliádkin.* Parecia de

excelente humor; sorriu ao senhor Goliádkin número um, cumprimentou-o e piscou-lhe o olho. Balouçava as pernas e olhava com atenção, pronto a desaparecer na sala contígua e a descer pela escada de serviço. Qualquer perseguição teria sido inútil. *Conservava na mão o último bocado do décimo bolo que levou à boca mesmo nas bochechas do senhor Goliádkin, dando estalidos com a língua para demonstrar o seu prazer.* (p. 343-4)

Na segunda cena, após haver novamente comido bolos e feito a corte à pasteleira alemã, Goliádkin Júnior, após dizer uma brincadeira sobre a mulher, desaparece pela porta, com o senhor Goliádkin ao seu encalço.

Assim, como em contraponto, Goliádkin Júnior e William Wilson continuam suas perversidades, o primeiro impune em relação ao seu original, e o segundo aparentemente também impune em relação a seu duplo, que o persegue da mesma maneira como Goliádkin também persegue seu duplo, após esta última cena no restaurante. Mas esta perseguição do duplo em *William Wilson* tem uma duração e um espaço mais amplos, como ele mesmo confessa, em relação ao outro:

I fled in vain. My evil destiny pursued me as if in exultation and proved, indeed, that the exercise of its mysterious dominion had as yet only begun. Scarcely had I set foot in Paris, ere I had fresh evidence of the detestable interest taken by this Wilson in my concerns. Years flew, while I experienced no relief Villain! — at Rome, with how untimely, yet with how spectral an officiousness, stepped he in between me and my ambition! at Vienna, too — at Berlin — and at Moscow! Where in truth, had I *not* bitter cause to curse him within my heart? From his inscrutable tyranny did I at length flee, panic-stricken, as from a pestilence; and to the very ends of the earth *I fled in vain.* (p. 57)

ao passo que em *O Duplo*, a perseguição ocorre especificamente numa noite, quando Goliádkin, tentando se vingar das "peças" que o duplo lhe pregava, corre ao seu encalço à saída do café, num dos episódios mais emocionantes deste romance:

Depois de um momento de estupefação bem natural, o senhor Goliádkin Sênior, já mais refeito, lançou-se com quantas pernas tinha em perseguição do outro que saltava, entretanto, para o carro que o esperava.

(...) Apesar do atraso pôde apanhar o inimigo. Agarrou-se bem ao carro e correu na rua procurando subir, o que o outro Goliádkin tentava impedir com energia. (...) Por fim o senhor Goliádkin conseguiu trepar para o carro. *Face a face com o seu inimigo, com as costas de encontro às costas do cocheiro, os joelhos de encontro aos joelhos do insolente, conseguira agarrar com a mão direita a gola de pele do casaco do outro.*

O carro levava vertiginosamente os dois silenciosos inimigos.

O senhor Goliádkin *mal podia respirar*. (...) O inimigo não se dava por vencido e procurava precipitá-lo na lama. (...) O senhor Goliádkin tinha a impressão de já ter vivido estes instantes (...) Por um instante esqueceu tudo, *concluiu que aquela aventura não era real, que era inverossímil* e que de nada valia protestar... Tinha chegado a esta conclusão quando um solavanco maior o chamou à realidade. O senhor Goliádkin, como um saco de farinha, caiu do coche, rolou, e concluiu que fora um tolo e que se tinha excedido sem razão. (p. 386)

Um último aspecto que diferenciaria a caracterização dos duplos, é o fato de William Wilson comentar que nunca via os traços do rosto de seu duplo e, além disso, ele considerava impossível o outro supor por um instante que ele deixaria de reconhecê-lo dos tempos de escola, esse Wilson que ele chama de "my arch-enemy and evil genius" (p. 58):

(...) Could he (...) have supposed that (...) I could fail to recognize the William Wilson of my schoolboy days, — the namesake, the companion, the rival, — the hated and dreaded rival at Dr. Bransby's? Impossible! — (p. 58)

Goliádkin Júnior, contrariamente, nunca esconde seu rosto.

Chegamos assim à confrontação final entre os dois heróis e seus duplos, que ocorre, em *William Wilson*, durante um baile de máscaras no palácio do duque Di Broglie em Roma. Novamente William Wilson está embriagado, mal humorado pela atmosfera sufocante dos salões e procurando atrair a jovem e bela esposa do velho duque. É aí que ele sente

a light hand placed upon my shoulder, and that ever-remembered, low, damnable *whisper* within my ear.

In an absolute frenzy of wrath, I turned at once upon him who had thus interrupted me, and seized him violently by the collar. (...)

"Scoundrel!" I said in a voice husky with rage (...) "scoundrel! impostor! accursed villain! you shall not—you *shall not* dog me unto death! Follow me, or I stab you where you stand!" — and I broke my way from the ballroom into a small antechamber adjoining, dragging him unresistingly with me as I went. (p. 59)

Ocorre aqui a inversão marcante na voz de William Wilson — pois ela se torna rouca e seca como a voz sussurada de seu duplo — se nos lembrarmos de como este aspecto foi discutido acima (p. 9-10). Esta imitação da voz do duplo por parte de William Wilson os aproxima, portanto, mais ainda, e a semelhança chega ao clímax após William Wilson matá-lo a punhaladas, quando há uma identidade total entre os dois adversários: a imagem que William Wilson vê refletida no que num primeiro momento supõe ser um espelho à sua frente, é a sua própria imagem, sua consciência e seu protetor, remetendo-nos de novo ao nome William, imagem que vem a seu encontro, coberto de sangue:

A large mirror — so at first it seemed to me in my confusion — now stood where none had been perceptible before; and as I stepped up to it in extremity of terror, *mine own image*, but with features all pale and dabbled in blood, advanced to meet me with a feeble and tottering gait. (p. 60)

E, igual em todos os traços de seu rosto e aparência a William Wilson, mas dirigindo-se a ele "no longer in a whisper" mas como se o próprio William Wilson estivesse falando — a terrível consciência lhe dirige as palavras finais do conto:

"You have conquered, and I yield. Yet, hence forward art thou also dead—dead to the World, to Heaven, and to Hope! In me didst thou exist—and, in my death, see by this image, which is thine own, how utterly thou hast murdered thyself." (p. 60)

Unem-se assim na morte, novamente, William Wilson e seu duplo, unidos como estavam numa época imemorial — em sua primeira infância, como ele diz, "at some epoch very long ago" (p. 49), antes que seus dois lados conflitantes entrassem em atritos, antes que o lado demoníaco de William Wilson tivesse transformado seu lado angelical em "that spectre in my path", como diz o epigrama.

A cena final de *O Duplo* também tem lugar durante uma festa, na casa de Olsuf Ivánovitch, à qual Goliádkin comparece convidado pelo duplo. Rodeado pelos demais convidados, o senhor Goliádkin é colocado em frente a seu duplo e esta confrontação final nos remete à confrontação final de William Wilson e seu duplo, com a variante de que o duelo que tem lugar no conto de Poe é aqui substituído por um pérfido beijo que Goliádkin Júnior dá ao pobre herói, após estender-lhe a mão:

"Querem reconciliar-nos" — pensou ele. Comovido, estendeu a mão ao inimigo. Depois estendeu também a face. O senhor Goliádkin Júnior fez outro tanto. Contudo, o senhor Goliádkin Sênior julgou vislumbrar *um sorriso mau* nos lábios do outro. Pareceu-lhe ver no olhar, que rapidamente lançou em seu redor, *uma intenção malévola*, uma expressão que era de *mau agouro*.

Ele tivera uma pequena contração, *antes do seu beijo de Judas*. Na cabeça do senhor Goliádkin havia sinos que tocavam... e os olhos velavam-se-lhe. Julgou ver uma multidão numerosa de Goliádkini absolutamente iguais, que forçavam com ruído a porta da sala. Mas era já demasiado tarde. *O beijo sonoro e pérfido* ficara a ressoar no ar. Qualquer coisa de inesperado aconteceu então... (p. 386)

Paralelamente, assim como William Wilson após apunhalar seu duplo é inesperadamente confrontado com sua própria imagem no que julga ser um espelho, para então morrer junto com sua consciência, no romance de

Dostoievski surge inesperadamente a figura do médico Krestian Rutens-pitz, para conduzir Goliádkin a um lugar onde “vai ter casa de graça, com luz, aquecimento e tudo que é preciso” (p. 388), para gáudio de seu sócia, “cujo rosto resplandecia de alegria páfida e de mau agouro” (p. 386). Mas, mesmo enquanto se afasta na carruagem, acompanhado do médico, Goliádkin percebe que

quem o seguiu mais tempo foi ainda o *péfido do seu homônimo*. Com as mãos nos bolsos das calças da farda, corria alegremente, ora de um lado, ora do outro, do carro. Por último agarrou-se à portinhola, ficou aí suspenso, enfiou a cabeça pela janela e, à maneira de despedida, pôs-se a atirar-lhe beijos. Mas por fim até ele se cansou e acabou por desaparecer também. (p. 387-8)

É apenas ao ter sido completamente “destronizado” e derrotado por seu duplo, que este deixa o pobre senhor Goliádkin em paz, pois agora, afastado da sociedade por seu comportamento estranho, Goliádkin estaria “morto” também para a mesma, enquanto seu maléfico duplo toma definitivamente seu lugar.

Um aspecto curioso em relação ao duelo real que tem lugar em *William Wilson* e ao duelo metafórico nesta cena final de *O Duplo*, é o fato de que num episódio que antecede à confrontação final entre os dois Goliádkin, temos uma paródia de uma tentativa de duelo: Goliádkin, após uma péssima noite em que sonhara com o duplo, escreve-lhe uma carta que projeta seu estado desesperador:

Caro senhor Iákov Pietróvitch:

Ou o senhor ou eu. Ambos não pode ser. Digo-lhe muito simplesmente que esse seu desejo absurdo e ridículo, de passar por meu gêmeo, só servirá para o prejudicar e acabará por causar a sua perda. Peço-lhe, pois, no seu próprio interesse, que se afaste e deixe o caminho livre àqueles cujo coração é nobre e cujas intenções são puras. Em caso contrário estou decidido a recorrer a *medidas extremas*. Por agora deponho a pena e aguardo. Entretanto estou à sua disposição *para um duelo à pistola*. (p. 354)

Entretanto, Goliádkin mais tarde chega a pedir perdão a seu duplo por haver escrito essa carta: “Iákov Pietróvitch, vejo que me enganei. (...) Excedi-me quando escrevi essa carta (...). Se não quiser, atribua-lhe —peço-lhe— um sentido totalmente diverso (...) Perdoe-me, Iákov Pietróvitch, eu não sabia o que fazia...” (p. 367)

Concluindo, podemos verificar que, apesar da diversidade a nível de história, é grande o número de paralelismos que se podem estabelecer entre ambas as narrativas a nível de discurso. E o tema do “duplo” — este esfacular da personalidade — mesmo elaborado de maneiras diferentes em escritores de nacionalidades diferentes, não deixa de apresentar certos paradigmas básicos, principalmente em relação aos heróis e seus respectivos sócias, nos quais até detalhes mínimos são paralelos. Portanto,

acreditamos que mesmo que Dostoievski tenha sido influenciado por Poe, seu tratamento paródico do “duplo” em contraposição ao tratamento mais romântico de Poe, demonstra sua criatividade em relação a um tema tão em voga, na época.

Elucidando-se mutuamente, ambas as narrativas corroboram a visão que os dois romancistas têm da imperfeição, do inacabamento e da duplicidade do ser humano, tema que viria a ser tão explorado pelos escritores do século XX.

Notas

1. Joan D. Grossman. *Edgar Allan Poe in Russia: A Study in Legend and Literary Influence*, Würzburg, Jal Verlag, 1973. p. 44.
2. Fiodor M. Dostoevskij, *Vremja*, I, 230-231, 1861. (O microfilme deste jornal russo foi consultado na Slavonic Departmental Library, University of Oxford, cuja secretária teve a gentileza de traduzir a nota introdutória de Dostoevski, na íntegra. Uma parte desta nota introdutória também se encontra traduzida na obra de Joan Grossman, citada acima, p. 33.)
3. Joan D. Grossman, p. 186.
4. Robert Spiller et alii. eds. *Literary History of the United States*. New York, Macmillan, 1955. p. 631.
5. Segundo Joan Grossman, *op. cit.*, p. 10, a maior parte das traduções dos contos de Poe por Baudelaire foram feitas entre 1852 até 1867, ano da morte de Baudelaire.
6. Joan D. Grossman, p. 45.
7. Paulo Hecker Filho, "O Esquema do Conto e a Necessidade de Criação Literária". *O Estado de S. Paulo. Suplemento Literário*, São Paulo, 17 (805): 6, 31 dez. 1972.
8. Edgar A. Poe, "William Wilson". *Selected Prose and Poetry*, revised ed., New York, Holt, Rinehart and Winston, 1965. p. 39-60.
9. Fiódor M. Dostoevski, "O Duplo". *Obra Completa*. Rio de Janeiro, Aguilar, 1963. v. I. p. 287-388.
10. Grifos meus; os grifos em negritos são do original.
11. Sigrid Renaux. "Dostoevski: a Duplicidade na Estrutura Narrativa de *O Duplo*". *Letras*, Curitiba (25): 347-400, jul. 1976.

Referências Bibliográficas

- Dostoevskij, Fiodor M., *Vremja*, I, 230-231.
- Dostoevski, Fiódor M., *Obra Completa*. Rio de Janeiro, Aguilar, 1963. v. I.
- Grossman, Joan D., *Edgar Allan Poe in Russia; A Study in Legend and Literary Influence*. Würzburg, Jal Verlag, 1973. 245 p.
- Hecker Filho, Paulo. "O Esquema do Conto e a Necessidade de Criação Literária". *O Estado de S. Paulo. Suplemento Literário*, São Paulo, 17 (805): 6, 31 dez. 1972.
- Poe, Edgar A., "William Wilson". *Selected Prose and Poetry*, revised ed. New York, Holt, Rinehart and Winston, 1965. 482 p.
- Renaux, Sigrid, "Dostoevski: a Duplicidade na Estrutura Narrativa de *O Duplo*". *Letras*, Curitiba (25): 347-400, jul. 1976.
- Spiller, Robert et alii (eds.), *Literary History of the United States* New York, Macmillan, 1955. 1456 p.

Universidade Federal do Paraná
Curitiba, PR

FICTION AS AN OUTLET FOR PROBLEMS OF IDENTITY: ANALYSIS OF SOME OF KATHERINE ANNE PORTER'S STORIES

CRISTINA MARIA TEIXEIRA

I - INTRODUCTION

Katherine Anne Porter once said that when someone sits down to be a writer, he must give up hope of privacy. Although she wants certain aspects of her private life to remain obscure, Miss Porter uses quite a lot of her own experiences as material for her fiction, as she herself stated: "Everything I ever wrote in the way of fiction is based very securely on something in real life".¹ She once told that her method of composition was to write from a "constant exercise of memory":

"The chief occupation of my mind, and all my experiences seem to be simply memory, with continuity, marginal notes, constant revision and comparison of one thing with another. Now and then thousands of memories converge, harmonize, arrange themselves around a central idea in a coherent form and I write a story."²

It is obvious then, that Miss Porter's biography is of extreme value for those interested in her art. There are not many facts known with exactitude about her life. She was not interested in biography, especially after the tenth year, for she thought that what is to be is determined by then: "The rest is merely confirmation, extension, development. Childhood is the fiery furnace in which we are melted down to essentials and that essential shaped for good"³ And it is from her childhood that we have a lot of precious information.

By the year of 1648, the founders of her maternal line were already settled in Virginia. After the Civil War, the family, which was Confederate "to the bone", had its fortune depleted and this evil turn of fortune made the grandmother's life "truly heroic". When Katherine Anne Porter's mother died her father moved to Kyle to have his children reared by the grandmother, who had a strict discipline. With the death of their strong, dominating grandmother, in 1901, the family broke up and they began to lead a kind of gypsy life, moving about from place to place.

"I wouldn't say she was spoiled, but when she wanted something, she would keep working until she got it."⁴ Miss McAden's words about Katherine Anne Porter show us an intransigence which seems to have been inherited from her grandmother. Miss Porter spent sometime in convent (Catholic) schools, from where she ran away at sixteen in order to get married but she was divorced after three years. She left Texas because "I didn't want to be regarded as a freak. That was how they regarded a woman who tried to write. I had to make a revolt, a rebellion. ... When I left, they were all certain I was going to live an immoral life. It was a confining society those days."⁵ In Chicago she got a job on a newspaper and lived in poverty. In 1917 she was in Fort Worth, Texas, working as a reporter on *The Critic*, writing drama criticism and society gossip. In 1918 she was in Denver, working on the *Rocky Mountain News*. Then she fell in love, got influenza and nearly died (her soldier sweetheart got the epidemic from her and died). After a period of ghost writing in New York, she went to Mexico in time for the Obregon Revolution, planning to work with the people organizing the new labor government; there she had "the most marvelous, natural, spontaneous experience of my life. ... It was alive, but death was in it. But nobody seemed to think of that: life was in it, too."⁶

These are the most important facts of Katherine Anne Porter's life, and they are all reflected in her work. It is a bit dangerous to talk about events from a literary work as if they were autobiographical facts. With Katherine Anne Porter, however, we cannot deny that so much of her subject matter lies within the areas of her personal experience: the temper and "aura" of her Southern background, her grandmother, her Roman Catholic education, her experiences in Mexico. One important thing we can notice when we read Katherine Anne Porter's works is that in all cases, her characters possess qualities which have some point of similarity with the author's. Another point: the most interesting sections of her work are her stories about women, their trying to find their own truths and values, their role in life and society, their "identity".

It is the purpose of this paper to analyse some of Katherine Anne Porter's stories under this perspective, trying to find the characters' search for identity as a constant theme in her work, a theme Miss Porter believed to be important because in a way it reflected her own — or everybody's — aim in life. Here I would like to quote some words by Katherine Anne Porter, which, I think, we must always keep in mind as we read her work because we feel these words underlining almost all the stories she wrote, which are a product of this "credo" of hers:

"Have faith in your theme; then get so well acquainted with your characters that they live and grow in your imagination exactly as if you saw them in the flesh; and finally, tell their story with all the truth and tenderness and severity you are capable of; and if you have any character of your own, you will have a style of your own; it grows, as your ideas grow, and as your knowledge of your craft increases."⁷

II — THE STORIES

I have selected among Katherine Anne Porter's stories, those in which we can feel clearly the autobiographical material, in which we can, to a certain extent, that is, without forgetting its fictional quality, identify the female character's attitudes and beliefs with Katherine Anne Porter's, in her constant search of her own self, her own road. The stories may be classified in three different groups, for they represent three different epochs in Katherine Anne Porter's experiences: the ones she wrote about Mexico, the stories about her family past, and the one in which we find her in the New Order.

1. Mexico

Maria Concepción

The main point in this story is the contrast between the code of civilization and the logic of natural impulses, with an evident defeat of the former over the latter. And we can feel that Katherine Anne Porter has a respectful behaviour towards these latter values.

Givens is no doubt patterned on Miss Porter's friend Nivens, who was also an archeologist; there is an important symbolism in the excavation process, since they are bringing up to the present their past values, even without their consciousness of the value of their ancestors' culture: "the unearthly delight of the chief in finding these worn-out things was an endless puzzle".⁸

Maria Concepción, however, is a true representative of her race, keeping alive her primitive laws; her concepts of what was inevitable in the social order are the religious, "civilized" ones only in the outward appearance. She is described walking "with free, natural, guarded ease of the primitive woman"; also: "instinctive serenity softened her black eyes".⁹ Givens also admires her: "her grand manner sometimes reminded him of royalty in exile".¹⁰ When she discovers the affair between her husband and Maria Rosa, although she is a "good Christian", she declares: "Yes, she is a whore! She has no right to live."¹¹ She does avenge herself on Maria Rosa, setting herself up as a goddess, decreeing death and taking for her own Maria Rosa's new born child.

When Juan and Maria Rosa returned to the city, Maria Concepción was still a sorrowful figure, consumed by anger and grief: "She jerked with the involuntary recoil of one who receives a blow, and the sweat poured from her skin as if the wounds of her whole life were shedding their salt ichor."¹² The ichor image is significant because ichor is also the ethereal fluid of the gods. Meanwhile, Juan, "Macho-like" and very proud in playing "the role of hero to such desirable women",¹³ was drinking in a pulque shop, very effectively called Death and Resurrection. It is worth making a parenthesis here in order to emphasize the importance of names and titles in Miss Porter's stories, as James William Johnson

has noted: "they almost invariably summarize symbolically the state of affair she deals with in her story".¹⁴

Maria Concepción arrived home after the murder, threw her knife away from her and "got down on her knees, crawling toward him as he had seen her crawl many times toward the shrine at Guadalupe Villa".¹⁵ Juan was, in fact, a kind of god for her, the man with whom she had married inside the Church. That night they ate from the same dish "after their old habit" symbolizing their reunion. Now Maria Concepción acquired another dimension to Juan: "He felt too that she had become invaluable, a woman without equal among a million women, and he could not tell why."¹⁶

Everything was set aright now that she could re-establish order in her own world by breaking outwardly imposed restraints, by becoming a goddess with her own justice: "Maria Rosa had eaten too much honey and had had too much love. Now she must sit in hell, crying over her sins and her hard death forever and ever."¹⁷ Maria Rosa (as her name symbolically indicates, beautiful but fragile) was rejected in death even by her grandmother and the Indians embraced life:

"Maria Concepción suddenly felt herself guarded, surrounded, upborne by her faithful friends. They were around her, speaking for her, defending her, the forces of life were ranged invincibly with her against the beaten dead. Maria Rosa had thrown away her share of strength in them, she lay forfeited among them."¹⁸

Maria Concepción's deed was considered right because she wanted to preserve her family (as even animals do) in a very strong, primitive way, according to their code of value in their primitive society. Absolved, Maria Concepción — the one who conceives life, but whose baby died and who killed a fertile woman — took as her natural right Maria Rosa's child who was lying "against the wall at the head of the coffin",¹⁹ new life as opposed to almost forgotten death.

In this story, Katherine Anne Porter shows us a seemingly primitive society with its own order, its own morality, its own ethic, but which was being threatened to disappear, to be swallowed by a Western religion and a more sophisticated (but in no way better) society of the outside world. Maria Concepción, however, was able to remain basically unchanged, to reinforce and to exert their own laws and codes of honour that was an intrinsic part of her self, of her identity.

Virgin Violeta

Violeta is in her sensitivity, a prototype of the character of Miranda. As we all know, the violet colour is emblematic of gravity and chastity; these characteristics fit only in part the character of young Violet, a naive adolescent who has burning inside her, plans of a bright, brilliant, energetic life. As all adolescents do — and here lies one example of the universality

of Miss Porter's themes, Violeta finds herself completely at a loss about life:

"There they taught her modesty, chastity, silence, obedience, with a little French and music and some arithmetic. She did as she was told, but it was all very confusing, because she could not understand why the things that happen outside of people were so different from what she felt inside of her."²⁰

Violeta sees the small painting of St. Ignatius de Loyola in a "wooden gesture of ecstasy" as something "very ugly and old-fashioned". It is important to remember that Loyola once saw the Virgin and Son in a vision and suddenly felt loathing for all his former carnal desires and vowed never to yield to them. On the contrary, what most interests young Violeta are the stories about nuns and their lovers, stories about love in general. She wants to find her own road in life and has wonderful expectations about the future, which she wants to be a very independent one:

"... all the time she was certain there was something simply tremendously exciting waiting for her outside the convent. Life was going to unroll itself like a long, gay carpet for her to walk upon.

... Violeta meant for life to begin at once-next year, anyway. It would be more like a festival. ... Life would always be very gay, with no one telling you that almost everything you said and did was wrong."²¹

However, for the time being, she is destined only to obey her elders, and to hide within her innermost part her first disappointment in love: the first collapse of the dream castles she had built for her first love, her cousin Carlos. But at the end we have the author giving us hints that she will keep trying to find her own way and that, even being an adolescent, Violeta already has definite concepts about certain things imposed on her:

"A painful unhappiness possessed her at times, because she could not settle the questions brooding in her mind. ... she hated the convent. There was, she declared as she watched her boxes being tied up, nothing to be learned there."²²

Flowering Judas

About this story, the author says:

"...the experiences from which it was made occurred several years before, in Mexico, just after the Obregon Revolution. All the characters and episodes are based on real persons and events, but naturally, as my memory worked upon them and time passed, all assumed different shapes and colors, formed gradually around

a central idea, that of self-delusion, the order and meaning of the episodes changed, and became in a word fiction."²³

Also, when asked if she was in favour of the Revolution:

"Yes. I was involved in that atmosphere. I was drawn into it like the girl who took messages to people living in dark alleys. I was really like that girl. ... I'm the dissenting party, by nature."²⁴

In fact, so many of the background happenings concerning Laura (the main character in this story) were similar to those in Katherine Anne Porter's own experience — the strict Catholic education, the interest in modern social causes — that we are puzzled when Miss Porter says that Laura is not an autobiographical figure but she was rather modeled upon a friend. I still think that Laura is not merely the portrait of this friend of hers.

This story also marks a great change in the way Katherine Anne Porter fictionalizes the Mexican scene: for the first time she presents the figure of the expatriate — "a gringa, gringita", that is, herself — i.e. Mexico. Laura is pictured as a wasteland figure, full of disillusionment:

"But she cannot help feeling that she has been betrayed irreparably by the disunion between her way of living and her feeling of what life should be, and at times she is almost contented to rest in this sense of grievance as a private store of consolation."²⁵

The theme of rejection and isolation is strongly present here, for we feel that she is not very well integrated in her environment: "she was not at home in the word".²⁶ She is incapable of feeling a true, divine love, although she professes herself to be Roman Catholic; also, she is incapable of participating as a professional lover, for her position in politics is one of almost total indifference, of a false revolutionist; she cannot even feel the proper emotion for the children at school. And she is not able to experience an erotic passion, the furor of a profound love, for she keeps saying NO to her three suitors.

"...the very cells of her flesh reject knowledge and kinship in one monotonous word. No. No. No. She draws her strength from this one holy talismanic word which does not suffer her to be led into evil. Denying everything, she may walk anywhere in safety, she looks at everything without amazement."²⁷

Her Judas-like three denials irresistibly lead us to think of the religious symbolism of the story, about which Katherine Anne Porter says:

"Symbolism happens of its own self and it comes out of something so deep in your own consciousness and your own experience that I don't think that most writers are at all conscious of their use

of symbols. I never am until I see them. ... I have a great deal of religious symbolism in my stories because I have a very deep sense of religion and also I have a religious training. ... You don't say 'I'm going to have the flowering Judas tree stand for betrayal' but, of course, it does."²⁸

Like Judas, Laura is clearly involved in Eugenio's death, who is a somewhat Christ-like figure; she brings the narcotics he uses in order to commit suicide. There is no way out of her emotional sterility, for even when she goes to sleep, "soundless doors close of themselves around her".²⁹ However, it seems that she was beginning to feel love towards Eugenio, and he is the only one who tries to save her, but it happens only in her dreams. Although she wants to be led by him out of her confining walls, she once more repeats the word NO three times, thus keeping herself still on the "desert of crumbling stone" that was her soul. Then, it is not without reason that, in this unconscious vision, she makes Eugenio describe her as a "poor prisoner" in a voice full of pity. And Laura eats the red buds, in a true sacrament of betrayal, with implications not only of Christ's sacrifice, but mainly her own, the self-disillusionment that she makes an inherent quality of hers.

In a letter to *The Century*, Miss Porter said that her stories about Mexico were "fragments each one touching some phase of a versatile national temperament which is a complication of simplicities. ... But I like best the quality of aesthetic magnificences, and above all, the passion for individual expression without hypocrisy which is the true genius of the race."³⁰ But Miss Porter's artistic attitude toward the Mexican culture changed from one of total immersion to a gradual disengagement from it. We cannot but accept it as something inevitable, a natural consequence of the author's hunger and thirst for new experiences in her continual search of selfdiscovery. The undeniable richness and complexity of her characters are evidence of this.

2. The Old Order

During Miss Porter's childhood, the social structure was clearly defined, the older generation, who was a product of the South before the Civil War, still imposed its rules, even though long after the war had ended. About this, Katherine Anne Porter writes: "they acted as if the final word had gone out long ago on manners, morality, religion, even politics: nothing was ever to change, they said, and even as they spoke, everything was changing, shifting, disappearing."³¹

A Southern education is an important heritage in Miss Porter; the figure of her grandmother was perhaps the most deep influence in her life and helped to "shape" her personality. We feel that the Grandmother takes on almost mythic qualities in the Miranda stories. "Miranda", Miss Porter said, "with her powerful social sense, which was like a fine set of antennae radiating from every pore of her skin"³² is the mask for the au-

thor, as we are going to see in the stories that follow; and Louis D. Rubin wrote that "Miss Porter's talent consist of just such a sensibility as she attributes to Miranda".³³

The Source

With due attention to the significance of the title, this story is a fragmentary but fascinating account of the world of Sophia Jane Rhea, the "source" of Miranda family, who was extremely important in forming the character of Miranda, in the same way that Catherine Anne Porter and Southern society helped mold Katherine Anne Porter, both as person and artist. Her proper name was purposefully chosen for Sophia means skill, intelligence, wisdom; Jane is the feminine of John, which means literally: the Lord is gracious, and Rhea means the mother of the Gods.

Like Miss Porter's grandmother, Sophia lives in town but usually goes to her farm to have a little change and relaxation but "this did not mean that she intended for a moment really to relax her firm hold on family affairs".³⁴ Whenever she sees the peach tree blooming in spring, she remembers with melancholy her brutal past, when she suffered greatly for having to move to different places; of the five peach trees she had planted in three different states, she could see now only one in bloom. The books she has — Dickens, Scott, Milton, Dante, Dr. Johnson's dictionary — show us that her tastes were standart, conservative. Her grandchildren had mixed feelings about her:

"They loved their Grandmother; she was the only reality to them in a world that seemed otherwise without fixed authority or refuge, since their mother had died so early ... just the same they felt that Grandmother was a tyrant, and they wished to be free of her."³⁵

Her horse was not the original Fiddler but the last of a long line reaching back to her fifth year; she rode it as a proof of her strength (we know that the horse is a symbol of man's instinctual drives and energy).

This story is a remarkable portrait of a strong willed aristocrat. It is also very effective when seen as the introduction to the Miranda stories, for we see the personality of the woman who was the source of the whole Rhea family, of its weaknesses and strengths.

The Fig. Tree

This story concentrates on the character of Miranda, but Miranda with a particular past, that of being the grandchild of Sophia Jane. The Spanish meaning of *Miranda*—the seeing one—fits well her character: she realizes

many of the absurdities of the adult world. The stories which follow will show us Miranda's process of discovery and initiation into the world. We are going to find in these stories complex, subtle probings by the sensitive Miranda—or by the author herself, we could certainly affirm—in trying to find her own way in a world that showed itself to be far different from the apparently stable universe of Grandmother Sophia.

From the beginning of the story Miranda is shown between a state of innocence and experience, as she ventures in her infantile world of innocent joys, despite her grandmother's attempts to restrict them; she wants to keep her grandchild's skin from being spoiled with freckles, in the same way that she wants her to avoid experiencing new thing, to keep her pure.

Miranda has a peculiar concept of death, and her acceptance of the naturalness of the cycle of death and birth is a very special one. After a symbolic journey, she reaches a place where she is to acquire knowledge of new things. Aunt Eliza allowed the child to gaze at the stars, and Miranda exclaims in "pure rapture" after this symbolic search: "Oh, it's like another world."³⁶ She kept singing "Nobody knows, Nobody knows", still dazzled with joy but still accepting the mysteries of life. When Miranda receives her aunt's scientific explanations about the "weep, weep" sound that was disturbing her so much, she seems, for the time being, satisfied. But when she is described as in a "fog of bliss", we immediately feel that this mist perhaps hides other questions, other answers, in her process of growing up.

The Witness

One important point to emphasize in this story is that the children are learning to evaluate the "testimony of a witness" to the past, which runs contrary to the Southern and family myths about it. They hear Uncle Jim-billy's mythic and violent presentation, both distorted and accurate, of the life of the slaves; this presentation collided with the stories they heard from their elders. Which should they accept? Which reject? And this is very important in the process of development of the "quick" and "flighty" Miranda.

The Circus

It is in the circus tent, a microcosmic representation of the world, that we watch the "spectacle" of Miranda's initiation into the horrors of the real world. But the sensitive Miranda refuses it and seeks instead to hide in the protection of the family house. When the Grandmother says: "The fruits of their present are in a future so far off, neither of us may live to know whether harm has been done or not. That is the trouble."³⁷ we directly apply this statement to Miranda's development, which is still at its very beginning.

The Journey

Once more we have to be aware of the importance of the title for the meaning of the story. This one is really a journey through grandmother's life, from her past to present as well as her journey from life to death. The "carefully disordered patchwork" she and Old Nannie are sewing, is also symbolic of their reconstruction of their life, their recollections of the "good old days":

"They talked about the past, really — always about the past. Even the future seemed like something gone and done with when they spoke of it. It did not seem an extension of their past, but a repetition of it. They would agree that nothing remained of life as they had known it, the world was changin swittly, but by the mysterious logic of hope they insisted that each change was probably the last; or if not, a series of changes might bring them, blessedly, back full-circle to the old ways they had known."³⁸

Sophia Jane is again pictured carefully and beautifully as a figure inspiring respect:

"The Grandmother's role was authority, she knew that; it was her duty to portion out activities, to urge or restrain where necessary, to teach morals, manners, and religion, to punish and reward her own household according to a fixed code. Her own doubts and hesitations she concealed, also, she reminded herself, as a matter of duty."³⁹

But now her old-fashioned ways caused their grandchildren's embarrassment and discomfort. She was really responsible for the firm and strong foundations of the family unity, that begins to come apart after she dies, and the imminent new order appears. Now that the family's strong connection with the past was severed, they had no real directions to follow.

The Grave

Obviously this story is about growing up, and going through a kind of initiation into the mysteries of adult life, of life and death. Their discovery of the paradoxical nature of truth, of the secret of life and birth being revealed in the place of death and through a kind of bloody sacrifice, a very ritualistic one, is something that deeply impresses the still largely innocent Miranda.

Miranda and her brother decide to go on an "expedition" in the private family cemetery, in which "they felt like trespassers"; on a symbolic level this implies their journey toward self-knowledge, in search of identity. Then, they found little "treasures" and this word has a double intention:

it can mean the innocent treasure of childhood and the mysterious, guilty treasure of maturity. The silver dove Miranda found, had a deep cleft in her breast, a flawed symbol of peace and innocence; Paul's new found ring, probably a wedding ring, was engraved with flowers and leaves, fertility symbols. This ring brought her into a fantasy world that was no longer hers:

"She had vague stirrings of desire for luxury and a grand way of living which could not take precise form in her imagination but were founded on family legend of past wealth and leisure."⁴⁰

While her brother skins a rabbit he has killed, they discover that it was going to hve baby ones; provoking a "kind of shocked delight", the meaning of life and fertility and for her own body begins to take shape in Miranda's mind. as she sees the little creatures — "like a baby's head just washed" — just taken from their mother's womb:

"No one had ever told her anything outright. ... She understood a little of the secret, formless intuitions in her own mind and body, which had been clearing up, taking form, so gradually and so steadily she had not realized that she was learning what she had to know."⁴¹

In a confidential tone, Miranda and Paul promised to keep their secret for themselves and Miranda put the incident in the "grave" of her mind, only to recollect, to "dig it up" nearly twenty years later, when

"... without warning, plain and clear in its true colors as if she looked through a frame upon a scene that had not stirred nor changed since the moment it happened, the episode of that far off day leaped from its burial place before her mind's eye."⁴²

It was the smell in the market, its mingling of "sweetness and corruption" that brought back to her mind that important lesson she had learned long ago, that life is subject to corruption and death, that life builds on other life and on the death. Another point: the corruption-filled market "in a strange city of a strange country" stresses the wandering career of Miranda, who could not accept an usual, settled life, who had refused family legend and tradition and wanted to find her own truth.

Old Mortality

In this story we have Southern attitudes expressed through family history. Its subject matter is concerned with the nature of reality — and more specifically with Miranda's self-definition. The story is told from the point of view of Miranda, between the ages of eight and eighteen. The

"aura of romance" has accumulated when we see the legend of Aunt Amy, the "beloved". But Miranda does not share these memories and does not want to adopt the attitudes of her family because, as a perspicacious girl, she realizes the discrepancies between the stories related by her family and the actual facts which she perceives in the people and events surrounding her in the everyday life.

"This loyalty of their father's in the face of evidence contrary to his ideal had its springs in family feeling, and a love of legend that he shared with others. They loved to tell stories, romantic and poetic, or comic with a romantic humor; they did not gild the outward circumstance, it was the feeling that mattered. Their hearts and imaginations were captivated by their past, a past in which wordly considerations had played a very minor role."⁴³

The passage above summarizes the whole atmosphere of Miranda's childhood, something that deeply influenced her and out of which she will struggle to get, in order to conquer her own place in the world.

In Part II, Miranda is "hedged and confined" in a convent, isolated from the outside world in their muslin-curtained cells. But this does not prevent her from experiencing the real world with its disheartening disillusion when, for example, they meet Aunt Amy's "handsome romantic beau", now a fat man, with a laugh that sounded "like a groan". She also feels other disappointing incongruities that life offers her, when the horse's nose bleeding appears to her a reality far removed from her romantic view of racing.

We have Miranda starting a new journey — I think there is no more need to stress here its symbology — in Part III, where she re-evaluates the legend after her confrontation with cousin Eva's account of the past. Eva, like Eve (but not as beautiful and much more real than the legendary figure), brings knowledge and perhaps she speaks more of the truth than the family had. At the beginning, Miranda refuses to accept the truth as told by Eva but finally she vows not to be bound any more by the myths of the older generation. By breaking the fiction of the past, Eva made Miranda even more apart from family ties. Miranda then could ask herself about her time and place. At home, she feels isolated, homeless:

"It is I who have no place; thought Miranda. 'Where are my own people and my own time?' She resented, slowly and deeply and in profound silence, the presence of these aliens who lectured and admonished her, who loved her with bitterness and denied her the right to look at the world with her own eyes, who demanded that she accept their version of life and yet could not tell her the truth, not in the smallest thing."⁴⁴

She was at this point intent upon making her own discoveries and finding her own identity. She wanted, before setting out into the "brave new world", to bid farewell to the past:

"She hoped no one had taken her old room, she would like to sleep there once more, she would say good by there where she had loved sleeping once, sleeping and waking and waiting to be grown, to begin to live. Oh, wath is life, she asked herself in desperate seriousness, in those childish unanswerable words, and what shall I do with it?"⁴⁵

3. *The New Order*

Pale Horse, Pale Rider

Katherine Anne Porter's experiences in Denver, with war, disease, and love, is the scene of this story, which was written after more than twenty years of the "characteristic marination in the mix of memory". Miss Porter tried to describe the strange state of euphoria and revelation she experienced at the moment of her near death. Reporting ourselves to the last lines of *Old Mortality*, when we witness Miranda's complete break with her family tradition, we now see that Miranda has emerged into the New Order and is trying to come to grips with it.

In the dream sequence of the opening scene, we see Miranda choosing the horse Graylie — an indication of her ambivalent feelings: the horse is neither black nor white — for one more of her "journeys". She takes it "because he is not afraid of bridges".

Caught by the plague that was ravaging the country, Miranda begins to have moments of hallucination in which she finds herself sometimes in a jungle, sometimes in a "broad tranquil river into which flowed all the rivers she had known". Both the jungle and the river have symbolic connotations, respectively, of her innermost self and the place where she was to be purified and reborn. Having almost reached the end of the long road to death, she desperately struggled for survival:

"Silenced she sank easily through deeps under deeps of darkness until she lay like a stone at the farthest bottom of life, knowing herself to be blind, deaf, speechless, no longer aware of the members of her own body, entirely withdrawn from all human concerns, yet alive with a peculiar lucidity and coherence."⁴⁶

But just as in mythical terms "in the end is the beginning", life triumphed over death, if not for Miranda's lover, Adam, at least for her; the day arrived for Miranda, after a long and lonely nightmarish period. And now, she learned as one initiated into both hell and heaven, life and death, that "there would be time for everything".

III - CONCLUSION

"Heaven and hell, love and sex, love and hate, truth and mendacity, life and death, order and disorder — all these are distinct parts of the ex-

perience of Miranda" and of Katherine Anne Porter herself, I would add to George Hendrick's words; then, to know her work is to know an important part of her life and a great deal of her times. It is also worth noting here what she wrote in the introduction of *Flowering Judas*: that her stories were mere fragments of a much larger plan she was still working on and they should stand as what she was "able to achieve in the way of order and form and statement in a period of grotesque dislocations in a whole society when the world was heaving in the sickness of a millennial change".⁴⁷

Bibliography

- Hendrick, George. *Katherine Anne Porter*. Twayne Publishers, Inc., New York, 1965.
- Porter, Katherine Anne. *The Collected Stories of Katherine Anne Porter*. Harcourt, Brace & World, Inc. New York, 1968.
- Rubin Jr., Louis D.. *Southern Renaissance — Literature of Modern South*. The Johns Hopkins Press, Baltimore, 1953.
- Warren, Robert Penn. *Katherine Anne Porter — A Collection of Critical Essays*. Prentice Hall, Inc., Englewood Cliffs, N. J., 1979.

Bibliographical References

1. Robert Penn Warren, *Katherine Anne Porter: A Collection of Critical Essays*, p. 2.
2. George Hendrick, *Katherine Anne Porter*, p. 15.
3. *Ibid.*, p. 16.
4. *Ibid.*, p. 17.
5. *Ibid.*, p. 21.
6. *Ibid.*, p. 24.
7. *Ibid.*, pp. 29/30.
8. Katherine Anne Porter, *Collected Stories*, p. 7.
9. *Ibid.*, p. 3.
10. *Ibid.*, p. 7.
11. *Ibid.*, p. 6.
12. *Ibid.*, p. 13.
13. *Ibid.*, p. 12.
14. George Hendrick, *op. cit.*, p. 36.
15. Katherine Anne Porter, *op. cit.*, p. 14.
16. *Ibid.*, p. 16.
17. *Ibid.*, p. 17.
18. *Ibid.*, p. 20.
19. *Ibid.*, p. 20.
20. *Ibid.*, p. 23.
21. *Ibid.*, p. 24.
22. *Ibid.*, p. 32.
23. Robert Penn Warren, *op. cit.*, p. 4.
24. *Ibid.*, p. 23.
25. Katherine Anne Porter, *op. cit.*, pp. 91/92.
26. *Ibid.*, p. 97.
27. *Ibid.*, p. 97.
28. George Hendrick, *op. cit.*, p. 40.
29. Katherine Anne Porter, *op. cit.*, p. 101.
30. George Hendrick, *op. cit.*, p. 29.
31. *Ibid.*, p. 53.
32. Louis D. Rubin, Jr., *Southern Renaissance: Literature of Modern South*, p. 278.
33. Rubin, *op. cit.*, p. 278.
34. Katherine Anne Porter, *op. cit.*, p. 321.
35. *Ibid.*, p. 324.
36. *Ibid.*, p. 361.
37. *Ibid.*, p. 347.
38. *Ibid.*, p. 327.
39. *Ibid.*, p. 328.
40. *Ibid.*, p. 365.
41. *Ibid.*, p. 366.

42. *Ibid.*, p. 367.
43. *Ibid.*, p. 175.
44. *Ibid.*, p. 219.
45. *Ibid.*, p. 220.
46. *Ibid.*, p. 310.

Universidade Federal do Rio Grande do Norte
Natal, RN

E. E. CUMMINGS: THE COMEDY OF LANGUAGE

SÉRGIO LUIZ PRADO BELLEI

One of the distinctions that has attracted the attention of psychologists and philosophers in dealing with the comic involves the duality of subject matter and form, comedy depending either on its linguistic expression or on the thought expressed. In dealing with the technique of jokes Freud refers to Heine's joke of Hirsh-Hyacinth, the lottery agent, and proceeds to remark that, granted the two possibilities of humor in thought or in language, the latter is obviously the case in the instance he is dealing with. Hirsh-Hyacinth boasts of his relations with the wealthy Baron Rothschild and reveals his real familiarity with the baron by saying that, as he sat beside Salomon Rothschild, he was treated "quite as his equal—quite millionairely."¹ Since the substitution of the expression "quite millionairely" for an equivalent such as "Rothschild treated me quite as his equal, quite familiarly, that is, so far as a millionaire can" would not alter the sense, but ruin the joke, Freud proceeds to argue that the essence of the joke, in this case, consists in the procedure of "composite structure made up of the two components 'familiar' and 'millionar'," in which a "condensation accompanied by the formation of a substitute"² takes place.

Bergson, like Freud, deals with the "comic expressed" and "the comic created by language", although he admits that there may be "something artificial in making a special category for the comic in words since most of the varieties of the comic ... are produced through the medium of language."³ The comic expressed can, for Bergson, be translated from one language to another, though at the cost of losing the greater portion of its significance, when introduced into a fresh society different in manners, in literature, and above all in association of ideas."⁴ The comic created by language, on the other hand, cannot be translated since "it owes its entire being to the structure of the sentences or the choice of the words".⁵ Like Freud, therefore, Bergson's analysis of the comic identifies a kind of comedy of words in which a specific linguistic procedure is the ultimate source of laughter.

The comedy of words, as conceived by Freud and Bergson, is a pervasive characteristic of cummings' poetry. In different degrees of intensity,

the play upon words is always a fundamental, if not the fundamental poetic procedure. This poetic procedure, even if it does not always produce laughter, is inherently comic in the resulting incongruity, in the contrast between the way things could or should be and the way they are, for our amusement and surprise.

In dealing with what things are or should be, of course, our concern is the object of the comic, the target of the joke, if there is one. Freud distinguishes two kinds of jokes, one which is innocent and harmless and therefore "is an end in itself and serves no particular aim",⁶ the other having a specific purpose. He distinguishes in turn two kinds of purpose: to destroy, and this is the case of sarcasm, scandal and satire; or to expose, the case of obscenity, bawdry, ribaldry. These distinctions are, of course, no more than logically valid, and they may become blurred as soon as they are applied to a particular case. The most innocent jokes are, for Freud, the verbal jokes, such as Hirsh-Hyacinth's, but even here one could argue whether, in a specific context, a purpose would not exist in the obvious suggestion of the poor man faced by such a great wealth as the Baron's. For the purposes of this essay the poetry of cummings will be considered only in its aspect of "innocent jokes". In other words, cummings' satire, sarcasm and perhaps even obscenity and ribaldry, so obvious in many of his poems, will not be the object of particular attention here. But the dismissal of these topics does not necessarily mean that his comedy of words does not have an aim, even if that aim would be of no particular interest to the psychologist. The author of *is 5* whether he is concerned or not with the subject-matter of sarcasm or obscenity, is always concerned with a formal, and therefore poetic, rebellion against language, or, more specifically, the language of ordinary statement and logical syntax. This rebellion against language as it is reveals, moreover, the poet's love for language as it should be if it really wants to convey "ordinary" experience.

The procedure to be adopted for the study of cummings' rebellion against language will be, in this essay, based on Freud's assumption that in the verbal comic a process is involved in which components, originally derived from an ordinary statement, are organized so as to form a composite structure. This composite structure, or, to use Bergson's words, the structure of the "comic created by language", turns out to be an original, precise expression of thought hardly translatable because of its linguistic uniqueness. This stylistic procedure involves a tentative definition of language in its form of ordinary statement and a description of the process involved in the creation of the final composite structure. An attempt will be made, in other words, to analyse the activity of the poet as maker, in the act of creation, and to evaluate the results in terms of what the new language created achieved in its pursuit of the "purely irresistible truth",⁷ which ultimately discovers that two times is five. The problem is, therefore, a problem of analysing cummings' technique as defined by himself in the foreword to *is 5*:

At least my theory of technique, if I have one, is very far from original; nor is it complicated. I can express it in fifteen words, by quoting *The Eternal Question And Immortal Answer* of burlesk, viz. "Would you hit a woman with a child? — No, I'd hit her with a brick." Like the burlesk comedian I am abnormally fond of that precision which creates movement.⁸

The technique of the burlesque here consists of the destruction of the logical form of the question by means of a displacement of emphasis evinced in the illogical answer. In the question, the emphasis lies in the first part of the sentence, especially in the word "hit" and the logical answer expected could be either "certainly not", or, less probably, "certainly yes". The answer, however, reveals that a misunderstanding has taken place: the second part of the sentence was mistakenly emphasized, especially the word "child", which is, as the answer implies, an inadequate instrument to hit a woman. This misunderstanding, which can be thought of only as a misunderstanding in terms of the mechanic answer demanded by the question, destroys the ordinary, logical expectation and reveals the possibility of a new, unsuspected understanding of the proposed question. The answer has, in fact, the precision, certainly illogical, of the unexpected, the freshly true. This precision creates movement by the very fact that it denies the undeniable fact that two times two is four and is, moreover, immortal in its answer to the eternal conventional question.

This precision that creates movement by revealing unsuspected possibilities, by creating its own law and by being endowed with an inherent organic life is more significantly evinced in cummings' poems cummings is dealing, in fact, with the precision of the metaphoric process which begins in fun, in a play with words which is, paradoxically, serious insofar as it results in the ultimate truth brought about by an "ineluctable preoccupation with The Verb".

The metaphorical process is, of course, the fundamental process in all poetry and every poem is, ultimately, a total metaphor. In cummings, however, metaphor is not only a problem of semantic incongruity, in which only the meaning of the word undergoes a change. In fact, in his poetry, the very physical integrity of the word and the logical integrity of syntactic patterns are destroyed in the search for a new structure of meaning which is endowed not only with semantic, but with visual and auditive significance as well. For practical purposes in this essay, the metaphorical process could be defined as the process of creating analogical meaning by means of a departure from logical statements. This tension between logical and analogical meaning takes place, in cummings, both on the semantic or grammatical, and on the visual level. Of course, these distinctions are only logically valid since they are inseparable in the poem as a whole. For the purposes of analysis, however, these two levels will be viewed separately. In the following poem only the grammatical and semantic impropriety will be accounted for:

love is more thicker than forget
 more thinner than recall
 more seldom than a wave is wet
 more frequent than to fail

it is most mad and moonly
 and less it shall unbe
 than all the sea which only
 is deeper than the sea

love is less always than to win
 less never than alive
 less bigger than the least begin
 less littler than forgive

it is most sane and sunly
 and more it cannot die
 than all the sky which only
 is higher than the sky⁹

cummings' poem is only too obviously characterized by logical incongruity, especially in terms of predication, the function of language by means of which an attribute is linked to a subject in terms of propriety. Propriety, in turn, depends on the concept of universes of discourse, classes or groupings of things we vaguely admit to be related to each other. Whatever is not related to the context of these classes of things is not relevant to the particular universe of discourse. Since the word "mammals", for instance, does not relate to the universe of discourse implied by the word "birds", any predicative junction of these two words in terms of inclusion is a contradiction, such as would be the case in the assertion that "all birds are mammals".

Viewed in the light of logical propriety the poem is absurd. The only adequate predicate in the poem is the word "frequent", which fits the universe of discourse of love. The other attributes invariably relate to separate universes. Moreover, the comparative ending "er" in the final lines of the third stanza and the two introductory lines of the first stanza add the grammatical inadequacy to the semantic impropriety in "thick", "thin", "big", and "little", adjectives related to love and to the object to which love is compared. In the second and fourth stanzas, "mad", "moonly", "sane", and "sunny" are, likewise, either grammatically or semantically inadequate and, moreover, contradictory when viewed in the context of the poem. At times, as in the case of "more seldom than a wave is wet", or "more frequent than to fail", cummings uses grammatical correctness and semantic incongruity to produce logical nonsense.

If, however, logical syntax is mocked by contradictory or redundant statements, the creation of a syntax of analogies makes possible the existence of sense in apparent nonsense. This analogical syntax can be thought of in terms of what Samuel R. Levin calls the structure of cou-

plings, a structure by means of which poetry achieves the effect of unity. On the syntactic level the structure of couplings juxtaposes equivalent grammatical forms which ultimately have an equivalence of meaning:

In ordinary messages, we usually find no relation existing between two forms occurring at corresponding positions in the message... Poetic messages, as we have seen, very often do show this additional relation, however: that the forms occurring at corresponding positions are related to each other also semantically or phonically.¹⁰

Viewed in the light of Levin's theory, cummings' poem consists of two syntagmatic axes from which paradigmatic variations are developed. The first line of the poem could be thought of as one of these syntagms, and grammatically described as "noun, verb, adverb and connective".¹¹ The second axis, introduced in the second stanza, can be described as "noun, verb and attribute" (it is most mad and moonly). In both axes the syntactic patterns create an expectation of logical meaning which is ultimately fulfilled in analogical terms.

The formal structure of couplings suggests the attempt to define love in terms of quantity in the first axis and in absolute terms in the second. The quantitative aspect is suggested by words such as "more" and "less" and applied to time and space in terms of thickness, thinness and frequency. From these measurements no positive definition emerges as a consequence of the systematic usage of inadequate predication. A negative definition is implied, however, in the very contrast between the attempt at a definition in terms of form and its failure in terms of meaning. This negative definition conveys the experience of the impossibility of defining the mystery of love.

The first two lines of the first stanza and the last two lines of the third formally reveal the attempt at a definition in terms of size and thickness:

love is more thicker than forget
 more thinner than recall
 less bigger than the least begin
 less littler than forgive

No definition, however, emerges, since "forget", "recall", "begin", and "forgive" denote actions which cannot be actually measured.

The two last lines of the first stanza and the two first lines of the third stanza present the same attempt at a definition in terms of time. As in the case of physical measurements, nothing is defined because of the vagueness of the terms to which love is compared. When, in the three last lines of the second and fourth stanzas the definition is formally sought for in terms of depth and height the result is the same. Nonsense in terms of meaning is the only response to the expectation of a definition.

The paradigmatic variations of the first axis exhaust, therefore, the tentative possibilities of defining love in terms of actual, relative measure-

ments. The failure being almost complete insofar as the expected fixation of limits in unsuccessful and only a vague feeling emerges of the all-encompassing power of love, the same attempt at a definition is made in the paradigmatic variations of the second axis, but now in absolute terms, suggested by the word "most":

it is most mad and moonly
it is most sane and sunly

The attempt to define the absolute, however, is also frustrated since either refers back to the former syntagmatic axis and compares, paradoxically, love with possible images of the absolute, such as the sea of the sky, or then shuts itself in the oxymoron, by pointing out to the existence of opposite attributes referring to the same subject (mad, moonly, sane, sunly). The absolute cannot be defined because, like the sea of the sky, it can only be compared to itself. Only one possibility of defining love exists: the negative definition which ultimately amounts to the fact that love is.

Cummings' poem, thus, begins in a pun with words and ends up in creating an analogic structure of meaning which makes us feel, in its mockery of language, the experience of the mystery of love. The seriousness of this mockery of language is evicend in the revelation of the inability of logical syntax to cope with reality, if this reality is ever to be experienced rather than stated. In this sense cummings' poem also implies a defense of poetry and of the activity of the poet as the creator of metaphors, of the analogical syntax capable of transcending the realm of the conventional and unreal world of things defined into the more vital realm of things experienced as they are, in their ultimate truth.

Cummings' mockery of language, however, is not confined to semantic incongruity only, but also to visual incongruity in language. The following poem illustrates this point:

r-p-o-p-h-e-s-s-a-g-r

who

a)s w(e loo)k
upnowgath
PPEGORHRASS
eringint(o-

a The):l
eA
!p:

S a
rIvInG .gRrEaPsPhOs)
to

rea(be)rran(com)gi(e)ngly
.grasshopper;12

If, in the previous poem, cummings enacts reality by means of a reordering of language into a new structure of analogy which deviates from the logical semantic patterns of language, in the "grasshopper" the analogic structure takes place through the dismemberment of words and a subsequent rearrangement in which the visual disposition of words and letters on the page creates a suggestive structure of meaning. The poem could be thought of as having its starting point in a plain statement with hardly any meaning at all, and which could be phrased as "grasshopper who, now, as we look up, gathering into (a) The leap(s), leaps rearrangingly arriving to become grasshopper." The typographic technique, however, in playing with the words, reenacts on the page the leap of the grasshopper, which acquires now a fresh meaning. The reader is invited to see the leap as the evolution from a state of chaos to a state of order, achieved only when the perception of the leap is made meaningful in the analogical structure of the poem. The evolution of the poem from chaos to order is justifiable even in terms of the subject of the poem insofar as the quick move involves the disappearance of the grasshopper from one place and his reappearing in another.

The quick movement of the leap actually occurs in the tenth line of the poem, in terms of the disposition of letters on the page. The line itself is, actually, no more than a blank space since the letters "S" and "a" are placed outside the margin of the poem. This blank space becomes, thus, a visual metaphor for the quick, hardly perceived leap, and the letters a visual metaphor for the grasshopper, before and after the leap. The line is also the turning point in the poem, the point which determines the passage from a tendency towards chaos in language to a tendency towards order as the grasshopper, after arriving, gradually becomes more and more real to our perception.

The evolution from chaos to organization takes place by means of a precise typographical arrangement involving the play of higher-case and lower case, the use of parentheses, and the junction and dismemberment of words. The component letters of the word "grasshopper" are presented, in the first line, in lower case and in a disintegrated sequence, the only principle of organization being, apparently, the initial and final "r" holding the frame. In the fourth line the sequence of letters appears in higher case, the double "P" and double "S" encompassing the frame, and the disintegration attenuated by the absence of hyphens. In the third occurrence, after the "leap", the principle of order is significantly emphasized by the opposition of lower case and higher-case and higher-case and finally, in the last line, the right sequence of letters is presented. The usage of parentheses related either to the perception of the object or to the object itself partially suggests disorder and partially the relative separation of subject and object of perception. The parentheses are finally ordered in separating, and at the same time connecting, the words "rearrangingly" and "become", both words referring to the grasshopper and implying the act of perception in an all encompassing unity.

The poetry of cummings, viewed in the light of a possible analogical syntax, is a play with words, similar in nature to the puns in the jokes analysed by Freud. The seriousness of these plays with words lies, for Freud, in the congruence between the poetic technique of puns and the processes of condensation, displacement, distortion, by which the unconscious communicates with the subject. The processes of dream-formation and wit-formation correspond, in fact, to the structures of language which allow words to mean more than they say, or to mean many things at once. Word-plays, however, are also serious in the results produced in the confrontation between logical and analogical in terms of communication. As we read cummings' poetry, standard English resonates like a silent counterpoint in our minds and this resonance implies a criticism of the ineffectualness of standard language to make certain contents meaningful, just as logical syntax is ineffectual to the conveyance of the messages of the unconscious.

The outrage of linguistic conventions in cummings is the means to illumination, to the discovery of the "irresistible truth" produced by visual or semantic metaphors. The nature of this truth lies in the resulting freshness of lyrical perception in which the poet, by means of an original naming, achieves a transmutation of the world into the word. Truth, here, is not the communication of an attribute supposedly existent in a substance but it is rather the condition, in this case the linguistic condition, for the presence of the object, which just insofar as it is present must have revealed itself. Such is, doubtless, the truth of the grasshopper, which exists in the revelation of a particular arrangement of words. This truth is not, of course, the Aristotelian truth characteristic of a proposition, but the truth characteristic of Being itself, present in the act of revelation.

The surrender to this kind of truth, which brings us to the fresh vision of the object produces the wonder and astonishment characteristic of our confrontation of what is poetically real, of reality deprived of its everyday automatism. The destruction of automatism involves the renewal of perception which is the ultimate function of art, the function of creating a perception of objects not as re-cognition but as vision.

Poetry as vision rather than as re-cognition is essentially untranslatable as a result of the technical uniqueness in which the emotion is expressed. As cummings himself puts it, in commenting on Pound's idea that "what matters is not the idea a man holds, but the depth at which he holds it":

The only way I can define art is in a negative way: a poem is something that can't be translated. To define a thing is to limit it and a poem is infinite. I'll tell you what else I believe: the importance of intensity in art which is what Pound was saying. I'd say 90 percent of the human race believes that two readers make a poem better than one reader, and that a hundred readers make it still better. And all that palaver has nothing to do with art. It isn't just one plus one plus one. A poem, a painting, lives in itself.¹³

Translation can only mean, in this context, translation into prose, even though the word usually applies to another language. A poem is infinite in

the sense that it is a recreation of the object, it has an autonomy of its own. In short, a poem *is* rather than represents, since nothing existed identical to it before, nothing will exist after. In prose it would be something else, in another language it would be another creation rather than a translation, based on the same motif. And the poet writing untranslatable poems is, essentially, the maker, or to put it in cummings' words, "somebody to whom things made matter very little, somebody who is obsessed by making".¹⁴

Notes

1. Sigmund Freud, *Jokes and their Relation to the Unconscious*, trans. James Strachey. New York, Norton & Company, 1963, p. 16.
2. Freud, p. 19.
3. Freud, p. 19.
4. Henri Bergson, "Laughter," reprinted in *Comedy*, ed. Wilie Sypher, p. 127.
5. Bergson, p. 127.
6. Freud, p. 90.
7. e. e. cummings, *Complete Poems* 1913-1962. New York, Harcourt Brace, 1972, p. 223.
8. cummings, p. 223.
9. cummings, p. 530.
10. Samuel R. Levin, *Linguistic Structures in Poetry*. Paris, Mouton, 1969, p. 39.
11. As in Levin, "noun" is here viewed as a functional category and includes, therefore, both nouns and pronouns.
12. cummings, p. 396.
13. From Charles Norman, *The Magic-Maker E. E. Cummings*. New York, The Macmillan Company, 1958, p. 10.
14. cummings, p. 223.

Universidade Federal de Viçosa
Viçosa, MG

MARK TWAIN ON PEDRO CAROLINO'S PORTUGUESE GRAMMAR

GEORGE MONTEIRO

Marian "Clover" Adams, the wife of the historian and writer, Henry Adams, begins a letter written in 1883: "*I will take the day by the front hair*, as my Portuguese grammar says..."¹ She explains no further, assuming, one suspects, that the reference would be clear to the recipient of her letter. Nor does the editor of this 1936 volume of Mrs. Adams' letters offer the reader any help, though not, in this case, because the reference is self-evident.

Yet Mrs. Adams' "Portuguese grammar" was still well enough known thirteen years later for the *Chap-Book*, a periodical published in Chicago, to conclude a paragraph on the changes evident in magazine portraits of Stephen Crane, now flush with the success of his novel *The Red Badge of Courage*, with this sentence: "oh! which wonderful change! and 'who, the little boy for the pleasure what he gives us! as the Portuguese grammar might say."²

There is, however, no lasting mystery as to the identity of Mrs. Adams' "Portuguese grammar" (or the *Chap-Book's*). It is *The New Guide of the Conversation in Portuguese and English* by Pedro Carolino, the first American edition of which appeared in 1883, the year of Mrs. Adams' letter. Published by James R. Osgood and Company of Boston, Massachusetts, this edition carried an "Introduction" by Mark Twain. An earlier English-language edition, without Mark Twain's introduction, had appeared, apparently in England, in 1869. The original itself had appeared in Paris in 1855 with the title *O novo guia da conversação em portuguez e inglez*. Its authorship was credited to José da Fonseca and Pedro Carolino. It is now accepted, however, that the latter was merely a pseudonym for the former, whose dates are given on library catalog cards as 1792-?-1866.

The book has been greatly appreciated well beyond its day. "Every one has sampled 'English as She is Spoke' and 'English as She is Wrote' [popular titles for the *New Guides*]" wrote Mark Twain in 1887, having been inspired to spin off a piece of his own for the *Century Magazine*: "English

as *She is Taught*.³ Nor is the *New Guide* unknown in our day, for the book was brought out in 1969 in an abridgement by Dover Publications, which, at last look, still has it in print under the title of *English as She is Spoke*.

Pedro Carolino's little book (a masterpiece by sheer inadvertence) deserves to be read cover-to-cover. But something of its flavor can be savored from the excerpt Mark Twain quotes (taken at random, he says) in his "Introduction" to the Osgood edition. It is presented here in its entirety, for its own delightful sake. (Incidentally, a check of the 1883 Osgood edition shows that Mrs. Adams is probably referring to the item under "Idiotismos e proverbios": "*Tomar a occasião pelos cabelos*," which Senhor Pedro Carolino translates as "Take the occasion for the hairs," p. 165).

In this world of uncertainties, there is, at any rate, one thing which may be pretty confidently set down as a certainty: and that is, that this celebrated little phrase-book will never die while the English language lasts. Its delicious unconscious ridiculousness, and its enchanting naiveté, are as supreme and unapproachable, in their way, as are Shakespeare's sublimities. Whatsoever is perfect in its kind, in literature, is imperishable: nobody can add to the absurdity of this book, nobody can imitate it successfully, nobody can hope to produce its fellow; it is perfect, it must and will stand alone: its immortality is secure.

It is one of the smallest books in the world, but few big books have received such wide attention, and been so much pondered by the grave and the learned, and so much discussed and written about by the thoughtful, the thoughtless, the wise, and the foolish. Long notices of it have appeared, from time to time, in the great English reviews, and in erudite and authoritative philological periodicals; and it has been laughed at, danced upon, and tossed in a blanket by nearly every newspaper and magazine in the English-speaking world. Every scribbler, almost, has had his little fling at it, at one time or another: I had mine fifteen years ago. The book gets out of print, every now and then, and once ceases to hear of it for a season; but presently the nations and near-and-far colonies of our tongue and lineage call for it once more, and once more it issues from some London or Continental or American press, and runs a new course around the globe, wafted on its way by the wind of a world's laughter.

Many persons have believed that this book's miraculous stupidities were studied and disingenuous; but no one can read the volume carefully through and keep that opinion.⁴ It was written in serious good faith and deep earnestness, by an honest and upright idiot who believed he knew something of the English language, and could impart his knowledge to others. The amplest proof of this crops out somewhere or other upon each and every page. There are sentences in the book which could have been manufactured by a man in his right mind, and with an intelligent and deliberate purpose to seem innocently ignorant; but there are other sentences, and paragraphs, which no mere pretended ignorance could ever achieve, — nor yet even the most genuine and comprehensive ignorance, when unbacked by inspiration.

It is not a fraud who speaks in the following paragraph of the author's Preface, but a good man, an honest man, a man whose conscience is at rest, a man who believes he has done a high and worthy work for his nation and his generation, and is well pleased with his performance:—

We expect then, who the little book (for the care what we wrote him, and for her typographical correction) that may be worth the acceptance of the studious persons, and especially of the Youth, at which we dedicate him particularly.

One cannot open this book anywhere and not find richness. To prove that this is true, I will open it at random and copy the page I happen to stumble upon. Here is the result: —

DIALOGUE 16.

For to see the town.

Antony, go to accompany they gentilsmen, do they see the town.

We won't to see all that is it remarkable here.

Come with me, if you please. I shall not forget nothing what can to merit your attention. Here we are near to cathedral; will you come in there?

We will first to see him in outside, after we shall go in there for to look the interior.

Admire this master piece gothic architecture's.

The chasing of all they figures is astonishing indeed.

The cupola and the nave are not less curious to see.

What is this palace how I see youder?

It is the town hall.

And this tower here at this side?

It is the Observatory.

The bridge is very fine, it have ten archs, and is constructed of free stone.

The streets are very layed out by line and too paved.

What is the circuit of this town?

Two leagues.

There is it also hospitals here?

It not fail them.

What are then the edifices the worstest to have seen?

It is the arsnehal, the spectacle's hall, the Cusiom-house, and the Purse.

We are going too see the other monuments such that the public pawn-broker's office, the plants garden's the money office's, the library.

That it shall be for another day; we are tired.

DIALOGUE 17.

To inform one'self of a person.

How is that gentelman who you did speak by and by?
Is a German.

I did think him Englishman.

He si of the Saxony side.

He speak the french very well.

Tough he is German, he speak so much well italyan, french, spanish and english, that among the Italyan, they believe him Italyan, he speak the frenche as the Frenches themselves. The Spanishesmen believe him Spanishing, and the Englishes, Englishman.

The last remark contains a general truth; but It is difficult to enjoy well so much several languages ceases to be a truth when one contracts it and applies it to an individual—provided that that individual is the author of this book, Senhor Pedro Carolino. I am sure I should not find it difficult “to enjoy well so much several languages” — or even a thousand of them — if he did the translating for me from the originals into his ostensible English.

Hartford, April, 1882.

Notes

1. *The Letters of Mrs. Henry Adams 1865-1883*, ed. Ward Thoron. Boston, Little, Brown, 1936, p. 428.
2. *Chap-Book* (1 April 1896), 496.
3. *Century*, 33 (April 1887): 932-36. This essay was also brought out by the Mutual Book Company of Boston, Massachusetts, in 1900, as *English as She is Taught by Mark Twain with Biographical Sketch of Author by Matthew Irving Lans*.
4. It will be observed here and there in the book, — among the thousand other signs of the author's innocence and sincerity, — that he has taken for granted that in our language, as in the languages of Continental Europe, the indefinite article has a *sex*. He thinks *a* is masculine, and *an* feminine. See his section headed “Degrees of Kindred”. It would not occur to anybody to invent this blunder; but it is a blunder which an ignorant foreigner would quite naturally fall into. [Mark Twain's note.]

Brown University
Providence, RI, USA

BECKET — BEING AND ITS TRANSCENDENCY

CARMEN GAGO ALVAREZ

You and I don't know the process by which the human is
Transhumanized: what do we know
Of the kind of suffering they must undergo
On the way to illumination?¹

T. S. Eliot

I - Introduction

The ordinary constitutes for man the dimension where he essentializes his God (extra-ordinary). "Ethos anthrópo daímon",² says Heraclitus in his Fragment II. This ontology of, this search for, and this return to the fundamental Essence will lead to the study of existence because "only starting from the TRUTH of BEING we can think or meditate on the Essence of the sacred".³

This wish to accomplish plenitude—and existential movement towards freedom—is the feeling of nausea (la nausée) so frequently found in Kafka, Camus, Sartre and T. S. Eliot.

We will try to show through a critical reading, the various meanings and connotations we believe is contained in T. S. Eliot's *Murder in the Cathedral*.⁴ As Martin Heidegger once stated "what makes our times different is the impermeability to reach the dimension of grace" (des Heilens)⁵ but we do believe that T. S. Eliot understood the philosopher's thought when he wrote this drama. Through Becket Eliot found the dimension of the Sacred—he understood the Archbishop's Being, and together with Becket he cleared his way to God.

II - A Summary of the Play

Murder in the Cathedral, a poetic drama of religious theme written in 1935, first performed at the Canterbury Festival tells the story of Thomas à Becket, Archbishop of Canterbury. The drama consists of two parts with an Interlude permeating the first and last; it refers to the period preceding Becket's death sometimes going back to his past friendship with King Henry II, of England.

Becket, in his youth, was friend and confidant to the King and Henry II returned his affection. Becket had been a soldier and a politician and in 1155 was named Chancellor by Henry. In the year 1160, when Theobald

died, Henry II named his friend Archbishop of Canterbury. Even before Becket had become Archbishop the relations between the Crown and the Church were not cordial owing to the King's wish that the Clergy and the Church would pay taxes to the Crown. Henry II thought that, by naming his intimate friend archbishop he would solve both problems. But this was not to be.

Becket, if we consult the historical sources, never wanted to become an archbishop, because he had lived an adventurous life and did not really believe he deserved such an honour. Becket accepted his friend and sovereign's request and, once appointed archbishop, he renounced his past life completely. He lived humbly and soon, rather than help the King, Becket became an obstacle to his plans. As Archbishop, he began to oppose himself to the barons by excommunicating them together with landowners opposed to the rights and privileges of the Church. Becket, fearing the King's wrath, escapes to France and remains there for seven years. Henry II decides to call his friend back, but Becket, after his return to England maintains his previous way of thinking and does not take his word back on the excommunication of the nobles and priests punished by him. The former turn to the enraged King who is willing to get rid of Becket. This wish is heard by the barons de Tracy, de Morville, Brito and Fitz-Urse who decide to please the King and kill Becket. They go to Canterbury and there they murder the Archbishop. Thomas à Becket was canonized two years later...

III — The Preparation

Like a Greek tragedy, *Murder in the Cathedral* opens with a Chorus—the Women of Canterbury who say they are near the cathedral to give testimony that they are waiting for whatever God commands. Seven years have already passed since Becket went into exile. The Chorus express the idea that mankind is expecting for something to happen; their questions express their puzzlement...

When Eliot says that the Chorus are forced "to bear witness" he means that the action which we, readers and spectators, are on the verge of witnessing possesses a triple connotation—social, moral and spiritual. Each of these words has in itself a very great importance and, quoting Jean Paul Sartre, we would say that "our liberty depends on other people's liberty, we are free while others are free". A person is not alone and there is not such a thing as an isolated act because everything we do will always reflect on others... "No man is an island entire of itself; every man is a piece of the continent, a part of the main".⁷ The writer links the natural and the metaphysical in his preoccupation with life after death. Symbolism is present and we have two kinds of harvest—of fruit and of souls: the present winter is the promise of a future spring.

The Chorus are indifferent in the beginning of the play—they fear to disturb "the calm seasons"—the immutability of nature. The idea of Destiny is that we live according to a plan already traced which we have free

will to accept or not. So, the question is—"Why did Becket come from exile to suffer martyrdom?" — We believe it is because he represents a spiritual power that has to face the secular power, the King, his once friend, and defeat him. A parallelism is noticed when the Archbishop enters Canterbury — we remember Christ's entrance in Jerusalem — therefore, the subject-matter is the same-martyrdom, past and future. This fusion in time is Becket's need to project his Being in an after-life. The Wheel is life, eternity and God — the seasons, the cycles of nature...

The Three Priests — the Church representatives — worldly and optimistic are farther from God than the Chorus, passive under the oppression of the State and their personal sorrow. The Chorus can only witness the events and move like a wheel around Becket impotently suffering, watching his torment. The Third Priest worries rather about what seems than about what is, asking the Women of Canterbury to show an apparent joy when in Becket's presence.

Becket's first word to the Priests after his arrival from France is *Peace*, a rather ironical word because of the conflict his presence will generate. We feel that Eliot does not worry about the faith of a single man, Becket himself, but about mankind's struggles and suffering, trying to gather man and universe as a whole. Becket is conscious of what is in store for him; he delivers himself in the Saviour's hands and, when the First Tempter arrives (there are Four Tempters in the play) he faces him serenely. Now, Becket is face to face with his existential obstacle. The First Tempter offers him power; the Third wants him to betray the King, and the Fourth offers him posthumous glory. To all but one Becket easily repels: the Fourth Tempter is the temptation within, his weakness, his pride. But, when the Tempters say that Becket tends to self-destruction, they reflect the reaction that the average man feels in face of sanctity and mysticism.

Thomas à Becket is alone in his existential crisis although he is surrounded by many people — the Tempters, except the Fourth — who represent worldly affairs, the Chorus, who worry about themselves, and the Three Priests, who are beside him for merely selfish reasons. Thomas knows his way is free — he will reach his Being — the home of spirituality. He reviews his life — his luxury, ambition, his desire for honours and praise. He knows his duty as an Archbishop and says that as God's servant his temptations had been greater than when he was the King's Chancellor.

In his pursuit to accomplish God's will, Becket wants to affirm, once and for all, the sincerity of his acts; if he cannot achieve this, his sacrifice will have been in vain, without merit or meaning. When Becket speaks of ambition, that sin "grows with doing good" he means that the sin of pride may give rise to a seeming act of kindness which is really a selfish act, consequently being "the right deed for the wrong reason". Becket never wanted to be God's servant; he turns to his *Geschichtlichkeit*,⁸ his historical being, and incarnates God's will, he, a servant of Our Lord.

The last lines of the First Part represent Eliot's intention to convert mankind and help her to understand the right path to follow,

Indifference, exploitation you, and you,
And you, must all be punished. So must you.
I shall no longer act or suffer...

The playwright's concern with talented people who use their wisdom in a wrong way is expounded in "Poetry and Drama":¹⁰ "For it is ultimately the function of art, in imposing a credible order upon ordinary reality, and thereby eliciting some perception of an order in reality, to bring us to a condition of serenity, stillness, and reconciliation; and then leave us, as Virgil left Dante, to proceed toward a region where that guide can await us no farther."

IV — *The Interlude*

In this short scene, the Archbishop mentions the special meaning of Mass that celebrates Christ's birth and also His Passion and Death. A martyrdom is never accidental; it is always the will of Our Lord. The people of Canterbury will have a martyr soon...

Theme, symbol and tradition — past and present — join the two parts of the drama and connect to ours Becket's search for peace. He alone projects the idea that he will be chosen by God to perform a certain action and a certain purpose. Eliot uses prose in the Interlude to make, specially Becket's sermon, more effective. Again, in "Poetry and Drama"¹¹ he states: "The two prose passages in *Murder in the Cathedral* could not have been written in verse... the audience would have been uncomfortably aware that it was verse they were hearing. A sermon cast in verse is too unusual an experience for even the most regular churchgoers: nobody could have responded to it as a sermon at all."

The scene is enriched by a sort of duality because Becket's observations may be directed both to the audience or to a hypothetical congregation (the Chorus). These observations emphasize two fundamental principles: the conceptions of rejoicing and the idea of martyrdom. In this way, we believe to have justified Becket's self-abnegation and also the Fourth Tempter: "A Christian martyrdom is never an accident."

In this beautiful, model sermon, Becket (or Eliot) makes use of Christian theology to illustrate and explain the meaning and value of martyrdom. The Archbishop refers to the Christmas Mass. We have: Christmas, Christ's birth meaning life, and Mass his Passion and Death. The two form a vital cycle. It is God who "shapes what is unshaped", i.e., man's life and human destiny are pertinent to God's determination.

V — *The Readiness is All*

The Chorus again opens this part. The Women of Canterbury long for spring, the season of renewal. The Three Priests enter carrying flags (St. Stephen's, St. John's and the Holy Innocents') that mark the beginning of the religious year.

In the Church rituals, the elements of nature are present — bread and wine—as happened during the ritual of the Eleusianian Mysteries.¹² The “mystae”, after drinking the “hykeon” — a strong beverage to produce ecstasy — ate the sacred cakes. Demeter, to whom the cult was devoted, was sometimes represented holding ears of corn, and her name means the “earth mother” or “the fertile and cultivated soil”. Therefore, we have a connection between the physical and spiritual lives. Through the flags we remember the martyrs: Saint Stephen who was killed by stoning because of his belief, and the Holy Innocents massacred by Herodes’ order — they foreshadow Becket’s martyrdom...

Between Becket and God there is one final agent, the Knights who are going to trigger the action to Becket’s fulfilment of his lot — he will not react because God will act through him. He says to the people: “A martyrdom is never the design of man.”

Here, Eliot prepares us to accept the conflict between good and evil when God allows evil to triumph, seemingly and apparently over Good. Becket is accused of denying the validity of the King’s son coronation. Everybody wants his leave the Knights, because it was the King’s order; the Chorus, because they did not want to get involved; the Priest ask Becket to go away but he will stay — it is God’s will.

Nature and the Chorus are disturbed — impotent, they wait for the events. Becket calms the Women of Canterbury by saying that God will show his design. If anything or anyone is out of the natural order all nature will suffer. There is a bond among all things, either natural or spiritual, a unity in diversity. God is the Almighty; consequently, he can join the opposites, i.e., the spirit is in a certain way animal and all nature in a certain way spiritual because it was created by God.

When the Priests tell Becket to hide in the cathedral before the Knights’ return, he replies that he is waiting for the divine design — his life was but a preparation. There is a breach between the Priests’ and Becket’s reasoning; the former cannot understand the Archbishop—they are too selfish for that. Another opposition occurs when the Priests order the cathedral doors barred, and Becket orders the doors opened. He is spiritually safe and this is what matters. Becket faces the knights and is ready to die and suffer for Christ. He kneels and is murdered by them. The Knights circle Becket forming the Wheel again, and the Wheel turns — a cycle of life and death...

The Chorus declare they did not want the tragedy to happen — they only wanted peace. Now, they will have to suffer because of Becket’s death—theirs is the sin of omission.

We reflect on the Heideggerian anguish — the world as a whole or Being as a whole presents itself and makes us suffer, for mankind does not feel anguish for a thing in particular but with Being in general, because what happened will affect all men. The three Priests show they now understand Becket’s sacrifice. The Chorus, singing a Te Deum closes the play glorifying Our Lord. They pray for Blessed Thomas, a renewed faith in their hearts...

VI — Conclusion

Thomas à Becket leads the play by his intellectual force, morality and spirituality. He is the only exponential character in the play; the others do not grow because they lack individuality. The play presents the soul of a holy man more than the murder of a man — Thomas’ Being is fully grown... The Fourth Tempter had been a moment of truth for Becket because he made the Archbishop peruse his acts and question his motives.

In *Murder in the Cathedral*, what matters transcends the play, as if past, present and the futurity of martyrdom together with Becket’s existential idea were situated in a timeless unitarian structure, in a fusion and refusal of the Archbishop’s Being.

Although Becket is the more real and realistic character in the drama, he is “more than a man”. Why? Because he represents an idea; he is a symbol, therefore more than a mere historical character.

Becket penetrates his *Geschichtlichkeit* and, as he searched and reached his God, we can also reach Him. This, in our opinion, is the message within the play. Becket looks for something — his Truth. He absents himself in his existential anguish. But, he has a project and his past of glories will not detain him. Becket must be, acknowledging his Being in time and in the world, in transcendence. When Thomas à Becket fulfils his Being present, his Being here (*Dasein*)¹³ he questions no more, perceiving and delimiting his destination to martyrdom. He is not puzzled because he is Being-in-the-world, and his longing to die is not self-destruction, but an act of love.

To live the epochal vigour of his Being, Becket made his myth possible, for this is *Aletheia*,¹⁴ the manifestation of Being — what his Being allotted to him was what he took on.

Thomas à Becket is glorified because he remembered the existence of Being, consequently denying life and accepting death as the beginning of a new life...

1. T. S. Eliot, "The Cocktail Party," Act II (*The Complete Poems and Plays of T. S. Eliot*). London, Faber, 1975, p. 421.
2. Martin Heidegger, *Sobre o Humanismo*. Rio de Janeiro, Tempo Brasileiro, 1967, p. 85: "Individuality is man's demon".
3. *Ibid.*, p. 81.
4. T. S. Eliot, "Murder in the Cathedral" (*The Complete Poems and Plays of T. S. Eliot*), pp. 239-259.
5. Martin Heidegger, *op. cit.*, p. 81.
6. Jean Wahl, *As Filosofias da Existência*. Lisboa, Europa-América, 1962.
7. John Donne, "Meditation 17" (*Adventures in English Literature I*). New York, Harcourt, 1963, p. 147.
8. Nicola Abbagnano, *Dicionário de Filosofia* São Paulo, Mestre Jou, 1970, pp. 482-484.
9. *Murder in the Cathedral*, p. 259.
10. T. S. Eliot, "Poetry and Drama" (*On Poetry and Poets*). London, Faber, 1969, p. 87.
11. *Ibid.*, p. 81.
12. Robert Graves, *New Larousse Encyclopedia of Mythology*. London, Hamlyn, 1978, p. 155.
13. Nicola Abbagnano, *op. cit.*, p. 856: Dasein (There-being or Beingthereness). The philosophers Heidegger, Jaspers and Husserl use Dasein to signify "the Essence of a Pure Being in general and of a living experience in general founding the ideal possibility of a reflexion which has the character of an evident thesis of Being".
14. George Steiner, *Martin Heidegger*. New York, Viking, 1979, p. 114: Alethea — "the unconcealed"; "the unhiddenness." In Heidegger, Alethea, ἀλήθεια, the Greek word for truth means the TRUTH of BEING; it is the unhiddenness which shows and shines through. Alethea only reveals itself to man; it consists of a revealed Being, in the Being of Things, or these same things which unveil the Being of man.
15. Nicola Abbagnano, *op. cit.*, pp. 847-855. Being (Sein), the Greek word τὸν. Martin Heidegger stated that "the Dasein (There-being) while understanding, projects its Being in possibility" (Sein und Zeit 32). In fact, all Heidegger's analyses have as theme the Dasein possibilities which form the theme of the existential analysis."

Universidade de Santa Úrsula
Rio de Janeiro, RJ

1. Introduction: Methodological considerations.

"Sorry but I didn't prepare the reading assignment." How many times has the teacher of literature been given this excuse! It is often the opening statement of a rather tense and disturbing classroom situation. Didactics and psychology offer bypasses but whatever method the teacher devises, it is always a palliative measure. To prevent such an impasse, we must mobilize the creative energies we presume our students have.

Firstly, the adult student must be clarified in advance what the real objectives of the course are and how relevant they are to his life experience. In doing so, the teacher is opening a door to active participation. Secondly, a framework of knowledge must be provided and analytical tools indicated so that the student may add pieces of information to his growing body of knowledge. This task, however, will only be successful if the students begin from their own frame of reference. This is the strategic keynote the teacher should strike.

Lecturing on isolated literary facts and events is a waste of time and effort. It has been wisely pointed out that "we do not teach literature but people".¹ If our aim is to help our student to develop as a human being, we must present him with situations in which he himself experiments. First accounted by Piaget, this approach to learning has been expressed in the following terms: — "arousal of intellectual interest, preliminary exploration of the problem, formulation of ideas, explanations or hypotheses, selection of appropriate ideas, verification of their suitability".² In Piaget's own words: "You cannot further understanding in a child simply by talking to him."³ I believe the same principle is applicable to any learner.

2. English Literature in Brazilian universities

2.1. Objectives

A high percentage of Brazilian students who enter university have a low level of English language and practically no experience in literary studies.

They are not used to reading, not even for enjoyment. I am referring to our contemporary multimedia young generation who need no motivation for reading comics or watching T.V.

Moreover there is another aspect teachers tend to disregard. In a couple of years, these students will be professionals, either translators or teachers, who will have to carry on their own research programs independent of any orientation. They must know how to organize their studies and to continue improving—or at least, like the Red Queen, how to run to keep in the same place.⁴ Our role as teachers will only be successful if we offer the students a platform. The launching, of course, is up to them.

Recent research into the communicative function of literature has reinforced the teacher's responsibility in developing the student's ability of responding independently. It has aimed at activating one's sensitivity to language usage rather than the teaching of literary facts. The teacher provides some form of "analytic strategy so that the student eventually arrives at his own interpretations (and not rely timorously on "cribs" or critics' comments) based on systematic examination of definite evidence — the language — and not on intuitive stabbing at the whole."⁵ Teaching the communicative function of a piece of work is "to discover how the language is deployed to convey the poet's perceptions and concepts which make up the unique view of reality that is the poem, and its total effect — imaginative, aesthetic and linguistic — as a piece of communication."⁶ In other words, the communicative approach to literature shatters the much-to-be condemned wall which has been solidly erected between the teaching of language and that of literature. A balanced integration must be reached and literature then becomes a valuable asset to the EFL syllabus whereas language, on the other hand, becomes the focus of literary studies.

2.2. Courses

It has been a matter of debate in every seminar we hold which course to initiate our curriculum — or, more specifically speaking, the questions of a chronological or thematic survey, an arrangement according to genres or a focus on a specific period.

Last semester I organized a course which, having met with the students' enthusiasm, I thought it worth registering.

3. Description of an experiment.

3.1. The course

I was responsible for a class of 14 middle-class young women aged 18 to 35 (two of them were married). Five had had English Literature before (a survey course, the data of which they had nearly forgotten!). We had 2 classes of 90' per week—totalling 48 hours. They had all reached the lower certificate level of English and were not particularly interested in any

kind of study — as a group, rather apathetic and non-participating. Their objective was passing the course and getting their credits.

A catching subject-matter was required, something very close to their reality. In the long run, the course should arouse their interest in English Literature. Those students whose major was Portuguese-English would have to undertake two more semesters. To those graduating as translators, this course was the only credit required for literature.

I decided to introduce them to contemporary English Literature dealing with issues relevant to Brazilians. This need resulted in the creation of *Changing Images of Women*.

The program was divided into five parts:

- I. Concepts and historical background.
 - a. Introduction to women's studies.
 - b. Situation of women in the past and in the present, in England and in Brazil.
- II. The submissive wife's reaction.
- III. Women as sex objects.
- IV. Feminist response.
- V. Working out a deal.

The texts selected for analysis were the following:⁸

D.H. Lawrence, "Fannie and Annie"
Katherine Mansfield, "Millie" and "Her First Ball"
Muriel Spark, "Miss Pinkerton's Apocalypse"
Virginia Woolf, "The Duchess and the Jeweller" and an extract from "A Room of One's Own".
Doris Lessing, "One off the short list", "A Woman on a Roof" and "A Man and Two Women".
Vicki Feaver (poems), "Clean Sheets" and "Family Group"
Sylvia Plath (poem), "The Applicant"

During the last month the students asked to read and discuss the play *Trifles* by the American playwright Susan Glaspell and the poem *Homecoming* by the also American poet Martha Collins.

The theoretical texts for discussion were mostly taken from *Issues in Feminism*, and Anais Nin's article "In Favour of the Sensitive Man" was also discussed.

3.2. Some pedagogical strategies and methods of analysis.

3.2.1. the notice-board.

Instead of opening lectures, the class set out to organize a notice-board to which they attached weekly newspaper clippings, photos, articles — any contribution they considered relevant to the course. We discussed

the material presented attempting at drawing a general picture of the situation of women nowadays and what contributed to this *status quo*. They were so highly motivated that the board turned out to be small and they had to stick their contributions onto the walls! They kept renewing the pieces of information throughout the semester so that we had a very dynamic and up-to-date board. The main objective was to keep the students "tuned" to the theme in their everyday life, undergoing a constant process of observation and evaluation.

3.2.2. the unorthodox texts — an example

Students are often suspicious of traditional literary texts. They tend to assume they will be asked to perform a wearisome and difficult task. The unorthodox text on the other hand is motivating and may be used for various purposes. In this course we tried to use it to elucidate analytical strategies. To make a statement they had read in the theoretical text —

"fairy tales tell us a great deal about the way women are expected to be and the way we come to see our existence"⁹

become part of the students' experience, I brought to class an actual fairy tale — *Rumpelstiltskin*¹⁰ — and asked the students to form into four groups and seek linguistic elements in the text which they believed conveyed myths created by a patriarchal society.

Some of the passages the students analysed are considered in Annex I. In passage *a*, the noun *millar* is modified by the adjective *poor*, whereas *daughter* is modified by the adjective *beautiful*. Two misconceptions on the lexical level are present in the resulting contrast (poor/beautiful). The first has economic implications, as if a poor man is not expected to have nice-looking children — an obvious reference to capitalistic prejudice. The second one is sexist. Whereas the miller is differentiated by his social condition, the girl is praised for her appearance.

In passage *b* the girl is the object of *took* and *led* and the subjects to these verbs are the two male characters (miller and King). The girl's passivity is therefore stressed and her inferiority to the male characters becomes evident. The use of the possessive in passage *c* emphasizes the girl's dependence. The three characters have no proper names in the story to foreground the dwarf's much foregrounded one, but the girl is nominated in terms of the male referential (*his daughter*, *miller's daughter*, *his Queen*). Both miller and King are recognized for the social function they perform, whereas the miller's daughter is mostly referred to as *girl*, a sexual differentiation. Her social and economic function in the household is taken for granted and never fully appreciated.

What drew our attention to passage *c* was that a story reduced to its most meaningful elements of plot to impart simplicity to its narrative should indulge into four sentences to convey the girl's incapacity of acting. Her intellectual handicap is reinforced by the semantic implications

of *gazed* and *she had no idea*. After such a display of intellectual ineptitude — to say the least! — the students wondered how she was able to think of any *next morning* at all.

In the last passage, the commonplaces abound. The Queen is happy in a castle. Happiness means getting rich, having a "lovely" baby, etc. Everybody is filled with joy. In questioning these statements, the students realized the importance of a baby in a society based on the transmission of power and property. The objective of showing to the class how a fairy tale both fulfilled social expectations and consolidated myths created by a patriarchal society was achieved.

As the text posed no linguistic difficulties, the students became more confident and started to contribute spontaneously. They were ready for acquiring tools for "taking off". Widdowson comments that "it is not necessary (and indeed may be undesirable) to select works on the grounds of aesthetic excellence or because they are representative of different schools and periods: the criteria for selection are pedagogic rather than aesthetic or historical and have to do with whether the works can be used to develop sensitivity to language in the most effective way. It is possible to think of a literature course which contains none of the "classics" at all, but which nevertheless prepares the way for a meaningful encounter with them at a later stage."¹¹

3.2.3. The conventional texts — an example

The statement that "a text can only be understood as an object embedded within a set of linguistic (and other e.g., sociological, literary) conventions"¹² can be considered as a guideline to the textual analysis undertaken in the classroom.

Let us consider an excerpt from *A Room of One's Own* in which Virginia Woolf denounces the historical poverty of women in a sustained metaphor of a dinner at Fernham College.¹³

The image of a traditional meal is used to contrast the realities of male with female British institutions. First, a starter, the opening soup, is emphasized with the inversion of the adverbial *here*, which places the subject at the prominent end. There is a pattern of expectation, leading to frustration and a candid statement in the description of the first dish. The most evident clue to this fact is the parallelism in *Here was my soup/Here was the soup*. We first identify a distancing of the author from a fact which would lead us into expecting just the opposite. The possessive pronoun *my* provides semantic implications of emotional involvement which disappear with the use of the deictic *the* and reaches its highest degree of detachment in the indefinite article *a* of *plain gravy soup*. The expectation/frustration pattern is transmitted by the opening non-finite clause *far from being spring* and is reinforced by the intensifying adverbial *in fact*. The same semantic structure is repeated in the hope of visualizing a pattern on the plate, which is also frustrated by the adversative *but*.

This frustrated description of the first course results in irony which is sustained throughout the following dishes, as the personifications of

“beef and its attendant greens and potatoes”. The negative connotations of the qualifiers produce a feeling of repulsion (*beef = rumps of cattle in a muddy market*). The resulting discomfort, associated with the idea of bargaining, is extended to the inappropriate excuse she is given for having such a meal — that, after all, coalminers were getting less.

The rest of the meal is likewise frustrating. Virginia Woolf cancels out the appetizing appeal prunes, the final course, could have on some readers by using the non-finite clause “even when mitigated by custard” and disqualifying them as fruit. Whether a fruit or a vegetable, the negative prefix *-un* in *uncharitable* guarantees the last blow. A final repulsive reaction to the dish is obtained when she mentions “exuding a fluid” instead of describing a tasty syrup. At the end of the meal water is *liberally* passed, which in the context becomes ironic as it costs nothing. The cheese is not described, but the dryness of the biscuits is made to stand out. The situation ends in an SVA sentence pattern (“That was all”) which is again repeated in the next statement (“The meal was over”) — two assertives, like the meal, reduced to their most simple elements. The syntax expresses the reality of Fernham College. Its struggle for survival affects the academic production. As Virginia Woolf later puts “One cannot think well, love well, sleep well, if one has not dined well”.¹⁴

This passage is particularly interesting for the cultural information it offers to EFL students — from the significance of gravy and custard to English people to various aspects of life in two different English institutions.

3.3. Evaluation

Students' participation was essential to this course. Their contribution in bringing complementary material such as news items, ads, headlines into the classroom also brought along new stamina. The discussion which followed the presentation of this material helped them acquire a keener awareness of contemporary events.

Grading participation, however, is a difficult task. To avoid partiality, two seminars were prepared — one in September and one in the beginning of November. The students formed into different groups of four for each semester. Almost as a confirmation of their grades, a written test was given at the end of November and the grades were in accord with the grades they had reached so far. Two students failed, though — which was also coherent!

3.4. Results

The course was significant at various levels. The students were exposed to contemporary literature and improved their reading skills. An insight into stylistics provided them with tools for improving their awareness of language realization. In the beginning of the course dates were set for the assignments. At the end, the students went on reading on their own, selecting other short-stories and plays.

Exposure to literature also increased their knowledge of language and their understanding of a different culture. They were able to compare the situation of women in different societies and understand the reasons for the manifestations in England, Brasil and the United States.

In acquiring a new awareness and changing their attitudes, the students became more participating. A sensation of fulfilment pervaded the class, they enjoyed what they had read and realized that the task would never be over. Although gratified, they still wanted to have read more. Piaget claimed that “... the aim of intellectual training is to form the intelligence rather than to stock memory, and to produce intellectual explorers rather mere erudition.”¹⁵

Each teacher may have a different approach to this point of view. I submit mine for discussion.

ANEX I

- a. “Once upon a time there was a poor miller who had one beautiful daughter”. (p. 4)
- b. “The next day the miller took his daughter to the King's castle. The King led the girl into a room that was almost filled with straw.” (p. 6)
- c. “The miller's daughter sat down on the stool and gazed at all the straw. She did not know what to do. She had no idea how to spin straw into gold.
As she thought about the next morning, she grew more and more afraid. At last she hid her face in her hands and wept.” (p. 10)
- d. “When the King arrived, early the next morning, he was overjoyed at the sight of all the gold.
He reminded himself that, not only was the miller's daughter beautiful, but also, that she had brought him great riches.
So he kept his promise. He married the miller's daughter and she became his Queen.” (p. 30)
- e. “The Queen was very happy, living in the royal castle... A year after they were married, the King and Queen had a lovely baby. They were both filled with joy.” (p. 32)

From: *Rumpelstiltskin*, retold by Vera Southgate. Ladybird Books Ltd, 1968.

"Here was my soup. Dinner was being served in the great dining-hall. Far from being spring it was in fact an evening in October. Everybody was assembled in the big dining-room. Dinner was ready. Here was the soup. It was a plain gravy soup. There was nothing to stir the fancy in that. One could have seen through the transparent liquid any pattern that there might have been on the plate itself. But there was no pattern. The plate was plain. Next came beef with its attendant greens and potatoes — a homely trinity, suggesting the rumps of cattle in a muddy market, and sprouts curled and yellowed at the edge, and bargaining and cheapening, and women with string bags on Monday morning. There was no reason to complain of human nature's daily food, seeing that the supply was sufficient and coal-miners doubtless were sitting down to less. Prunes and custard followed. And if anyone complains that prunes, even when mitigated by custard, are an uncharitable vegetable (fruit they are not), stringy as miser's heart and exuding a fluid such as might run in misers' veins who have denied themselves wine and warmth for eighty years and yet not given to the poor, he should reflect that there are people whose charity embraces even the prune. Biscuits and cheese came next, and here the water-jug was liberally passed round, for it is the nature of biscuits to be dry, and these were biscuits to the core. That was all. The meal was over."

From: Virginia Woolf, *A Room of One's Own*. The Hogarth Press Ltd., London 1978. Pages 26-7.

1. Hook, Sidney. *Education and The Taming of Power*. Open Court Publ. Co., La Salle, Illinois, 1973.
2. *The New Encyclopaedia Britannica*, Macropaedia, Vol. 13, Encyclopaedia Britannica, Inc., U.S.A., 1980. P. 1101.
3. Milton Schwebel and Jane Raph (ed.), *Piaget in the Classroom*, Basic Books, Inc. Publ., N.Y., 1973.
4. See *Through the Looking-Glass*, in Martin Gardener (ed), *The Annotated Alice*, Penguin Books Ltd., Middlesex, England, 1977. P. 210.
5. Janet Holst, "Linguistics and the Teaching of Poetry to Advanced Learners of EFL", in Anita Pincas (ed.), *English Literature for EFL, Three studies in practical stylistics*. University of Lancaster. May 1980. P. 3.
6. *Ibid*.
7. August — December, 1981.
8. Many texts and ideas were from:
Mary Ann Ferguson, *Images of Women in Literature*. Houghton Mifflin Co., U.S.A., 1973.
Marcia Folsom and Linda Kirschner, *By Women*. Houghton Mifflin Co., U.S.A., 1976.
Sheila Ruth, *Issues in Feminism*. Houghton Mifflin Co., U.S.A., 1980.
9. In *Issues* (op. cit.).
10. *Ladybird Books. Ltd.*
11. H. Widdowson, *Stylistics and the Teaching of English*. Longman Group Ltd. 1955. P. 85.
12. G. N. Leech & M. H. S. *Style in Fiction*. Longman Group Ltd. NY, 1981, p. 183.
13. See Annex II.
14. V. Woolf, *op. cit.*, p. 28.
15. Jean Piaget, *Science of education and the psychology of the child*. Orion Press, N.Y., 1970. P. 51.

Universidade Federal do Rio de Janeiro
Rio de Janeiro, RJ

REBUFFS AND CROSS-CULTURAL ENCOUNTERS

MARIA HELENA LOTT LAGE

The purpose of this research was to test the hypothesis that rebuffs on the part of a native speaker may inhibit the motivation and confidence of a foreigner acquiring the language of that speaker. I was interested in discovering what characteristics lead to rebuffs, what happens in a rebuff situation and why, as well as how the situations differ. People have individual characteristics and react differently when confronted with problems of this sort. Rebuffs may be taken as positive personal challenges as well as represent discouragement or decrease in motivation and confidence. A great deal has to do with personality types and other psychological factors. For the most part, rebuffs consist of cross-cultural misunderstandings and/or paralinguistic interferences and limitations. Nevertheless, many attitudes are perceived as rebuffs, and in the native non-native speaker relationship there is more probability that the consequences will be negative.

Speakers of different languages experience the world in a different way. Certain rules exist that regulate social encounters, and these vary in different cultures. According to Charles Curran, the foreign language student experiences great anxiety in the process of acquiring something which is at same time exciting and threatening to his ego. And as Wardhaugh states,

Lack of clarity in the relationships among form, intent, and context leads to ambiguity and possible misunderstanding. When, in addition, each party to a particular language transaction brings different assumptions about what others know and do not know, different views of events that are under discussion and different agendas about the purposes of the discussion itself, still further complications are likely to arise.¹

By teaching foreign language students about the target culture and people, and by preparing them to avoid perceiving certain attitudes and behaviors as rebuffs, or by preparing them to cope with such rebuffs if they

do occur, I believe that they will seek more contact native speakers of the language they are studying. The inter-cultural contact is beneficial not only to develop cultural empathy and avoid ethnocentrism but also to improve competence and performance of a student trying to learn a foreign language.

Method

A sample of people living in Ann Arbor in 1978 was selected to act as subjects this research project. Most of them were connected with The University of Michigan in some way. The purpose was to have Americans and Foreigners as samples of native and non-native speakers of English. Both sexes were represented, as well as several nationalities.

In order to test my hypothesis, two Survey Questionnaires were devised, one for Americans and the other for foreigners. Americans who could recall being rebuffed in a foreign country were also asked to answer the questionnaire for foreigners. It was decided that the questions would be left open, so that the subjects would feel free to answer whatever they wanted. They were not asked to identify themselves to avoid any kind of constraints.

The project consisted of studying and analysing the survey questionnaires, with the purpose of finding out and characterizing situations which are perceived as rebuffs by a non-native speaker, based on my sample of Americans and foreigners in the United States. The word *rebuff* was used to mean any attitude of indifference, impatience, or refusal, consciously expressed or unconsciously implied by a native speaker, thus affecting interaction. It does not imply that rebuffs occur only and/or mainly in the native non-native speaker relationship. It does not imply that it has only negative consequences.

For a matter of simplification, the subjects were classified as: *Rebuffers* (Americans who have rebuffed a non-native speaker of English); *Rebuffees* (Foreigners who have been rebuffed by a native speaker of English); *Non-Rebuffers* and *Non-Rebuffees*. Americans who have been rebuffed in a foreign country were classified as *Americans Abroad*, and are also referred to as rebuffees. The answers in the Survey Questionnaires were classified in major categories and converted into numerical representations. All percentage data was rounded in order to facilitate analysis.

Results and Discussion

The questionnaires of 64 subjects were analysed. There were 34 male and 30 female, whose ages ranged from 19 to 47. 39 subjects were in the twenties (61%), 19 in the thirties (30%), 05 in the forties (8%), and 1 was in the teens (1%). There were 34 Americans, 14 Brazilians, 3 German, 3 Korean, 3 Japanese, 2 Lebanese, 1 Indonesian, 1 Venezuelan, 1 Ecuadorian, 1 Uruguayan, and 1 Panamanian. The classification of subjects in relation to their sexes is summarized as follows:

TABLE 1

	<i>Foreigners (30)</i>		<i>Americans (34)</i>	
	Male (16)	Female (14)	Male (18)	Female (16)
Rebuffee	10-16%	11-79%	4-44%	5-56%
Non-Rebuffee	6-37%	3-21%	0	0
Rebuffer	0	0	11-61%	8-50%
Non-Rebuffer	0	0	7-39%	8-50%

It seems that women are more likely to feel rebuffed in a foreign country, although the difference between men and women is not great. If we think in terms of personality traits, the reason might be that women are more sensitive than men, thus having more tendency to feel rebuffed in a foreign country. It is interesting to notice, however, that, according to the above results, American women seem to be stronger than women of other nationalities. A more general comparison between male and female subjects shows that 41% of the male against 53% of the female felt rebuffed by a native speaker. On the other hand, a comparison between the male and female rebuffers shows quite the contrary. While 61% of the male subjects had rebuffed a non-native speaker of English, the female subjects were evenly divided in rebuffers and non-rebuffers. This result may also imply that men are perhaps less likely to succeed in the interaction with non-native speakers.

A closer analysis of the rebuff situations reveals another interesting difference between American and foreign subjects in relation to sex. The American rebuffers, as well as the American rebuffees abroad, reported that the rebuff situations they were involved in occurred on an even basis with the same and with different sexes. Nevertheless, with the foreign subjects, while 10% reported the rebuffs to have occurred with both sexes, 52% mentioned different sexes, and only 38% said they occurred with the same sex, as Table 2 shows.

TABLE 2

	<i>Sex in Rebuff Situations</i>			
	Foreigners (21)	Americans (21)	Americans abroad (9)	Total (49)
Same Sex	8-38%	9-47%	4-44%	21-43%
Different Sex	11-52%	9-47%	4-44%	24-49%
Both Sexes	2-10%	0	1-12%	3-6%
Missing data	0	1-6%	0	1-2%

One other variable which was analysed was the age of the persons involved in a rebuff situation. The results were as follows:

TABLE 3

	<i>Ages in Rebuffs</i>			
	Foreigners (21)	Americans (21)	Americans abroad (9)	Total
Same age	2-9%	1-5%	1-11%	4-8%
Rebuffer older	9-43%	12-64%	5-56%	26-53%
Rebuffer younger	6-29%	5-26%	1-11%	12-25%
Several ages	1-5%	0	0	1-2%
Missing data	3-14%	1-5%	2-22%	6-12%

According to the above results, the age difference is an important factor in rebuff situations, and a non-native speaker younger than the native interlocutor is more likely to feel rebuffed. One might conclude that one reason for the rebuff can be the foreigner's insecurity and lack of confidence when faced with an older native speaker. If such is the case, an awareness of this fact may give some insights to both the foreign language learner and teacher, as well as to native speakers, in that different approaches are necessary in the non-native speaker's interaction with and older native speaker.

The next variable to be considered is the educational level of rebuffer and rebuffee, which I had also predicted as a probable influential factor in a rebuff situation. As can be seen in Table 4 below, the rebuffs happened more often when the rebuffer had a higher or the same educational level. One interesting difference is that with the foreign subjects the rebuffs were equally frequent with rebuffers of the same and higher educational level, but more frequent with a rebuffer of lower educational level than with the Americans abroad. In the reports of the American rebuffers, on the contrary, the rebuffs rarely occurred with a rebuffee of higher educational level.

TABLE 4

	<i>Educational Level</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Same level	4-19%	8-42%	2-23%	14-29%
Rebuffer higher level	4-19%	8-42%	3-33%	15-29%
Rebuffer lower level	7-33%	1-5%	1-11%	9-18%
Missing data	6-29%	2-11%	3-33%	11-22%

Table 5 and 6 indicate, respectively, who initiated the conversation and who did most of the talking during the rebuff situation.

TABLE 5

	<i>Who initiated the conversation</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Rebuffer	4-19%	4-21%	2-22%	10-21%
Rebuffee	14-67%	7-37%	5-56%	26-53%
Both	2-10%	4-21%	0	6-12%
Missing data	1-4%	4-21%	2-22%	7-14%

TABLE 6

	<i>Who did most of the talking</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Rebuffer	13-62%	9-48%	3-34%	25-51%
Rebuffee	5-24%	1-5%	4-44%	10-21%
Both	2-9%	5-26%	1-11%	8-16%
Missing data	1-5%	4-21%	1-11%	6-12%

The fact that most of the time the rebuffee initiated the conversation but, except for the Americans abroad, it was the rebuffer who did most of the talking, might be an indication that the non-native speaker of English does not participate very actively in an interaction which can only be profitable to him. He might improve his listening-comprehension ability, but it might be difficult for him. He might improve his listening-comprehension ability, but his production in the target language will remain limited and probably deficient. Although there is no proven evidence, I contend that, in a rebuff situation, not even the non-native speaker's listening-comprehension skill will be improved. It is my impression that the moment a non-native speaker feels rebuffed, he will immediately switch to his native language internally and will tend to think about the native speaker's attitude and about the situation itself in his own language.

If this hypothesis is right, the rebuff will affect the non-native speaker's comprehension of the target language in that it will increase interference from the person's native language. In terms of cultural attitude, it may be

the case that the native speaker's intention was not to rebuff the non-native speaker at all, but only to help. Nevertheless, what could be seen as a simple misunderstanding takes greater dimensions and the situation will be perceived as a rebuff. The more the native speaker talks, the more he is likely to be misinterpreted by the non-native, who might seem stupid and hopeless to the native. The native speaker is likely to get more excited and talk much faster and louder, even unconsciously, and he might seem impatient and rude to the non-native speaker. An analysis of the importance and knowledge of the topic in the rebuff situation may be helpful to understand such implications.

TABLE 7

	<i>Importance to Topic of Subject</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Important	13-62%	9-47%	5-55%	27-55%
Not important	7-33%	6-32%	1-11%	14-29%
Missing data	1-5%	4-21%	3-34%	8-16%

TABLE 8

	<i>Knowledge of Topic in Question</i>							
	Foreigners (21)		Americans (19)		Americans abroad (9)		Total (49)	
	To(R)	To(r)	To(R)	To(r)	To(R)	To(r)	(R)	(r)
Yes	17	14	14	7	4	5	35-72%	26-53%
No	2	6	2	7	1	0	5-10%	13-27%
Missing data	2	1	3	5	4	4	9-18%	10-20%

NOTE: (R) = Rebuffer; (r) = rebuffee.

In the reports of both rebuffers and rebuffees, the topic was important to 55% of the subjects, as opposed to 29% who said it was not important, and 16% who did not answer the question. This result shows that, most of the time, both parties are well intentioned, i.e., it is important for both native and non-native speakers to succeed in the interaction. As we have already seen, it is usually the non-native speaker who initiates the conversation. The topic is usually known to both of them (72% of the time to the native speaker, and 53% of the time to the non-native). This shows that, at

least in most cases, neither rebuffer nor rebuffer had any intention of rebuffering or being rebuffered. Let us consider now the places where the rebufferings occurred, and the purposes of the conversations:

TABLE 9

	<i>Place of Rebuff</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Academic envir.	9-43%	12-63%	1-11%	22-45%
Non-academic envir.	11-52%	5-26%	7-78%	23-47%
Missing data	1-5%	2-11%	1-11%	4-8%

TABLE 10

	<i>Purpose of Conversation</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Social Interaction	2-10%	7-37%	2-22%	11-22%
Get Info. or help	15-71%	11-58%	5-56%	31-64%
Other	4-19%	0	2-22%	6-12%
Missing data	0	1-5%	0	1-2%

The results shown on Table 10 above are important when compared to the previous results. 64% of the time the purpose of the conversation was getting information or help, while 22% was social interaction, and the remaining was some other reason or the data was missing. Such results refer to the rebufferings, who are usually the ones to initiate the conversation. Due to the considerable importance for the non-native speaker to seek information or help from a native speaker who, most of the time (72%), is able to fulfill his needs, it seems quite obvious that rebufferings constitute a frustrating experience and may have a negative effect on the foreigner's success both with the target language and with the target culture and its people.

A careful study of the information given on the Survey Questionnaires, led me to the following conclusions as to what caused the situations described to be perceived as rebufferings:

TABLE 11

	<i>Causes of Rebuffs</i>			
	From (r)'s viewpoint		(R)'s viewpoint	
	Foreigners (21)	Americans abroad (9)	Americans (19)	Total (49)
(r)'s problem with TL	9-43%	2-22%	5-26%	16-33%
(r)'s unawareness of cultural difference	6-29%	2-22%	5-26%	13-27%
Both	4-19%	2-22%	6-32%	12-24%
Other reason	2-9%	3-34%	3-16%	8-16%

The subjects' reports on what could have avoided the rebuffer situation are summarized in Table 12, and a confrontation of the results obtained in Table 11 and 12 is rather revealing.

TABLE 12

	<i>What Could Avoid Rebuffs</i>			
	Foreigners (21)	Americans abroad (9)	Americans (19)	Total (49)
(r)'s better Knowl. TL	7-33%	4-44%	6-32%	17-35%
(r)'s better knowl. TCP	6-29%	3-34%	9-47%	18-37%
(R)'s better knowl. For.'s CP	0	2-22%	3-16%	5-10%
Other (pers., inter, etc.)	4-19%	0	0	4-8%
Missing data	4-19%	0	1-5%	5-10%

NOTE: (R) = rebuffer; (r) = rebuffered; TL = target language; TC = target culture; TCP = target culture and people.

A quick glance at Table 11 might lead one to conclude that the foreigner's lack of knowledge of the target language is the most frequent cause of rebufferings (33%). Nevertheless it should not be forgotten that 24% of the subjects pointed *both* rebuffer's problem with TL and unawareness of cultural differences as the cause, and in 27% of the cases the rebuffer's unawareness of cultural differences was responsible for the situation to be

perceived as a rebuff. The results shown in Table 11 and 12 reveal that, although rebuffs on the part of native speakers may affect a foreigner's motivation and confidence to practice the target language and interact with a native speaker, the situation is not hopeless. Even though my sample is a limited one, the results of my survey support my hypothesis vis-à-vis my suggestion that the discussion of cross-cultural encounters and misunderstandings between native and non-native speakers be emphasized in the ESL/EFL classroom.

The following table indicates the rebuffee's knowledge of the target language when the rebuff situation occurred, and it is interesting to notice that in most cases the knowledge was fair:

TABLE 13

	<i>Rebuffee's Knowledge of TL upon Rebuff</i>			
	Foreigners (21)	Americans (19)	Americans abroad (9)	Total (49)
Very good	3-14%	7-37%	1-11%	11-22%
Fair	9-43%	6-31%	5-55%	20-41%
Poor	8-38%	6-32%	1-11%	15-31%
Missing data	1-5%	0	2-23%	3-6%

When referring to their motivation and desire to learn the target language, most of the foreigners showed a high interest, and their motivation was usually related to the practical importance and usefulness of knowing the language. Nevertheless, other personal interest were also mentioned, such as willingness to communicate with native speaker, to have access to the target literature, and to understand and learn more about the target society and its people. The results are illustrated on Table 14 below:

TABLE 14

	<i>Motivation to Learn TL</i>			
	Foreigners (30)		Americans abroad (9)	Total (49)
	Rebuffee (21)	Non-rebuffee (9)	(r)	
Academic or professional	5-24%	1-11%	1-11%	7-17%
Other personal interests	6-28%	3-34%	2-22%	11-28%
Both	10-48%	5-55%	0	15-38%
Missing data	0	0	6-27%	6-15%

It is interesting to notice that most of the Americans abroad did not even answer this question. The reason might be that, because their native language is so widely spoken, Americans do not feel challenged and motivated enough to learn a foreign language. This seems to me a somewhat negative attitude, because it is likely to increase ethnocentrism, which creates cross-cultural barriers and conflicts.

All foreigners, regardless of involvement in a rebuff situation, were asked to grade their knowledge of the target language and culture before their arrival in the target country. The American rebuffers were also asked to grade their knowledge of their interlocutor's culture and/or native language. The American rebuffees abroad only mentioned their previous knowledge of the target culture. Table 15 through 17 indicate these results:

TABLE 15

	<i>For's Knowledge of TL prior to Arrival in T Coun.</i>					
	Academic knowledge			Conversation knowledge		
	(r) = 21	(non-r) = 9	Total (30)	(r) = 21	(non-r) = 21	Total (30)
High	10-48%	6-67%	16-54%	1-5%	2-22%	3-10%
Medium	6-28%	1-11%	7-23%	7-33%	4-44%	11-37%
Low	5-24%	2-22%	7-23%	13-62%	3-34%	16-53%

TABLE 16

	<i>Knowledge of Target Culture prior to Arrival Target Country</i>			
	Foreigners (30)		Americans abroad (9)	Total (39)
	Rebuffees (21)	Non-rebuffees (9)	Rebuffees	
High	6-29%	4-45%	0	10-26%
Medium	8-38%	1-11%	1-11%	10-26%
Low	6-29%	2-22%	5-56%	13-33%
Missing data	1-4%	2-22%	3-33%	6-15%

TABLE 17

	<i>American Rebuffers' Knowledge of Foreigners (r)'s Culture Native Language</i>	
	Knowledge of culture	Native language
High	5-26%	4-21%
Medium	0	2-10%
Low	10-53%	2-10%
None	3-16%	10-53%
Missing data	1-5%	1-6%

The results above once more come to support the contention that there must be something wrong with our foreign language classes. More emphasis needs to be given to listening-comprehension and speaking, especially for students who will have a chance to visit the target country and interact with native speakers of the target language. Moreover, an awareness of cultural differences may be the most relevant factor to prevent certain cross-cultural misunderstandings from being perceived as rebufs. Concerning some possible misinterpretation of the above results, it should be pointed out that sometimes a person thinks he has a good knowledge of another culture when his knowledge is actually rather superficial and many times stereotyped. Such viewpoint might, indeed, be more likely to cause cross-cultural conflicts than a realistic acceptance of one's lack of knowledge in this matter. An analysis of the attitudes of my subjects showed that many aspects have been neglected or many have been taken for granted in most ESL/EFL classrooms. Tables 18 and 19 below represent the attitudes of the foreign subjects, whereas Tables 20, 21 and 22 show the attitude of the American subjects.

TABLE 18

	<i>Attitudes of Foreign Rebuffees (21)</i>			
	Foreign languages	English languages	American culture	American people
Highly favorable	9-43%	4-19%	0	0
Favorable	8-38%	8-38%	4-19%	6-29%
Favorable with restrictions	2-9%	8-38%	9-43%	7-33%
Unfavorable	1-5%	0	4-19%	6-29%
Missing data	1-5%	1-5%	4-19%	2-9%

TABLE 19

	<i>Attitudes of Foreign Non-Rebuffees (9)</i>			
	Foreign languages	English language	American culture	American people
Highly favorable	6-67%	4-45%	1-11%	2-23%
Favorable	3-33%	3-33%	2-22%	3-33%
Favorable with restrictions	0	1-11%	5-56%	3-33%
Unfavorable	0	1-11%	1-11%	1-11%

TABLE 20

	<i>Attitudes of American Rebuffers (19)</i>			
	For. in general	For. in USA	For. culture-A	For. language-A
Highly favorable	5-26%	5-26%	6-32%	3-16%
Favorable	7-37%	7-37%	6-32%	12-63%
Favorable with restrictions	3-16%	3-16%	6-31%	1-5%
Unfavorable	0	1-5%	1-5%	1-5%
Neutral	3-16%	3-16%	0	2-11%
Missing data	1-5%	0	0	0

TABLE 21

	<i>Attitudes of American Non-Rebuffers (16)</i>			
	For. in general	For. in USA	For. culture-A	For. language-A
Highly favorable	3-19%	1-6%	4-25%	5-31%
Favorable	6-38%	9-56%	6-38%	3-19%
Favorable with restriction	0	2-12%	4-25%	3-19%
Neutral	5-31%	2-13%	0	0
Missing data	2-12%	2-13%	2-12%	5-31%

TABLE 22

	<i>Attitudes of American Rebuffers Abroad (9)</i>			
	Foreign languages	Target languages	Target culture	The Native speakers
Highly favorable	1-33%	2-67%	0	0-
Favorable	1-33%	0	1-33%	2-67%
Favorable with restrictions	0	0	1-33%	0
Unfavorable	1-34%	1-33%	1-34%	1-33%

NOTE: Only 3 of these subjects mentioned their attitudes, which are represented above.

One interesting aspect of the results shown in the above tables is that, while most foreigners had a positive attitude towards foreign languages in general and towards English, which is their target language, still most of them are in the category "Favorable with Restrictions" concerning their attitudes towards American culture and customs, and towards American people. Most American subjects, on the other hand, showed a positive attitude towards foreigners in general, foreigners in the United States, a foreign culture, and a foreign language. The results of the attitudes of Americans Rebuffers Abroad were also mostly positive, although the data is not very strong because most of them did not state their attitudes. Another interesting aspect is the category "Neutral", which was introduced in Tables 20 and 21 to replace the category "Unfavorable" in the other tables.

Many of the observation made both by foreigners and by Americans concerning their attitudes are, indeed, misconceptions and stereotyped images, for the most part. It is beyond the scope of this paper to try to summarize them, but they do reveal the necessity of a better rapport between native and non-native speakers of American English. A realistic awareness of cultural differences can facilitate interaction between them. Each culture has its own value systems, customs, and behaviors, which do not necessarily mean that one is better or worse than the other. The development of a non-judgemental attitude can only prove beneficial. First, for improvement in the acquisition of the foreign language, by means of encouraging contacts between native and non-native speakers. It is widely known that contact with native speakers is mostly effective for foreign language learning. Secondly, the non-judgemental attitude may also encourage cross-cultural encounters, which are also beneficial. Both native speakers and foreigners should be considered as cultural representatives, as people sharing a different heritage and world view, as offering alternative ideas, habits, and perspectives which may challenge one's own perception and attitude toward the world in a positive and enlightening way.

CONCLUSIONS

Based on the study of the Survey Questionnaires answered by a sample of 64 native and non-native speakers of English, I came to the following conclusion:

1. Rebuffs do occur, or at least many attitudes are perceived as rebuffs in the native/non-native speaker relationship;
2. The most common causes of rebuffs are rebuffee's limitations in performance (production) in the foreign language, and unawareness of cultural differences (lack of knowledge of target customs, behavior and value systems);
3. There is a good chance that rebuffs, misunderstanding, and related problems can be avoided and/or coped with if:
 - a) the foreigner knows more about the target culture;
 - b) the foreigner has a good knowledge of the target language, mainly listening-comprehension and speaking skills;
 - c) both native and non-native speakers have an open-minded attitude and seek more interaction with each other.

Considering that:

1. Motivation and confidence are necessary and important for speaking and using a foreign language with native speakers;
2. Interaction with native speakers is most effective for foreign language acquisition and improvement;
3. Rebuffs on the part of native speakers are likely to affect a foreigner's performance in the target language and relationship with native speakers.

I conclude that foreigners should be more prepared for interaction with native speakers, especially when they have access to the target community, and propose that training of foreign language students should include ways to avoid and cope with rebuffs, misunderstandings, and related problems. I also propose that greater emphasis be given to the teaching of realistic cultural aspects of the target country and its people's behavior, customs, and value systems.

CAVEATS

Although I had previously intended to investigate how misunderstandings which are often perceived as rebuffs affect the acquisition of a foreign language, I do not have enough data or evidence to support such premise. Further research needs to be done with more objective investi-

gation to measure the degree to which rebuffs affect foreign language acquisition. One prediction that can be made based on the findings of my research is that rebuffees may feel discouraged to search contact with native speakers, thus feeling somewhat rejected and tending to be more in contact with people from their own cultural and native language background. This is undoubtedly harmful to the acquisition and improvement in the performance of the foreign language as it also prevents people from profiting from the cross-cultural experience.

Further research also needs to be done before any conclusion can be made concerning the age and educational level variables. One shortcoming of my questionnaires should be considered. Unfortunately, the questions were not all clearly written, since I did not ask the ages or the educational level of rebuffer and rebuffee when the rebuff situation occurred. It is very likely that the subjects gave their present age and educational level but probably referred to the interlocutor's age and educational level when the rebuff happened.

The fact that the questions were left as open as possible turned out to be a problem during the analysis of the questionnaires. Some of them appeared ambiguous, and there were some misunderstandings which resulted either in missing data or in a repetition of information previously given. The biggest problem was to try to find a limited number of categories for each question and to fit the subject's answers (often subjective) into these categories. It would undoubtedly have been much easier if the questionnaires had been objective. My justification, however, is that before analysing the answers I did not have evidence to establish such categories in terms of prediction. A replication of the experiment could also benefit from my findings and an objective questionnaire could be devised based on the data collected.

This research also stimulates speculation about applications for the ESL/EFL classroom. I suggest the following activities as possible effective ways to introduce the foreign language student to the target culture, as well as to give more emphasis to listening-comprehension and speaking practice:

1. "Simulations" of rebuff situations through role play that would help students "feel" the customs, values, and behavioral patterns of the target people;
2. Oral discussion of the students' impressions of the target country and its people by an exploration of their basis in fact. Depict the aspects that seem most unusual or most difficult to understand and adjust to, as compared to the students' own culture and customs;
3. Oral and written composition exercises based on discussions of cultural differences (to be done inside or outside the class);
4. Presentations of videotapes with stereotyped situations and encounters to be discussed and analysed in class;
5. Real tasks such as interviewing native speakers and going to places where they can practice the target language in real situations, thus having more contact with native speakers;

6. Talk about interpersonal relations, family patterns, concept of time and territory, manners and attitudes towards individualism, egalitarianism, competition, and emotional expressiveness;
7. Teach them certain basic verbal cues and strategies such as key words and expressions, verbal routines, idioms, and other language devices used by native speakers in colloquial conversation;
8. Discuss certain characteristics of native speakers' non-verbal behavioral patterns, such as gestures, eye contact, physical distance, posture, silence and body language, etc.. All these reflect the participants' feelings about what is going on during a conversation.

Some foreigners who have a fair knowledge of the target language find problems with native speakers because of their intelligibility when speaking the language. Many listeners hardly make any effort to try to understand the foreigner, but a change of attitude cannot be imposed on the listener. The foreign language teacher can provide his students with monitoring skills that will help them improve their pronunciation. A discussion of language learning problems may also help. As to the application of the above mentioned activities it should be kept in mind and explained to the students that the objective is not to impose different beliefs and customs in anyone, but rather to make students *aware* of the values and practices of the people they are studying the language of, so that interaction with native speakers becomes more motivating and frequent.

Nota

1. Ronald Wardhaugh, *The Context of Languages* (Rowley, Mass.: Newbury House Publishers, 1976), p. 98.

Universidade Federal de Minas Gerais
Belo Horizonte, MG

One hundred years after his birth and sixty years after the publication of *Ulysses*, James Joyce remains a surprisingly polemical figure.¹ While the enormity of his achievement is no longer in doubt, there is little consensus on its precise nature, still less as to whether it is a Good Thing; and while his work can now clearly be seen as a summa of European Culture-in-Progress, a monument to several centuries of narrative development, it is less clear what its impact has been on other writers and literatures since it was published. To repeat Robert Adams' concluding phrase from the introduction of *Afterjoyce*: "Joyce lives; and after thirty-five years, the time is perhaps ripe for a preliminary statement that will try to answer two plain questions: Where? and How?"² Any one attempting to write on Joyce and "English"—rather than, say, North American—literature since 1922, would, as is well known, be embarking on a critical odyssey full of dangers, not least that of returning to his point of departure considerably older but little wiser than when he set out. Few works ought to have transformed the literary world as much as *Ulysses* or *Finnegans Wake*; but rarely has the nature and extent of an influence been more keenly, even bitterly, disputed. The Spanish American case is eloquent in this regard.³

It must be acknowledged at once, then, that it is impossible to separate Joyce from his century. The world has seemed "Joycean" ever since *Ulysses* appeared. Indeed, as Richard Ellmann has said, "Joyce is now read all over the world, and influences even those who have never heard of him".⁴ As regards Latin American authors, this raises particularly complex questions of the distribution of direct and indirect "influences", of mere parallelisms, or of the use of the Irish novelist simply as a privileged point of reference: there are many Latin Americas coexisting within many historical timescales. To compound the problem, Joyce's name is almost invariably bracketed with those of other "Modernists":

* See *Estudios Anglo-Americanos* N.ºs 5-6 (1981-82): 48.

Kafka, Proust, V. Woolf and two North American narrators whose direct influence on Latin America is at first sight even more substantial than his own, namely and particularly William Faulkner, especially with regard to "rural" fiction, and John Dos Passos, especially in the "urban" sphere.⁵ Although there is no Faulkner without Joyce, and always remembering that Faulkner learned from the Joyce who had written *Ulysses* and not from the one who went on to write the *Wake*, it seems clear that, paradoxically, Faulkner and his compatriot were the more accessible influences in the Latin America of the thirties, forties and fifties, whilst Joyce, whose "magic wand of language" (Miguel Angel Asturias), "complex beauty" (Alejo Carpentier), and "total reality" (Jorge Luis Borges) had mesmerised not a few budding young writers in the twenties,⁶ would finally exercise his full impact only in the sixties and seventies. This is not really so surprising: it is my view that what Faulkner and, to a lesser extent, Dos Passos actually permitted was the renovation and restructuring of the Latin American social novel of the twenties through the next thirty years,⁸ whereas, despite the bedazzlement he inspired in a generation of young Americans in Paris, Joyce's impact on most authors—if not, arguably, on the most important of them—remained largely fragmentary or superficial except in poetry—this too is ironic in view of Joyce's own rather conventional approach to poetry—and was only finally assimilable in the 1960s, the age, indeed, of Latin American Modernism proper in the shape of the "boom" novel. At the time of *Ulysses*, by contrast, Spanish American fiction was only just emerging from the 19th century to cast off the elegant cloak of "Modernismo", Dario's parnassian-symbolist movement, in favour of a social realist narrative mode.

The European, North American and Latin American literatures remain trapped in the continuing debate about "Modernism" and "realism". Current flirtations with Derridean "deconstruction", whilst concealing or dissolving a number of problems, serve in practice to compound the fact that there has not yet been a true theoretical disentanglement of the varying perspectives of philological-historical, marxist, psychoanalytical and structuralist modes of literary study. With regard to the specific question of Latin American literature, the territory itself is far more varied and uneven, and the cartography is, for the moment, still less exact.⁹ For these reasons alone, the limitations of the present survey will be obvious, though its objectives are necessarily ambitious: first, to recapitulate briefly on Joyce's contribution to world literature for the specific purposes of this outline history: second, to examine, also in summary form, the conditions for his assimilation by Latin American writing as a whole; third, to trace the main directions of the actual history of that assimilation in the sub-continent and to highlight the most interesting and important cases of influence or parallelism.

Joyce's legacy, from *Ulysses*, may be synthesised as follows:

1) the structural incorporation of *myth*—public or private—into the novel, to an extent previously unimagined, this following a long century of classical and folkloric studies in Europe, and of anthropological studies

both in Europe and the United States. Joyce's own point of departure was a synthesis of classical, catholic and native Irish materials, and obvious parallels can be drawn with Latin American writers like Asturias, Carpentier, Yáñez and Guimarães Rosa.

2) the exploration of *language* through and in fiction, to a degree unparalleled in any previous novelist, though with the similarly structured and self-conscious antecedents of Rabelais, Sterne and Carroll, and the discoveries of poetic symbolism. The result has rarely been more succinctly conveyed than in the following synthesis by the Brazilian poet-critic Haroldo de Campos: "The 'verbi-visual' elements of Joyce's prose—the 'montage' or 'portmanteau' word considered as a unit built up of mosaics or as a basic textual node ('silvymoonlake', 'platealunalago', for example)—were emphasised from the very beginning of our Concrete Poetry movement. The Joycean 'micro-macrocosm', which reaches its peak in *Finnegans Wake*, is another fundamental feature. Joyce's implacable poem-novel is also, in its own way, a triumph of structure, one in which the counterpoint is the *moto perpetuo*. It achieves the status of ideogram through its superimposition of words—genuine lexical montages—and its general infrastructure is 'a circular design, each of whose parts is beginning, middle and end' (Campbell and Robinson)".¹⁰ A particular aspect of Joyce's approach is an orientation towards linguistic humour, parody and satire.¹¹ Asturias was an early exponent of this vein in his avantgarde dictator novel *El señor Presidente* (completed 1933, published 1946), followed by Marechal, Cortázar and Lezama Lima, and later by others like the Mexican new-wave novelist of the sixties in the age of pop culture and the mass media.

3) the exploration of the nature and experience of *consciousness* in narrative fiction,¹² following the examples of Flaubert, James and other exponents of the "well wrought" psychological novel, at a time when Freud's theories were affecting all artistic genres and in particular surrealism, whose own impact on Latin American literature was also very strong; and, concurrent with this, an exploration of the relation of consciousness to time (the theories of Bergson), and of history to myth (the discoveries of ethnology). For many Latin American novelists and critics in the 1930s and after, Joyce's supreme legacy was the stream of consciousness and the "monólogo interior". It is here that his example merges early with that of its mediator, Faulkner, to affect writers as different as Marechal, Asturias, Onetti, Yáñez, Rulfo, Fuentes and Vargas Llosa. In the 1960s the anti-psychologistic "exterior monologue" of *Finnegans Wake* would allow yet another vogue in Latin American fiction.

4) Uniting all the foregoing is the search for *totality*—Borges perceived this aspect of Joyce's achievement as early as 1925—for the vast all-embracing cosmogonic-scriptural creation, on the model of Dante's *Inferno*, Rabelais' *Gargantua and Pantagruel*, or Cervantes' *Don Quixote*, works for which there had been no equivalents in the profane post-renaissance bourgeois period (merely 'big' books like *War and Peace* being a quite different case);¹³ but also, tied in with this, we have the ancestral European mythology of the road, individual destiny, the quest for

identity (not to mention the appropriation of the identities of others...), associated above all with the *Odyssey*, but also, in terms of the search for self-realisation, with Christ's trajectory and Dante's reenactment of it, and, in the Hispano-European ambit, with the novels of chivalry, *Don Quixote* (again) and the conquest of Latin America itself.¹⁴ In that continent, whose dependent status gives such quests for identity a peculiarly anguished edge, Marechal's *Adán Buenosayres* (1948), Asturias' *Hombres de maíz* (1949), Cortázar's *Rayuela* (1963), Lezama Lima's *Paradiso* (1966), García Márquez' *Cien años de soledad* (1967) and Fuentes' *Terra nostra* (1975), would all be good examples of the genre.

Journeys along a road almost always end in a town, as Benjamin has shown, and *Ulysses*, secretly a tale of two or many cities—Dublin viewed from a composite of European capitals—exploits to the full the tension between the road ("freedom"?) and *the city* as "home" or, as is more common in Hispanic literature, as prison. Whenever European man set off on his voyages of exploration into "Otherness", he would depart from and return to his own capital city; but by the end of the first world war he was only too aware that such adventures were all but over even for heroes, while for lesser mortals—the new "anti-heroes" of fiction—the city's claustrophobic aspects as a grid or screen for consciousness were uppermost in the mind.¹⁵ More yet than Dos Passos, Joyce's genius made his reproduction of everyday life in the big city—even diminutive Dublin—an existential and linguistic adventure of inexhaustible textual fertility, even if the underlying message, as in the case of the Spanish baroque before it, was one of grim sterility and decay: hence the need for a "collideorscape". *El señor Presidente*, *Adán Buenosayres*, *La región más transparente* (Carlos Fuentes, 1958), *Rayuela* (Julio Cortázar, 1963), *Tres tristes tigres* (Guillermo Cabrera Infante, 1963) and others continue this line of writing in the American sub-continent.

6) The search of the European petit-bourgeois consciousness for the Other involved the return of Art to the roots of *popular culture* and tradition by the 1920s. Joyce's obsessive quest for totality immersed him in an affectionate journey, despite himself, into his own cultural underworld,¹⁶ one which would find its full fruition in *Finnegans Wake*, though *Ulysses* itself was already heavily imprinted by popular poetry and song, music hall and silent cinema, advertising and the babloid press, those diverse Signs-of-the-Time.¹⁷ The other "Other" is the female; and here the Nora-Molly-AnnaLivia chain is reiterated in innumerable mythical female figures in the works of Asturias (especially *Hombres de maíz*), Carpentier (*Los pasos perdidos*, 1953), Rulfo (*Pedro Páramo*, 1955), Roa Bastos (*Hijo de hombre*, 1959), Cortázar (*Rayuela*), García Márquez (*Cien años de soledad*), Fuentes (*La región más transparente*), Vargas Llosa (*La Casa Verde*, 1966), and many others. All are descendants of Cervantes, needless to say, but Joyce's remarkable oscillation between a view of the female as Musa-Musica or as Mater-Materia, deriving from his Irish catholic-agrarian heritage (Ireland the passive sufferer of British domination), is one that has been emulated repeatedly in Latin America up to the present, for reasons that are self-evident.

7) Seventh of Joyce's deadly virtues is the incomparable synthesis of craftsmanship and artistry, professionalism and dedication, which itself stems from the paradoxical interpenetration of his twin inspirations—symbolism and realism—and his consequent determination to recreate the whole and all the parts of the real world through a perfectionist aesthetic technique.¹⁸ The supreme antecedent here is Flaubert's example of the purist approach to impure material. In terms of a general attitude to literary creation, Borges learned from this devotion in his brief "fictions", as he did from Valéry also;¹⁹ in terms of full-scale results, Carpentier, Asturias, Rulfo, Cortázar, Vargas Llosa and Fuentes are all examples of writers who have gone to remarkable lengths to make the realist-naturalist novel an art form.

If *Ulysses* demanded criticism in order to be read at all, *Finnegans Wake* defied it, indeed defied all criticism, so to speak. Here, surely, was the end of literature as we knew it—Heaven's saidly dins?—or, at least, the end of literature that was separable from critical discourse.²⁰ (Borges said in 1939 that the *Wake* was "like a sentence from *Urn Burial*, arduously achieved across a century or a dream").²¹ *Finnegans Wake* has still not been translated into either Spanish or Portuguese, although in the early 1960s—the timing is significant—Salvador Elizondo in Mexico,²² and the de Campos brothers in Brazil made pathbreaking experimental translations of small fragments of this literally and literarily untranslatable novel, thereby allowing Latin Americans to read as much of the text as most English-speaking readers.²³ (Others who have tried their hand at snatches of the novel are Mario Monteforte Toledo, of Guatemala, and Borges himself.) *Finnegans Wake* remains the point beyond which our lettered civilisation cannot go: a number of Latin American writers have followed, on a smaller scale the Joycean trajectory from *Dubliners* to *Finnegans Wake*, that is, crudely, from social realism to the cryptographic novel with Asturias, Fuentes and Roa Bastos perhaps the best examples, while Juan Goytisolo offers a Spanish paradigm.

Translation, of course, is one of the principal factors militating against Joyce's assimilation by the Spanish and Portuguese-speaking worlds. Borges, proudly proclaiming himself "the first Hispanic explorer to have ventured into Joyce's novel", translated the famous last page in 1925,²⁴ and that same page remains the only extract read by many educated Latin Americans down to the present day, quoted only slightly less frequently than the "Buck Mulligan, majestuoso y rollizo" of the first page.²⁵ One can guess that *Finnegans Wake* will never be translated, although the writer Julián Ríos is trying to provide a Spanish equivalent with his novel *Larva*.²⁶ The other works have all appeared in Spanish, however: no less a figure than Dámaso Alonso translated *The Portrait of the Artist as a Young Man* into Spanish in 1925, and more recently the brilliant novelist Cabrera Infante rendered *Dubliners* into "Cuban". Most of the works have appeared in more than one version, and all have been controversial,²⁷ but none more so than Salas Subirat's notorious 1945 translation of *Ulysses*, which, despite savage—and not

always well founded—criticism, provided the basic means of access to Joyce's legendary novel for a generation of Latin American writers learning their craft after 1945 (there was no question of being Joycean in Spain at that time), the period in which the "nueva novela" was in its infancy, gestation having taken place from 1915 to 1945.

At the same time we remember that Joyce himself was multi-lingual, and there is little doubt that the most effectively Joycean writers from Latin America have been those versed in different European languages, notably English and French. *Ulysses* was first published in France—Joyce's unwelcomeness and notoriety in England and the United States only increased his attraction for the European avantgarde—, was presented to the cosmopolitan Parisian milieu by Valéry Larbaud, and translated into French in 1927 by the same Larbaud and a team of translator disciples.²⁸ (Faulkner, also, was admired earlier and more widely in France than in his own country.) Although a Borges could read it in the original English, Carpentier, Asturias and others like the Venezuelan Uslar Pietri made their fragmentary readings of the novel through the medium of Larbaud's translation, which would have given them an insight into the structure and the scale of the work, if not a full sense of its true texture.²⁹ In short, although the linguistic-pyrotechnical aspect of *Ulysses* was what most forcibly struck young Spanish American writers in the 1920s, the most outstanding of them were unprepared even in a technical, still less a cultural sense, to be fully "influenced". How could a native Latin American imitate *that* in 1922? Moreover, *Ulysses* had clearly not been written in a day, and most of them were spinning from one experiment to another, playing with language, certainly, but far from in a position to apply their discoveries to vast allegorical tableaux of their own countries or continent. There were "isms" enough to disorientate even the most lucid and talented of writers, and surrealism in particular, as has been noted, offered a favourably "primitivist" model which in many writers—Asturias, Carpentier, Uslar Pietri, Mário de Andrade, and later Cortázar and Fuentes—would fuse with the example of Joyce in the linguistically and mythologically baroque or "magical realist" new novel of the post-1945 era. That Joyce was noticed, then, is not in doubt. He dazzled. But James Joyce had been a long time coming, and it would be some years before convincing imitations could be elaborated. Quite apart from the self-evident problems of uneven development³⁰—cultural historians frequently assert that Latin America did not fully enter the 20th century until after 1930—, some of the explanation for the delay derives from the fact that in the 1920s all educated Latin Americans automatically spoke and read French, whereas from the 1940s onwards, English—in any case a much more "playful" vehicle than French—became the required first foreign language, and partly for this reason among others, North American and English literature became the natural alternative for the first time, eventually producing the phenomenon of writers like Carlos Fuentes or Guillermo Cabrera Infante, men with a supreme command of the imperialist tongue. Additionally, whereas in the 1920s every Latin American artist and intellectual who was able, went to take up residence in Paris, and barely any to

Britain or the United States, by the 1960s and 1970s Paris had to share precedence with New York, London (while it briefly "swang"), and even Havana or Mexico City.

Translation, then, and its timing, has been a factor in the assimilation of Joyce; and the development of English language competence has been another. Further elements are:

a) Cosmopolitanism: the Paris link in the 1920s is fundamental as the vantage point from which the European avantgarde chose to view the explosive and contradictory impact of, on the one hand, the revolutionary experience in Russia, and, on the other, the implantation of the "American way of life". Europeans, North Americans, Africans and Asians intermingled in the French capital in the post-war period, just as the mass media and communications generally began to proliferate. Intellectuals "escaped" from their own stifling provincialisms into Parisian multiplicity, and then restored unity at the level of a "Ulyssean" textual consciousness which was in reality the material product of travel; Everyman had become tourist.

b) Exile: which is the other side of cosmopolitanism, nostalgia in place of excitement. Joyce would not have written *Ulysses* had he remained in Dublin, and his central character might not have been a Jew. He was already, as an Irishman, peripheral to a major culture zone, an experience which has been shared by innumerable Latin American writers.

c) Catholicism: the essential ambiguity of Joyce's relations with his native religion has been duplicated in a number of Latin American writers — Carpentier, Asturias, M. de Andrade, Jorge Amado, Yáñez, Marechal, Rulfo, Guimarães Rosa —, with the variant that many of them emphasise the play between native American tradition and classicism more than Joyce does between classicism and native Irish tradition.³¹ Concomitant with this perspective is an attitude to sexual matters — desire and its repression — similar to that displayed in Joyce's own works, with a corresponding freedom, verging at any given moment on the "scandalous" or the "blasphemous", of sexual subject matter and language.³²

d) Language, national and regional: not only was Joyce culturally dependent on the imperial British state, but he wrote in a tongue that was not self-evidently appropriate to his needs, at least if he wished to be a nationalist, and to which there was in fact an alternative in the shape of Gaelic. Instead he used English. The case applies to all novelists from Latin America, and with particular force to writers such as the Peruvian José María Arguedas or the Paraguayan Augusto Roa Bastos, both of whom were bilingual but decided that they had no choice, as would-be narrators, but to use the language of their oppressors.

None of the above factors apply in the same way to Faulkner, and a detailed examination of them would therefore allow one means of distinguishing the relative influence of the two writers. As has been seen, Joyce's material influence on the Latin American novel began early; but "Joyce" was not at all what the Latin American novel was looking for in

the 1920s. What he did give young writers immediately, however, was the most remarkable among many examples of linguistic exploration and, above all, the confidence to experiment with words in the era of the *jitan-jáfora*. The influence was accordingly more accessible in poetry or, indeed, in prose poems, than in full-scale narrative. The American critic J. Brushwood has suggested that young writers of the time like Owen, Novo, Torres, Bodet, Icaza and Villaurrutia, "were poets by nature, and it well may be that their poetic intuition allowed them to sense the possibilities of this new type of narrative without necessarily giving them the preparation required for writing longer works. Their novels did use the narrative techniques learned from Joyce and Proust, techniques which it is sometimes thought were introduced into Mexican narrative at a much later date".³³ Another poet who used Joyce as a springboard for his own experimentation was the Chilean "creationist", Vicente Huidobro, as Haroldo de Campos has shown: "The impact of *Finnegans Wake* in Spanish-speaking countries has been sporadic rather than systematic. There is one precursor we might mention, however: the Chilean poet, Vicente Huidobro, whose long poem *Altazor* (begun in 1919 and finished in 1931) includes, in Canto IV, a fragment of great verbal imagination and power which anticipates the influence of Joyce. This fragment, in the French version by Huidobro himself, appeared for the first time in 1930 in the magazine *transition*, the same magazine in which Joyce's "Work in Progress" had been appearing since 1927. Let us examine, for example, Huidobro's crisscrossing of words: *l'horitagne de la montazon*, instead of *l'horizon de la montagne*, or *mandodelle* (*mandoline* + *hirondelle*), *lunaile* (*lune* + *aile*); or, in Spanish, *El horitaña de la montazonte, violondrina, lunala*".³⁴

Joyce was in Paris by 1920, and so were many young Latin American writers and intellectuals. At a moment when the pre-war "Modernista" movement, already fading in the last years of the *belle époque*, was giving way to the avantgard of the *années folles*, these young writers who had made the pilgrimage to Paris, aided by the plunge of the franc, began to found and participate in a succession of new and exciting magazines with futuristic titles — *Proa* ("Prow": in his 1925 review in that same magazine, Borges said that Joyce himself was "audacious as a prow") in Buenos Aires, *Revista de Avance* in Havana, *Contemporáneos* in Mexico, *Imán* ("Magnet") in Paris itself — in all of which the name of Joyce would appear, usually as a rather distant, almost legendary figure. One magazine, *Ulysses* (Mexico, 1926-1928), was actually named in honour of his achievement.³⁵

Pride of place in all this must go to Borges, who saw in *Ulysses* a "wild and entangled land" into which only the foolhardy would venture.³⁶ (Joyce's work of course made almost everyone feel and look foolish, as well as anachronistic, and Latin Americans noted this humiliation of his fellow Europeans with some satisfaction.) Borges' lifelong debate with the Joycean oeuvre is worth a study in its own right. At first sight two more different writers would be difficult to find, and Borges' initial enthusiasm was soon renounced, just as he would in due course also renounce his own

avantgarde moment — ultraismo —, his localist *Fervor de Buenos Aires*, his “too vulgar” story “el hombre de la esquina rosada”, all plots involving social or psychological realism (mere “specularity”), all wilful obscurity and baroqueries. He would come to describe *Ulysses* itself as “a failure”, a work of microscopic naturalism with, paradoxically, “no real characters”.³⁷ Yet whenever Borges wishes to explore the nature of literary language, he turns to Joyce’s example, just as he does when he wishes to discuss translation, literary purity, artistic devotion, or totality. Moreover, Borges, one of the writers who made possible the concept of “intertextuality”, frequently names Joyce as a key innovator in this regard (“For classical minds the literature is the essential thing, not the individuals. George Moore and James Joyce have incorporated in their works the pages and sentences of others”).³⁸ In later life Borges’ own blindness seemed to reconcile him to Joyce, as to Homer and Milton, and the poem “Invocation to Joyce” is an unqualified homage to the Irishman’s achievements: “What care I for my lost generation, / poor dim mirror, / if you books can make it good. / I am the others. I am all those / rescued by your stubborn rigour. / I am those you know not whom you have saved.”³⁹

In his review article in *Proa* in 1925, Borges had acknowledged the role of Valéry Larbaud in publicising Joyce’s formidable new novel. Larbaud’s relations with Latin American writers like Ricardo Güiraldes and Alfonso Reyes are well known, and he and his disciples, together with other figures of the day like Adrienne Monnier, acted as a medium between French, Latin American and Anglo-Saxon writers at this time. Another member of the “ABC of 20th-century Spanish American fiction” (Asturias, Borges, Carpentier), the Cuban Alejo Carpentier, always alive to the movement and contours of cultural history, was quick to perceive the true stature of the Irish exile, placing him in 1931 in a trio with Stravinsky and Picasso as one of the great artistic revolutionaries of the age, the man who had transformed not only the direction in which the novel would develop but the language in which it would be written. The post-Joycean era, declared the young Cuban, had arrived.⁴⁰ Later Carpentier, whose first experimental work, *Ecue-Yamba-O*, was written between 1929 and 1933, and whose *Los pasos perdidos* (1953) has been dubbed, perhaps unconvincingly, “Joycean”, would demand in a famous essay that Latin American writers emulate Joyce’s achievement in defining the physiognomy of their own great cities.⁴¹

Joyce in the 1920s provoked precisely the same feelings of admiration and intimidation in young North American writers, notably Hemingway and Scott Fitzgerald, as Julio Cortázar was to evince in Spanish Americans like Fuentes and García Márquez in the 1960s. Not surprisingly, he appeared even more formidable to tongue-tied young Latin Americans. One who never plucked up the courage to hail the frequently espied Irish genius in halting French was Miguel Ángel Asturias, who nonetheless acknowledged the extraordinary effect which Joyce was to have increasingly on generations of Latin American writers. Asturias always insisted that Joyce’s impact was at the time indisguishable from that of

surrealism, another subject which would provide enough material for a book: the case of Cortázar, Spanish America’s Joycean equivalent in the 1960s, would later provide a paradigmatic example. Both the Joycean and surrealist aspects of Asturias’ own *El señor Presidente* and *Hombres de maíz* are plain to see. Enrique Anderson Imbert has underlined the stream-of-consciousness technique, particularly in chapter 26, “Torbellino”, of the former work,⁴² while *Hombres de maíz* is literally a cosmic odyssey of Amerindian man with innumerable Joycean parallels at both macro and micro levels.⁴³

In the 1920s, then, Joyce dazzled the Latin American eye, and young poets in particular rushed to catch the sparks before they dimmed. In the 1930s Faulkner and Dos Passos showed how to apply the new Modernist techniques to narrative fiction and provided the means for updating the social or regionalist novel, with Joyce supplying a strong but by no means dominant complementary impact. The Brazilian case within this picture was similar to the Spanish American one. Nevertheless, in a few writers in the following period — Yáñez, with *Al filo del agua* (1945), Asturias with *El señor Presidente*, and Marechal with *Adán Buenosayres* —, the particular combination of interior monologue and stream-of-consciousness techniques with other devices, especially wordplay and myth, made critics correctly conclude that their historically fundamental works were more Joycean than Faulknerian. It was in 1945, four years after Joyce’s death, that Salvador Rueda published the Salas Subirat translation in Buenos Aires, opening *Ulysses* at last to those who had never been to Paris and were unable to read the book in its original tongue. Three years later saw the publication of perhaps the most comprehensively Joycean of all the Latin American novels published before the sixties “boom”, Marechal’s *Adán Buenosayres*, which makes similar use of *Dante’s Inferno* to that made of the *Odyssey* by Joyce in *Ulysses* and which occupies a mere 48 hours of real time, so that one can say of it, as Borges said of *Ulysses*, that Marechal’s unfolding of a few hours of his hero’s life requires many days of hard work from his readers.⁴⁴ Marechal, who had worked with Borges on *Proa* and *Martin Fierro* in Buenos Aires in the 1920s, and is, as Donald Shaw has pointed out, one of the few important catholic novelists in Latin America this century,⁴⁵ began the novel in Paris in 1930 and completed it in Buenos Aires in 1948. Its significance has been well summed up by Oscar Collazos: “*Adán Buenosayres* is by way of an adventure, with all the risks implied in this: an adventure which lurches from intelligence and erudition to the realm of the concrete, to finish up as a novel in the sense once attributed to the term by Macedonio Fernández (as Marechal himself confesses): ‘the story of a complete destiny’. An adventure with all its ups and downs, its inner cycles, ‘riding back against the furious current/ to find my infant river’.”⁴⁶

Argentine fiction — indeed, River Plate fiction as a whole — has throughout the 20th century been characterised by a tendency of the fictional artefact to draw attention to the conditions and phases of its own elaboration. The line runs from Macedonio Fernández — mentioned by Collazos — through Borges and Marechal, on to Cortázar — quintessen-

tially — and then to Manuel Puig and Néstor Sánchez. (In justice one should say that the precursor of them all is the Brazilian Machado de Assis, a 19th-century descendant of Sterne.) A particularly notable point about *Adán Buenosayres*, in this sense similar to Asturias' *Hombres de maíz*, is that the book was scarcely read until the 1960s, by which time its successors within the so-called "new novel" had retrospectively rendered it legible, thereby underlining its extraordinary pathbreaking achievement. Nevertheless, despite such occasional Joycean gestures, Faulkner continued to be more obviously influential well into the 1950s and early 1960s on the works of leading writers like Rulfo, García Marquez, or the Asturias of the *Banana Trilogy*, whose emphasis was mainly on the rural sector, while Onetti, Mallea, Sábato and Revueltas continued to write their desolate urban tragedies largely in the mode of Faulkner and Dos Passos. At the same time such works coexisted with the more traditional versions of the regionalist novel, notably in the works of the early Roa Bastos or José María Arguedas, as well as a whole range of second-rank writers from the provinces or the smaller republics. Then, around 1960, came the famous "boom" of the *nueva novela*, with its pronounced shift of the centre of gravity to the urban realm and the emergence and consolidation of the "big four" — Cortázar, Fuentes, García Márquez and Vargas Llosa — followed by others like Lezama Lima, Cabrera Infante and Donoso. In an article on these new Latin American novelists published in 1977, Emir Rodríguez Monegal, their principal academic propagandist, made an unequivocal retrospective assessment of the influence of Joyce on all the works of the previous decade: "Joyce's achievement was to be imitated in many languages. Slowly, and through many successful works (Borges achieved in his short stories a scale reduction...) and through some literally monstrous attempts (Leopoldo Marechal's *Adán Buenosayres*), *Ulysses* became the invisible but central model of the new Latin American narrative. From this point of view, Cortázar's *Hopscotch*, Lezama Lima's *Paradiso*, Fuentes' *Change of Skin* and Cabrera Infante's *Three Trapped Tigers*, are Joycean books. Whether or not they are obviously Joycean, they do share the same secret code. That is, they agree in conceiving of the novel as both a parody and a myth, a structure which in its topoi, as much as in its private symbols, reveals the unity of a complete system of signification."⁴⁷

So large a claim for Joyce would not be supported by all Latin American critics—though it is shared, paradoxically, by the principal antagonists of the new novel, as we shall see — and Rodríguez Monegal himself had in the 1960s seen Joyce as one influence among many within a generally Modernist trend. This writer agrees with him, however: critics always need to stand well back if they are to attain a perspective on the full panorama of Joycean influence, and our view of the Latin American scene grows clearer year by year. What Rodríguez Monegal does not consider, however, is what this astonishing phenomenon means. Is the new (post-Joycean) novel truly the sign of the independence and liberation of contemporary Latin American fiction, as he and others frequently claim; or is this final catching-up merely a deepening of its dependent neoco-

lonial phase? Is "Joyce" something that happens anyway at a given moment of technocratic-capitalist development or did Latin America simply imitate an original model some forty years too late, when the conditions for such assimilation were finally favourable? No answers to such questions are forthcoming in the works of Rodríguez Monegal and other publicists of the "boom", but the radically uneven quality of Latin American literary development suggests that such questions should continue to be asked.

Taking the long view of Joyce's contribution, there seems little doubt that his epoch-making crystallisation, in *Ulysses*, of the transition between the psychological and the linguistic novel formed part of a continuous process in western fiction from the epic-historical work (Cervantes, the picaresque, Fielding) through the sociological (Balzac, Zola, Dickens, Tolstoy, Mann) and psychological works (Proust, Joyce: *Ulysses*, Faulkner, Woolf), and on to the linguistic limits, beyond "legibility" (*Finnegans Wake* and aspects of the *nouveau roman*). Whether we are now on our way, in the age of space exploration, possible nuclear holocaust and cybernetics, to the "cosmic" fiction, as the end of the dialectical trajectory from tribal poetry, can only be speculated. Seen in this long context, though, it becomes obvious that Latin America as a whole, from a far lower baseline, has taken hardly any longer to assimilate Joycean writing than, say, a number of the English-speaking literatures for which such assimilation was easiest. This would seem to confirm, for those who doubted it, that for good or ill, Latin America really is a part of western civilisation.

We turn now to the 1960s themselves, and above all to Julio Cortázar. His first novel, *Los premios* (1960), about an allegorical cruise — tickets won by lottery and going nowhere — was already a fusion of Joyce (in structure and linguistic texture), Kafka (in theme), and other Modernist currents; but *Rayuela* (1963) was to Spanish American fiction what *Ulysses* had been for European and North American literature as a whole in 1922. Mac Adam explains it well: "*Rayuela* is a point of crystallization for so many subjects that one is tempted to set it at the head of a movement. This of course would be a falsification. Authors like Machado de Assis, Bioy Casares, Roberto Arlt, Juan Carlos Onetti, and Felisberto Hernández, dead, forgotten or simply ignored for one reason or another, all did what Cortázar did. His importance lies in having done it all the moment when he was able to make a huge impression on a new generation of readers and writers. ... What *Rayuela* is, then, is not so much an innovation as a gathering place in which an entire catalog of innovations is put on display."⁴⁸ *Rayuela* is particularly significant, thus, for its timing — published early in the sixties — and because in its own structure it compares two cities (Paris and Buenos Aires), moving from an exploration of art and its media and institutions in the first part, to an analysis of consciousness and language themselves in the second.⁴⁹ There are many quite tangible Joycean influences; for example, choosing one at random, the dialogue about reality and our perception of it between Oliveira and Ronald in chap. 28 ("Vos y yo miramos esa lámpara", etc) is clearly inspired by the

conversation between Stephen and Lynch in chap. 5 of *Portrait* ("Look at that basket", he said, etc.)⁵⁰ Cortázar's use of the epiphany is again clearly Joycean, as are aspects of his particular assault on bourgeois sensibilities.

This, then, was the precise moment at which "joycismo" appeared to assume the main thrust of Spanish American fiction; the majority of writers were now ready for him instead of a few who had, literally, caught sight of him in Paris forty years before. From this precise moment also, the Faulknerian influence would dissolve, as the incomparable Irishman became the principal influence and point of reference, implicit and explicit trade-mark of Modernism and cosmopolitanism for another generation. Nevertheless, as has been shown, this Joycean apotheosis had been coming several decades, since 1922 itself; and for this reason the overtly Modernist works of the era were swiftly perceived as a "boom", which swelled rapidly towards a climax and then shattered into the glittering fragments of the "post-boom" novels of the 1970s, which appear once more to have a somewhat Grench look about them. More than this it would be hazardous to venture. It was a confused and contradictory moment, marked deeply by the Cuban Revolution, which at first was itself so pluralist that writers like Cabrera Infante were able to publish extracts from Joyce — as well as Trotsky: both were later proscribed — in revolutionary arts journals like *Lunes de Revolución*. The sense of diverse ideological alternatives offered by Cuba and the various social democratic experiments of the day, combined with the new cosmopolitanism bred by a consumption-oriented capitalist boom and an expansion of the Latin American middle classes (nouveau read?) — buyers and consumers of novels — created a period of intense artistic activity throughout the sub-continent. If there was an overall shape to it in literature, however, that shape was, for several years to come, Joycean.

Paradoxically, it was in Cuba itself, always open to the lure of the baroque, broadly conceived — it was in Havana that the 1920s Góngora revival was most enthusiastically received — and at the same time especially vulnerable to North American popular culture, that Joyce's specifically linguistic lessons seen to have been easiest to learn. The *Orígenes* group, organised around the large figure of Lezama Lima and younger men like Cabrera Infante, had been experimenting long before the 1960s with language, parody, satire and other forms of humour. Thus CABRERA Infante's *Tres tristes tigres* and Lezama's *Paradiso* were by no means surprising products of the Caribbean island, and both were specifically applauded by Cortázar himself.⁵¹ Other important Cuban proponents of the new vogue were Severo Sarduy, later a member of the *Tel Quel* circle, and Reynaldo Arenas.

It must be said at this point, however, as the Cuban cultural commissars were soon to say from their own standpoint, that while the technical and philosophical focus of fiction appeared immeasurably widened, the social relevance of the new Latin American novel was, with certain exceptions, becoming narrower. The Joyce of *Dubliners* and *Ulysses* was, when all is said and done, a social novelist applying new techniques to traditional everyday materials and by that means revolutionising the realist

novel. Many of the young Spanish American writers of the sixties and seventies were interested only in selected aspects of the Joycean "package", or in the somewhat whimsical works published by Cortázar after 1963, such as *Vuelta al día en ochenta mundos* (1967), *62/Modelo para armar* (1968) and *Ultimo round* (1969). Typical were the young Mexicans of the *Onda* or 'new wave', for whom Joyce was the great experimentalist of the 20th century, not an exemplary craftsman, some of whom tended to use him less as an influence or inspiration than as a pretext for engaging in semi-automatic "experiments" that in reality had more to do with surrealism. A reluctant precursor of such young writers is Salvador Elizondo, author of the pathbreaking French-style *Farabeuf* (1965), similar in conception to Cortázar's influential "Las babas del diablo". Elizondo has written a number of articles on and around both Joyce and Borges, in addition to his pioneering translation and commentary of the first page of *Finnegans Wake*.⁵² Gustavo Sainz' *La Princesa del Palacio de Hierro* (1974) may be construed as one long homage to the Molly Bloom soliloquy, whilst in *Obsesivos días circulares* (1969 and 1978) the narrator is trying to read *Ulysses* itself throughout his narrative, failing ever actually to achieve this aim because life — in its most incoherent and absurd contemporary forms — keeps getting in the way. What such works implicitly question, in the age of pop and of television advertising, is whether "Literature" can have any meaning or function for us now: Joyce brought the novel to an end, perhaps, but this was only the sign of a wider cultural and social malaise — we would like to try and be his equals, but civilisation itself appears to be saying that the gesture would be futile. (One Mexican novelist who disagrees is Fernando del Paso, who, as Robin Fiddian has shown, not only openly acknowledges Joyce's influence upon him but almost literally swallows him whole in the gargantuan *Palinuro de Mexico*.)

At this point one might mention an extraordinary novel by the Ecuadorian Jorge Enrique Adoum, first published in Mexico in 1976, entitled *Entre Marx y una mujer desnuda*, and without doubt one of the most interesting and self-aware of all the novels to have appeared "after Cortázar". Not only does the title itself — "Between Marx and a naked woman" — sum up the concerns of the New Left of the 1960s and early 1970s, but the novel's perspective can be considered paradigmatic from another point of view. Its very first page considers the problem of what on earth to write about and how on earth to write it in a post-Joycean and, still more embarrassing, a post-Cortazarian world:

"Un ladrimugidolúgubre que venía de la cala just to amuse yourself, while there's still time, imagining the delight of your well-read compatriots who, after that phrase, could save themselves the bother of reading the rest of the book and say, when called upon, if called upon: Yes, but it's influenced by Joyce, just as they avoided reading the rest of Joyce himself, though when faced with a narrative that respects order — chronological, logical or grammatical — in other words, order as such, it never occurs to

them to say: Influenced by Zola or Gorky — which they weren't in their day — and you screw it into a ball that ends up in a corner, in the basket, in the fireplace and, as if the suffering really were now about to star, you put in another sheet and believing that that is the beginning, you begin.

¿Irá a venir Juanmanuel?

smiling, thinking of the smartasses leaping on the book like buzzards on carrion: Just like *Rayuela* it begins with a question, as if *Rayuela* began anywhere, forgetting that the first piece of nonsense we ever read in school began precisely with: 'Tell me, my son, is there a God!' So, 'Yes, father, there is', you make another ball, you take another sheet and again you are up against that blank page...' (53)

Not all novels of the past fifteen years have been as self-aware as Adoum's, but Joyce and Cortázar can hardly be held responsible for all that has been done in their names. Joyce's intimate and profound love-hate relationship with Ireland, his knowledge of its many traditions, and his scholarly acquaintance with the continental and English heritages, are not always duplicated with regard to their own culture by all his followers and imitators. Some young writers construct instant novels from transient snippets of pop-culture, ad-language, facile playboy eroticism and a laid-back, in-crowd style which is not always as lovable as they appear to believe. Such works are frequently advertised as "Joycean", although it is doubtful whether the master would have recognised his disciples, and their most striking feature is a frequently almost absolute lack of historical awareness. (One exception to the rule is the Argentine Manuel Puig, who has consistently attempted to set fantasy and linguistic experimentation within their material social coordinates, beginning with *La traición de Rita Hayworth* in 1968. The "novena entrega" of *Boquitas pintadas*, 1969, is clearly based on the "Ithaca" section of *Ulysses*.)

This, indeed, is the view taken by a number of traditionalist writers and critics — whether of the nationalist-Americanist or Cuban-communist variety — about the "new Latin American novel" as a whole. While such views tend to over-simplification, they are important and must be taken into account. The history of the Cuban socialist-realist objections to Modernism and its latterday disciples is both complex and lengthy; fortunately, its main outlines, from Castro's "Words to the Intellectuals" (1961) to the climax of the "Padilla case" (1971), are relatively well known and do not diverge very far from prior developments in the Soviet Union in the 1920s and 1930s.⁵⁴ We shall look briefly instead at the remarks of a celebrated veteran critic, Manuel Pedro González, typical of nationalist or provincialist objectors from all over Latin America, and at those of José María Arguedas, a great Latin American novelist in the traditional indigenist mould. Such voices have expressed a reluctance to accept the demise of the rather elemental realist-naturalist fiction of the 1920s and 1930s in Spanish American and Brazilian fiction, believing that the logical next step was a classical realist moment on the lines of Balzac, Dickens,

Zola, Galdós or Tolstoy. In the event, only Mario Vargas Llosa among post-war novelists even approximated to such a development.

Manuel Pedro González had waged a long campaign against the new Latin American novel of the post-1945 era, asserting that nothing published after the war could match the social novels of the period 1885-1945 in terms of Americanist originality. While few of us would agree with this statement, more would sympathise with some of his other allegations. At any rate, the massive consolidation of Modernist trends after 1960 was clearly too much for González, who launched a series of brutal attacks on the new novel and, both overtly and by implication, on its arch-inspirer, James Joyce.⁵⁵ Between 1962 and 1969 a torrent of abuse—one of the few expressions at the international level of a reaction deeply felt in every provincial town and mind in Latin America—streamed from González' poisoned pen in a vain attempt to hold back the tide of glamorous Hollywood-style publicity and adulation surrounding the new jetsetting novelists. Much of what he said merely re-echoed arguments of the 1920s, though again it is fair to point out that Joyce really does "live" in the sense that he can still come as a shock to those who read him for the first time. González himself was a grudging admirer of Joyce's encyclopaedic knowledge and literary skill, although he insisted, rather like Lukács, that Joyce's work was profoundly pessimistic and in the last analysis decadent: not at all the kind of reading suitable for young writers from a young continent. Cortázar, in consequence, is presented as a mere poseur, who simply imitates the externals of Joyce's work; Vargas Llosa is accused of "cantinflismo", Carlos Fuentes of "babelismo". They are leaders of a narcissistic literary mafia involved in a secret conspiracy whose external signs are mutual flattery and self-congratulation, and whose deeper meaning is the degeneration of Latin American society. Joyce produces mental sickness ("ulisomanía"): "Today, forty years after the appearance of *Ulysses*, the infection is as virulent as it was in the 1920s".⁵⁶ Joyce is "dangerous", "damaging": his influence on the young and impressionable, through the carriers of the "boom" (or epidemic), has produced a body of literature which is merely a grotesque reflection of the moral decay of contemporary capitalism, rather than, as is sometimes claimed, a critique of it. As for the material results: "Among others one might mention its byzantine forms and themes, baroque ornamentation, technical snobbery, desperate search for originality, cultivation of the extravagant or bizarre, preference for novelty, no matter how grotesque or uncouth, and above all, its perverse abuse of pornography and of the vocabulary of the tavern or the mortuary. These are all symptoms of decadence and sterility, and they are everywhere to be seen in our current fiction."⁵⁷ The unrepentant "young gentlemen" are further accused of "puerility", "tantrums", "shameless pastiches", "barefaced technical mimeticism", "the most cynical plagiarism and theft" and, last but not least, "intellectual lackeyism". It is much the same language that was soon to be used in Cuba, which would reach its climax in Castro's famous attack on anti-Cuban writers and intellectuals resident in Europe at the height of the Padilla storm in 1971.

The reaction is understandable in the Latin American context and not to be dismissed as merely atavistic: the conflict is a real one. Those who call all that precedes them "pre-literature", as Vargas Llosa did, must expect some response;⁵⁸ and it should not be overlooked that the single most important novel of the boom, García Márquez' *Cien años de soledad* (1967), was an exception to the trend, a traditional work of almost Cervantine limpidity. González' onslaught from the pages of the Venezuelan review *Zona Franca*, was taken up in *Mundo Nuevo*, the Paris-based, American-financed magazine edited by Rodríguez Monegal, the most important of all the vehicles for the boom during its brief but influential run (1966-1971). The first in a series of articles in 1968 and 1969, by Ignacio Iglesias, a member of the *Mundo Nuevo* staff, rather surprisingly supported González (Iglesias, a Spaniard, perhaps sharing peninsular ambiguity towards those who are supposed to be objects, not agents of "discovery"), identifying the Molly Bloom soliloquy as the original sin which had corrupted young Latin Americans. *Ulysses*, he remarked, "appears to be the basic text-book for not a few young Latin American novelists".⁵⁹ Cortázar was seen as the principal perverter of these adolescent writers, and Iglesias gave examples from his work and some often hilarious imitations of him by debutant novelists of the moment. Turning then to Carlos Fuentes and berating him, like González, for his "babelismo idiomático" in *Cambio de piel* (1966), Iglesias concluded: "While not everyone is able to read this kind of novel, almost anyone is capable of writing them".⁶⁰ In a subsequent number Guillermo de Torre, the veteran Spanish critic, with all the authority of his massive lifelong study of avant-garde literatures, supported this deprecating view and alleged that few of these young men could have read *Ulysses* in the original and no doubt confined themselves "to the French version or the very approximate Spanish one". As for *Finnegans Wake*, it was certainly beyond them—far too difficult! He concluded: "To repeat inarticulate phrases, pseudo-infantile babblings, supposed expressions of the unconscious and other such devices, adds nothing of substance, at this moment in time, to the form or content of the novel."⁶¹

The counter-attack was taken up in the same issue by the Mexican Moisés Ladrón de Guevara, who quoted Adorno to the effect that old forms cannot express new contents;⁶² and by the Argentinian Antonio Pagés Larraya, who gave a classic defence of the new novel, quoting Borges—who else?—to the effect that there is nothing shameful or "dependent" about influences. Pagés Larraya viewed the baroque as an integral part of Latin American aesthetic culture down to and including Lezama Lima and Cabrera Infante; mentioned the effect of surrealism, first on Asturias, Borges and Carpentier, and then down to the present; and willingly acknowledged the Joycean roots of the new novel and the role of Cortázar in making it accessible to Hispanic culture and language: "Since its first discovery, the influence of *Ulysses*—A fertile and creative one, in my opinion—has continued to grow. The use of Joyce's methods ... is sometimes total (Marechal's *Adán Buenosayres*), sometimes diffuse (*Rayuela*), and sometimes partial, as in the case of Mallea and

Onetti. ... Latin American novelists are in no way diminished by the fact that Joyce has given them, as he has given so many novelists the world over, a means of resolving their own dilemmas."⁶³

In retrospect, perhaps the most surprising feature of the polemic is that the extent of Joyce's influence was taken for granted by both sides: they disagreed only as to its benevolent or malevolent qualities. There is no reconciling such different positions. Just how complex and bitter the conflict can be, in the Latin American situation, was deonstrated by the debate that same year, 1969, between Julio Cortázar himself and José María Arguedas, perhaps the greatest *indigenista* writer this century, and the last, apparently, of the great regionalist writers of Spanish America. Arguedas was a Quechua-speaking novelist, brought up among and for a time by the Indians of the Peruvian sierras. He never resolved his own traumas and inner conflicts, which were those of Peru as a whole, but in 1964 had produced his own supreme achievement, *Todas las sangres*, at the very moment when such writing appeared to have been definitively superseded by the new novel. Cortázar's reply to Arguedas' comments published in the magazine *Amaru* (Lima), appeared in a deservedly famous interview in *Life en Español*,⁶⁴ and we shall not repeat it here. Arguedas reprinted his views in the "Primer diario", corresponding to May 1968, of his posthumously published novel *El zorro de arriba y el zorro de abajo* (1971). Arguedas, shocked by Cortázar's self-conscious sophistication and pretensions to professionalism, exclaims: "Writing novels and poems is not a profession".⁶⁵ Arguedas presents himself as indigenist, provincial, Peruvian and American, deriding Cortázar's "brilliance, his solemn conviction that one can understand the essence of one's own nation from the exalted spheres of some supranational perspective".⁶⁶ As his episodic diatribe developed, Arguedas linked Joyce, Cortázar and Lezama Lima together as purveyors of an exclusivist literature born of the corrupt cities (Cortázar is "consumed, exhausted by the stench and pollution of city streets"; Lezama Lima is "densely and unscrupulously urban"), and declared himself proud to be among those excluded, "marginalised" by the new literature: "That is what we are like, we provincial writers, people who, once bitten by the literary bug, manage to understand Shakespeare, Rimbaud, Poe, Quevedo, but not *Ulysses*. ... Yet we are all provincials, Don Julio, provincials within our own nations and provincials within the supranational world, which is itself only another closed circuit. ... All I have read of Cortázar's are his stories. I was frightened off by the instructions he gave at the front for reading *Rayuela*; so I was deservedly excluded, for the time being, from entering that palace..."⁶⁷

Cortázar's reply to these comments when they first appeared, was typically dazzling, as I have noted, and he makes some telling points; but to accuse a writer from Arguedas' background of a bad case of inferiority complex is not one of his better ones. It has to be said also that Cortázar, like other defenders of the new novel, offers no strategy for reconciling the demands of the regional and the national, still less of the regional and the supranational, despite his consistent support over the years for the aims of Cuban socialism; while the concept of class is not mentioned once

in twenty pages of discourse. Arguedas for his part, last and perhaps greatest of all the regionalist writers, committed suicide in November of the same year. For the time being, at least, the bifurcation which existed in the 1920s, when Joyce made his first impact, between the social novels of Rivera, Gallegos and Icaza, and the avantgarde currents of the time, centred on poetry, appears to have come to an end with the devouring of the regional by the cosmopolitan. In view of Latin American realities since world war two, this would not be inappropriate, but it is surely not the end of the story. After the death of Arguedas, the other great representative of the regionalist current still alive at the time, the Paraguayan Augusto Roa Bastos, was able to transform his fictional method and become one of the most remarkable innovators in Latin American literary history with *Yo el Supremo* (1975), which has perhaps pointed the way to a literature which is not merely "decentred" or "deconstructionist", but truly self-critical and "dialectical".⁶⁸ This, however, really is the beginning of another story; but I suspect that even that story would have been inconceivable without the lessons of James Joyce.⁶⁹

POSTSCRIPT

One of the most lovable tokens of Joyce's influence appeared in Buenos Aires in 1981, with Isidoro Blaisten's short story, "Dublin al Sur" (from the collection of that name), in which Joyce is said to be guilty of the same disorienting effect on his readers as Cervantes and Flaubert had indicated with regard to other works of fiction, in *Don Quixote* and *Madame Bovary*. The protagonist, Esteban ("Stephen"), wins a "mastermind" competition by answering correctly a series of questions about the life and works of James Joyce. The prize is a large sum of money with which he travels to Ireland, abandoning his former life and family in order to buy a tower and devote his days and nights to revering Joyce's works. Sadly, there is no happy ending: once in Ireland he begins to feel the same nostalgia for the Buenos Aires he has lost as he used to feel for the Dublin he had never known. "Sensuality", he concludes, "is a product of absence". There is a moral in this story somewhere...

Notes

1. This article is an expanded version of the paper given at the James Joyce Centenary Symposium in Dublin in June 1982.
2. *Afterjoyce: Studies in Fiction after 'Ulysses'* (New York, 1977), p. 35. The book includes sections on Borges and Lezama Lima.
3. I use the term "Spanish American" in this article when I mean precisely and only that; "Latin American", when my comments have a more general application. The article is intended both for Joyce specialists and for Latin American literary specialists: I apologise to both for any irritations the difficulties of such a dual approach may provoke in terms of excess or lack of information.
4. From his inaugural address to the Centenary Symposium. Similar to Ellmann's remark is one by the young Mexican novelist J. E. Pacheco: "One can know Joyce perfectly without bothering to read any of his books" ("Ha vuelto Ulises", *Proceso* no. 294, Mexico, June, 1982, pp. 52-3).
5. In addition to the unique status of Joyce's influence, he also has 'normal' effects on writers in Latin America, as when his *Dubliners* inspired the Uruguayan Mario Benedetti to write *Montevideanos* (1959).
6. The most notable exception—a "rural" author profoundly motivated by readings of Joyce—is Brazil's João Guimarães Rosa. Numerous critics have indicated this influence in his monumental *Grande sertão: veredas* (1956).
7. Asturias is quoted from a conversation with this author in London, May 1967; Carpentier from the Cuban magazine *Social*, 16:8 (Havana, Sept. 1931); and Borges from his now famous review of *Ulysses*, "El Ulises de Joyce", accompanied by his translation of the last page, in *Proa*, 6 (Buenos Aires, Jan. 1925, pp. 3-6), p. 5.
8. Even Borges, always allergic to long narratives, translated a novel of Faulkner—*The Wild Palms*—only a year after its publication in the U.S. (*Las palmeras salvajes*, Buenos Aires, 1940.)
9. For a good example of the confusion in the current situation, see R. Gonzalez Echevarria, "The Dictatorship of Rhetoric/The Rhetoric of Dictatorship: Carpentier, García Márquez and Roa Bastos", *Latin American Research Review*, 15:3 (1980), pp. 205-28; and my reply, "On Dictatorship and Rhetoric in Latin American Writing: A counter-proposal", *LARR*, 17:3 (1982), pp. 207-227.
10. "El sanscrito latinizado: el *Wake* en Brasil e Hispanoamérica", *Zona Franca*, 3rd series, 5 (Caracas, Jan-Feb 1978), pp. 31-34 (p. 31). The article was previously published in *Triquarterly*, 38 (Winter 1977), pp. 54-62. Haroldo de Campos and his brother Augusto were founders of the important Brazilian "Concrete Poetry" movement, and are the principal exponents and translators of Joyce's work, esp. *Finnegans Wake*, in Brazil. See A. and H. de Campos, *Panorama do Finnegan's Wake* (São Paulo, 1962). As an expert on Joyce's work, it is no coincidence that H. de Campos coined the term "Open Work", later to be adopted by Umberto Eco in his influential theoretical opus.
11. This, according to A.J. Mac Adam, *Modern Latin American Narratives: The Dreams of Reason* (Chicago, 1977), is the central current of the new Latin American fiction: he examines particularly the impact of Joyce on Cortázar and Cabrera Infante. Octavio Paz, similarly, interviewed in R. Guibert, *Seven Voices* (New York, 1973), affirms that Joyce's essential achievement is to have annulled the distinction between poetry and fiction: "In his work the central element is language. His characters are, quite literally, puns" (p. 203).
12. For a Spanish American view of this, see J. Loveluck, "Crisis y renovación de la novela hispanoamericana", in Loveluck, ed., *La novela hispanoamericana* (Santiago de Chile, 1969), pp. 11-29 (p. 28). Loveluck was attempting to convert "joycismo" into a neutral technical term instead of a criminal charge.
13. G. Cabrera Infante, interviewed in Guibert, op. cit., pp. 341-436, argued that books like Joyce's really burst the confines of the 'novel' as genre and ought to be given some other name.
14. Severo Sarduy, another virtuoso Cuban novelist, has given, in an essay on the baroque tendency in Latin American fiction ("El barroco y el neobarroco", in C. Fernández Moreno, ed., *América Latina en su literatura*, Mexico and Paris, 1972, pp. 167-184), the

- following account of the relation between Joyce and L. Marechal (Arg. 1): "In *Adán Buenosayres*, Marechal underlines... his adherence to the category 'writing/only-key'. The primary structure of this sequence is, of course, the one postulated by Joyce, whose authority, as model, derives from the entire Homeric tradition, that of a narrative whose orthogonal axes would be 'book as journey/journey as book'." (pp. 180-81).
15. J. Franco, "El viaje frustrado en la literatura hispanoamericana contemporánea", in *Actas del Tercer Congreso Internacional de Hispanistas* (Mexico, 1970), pp. 363-70; examines this theme in García Maquez, Cortázar and Vargas Llosa. For a view of the same general topic from a different perspective, see T. Todorov, *La Conquête de l'Amérique: la question de l'Autre* (Paris, 1982).
 16. A minor Spanish American equivalent of this literary-linguistic adventure would be Asturias' *Mulata de tal* (1963).
 17. See H. de Campos, "Superación de los lenguajes exclusivos", in Fernández Moreno, op. cit., pp. 279-300.
 18. On the problem of perfectionism, see the novel by J.E. Adoum, *Entre Marx y una mujer desnuda* (1976): "after long hours of effort, one cannot manage even half a page, like Joyce, or even to take out a comma, like Wilde" (3rd ed., Mexico, 1980, p. 88); and on the question of actuality, see Borges, "El Ulises de Joyce", p. 5: "in no other book do we witness the actual presence of things with such firm conviction".
 19. See Borges' now famous brief essay, "Valéry as a Symbol", in his *Other Inquisitions 1937-1952*, tr. R.L.C. Simms (London, 1973), pp. 73-4.
 20. Cabrera Infante, quoted in Guibert, p. 418, among other interesting comments considers *F. Wake* as "writing that is deliberately hieroglyphic". H. de Campos is more resolute: "It is important to underline here a most significant fact. Whilst numbers of erudite North American and European critics insisted on regarding Joyce (and in particular *Finnegans Wake*) as a kind of blind alley or cul-de-sac, we Brazilians who founded the Concrete Poetry movement (members of the Noigandres group of 1952) were using the *Wake* to stimulate and focus our poetic experiments, considering it not as the apocalyptic end of western literature, but rather as an open field full of diverse possibilities, seminal" ("El sánscrito latinizado...", p. 32). This is particularly worth noting, since the Concrete Poetry movement has in turn been very influential in Spanish America, as elsewhere.
 21. "Joyce y los neologismos", *Sur*, 62 (Buenos Aires, Nov 1939), pp. 59-61 (p. 61).
 22. Elizondo published his translation, together with an extended commentary, in *Suob*, a review which he edited, no. 1 (Mexico, 20 June 1962), and I give it complete, from "ri-verrum..." to "...loved livvy":
 "riocorrido más allá de la de Eva y Adán: de desvío de costa a encombadura de babia, trayéndonos por un cómodo vículo de recirculación otra vuelta a Howth Castillo y En-derredores.
 Sir Tristram, violer d'amores, habiendo cruzado el corto mar, había pasancor re-vuelto de Norteamérica, de este lado de estrecho istmo de Europa Menor para martibatallar en su guerra peneisolar, ni habían las rocas del alto psawrrador, esparcidas a lo largo de arroyo Oconne, exagerándose a sí otras mismas a los gorgios del Condado de Laurens mientras iban dubliando todo el tiempo su mendiganancia: nu una voz salida del fuego surgia diciendo mishe mishe a taufauf tuespetrarricio, ni entonces, aunque poco después, el muchacho pseudocabronizado, engaño al viejo blandiciego isaac: no todavía no, aunque todo se valenveneresia a lo largo de la rutha en que susuenan las lianas de nanathajo con que tejen las estheras. Pudre un pito con malta la cerveza del viejo que Sem y Cam habían caldeado a la luz de lampararca, hacia el último extremo del sarkoliris visto anulosamente sobre la caragua.
 La caída (i babababadalgharghatakamminarronnbrownntonneronntuonnthuntrovare-hounawnsoohooorderenthurnuk!) de uno que fue magnate seniigual en waistrit es descontada temprano en la cama y más tarde en la vida a través de toda la juglaría cristia-na. La gran desaparición que dio desde lo alto llevaba ya consigo, a corto aviso, la pftschute de Finnegan, el irlandense: tanto, que el mismo huevinfollete manda plumptamente otro de los suyos a investigar, lejos, hacia el oeste, por el estado de sus didededitos de los pies y sus puntapicantes las halla bien sentadas en el golpetope del parque donde fue-ron tendidas las naranjas desde el primer día en que el diablun amó a livy donosamente."
 This tour de force persuades us that, if only there were life enough and time ("A way a lone a last a loved along the", etc.), a Spanish equivalent could, after all, be achieved.
 23. In their *Panorama*, the de Campos brothers quote the references to Brazil from the *Wake* ("from Blasil the Brast to our povotogues portocal!"; "A disincarnated spirit, called Sebastian, from the Rivera in Januero"; and "on the island of Breasil the width of me perished and I took my plowshure sadly, feeling pity for me sored"), and provide an invaluable introduction. They then provide translations and commentaries of 11 fragments of the novel, and I now give the first, for comparison with Elizondo's version in Spanish:
 "riocorrente, depois de Eva e Adão, do desvio da praia à dobra da baía, devolve-nos por um cómodo vículo de recirculaçã, lo de volta a Howth Castle Ecercanias.
 Sir Tristão, violador d'amôres, através o mar breve, tinha pazencore revoltado de Norte Armórica a este lado do áspero istmo da Europa Menor para relutar sua guerra penisolada: nem tinham os calhaus do altom sawyerrador pelo rio Oconee sexagerado aos gorgios de Laurens County enquanto eles iam dublando os bebêbados todo o tempo."
 24. The last lines of Borges' brief translation are as follows:
 "sí ya pasaron 16 años. Dios mío después de ese largo beso casi pierdo el aliento sí me dijo que yo era una flor serrana sí somos flores todo el cuerpo de una mujer sí por una vez estuvo en lo cierto y para vos hoy brilla el sol sí por eso me gustó pues vi que él comprendía lo que es una mujer y yo sabía que lograría engatusarlo siempre y le di todo el gusto que pude llevándolo despacito hasta que me pidió que le contestara que sí y yo no quise contestarle en seguida sólo mirando el mar y el cielo pensando en tantas cosas que él no sabía de fulano y zutano y de papá y de Ester y del capitán y de los marineros en el muelle a los brincos y el centinela frente a la casa del gobernador con la cosa en el salacot pobre hombre medio achicharrado y las chicas españolas riéndose con sus mantones y peinas y los remates de mañana los griegos y los judíos y los árabes y hombres de todos los rincones de Europa y el mercado cloqueando y los pobres burritos cayéndose de sueño y los tipos cualquiera dormidos en la sombra de los portales y las ruedas grandotas de las carretas de bueyes y el castillo de miles de años sí y esos moros buenos mozos todos de blanco y con turbantes como reyes haciéndola sentar a uno en su tendencia y Ronda con las ventanas de las posadas ojos que atisban y una reja escondida para que bese los barrotes su novio y los bodegones a medio abrir toda la noche y las castañuelas y aquella noche en Algeciras cuando perdimos el vapor las castañuelas y el sereno pasando quietamente con su farol y Oh ese torrente atroz y de golpe Oh y el mar çarmesi a veces como fuego y los ocasos brillantes y las higueras en la Alameda sí y las callecitas rarísimas y las casas rosadas y amarillas y azules y los rosales y jazmines y geranios y tunas y Gibraltar de jovencita cuando yo era una Flor de la Montaña sí cuando me até la rosa en el pelo como las chicas andaluzas o me pondré una colorada sí y como me besó junto al paredón morisco y pensé lo mismo me da el que otro cualquiera y entonces le pedi con los ojos que me pidiera otra vez y entonces me pidió sí quería sí para decirle sí mi flor serrana y primero lo abracé sí y encima mío lo agraché para que sintiera mis pechos toda fragancia sí y su corazón como enloquecido y sí yo dije sí quiero Sí."
 25. In the 1976 version by the Spanish translator J. M. Valverde (who also attended the Centenary Symposium in Dublin), the opening phrase becomes: "Solemne, el gordo Buck Mulligan".
 26. Rios was another writer who appeared at the 1982 Dublin congress, to outline the State-of-Play of his massive Work-in-Progress. A fragment appeared in Octavio Paz' magazine *Plural* (Mexico, October 1973).
 27. J. A. Masoliver, "¿Quién conoce realmente a Joyce?", *Libros* (Madrid, June 1982), pp. 17-21, has produced a penetrating—not to say devastating—review of the translations of Joyce's work available in the centenary year: essential reading for those interested in this topic.
 28. See P. Patout, *Valéry Larbaud-Alfonso Reyes. Correspondance, 1923-1952* (Paris, 1972); and her *Alfonso Reyes et la France (1889-1959)* (Paris, 1978).
 29. Borges has been consistently interesting over the years on problems of translation, and in particular on the—for him—self-evident superiority of English over other rival languages. In a 1964 essay, "They Spanish Language in South America: A Literary Problem" (Hispanic and Luso-Brazilian Council/Diamante, London 1964), he mentions the matter of Joyce and compound words: "Compound words, compound nouns, for example, are impossible in Spanish. This is also the case with French. That is why the work of Joyce may be translated into German and the Scandinavian tongues but not into

- French. For example, when Joyce wrote something like "Ghost-candles", the French for it was "Bougies au leur spectral". That has no strength whatever in it and a sentence such as "the rivering waters of, the hithering and thithering water of night" can hardly be translated into Spanish or into French. In Spanish, for that ripple of "the hither and thithering waters of", well, you will get something like "acá y cuyante" or something equally hideous" (p. 14). He had obviously been thinking of things Joycean in his 1941 *ficción* "Tlön, Uqbar, Orbis Tertius", when, in the idealist language of Tlön, the phrase "hlör u fang axaxaxas mlö" is translated into English as "Upward, behind the onstreaming, it mooned" (*Ficciones*, 2nd. ed., Madrid, 1972, p. 21).
30. A lucid example of the phenomenon is seen in Carlos Fuentes' frank admission of his use of Dos Passos' techniques in *La región más transparente* (1958): "As Latin America suffers a cultural lapse of at least 40 or 50 years, new forms always tend to arrive late. So the substance is retarded also, it always lags behind; the moment came when the substance of our life found adequate form in the sort of novel Dos Passos was writing 40 years ago" (quoted in L. Harss, *Los nuestros*, Buenos Aires, 1968, pp. 361-62).
 31. A persistent concept among Latin American writers I have spoken to about Joyce, and one which reflects a whole tradition of cultural debate, is that Joyce is a late product of "western civilisation", a truly scholarly author, whereas Faulkner is a "new barbarian".
 32. For an overview, see D.L. Shaw, "Notes on the Presentation of Sexuality in the Modern Spanish American Novel", *Bulletin of Hispanic Studies*, LIX (1982), pp. 275-82.
 33. "Períodos literarios en el México del siglo XX", in A.M. Ocampo, ed., *La crítica de la novela mexicana contemporánea* (Mexico, 1981), pp. 157-73 (pp. 165-66).
 34. "El sánscredo latinizado", p. 34.
 35. See L.A. Sánchez, *Historia comparada de las literaturas americanas* (Buenos Aires, 1974), vol. IV, p. 16.
 36. "El Ulises de Joyce", p. 3.
 37. See R. Burgin, *Conversations with Jorge Luis Borges* (London, 1973), pp. 73, 78.
 38. "The Flower of Coleridge", *Other Inquisitions*, p. 12. Borges, many of whose "fictions" are actually about "influences", "antecedents", etc., paid Joyce the unequalled compliment that "he has no literary precursors" ("El Ulises...", p. 5). Another elegant tribute closing the same review article was to quote the transparent Lope de Vega's respectful but partly ironic words on Góngora's opaque poetry: "I shall love and esteem the divine wit of this gentleman, taking from him with humility what I understand and fervently admiring that which I shall never understand" (p. 6).
 39. A still more poignant homage was the insistence of a frail old man past 80 on attending the Centenary Symposium at the height of the absurd and tragic conflict between his country and Great Britain, in June 1982.
 40. "La exposición del año", *Social*, XVII, 9 (Havana, Sept, 1932). Forty-five years later, the title of the last chapter of Adams' *Afterjoyce*, "The Joyce Era?", would still be asking—unnecessarily, in my opinion—whether such predictions had turned out to be true.
 41. "Problemática de la actual novela latinoamericana", in his *Tientos y diferencias* (Havana, 1966), p. 13: "We must fix the physiognomy of our cities as Joyce fixed that of Dublin".
 42. "Formas en la novela contemporánea", in Loveluck, op. cit., pp. 214-229. This is an influential article which focuses on Joyce's general influence on fictional form in Latin America: see esp. pp. 224-25.
 43. See my critical edition of the novel: M.A. Asturias, *Hombres de maíz* (Paris and Mexico, 1981), "Estudio general".
 44. See also M.P. González, "Leopoldo Marechal y la novela fantástica", in his *Notas críticas* (Havana, 1969), pp. 74-88, in which the Joycean parallels are well brought out; also Harss' influential introduction to his collection of interviews, which identifies *Adán Buenosayres* as "the first real attempt at a total novel in our literature. It is at the same time a Buenos Aires odyssey—with echoes of Joyce's *Ulysses*—And a Dantean allegory" (op.cit., p.28).
 45. Shaw, op.cit., p.276. See also his important *Nueva narrativa hispanoamericana* (Madrid, 1981).
 46. From his prologue to L. Marechal, *Adán Buenosayres* (Havana, 1969), p.vii.
 47. "The New Latin American Novelists", *Partisan Review*, XLIV:1 (1977), pp.40-51 (p.41). For a retrospective, see his "The New Novelists", *Encounter*, XXV:3 (Sept. 1965), pp.97-109.
 48. MacAdam, op.cit., p.60. Cortázar's fellow novelist, Carlos Fuentes, en *La nueva novela hispanoamericana* (Mexico, 1969), had already said much the same: "Rayuela is to prose in Spanish what *Ulysses* is to prose in English" (p. 73); as also Harss, op. cit., p.297: "It would not be an exaggeration to call it our *Ulysses*". For similar views see the opening pages of "Rayuela: o el orden del caos", by F. Alegria, in his *Literatura y revolución* (Mexico, 1971), pp.126-46; and of "Rayuela", by J. Ortega, in his *La contemplación y la fiesta* (Caracas, 1969), pp.31-49.
 49. Eco says the same of Joyce's achievement in *Ulysses* as one could say of Cortázar's in *Rayuela* 40 years later, in his *Obra abierta: forma e indeterminación en el arte contemporáneo* (Barcelona, 1965), pp. 254-55: "Here the object of destruction is wider, nothing short of the universe of culture and—through that—of the universe tout court".
 50. The quotation from *Rayuela* is taken from the Sudamericana (Buenos Aires) 13th ed., 1972, p.193; and the quotation from *Portrait* from the Penguin 1969 ed., p.211.
 51. Not everyone was as enthusiastic about *Tres tristes tigres*. John Updike published a review in *The New Yorker* (29 Jan. 1972), pp.91-4, under the title "Infante Terrible...", which effectively accuses Cabrera Infante of producing a tired Joycean imitation, especially of the "Oxen of the Sun" and "Nighttown" sections of *Ulysses*. MacAdam, op. cit., p. 61, makes stout defence of the Cuban. See also D. Kadir, "Stalking the Oxen of the Sun and Felling the Sacred Cows: Joyce's *Ulysses* and Cabrera Infante's *Three Trapped Tigers*", *Latin American Literary Review*, 4 (1976), pp. 15-22.
 52. Elizondo wrote an illuminating article, "En torno al Ulises de Joyce", in *Estaciones*, IV:13 (Mexico, 1959), pp. 98-111. His *Cuaderno de escritura* (Guanajuato, Mexico, 1969), includes a number of essays which bear on Joyce. In 1982, to commemorate the centenary, he gave a series of lectures on Joyce at the Colegio Nacional in Mexico City.
 53. Adoum, op. cit., p. 9. The frustrated narrator later (p. 159) finds matters still more embarrassing when he "discovers", in the 1970s, how to write like Sterne did in 1759. This problem of culture-lag is of course one of the central themes of García Márquez' *Cien años de soledad*.
 54. See S. Menton, *Prose Fiction of the Cuban Revolution* (Texas, 1975); the evidence of the magazine *Libre*, no. 1 (Paris, 1971; and the numerous diatribes published by Cabrera Infante, the most Joycean of the exiles, from his London refuge.
 55. See especially "El *Ulysses* cuarenta años después", in his *Ensayos críticos* (Caracas, 1963), pp. 5-21; "Consideraciones sobre la novela" (1966), in *Notas críticas*, pp. 189-94; and "Apostillas a la novela latinoamericana", *Zona Franca*, III: 48 (Caracas, Aug. 1967), pp. 4-9.
 56. "El *Ulysses* cuarenta años después", p. 17.
 57. "Apostillas a la novela latinoamericana", p. 6.
 58. See, for example, his "Primitives and Creators", *Times Literary Supplement*, no. 3481 (14 Nov. 1968), pp. 1287-88.
 59. "Novelas y novelistas de hoy", *Mundo Nuevo*, 28 (Oct. 1968), pp. 84-8 (p. 87).
 60. Iglesias, p. 88.
 61. "Para una polémica sobre la nueva novela", *Mundo Nuevo*, 34 (April 1969), pp. 83-5 (p. 83).
 62. "En torno a la nueva novela latinoamericana", *Mundo Nuevo*, 34 (April 1969), pp. 86-7.
 63. "Tradición y renovación en la novela hispanoamericana", *Mundo Nuevo*, 34 (April 1969), pp. 76-82.
 64. "Un gran escritor y su soledad: Julio Cortázar", *Life en Español*, 33:7 (Mexico, April 1969), pp. 43-55. The interview was conducted by R. Guibert and translated into English in her *Seven Voices*, pp. 279-302.
 65. *El zorro de arriba y el zorro de abajo*, 5th ed. (Losada, Buenos Aires, 1975), p. 23.
 66. Arguedas, op. cit., p. 18.
 67. Arguedas, op. cit., pp. 27-8 and p. 17.
 68. See my "Yo el Supremo: the Dictator and his Script", in *Forum for Modern Language Studies*, 15:2 (1979), pp. 169-83, for an overview; and, more especially, P. Turton, "Yo el

Supremo: una verdadera revolución novelesca", *Texto Crítico*, 12 (Xalapa, Mexico, Jan.-Mar. 1979), pp. 12-17, which devotes several pages to an invaluable comparison of Roa Bastos and Joyce.

69. A most useful complement to the present study is Robin Fiddian's excellent "James Joyce and the Spanish American Novel: A Preliminary Study", *The Crane Bag*, VI:2 (Dublin, 1982), pp. 84-88, which concentrates more on the views of the "boom" writers themselves than I have been able to do here.

Portsmouth Polytechnic
England

A PORTRAIT OF THE ARTIST AS A YOUNG MAN: A STUDY ON IMMORTALITY

ALAN MAGALHÃES COSTA

Last year—as everyone here knows—the literary world celebrated James Joyce's first birth centennial. Joyce influenced everything that came after him, as Freud and Marx also did. The famous Irish writer saw the publication of seven of his books: *Chamber Music*, a collection of thirty-six short poems, was published in 1907; *Dubliners*, which contains fifteen sketches or short stories about paralysis, was printed in 1914, followed by *A Portrait of the Artist as a Young Man* in 1916, and by his play *Exiles* in 1918; *Ulysses* appeared in 1922; *Pomes Penyeach* in 1927, and *Finnegans Wake* in 1939. This paper concerns the book which is probably the most influential novel written in our century.

*A Portrait of the Artist as a Young Man** is essentially based on the first twenty years of Joyce's life. It is the story of the author's own break with the Catholic Church and discovery of his true vocation. Even though published in 1916, the genesis of this book goes back in time. Joyce was in his teens when he started writing an autobiographical novel. About 1908 he decided to rewrite it. Late 1913 or early 1914 Ezra Pound wrote to Joyce and said: "I hear you are working on a novel". Pound was the advisory editor for *The Egoist*, a literary magazine edited by Dora Marsden and later by Harriet Weaver. Joyce sent Pound the opening of *A Portrait*. It was accepted. It was in this little English magazine that the novel was published serially from the second of February 1914 to the first of September 1915. In book form, it came out in New York the following year. A year later, 1917, it was also printed in London.

Though students and critics may go crazy about the first section of *A Portrait*, yet one has to be cautious because Joyce spent ten years in writing this book and it went through revision after revision.

(*) James Joyce, *A Portrait of the Artist as a Young Man* (New York, The Viking Press, 1958), 7. All references to the novel are to this edition, and page numbers are given in the text.

The beginning of a book always sets the scene in an orderly fashion. In the case of *A Portrait*, it is different. Dante's identity is not clear throughout the novel. Who is Uncle Charles? And Michael Davitt? The novel begins with baby talk: "Once upon a time and a very good time it was there was a moocow coming down along the road and this moocow coming down along the road met a nicens little boy named baby tuckoo." The author is trying to give the impression of the way the mind works. This is the beginning of the stream of consciousness technique, but this term hadn't been coined yet. In 1914—the year of the end of a dispensation—it was called "the act of the imagination". It is an artistic rendition of the way the human mind works. As we go in life thinking the thoughts, we do not stop and explain to make transitions. That's why Joyce never stops to explain who Dante and Uncle Charles and Michael Davitt are. If the novel has to approximate the impression of the working of the human mind, there is no need of transition. When Mrs. Dedalus says:

O, Stephen will apologise.

Dante said:

— O, if not, the eagle will come and pull out his eyes —
Pull out his eyes, Apologise,
Apologise,
Pull out his eyes.

Apologise,
Pull out his eyes,
Pull out his eyes,
Apologise." (p. 8)

you never know for what Stephen should apologise. All of these impressionistic things remain unexplained, and every year, as Stephen completes school, the language, the feelings, the thought become more sophisticated. The means you have in your mind become more complex and complicated as you get older, as you study. The language changes as you go through life, and this is reflected in the novel. Joyce wanted to experiment with the art form of the novel. He does something in *Dubliners* nobody has ever done before. It is an urge toward innovation and toward experimentation.

Why did Joyce use the stream of consciousness technique? He was trying to create a different kind of novel and place a different emphasis on the characters he was dealing with. In the eighteenth and nineteenth century English novels the emphasis was on objective action which everybody more or less regarded from the same point of view. But in the twentieth century there were moral uncertainties, political uncertainties. The world is not the same. A commonly held belief of morality has tended to give more individual responses. There is a shift in emphasis from a major interest in the objective reality to a major interest in the subjective reality—that is, from an objective response to a subjective response.

The problem in such a type of writing is the lack of a dramatic situation. At first a very, very young child speaks. He has almost total recall: his

father has a hairy face, his mother smells nicer than his father. Then Stephen goes to school, gets unjustly punished, gets sick, goes home for Christmas, then he begins to have illicit sexual affairs, but he hears sermons on hell, goes to confession, repents, decides to be a priest, is very religious, and then decides to leave Ireland. No violence. What happens? There is no built-in drama in a school where a student listens to sermons. How am I going to endow this particular material with dramatic tension? This is another advantage of the stream of consciousness technique. The drama is not on the outside, but on the inside. The stream of consciousness gives the writer a drama inside the mind and the reader becomes interested in the workings of the mind. It is a response to the historical, social and artistic situation of the time in which Joyce lives. It is the beginning of the kind of response the novelist is going to make. Also it is a shift in the interest from the objective to the subjective or interior world. The story is told in the mind and through the thoughts of Stephen. Joyce never leaves his mind. You see everything through Stephen's eyes and know everything through his mind and thoughts. Your interpretation of the story is subject to Stephen's. Also there is the feeling that the world is not easy.

Stephen is an alienated child, as this dialogue between him and Fleming in the dining-room of Clongowes Wood School clearly shows:

- What's up? Have you a pain or what's up with you?
 - I don't know, Stephen said.
 - Sick in your bread basket, Fleming said, because your face looks white. It will go away.
 - O yes, Stephen said.
- But he was not sick there. He thought that he was sick in his heart if you could be sick in that place. (p. 13)

After the beginning, the first significant event is Stephen's delirious illness when he is responding to the death of Parnell. No contemporary event has ever impressed Joyce anywhere near as forcibly as Parnell's fall, which took place when he was only eight.

Ireland's worst period was during the Cromwellian régime: 1653-58. Charles Stewart Parnell was the man who could see Ireland's independence through a "home-ruled bill", which would allow Ireland to have representation in the British Parliament. The Catholic Church preferred the amount of power it already had and was afraid of home rule. So, it exposed Parnell as an adulterer. Catholic communicants were told from the pulpits not to vote for Parnell because they would be excommunicated.

Parnell, who was a revolutionist, an Englishman member of the aristocracy, and a Protestant, was a leader who had the virtue of putting people together and make them work. He misbehaved and this took the form of adultery with Kitty O'Shea, the abandoned wife of an army man. Parnell and Kitty had at least one child, and when Major O'Shea asked for divorce, the papers publicised it. The hierarchy of the Roman Catholic Church said that Parnell was an evildoer, an adulterer. Parnell lost the

election. He died of pneumonia immediately after it, on October 6th, 1891. This here, therefore, causes the great argument of the Christmas dinner (pp. 28-40).

This Christmas Dinner scene sets up the elements which are going to form the thematic basic for the novel. It is a magnificent scene. The Irish are great in dialoguing, which is a matter of the ear. The rhythm and pacing are realistic. Around the table we have the extended family, not the nuclear family. Dante had been in a convent, got a lot of money, went to the States, came back, lived with the Dedalus and then left them. Now she is back and attends the dinner.

The great argument of the Christmas dinner—this most miserable meal in literature—is that the church said we may not follow a man who is an evildoer. Dante says that the church is right because without authority or hierarchy there is no church and you should be ashamed of yourselves for criticising the Catholic bishops. It is the first Christmas dinner that the family is together. They had already been in the Mass. With the introduction of the death of Parnell (p. 31), the kinetic quality of the novel is given by the rejections that Stephen is going to make. He is going to reject Catholicism, his family, and politics and his country. First the statement of these rejections, then the establishment of how much the church means to Stephen.

The Christmas dinner scene is the statement of the theme of *A Portrait*. Where is the tension? In the series of rejections that young Stephen is going to make—church, politics and loyalty to his own family—in order to free himself, to pursue his art. These three things or elements are introduced in the Christmas dinner. His relationship with the church was much more emotional and intellectual than with his family. Joyce's family had lived in Cork and his father used to sell something off and on, and to live off of it. John Joyce was employed in various capacities, but never did well. Off all of Joyce's emotions, as they figure in his work, the strongest were undoubtedly those centering on his father. From most points of view John Joyce was a highly unsatisfactory parent: selfish, irresponsible, a heavy drinker, "a priaser of his own past". Simon Dedalus, Stephen's father, is viewed without affection in the *Portrait*. The opening paragraphs form a compact overture with the father quickly established as an alien physical presence, even though in the very first sentence he appears in a sympathetic light. Here Mr. Dedalus is telling a story, furnishing the infant Stephen with a model of the art which he is one day to practice. Mrs. Dedalus, on the other hand, is a shadowy figure in the *Portrait*, and in *Ulysses* she is already dead. Joyce's feelings about her were also distorted.

For Yeats, Irish politics were really a deep concern. Auden says that Yeats was led into poetry by mad Ireland. Joyce was not too much concerned about family and politics, but he was concerned with the church. Before Joyce has to give up or renounce the church, he has to establish the validity of his attachment to religion, and this is important in the understanding of the novel. Joyce got to establish a sense of the fact that he is depriving himself of something when the rejection comes. He has to

establish the depth of the church's influence. He falls away from the church and begins to consort with loose women. Then comes the series of sermons on hell by Father Arnall. The first sermon begins with the eternal God creating angels and then their revolt. There has been theological speculation that Satan's sin was pride. Father Arnall says that Satan said to God: "*Non serviam*. I will not serve (p. 17)," that is, "I will not serve the divine hierarchy." Stephen is going to pick up this line late. The father talks about creation, fall, redemption, living, choice. He talks about hell because he wants the boys to be good boys. Hell burns, smells badly, has ugliness, is crowded. Stephen is deeply moved by this. He goes to another part of town, finds another priest who doesn't know him, confesses and is absolved. For him it is deeply real, as to be born again. He has repented his sin and starts living in a very repentant way. He is deeply affected by all this before his rejections of the church. He feels a great burst of happiness, and the reader has to understand how sincerely Stephen wants to be a priest. The question of whether he has indeed a vocation for the priesthood is put to him temperately and wisely by a Jesuit director (pp. 159-60). He will be a high priest on the social scale. Given the limitations of celibacy, he will have a good life. He is tempted by the thought of secret knowledge and power. But when he sees the priests crossing the bridge he feels the sense of freedom very strong in him. This group of lay preachers is walking like soldiers in formation. Stephen then refuses to be a priest. A thirst, a desire, and a necessity for freedom is the answer.

"He drew forth a phrase from his treasure and spoke it softly:
A day of dappled seaborne clouds. —" (p. 166)

This is Stephen Dedalus' moment of apocalypse. He realizes that he has apprehended something beautiful.

Between 1900 and 1903 Joyce set down in his notebooks his "Epiphanies": brief prose sketches, some of them lyrical and dreamlike, the majority recording, without comment, drab domestic scenes and banal everyday occurrences. Epiphany is one of the seasons of the Christian year. Joyce was conscious of being a variation of the Jesuit Thomas Aquinas. Epiphany means disclosure, the discovery of the Christ child to the gentiles. Young Joyce used to write two or three short paragraphs which he thought contained quintessential aspects of life and which seemed to him to disclose certain aspects of the human condition. The epiphany scene happens when Stephen discovers what he is going to do. He is walking along the estuary and hears his friends calling to him in Latin (p. 167). He ignores them and walks into the water. The going into the water is symbolic of baptism, from one perception of reality to another perception of reality. This is a kind of a reverse baptism scene. In the case of Stephen, this baptism is getting out of religion, and into a belief in art. "Yes! Yes! Yes! He would create proudly out of the freedom and power of his soul, as the great artificer whose name he bore, a living thing, new and soaring and beautiful, impalpable, imperishable (pp. 169-170)." Dedalus, the artificer! Stephen sees the symbolism in his own name!

Stephen's major epiphany occurs at the end of Chapter IV as he stands on the seashore gazing at an unknown girl. "A girl stood before him in midstream, alone and still, gazing out to sea. She seemed like one whom magic had changed into the likeness of a strange and beautiful seabird. (p. 171)." He sees her in terms of a bird. Historically, every religion has bird symbolism. Birds are, almost universally, symbols of something good, suggestive of life, vitality, fertility. Stephen suddenly sees himself clearly for the first time and he knows what he must do.

"Heavenly God! cried Stephen's soul, in an outburst of profane joy.

— He turned away from her suddenly and set off across the strand." (p. 171)

There is no turning back after this point. "To live, to err, to fall, to triumph, to recreate life out of life! A wild angel appeared to him, the angel of mortal youth and beauty, an envoy from the fair courts of life, to throw open before him in an instant of ecstasy the gates of all the ways of error and glory. On and on and on and on (p. 172)!"

When he looks at the girl he remembers Keats. He thinks of her mortality. She is going to die soon. He emphasises her mortal beauty. Nothing irregular or illicit in this. It is a "profane joy" which refers to "mortal beauty". According to Catholic theology, the Virgin did not die but was translated into heaven. If Joyce wants to be a Jesuit priest, he can go with the Virgin. But since the creation of art is a function of man's mortality, if he wants to take to writing poetry, he has to attach himself to mortal beauty and not to the immortal beauty of the Virgin. But all writers want immortality. They all want to live on. Faulkner wrote about the demon which made him write. Shakespear had said that the things of the world are subject to decay, but his poetry is living for ever. The immortality which comes with the creation of art is associated with spiritual immortality. Andrew Marvell, in the opening of his poem "To His Coy Mistress", said "Had we but World enough, and Time." It is about death that the writers write. They create artistic beauty out of this mortal beauty. Stephen is going to create an immortal art out of this mortal beauty which will make him immortal. Stephen, who in his adolescence had been groomed for a priestly vocation as the Prefect of Sadality, had lost his faith for good, and came to regard the grip exercised by the Church as one of the prime causes of Ireland's "paralysis". As a final gesture of dissatisfaction from Rome on Joyce's part, the Earwickers—(Humphrey Chimpden Earwicker is the central character of *Finnegans Wake*)—, in fact, turn out to be Protestants. Stephen is not going to believe anymore in his religion, and he is going to take a stand. It is not because of a lack of respect for the old religion, but because of a new religion. Abandoning Catholicism, Joyce clung to a sacramental view of the world, with art taking the place of religion.

A priest says the Mass and the elements of the Mass are said to be miraculously transferred. In art, you start off with the sluggish material of the earth and end up with the finished work of art. The mortal beauty points the other way to the artist. He starts with the image of the mortal girl who tells him "Here is the way to go". Stephen is going to be a priest of art. He is going to found the new theology of art. He talks about the aesthetic quality of art. He says that the aesthetic experience is beyond good and evil. It is on the level of beauty. He has seen this girl, but not in sexual terms. The dean of studies says: "You are an artist, are you not, Mr. Dedalus? ... The object of the artist is the creation of the beautiful (p. 185)." Then Stephen's aesthetic period follows. "Art, said Stephen, is the human disposition of sensible or intelligible matter for an aesthetic end (p. 207)."

Joyce says that there are three things necessary for beauty: "wholeness, harmony and radiance (p. 211)." Radiance is the quality of divinity, according to Aquinas. Stephen's aesthetic theories are pierced together out of fragments of theology. Art is going to be his new religion. He believes some of his artistic energy might be drained off by his religious belief. "The artist, like the God of creation, remains within or behind or beyond or above his handiwork, invisible, refined out of existence, indifferent, paring his fingernails (p. 215)."

Stephen tells Cranly what he will not do. He will not serve that in which he no longer believes: family, church and country. "I will not serve that in which I no longer believe, whether it call itself my home, my fatherland, or my church: and I will try to express myself in some mode of life or art as freely as I can and as wholly as I can, using for my defence the only arms I allow myself to use—silence, exile, and cunning (p. 247)". Cranly warns him: "Alone, quite alone. You have no fear of that. And you know what that word means? Not only to be separate from all others but to have not even one friend." But Stephen does not fear to be alone, and is not afraid of making a mistake for eternity either. As Satan, he said "I will not serve." It is a sort of twentieth century version of the Faustus legend. He says "I do not believe," but he never said that he is sure God doesn't exist. He is willing to take any chance and to suffer whatever he has to suffer. Stephen says that he is willing to risk all simply to embrace his dreams to be immortal in his art. He says he will risk hell (p. 247) for the sake of his art, and the religion of his art. If he is wrong about art and religion, he will go to hell. Soon he will be able to write in his diary the final truth about himself: "I desire to press in my arms the loveliness which has not come into the world" (p. 251), and "Old father, old artificer, stand me now and ever in good stead (p. 253)." Stephen, like Icarus, is heading for a fall. As to Joyce, he has been in his grave but we are reading him and he lives "on and on and on and on" in a kind of immortality.

Bibliography

- Joyce, James. *A Portrait of the Artist as a Young Man*. New York: The Viking Press, 1958.
Stewart, J. I. M., *James Joyce*. London: Longman, 1971.
Levin, Harry. *The Portable James Joyce*. Kingsport: Kingsport Press, 1978.
Blamires, Harry. *The Bloomsday Book*. London: Methuen, 1976.
Gross, John. *Joyce*. London: The Chaucer Press, 1971.

Universidade Federal de Pernambuco
Recife, PE

TRAVELLER'S NOTES: THE WORDSWORTH COUNTRY

OLGA CREIDY

The *Lake District* is by all means one of the most beautiful regions in Britain, on the north-west coast of the country, at the border with Scotland.

It is a land of extremes and contrasts such as high mountains and deep lakes, rough mountains and green valleys, rocky mountains and green beaches. Much of the charm of the region is due to the many "tarns" (small ponds) on the "fells" (high mountains) and foamy water-falls. Amidst the beautiful scenery visitors are enchanted to see the series of breathtaking panoramas of majesty and grandeur which have inspired so many writers and poets.

The beauty of Lake District has attracted literary people and it is a great pilgrimage centre. Each year an increasing number of people visit the places closely associated with the poet *William Wordsworth*, in the heart of the English Lakeland.

Wordsworth, chief of the "Lake Poets", was born in the little town of *Cockermouth*, in April 1770. The 18th Century house is on the wide and attractive main street. WORDSWORTH HOUSE, as it is now called, is owned by the National Trust and is open to visitors in spring and summer. It houses one of the finest collections of his relics.

This is an excellent centre from where to visit the other towns around, including the ruins of the Castle where Mary Stuart, Queen of Scotland, once took refuge, and the lovely gardens which are worth of a visit.

From there a stop can be made at *Hawkshead*, near the head of Esthwaite Water, and where the poet went to school as a young boy. The Grammar School, built in Tudor Style, houses an item all visitors want to see— it is the schoolroom desk which belonged to Wordsworth and in which he engraved his name!

Then literary pilgrims go to the town of *Grasmere* surrounded by mountains and hills, and beautifully placed on the banks of Lake Grasmere. This peaceful little town has long been a favourite place for visiting the large number of picturesque houses, one of which is DOVE COTTAGE

where the poet lived for many years. The house, a large twostorey building, is a WORDSWORTH MUSEUM now and is open to the public. Visitors feel the comforting atmosphere of an old country house. They inspect the furniture, pictures, objects of personal use, as well as manuscript, books, etc., associated with the great poet. But the attractions are not confined to the house; its delightful arboured garden is a pleasure in itself and it makes the most immediate impression on both the eye and the imagination. Through the bow-window of the living room on the main floor of Dove Cottage, or climbing the hills nearby, one can gaze upon the panorama of sky and water, green grass and trees much beloved by the poet!

The poet's burial place also draws pilgrims. He passed away in 1850 and his body lies in Grasmere Churchyard, a site full of poetic charm surrounded by a beautiful garden, not very far from the author's home.

One of the important events for literary pilgrims is THE WORDSWORTH FESTIVAL which takes place in April and includes poetry readings, lectures about the poet's work and dealing with the most important aspects of his poems, as well as performances of the poet's only play "The Borderers". Grasmere is also the place where the Traditional Lakeland Sports are held. They include wrestling, hunting, etc., and take place every year in August. Visitors enjoy attending this contest and appreciate the *Rushbearing Festival*—a tradition of many centuries; it consists of a procession through the streets of the town with children bearing branches of scent herb to offer them to the Parish Church, in a Thanksgiving Ceremony for the farmer's harvest.

From Grasmere people usually go east to the nearby *Rydal Mount* another lovely small town where Wordsworth spent the last 37 years of his life. The house where he lived is a MUSEUM now and it is open to the public. "The Wordsworth Rydal Mount Trust" has been formed to raise funds and maintain the property. The house was never owned by Wordsworth but he adapted it to the needs of his family, and also added a study where he could work. Visitors can see the bedrooms occupied by the poet and his wife, his daughter, and his sister, as well as the drawing-room and study—which are as they were in the poet's time. The garden considered as one of the most interesting small gardens in England, was designed by Wordsworth and features two terraces along which he would walk while composing his poetry. The house and the garden have changed very little, but the Trust provide a few bedrooms for those literary pilgrims who wish to stay for a time in the house.

Visitors enjoy so much the finest panorama of mountain scenery and lovely lakes that they never get tired of touring other pretty little towns for exploring the region.

Some people like taking a cruise on *Windermere Lake*, the largest one in England, while others prefer *Windermere Spa*—a touristic centre with an endless variety to appeal to all age group. Your preference could be the historic city of *Kendal*, the old market town full of arcades, stone-paved yards, and the pioneer centre of wool industry in England. You will appreciate the interesting feature of this place: the daily event of English,

Scottish, Welsh and Irish music played six times a day by the Town Hall Carillon!

Wordsworth spent some time away from his beloved Lake District. He went to *St. John's College, Cambridge* where he studied. Later on he settled first at *Racedown, Dorset*, and then at *Alfoxden Park, Somerset*—at a walking distance of his friend S. T. Coleridge who lived at *Nether Stowey*! It is interesting to know that *Alfoxden Park* is a Hotel now; people can stay there and make tours to the nearby places. One of the preferred sites to visit is the Roman Wall also known as Hadrian's Wall which was built by the Romans in A.D. 122-26 as a defensive barrier against the tribes of the north.

Apart from these short periods of time Wordsworth spent all his life in the Lake District region.

Among the many sceneries of this region celebrated in Wordsworth's poems are the beaches of *Lake Ullswater* where the white sand that encircles the lake is bordered with the golden narcissus—exactly as it used to be in the poet's time.

A journey to this extremely scenic region should not be missed. In such a beautiful region like this visitors would expect to find a typical rural England and they will not be disappointed. The country side and villages have not altered much since Wordsworth's days.

William Wordsworth, the great Poet Laureate, had an exceptional importance in the development of literature. Some of his poems changed the whole conception of poetic values with the use of ordinary speech in poetry. Furthermore, his philosophy of a return to nature established a tradition which was followed by later poets.

After a visit to Lake District we can understand the influence of the countryside on the poet who so well expressed his love of nature in numerous poems. Wordsworth was one of the first poets to express his feelings about those scenic beauties of the region, one of the supreme gems of the English landscape!

Pontificia Universidade Católica do Rio Grande do Sul
Porto Alegre, RS

REVIEW OF *THE AMERICAN WAY: AN INTRODUCTION TO AMERICAN CULTURE* BY EDWARD N. KEARNY, MARY ANN KEARNY AND JO ANN CRANDALL.*

FRANCISCO GOMES DE MATOS

The early 80s have been witnessing the appearance of well-conceived and carefully, creatively designed textbooks aiming at helping high—intermediate and advanced learners of English as a second or foreign language acquire a reasonable degree of crosscultural competence. Typical examples of this promising trend are *Beyond Language - Intercultural Communication for English as a Second Language* by Deena R. Levine and Mara B. Adelman. Prentice-Hall, 1982, xvii, 223 p. and the text to be reviewed here.

The American Way has 12 chapters, varying in length from 17 to 22 pages. Its purpose, according to the Kearny and Crandall, is "To increase students' awareness and understanding of the cultural values of the United States, their own country, and, it is hoped, other countries" (ix). Thematically, TAW is very well unified: readers first get a brief Introduction and then proceed to learning and discussing about Basic American Values and Beliefs, The Protestant Heritage, The Frontier Heritage, The Heritage of Abundance, The World of Business, Government and Politics, Ethnic and Racial Assimilation in the United States, Education in the United States, Organized Sports and Recreation, The American Family, and American Values at the Crossroads. The book's exercise repertoire is both varied and extensive: 16 types of activities with different 'challenge levels', to use the term adopted by this reviewer in his article *Constructing and using challenging exercises in World Language English*, January, 1983. Particularly engaging activities are Ask Yourself, Ask Americans, Suggestions for Research, and People Watching.

Every chapter but the last opens with a 'cross-cultural anecdote': there are 3 on Russians, 2 on Koreans, and 1 each on students from Saudi Arabia, Japan, Iran and Brazil. There is also an anecdote on an American woman in the Federal Republic of Germany. Some Brazilian users of this

textbook may object to the choice of the text with which the authors have tried to illustrate that "The executive branch has much more power in Brazil than in the United States" (p. 121). The "Brazilian woman's reply that" the President can just tell the Congress to take a vacation..." may be considered too sarcastic. Had the anecdote been submitted to Brazilian cultural anthropologists or sociologists, the text might have been more accurately revealing of the interaction between the executive and the legislative powers in Brazil.

Given TAW's strong and commendable emphasis on American *beliefs* and *values*, the culminating, personally engaging activity for the book could well be one of challenging the reader to make up his or her own listing of things Americans believe in and value the most, in comparison with those characterizing the belief and valuing systems in the learner's own country. As 'clues' for such synthesis-listing, students could be told to look for key statements containing the words *believe*, *belief*, and *value*.

Interestingly, the phrase *the price to pay to be paid for* occurs where one would expect 'effect' or 'consequence': "...price paid for equality of opportunity: competition" (p. 23), "... price (paid) for... material wealth: hard work" (p. 24). "One of the prices paid by a society that becomes industrialized is pollution" (p. 98). Crossculturally, the authors' use of 'price' may also reveal another aspect of how Americans map or describe aspects of culture and society.

In short, this book may prove to be a formative and informative, personally engaging instrument giving ESL/EFL learners an introduction to the fascinating domain of crosscultural experiencing. The high readability and transparency of *The American Way*, enhanced by a sober but attractive graphic design, make it a must-item for use in courses dealing with intelligently selected aspects of life in the United States. Both authors and the publisher are to be congratulated for having demonstrated that ours is slowly but firmly becoming the age of valuing one's own cultural heritage and of respecting and of understanding the cultures and societies of other fellow human beings.

In a second edition it is suggested that a chapter on *American values and the world* be added or integrated to the book's otherwise excellent closing chapter. Perhaps an accompanying recording (cassette) could be made of the elegantly, clearly written reading for the benefit of nonnative teachers from abroad.

Universidade Federal de Pernambuco
Recife, PE

(*) Englewood Cliffs, New Jersey, Prentice-Hall, 1984, ix, 241 p.

IT PAYS TO BE UP-TO-DATE
BUT LET'S NOT BE TOO TRENDY *

FRANCISCO GOMES DE MATOS

Being up-to-date in the field of teaching English as a second or a foreign language is one of the positive requirements being met by a growing number of truly responsible professionals all over the world. There is, nevertheless, a slowly emerging, pedagogically dangerous corresponding tendency for teachers, teacher-trainers and even materials designers to adopt concepts, terminology, results of scientific research in language, language learning and teaching, the English language and incorporate such input in actual language learning situations without first critically questioning the relevance of such hasty applications. It is, therefore, the goal of this brief article to warn members of our respectable profession against the unrealistics, unproductive practices which may be subsumed by the label 'trendy'. To do so, a dual format will be used: an example of how to be up-to-date will be immediately followed by an instance of how to be trendy. It should be understood that the term 'trendy' is used in the sense of 'pedagogically undesirable.' In fairness to the important, indispensable work being carried out by applied linguists (this author belongs to that professional domain, too), it should be clarified that applications are not intrinsically good or bad, effective or ineffective — it is rather the use of insights, concepts, principles, research results from linguistics (as well as from psychology, sociology, education to name but a few of the contributory fields) that can turn out to be appropriate, relevant, or meaningful. While advocating the judicious, well thought-out and classroom-tested application of linguistics and other fields, I can't help drawing the ESL teacher's attention to the need for resisting the temptation of being scientifically trendy. In short, think first and foremost of your learner: his or her needs, interests, potentialities and how best to help him or her achieve personally meaningful or professionally productive goals. By avoiding being 'trendy' you will be contributing to making the ESL profession

(*) Transcrito da revista japonesa publicada pelo Center for Foreign Language Education and Research, Nagoya Gakuin University, n.º 9 (1983): 1-5.

more effective in the variety of services it can render to the community in which you work. Bibliographical references will be given.

A CONTRASTIVE EXEMPLIFICATION CHECKLIST

1.
 - a. *Being up-to-date* means learning how to adjust your speech when talking with your beginning students, so that they can develop their comprehension. Such 'speech-simplification' process would not distort your utterances, though.
 - b. *Being trendy* would mean the wholesale, uncritical adoption of strategies for input simplification as described by conversational analysts interested in 'foreigner talk.' A typical source is Evelyn Hatch's article "Simplified Input and Second Language Acquisition", in Roger Anderson (ed.), *Pidginization and Creolization as Language Acquisition*. Rowley, Massachusetts: Newbury House Publishers, 1983:64-86.
2.
 - a. *Being up-to-date* means learning the possible meanings of common gestures in American English or British English and how they differ from those used in Japanese culture, for example.
 - b. *Being trendy* would mean getting your intermediate-level students not only to discuss cross-cultural gestural differences but actually to act the nonverbal behavior so as to both sound and *look* like a native speaker. That would involve asking students to use 'It was nice meeting you' (at 1 foot apart), 'Hope to see you again sometime' (at 6 feet apart) and 'Take care' (at 15 feet apart) while performing or acting out leave-takings.
Source: Deena R. Levine and Mara B. Adelman, *Beyond Language. Intercultural communication for English as a second language*. Englewood Cliffs, New Jersey: Prentice-Hall, 1982.
3.
 - a. *Being up-to-date* means doing textbook 'content analysis' so as to find out (I) how much emphasis there is on intellectually challenging exercises and (II) what processes or operations are involved in such exercises. Another possibility of being methodologically up-to-date: evaluating exercises (in a textbook or your own creations) as to how open-ended they are, rather than 'closed' or of the 'predictable answer' type.
 - b. *Being trendy* would mean designing presumably challenging activities without considering any grading as far as the number and types of intellectual or cognitive challenges involved, for example: a one-challenge exercise; a double-challenge exercise; a triple-challenge exercises; a one-syntactic operation plus a double-lexical creation exercise.
Sources: Francisco Gomes de Matos, 'Structural-Cognitive Approaches and Text-books' in Robert B. Kaplan, et al. (eds.) *Annual Review of Applied Linguistics* (1980). First volume in the series

known as *ARAL*. Rowley, Massachusetts: Newbury House, 1981:26-42.

Francisco Gomes de Matos, "Constructing and using challenging exercises", article to appear in *World Language English*, journal for the international teacher of English, published by Pergamon Press.

4.
 - a. *Being up-to-date* means being intelligently informed as to how to classify learners' errors from different perspectives such as (I) a surface structure approach—learners errors are of different types: Addition, Omission, Misformation, Misordering; (II) a developmental approach—your ESL learners' errors are often similar to those found in the speech of native English-speaking children; (III) an interlingual approach—your students sometimes construct sentences which 'look like' Japanese in terms of grammatical organization or sequencing; (IV) a communicative effect approach—some of your students' errors may disturb comprehensibility, whereas other errors might not interfere with intelligibility. Another possibility of being methodologically up-to-date: designing your own 'scale of error gravity', one that 'works' in your everyday teaching and that helps learners become increasingly more self-confident as users (speakers, listeners, readers or writers) of English as a second language.
 - b. *Being trendy* would mean using the concepts and terminology found in error analysts' works in the classroom without any pedagogical 'translation' or adaptation of such conceptually abstract or dense framework. Thus, terms such as 'archforms,' 'double-marking,' would be incorporated into your 'technolect' so as to impress your students or to give evidence of your scientific erudition. Please, do avoid that, for your students' sake and for the sake of your own pedagogical effectiveness.
Source: Heidi Dulay, Marina Burt and Stephen Krashen, *Language Two*. New York, Oxford University Press, 1982. See especially Chapter 7, Errors: 138-199.
5.
 - a. *Being up-to-date* means learning how to sensitize Japanese learners (who need to acquire conversational competence) to English intonation patterns through exercises involving imitation and discrimination—in full contexts of spoken discourse.
 - b. *Being trendy* would mean presenting an abstract notation (or transcription) system which Japanese students would be required to master and use. By getting your learners to transcribe patterns of undulated pitch you would then feel individually self-realized. Such pedagogical illusion (or self-deceit) can do a lot of harm to human relations in the classroom and enhance a negative image of the functions or purposes of English language education.
Source: David Brazil et al., *Discourse Intonation and Language Teaching*. London and New York, Longman Group, 1980. See especially Chapter 9, Intonation and language teaching.

6.
 - a. *Being up-to-date* means becoming knowledgeable concerning how interdisciplinary scientists describe conversation, for example, in terms of Pre-sequences: pre-invitations, pre-requests, pre-arrangements, pre-announcements. Knowing how 'turn-taking' works in two or three-speaker conversational exchanges may prove insightful to your own work as 'discourse manager' in the classroom.
 - b. *Being trendy* would mean requiring that your beginning students identify the types of 'adjacency pairs' which might occur in specific conversations (offer-acceptance, apology-minimization, for example) rather than concentrate on your learners' developing initial fluency.
Source: Stephen Levinson, *Pragmatics*. Cambridge University Press, 1983.
In closing, may I stress that the books mentioned above can all prove extremely useful if taken as 'formative sources' rather than as 'direct application' tools. Let me quote from a recent, educationally sound, interdisciplinarily-oriented work: 'Do not apply linguistics or other sciences too directly or too hastily to problems of language teaching' H. H. Stern, *Fundamental Concepts of Language Teaching*. Oxford University Press, 1983: 186. I wholeheartedly agree with that educational linguist and hope that you will, too. Let's do our very best to be up-to-date but let's not be (unproductively) trendy.

ABSTRACT

It Pays to Be Up-to-date
But Let's Not Be Too Trendy

Francisco Gomes de Matos

Although being up-to-date in ESL/EFL is an important professional requirement for teachers, it should not be mistakenly confused with being trendy. A professional in the teaching of English as a second language is being trendy when he or she misapplies the findings or results of linguistic, psychological, educational research either in the classroom or in teaching-learning materials. By providing examples contrasting what is meant by 'being up-to-date' and 'being trendy,' a case is made by the author (an applied linguist engaged in EFL) for colleagues to avoid being unproductively trendy in their methodological actions.

Universidade Federal de Pernambuco
Recife, PE

ROBERT B. KAPLAN, *ANNUAL REVIEW
OF APPLIED LINGUISTICS*.
(Rowley, Mass.: Newbury House Publishers 1981)*

REVIEWED BY BERNARD SPOLSKY

This is the first of a planned series of reviews in the field of applied linguistics. As Robert Kaplan points out in his introduction, the idea of an annual review such as this originated with the Executive Committee of the newly established American Association for Applied Linguistics—the actual proposer was, as I recall, Wilga Rivers—but the association did not follow up the idea, and the initiative moved to Kaplan. Publication of the review is promised for at least five years, at which time the publisher will consider whether it has proved its worth.

Annual reviews serve various purposes. The best-known reviews are in fields such as anthropology and psychology, where they permit the members of a large defined discipline to learn what is going on in the many parts of the field that they themselves have no time to deal with. Reviews are rarer in fields like linguistics that continue to assume, probably unrealistically, that scholars keep up with all sections of the field. Published in association with centralized bibliographies, they serve as checks for younger scholars, and signposts to the careers and standing of older scholars: they record changes in focus and reputation. The present series has a different aim, for, like other aspects of Kaplan's professional work—including the American Association for Applied Linguistics, his publication *On the Scope of Applied Linguistics*, and this journal, all of which he helped to establish—its central purpose is in fact to define the field of applied linguistics itself.

In this task, it is quite clear that Kaplan favours the wider rather than the narrower view: he includes psycholinguistics and sociolinguistics as part of applied linguistics, rather than as parallel hyphenated fields. In this imperialism, he is following the lead of the International Association for Applied Linguistics rather than the more normal American delineation or the even narrower British view.

*From *Applied Linguistics* (Spring 1983), journal published by Oxford University Press.

Review articles are hard to read, especially if they do not provide an integrated analysis of the work they report. Perhaps because they lacked models, many of the writers in this volume failed to meet this requirement, and leave us therefore with comparatively unorganized idiosyncratic comments and lists of bibliography. For future contributors to this series, three articles in particular can be cited as useful models of how to write a review article: Gomes de Matos on structural-cognitive approaches to language teaching, Caramazza and McGloskey on theory and problems in psycholinguistics (probably the best exemplar of the genre in the book), and Richards on error analysis (although one might feel that the organization of the article has not altogether overcome the somewhat chaotic theoretical state of the field). In two cases, we have more than we can usually expect of review articles: the highly personal papers by Fishman and Ollaer.

Fishman's summary of 'Theoretical issues and problems in the sociolinguistic enterprise' is another in a series of statements that he has been making, usually in prefaces or postscripts to his many books, about the development of a new field. The analogy with Kaplan's work is interesting, for Fishman has himself been deeply involved over the last fifteen years or so in attempts to define the field of sociolinguistics. Fishman points out frankly the limited recognition that the field has received from one of its parents, linguistics, and its virtual failure to make a serious mark on the other parent, sociology. His analysis of why this has happened, in spite of the major substantive contributions that have been made within the field itself, will be of much interest to those concerned with a parallel attempt to define the area of applied linguistics.

Another bonus, and one of the more significant papers in the volume under review, is the paper by John Oller on language testing research, a paper in which Oller does not just review work that contradicts some of his own earlier positions, but accepts the correctness of many of the attacks. Thus, we find that Oller accepts the recent criticism of the cloze technique that has come to be associated with him, sees the value of discrete point tests, acknowledges the successful demolition of the strong version of the unitary factor hypothesis that he has worked so hard to establish, and concludes that 'it may in fact be premature to try to judge too dogmatically whether deep language ability and intelligence are really distinct'.

It is unusual and refreshing to find a scholar reviewing and modifying at one swoop so many positions that he has once held strongly: this article may become a model of the graceful art of revising one's opinions in public. One may contrast this with many other scholars who seem to keep on adjusting their own views without once admitting that they were ever wrong.

In the introduction, Kaplan discusses the selection of areas to be covered in *ARAL*. He sets out three principles:

- 1 to cover areas not covered in other reviews;

- 2 to avoid duplication of bibliographic activity; and
- 3 to provide regular, but not necessarily annual, coverage of each of the selected areas.

In Wilga Rivers' original conception, she was aiming for something that would be different from a journal, but each issue of which would be worth buying as a state of the art survey of a specific field: by this she seemed to suggest that each volume should have a single theme. Kaplan has chosen here to follow a somewhat different line, venturing into the same mine-fields that caused such anguish to the ACTFL *Review of Foreign Language Education*. We will all wish him luck with this new initiative, and hope that future issues will show more uniformly the high standards that some of the contributors to this volume have reached. We will also hope that the market will be able to support this worthwhile project.

Bar-Ilan University

JOYCE'S *ULYSSES*: THE MUSIC OF CHAPTER 11
 Aíla de Oliveira Gomes
 (In *Estudos Anglo-Americanos*, n.ºs 5-6, 81-82)

ERRATA			
PÁG.	LINHA	ONDE SE LE	LEIA-SE
4	2	ninted	hinted
7	5	stop	stops
10	11	throght	thought
11	12	sanity	satiny
14	33	I	It
16	18	Rhynegold	Rheingold
16	23	years	days
18	2	performance	performances
24	18	benn	been
25	última l.		fifths
26	na notação musical	p	up
28	2 do últi. parag.	seem retain	seem to retain
34	Nota 24	Tyndall, W. Y.	Tindall, W. Y. — e acrescente-se o título do livro, <i>James Joyce</i> .



Este livro foi impresso
(com filmes fornecidos pela Editora)
na Gráfica Editora Bisordi Ltda.,
à Rua Santa Clara, 54 (Brás),
São Paulo.