

ISL

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郑红霞

Literature, Text, and Theory: An Interview with Professor William Baker

Li Yafei & William Baker

Abstract: William Baker is Distinguished Research Professor Emeritus at Northern Illinois University, whose scholarly interests include 19th and 20th-century British Literature, Bibliography and Shakespeare. Baker has authored, co-authored and edited over thirty works on amongst others Jane Austen, Wilkie Collins, George Eliot, Harold Pinter, Tom Stoppard, and William Shakespeare. Editor of *George Eliot - George Henry Lewes Studies* and book review editor and consultant for *Style*, Baker co-edits *The Year's Work in English Studies* and also does reviews for *Times Literary Supplement (TLS)* and other journals. During Professor Baker's academic visit to the English Department of Shanghai Jiao Tong University in November 2017, Li Yafei interviewed him on a wide range of issues. In this interview, Baker not only shares his personal experiences of engaging himself in studying literature, but also expresses his penetrating insights into William Shakespeare, Tom Stoppard, and Matthew Arnold. In addition, as a "textual historical critic" and bibliographer, Baker offers his thought-provoking viewpoints on both literary texts and literary theories. Moreover, Professor Baker, with reference to his rich experience as a literary researcher and professor, offers valuable suggestions for young scholars.

Key words: literature; bibliography; Shakespeare; Tom Stoppard; literary theory

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标题: 文学、文本、理论：威廉·贝克教授访谈录

内容摘要: 威廉贝克是美国北伊利诺伊大学杰出研究教授，兼任《乔治艾略特—乔治·亨利·路易斯研究》杂志主编、《文体》杂志书评编辑等，其主要研究领域为 19 世纪和 20 世纪英国文学与文献学，出版著作（编著）三十多部。

2017年11月，在贝克教授来上海交通大学外国语学院讲学期间，李亚飞博士对其进行了学术专访。在访谈中，贝克教授不仅分享了自己从事文学研究领域的经验，而且还围绕威廉·莎士比亚、汤姆·斯托帕德、马修·阿诺德等人的作品发表了自己的观点。此外，作为一名“文本历史批评家”，贝克教授还畅谈了他对文学文本和文学理论的看法。

关键词：文学；文献学；文学理论

作者简介：李亚飞，上海交通大学外国语学院博士研究生，主要学术研究领域为叙事学与英美文学；威廉·贝克，美国北伊利诺伊大学英语系教授，《乔治·艾略特—乔治·亨利·路易斯研究》杂志主编，主要学术研究领域为19世纪和20世纪英国文学与文献学。

Li Yafei (Li for short hereafter): Good evening Professor Baker, very nice meeting you at Shanghai Jiao Tong University and I am very much honored to have the opportunity to interview you. As a leading scholar in literary studies, particularly in the arena of 19th and 20th-century British Literature, you have published widely on Shakespeare, Jane Austen, Gorge Eliot, Wilkie Collins, Harold Pinter, as well as Tom Stoppard and others. What brings you to engage yourself in studying English literature and particularly what makes you to focus your study on these writers?

William Baker (Baker for short hereafter): That's very interesting and very good question. I'll give you a very personal answer. When I was growing up in post-war Britain, on the radio every Sunday evening, there used to be broadcast adaptations of great nineteenth-century novelists, such as Dickens, George Eliot, Wilkie Collins, and Walter Scott amongst others. My mother always used to listen to these adaptations and my father as well. I got so engrossed in them. There was for instance a broadcast of Walter Scott's novel, *Redgauntlet*. It was the last but one episode. I was so excited by what was happening, and I hadn't the patience to wait for the next episode the following Sunday, so I had a sleepless night, thinking of the possibilities of the ending. Our school was opposite the local library, so in the morning I went to the local library and read the last three pages of the novel. I must say I was very disappointed by how it ended up. I then went to school: the school had a very strict policy about being late for school. The headmaster was a man called Mr. Ralph. I can see him now, and this was sixty years ago. He had a very big head, very big skull, no hair, and he had funny horn-rimmed glasses. If you were late, you would go into his study. He had a cane. He looked at me, and he said: "Willy [I was called by my nick-name] Baker, I'm absolutely amazed, what's your excuse boy?" — Great emphasis on the word "boy" expressed with

considerable contempt. I answered: “Walter Scott, Sir.” “Pardon?” He said, “I don’t believe this, what do you mean by Walter Scott, tell me about Walter Scott.” I told him that I listened to the Sunday evening serial on the radio. He replied: “No, other better things to do, why?” I said it was the penultimate episode, and I was so excited by this on the radio that I had to go to the library and find out how the novel ended, and that’s why I was late for school. He put the cane down, and he said to me: “Was it worth it, Willy?” I said: “Not really, sir; It was very disappointing.” He said: “I’m not interested in the ending, get out of my study, don’t waste my time, and send me the next *boy*.” So that illustrated the fascination which literature had for me from early on: I used to hear it on the radio.

Li: Yes, that’s a very interesting experience. So that can be your very first encounter with literature, and you started with interest.

Baker: Yes. That was more or less the first thing. Secondly, I had very sympathetic school teachers. The English master at the school I was in, the senior English teacher, he encouraged me very much. He thought I was very appreciative of poetry. He loved poetry. He didn’t meet many boys interested in poetry. It was an all-boys school. The school was segregated, unlike today. He used to encourage me and wanted me to stay on at school, because in my generation, you left school very early, at 14 or 15. He wanted me to stay on to take the examinations in English literature, in English language, in mathematics, and in history. And actually five boys were chosen, and I remember Mr. Ralph contacted the parents. Because some of the boys were from poor families, their parents wanted them to go out, to leave school at fourteen to go to work. Mr. Ralph contacted my mother and said: “Can you afford to let your son remain another year at school?” My mother told him: “Yes, study is very important; I don’t mind, let him study.” Many years later I dedicated a book to the teacher, whose name was Mr. Lewis — his nickname was “peanut” because he was very bald-little did I know that I too would lose my hair, as I did in my mid-twenties — because he did this voluntarily. Today Mr. Lewis’s voluntary assistance in his own time wouldn’t be allowed by the teachers Union. There was another boy also, whom I re-connected with 40 years later. He became a very eminent and distinguished chemist at the University of Toronto. He also was at school with me. They asked him to stay on as well. It was quite complicated educational and social situation: we were 11 plus failures. Following the 1944 Butler Education Act, school children in England took an examination at the age of 11. This determined so to speak your fate. If you did well you went to the local Grammar school where there was the chance to stay on until the age of 18 and

apply for University entrance. If you failed, you got sent to a Secondary Modern School where boys left at the age of 14 — it was changed to 15 — and went into menial jobs. I studied literature and language with this English teacher, Mr. Lewis, and he helped me very much. Then, after doing well in Public Examinations I was transferred me to another school, the Grammar School that allowed its students to stay on for University and College entrance.

Li: I totally agree with you on that. Sometimes teachers can play a very crucial and even decisive role in what someone may become in the future, because they can offer guidance with reference to their own personal experience and their well-gained knowledge.

Baker: Yes. That's true. Then I was always reading Shakespeare. My mother, when I was 12 or 13, gave me a copy of complete works of Shakespeare, which I still have. I used to read Shakespeare and the poetry. At the Grammar School I never forget the teacher named Mr. Randall, who used to teach Shakespeare. He was known as a very strong disciplinarian, and everyone was afraid of him. He used to run the school cadet force, he had served with distinction in the thick of the fighting against the Germans during the Second World War, and the school had a sort of military training on Friday afternoons. I had the option, and I took music instead, so I didn't think he would like me. One afternoon, after lunch, you know it's physiological; it is a very sensitive time, because you want sleep after lunch. Subsequently I used to avoid giving lectures after lunch. Randall was reading lines from Alexander Pope's poem "The Rape of the Lock." I will never forget this. He threw a book at me and shouted at me in front of all boys: "Baker, you are sleeping, wake up." I denied this saying "Oh No I am not Sir" — we always called the teachers, the Masters "Sir." He then asked: "What were the last two lines I read out?" Maybe someone was watching over me. For some reason, I recited to him from memory the last four lines rather than the last two he had read out. He put his book down, and there was silence in the class, and he looked at me and said: "not a word." I learned a lot from him. He always used to ask me questions on Shakespeare and encouraged me. Mr. Randall liked the history plays and I remember him reading and asking questions about the *Henry IV* plays and especially the character of Falstaff and his relationship with Prince Hal — the young Prince Henry who became Henry V. In short, we had some very stimulating teachers who encouraged us.

Li: That's another very interesting story of your early experience with literature,

which again illuminates the importance of an encouraging and supportive teacher.

Baker: Yes. Then when I wanted to go to university, there was tremendous pressure put on me because of my background to study law. My cousin had become a lawyer. Very few people from my Anglo-Jewish background went to study literature, because their families felt it was difficult to make a living from the study of literature. My uncle by marriage put tremendous pressure on me. He had forced his son to study law. His son is 12 years older than I. Today in his mid-80's with a very clear mind, he still goes to his office in London. His wife told me that he spent his time reading poetry in the office.

Li: So you see, what you really do is the life he envies, because you said “No” to family pressure.

Baker: He was very “successful,” but law was not what he wanted to do. He has a lot of novels, in his collection where I first read for instance Ian McEwan, and Howard Jacobson and he reads a lot of poetry, T. S. Eliot being a particular favorite. After I decided that I was going to study literature, my mother didn't object. She didn't want to say anything. Then I had to find a university. I remember there was a new university which just opening near where I lived. In England at that time, there were several new universities started. One of them was in opposition, basically, to Oxford and Cambridge; this was the newly founded University of Sussex. It was very difficult to get into, and more difficult to get into at the time, believe it or not, than Oxford and Cambridge. I managed to have an interview there. The Professor, who subsequently became somebody I admired very much and published on, was David Daiches¹. He interviewed me. He asked me what my favorite Shakespeare play was. I said *Measure for Measure*. He said that was a very unusual choice. Most people would choose *Hamlet* or the *Scottish Play*, or something like that. He produced a piece of paper, which I still have over half-a-century later, and wrote down the opening lines of Shakespeare's *Measure for Measure*. We spent a whole hour, discussing these opening lines. Incidentally I still find *Measure for Measure* a fantastically interesting play. Now whenever I teach Shakespeare, I always tell my students that the opening lines in a Shakespeare play are the key important lines. For instance, in *Twelfth Night; or What You Will*: “If music be the food of love,

1 David Daiches (1912-2005) was a prolific Anglo/Scottish literary historian and literary critic, scholar and writer. He wrote extensively on English literature, Scottish literature and Scottish culture. After teaching at the Universities of Chicago, Cornell and Cambridge, he created the School of English and American Studies at the University of Sussex when the university was founded in 1961.

play on.” The opening word “if” implies a “doubt,” a “question” and raises many issues that the play subsequently examines such as the nature of “love,” “deception” personal “identity” and so on. So, to return to the life-changing interview with David Daiches, we spent a whole hour on close reading and discussion: today this approach is called formalism. There is very little that is “new” in literary criticism. It can be a regurgitation of past ideas with new concepts to describe what has previously been thought and said. This maybe a very sceptical and slightly jaded view of it, but a lot of these ideas had been expressed before. You know there is an old saying that “there’s nothing new under the sun.”

Li: So you said that there is very little new in literary criticism, and it’s just a kind of regurgitation of previous ideas with new concepts to describe it. I think that is a very brave claim. Could you illustrate this point more in detail?

Baker: For instance, with Daiches, we discussed the language, the social context, and the politics behind the opening lines of *Measure for Measure*. There are today all sorts of approaches, but then we didn’t describe them as approaches. It was just something you looked at. It was just something you discussed naturally when you discussed literature. Now in a way, names have been put on this, you know such as “formalism,” “new historicism” and so on. When I went to Sussex as an undergraduate, one of the key courses we did was practical close reading, not the history of it, but the actual words on the page. This was a tradition from Cambridge, from Leavis¹, and they still have a final paper on this I understand at Cambridge. I had a similar paper when I went to the University of London as a graduate student, as a master’s and then a doctoral student. They gave you a passage of prose or a poem, and you had to date it, and to discuss it. You had to put a period on it and analyze the social, historical and political implications in addition to the words, the language, everything combined together, in the passage.

Also at Sussex I had courses on the literature of the Industrial Revolution. The literature which was produced when Britain was going through this period of the growth of industry, more or less like your country went through in the late of the 20th century with the growth of industry and urbanization. We discussed in seminars for instance Wordsworth, Coleridge, and Victorian writers responding to the problems of railway, the mechanical age and the age of factory, and the problems in the cities. We discussed these in interdisciplinary courses — with Professors

1 F. R. Leavis (1895-1978) was a highly influential British literary critic of the early-to-mid-twentieth century. He taught for much of his career at Downing College, Cambridge and later at the University of York.

and students from different disciplines, such as history, sociology, which was very popular then. We didn't really didn't study psychological approaches unfortunately for some reason, maybe they didn't have the faculty, but certainly history, because one of our professors was a very preeminent historian named Asa Briggs¹. He wrote many books on Victorian England, calling it, as he did in one of his most distinguished volumes, *The Age of Improvement* (1959) and about English society, social and political forces at work. We were studying literature from that point of view. When I taught a similar course of that nature at my American university, it was regarded as something different. I said "how come?," because that was what we studied many years ago previously as an undergraduate. We also had a course on Contemporary Britain when we studied contemporary British writers, (such as Alan Sillitoe, David Storey and others), people like this, who were writing about social political issues in Britain at that time.

Li: So even as early as your undergraduate years, you approached literature from interdisciplinary perspectives? Does it lead you to believe that there are few things new in literary criticism?

Baker: I said that many of these ideas which are claimed as "new" literary theories have somehow reoccurred previously in different categories. There is a recycling. We develop and refine ideas, but it doesn't mean to say these ideas are any less valid: they are the wisdom of the past. To slightly change the subject, I personally don't agree with Aristotle, especially about the psychological effects of tragedy. I don't think that what's in tragedy watching on the stage, for instance, *King Lear*, and the eyes being put out, makes you a better human being. That's the theory of "Catharsis." I don't think that watching pain on the stage makes one a better human being, but Aristotle did. That's a disagreement with it. This is my opinion.

So let's go back. Have I explained why I became interested in literature? Because it was encouraged by my parents, my father was a publisher, he published books. He published some of the early books of science fiction in England.

Li: Yes, thank you. Let's move to another question. I noticed that you have published bibliographies and chronologies of some literary writers, such as George

¹ Asa Briggs, Baron Briggs (1921-2016) was an English historian. He was a leading specialist on the Victorian era, and the foremost historian of broadcasting in Britain. From 1961 to 1976 he was Professor of History at University of Sussex, while also serving as Dean of the School of Social Studies from 1961 to 1965.

Eliot, Harold Pinter and Wilkie Collins¹. Why are you so fascinated with the study of chronologies or bibliographies? Why do you think it is important?

Baker: Ok. Firstly, there is a very practical and serious answer. Palgrave Macmillan publishes a series named “Author Chronologies.” Sometimes you publish because there is an opportunity — the publishers are interested, and there is a series it fits into. That’s the first practical reason. But it’s an extremely laborious work I must tell you, and I don’t recommend it. Secondly, some people accused me of being a “positivist.” I am very concerned with “fact,” and I like there to be evidence. I have been noted for being tough on my students because of this. Students have said: “Professor Baker wants evidence for that statement.” I am very sceptical of value judgments, possibly a legacy of my undergraduate experience; we used to take courses in philosophy. At the time in British philosophy, this is the early 1960s, what was fashionable, for instance in the work of A. J. Ayer², who questioned everything. He wrote a book called *Language, Truth, and Logic* (1936). This was compulsory reading and was concerned with verification, that everything had to be verified. What do you mean by this, and what do you mean by that? If you use word such as “truth,” what do you mean by this? This made me very sceptical of literary value judgments. Why do you prefer this author to that author? The literary critics were not being precise enough, or using language sloppily.

When I did my doctorate, I looked at source materials: the topic was George Eliot’s sources for her final novel *Daniel Deronda* (1875-76)- in fact an edition of her manuscript Notebooks. I have always been very concerned with the factual evidence. I taught for many years a graduate course on bibliography and textual

1 For the bibliographies chronologies and critical work published by William Baker, see for instance (1) William Baker and Jeanette Shumaker, *Bernard Kops: Fantastist, London Jew, Apocalyptic Humorist* (Madison: Fairleigh Dickinson University Press, 2014). (2) William Baker, *A Harold Pinter Chronology* (Basingstoke: Palgrave Macmillan, 2013). (3) William Baker and Gerald N. Wachs, *Tom Stoppard: A Bibliographical History* (New Castle: Oak Knoll Press, 2010). (4) William Baker and Jeanette Shumaker, *Leonard Merrick: A Forgotten Novelist’s Novelist* (Madison: Fairleigh Dickinson University Press, 2009). (5) William Baker, *Harold Pinter* (London: Continuum, 2008) (6) William Baker, *A Wilkie Collins Chronology* (Basingstoke: Palgrave Macmillan, 2007). (7) William Baker and John C. Ross, *Harold Pinter: A Bibliographical History* (New Castle: Oak Knoll Press, 2005). (8) William Baker and John C. Ross, *George Eliot: A Bibliographical History* (London: British Library, 2002) (9) William Baker and John Kimber, *F. R. Leavis and Q. D. Leavis: An Annotated Bibliography* (New York: Garland, 1989).

2 A. J. Ayer (1910-1989) was a British philosopher known for his promotion of logical positivism, particularly in his books *Language, Truth, and Logic* (1936) and *The Problem of Knowledge* (1956).

criticism. What texts are we using? What is the foundation for this text? What about misprints? There are many famous cases of interpretation which are wrong, because they are based on something the author did not ever write. There's a famous case of this. There is an essay by Delmore Schwartz, who wrote an essay on a poem by W. B. Yeats, "Among School Children" containing the line — ("solider Aristotle"). He wrote a lengthy essay, interpreting this line of Yeats, but there was a problem, Yeats never wrote "soldier" but "solider." So this is a lesson that you have to base what you do, whatever you say, in accurate texts.

Li: Yes, that means literary interpretation should be based on actual texts and facts. We can never claim "the death of the text."

Baker: Yes. You can say what you like about something. That's fantastic, but that's a matter of opinion, that's value judgment. So we come back to the philosophical issues. A leading English philosopher during the post-Second World War period in addition to A. J. Ayer was J. L. Austin¹. Both belonged to the Oxford school of philosophy. They were very concerned with actually the way you use language.

Now Tom Stoppard is very difficult, because he changes his lines, almost as they are being performed. He is also himself interested in the very issue of what is a "text," what is the base for your theories of poetics, or feminism, or formalism or... what texts are you basing them on. Such issues and these have fascinated me too. So you could call me a "textual historical critic."

When I went to Northern University, there was a tradition there for studying bibliography, and I have a hobby of collecting writer's manuscripts, their letters and first editions. First editions are the authors' initial published incarnation, and there's great deal of difference between which texts you study: is it the first edition, is it a revised edition containing textual changes, or is it a subsequent "edition"? Of course for Shakespeare, this is a very complicated but fascinating issue, because there are no extant manuscripts to speak of. There are "texts" found in the quartos (the early printings for individual plays) and/ or in the First Folio (the First Collected Shakespeare of 1623). The first edition issue is a fascinating one.

For 25 years I taught a graduate course on bibliography and texts. The course included the reference texts in a particular area which students would consult in the library and where they would find materials in the library. Other topics covered included which edition they would use. Projects included an author bibliography, not merely enumerative, a listing but descriptive, and the collation or physical

1 J. L. Austin (1911-1960) was a British philosopher of language and leading proponent of ordinary language philosophy. He is best known for developing the theory of speech acts.

breakdown of a book, including examining its binding, its signatures and so on. Many of the students published a bibliography of an author, of what an author wrote: I remember that students published bibliographies of the American author Carson McCullers, and the late twentieth century English poet Gavin Ewart amongst others.

Until I worked on the bibliographical histories of George Eliot, Harold Pinter and Tom Stoppard for instance, there was no comprehensive, complete an account of their published writings and other texts. Pinter (who was alive at the time) and Stoppard (happily still with us) didn't know themselves what they have written, especially when young. When writers grow older, they tend to forget what they produced when young or they want to throw their youthful work away, or they don't what people to be aware it, as the case of Stoppard. Those are very controversial areas. Textual critics are fighting one another about that, especially today in Shakespearian studies. There are so many controversies. Textual study is frequently a heated area of discussion.

Li: So that is why you focus your study on bibliography?

Baker: I also found another reason. It fascinated me intellectually. I found intellectually that it was more "scientific." I got very disillusioned. I told you earlier, I was very much influenced at high school by critic, as many English people were of that generation, by F. R. Leavis at Cambridge. Leavis was an evaluative critic. He was a moralist. He said that some writers were worth studying and many were not, and there were only four great novelists. He turned to Dickens later on, because his wife loved Dickens. With others I compiled his bibliography as well. Subsequently I reacted against him. When I was young, I was very much influenced by Leavis, and then I found that many of his ideas was very dogmatic. Also some of those he has taught were far from "decent" / "nice" people although Leavis claimed that great literature somehow made its readers better human beings.

Li: F. R. Leavis has been accused by some critics of being a cultural elitist, whose "critical theory and practice both express strong sense of elitism and admiration for literary canon" (Wang, "An Overview" 117). How do you think of that?

Baker: Yes, that's true, because (he believed) some writers are better than others and some people are more educated to teach than others. He worshiped D. H. Lawrence, and he wouldn't let James Joyce into the "Pantheon of the Gods."

Li: So your early study of literature and early literary critical experience were quite

influenced by F. R. Leavis and David Daiches?

Baker: Yes, but I reacted against that, although I did their bibliographies, and David Daiches became my close personal friend after I left university. He kept in touch with me. He was very kind to students he liked for some reason, and he was very encouraging to me. Leavis was a very interesting, very pervasive, and very influential critic. He influenced, for instance, Raymond Williams the well-known historical critic.. Leavis' wife, Q. D. Leavis, was also a very fine critic, who wrote a book called *Fiction and the Reading Public* (1932), which is about how people read, how criticism is assessed and discussed “popular culture” and “middlebrow” reading and literature. Historically hers is a very important book, which incidentally was her Ph.D. thesis at Cambridge.

Li: In your point of view, why Shakespeare stands out as one of the greatest playwrights?

Baker: Well, I mean, firstly I haven't read many of the others. Secondly, his poetry is superb. Thirdly his subject matter is the great human conflicts, ambition, tragedy, hubris, desire, love, envy, jealousy, hatred, family conflicts, and disguise, and the basic human qualities are also found in Shakespeare. He had such a profound insight into human beings, and he shows their problems on the stage.

Li: Is there any connection between Shakespeare's career as a successful dramatist and the social and cultural circumstances in England at the time?

Baker: That's a very good question. I don't know why Elizabethan and Jacobean England produced Shakespeare. I think that great genius is born in all societies, whether it is allowed to flower depends upon luck — an obsession of Tom Stoppard: see for instance the opening of his *Rosencrantz and Guildenstern*. The flowering of genius depends upon the circumstances, the conditions, and the environment. There are theories that the great genius is allowed to flourish because of the society in which they are a product. I don't know, all I know is that there is such genius, and you get it in all the arts, such as in music, in painting, and so on not only in literature.

Li: The English language, to some extent, has been shaped to the modern form by Shakespeare. Even today, he is widely quoted by English language users around the world, and some quotes are even done unconsciously. One of the worldly known “cliché” from Shakespeare is “to be or not to be: that is a question.” As an oft-quoted sentence, it has different Chinese translations, which means that there are

no agreements in the translating on it. Some critics translate it as “to live or to die,” while others translate it as “to exist or to destroy” (P. Zhang 114). So what is your interpretation?

Baker: This happens in many languages, not only in Chinese. The interpretation of the line depends on my mood. Hamlet has a decision to make. I would interpret it within the context of the play. He is in a dilemma. Some people are like that, I mean some people cannot make up their minds. Some people are this kind of human being, and Hamlet is one of these human beings. Shakespeare is a genius, maybe Hamlet is based on somebody he knew. I also believe a lot in the biographical interpretation of literature. This kind of person cannot make up his mind, and it is a very crucial decision he has to make, because the decision is to kill, to take revenge. You don’t do that lightly, and if you do that lightly, there’s a problem. So it depends on how you interpret it on many levels. “To be or not to be” doesn’t necessarily mean you are not going to exist. There can be four or five or six ways of interpreting Hamlet’s lines. These are also among the reasons why he is such a great dramatist.

Li: Some people prefer to interpret this as “to exist” or “to destroy,” because they claim that “to exist” does not simply mean “to live,” while “to live” is different from “to exist.” If we say “to live,” it means “to make a living.”

Baker: Yes, I agree with that, but that’s one interpretation. I agree with the idea of manifold interpretations according to the context and person, and the person who is reading it, because people come to the text from many different backgrounds, different kinds of presuppositions, and all sorts of different things. So it depends on where you are coming from. That’s why it is so fascinating to come to China to teach new students. For instance, I learned so much from teaching an undergraduate course on Shakespeare in Hangzhou at Zhejiang University in the Autumn of 2015 to students, who came to the plays from such a different perspective than my own. They asked me things I’d never even “dreamed of in my philosophy,” to quote Hamlet, you know. You can’t be dogmatic that only one interpretation is right. That’s part of the fascination of studying literature. When you experience in life, when you grow older maybe, you can understand much more. For instance, some writers, whom I didn’t understand when I was 21, and now there are some I still don’t understand, but I do understand some much more than when I was 21. So you yourself change, and you have different experiences, and other people bring different things to you. I don’t believe there’s one set of right-or-wrong interpretation.

Li: Another question is about Tom Stoppard. You know he, in some of his plays, writes back to William Shakespeare. So in these plays, how does Tom Stoppard respond to Shakespeare? Or how does he negotiate with Shakespeare and his works?

Baker: Well, he is very brave. Look at *Shakespeare in Love* and *Rosencrantz and Guildenstern*. Stoppard takes a couple of characters who have been ignored, who have a role as courtiers. Both have a function — they are given orders, and they obey these orders. Stoppard presents them as characters and human beings with emotions and feelings, which Shakespeare doesn't. Yet it's all determined, their life is determined by the dice, by fate. This is a brilliant and almost original take on it. I say "almost," because so much has been written about *Hamlet*, that somebody might somewhere have written something similar, you see, you could never be sure. But Stoppard's version is pretty good. It is a brilliant idea that emphasis should be placed on these two characters. Their function is to get Hamlet killed, but they end up being killed by Hamlet, so it's a twist on Shakespeare. Stoppard is almost toying with Shakespeare, which in itself requires artistic arrogance.

Li: So Stoppard is trying to deconstruct Shakespeare, and some people say that Tom Stoppard is a "deceptive dramatist." The key to his work lies in the idea of "collision" both in form and in intellectuality. He once told a *New York Times* interviewer: "I write plays, because writing dialogue is the only respectable way of contradicting myself."¹ Could you please share your comment on that?

Baker: Oh, that's Tom Stoppard. He's being clever and witty. He loves argument. He loves philosophical argument. You know that he never went to university. If he went to university, he wanted to study philosophy, because he is always debating himself, but never reaching a conclusion. That's a problem of his plays; I mean it's like juggling — one character and one idea versus another. That's how I interpret that observation.

Li: Dan Rebellato once said that Tom Stoppard's "theatrical surfaces serve to conceal rather than reveal their author's views, and his fondness for towers of paradox spirals away from social comment" (576). What do you think of Rebellato's observation?

Baker: Stoppard would probably agree with that, because one of his great preoccupations is disguise. His views can be regarded as juggling ideas, which he

1 This is from the official website of British Council, see <https://literature.britishcouncil.org/writer/tom-stoppard>. Accessed 18 Nov. 2017.

wants to play with, but he wants to conceal. One of his plays is called *The Real Thing*, and one of his central concerns is “what is reality”? This is a very crucial central philosophical issue in Stoppard who is all too aware of the masquerade, the mask we put on as human beings. We are all playing games socially and in dialogue. We are all having dialogues with ourselves and other people. Above all Stoppard is being very clever.

Li: Has Stoppard’s dramatic writing experienced a kind of transformation and change in terms of themes, style, or something else, throughout his career as a playwright?

Baker: He’s always rewriting, obsessively so. Not only particular lines, words or actions but whole scenes, whole plots. He’s always rewriting, obsessively.

Li: You mentioned that you are quite fond of Matthew Arnold’s poems. Arnold has been accused of being a pessimist and a cultural elitist. Do you agree?

Baker: My interest in Arnold is in his poetry, which is not a fashionable opinion. I think Arnold is a magnificent poet in terms of his poems dealing with nostalgia, place, and sense of perspective. In his poems, he juxtaposes his own situation with classical situations. His concern is not only him but also is preoccupied with classical Greece and Rome with ancient civilizations. He also wrote a magnificent poem an elegy on the death of the great German writer Goethe and a long poem called “The Scholar Gypsy.” Both are wonderful poems on rivers, on time, on the passing of time, on movement, and on the countryside. My interest is mainly his poetry, which is out of fashion rather than with his social or aesthetic criticism. Arnold’s poetry, as I have said, isn’t highly regarded.

I must tell you something else about my literary concerns. I have written a lot on writers, who haven’t been really examined, or aspects of major writers that have been neglected such as Arnold’s or Pinter’s poetry. “Minor” writers also interest me too, for instance the novelist and short story writer, the late Victorian and Edwardian Leonard Merrick, the late twentieth century dramatist and poet Bernard Kops both of whom I have written extensively on. So I suggest to you and others, to study and write on minor writers, you have a clear field, virgin territory. But not necessarily for your Ph.D. topic or relate the “minor,” the neglected author/s to wider themes, such as for instance “Leonard Merrick and Late Victorian and Edwardian Fiction,” “Charles Reade: forgotten Victorian-why?” or “Bernard Kops and post 1956 British Drama.”

Li: Ok, that's very useful advice. I agree with you, and thank you. Harold Bloom comments on Arnold by saying "Arnold is, at his best, a very good, but highly derivative poet, unlike Tennyson, Browning, Hopkins, Swinburne and Rossetti, all of whom individualized their voices" (1-2).

Baker: Harold Bloom is a very interesting and great critic. He wrote *The Anxiety of Influence: A Theory of Poetry*. Well I don't agree with him over his view on Mathew Arnold. What does he mean by "derivative"? I would have to ask Harold Bloom. He has to explain himself. I can't speak for Bloom. I totally disagree with him. That's his problem, not mine.

Li: Ok. Now, let's move to topics of literary theories. Since late 1970s to early 1980s, "contemporary Western literary criticism began to exert an influence in China and became, gradually, a prominent discipline and the standard for evaluating literary and artistic practice in China" (J. Zhang 6). I was wondering whether Western academia aware of Chinese receptions of its theories?

Baker: Probably not. You have your own great literature. I am surprised at this. I think that Chinese literary critics probably have a very great tradition. This is a very great country culturally. It apparently, I wish I knew more about it, has great literature going back before western literature. I found the attitude towards Chinese literature and culture sad, and I wonder why it should be so. You should be proud of your own literary tradition and culture. Professor Nie, who very recently has moved from Central China Normal University, Wuhan to Zhejiang University at Hangzhou has developed the theory of ethical literary criticism, which is related to China and is very fine. I have studied something about it. I think more of that kind of work should be developed: Chinese literary critics should develop their own theories based on their own literary traditions.

Li: The Chinese critics' warm reception of Western literary theories does not necessarily mean that they are imported in a blind manner. Instead, some scholars critically evaluated the Western theories. Critic Zhang Jiang from China argues that "quite a number of major doctrines and schools in Western literary criticism are detached, to different extents, from literary practice and experience, interpreting both literary texts and literary experience in the light of the ready-made theories of other disciplines and generalizing them as universal literary rules" (7). Could you please comment on that?

Baker: Oh, I hope so. Ok, he's right. He's correct. I think that's most perceptive.

Li: From 1965 to 1980, cultural theories experienced a so-called “golden age” of development, but now “the golden age of cultural theory is long past” (Eagleton 1), and it is claimed that “the contemporary philosophical and humanitarian thinking is in a ‘post-theoretic era’” (Wang, *Literary and Cultural Studies in the “Post-theoretic Era”* 4). What do you think of it?

Baker: Firstly, the development of literary theories. I think there’s something to do with the development of the profession, and the universities. In other words, they’re trying to self-justify their existence. So you develop theories to justify your existence within the universities, but I can’t speak for all universities. Personally I wish there was more attention to the actual text, and I am rather concerned about too much attention in the classroom to theories without relevance to the texts. Secondly, as to the “post-theoretic era,” I don’t know. However, I think the so-called new theoretical ideas are playing themselves out, and I suspect there’s some truth in this, but who knows something around the corner can become highly fashionable. What interests me is why X becomes fashionable when it does. For instance, why did deconstruction take over some very prestigious American universities during the late 1960s and 1970s? Why has it, fortunately or not, gone out of fashion? You see, there’s so much fashion to consider when discussing literary theory.

Li: As one of the most vigorous and powerful voices of constructing Chinese literary critical theory, ethical literary criticism has emerged to be an increasingly important critical approach. Until now, it is more than a decade since Professor Nie Zhenzhao initiated this critical theory, and it is gaining popularity in China and abroad. I know you co-authored with Professor Shang on an article entitled “Ethical literary criticism in the Chinese academe”¹, in which you introduced how ethical literary criticism as a critical approach rises and develops in China. How was it responded in the West?

Baker: Oh, there is your answer — read the article. There were favorable responses after the article about ethical criticism. Nobody wrote to the *TLS* saying we totally misunderstood the theory. That’s what we were afraid of. Somebody, you know, could always write and say “you are speaking rubbish, he never wrote that, and that’s wrong,” but nobody has said that. Well, I have written about this, and that was something I wrote three or four years ago.

1 For the detail of this article, see William Baker and Shang Biwu, “Fruitful Collaborations: Ethical Literary Criticism in Chinese academe,” *Times Literary Supplement, Commentary*, 31 July 2015: 14-15.

Li: One last question, both as a preeminent literary scholar and an encouraging professor. What wisdom would you like to share with young scholars?

Baker: Ok, three things. Number one, publishing in good-refereed journals, and don't be afraid to deal with rejection, because it hurts the ego, and people can be very cruel. However, if you think you got a good idea on something, stay with it. Secondly, make sure it's well written and documented and thought out. Thirdly, this is very cynical, be nice and respectful to your professors. This is because these professors have power, vanity, and ego, they are human. I am talking very seriously. I think all of us make mistakes, and I think looking back, I should have been more respectful towards some of my professors, even though I profoundly disagreed with them, but you don't let them know that. They like their own ideas, and they like to be special. They have big egos. You understand that? Vanity of vanities, that's from the Bible. Ok, I finish the interview by quoting the Ecclesiastes, the Bible!

Li: Once again, thank you, Professor Baker, for taking this interview.

Baker: Ok, you are welcome, but don't classify me as American or British. What I said in a very jet-lagged state as I flew in the day before yesterday from Chicago, are just my own views.

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Reading Philip Roth's *The Plot Against America* in The Age of Trump

Andrew M. Gordon

Abstract: Philip Roth's novel *The Plot Against America* (2004) is an alternate history in which the famous aviator Charles Lindbergh becomes President of the United States in 1940, defeating Franklin Delano Roosevelt, and signs non-aggression pacts with Germany and Japan to keep America out of World War II. The situation becomes increasingly difficult for America's Jews, represented in the novel by the family of Philip Roth in Newark, New Jersey. *The Plot Against America* is a profound commentary on the fluid nature of history and the relationship of the Jews to history, both past, present, and future. When *The Plot Against America* appeared in 2004, many read it, despite Roth's disavowals, as employing the imagined Presidency of Lindbergh as a not-so-veiled critique of the administration of then President George W. Bush. Now *The Plot Against America* is read instead as eerily prescient of the Presidency of Donald Trump. Again, Roth denies the parallels because, although both Lindbergh and Trump are bigots and white supremacists, he says Lindbergh was a genuine American hero because of his pioneering exploits in aviation whereas Trump is just a shallow conman. But a closer examination reveals that Trump, like Lindbergh, is an authoritarian with fascist leanings and deeply anti-Semitic. We can be grateful to Philip Roth for having provided us with a fictional model for the struggle against fascism in America.

Key Words: alternate history; anti-Semitism; Charles Lindbergh; fascism

Biography: Andrew M. Gordon received the Ph.D. in English from the University of California, Berkeley. He has taught American Literature at the University of Florida and as a Fulbright Lecturer in Spain, Portugal, and Serbia. He has also been a visiting professor in Hungary, Russia, and Argentina and an invited lecturer throughout Western and Eastern Europe, Egypt, South Korea, Japan, and China. He is the author of *An American Dreamer: A Psychoanalytic Study of the Fiction of Norman Mailer*, *Empire of Dreams: The Science Fiction and Fantasy Films of Steven Spielberg*, and, with Hernan Vera, *Screen Savors: Hollywood Fictions of Whiteness*. With Peter Rudnytsky, he co-edited *Psychoanalyses/Feminisms*. He also over 100 published articles and 50 reviews on Jewish-American literature, American

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标题：特朗普时代下的《反美阴谋》解读

内容摘要：菲利普·罗斯的小说《范美阴谋》是一个虚构故事，故事讲述了著名飞行员查尔斯·林德伯格在 1940 年美国大选中击败了富兰克林·德拉诺·罗斯福而成为了美国第三十二任总统，同时与德国、日本签下了互不侵犯条约，从而得以让美国置身于第二次世界大战以外。菲利普·罗斯在小说中呈现了其在新泽西州纽瓦克市的家庭，反映了美国的犹太人境况每日愈下。《反美阴谋》是对历史的流变本质和犹太人与过去、现在及未来关系的一次深刻批评。当《反美阴谋》2004 年面世时，许多人认为它是罗斯运用想象的林德伯格当政明目张胆地批判当时的乔治·小布什政府，尽管对此罗斯本人予以否认。如今，《反美阴谋》被认为是对唐纳德·特朗普当政的出奇的先见之明。罗斯再一次否认了此种并联，尽管林德伯格和特朗普都是偏执狂和白人至上主义者，但是，他认为林德伯格因其在航空史上的先锋壮举是一位真正的美国英雄，然而特朗普仅仅是一个肤浅的骗子。可是，仔细审查读者还可发现，特朗普如同林德伯格一样，是一个具有法西斯倾向的独裁者并且有着深深的反犹情绪。我们应该感谢菲利普·罗斯，他给我们提供了一个虚构模式借以反抗美国的法西斯主义。

关键词：虚构历史；反犹主义；查尔斯·林德伯格；法西斯主义

作者简介：安德鲁·M. 戈登，加州大学伯克利分校英语系博士。一直以来，在美国佛罗里达大学讲授美国文学，并作为富布莱特学者赴西班牙、葡萄牙和塞尔维亚讲学。他曾作为访问学者到匈牙利、俄罗斯和阿根廷游学，并受邀赴欧洲、埃及、韩国、日本和中国讲学。他独撰出版了《一位美国梦想家：诺曼·梅勒小说心理分析的研究》和《梦想帝国：斯蒂芬·斯皮尔伯格的科幻和幻想电影》，与埃尔南·维拉合著出版了《屏幕的救世主：好莱坞小说的白人性》，与皮特·鲁德尼茨基合编了《精神分析 / 女权主义》。此外，他在美国犹太文学、美国科幻小说和美国科幻电影领域发表了 100 余篇论文和 50 余篇评论。

Introduction

“Fear presides over these memories, a perpetual fear,” is the opening line of Philip Roth’s *The Plot Against America* (2004). And perpetual fear seems to be the presiding emotion over half the American populace in the nightmare age of Trump. The novels most relevant to the present administration are all dark and dystopian: George Orwell’s newly bestselling *1984* (1949), or Margaret Atwood’s *The Handmaid’s Tale* (1985), or alternate histories which posit the coming of fascism

to the United States in the twentieth century, like Sinclair Lewis' *It Can't Happen Here* (1935), Philip K. Dick's *The Man in the High Castle* (1962), and Roth's *The Plot Against America*. The novels by Atwood and Dick have been adapted for current American television series. The novels by Lewis, Dick, and Roth are counterfactuals which imagine a right turn in the 1930s or 1940s which transforms the United States into a fascist dictatorship. All three novelists expose a brutal, intolerant, authoritarian strain which has always been an undercurrent in American history and extrapolate that tendency in a fictional thought experiment.

In *The Plot Against America*, Roth, as an adult narrator feigning his supposed memoir from ages 7 to 9, from 1940 to 1942, imagines the United States after the election of the famous aviator Charles A. Lindbergh, who defeats Franklin D. Roosevelt's run for a third term and becomes President in 1940 on an isolationist, anti-war, and anti-Semitic platform. The U.S. does not enter the war but signs non-aggression pacts with the Axis powers of Germany and Japan. Things grow increasingly painful for the Roth family of Newark, New Jersey, as they conflict with one another over how to deal with the new and increasingly troubling circumstances for Jews in America: collaborate, resist, or flee to Canada? Roth writes in *The Plot Against America* about Jews in a precarious situation, facing the perennial crisis of Jews throughout history: they are not welcome and fear being expelled or exterminated. They face fascism with a smiling face until anti-Semitic mob violence and murderous pogroms explode toward the end. *The Plot Against America* won the Sidewise Award presented annually for the best novel of alternate history.

It is not surprising that Philip Roth, with his tendency toward satire and fantasy, might turn toward alternate history (AH). After all, Roth had already imagined a man turning into a breast (*The Breast* [1972]), a grotesque professional baseball league that never existed (*The Great American Novel* [1973]), Franz Kafka becoming a Hebrew teacher in New Jersey ("I Always Wanted You to Admire My Fasting"; or, Looking at Kafka," *Reading Myself* [1976]), and two Philip Roths meeting in Israel (*Operation Shylock* [1993]). It makes sense that the man who created Zuckerman's fantasy about an alternate Anne Frank who survived the Holocaust and went to America under an assumed name (*The Ghost Writer* [1979]), that the author of *The Counterlife* (1986) might write a counterfactual history of an isolationist America in 1940-42 under the administration of President Charles Lindbergh.

Philip Roth and History

According to E.L Doctorow, "history is a kind of fiction in which we live and hope

to survive, and fiction is a kind of speculative history, perhaps a superhistory” (“False Documents” 25). Philip Roth has always been fascinated by history and the Jews, or what history does to the Jews. Judaism is a religion with a very long history, and the Jews, as “the chosen people” perpetually awaiting the messiah, feel they have a special relationship with history and have always been obsessed with history. The twentieth century in particular, which encompassed massive immigration from Eastern Europe to the United States, the Holocaust, and the creation of the state of Israel, was monumental for Jewish history. As Roth writes, the Jews were “created and undone a hundred times over” in the twentieth century (“Imagining Jews,” *Reading Myself*). *The Plot Against America* is a profound commentary on the fluid nature of history and the relationship of the Jews to history, both past, present, and future. But if history shapes the Jews, fiction is also capable of reshaping history.

The subgenre of fantasy and science fiction, the counterfactual novel or alternate history, is an especially powerful form of superhistory, a means of speculating on and reconceiving history, showing both the imaginative power of fiction and the contingent nature of history. “The alternate history is a text placed at the crux of temporality, narrativity, and history; these three points engage in a dialogue that. . . questions these topics by estranging them, by changing events or interpretations to make them unfamiliar” (Hellekson 65). Part of the pleasure in reading AH is measuring the created world against known history and noting the deviations. Thus *The Plot Against America* ends with an appendix summarizing the real characters and true history of the time.

Alternate history, also called uchronia or allohistory, derives from the universal human tendency to speculate about the random and arbitrary nature of existence, and about how our lives might be dramatically altered if one small event in the past were to change. We do it to congratulate ourselves on our good fortune, to express our fear of the huge role chance plays in human existence, to express our fears about the present, or to wish that our lives had gone otherwise. Alternate history simply extends that tendency from rethinking one’s own history to reimagining entire eras of history. It comes in three varieties: the anomaly, where the altered history is simply given, as in *The Man in the High Castle* and *The Plot Against America*; the time travel deviation, as in Mark Twain’s *A Connecticut Yankee in King Arthur’s Court* (1889) or the movie trilogy *Back to the Future* (1985, 1989, 1990); or the parallel worlds scenario, as in the television series *Sliders* (1995-2000).

Why did Roth choose to write this alternate history, to flirt with the notion of

an American Holocaust only to return things to normal at the end? I think it was to demonstrate that the history books are only fictions and that the imaginative truths of fiction may constitute a superior history, or what Doctorow would term “a superhistory.” The historical events that occur in *The Plot Against America*, because they never happened, are as unforeseen by the reader as they are by the characters, so that we experience in reading some of the same shock they do — or that real people do as they are confronted with the unexpected, with history as it is happening. Roth would not have had created the same shock effect if he had written about events that were already historically fixed and well known.

Beginning with his American trilogy, Roth conducted a deep investigation into the nature and patterns of American history and the relationship of the individual to that history. *The Plot Against America* continued the investigation. Roth describes *The Plot Against America* as “an exercise in historical imagination. . . .” (Roth, “The Story”). For Roth’s heroes, American history is not a smooth and inevitable chain of events as in the history books; instead it is a disaster, sudden, accidental and terrible, hitting them when they are totally unprepared. Writes Roth, “History claims everybody, whether they know it or not and whether they like it or not. . . . We are ambushed, even as free Americans in a powerful republic armed to the teeth, by the unpredictability that is history. . . .” (Roth, “The Story”). In *American Pastoral*, Swede Levov, a prosperous Jewish American businessman whose daughter becomes a terrorist bomber to protest the Vietnam War, discovers that after the bombing he is “fettered to history, an instrument of history” (*American Pastoral* 5). “History, American history, the stuff you read about in books and study in school, had made its way out to tranquil, untrafficked Old Rimrock, New Jersey. . . . People think of history in the long term, but history, in fact, is a very sudden thing” (87). The Swede, whose life was all carefully planned out well in advance, a series of successful steps, cannot deal with the unforeseen disaster that is history. “He could never root out the unexpected thing. The unexpected thing would be waiting there unseen, for the rest of his life ripening, ready to explode, just a millimeter behind everything else. The unexpected thing was the other *side* of everything else” (176).

In *The Human Stain*, Coleman Silk too thinks he has escaped history, but is nonetheless finally caught in “the stranglehold of history that is one’s own time. Blindsided by the terrifyingly provisional nature of everything” (*Human Stain* 336). And in *The Plot Against America*, little Philip, the protagonist, sees his father fall apart and cry “because he was powerless to stop the unforeseen. And as Lindbergh’s election couldn’t have made clearer to me, the unfolding of the unforeseen was

everything. Turned wrong way around, the unfolding of the unforeseen was what we schoolchildren studied as 'History,' harmless history, where everything unexpected in its own time is chronicled on the page as inevitable. The terror of the unforeseen is what the science of history hides, turning a disaster into an epic" (*Plot* 113-14). Commenting on *The Plot Against America* and his other novels about American history, Roth says, "In writing these books, I've tried to turn the epic back into the disaster as it was suffered without foreknowledge, without preparation, by people whose American expectations, though neither innocent nor delusional, were for something very different from what they got" (Roth, "The Story").

As early as the 1970s, Roth started to tap into "the emergence [in the 1960's] of a counter-history, or *countermythology*, to challenge the mythic sense of itself the country had. . . the *struggle* between the benign national myth of itself that a great power prefers to perpetuate, and the relentlessly insidious, very nearly demonic reality. . . ." (*Reading Myself* 89-90). Underneath the mythic notion of America as a tolerant melting pot is the undeniable, demonic reality of America as an empire built on white supremacy, slavery, and genocide. Alternate history is a powerful way to privilege the minority view of American history, to write "a counter-history, or *countermythology*," as in African-American Octavia Butler's time-travel fantasy about slavery, *Kindred* (1979), or the Jewish-American Philip Roth's *The Plot Against America*.

Philip Roth on *The Plot Against America*

When *The Plot Against America* appeared in 2004, many read it, despite Roth's disavowals, as employing the imagined Presidency of Charles A. Lindbergh as a not-so-veiled critique of the administration of then President George W. Bush. One can understand why Roth would resist such a reading; he critiques W. in his novel *Exit Ghost* (2007), but that was not his primary intention in *The Plot Against America*, which was to show the potential for an American holocaust because of the blatant anti-Semitism already present in America in the 1930s. "It also gave me an opportunity to bring my parents back from the grave and restore them to what they were at the height of their powers. . . . I've tried to portray them here as faithfully as I could -- as though I were, in fact, writing nonfiction. . . . The writing, then, put me in touch with my dead parents no less than with the period, and in touch eventually with the kind of little boy I myself was, because I've tried to portray him faithfully too." Roth writes, "Some readers are going to want to take this book as a roman a clef to the present moment in America. That would be a mistake. I set out to do exactly what I've done: reconstruct the years 1940-

42 as they might have been if Lindbergh, instead of Roosevelt, had been elected president My every imaginative effort was directed toward making the effect of that reality as strong as I could, and not so as to illuminate the present through the past but to illuminate the past through the past.” And he mentions the use that Czech writers made of the works of Kafka to oppose the Communist regime in the 1960’s and 1970’s. “Literature is put to all kinds of uses, public and private, but one oughtn’t to confuse those uses with the hard-won reality that an author has succeeded in realizing in a work of art” (Roth, “The Story”). But great works of art are suggestive and lasting and can inspire new readings as times change. As Timothy Parrish writes, “Yet, as Roth acknowledges, a truly powerful novel sometimes has the gift of prophecy since it provides a framework by which future readers can orient themselves within their contemporary experience” (Parrish 159). Thus Orwell’s 1984 is a realistic fiction, a monument to its author’s creative imagination about a potential, frightening alternate history that nonetheless gives us a vocabulary about the operations of an authoritarian regime, so as “to illuminate the present.”

Does *The Plot Against America* Predict the Presidency of Trump?

In a similar fashion, *The Plot Against America* can be read today as a brilliantly prescient work anticipating the reign of Donald Trump. Both Lindbergh and Trump are celebrities who had never held political office before running for President. Both depended on their money and name recognition, on promoting “America First,” on populist appeals, and on galvanizing white supremacists. Both expressed admiration for foreign dictators. Both triumphed through charisma, big, simpleminded promises, and attacks on minorities.

According to one critic, “It would be an exaggeration to say that Philip Roth predicted the presidency of Donald Trump. But in 2004’s *The Plot Against America*, our greatest living novelist foresaw, in startling granular detail, how a demagogic celebrity like Trump *could* come to power” (Galupo). First is underestimating the candidate by considering him a joke. Yet both Lindbergh and Trump rapidly defeated their Republican rivals and then beat their Democratic opponent. “The second precondition is overestimation: an overestimation by the political establishment of its own mastery over the borders of permissible rhetoric. Trump scapegoated Muslims and Mexicans on his way to the White House. In an infamous speech in Des Moines, Iowa, Lindbergh scapegoated ‘the Jewish people’ or, alternatively, ‘the Jewish race.’” Both were denounced for their racist rhetoric, but their supporters approved. “As it so often does in Trump’s America,

establishment condemnation, in Roth's fiction, falls on deaf ears." Both Lindbergh and Trump ran unconventional campaigns that the establishment disdained but the media delighted in (radio in 1940; television and social media in 2016). Lindbergh "speaks in language that is 'unadorned and to the point.' He is unpredictable even to the 'professionals who had been assigned by the Republican Party to steer the political novice through his first political campaign...'" (Galupo) In all these respects, Trump mimics Roth's Lindbergh.

Even while the 2016 Presidential campaign was underway, one commentator, Mark Bresnan, wrote that *The Plot Against America* "is now impossible to see outside of the shadow of Donald Trump. Like Lindbergh, Trump has used his celebrity and wealth — and a private plane! — to triumph over a hopelessly fractured Republican party." Bresnan notes that "Trump and Lindbergh share an isolationist ethos that bleeds into ethno-nationalism." Lindbergh's speeches scapegoated the Jews and Great Britain; Trump's xenophobia is against Mexican immigrants, Muslims, and China. "Trump wants to make America great again, while Lindbergh wants to keep America out of the Jewish war; both see themselves as dealmakers that will achieve their goals through sheer force of personality." Just as Lindbergh legitimized the use of violence by white nationalists against the Jews, so "Trump's signals to his supporters are equally clear: use violence if necessary to expel protestors from rallies; blame Muslims and Mexicans for all of the United States's shortcomings; celebrate power and authority over consensus and negotiation. His name has been invoked as a taunt against minorities at high school sporting events, as an accompaniment to a swastika in the vandalism of a Northwestern University chapel, and in the assault of two students — one Muslim, the other Hispanic — at Wichita State University. . . .his success has exposed a sizable bloc of American voters willing to embrace his unapologetic mix of ethno-nationalism, authoritarianism, and transparent egoism." Bresnan concludes that we need to abandon the myth of American history as an inevitable progress toward tolerance and equality. Instead, "we Americans need to start telling ourselves a different story, one in which the prevalence of virulent racism and the latent appeal of fascist authoritarianism are not the stuff of alternate history but enduring elements of public life" (Bresnan). In other words, we must accept the sort of counter-history or countermythology that Roth proposed in his fiction.

Soon after the election, Judith Thurman enumerated the many parallels between Lindbergh and Trump: "The historical Lindbergh was an isolationist who espoused a catchphrase that Donald Trump borrowed for his Presidential campaign, and for his Inaugural Address: 'America First.' The fictional Lindbergh,

like the actual Trump, expressed admiration for a murderous European dictator, and his election emboldened xenophobes. In Roth's novel, a foreign power — Nazi Germany — meddles in an American election, leading to a theory that the President is being blackmailed. In real life, U.S. intelligence agencies are investigating Trump's ties to Vladimir Putin and the possibility that a dossier of secret information — *kompromat* — gives Russia leverage with his regime. . . . Many passages in *The Plot Against America* echo feelings voiced today by vulnerable Americans — immigrants and minorities as alarmed by Trump's election as the Jews of Newark are frightened by Lindbergh's. The book also chronicles their impulse of denial" (Thurman).

When Thurman asked Roth if it has happened here, he responded, "It is easier to comprehend the election of an imaginary President like Charles Lindbergh than an actual President like Donald Trump. Lindbergh, despite his Nazi sympathies and racist proclivities, was a great aviation hero who had displayed tremendous physical courage and aeronautical genius. . . . He had character and he had substance Trump is just a con artist. The relevant book about Trump's American forebear is Herman Melville's 'The Confidence-Man,' the darkly pessimistic, daringly inventive novel — Melville's last — that could just as well have been called 'The Art of the Scam'" (Roth, quoted by Thurman).

Roth, born in 1933, describes himself as a lifelong Roosevelt Democrat. He says, "I found much that was alarming about being a citizen during the tenures of Richard Nixon and George W. Bush. But, whatever I may have seen as their limitations of character or intellect, neither was anything like as humanly impoverished as Trump is: ignorant of government, of history, of science, of philosophy, of art, incapable of expressing or recognizing subtlety or nuance, destitute of all decency, and wielding a vocabulary of seventy-seven words that is better called Jerkish than English" (Roth, quoted by Thurman). Elsewhere, he has compared Trump to "the ominously ridiculous commedia dell'arte figure of the boastful buffoon" and called him "a massive fraud, the evil sum of his deficiencies, devoid of everything but the hollow ideology of a megalomaniac" (Roth, quoted by McGrath 16).

Roth insisted, "My novel wasn't written as a warning. . . . As for how Trump threatens us, I would say that, like the anxious and fear-ridden families in my book, what is most terrifying is that he makes any and everything possible, including, of course, the nuclear catastrophe" (Roth, quoted by Thurman). The election of Trump was so shocking and unforeseen, so unexpected in the polls and inspiring abject terror in millions of Americans, that it was immediately viewed as a kind of strange

horror show, an alternate reality. Damien Love reviewed the inauguration of Trump in the television section of a Scottish newspaper, as if it were a creepy revival of the old science fiction and fantasy TV show *The Twilight Zone*:

“this huge interactive virtual reality project, which will unfold on TV, in the press, and on Twitter over the next four years, sets out to build an ongoing alternative present. The story begins in a nightmarish version of 2017 in which huge sections of the US electorate have somehow been duped into voting to make Donald Trump president. It sounds far-fetched, and it is, but as it goes on it becomes more and more chillingly plausible. Today’s feature-length opener concentrates on the gaudy inauguration of President Trump, and the stirrings of protest and despair surrounding the ceremony, while pundits speculate gravely on what lies ahead. It’s a flawed piece, but a disturbing glimpse of the horrors we could stumble into, if we’re not careful.” (Stolworthy)

Another critic, Robert Kuttner, took Trump more seriously, writing, “The fascism now approaching is far from friendly. After decades of assault American democracy is far more fragile and impaired than we assumed. In Roth’s fictional America under Lindbergh in 1942, there is still a free press, though he does describe the assassination of a leading media critic. Trump, by contrast, is assassinating the difference between fact and lie in the entire media, and to an appalling degree he is getting away with it. . . .”

How Anti-Semitic is Trump?

Yet do we face a plot against the Jews? How anti-Semitic is Trump, who claims to be the “least anti-Semitic person that you’ve ever seen in your entire life.” Despite his assertion, Trump’s supporters include white supremacists and American neo-Nazis, homegrown fascists. Such bigots are xenophobes, equal-opportunity haters who despise all minorities, whether Muslim, Mexican, black, gay, or Jewish. In a rally in Phoenix in March 2017, hundreds of locals, including heavily armed militamen, white nationalists and even a few elected officials, gathered to support the 45th president. Trump supporters called for “liberal genocide” and “deportation of Jews” (Rosenmann). Trump did not denounce the rally.

Fred Trump, Trump’s father, was arrested in 1927 in a violent rally of the Ku Klux Klan (Bump). Trump himself, while not a KKK member, has nevertheless refused to condemn the Klan, many of whom are Trump followers. In the 1970s the FBI investigated alleged racial discrimination in the rental of apartments

from President Donald Trump's real estate company. The final agreement in 1975 "contained no admission of wrongdoing, but required the Trump firm to institute a series of safeguards to make sure apartments were rented without regard to race, color, religion, sex or national origin" (Gerstein).

Trump is a garden-variety racist who trades in crude, ignorant stereotyping of minorities. About immigrants from Mexico, he said, "They are not our friend, believe me. . . . They're bringing drugs. They're bringing crime. They're rapists," adding, with the offhand denial of the racist, "And some, I assume, are good people" (Reilly). Trump reportedly stated that all Haitians have AIDS and all Nigerians live in huts (Njoroge). He refused to protect immigrants from Haiti, El Salvador, and Africa, saying "Why are we having all these people from shithole countries come here?" (Cohen). John O'Donnell, president of Trump Plaza Hotel and Casino in Atlantic City, said Trump blamed blacks for his financial problems. 'I've got black accountants at Trump Castle and at Trump Plaza — black guys counting my money!' Trump said, according to O'Donnell..... 'Laziness is a trait in blacks'" (Fisher). He paid for full-page newspaper ads calling for the death penalty for the Central Park Five, a group of black and Hispanic teenagers falsely accused of attacking a white woman in the park, and never apologized to the men, even after they were exonerated and released after years in prison when the real attacker was found (Lim). He rose to political popularity by spreading "birther" nonsense about Obama, and he tolerates and even cultivates bigots and white nationalists among his supporters and advisors.

Trump's stereotyping extends to Jews: he reportedly said, "'The only kind of people I want counting my money are short guys that wear yarmulkes every day'" (Fisher). In *The Plot Against America*, Lindbergh allies with notorious anti-Semites like Henry Ford and Burton K. Wheeler and invites Nazis to dinner at the White House. Yet at the same time he brings into his administration the devious Rabbi Lionel Bengelsdorf, whose purpose is "koshering Lindbergh for the goyim" (Plot 40), that is, rendering Lindbergh more acceptable to Christians by making him appear less rabidly anti-Semitic.

Trump's cover is his Jewish son-in-law Jared Kushner and the fact that daughter Ivanka is a convert to Judaism. But, as one commentator wrote, "That Trump's son-in-law and adviser Jared Kushner is Jewish should not in itself be of comfort; there were some Jews who worked with Hitler" (Ward). And, as another critic wrote, "History is filled with politicians who fomented anti-Semitism yet enjoyed warm relationships with individual Jews" (Beinart).

Trump is also a staunch supporter of Israel, or at least of the policies of

Israeli President Benjamin Netanyahu, such as Trump's provocative move of declaring Jerusalem the capital, denying Palestinian claims to the same city, and stating his intention to relocate the American embassy from Tel Aviv to Jerusalem. Nevertheless, such moves could be seen as playing not so much to American Jews as to Trump's base of white evangelical Christians, 81% of whom voted for him. White evangelicals believe that, according to biblical prophecy, the Jews' reclaiming Jerusalem will precede the conversion of the Jews and the second coming of Jesus, triggering the end times: their longed-for apocalypse (Butler Bass). Thus Trump's support of Israel has more to do with his hatred of Muslims (with the exception of America's long-time ally, the oil-rich monarchy of Saudi Arabia) and his desire to reward his white evangelical base than it does with philo-Semitism.

At the same time that he poses as a supporter of Israel, "He has placed individuals with ties to anti-Semitism into high public office — shattering a hard-won taboo against flagrant anti-Semitism in government. He has invigorated a white nationalist world-view that demonizes Jews, Muslims, and immigrants. He has, intentionally or not, energized white nationalists, neo-Nazis and a legion of alt-right internet trolls. His campaign and early presidency have been marred by anti-Semitic vandalism and threats. President Trump has downplayed these acts while ignoring the pattern he has set in motion. The issue of Trump and anti-Semitism keeps coming up because the president has embraced political figures whose conspiratorial and far-right ideologies are highly suspicious of — if not outright hostile to — Jews and Judaism. Regardless of whether President Trump personally holds such views, many people around him do" (Cotler). These include former members of the Trump administration including Mike Flynn, Sebastian Gorka, and Steve Bannon, as well as present members such as Jeff Sessions and Rick Perry, all of whom "have deep ties to fringe elements of the extreme Christian Right, the white nationalist alt-right, the European far right and the anti-immigration movement. These ties have played a key role in normalizing anti-Semitic bigotry and advancing political alliances with those who promote or are sympathetic to anti-Semitism. This is dangerous for the Jewish community but it is also perilous for immigrant communities, communities of color, and all religious minorities whose safety is jeopardized by white nationalism" (Cotler).

During his campaign, Trump retweeted hate messages from white supremacist sites, including one infamous image of Hillary Clinton over a pile of money featuring a red, six-pointed Jewish star with the message "Most Corrupt Candidate Ever!" The Trump campaign feebly defended the offensive image, saying it was a sheriff's star, and then tried to dampen the controversy by changing the star to a

circle. But this ignored the fact that “the image was previously featured on 8chan’s /pol/— an Internet message board for the alt-right, a digital movement of neo-Nazis, anti-Semites and white supremacists newly emboldened by the success of Trump’s rhetoric” (Smith).

After his inauguration, the White House failed to mention International Holocaust Remembrance Day. Next, Trump declined to attend the 2017 Passover seder at the White House. According to a Newsweek report, for some Jews, “Trump will be at the centerpiece of the annual retelling of the story of the Exodus—cast in the most unflattering light as the slaveholding villain” (Le Miere).

Next, the White House press secretary, Sean Spicer, was forced to apologize after he suggested that “Hitler had not used chemical weapons, ignoring the use of gas chambers at concentration camps during the Holocaust.” His remark “added to the perception that the Trump White House lacks sensitivity and has a tenuous grasp of history” (Fandos). Trump tried to make amends for this series of blunders by denouncing anti-Semitism and embracing Israel at the United States Holocaust Memorial Museum’s National Day of Remembrance in April 2017 (Merica). But Bend The Arc Jewish Action, a nonprofit organization and political group, posted an open letter asking the Holocaust museum to disinvite the President. “President Trump’s administration has repeatedly insulted the memory of the Holocaust, and embraced the agenda and rhetoric of white nationalism and antisemitism,” the letter reads (Open Letter).

Bomb threats have been on the rise in the United States and Canada since January 2017, a fact some Jewish groups attribute to Trump’s campaign and presidency. “The number of anti-Semitic incidents across the country increased by 67 percent in the first three quarters of 2017 compared to the same time period in 2016. . . .The Anti-Defamation League (ADL) says in its latest ‘Audit of Anti-Semitic Incidents’ that the number of assaults, acts of vandalism and violence against Jewish institutions between Jan. 1 and Sept. 30 totaled 1,299, compared to 779 over the same time last year“ (Anti-Semitic Incidents).

Asked about the rise of anti-Jewish crimes since his election, Trump told an Orthodox Jewish reporter to “sit down” during a news conference in February 2017 before defending himself as “the least anti-Semitic person that you’ve ever seen in your entire life” and “The least racist person.” He accused the reporter of lying, and he referred to his great friendship with Benjamin Netanyahu, employing the always handy “some of my best friends are Jewish” disclaimer. But the reporter was not accusing Trump of anti-Semitism, only asking what he intended to do to stem the rise in anti-Jewish crimes. His anger and excessive defensiveness on the subject

might suggest an underlying guilt. Preposterously, Trump claimed that the anti-Semitic incidents originated not with his supporters but with his political opponents to anger people (Oppenheim).

The turning point in the opposition to Donald Trump's putative anti-Semitism came in August 2017, after a violent mob of white nationalists terrorized Charlottesville, Virginia, killing one person and wounded several others. Yet Trump refused to denounce the right-wing marchers, claiming to find a moral equivalence between neo-Nazis and those protesting the Nazis. At this point, prominent Jewish-American novelists Michael Chabon and Ayelet Waldman, a married couple, wrote an open letter:

“To our fellow Jews, in the United States, in Israel, and around the world: We know that, up to now, some of you have made an effort to reserve judgment on the question of whether or not President Donald Trump is an anti-Semite, and to give him the benefit of the doubt.”

After Charlottesville, however, claimed Chabon and Waldman, there was no longer any doubt: “the President expressed admiration and sympathy for a group of white supremacist demonstrators who marched through the streets of Charlottesville, flaunting Swastikas and openly chanting, along with vile racist slogans, ‘Jews will not replace us!’ Among those demonstrators, according to Trump, were ‘a lot’ of ‘innocent’ and ‘very fine people.’ . . .

“Any Jew, anywhere, who does not act to oppose President Donald Trump and his administration acts in favor of anti-Semitism; any Jew who does not condemn the President, directly and by name, for his racism, white supremacy, intolerance and Jew hatred, condones all of those things” (Chabon and Waldman).

The marchers in Charlottesville were chanting “Jews will not replace us!” because anti-Semitism is the engine of white supremacy: “in the White nationalist imaginary Jews are a race — the race — that presents a direct, existential threat to Whiteness. . . . Jews — despite and indeed because of the fact that they often read as White — are a different, unassimilable, enemy race that must be exposed, defeated, and ultimately eliminated” (Ward). The Jews, according to white nationalists, are the archenemy, Satan's spawn, a powerful international cabal who pass as white but actually conspire to bring down whiteness. Thus true whites vow not to be “replaced” by the insidious, false white Jews.

Yes, “Jews will not replace us,” and neither will “Happy Hannukah” replace “Merry Christmas.” During Christmas 2017, Trump, who often traffics in paranoid

conspiracy theories, revived talk of the bogus “War on Christmas” and claimed he had singlehandedly won the war and made it possible for Americans once again to say “Merry Christmas,” as if that had ever been an issue. Just as he blithely retweets hate messages from white supremacist sites, he seems unaware that talk of a supposed “War on Christmas” began in the 1920s in the notorious anti-Semitic tract *The International Jew: The World’s Foremost Problem*, first published in Henry Ford’s *The Dearborn Independent* from 1922-24 and then republished in four volumes sponsored by Ford. Henry Ford is cited in the first edition of Hitler’s *Mein Kampf* (1925) (Denvir). And he is an influential member of the Lindbergh administration in *The Plot Against America*. “The War on Christmas” is one of Trump’s many “dog whistles” to American anti-Semites.

Another of Trump’s thinly disguised anti-Semitic slurs is the term “globalist,” which implies that Jews have no loyalty to the nation but conspire as internationalists to control global capital, similar to the infamous forgery, *The Protocols of the Elders of Zion* (1903), which was used by the Nazis. Trump said of his outgoing director of the National Economic Council, Gary Cohn, who is Jewish, “He may be a globalist, but I still like him.” Trump was not using the term innocently, for one of his final 2016 campaign ads warned of “‘those who control the levers of power in Washington’ and the ‘global special interests’ and the ‘global power structure that is responsible for the economic decisions that have robbed our working class, stripped our country of its wealth.’ Besides Hillary Clinton, the ad featured images of only three recognizable Americans: the investor and philanthropist George Soros, Goldman Sachs Chairman Lloyd Blankfein, and then-Chair of the Federal Reserve Janet Yellen, all Jews” (Beinart). This is in line with his campaign’s borrowing of neo-Nazi imagery to show Hillary Clinton with a pile of money and a Jewish star, mentioned earlier, thus aligning Clinton, who is a Protestant, with the mythical conspiracy of international Jews to control and loot global capital. Trump thus traffics in classic, paranoid anti-Semitic imagery linking Jews with money.

Trump proves that one can have a Jewish son-in-law, a daughter converted to Judaism, be a staunch supporter of Israel, and yet still be an anti-Semite. In this fashion he can retain a modicum of Jewish support while still appealing to the mass of his followers, who range from polite anti-Semites to rabid neo-Nazis.

Differences Between the Fictional Lindbergh Presidency and the Real One of Trump

The fictitious Lindbergh presidency and the real one of Donald Trump of course deviate sharply at many points. The main discrepancy is that Trump

better resembles Roth's fictional portrait of the real-life gossip columnist Walter Winchell, who was Jewish, than the "golden goy" Charles Lindbergh. Lindbergh is an austere WASP whereas Winchell, who was a fierce anti-Nazi, becomes in the novel Lindbergh's chief public critic and later his opponent for the Presidential nomination. Although Winchell is the quintessential "loudmouth Jew," he resembles Trump: he is a media celebrity with an unstoppable mouth and gutter charm, a vulgar playboy who chases showgirls, a maverick, immoderate, and, above all, a self-promoter (260-61). When Winchell starts to run for President, the New York Times denounces "Winchell's 'self-serving shenanigans': 'there is nothing Walter Winchell has more talent for,' wrote the Times, 'than himself'" (261). Winchell's candidacy is short-lived, for "anti-Semitic agitators hunted Winchell down at every crossing" (264): he is first wounded by a mob in Boston and then assassinated during a speech in Louisville, a martyr to the cause of anti-fascism.

At the funeral, New York Mayor La Guardia admits that Winchell "was not a lovely human being. . . . He was not shy, he was not modest, he was not decorous, discreet, kindly, et cetera. . . . My friends, only a Charles A. Lindbergh has motives as pure as Ivory soap. . . ." But La Guardia goes on to state that because Walter was the enemy of the fascists and Lindbergh was "'a fascist sympathizer, more than likely an outright fascist. . . . Walter's vulgarity is something great, and Lindbergh's decorum is hideous'" (303-05). In *The Plot Against America*, as in his American trilogy and *The Dying Animal*, Roth opposes the falsity of decorum and purity to the honesty of indecorum and impurity. Donald Trump can be criticized for many things, but surely "decorum" is not one of them. In fact, Trump's loudmouth vulgarity is read by his followers not as crudity but as a sign of fearlessness and authenticity.

Conclusion

Nevertheless, *The Plot Against America*, which may have seemed like an oddity when it was published, now "feels horrifically prophetic – a warning that intolerance and populism are not historic quirks but aspects of the human condition against which society must be eternally vigilant" (Power). According to Richard Brody, "*The Plot Against America* is about how it can happen here; about how, if it were to happen here, American Jews and, for that matter, many other courageous Americans would rise up, organize, and resist; and about how their altogether American resistance against an altogether American abuse of power might nonetheless not suffice. . . . *The Plot Against America* dramatizes the American character as vast, manifold, and inchoate; it can use its prodigious and uninhibited energy for good or for evil, and it shifts under the sudden force of unforeseeable

events. The shifts and pivots of the American nation at large are also those of each individual American.”

We now face a real plot against America, one that will not be so easy to defeat but that we must resist with all our power. According to Robert Kuttner, “Trump is far more of a menace than Roth’s invented Lindbergh. Getting rid of him will take strategic focus, courage, and no small measure of luck. . . .” But we can be grateful to Philip Roth for having provided us with a fictional model for the struggle against fascism in America.

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责任编辑：尚必武

Yiğit Bener's *Missing Stones*: Hermeneutics of the Symbolic Death, the Wedge between the Personal and the Social

Nurten Birlik

Abstract: Yiğit Bener's *Missing Stones* (*Eksik Taşlar*, 2001) traces, through Devrim's dig into his past, his father's, Erdinç's life after the military cue in 1980 in Turkey and how his utopian ideals turn his life into a nightmare when he discovers that what he has fought for so far are formulated on a will to power rather than absolute ideals. Erdinç cannot go back to his previous life as all the previous parameters were shattered irreparably. He faces a social and intellectual dislocation. After Devrim contacts Erdinç who is in seclusion on a small island, through his role as a father, it seems, Erdinç will reposition himself in his culture. This time the father-son relationship is reversed: through his son he will forge new links to hold things together. The novel puts Erdinç's troubled relationship with the discourse he lives in and his search for a new operating master signifier(s) right at its center and it is for this reason that this essay seeks to give a Lacanian hearing to Erdinç's sense of rootlessness and his abortive attempts to escape it, and to explore the process he parts political company with his political network and how he justifies his political dissociation using Lacanian ideas of symbolic narcissistic gratification, ego ideal and *jouissance* as conceptual tools.

Key words: *Missing Stones*; Yiğit Bener; Lacan; Turkish Novel; Political Novel

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标题: 叶各特·博纳《丢失的石头》：死亡象征的阐释学，个体与社会之间的裂隙

内容摘要：叶各特·博纳的《丢失的石头》（埃克斯克·泰斯勒，2001）通过德福伦对过去的挖掘追溯了他的父亲艾丁克在1980年土耳其军事行动后的人生，展现了他的乌托邦理想——当他认识到他的追求是构建在权力欲望而不是绝对理想之上时——演化为噩梦的过程。艾丁克无法回到从前的生活，因为过去已经崩塌。他所面对的是社会和才能的错位。在德福伦与遁世隐居在小岛上的艾丁克联系后，艾丁克似乎通过其父亲的角色重新回到了他的文化之中。这一次父-子伦理关系颠倒过来，通过他的儿子，艾丁克构建了新的联系并重整破裂的生活。小说的中心是艾丁克与文化语境之间关联的断裂以及他对新的行动指引的追寻。基于这一点，本文试图从拉康的心理学视角分析艾丁克无法躲避的无根漂泊，并通过拉康的象征性自我吸引、理想自我和享受一系列概念来探讨艾丁克脱离政治生活网络的过程和原因。

关键词：《丢失的石头》；叶各特·博纳；拉康；土耳其小说；政治小说。

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Little work has been done on the works of the expatriate writers in Turkish literature who left the country after the military cue in 1980 to live in a European country, and who started out their career with a political consciousness only to end up defying all the political frames and utopian idealism. Despite many stylistic dissimilarities, they share some common characteristics like a deep sense of alienation and rootlessness which leads to an incurable sense of anxiety in their characters who live in a no man's land. This group of writers are usually motivated by a deep longing for Istanbul when they are in exile and make Istanbul the capital of their imagination. Thus in some of their works Istanbul is sometimes as important as the characters themselves, or, in some cases, it can be the main character as in Nedim Gürsel's *My Beloved Istanbul*, a collection of short stories on Istanbul. Yiğit Bener is one of these writers who had to leave Turkey for political reasons. Bener's first novel *Missing Stones (Eksik Taşlar, 2001)*¹ also belongs to the tradition of novels of dystopia in Turkish literature as it tells how the practice of the political ideals turns the protagonist's life into a nightmare when he discovers that what he has fought for so far are formulated on a will to power rather than political ideals. In such novels, the characters cannot go back to their previous lives as all the parameters were shattered irreparably. They pay a dear price for this break with their past due to their lack of interest in the public sphere, feelings of inner void, despair, apathy, and lack of interest in the future. They cannot continue to fight for

1 Translations mine.

their political ideals either and are faced with the difficult task of finding a personal solution resulting in isolation from their previous social network. The result is, in many cases, social and intellectual dislocation.

Missing Stones tells two interconnected stories of search, and narration in the novel oscillates between these two searches. The first story develops around Devrim, a young Turkish academician, and his search for the traces of his father; and the second is the story of a search on his father's (Erdoğan's) side for some sort of solace in life. In other words, Erdoğan's story of search (the background text) is told through Devrim's search (the foreground text). The background text intervenes in the foreground text through the accounts of Erdoğan's old friends. Thus, in the whole novel, rather than a smooth flow of narration, there are temporal and spatial lapses which demand an alert reader to follow. Devrim goes to Brussels as an intern to the European Union and, ironically, discovers his father's real identity in this foreign city where he used to live as an asylum seeker. Just like a detective, Devrim hunts for traces of his father's and discovers that Erdoğan was a self-exile in both countries (Turkey and Belgium) being pushed to the edges of the community. He learns that his father worked in different political factions, devastated his family and a promising future leaving his PhD in law incomplete for his utopian ideals and, then, all of a sudden, gave up all his political endeavours and went into seclusion on a small Turkish island. Discussion of how far and how realistically this novel reflects the political turmoil in the country is beyond the scope of this study. However, one feels obliged to emphasize that Erdoğan shows a clear awareness of ways in which the practical necessities rather than the ideals determine the future of such utopian projects. As he sees himself as caged in the conventional ways of perception of political ideals, the novel reveals a wholesale attack on the hypocrisy of the political factions. Because of the persistent references to Erdoğan's political ideals, *Missing Stones* seems to be built around his political endeavours. However, a closer look tells the reader that Bener puts Erdoğan's troubled relationship with the discourse he lives in and his search for a new operating master signifier(s) right at the heart of his work. It is for this reason that the novel reveals more when it is viewed from a Lacanian perspective, which gives a central position to a master signifier in the formation of both a discourse and a subject. This essay will seek to give a Lacanian hearing to Erdoğan's sense of rootlessness in both countries and his abortive attempts to escape it, and to explore the process he parts political company with his political network and how he justifies his political dissociation.

Until Devrim meets Erdoğan's old friends in Brussels, he has been a "ghost father" (75) who simply vanished from his life at the age of seven leaving Devrim

and his mother to his maternal grandparents. They hated his father and who transmitted their hatred to their grandson. When he reappeared ten years later, Erdinç was a weak figure unable to communicate with his son, a “good for nothing” in the eyes of his grandparents. These old people could not bear the sight of Erdinç for reasons which were unclear; and they told Devrim almost nothing about him, as in his words: “They never referred to my father....He was the diseased of the family, a source of shame to be hidden from view.... As if he hadn't existed. Only my grandmother used to refer to him But she did it with contempt” (114).

Devrim's talks to Erdinç's friends turn out to be a process of rewriting his father's identity, which metamorphoses from an irresponsible womanizing anarchist to a lovable father with a strong sense of duty and responsibility. As the title implies, he fills in the *Missing Stones* in his past. From Erdinç's friends Devrim learns that Erdinç had to depart from the country. Devrim's mother could not get her passport to leave the country in the early years, when she managed to get it, it was too late for both herself and Erdinç. Yasemin stayed in Brussels for two years and the difficulties arose from several factors: their marginalized position in Brussels, financial difficulties, and last but not least, alienation from the other due to several years spent separately. To make matters worse, Yasemin had to leave their son Devrim at home as she could not get a passport for him due to her father's friends at important places. This old man kept his grandson to himself by pushing the son-in-law out of sight for some curious reason. He wanted to raise Devrim in his own image within a traditional context or he used him as a bait to keep his daughter near himself. Yasemin seems to have torn between the expectation of her own father and her husband, or in a Lacanian sense between two Fathers of two different discourses. She went back to Istanbul to her father's house and fell into a severe kind of depression. When all the asylum seekers were allowed to come back to Turkey by the official government, like many others, Erdinç went back to Istanbul. Instead of a happy reunion, theirs turned into a tragic one as both Erdinç and Yasemin changed a lot in ten years and as Yasemin's depression became even worse. Their endless quarrels and his failure to understand Yasemin led up to her suicide. Interestingly, she committed suicide when Devrim was away on holiday to celebrate his success in the university placement exams. This was revealed as a natural death to Devrim, in fact, when he came back from holiday he learned that his mother was given her burial ceremony. Shortly after her death, Erdinç went into seclusion leaving everything behind, including Devrim. The unbridgeable gap between himself and his son added another layer to his suffering.

Devrim's quest for his father and his own past, “takes place in locations, in

memories and also within socialist theory” (Türkeş 2). This is made possible by the frame story (the foreground text) which is based on a strange coincidence: Devrim will work as an intern in Shari’s (Erdoğan’s ex-girlfriend) office at the EU. She acts as a link between Erdoğan’s past and present for Devrim when she depicts Erdoğan as a determined man with a strong sense of responsibility towards his family. Devrim is shocked to hear that they were friends as his father seems so inferior to this intellectual, efficient and formidable woman. To learn that they were once lovers and his father still means a lot to her comes as an even greater shock to Devrim. Shari says that this man who sacrificed so much for his political ideals later left his faction in Brussels although he was one of its leading members. He joined another faction but he did not feel at home in this faction either, and soon joined the opposition group within this second faction, and shortly afterwards was expelled from it too. After ten difficult years in Belgium, he returned to Istanbul, where he had the chance to work freely in his previous faction before the takeover; but this, too, turned out to be an abortive attempt and he gave up his political endeavors altogether. In the end, the man who devastated himself and his family to create a political utopia started to live in perfect seclusion on a small island, cut off from his past and friends.

Through Shari, Devrim contacts Erdoğan’s other friends in France and Belgium who say almost similar things about him. His father metamorphoses into a collection of fragments which he cannot integrate into a whole because, now, Erdoğan appears as a lovable figure who suffered a lot for both his family and his utopian ideals, and who, even in those difficult days, kept on fighting. Devrim tries to find the *Missing Stones* in the jigsaw puzzle (of Erdoğan’s life) by speaking to different people. In each relationship Devrim explores a different aspect of his father only thus he can reach a unified understanding of who his father is.

What Devrim hears from them is not enough to explain why Erdoğan gave up his political ideals or his reasons for choosing seclusion. The only convincing justification comes from Erdoğan himself in a letter to an ex-girlfriend in which he ruefully says: “I feel exhausted, I lost my belief in myself” (240), and he adds: “I tried hard but I couldn’t adjust, it is beyond my capacity, there is a chronic allergy against this established system in me, this is a kind of disease of inability to adjust, whose cure I couldn’t find” (242-243). His comments on his struggle command attention:

Changing things ... ‘change’. This is the keyword. Not accepting the existing things. Not being content. Asking for more, at least looking for something not

worse than the existing things. We tried to do this. We aspired for this role. We would be the midwife of history. We would give birth to a new world at the expense of unavoidable pains. We would write a new history. We could not manage. (241)

He asks: "Then what is the cure? Finding an apt way of escape, like finding solace in ethyl alcohol or in a variety of narcotic plants?" or "an escape of a mystical kind?" (242). Here we witness his efforts to cope with painful emotions. In the same letter, he says that he is doomed to unhappiness: "In the end, when one loses his hopes and aspirations, and when one gives up his beliefs, life itself becomes meaningless. If one is unable to change this meaninglessness, what is the point of insisting on living?" (243). His solution is to be a living dead (247), that is, seclusion. He accepts that his vital instincts are still strong but not strong enough to live in community. In his case there is strength of mind at odds with his surroundings. In such sections of the novel in which Erdinç reflects on his living present against the background of his past, one feels compelled to refer to Ömer Türkeş, who says that Bener "explores both the past and today in their interaction and offers two-partite criticism" (2-3).

Levent Cinemre drives the nail home when he says, "there is not much material in our literature about the ones who had to flee their country and to be away from their family after 12 September cue, *Missing Stones* fills in a literary gap." Cinemre also gives a list of themes explored in the novel and says, the narrative explores a wide range of issues (EU and Turkey, Turks in Europe, hatred for the immigrants, man-woman relations, feminism, linguistic nationalism in Europe, the past and future of socialism, the social status quo in Turkey) each of which deserves to be the sole topic of a novel.

Ömer Türkeş and Emrah Göker categorize *Missing Stones* as a political novel. Türkeş claims that it explores the recent past with its socio-political problems. He also claims that "there is no distance between the writer himself and what he narrates." For Türkeş this strong overlap between the biography of the author and what he narrates is made clear by the use of the names of the real political figures for the characters in the novel, like Devrim, Ulaş, Mahir, Sinan, Taylan, etc." (1). Türkeş continues; by locating the context in Brussels, Yiğit Bener has the opportunity to deal with the problems of "immigrants in Brussels, problems of the Turkish workers and the ex-left groups, socialist groups in Belgium, contemporary problems of international socialist movement" (1).

Göker thinks that "the narrative deals with all the political issues under the

sky” and claims that Bener pays special attention to fulfil the aesthetic requirements of political novel. To support this view, he underlines the fact that the narrator doesn’t limit himself to the young man Devrim who is at the centrepiece of the novel. This narrator also gives us access to Laeticia (Devrim’s girlfriend) and to Erdinç’s former girlfriends, through his two letters to his lovers during these years of exile and through his dialogs in the last section of the novel and less often, through Erdinç’s biggest love, Devrim’s superior at the EU, Shari’s thoughts. Göker also says: “Another detail in the novel that supports this view is, narrative is dominated by theatrical performance and intense dialogs. Abundance of conversations is another point that enables different characters to make political statements.”

Due to its themes, the novel has been categorized within the political novel tradition by different critics (Cinemre, Türkeş, Göker, Naci, Polat) but according to Bener himself this categorization is unfair. Along with one’s confrontation with one’s political position; the novel puts under scrutiny many other things like man-woman relation, sexuality, love, marriage, morality, values, how one is viewed both in Europe and in his country, individuals’ hidden impulses, etc. In this sense the novel offers a radical confrontation with one’s self and the other, and everything. From this perspective, the political references here and there in the novel do not constitute the core of the novel, just the opposite, it is one of the minor issues in it. Problematization of sexuality, love and male identity is foregrounded more than the other issues. (in Altun)

While Fethi Naci says that theoretical/ poetical discussions make up eight percent of the novel, M. Salih Polat says, almost all the narrative is made up of “theoretical” discussions. Polat claims that the political criticism offered in the novel is shallow and doesn’t offer anything new. Polat seems to be harsh in his criticism considering the fact that not much was written about the period and about the people who went through that period in Turkish literature. The novel doesn’t set out to offer a documentary account of the period. It concentrates on the intricate relation between Erdinç and his position in the dominant discourse, both in Turkey and in Europe. The most we can infer about the political history does not go further than a personalized version of it. In this line of thinking Polat seems to underestimate the literary merits of the novel and falls into the trap of what Whimsat calls intentional fallacy, the tendency in the reader to see in a literary text what one wants to see.

Ensar Altun, in *Cumhuriyet Kitap* introduces the book as follows: “the narrative is for those who want to know about the lost lives of the lost generation.”

However, Bener refuses that, in the novel, he set out to give voice to the predicament of the exiles. He reveals that his aim was not to create a prototype for the immigrants. He doesn't feel responsible for them as he thinks that everybody lived this particular period differently, "though in similar conditions." However, he cannot deny the fact that, "those who lived through such an exile period will find something from their own life in Erdiñç's story." He continues to elaborate on the idea by specifying those possible common elements between Erdiñç and the readers with an experience of exile:

...loneliness, isolation, confronting racism, losing their reference points... in one place in the novel, there is a comparison between prison life and exile. As far as I have heard from my friends who have experienced both, prison life is led in the same country and within the same frame of reference. Thus, your perception mechanisms remain intact. You know that it is prison; your freedom is limited, through bad living conditions, different forms of oppression are in practice. When you are abroad as an exile, all your frames of reference are ruined. You feel as if you are left somewhere in the air. Its psychological oppression is much more than what you feel in prison. Neither a familiar home nor a familiar language. Nothing. (in Uludag)

By some critics the novel is also regarded as an autobiographical novel but this categorization is rejected by the writer himself who says that he never felt alienated and disconnected from his father as Devrim does (in Altun). Although accepts some of the parallelisms between himself and Erdiñç, he underlines the differences which dominate the novel. He acknowledges the internal autonomy and unique logic of his protagonist by disconnecting himself from Erdiñç (in Uludag).

Erdiñç refutes the Name of the Father twice, first by questioning and trying to offer an alternative to the dominant discourse in his country through the political faction he was in, second by challenging the main tenets of this faction. Erdiñç's predicament becomes more comprehensible from a Lacanian perspective which prioritizes a master signifier in the formation of both a discourse and a subject. For Lacan, a master signifier unifies the fragments into a meaningful whole and the discourse itself becomes stable against the background of these organized signifiers (Lacan, *Le Séminaire* 218). In order to cope with the sense of lack caused by the symbolic castration, the subject needs to identify with the operative master signifier or the signifiers revolving around it, and believe itself to be self-identical (Lacan, *Le Séminaire* 177-178). This identification and gratification gives the subject the

sense of unity and recognition which is essential for an awareness of an ego ideal. This is to say: the subject can position herself/himself in a culture due to this correlation between herself/himself and the master signifier (Lacan, *Écrits* 95-97, 229-231). If the subject's relation to the master signifier(s) is problematic, s/he can exist only on the margins of the dominant discourse as s/he is denied the symbolic identification and gratification. Among such subjects hysterics demand attention – as in this novel the protagonist's discourse is or has to be primarily a discourse of the hysteric. The hysteric achieves the transition to the symbolic register unlike the psychotic but there is the loss of the signifier's referential value at the conscious level. In the unconscious the master signifier exists as a major constitutional element but is negated in the consciousness (Lacan, *Le Séminaire* 107). This results in a lack in the signifying chain of the subject which finds its expression through a symptom which becomes “the signifier of a signified that has been repressed from the subject's consciousness” (Lacan, *Écrits* 232); and the hysteric's discourse is dominated by this symptom. To put all this into a nutshell, as the subject cannot have access to the symbolic identification and gratification in the dominant discourse, s/he compensates for this lack through the symptom, or the part object (*plus-de-jouir*) which is the unsymbolised cause of desire.

If one looks with a Lacanian eye at Erdinç's political endeavours and his unexpected seclusion, one can suggest that when he was in Turkey and in his early years in Brussels when his organic ties with his community in Turkey were still strong, the idea of a political utopia acted as both a symptom and a part object for him, or it took “the place of what by its very nature remains concealed from the subject” (Lacan, “Desire” 28). As an alternative to his failing identification with the operative signifiers in the dominant discourse, he preferred to be dominated by the idea of a political utopia which offered *jouissance*, free of the fear of castration. According to this reading, his utopian ideals enacted the struggle between the Symbolic register and his unconscious drives which posed a threat to the Symbolic narcissistic gratification. (It might be worth nothing here the underlying connotations of the idea of utopia: the unity, wholeness, abolition of any kind of lack or of all the binary oppositions, and homogeneity, all of which imply a challenge to the Lacanian idea of the symbolic castration).

Devrim is told by his father's friends that Erdinç was suffering for both being far away from his family and living in an alien community where he lost all his reference points. He was also struggling with the prejudice against his cultural roots: in Brussels he was always perceived as the cultural other, even among his left-wing friends. Devrim can see that Erdinç was seeking a sense of belonging in

a community which denied him recognition. This brings him closer to his father as he, too, is struggling with the same kind of prejudice. Devrim, too, feels that he is perceived as the cultural other by some of his friends at the EU whose first reaction is usually to say: “You don’t look like a Turk” in an ironic attempt to be nice to him.

Interestingly, he is surprised to find out that his father managed to turn this predicament into an advantage. In the eyes of his small circle, Erdinç acquired the position of a self-exile, the attractive cultural other. Not only his political views but also his ideas on sexuality were quite radical, equally attractive to his friends. Erdinç found the traditional sexual ethics hypocritical and backward, and problematized its fundamental elements and taboos like loyalty and the secondary status of women. In his anti-monogamic morality, he was also against the institution of marriage as it commodified women taking them as objects rather than subjects, and challenged its arbitrary symbolic values. When Erdinç was in Brussels, he had many love affairs, all of which were known to his wife back in Istanbul. These affairs give a different shade to his image of the suffering but sought after hero. He was honest and open to his partners in all phases of his relationships and gave his partners the same freedom that he enjoyed. He went so far as to introduce his girlfriends to each other, even to his wife. In a provoking scene, for example, he made love to three different women at different times on one night at a party and each of the women knew this. On this issue, the writer dialogizes different views between the characters who take Erdinç as a womanizer, and the characters who approve of his practices (these are usually the women he slept with) because of his honesty, the consistency between his ideas and practice, and because of the genuine affection they received from him. Even the women who were victimized by his experiments in sexual matters and who still suffer the consequences cannot resent him. Whether they agree or disagree with Erdinç in his practice, it is striking that these old friends still have deep respect for him. Again a Lacanian look might explain how he could have a hypnotic effect on those around him: being on the margins of the symbolic register, Erdinç spoke from the position of the lacking but desiring subject. His theories on sexuality and politics served to open up the lack and kept it as it was rather than plugged it up. He implied the incarnation of forbidden *jouissance* for them, who promised a complement to their lack.

Not everybody speaks positively about his father. The leader of his second faction, comrade Philip, for example, says reluctantly that Erdinç was an active member in the beginning, and took many responsibilities but “later on his petit bourgeois tendencies started to become dominant. He diverted from the mainstream

party policy and his criticisms were gradually getting harsher” (81). Erdinç criticized the immigration policy, their idea of international solidarity, and he defied the party discipline and joined the bourgeois Trotskyist opposition. Then comrade Philip adds, “he was questioning the party’s fundamental ideological principals, even the contributions of Stalin comrade to socialism” (81). Why did he disagree with the leaders in these factions? The basic doctrines were always the same, so what changed after he came to Brussels? The political community in this city had its own hierarchy, its own rules producing its own dominant signifiers which disrupted the other elements of discourse; and its representatives saw everything in terms of these dominant signifier. Erdinç’s utopian ideals acted as the part object both when he was in Turkey and in his early years in Brussels but when he was allowed to integrate this part object to the discourse, it lost its previous attributes. In Brussels, when he was given the chance to talk and write about his revolutionary ideals freely without the threat of the Law of the Father, his political views were transformed into a totalizing frame of reference, a system of knowledge itself rather than a part object. It was no longer an unsymbolised cause of desire carrying the power of subverting and disrupting the authority of the dominant discourse but it became a symbolized frame. Now, Erdinç saw the basic doctrines of his faction in their symbolic references rather than as metaphors of *jouissance*, and as a result, they lost their hold on him. Once more he sabotaged himself by pushing himself to the margins of a frame of reference where a master signifier reigned. He was once more in the no man’s land and was looking for a sense of belonging in this land which refused to grant recognition to him. This brought further alienation for Erdinç, from both his friends and the community at large. In that sense, this was, for him, another escape from castrating power of the Father.

Devrim learns a different aspect of his father from each of his friends, but they cannot make sense of Erdinç’s reluctance to establish contact with his son. All of them say that Erdinç was very fond of his son, and some of them witnessed how Erdinç minded him much more intensively than his mother as a baby. To find an answer to this question and to get to know who this man really is, Devrim flies to Turkey, to Cunda, the island where Erdinç lives on. Their talks solidify the image of Erdinç created by his friends. Devrim was told that his mother didn’t die a normal death but committed suicide as she was in severe depression. She was torn between her husband’s ideals and the expectations of her oppressive father, who did everything within his power to put an end to their marriage. Erdinç says that he could not attempt to contact with him because when he fled from Turkey his grandparents accepted Devrim and his mother only on condition that Devrim would

not see his father again. When Devrim asks why he chose seclusion, Erdinç's reply is interesting: he says that he still regards himself as Marxist and still believes in the Marxist utopia but he lost belief in the ways to achieve this utopia. He gives harsh criticism of what has been done so far in the name of Marxism, and adds: "How can one defend a regime that is established by imprisoning, torturing and sending exile millions of people?" (326). All these Marxist factions ended up establishing a hierarchy and oppression similar to what they fought against, he says. Their basic mistake was that they were fighting against the will to power in the established system but they, too, acted on a similar will to power. Therefore, in Erdinç's opinion, all of the attempts to establish a Marxist utopia have failed. He adds ruefully: "I don't want power. I don't want to have power on others. I don't want others to have power on me. I want to be 'powerless'. I want powerlessness" (244). Emrah Göker thinks that the novel tries to come to terms with '78 revolutionism through an archaeology of the past in the presentness of 2000s." Türkeş takes Erdinç's words on the will to power as "a manifesto of a new political stance" and he also emphasizes that due to this new stance the novel ends on an optimistic note (1).

When Devrim insists that Erdinç should still fight for his ideals, Erdinç's answer deserves attention: "I don't have the energy to fight for anything." He gives expression to his case with a quotation from a poem (Mungan 108) and says that one should either be within the circle or outside it because: "When you are in it physically and outside it spiritually /.... there is nothing else to be done, my man, except for drinking in the evenings and being unhappy" (344). This quotation hints at the idea that his seclusion is born out of a desperate need to find peace away from the suffocating political context of his previous network.

In Lacanian epistemology, one's sense of identity or ego ideal is dependent on one's position in relation to the master signifier(s) which unify the other signifiers and which turn them from fragments into a stable discourse. At times of social upheaval the failure of the master signifier to stabilize the discourse might lead to a profound feeling of alienation and depression, and finally, to dissolution of the ego ideal. In this line of reading, it would not be wrong to suggest that *Missing Stones* is the fictionalized form of the subject's changing position to the master signifier. Erdinç feels alienated and pushed to the edges of the dominant discourse, as the patriarchal totalizing discourse cannot fulfil its function of providing a unifying principle, at least for Erdinç. And he is unable to establish an alternative to it through Marxism; in other words, he fails to find a new master (or a new Father).

From another perspective, Erdinç's quests for a new Father can also be taken

as the subversion of the Oedipus, or the passion for knowledge. In the myth, Oedipus paid a heavy price for his unusual knowledge. Likewise, Erdinç enacts the passion of Oedipus as he suffers from an inability to submit to the Name of the Father and seeks to assert his hysteric discourse over the discourse of the Father. He, too, pays a heavy price for his quest for a new Father when he fails in his attempts: he confronts the impossible and loses his desire to plug up the deep sense of lack. This also accounts for his choice to live in seclusion as a “living dead.”

M. Salih Polat says that some stones remain missing in the narrative. This view may be accepted when we think of possible outcomes of a reunion in their near future against the background of the characters other than Erdinç and Devrim, like his grandfather. However, one can also say that the novel closes in a consciously ambiguous way emphasizing the open endedness of the aftermath of their meeting. Through his role as a father, it seems, Erdinç will reposition himself in his culture. This time the father-son relationship is reversed: through his son he will forge new links to hold things together. It will be the son who integrates the father into the symbolic register; and the novel ends when Erdinç shaves after a very long time of neglect and makes plans to repair the worn-out house he lives in. He is trying to achieve a humble command of his life on a decent ground. These attempts remind us of the words of the Fisher King at the end of Eliot’s *The Waste Land*: “Shall I at least set my lands in order?”

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A Review of the Debate over National Form in 1940s: How to Create a National Form for Chinese New Literature?

Gong Gang & Ma Yueling

Abstract: The debate over national form dominated the ideological trend of the nationalization of literature and art after the Second Sino-Japanese War, which not only extended the disputes over new form and old form, and Chinese form and Western form, but also enriched the discussion of the popularization of literature and art in 1930s. This debate concerned not only about how to develop Chinese literature, but also about how to properly evaluate new literature and art ever since the May Fourth Movement. After the break out of the War, one of the function of literature was to mobilize and encourage the masses, and thus, the creation of a national form became a crucial question which attracted much attention. To emphasize the national form was to strengthen national consciousness, which was also required by the need of mobilizing the people during wartime. Based on the fact that both sides agreed with the necessity of creating a national form, the debate centered on Xiang Linbing's argument that "the folk form is the central source for creating a national form." This article reflects on Hu Feng's view that the debate *per se* was a "theoretical tragedy" and explores the two questions essential to the development of Chinese new literature and art, that is, "the transplant of the foreign form" and "the utilization of the old form." Besides, it also analyzes the theoretical values and the significance of practical guidance and expounds on the contemporary development of the nationalized fiction with Mo Yan as an example.

Key words: the debate over national form; the law of "Wai Li"; the law of the struggle between the new form and the old form; new literature and art since the May Fourth Movement; Hu Feng; Mo Yan

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标题：如何创造中国新文学的民族形式？——回顾 1940 年代的民族形式论争

内容摘要：民族形式论争作为“抗战”以来文艺民族化思潮的主体，既是五四时期新旧中西之争的拓展，也是三十年代文艺大众化问题讨论的深化，不仅关乎中国文学的发展方向，也关乎对五四新文艺传统的正确评价。“抗战”爆发后，文学需要承担起动员大众、鼓舞大众的职责，因此，民族形式问题就成了深受关注的重大文艺问题。对于民族形式的强调，既是为了强化民族意识，也是基于战争期间广泛动员大众的需要。关于民族形式的论争，是在论辩双方都对创造民族形式的必要性予以肯定的前提下，围绕着向林冰的“民族形式的中心源泉是民间形式”这一观点展开。本文反思了胡风所谓民族形式论争是“理论的悲剧”的观点，探讨了外来形式的移植与旧形式的利用这两个关乎中国新文艺发展的重大问题，分析了民族形式论争的理论价值与实践指导意义，并以莫言为例，论及民族化小说的当代发展。

关键词：民族形式论争；外砾法则；新旧斗争法则；五四新文艺传统；胡风；莫言

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The debate over national form (hereafter referred to as “the debate”) after the break out of the Second Sino-Japanese War (hereafter referred to as “the War”) has played a crucial role in the development of Chinese literature and art under new circumstances, which not only continues the constant debate over “westernization” and “nationalization” since the late Qing Dynasty, but also contributes to the still growing ideological trend of the popularization of literature and art since the May Fourth Movement (hereafter referred to as “the Movement”). Since the spring of

1940, the debate has last for “over half a year”¹, attracting attention from many leading men of letters, like Zhou Yang, He Qifang, Ai Siqu, Xian Xinghai, and Guang Weiran from the liberated area, and Mao Dun, Guo Moruo, Hu Feng, and Hu Sheng from the KMT-controlled areas. It is no exaggeration to call it a “a big event in the world of letters”².

The debate mainly centers on the point made by Xiang Linbing (1905-1982, originally named Hua Nan), that is, “the folk form is the central source for creating a national form.” In his view, “new substance is originated from the old one,” and thus, “the creation of a national form” belongs not to “the law of Wai Li,” or the law of transplanting foreign forms, but to the “critical application” of the “folk form.”³ He even argues that “if the new form originated not in the self-denial of the old one, it would be nothing but an unpractical and impossible aim”⁴. His view, however, is challenged by other scholars like Guo Moruo, He Qifang, and Hu Feng, all of who contend that the creation of a national literary form is not in antithesis to the learning of the foreign forms, which, as they argue, are helpful for such kind of creation. They also stress the importance of introducing outstanding foreign literary and artistic works. Viewing the debate in the literary-historical perspective, the debate is of significant theoretical values, because it concerns not only about the orientation of Chinese literature, but also about how to properly evaluate new literature and art since the Movement.

It has been sixty years since Mo Yan put forward that “striking backward from western literature to folk literature,”⁵ in the postscript of his contemporary masterpiece *Sandalwood Punishment* (2001), which has been highly appreciated as “a real national novel.” Such aesthetic standpoint of returning to folk culture not only echos with Xiang’s argument, but also corresponds to contemporary trend represented by the popularity of *Liu Sanjie* (or *The Third Sister of Liu’s Family*) and the nation-based view that “the more it is ethical, the more it is international.” It

1 Hu Feng, “Postscript of ‘On National Form,’” *The Complete Works of Hu Feng (Vol. II)* (Wuhan: Hubei People’s Press, 1999) 790.

2 Hu Feng, “Preface of ‘On National Form,’” *The Complete Works of Hu Feng (Vol. II)* (Wuhan: Hubei People’s Press, 1999) 711.

3 Xiang Linbing, “On the Central Source of ‘National Form,’” Xu Naixiang, ed., *Materials of the Discussion of the “National Form” of Literature* (Beijing: Intellectual Property Publishing House, 2010), 156, 158.

4 Xiang Linbing, “The Application of Folk Form and the Creation of National Form,” *Sino-Soviet Culture (Vol. 6)*, 1940(1).

5 Mo Yan, “Postscript of *Sandalwood Punishment*,” *Sandalwood Punishment* (Beijing: Writer Press, 2012): 515-516.

also manifests that the creation of a national form is still of theoretical and practical significance, and is thus worth contemplation and exploration in a new social-cultural context.

The Debate over National Form is not a “Theoretical Tragedy”

After the break out of the War, one of the functions of literature was to mobilize the people, therefore, a proper national form became a crucial and deeply-concerned issue. To stress the national form was to intensify national consciousness, which was also based on the need of mobilizing the masses during wartime. The debate was based on the fact that both sides agreed with the necessity of creating a new form, and thus, it focused not on whether a form should be created or not, but on how to create it and how to popularize the literature and art.

Looking back into the intellectual history of modern Chinese literature, one knows that Mao Zedong proposed the concept of “national form” at a comparatively earlier period. In 1938, influenced by the Soviet ideology, that “the content should be socialist and the form nationalist,”¹ Mao Zedong, in the report entitled “the Position of the Chinese Communist Party in the National War,” stated that “‘the international content’ should be closely combined with ‘the national form,’ so as to create a Chinese style that is welcomed by the Chinese people.”² In the February of 1940, he further pointed out in a report entitled “on New Democracy,” that “the form should be nationalistic and the content new democratic, both of which constitute today’s new culture.”³ In the March of 1940, Xiang Linbing, in his article “on the Central Source of ‘National Form’,” which was published on *The Dagong Daily* in Chongqing, maintained that “a national form for the popular literature and art,” or “the national form for Chinese style and Chinese manner” should be created to support “the political practice of resisting against Japan and of building a new country.”⁴ Furthermore, as he pointed out, “there existed two forms of literature and art previously: one was the new form since the Movement while the other the folk

1 Guo Moruo, “Discussion on ‘National Form’,” *Materials of the Discussion of the “National Form” of Literature*, p. 254.

2 Mao Zedong, “The Position of the Chinese Communist Party in the National War,” *Materials of the Discussion of the “National Form” of Literature*, p. 2.

3 Mao Zedong, “On New Democracy,” *Materials of the Discussion of the “National Form” of Literature*, p. 126.

4 Xiang Linbing, “On the Central Source of ‘National Form’,” *Materials of the Discussion of the “National Form” of Literature*, pp. 158-159.

form widely known among the people,”¹ and between the two, the latter should be the “central source” for the national form, while the former should only occupy a “minor position.”²

According to Hu Feng, Xiang’s argument forms a sharp opposition to traditional orientation of new literature and art, and thus becomes the main target of the debate³. Hu speaks little of the level and effects of the debate, and he summarizes the intellectual limit of both sides as two “theoretical tragedies.” The first refers to Xiang’s understanding of literature, which, in his mind, is too formalistic because it is based on mere concepts. He further points out that Xiang attempts to solve the problem with self-contained dialectics, which, however, unfortunately breaks away from both the society and the “pattern on the paper” in the actual literary development, and thus forms the “wrong direction” which is harmful to the development⁴. The second refers to the fact that the objectors did not surpass Xiang’s theoretical logic and were emmeshed in his argument concerning the “central source,” rather than solving the problem from the real struggle. The results of this fact were twofold: on the one hand, the real feature of the national form was not highlighted, while on the other, combat, the more urgent task, was nevertheless cast aside, since most energy had been diverted to the metaphysical discussion.⁵ Therefore, Hu Feng suggests that the creation of national form not be separated from the literary and artistic development and the actual struggle in real life. For him, this should be the attitude of both sides, so long as they have to deal with both the “poor” “legacy of the theories” and the “urgent” “task of real struggle for literature and art.”⁶

Hu Feng’s claim of linking theory with practice is admittedly blameless, but his theory of “theoretical tragedies,” however, is one-sided. First of all, the directive function of literary theories could not be fulfilled at one stroke, because, different from mechanical operation, creative writing requires not the mechanical execution of certain instructions, but the enthusiasm, talents and inspirations, apart

1 Xiang Linbing, “On the Central Source of ‘National Form’,” *Materials of the Discussion of the “National Form” of Literature*, p. 156.

2 Xiang Linbing, “On the Central Source of ‘National Form’,” *Materials of the Discussion of the “National Form” of Literature*, p. 158.

3 Hu Feng, “Postscript of ‘On National Form’,” *The Complete Works of Hu Feng (Vol. II)*, pp. 790-791.

4 Hu Feng, “Postscript of ‘On National Form’,” *The Complete Works of Hu Feng (Vol. II)*, pp. 790-791.

5 Hu Feng, “Postscript of ‘On National Form’,” *The Complete Works of Hu Feng (Vol. II)*, p. 791.

6 Hu Feng, “Postscript of ‘On National Form’,” *The Complete Works of Hu Feng (Vol. II)*, p. 791.

from the accumulated life experience and rich emotions. The author's temperament, experience, interests, and self-cultivation decide both his/her creative orientation and style. An author has to select, accept and gradually digest the theories as guidance, and nobody could force him/her to create immediately a masterpiece by abiding by such literary direction as nationalization and popularization, nor could he/she deny the theoretical values of the debate *per se* simply because it fails to realize immediately its guiding function. Besides, there are admittedly a large amount of "metaphysical discussion," which, however, is not a reverie divorced from reality, because it on the one hand exerts an actual influence on the writing practice and thus leads to many popular literary classics, like *The Song of Ma Fantuo*, and Zhao Shuli's *Peasant Takes a Wife*. On the other hand, much metaphysical discussion is indeed based on actual experiences, with the urgent "task of real struggle for literature and art" as the aim, just as Guang Weiran points out in his exploration of the national form,

Our fiction should make its way into the masses, which requires that the novelist be emancipated from his/her desk, and to "give as many lectures" to the masses on the square, that is to say, literary creation should adopt the oral speaking form, becoming "lecture literature" or "confession literature," in an aim to amplify its effect. As for the reportage and the quick sketch growing from the wartime, the author should improve their flexibility and artistry, extending their application to every farm, factory, school and military camp. As for applying and overcoming the old customs, I would suggest that the opening introduction and the art of composition in *The True Story of Ah Q* by Lu Xun has set a good example. As for the novelette, "The Story of a Wild Girl" by Li Qun (published on *Literary and Artistic Front*), in my opinion, represents the embryonic form of the national form as regards its vivid application of the old form revealed in the opening introduction, its adventure of adopting the technique of confession, and its smart way of finishing the fiction with filmic artistry, although it still has many drawbacks.¹

Guang Weiran makes the mission of literature after the War as its starting point by taking into account the actual development of literature, and he also specifies the methods of creating a national form for fictions, like adopting the form of "reading out loud" from "speech literature" and "confession literature," learning

1 Guang Weiran, "On the National Form of Literature and Art," *Materials of the Discussion of the "National Form" of Literature*, p. 246.

from the opening introduction in old novels, introducing the confession style, and even applying the newly developed artistic techniques from film industry. If “the Story of a Wild Girl,” as raised by Guang, has outlined an embryonic form of the nationalized fiction, and Zhao Shuli’s novels like *Peasant Takes a Wife* has marked its preliminary maturity, then *Sandalwood Death* and *Fatigue of Life and Death* by Mo Yan should be regarded as a breakthrough. Talking about the artistic features of *Sandalwood Death*, Mo Yan humbly remarks,

Just like Maoqiang (a local drama in Gaomi) can only be appreciated by the toiling masses on the square, only the readers who are comparatively fond of folk culture would appreciate my novel. It may be better if it is to be read out loud by someone with a hoarse voice when surrounded by the masses. Such kind of reading activity requires the “participation” of not only one’s ears, but also one’s body and soul. In order to make it more adaptable to such way of reading, much of the novel is purposely written in rhythm, and dramatic narrative method is also adopted intentionally, tinted with certain exaggeration and magnificence, aiming to make it easy to read and understand.¹

Obviously, Mo’s aesthetic appealing to popularize the novels and make them adaptable to the square, has developed Guang’s idea of “emancipation from the desk” in a new historical-cultural context.

To summarize, the debate which lasts for half a year, has not only deepened the theoretical studies of literature and art regarding forms, sources and functions, but also enriches modern aesthetic thoughts and advances people’s understanding of folk culture, literature and art arising from the Movement, and their understanding of both the relationship between the new and the old literature, and between Chinese literature and foreign literature. Therefore, it is far from being a “theoretical tragedy,” rather, it was and still is of significant theoretical values. As regards the discussion centering on the crucial point of the “central source,” this debate has explored two key issues: one is the transplant of the foreign form while the other the utilization of the old form, both of which will be further discussed as follows.

Proposing the Law of “Wai Li” and of “Struggle between the New Form and the Old Form”

Talking about the relationship between Chinese new literature and the old/foreign form, Guo Moruo proposes an answer quite dialectics,

1 Mo Yan, “Postscript of *Sandalwood Punishment*,” *Sandalwood Punishment*, p. 515.

In fact, Chinese new literature and art can be regarded as a synthetic unity of two traditional forms, one of which is created by the folk and the other by the scholar-bureaucrat in feudal China, and then, popularity as acquired from the former and artistry as from the latter, accompanied by some foreign elements, form another synthetic unity of the old form and the foreign form.¹

For Guo, Chinese new literature and art have led to “two kinds of unity”: one is the unity of the two old forms created by “the folk” and “the scholar-bureaucrat,” while the other the unity of “the old form” and “the foreign form.” Compared with Xiang’s view, Guo’s view is more flexible and closer to reality.

A little different from Guo’s approach, which is mediate rather than radical, Hu Feng, citing the view of Fritsch (former Soviet literary theorist, 1870-1929), points out that the new form is based on two contradictory laws: one is “the law of Wai Li” and the other “the law of struggle between the new form and the old form”² (hereafter referred to as “law of struggle”). The so-called “law of Wai Li” means that a country accepts and transplants the artistic forms produced by another country with similar social condition, because such foreign form is “suitable for reflecting the reality at home”³. Hu Feng suggests that this law is not a mere reverie because related examples abounded in history. For instance, “ode” thrived in the mid-18th century France, and yet prospered in Russia one hundred years later, because both France ruled by Louis XIV and Russia by Ekaterina Pavlovna were immersed in an atmosphere of empire glory and heroism. Such lyric forms as “ode” are full of hyperboles, metaphors and rhetoric, all of which correspond with the needs of that epoch, and thus manage to prosper in France and Russia one after another. Furthermore, the influence of Alfred de Vigny (1797-1863, a French romantic poet) and George Gordon Byron (1788-1824, a British poet) on Mikhail Yuryevich Lermontov (1814-1841, a Russian romantic writer), and that of George Sand (1804-1876, a French novelist) on Ivan Sergeevich Turgenev (1818-1883, a Russian novelist), have also proved the law of “Wai Li.”⁴

Hu Feng suggests that Xiang has researched the theory of “the transplant of novel form” by Georgi V. Plekhanov and Xiang’s view is similar to that of Fritsch.

1 Guo Moruo, “Discussion on ‘National Form’,” *Materials of the Discussion of the “National Form” of Literature*, p. 256.

2 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, pp. 731, 735.

3 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 735.

4 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, pp. 731-733.

However, in his mind, it is a pity that although Plekhanov has brought to light how and to what extent literature and art could be transplanted to a foreign country, Xiang still one-sidedly insists that “the law of Wai Li” could not be applied to the creation of a national form, because “the British imitators can never be on equal term with the French creators” and so on.¹ This view does not conform to the exchange history of world literature, and what is worse, it would prevent the national literature from learning from foreign literature, which is indeed harmful and wrong. Viewing from the origin and development of Chinese new literature, the new form actually has profited from the foreign form. An eloquent example of how “the law of Wai Li” works from the perspective of modern Sino-foreign literary relationship comes from Lu Xun, who mentions that one feature of his novels is the “uniqueness of the form,” which is benefited from techniques adopted in foreign literature, like the modernist techniques.

The so-called “law of struggle” refers to the fact that the new-rising social stratum forms its own form and style by denying the old ones created by previous dominant social class which has lost its power. Hu Feng expounds that every ideological trend and every new form created and prospered in the history, had fought fiercely against the old ones.² This view could be regarded as a new one after the theory of “every dynasty has its own style” in the Yuan and Ming Dynasties, and the theory of literary revolution/evolution during the New-Culture Movement. In 1912, Wang Guowei, in his preface of a book titled “a Study on the Opera in the Song and Yuan Dynasties,” stated that “every dynasty has its own style, Chu Sao, Han Fu, Parallel of the Six Dynasties, Tang Poetry, Song Poetry, and Yuan Songs, each of which represents the literary style of a dynasty and cannot be surpassed by later generations”³. This is a conclusion of the theory of “every dynasty has its own style” since the Yuan and Ming Dynasties, and has basically not transcended Liu Xie’s theoretical framework that “the literature changes with varying social customs while politics leads to the vicissitude of society.”⁴ In 1917, Hu Shi proposed in the article “on the Improvement of Literature,” that literature in each dynasty “changes with the times and each has its own strong points. We should

1 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, pp. 733-734.

2 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 735.

3 Wang Guowei, “Author’s Preface of ‘A Study on the Opera in the Song and Yuan Dynasties,’” *The History of the Opera in the Song and Yuan Dynasties (Introduction by Ye Changhai)* (Shanghai: Shanghai Classics Publishing House, 1998) 1.

4 Zhou Zhenfu, “Modern Translation of *Wenxin Diaolong*,” (Beijing: Chung Hwa Book Company, 1986) 404.

view them from the perspective of evolutionary history, rather than regarding all literature created by ancient people as better than ours.” He raised an example, “the works by Zuo Qiuming and Sima Qian are just marvelous, and yet is *The Water Margin* by Shi Nai’an worse than theirs? The poems anthologized in *San Du* and *Liang Jing* are great enough, and yet they pale before the Tang and Song poetry.”¹ Hu’s view adds new element of “evolution” to traditional views, which apparently transcends the cognitive horizon of previous generations. Hu Shi further suggested, that “Chinese literary history is but a history about the super-session and renewal of literary forms, that is, a history about the ‘living literature’ which is to replace the ‘dead one’ at any time,”² and thus, “today’s literature should take vernacular literature as orthodox.”³ Objectively speaking, the struggle between the vernacular style and the classical style was fierce between the new form/ideological trend and the old ones. What Chen Duxiu said, that “now if one wants to revolutionize the politics, one has to revolutionize the literature that shapes the spiritual world of the politicians who are going to revolutionize it,”⁴ best exemplified the deep connection of literary revolution with ideological and political revolution.

After all, however, the New-Culture Movement is an ideological and cultural movement about the fundamental changes of Chinese society. During this process, there is a fierce struggle between the new and the old, which is a corollary of the trend of times, rather than a reflection of the universal law. Seeing from the development of Sino-foreign literary history, it is natural to see the new form and the old one takes turn, but the relationship between the two is not that incompatible as fire and water. When the radical ideology wanes, the new form could not only

1 Hu Shi, “On the Improvement of Literature,” *Academic Anthology of Hu Shi: New Literature Movement*, Jiang Yihua, ed., (Beijing: Zhonghua Book Company, 1993) 21. Hu Shi had mentioned a similar point in the article “The Concept of Literary Evolution and the Improvement of Drama,” that “literature offers a kind of record of the living status of human life. Life changes with the development of society, so is literature, and that’s why each generation has its own literature, be it Zhou-Qin Dynasties, Han-Wei Dynasties, Tang Dynasty, Song Dynasty, or Yuan Dynasty.

The author of *The Book of 300 Songs* was not able to compose *Anthology of Yuan Opera*, and vice versa. Likewise, Zuo Qiuming was not able to compose *The Water Margin* while *Chunqiu Zuozhuan* was an impossible task for Shi Nai’an. (See Jiang Yihua, ed., *Academic Anthology of Hu Shi: New Literature Movement*, pp. 74-75.)

2 Hu Shi, “Driven to Join the Liangshan Rebels,” *Academic Anthology of Hu Shi: New Literature Movement*, p.200.

3 Hu Shi, “On the Improvement of Literature,” *Academic Anthology of Hu Shi: New Literature Movement*, p.28.

4 Chen Duxiu, “The Theory of Literary Revolution,” *Duxiu Text* (Hefei: Anhui People’s Publishing House, 1987) 98.

coexist peacefully with the old one, but also strives for creative development by learning greatly from the latter, which reveals the limit of “the law of the struggle” by Hu Feng.

Other scholars like Ai Siqi and Xia Zhaobin also comment on the old form and on how to utilize it, and theirs seem much milder when compared with that of Hu’s, which is more competitive, as Ai Siqi said:

The Chinese old literary form does not divorce from the reality, rather, it provides a special technique for reflecting it, which is characterized by representing the essential respects in a hyperbole way, and the most obvious manifestation could be found in old novels and dramas. In this sense, the old form could be regarded as not realistic, but “freehand,” a term borrowed from traditional Chinese painting...Its exaggeration allows it to reflect the reality mightily, and to magnify its crucial points, and thus, it won the favor of the masses. It goes without saying that the art requires not to reflect the reality in a nuanced way, but to catch it and hold it. In this sense, the old form has something to boast of...To grasp the old form, one must get its “reasonable kernel,” that is, stressing the important points and adopting a moderate degree of hyperbole technique...¹

And also, according to Xia Zhaobin,

One cannot deny that most Chinese readers are still greatly influenced by *Yue Fei*, *Xue Rengui* *Levy East*, *The Cases of Judge Bao*, and *Chinese Sherlock Shi*, the form of which, however, is not mature enough, and the content virulent, and yet they have all grown up from Chinese soil in the past thousands of years. Therefore, they belong to China and are especially capable of discovering unique Chinese national hue. To establish a national form for a novel, we have to pay attention to the powers of such traditional novel and its form, and thus, we should first of all use some techniques adopted by them, such as the technique of describing some characters, and the words or sentences that move the Chinese so much.²

1 Ai Siqi, “On the Basic Principles of Applying the Old forms,” *Materials of the Discussion of the ‘National Form’ of Literature*, pp. 13-14.

2 Xia Zhaobin, “On the Construction of a National Form for Literature and Art,” quoted in Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 754.

As we can see, both Ai Siqi and Xia Zhaobin maintain that literary legacy should be carried on in a reasonable basis, such as “stressing the important points and adopting a moderate degree of hyperbole technique” “the technique of describing some characters” and “the words or sentences that move the Chinese so much” in old novels and dramas. According to Xia Zhaobin, although such classics as *Yue Fei* and *The Cases of Judge Bao* are far from being flawless in terms of both form and content, they grow up in Chinese soil, and thus they are especially tinted with national colors, whose power over the Chinese masses could not be ignored. Therefore, to establish a national form for the novels, the old form should be referred to and taken advantage of.

Reviewing the history of modern Chinese literature, one would find that the most popular writers with the widest influence are not the most famous figures in the field of new literature, like Lu Xun, Guo Moruo, Mao Dun, Ba Jin, Lao She and Cao Yu, but Zhang Henshui, the “great master of the chapter fictions.” It was Zhang’s *Bring Your Smile Along* that caused an uproar, rather than *Diary of a Madman* by Lu Xun, or *Goddess* or *Cai Wenji* by Guo Moruo, or *Midnight* by Mao Dun, or *Torrent Trilogy* by Ba Jin, or *Four Generations Living Together* by Lao She, nor *Thunderstorm* by Cao Yu. Zhang’s novel unprecedentedly breaks the record with over 20 editions and six film versions. Zhang’s other novels that have integrated the form of traditional Chinese novels with that of the western ones, such as *An Unofficial History of Chuming* and *The Story of a Noble Family*, have also swayed the whole country. Among those novels, *The Story of a Noble Family* is about a history of rise and fall of a noble family in the Republic of China, with the pains and sorrows between Jin Yanxi, the son of the Prime Minister, and Leng Qingqiu, a female student from a humble family, as the thread. This novel is tinted with a dense sense of aristocratic literature and a rich color of classical romance, which is sufficient to prove that the old form is still of vitality and that the classics and old form remain still the aesthetic taste of the newly rising stratum.

The Creation of a National Form and New Literature and Art since the May Fourth Movement

Seeing from the fundamental question of creating a national form, Guo’s view of “synthetic unity” and Hu Feng’s “law of Wai Li” could be regarded as two simple and clear theoretical guidelines, which are of practical values, and are also in line with the literary theories. According to Guo, the new form since the Movement is based on the integration of the two old forms (one by the folk and the other by the scholar-bureaucrat) and the foreign form. Guo’s view demonstrates that the

nationalized and popularized folklore and the so-called “aristocratic literature” and “mountain-forest literature” by Chen Duxiu are of complementary advantages and could coexist with each other. It also reveals that the creation of a national form relies on the foreign form, and obviously, Guo is against the two radical positions of resisting the foreign form and the old form by the scholar-bureaucrat. Therefore, his theory of “forming a synthetic unity” not only denies Xiang Linbing’s partial view that “the creation of a national form belonged not to ‘Wai Li,’”¹ but also revises the theory of “literary revolution” by Chen Duxiu and “the law of the struggle” by Hu Feng. However, although Guo Moruo and Hu Feng see the relationship between the new literature and old one differently, they show similar concerns about the relationship between the new and the foreign literature, and also about the question concerning whether new form should conform to “the law of Wai Li.”

According to Hu Feng, the exploration of a “national form” reveals that the “realistic tradition since the Movement” takes its initiative to strive for development under new circumstance. The “May Fourth tradition” is a force combining with the actual national development which strives for emancipation and progress, and it “takes the initiative to be guided by the revolutionary experience of world literature and art to improve itself, and to be cultivated by the fast-developing national reality to enrich itself.”² Then he proposes that Xiang’s view about “central source” or the theory of “old bottles for new wine”³ by Zhao Xiangli and the others are problematic because both, in his mind, violate the rule of “the content decides the form.” According to this viewpoint, specific form should not divorce from its corresponding content and be utilized only as imported product, and thus, the acceptable form should not be like a “bottle,” but the one that, in the author’s mind, conforms to the internal rules of the reality and to his/her comprehensive understanding of the reality. Since the creation of a “national form” aims to “more artistically represent the ‘content of new democracy,’”⁴ and to create “Chinese style” and “the optimistic ideological or artistic force of new China,”⁵ one should learn from the folk and traditional literature and art, with intensifying understanding of life, opinions, the words of the Chinese people and their way of conveying their emotions. On the other hand, one should also overcome the defects of the new literature and art by actively accepting “the experience of international

1 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 729.

2 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, pp. 769-770.

3 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 763.

4 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 788.

5 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 773.

revolutionary literature” and probing into the “living reality”¹. However, such learning aims not to revitalize the old tradition, but to “overcome them,” and to “create new content and new form.”² To overcome the defects of new literature and art, is not to “throw it away, or to replace it with another thing, but to make it healthier and develop better.”³

To conclude, for Hu Feng, the central resource of national form is not “the folk form,” but the “experience of international revolutionary literature and art” and the “fast-developing national reality.” The essential aim of creating it, is to promote what he understands as the New-Culture Movement and new literature and art since the Movement, rather than to revitalize the folk or traditional ones. Compared with other views, Hu Feng’s criticism of Xiang’s view, which stresses too much the folk form while degrades the new ones⁴, is fiercer, but is more comprehensive and systematic. His treatise “on the National Form” could indeed be regarded as a conclusion of the debate. However, the fairest and the most objective discussion about the relationship between the national form and the other forms, was made by Pan Zinian,

On the one hand, the national form should learn a lot from folk literature and art and classical ones, such as the fine language, grammar, tones, writing

1 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, pp. 773-774.

2 Hu Feng, “On National Form,” *The Complete Works of Hu Feng (Vol. II)*, p. 774. Besides, Hu Feng even held that for the new realistic literature and art, all old forms (including that created by the folk and that by the scholar-bureaucrat) had paved the road for the new form, but they essentially functioned as a resisting force. Therefore, in his mind, people should persistently strive for intensifying the leading function of the new realistic literature and art, to “reasonably eliminate” these old forms revitalized from the national war. (See Hu Feng, “the Seventh Part of ‘On National Form’,” *The Complete Works of Hu Feng (Vol. II)*, pp. 771-772.

3 Hu Feng, “the Seventh Part of ‘On National Form’,” *The Complete Works of Hu Feng (Vol. II)*, p. 774.

4 Xiang quoted “An Investigation of the Current Literary and Artistic Movement” by Huang Sheng and commented, “new literature and art since the Movement, catered for ‘university professors, bank brokers, dancers, politicians, and other petty bourgeoisies’.” (See Xiang Linbing, “On the Central Source of ‘National Form’,” *Academic Anthology of Hu Feng (Vol. II)*, p. 158; Xu Naixiang, ed., *Materials of the Discussion of the “National Form” of Literature*, p.45.) As early as 1932, Qu Qiubai argued, “The masses seemed to learn nothing from the New-Culture Movement. New literature and art since that time was just westernized ones for the genteel stratum, which the working people had not that good fortune to enjoy.” (See Qu Qiubai, “May Fourth and the New Cultural Revolution,” *The Selection of Historical Materials of Literary Movement (Vol. II)* (Shanghai Education Publishing House, 1979) 368.

techniques and styles, while on the other, it needs to learn from the excellent new literature and art since the Movement. All these are the sources for a national form and it is hard to differentiate which is the center and which not.¹

From the perspective of literary history, the debate concerns about the questions of literary sources, the social functions of literature, and the nationality and cosmopolitanism of literature, and thus, it is of universal theoretical significance which has transcended a specific historical background and political objectives. From these questions, there comes another one that is also crucial to the development of Chinese literature: how to create a new literature that is capable of representing the new reality? The exploration *per se* will undoubtedly lead to other debates — say, the antithesis between westernization and localization, between nationality and cosmopolitanism, between popularization and elitism, and between the folk position and the intellectual position--and would trigger a new discussion over the relationship between the creativity of Chinese literature and folk culture, and between classical literature and foreign ones.² In other words, the debate has become a historical event, and yet the exploration has far from being finished, which will continue to the new century.

If Chinese literature in the new era is oriented towards the network, the fantasy, the petty bourgeoisie and the folk, then we could say that Mo Yan's declamation of "striding backwards from western literature" and his learning from the narrative structure of folklore, the chapter-style fictions, and the popular artistic forms, represent properly the orientation of Chinese literature towards folk literature, which is a question worth further exploration.

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1 Pan Zinian, "Inheriting the Revolutionary Tradition of May Fourth and Developing New Democratic Culture," quoted in Hu Feng, "On National Form," *The Complete Works of Hu Feng (VOL. II)*, pp. 774-775.

2 For instance, in 1940s, there appeared a trend for novel creation in the liberated area, represented by the "potato" Group, authors from the liberated area remained dominant in Chinese literature during the 17 years after liberation. Around 1960, there also appeared a trend of the popular folk literature and art, and works like *Liu Sanjie* became the orthodox.

Narrating Crises and Disasters in Contemporary Chinese Fiction

Yang Jincai

Abstract: Questions of crises occupy a central place in recent Chinese fiction. On one hand, novelists seek ways to develop a new sense of crises for those dispossessed by rural reform and nation-wide economic exploitation. Mo Yan's *Frog*, Yu Hua's *The Seventh Day*, Yan Lianke's *Enjoyment and Dream of Ding Village*, and Liu Qingbang's *Red Coal*, etc., exemplify this concern. On the other hand, numerous writers struggle to exhibit the deteriorating facet of local Chinese government that characterizes corruption and ill practice. Thus, while literary critics have celebrated the freedom to explore a broader range of subjects than corruption and bureaucracy, a dominant strain in the fiction of the past 16 years has urged the reader to look into the nuances of guilt and responsibility. Moral depravity, profit driven material pursuit, disenchantments and political interrogations have marked an era of paramount ethical issues that might embody global crises and disasters. Drawing on postsocialism, environmentalism, and social transformation, I will explore how contemporary Chinese novelists have complicated an ethics based on global human disasters.

Key words: Contemporary Chinese fiction; social transformation; human disasters; political interrogation; moral crisis

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标题: 当代中国小说的危机与灾难言说

内容摘要: 危机问题在中国新世纪小说中占据中心位席。一方面，小说家们试图反映当代中国一些人的危机感，他们因农村改革和全国性的经济运作而变得一无所有。莫言的《蛙》、余华的《第七天》、阎连科的《受活》和《丁庄梦》、刘庆邦的《红煤》等均对此予以关注；另一方面，众多的小说家们竭力呈现中国地方政府执政水平恶化的一面，其特征主要表现为腐败和不作为。对此，文学批评界反应及时，即刻觉得有了更多更广的可以言说的话题，甚至可以不受腐败和官僚体制两大话题制约。与此同时，过去 16 年创作的小

说呈现出一股显力促使读者细察过失和责任之间的细微差别。道德腐败、利益驱使下的物质追求、理想破灭和政治质询标志着社会进入一个伦理议题居首的新时代，也折射出全球性危机和灾难的影子。本文试图从伦理批评、环境保护论和社会转型论等视角，探寻当代中国小说家们如何使这一建立在全球性人类灾难基础之上的伦理主题更趋复杂化。

关键词：当代中国小说；社会转型；人类灾难；道德危机

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China is nowadays featured by an explosive capitalist growth, multiple social contradictions, and various strategies of re-linking with global capitalism, exhibiting an apparent lack of coherence between theory and practice. Its advancement is accompanied by a vast transformation of the social body into emerging interest groups. What we have of China's increased globalization is in fact one of disturbing inadequacies that "has kept rural China ever on the edge in producing interpretations of what China's transformation means, ranging from coming collapse to inimical rise, with uncertainty and ambivalence in between."¹

Chinese writers are becoming increasingly aware of the changing nature of risk in social transformation resulting from economic reform and the shifting landscape of the sociological study of disasters. They have begun to assess China's adoption of capitalism and predict its future, offering a far controversial picture of China in transition from communism to a market-oriented economy. As Minxin Pei has observed, China is experiencing an enormously daunting social transformation. On one hand, he argues, "rapid economic growth, massive social transformations, and relative political stability in the past two decades provide grounds for optimism." On the other, he continues, "the growing gap between the country's increasingly open and market-oriented economy and its closed political system, along with the increasing strains generated by an unprecedented pace of socioeconomic change, raise concerns about the sustainability of Chinese policy."² Many Chinese writers are voicing their doubts, concerns and bewilderment with their stark consciousness of uncertainty and catastrophe which may be related to China's fast economic and social developments. By exploring their thematic concerns, one may be amazed to find two things: first, that the period is one of healthy production of narrative

1 Jincai Yang, "Political Interrogation in Contemporary Chinese Fiction," *Neohelicon* 41.1 (June 2014) 155.

2 Minxin Pei, "Contradictory Trends and Confusing Signals", *Journal of Democracy* 14.1 (2003) 73.

fiction seen by the vast number of novels produced in China during the past decade or so and fuelled by the rise of popular culture and commercial globalization. What is striking is the tone of narration in these works now “fully recovered from the sentimental retrospection and naïve, simplistic socialist realism in the decades following the end of the Cultural Revolution.”¹ Su Tong’s *The Boat to Redemption*, Ge Fei’s *Invisible Clothes*, and Bi Feiyu’s *The Moon Opera* are all cases in point. They have differed largely from the Post-Mao era in which fiction such as Gu Hua’s *Hibiscus Town* was dominated by sentimental retrospection following the doctrine of reform as well as a memory of scars. Similar undertakings have featured “scar literature” writers, such as Liu Xinwu and Zhang Xianliang, who were primarily concerned about writing, reality and imagination. Instead of cultivating social and political protest, they exposed the evils and “scars” of the Cultural Revolution and used literature to propagate political change and highlight individual value.

The second main characteristic of Chinese fiction in the 21st century is its sheer diversity featured by issues of globalization, hi-tech, urbanization, marketing economy, internet and poverty and their impact upon the lowly common Chinese such as the disadvantaged rural farmers. A dominant strain in the fiction of the past 17 years has urged the reader to look into the nuances of guilt and responsibility. Su Tong, for example, cast a group of teenage protagonists in his *Walking for a Kilometer along the Railway* and *The Stained Glass* who attempt to save themselves by refusing to take part in the disordered activities. By depicting leaving home as a solution, such authors often draw on a well-established trope in which a symbolic journey of growth and change is used to address a crisis. Seductions in Yan Lianke’s *Serve the People*, betrayals in Yu Hua’s *The Seventh Day* and disenchantments in Yan Lianke’s *Ballad, Hymn, Ode* and *The Four Books* and political interrogations in Mo Yan’s *Frog* and Yan Lianke’s *Enjoyment* also translated as *Lenin’s Kisses* have marked an era of paramount ethical issues that might embody global crises and disasters. These Avant-garde and experimental writings have been associated with a wide range of political perspectives and agendas, including emancipatory struggles for social justice, ideological quest, criticism of repressive politics, and allegedly apolitical forms of creative expression. Writers in the new century have diverged from the conventional way to speak for the dominant ideology of the reform as many did during Deng Xiaoping’s

1 Lei Da, “Ershishiji jinsanshinian changpianxiaoshuo shenmeijingyan fansi” (Reflections on the Aesthetic Experience of 30 year novels in the 20th Century), *Xiaoshuopinglun (Fiction Review)* 1 (2009) 11.

reign.¹ They have shifted their attention to the shaded side of contemporary China, writing about the marginalized and reflecting on crises that accompany the existing social order. Efforts have been made to explore various disasters, displaying a reengagement with a realist tradition. Their voice is harsh, interrogative, but heart-wrenching. Thus, I will examine how contemporary Chinese writers write up human disasters characteristic of political, moral and environmental crises.

Political Interrogation

At its political level, contemporary Chinese fiction attempts to question rather than affirm their ongoing political status quo. Many writers have to respond in various ways to the socio-historical contexts and ideological agenda underlying a persistent interest in material success and wealth pursuit. Different from their predecessors in the 1980s and early 1990s who simply look back and portray life in rural and urban China affected by the Cultural Revolution and its upheavals, Chinese writers in the 2000s are more socially critical, exploring mechanism of the present society. Yu Hua, for example, tries to tell the world what has happened to China. According to Yu, Chinese people today seem to walk in a world “entangled between a scene of feasting and revelry and one of broken walls and ruined curbs.”² In his observation, contemporary Chinese life is no less than a stage of inflicted pain. Yu Hua is not alone when he once uttered that “various social issues and concerns have permeated all walks of life in China today but they are obviously blinded by a kind of optimism originating from the nation’s high speed of economic development.”³ Chinese modernity carries a double face that juxtaposes modern urbanization to a backward, remote countryside hiding its ugly side. “At the heart of the problem of Chinese modernism lies modernity and at the base of a purportedly stylistic or formal procedure lies also a political dimension, a social meaning.”⁴ At first glance, contemporary Chinese fiction tends to distance itself from its previous undertakings which mainly followed the political agenda of their time and tried to single out their political correctness in reaching a right stance exactly required of the dominant

1 Many writers in the 1980s hailed the Chinese reform and offered their salient critical stances in rebuking the Cultural Revolution. Gu Hua, Li Guowen and Zhang Jie are such writers whose well-known novels are among many *Hibiscus Town* (by Gu Hua), *Spring in Winter* (by Li Guowen) and *Heavy Wings* (by Zhang Jie).

2 Yu Hua, qtd. in Liu Ke, “Yuhua zicheng yao wei zhengzhi xiezuo”(“Yu Hua’s Claim for Writing Politics”), *Shidaizhoubao (Times Weekly)*, June 28, 2013.

3 Yu Hua, qtd. in Zhou Mingquan, “Ping Yu Hua xinzuo diqitian” (On Yu Hua’s The Seventh Day), *Dangdai zuojia pinglun (Contemporary Writers Review)* 6 (2013) 122.

4 Jincai Yang, “Political Interrogation in Contemporary Chinese Fiction,” 151.

ideology.¹

The release of Yu's *The Seventh Day* enhanced the controversy over China's politics of modernization. The novel stands as a burlesque criticizing China's reality by way of its absurd narrative. Inventive, playful, dark and disturbing, it tells of vivid tragic scenes in contemporary China typified by a 41-year-old man named Yang Fei who, recently dead, receives a notice that instructs him to show up for his own funeral before 9:00 AM.² Known for his belligerent condemnations of the horrors of life in his writing, Yu Hua is capable of weaving fragmented narrative sequences in which twisted syntax, grotesque images and metaphors abound. Here again lies his theme "to live", implying an even more desperate tone.

Yu Hua's harsh criticism finds its resonance in Yan Lianke's *Enjoyment* which also critiques Chinese reality of peasant grievances and the devastation under local government manipulation. In reality, groups of Chinese such as the rural farmers are often abandoned and ignored during the process of China's modernization. It is insightful in the way in which contemporary China is subtly examined and judged. In his observation of reality Yan Lianke criticizes Chinese modernity, exposing social inadequacies. So does his peer writer Mo Yan who writes in response to political agenda in contemporary China. He deftly "questions the legitimacy of violence committed in the name of revolution by depicting such violence in disturbingly graphic detail."³

Typical cases include his *Life and Death Are Wearing Me Out* and *Frog*. Mo Yan turned to his birthplace a world he knows so well that he can use "aches and pains" to express his love for the wide earth and its peasants. His *Frog* examines the government's policy of family planning in the countryside, drawing a public attention to the systematic campaign for contraception in the countryside. The novel cultivates a woman country doctor named "Gugu" (Aunt) whose activities demonstrate a far more complicated nature of her mind. On the one hand, she acts as a firm executor of family planning policy forcing mothers of children to have induced abortions or a ligation of the oviduct and launching a massive manhunt for runaway pregnant mothers; on the other hand, she saves life, for she on many

1 Many writers in post-Mao China hailed the Chinese reform headed by Deng Xiaoping with little reflection on its outcome however negative it may be. Typical writers are Gu Hua, Li Guowen and Zhang Jie who simply rebuke the Cultural Revolution in favor of the reform. The burgeoning heteroglossia of the literary scene of the 1990s marks the bankruptcy of revolutionary utopianism of the Cultural Revolution replaced by the new idealism of the reform era.

2 Yu Hua, *The Seventh Day* (Xinxing chubanshe[New Star Press], 2013) 3.

3 Shelley W. Chan, *A Subversive Voice in China: the Fictional World of Mo Yan* (Amherst: Cambria Press, 2011) 21.

occasions serves as a midwife, giving life to hundreds of babies. Here Mo Yan allows her to confess herself, but the evidence is largely hidden and paradoxical. He knows well how to handle political controversies in his days, for it is no easy job to address a sensitive subject such as family planning often termed as a basic national policy. Seen from this light, Mo Yan is adventurous in characterizing one who is both an executor of the family planning policy and a killer. Deftly, the novel brands itself a confession while featuring formal and thematic traits that are conspicuously fictional. As Foucault reminds us, “the confession is a ritual of discourse in which the speaking subject is also the subject of the statement”¹ What we have of the fictionalized character Gugu is then one of reflection and despondence illustrated in the play that follows the novel. The fictional confession in the novel straddles intimate discourse with the prevalent common practices of family planning in rural China circulating within a public, making it a prime space within which to imagine a spiritual world of rural resentments against it. In the case of *Frog* discussed here, this kind of narrative Mo Yan employs playfully jettisons the intention of a huge amount of antagonism and spiteful attitudes from the empowered peasants towards the policy, allowing for a measure of criticism within a mass public that directly addresses the issue of human rights accompanied by the policy of family planning and the government’s imposition of power on its subjects.

In all, *The Seventh Day*, *Enjoyment* and *Frog* stand as three fine examples in contemporary Chinese fiction extremely helpful to comprehend China today and its fiction writing. While they are interrogating governmental political maneuvering of local authorities that may have irrationally inflicted on lowly common Chinese various unexpected disasters, Yan Lianke and Mo Yan are both reminding their readers of a wide range of ethical issues of which moral degradation has invaded contemporary Chinese life. Such exploration has not been the subject of wide research due to many reasons, one of which is obviously how a critic should keep a right political stance, for one has to uphold the Party’s leadership. If we look at it closely with respect to the multi-dimensional attitudes of its various authors, Chinese literature produced in the new century provides, apart from its political interrogation, a valuable and notable body of morally instructive fiction in which one might see another great surge in subversive voices.

Responding to a Moral Crisis

Mo Yan is not alone in his efforts to reveal his absorption of and deep

1 Michel Foucault, *The History of Sexuality: An Introduction*, trans. Robert Hurley (New York: Vintage-Random, 1990) 61.

disappointment with reality. His contemporaries like Yu Hua and Yan Lianke are also highly conscious of an ill reality offering their sophisticated satires which showcase their condemnation of social, political and cultural maladies and human weaknesses. The former writes to expose and condemn the barbarities of local authorities. In his *The Seventh Day*, Yu Hua crafts a discerning critique of contemporary Chinese culture through an evocative allegory revealing fates much worse than death. He doesn't shy away from the harshness of modern China, but instead tries to highlight the humanity and kindness of ordinary people, their small everyday struggles, and their refusal to bow before the power of the government. Violence and conspiracies permeate Yu Hua's stories, for example, his "World like Mist" casts a few human characters who are reduced to abstract numbers 2, 4, 6, 7, and so on. The whole story revolves around a car accident and a suspected suicide, dominated by disconnected pieces of dreams, hallucinations, and memories concerning enigmatic characters such as the "driver," the "woman in gray," and 2, 6, 7, and others. By way of his grotesque images and metaphors of bloodshed, death, and weird and absurd dreams, Yu Hua captures an ill society in his unique narrative design which emphatically disrupts the logical and rational order of things.

Yan Lianke offers a far better existential parable that embraces absurdity and nihilism in contemporary post socialist China, arousing in the reader's mind various moral issues. Through his depiction of an ill society filled with insanity and official corruption in his *Dream of Ding Village*, Yan Lianke is in fact approaching Chinese peasants' complex relationship with wealth, power, desire and death. Death caused by blood-selling provides a useful example of how an actual tragic story is interpretative and narrated. It is one of the major thematic concerns in Yan Lianke's fiction displaying his personal sentiment of death: atrocious fear hanging around. Yan successfully transforms it into a deep concern for human survivals and fine points of ideological significance. In the proliferating narratives that seek to establish a more complete definition of human nature, his novels are filled with people who tend toward the ecstatic: they tumble into oblivion, edge toward absence, thin into evanescence.¹ In fact, at the start of a new millennium, Chinese people are becoming more and more confident in their efforts for a national rejuvenation. Notably, this confidence transforms into a drive for the Chinese Dream, immediately catching on within contemporary Chinese literature, where

1 In addition to Ma Xianglin (*Dream of Ding Village*), Sima Nan [*Riguangliunian (Life As It Is, 1998)*] is also a salient illustration of this phenomenon, in which forms of delirium or unconsciousness substitute for intersubjective imagination.

writers in different ways engage with a moral degradation. How to get rich quickly and earn a decent life is part of the Chinese Dream and has become the major goal of the Chinese. But in reality, it is still wishful thinking, especially for the poverty stricken rural farmers who are so loosely fastened to themselves that they frequently wander away and get lost, particularly when they attempt to find a better life by selling their own blood but instead become infected with HIV. Villagers in *Dream of Ding Village* act recklessly with HIV infection, giving rise to various destructive behaviors in which the blackness and ugliness of humanity surface. There are many scenes in the novel that embody these various behaviors such as power struggle, cheating in marriage and reckless love-making all illustrating a brutal morality tale that marks the stark transition China is undergoing.

As the first Chinese novel that deals with AIDS, *Dream of Ding Village* revisits the Chinese literary tradition in the 1980s derived from not only a human concern for life, but something related to a disease that has become a metaphor in which human disease is often embodied signifying in general, perhaps something like moral decay or social and political corruption or human evil.¹ Obsessed with their dreamful life Ding villagers are now driven mad and have lost their sense of reason and become devilish leaving their whole village forsaken. A village of life has now turned into a hell on earth:

It was still the same place, but all the people were gone. The streets were as silent as death, empty of man or beast. There were no chickens, pigs, ducks, cats or dogs. Now and then, the call of a sparrow shattered the quiet, like a stone hurled through a pane of glass. Grandpa met only one living thing, a

1 A host of writers who came upon the Chinese literary scene after the mid-1980s reacted strongly against the vestiges of the aesthetic of the sublime dominated in Mao's time, expressing their disenchantment with Communist ideology, the party and the official narrative. With souls tormented with anxiety and driven by desire, with phantasmagoric dreams and the shady unconscious, they blasted the semi-religious doctrine of literature and art irrigated by vague Communist ideology and began to depict sex and sickness in the most disgusting, nauseating corporeality, smearing the public space of literature with images of the body intended to negate its sublime aspects: the body wallowing in filth and dirt, the body that farts and shits, the body dripping with urine and feces, and above all the body as rotting corpse, see Wang Ban, *The Sublime Figure of History: Aesthetics and Politics in Twentieth-century China* (Stanford: Stanford University Press, 1997) 231. Dubbed New Wave Fiction (Xinchao xiaoshuo), their works initiated a writing tradition of the fantastic, the schizophrenic, and the grotesque in post Mao China. Yan Lianke belongs to this tradition of which Li Tuo, Su Tong, and Yu Hua are also representative.

stray dog so skinny you could see its ribs....¹

In a scene of unexpected catastrophe that has become characteristic of Yan Lianke's work with a portrayal of the death ridden Ding Village, we are encountering the cruel reality of the Chinese peasants who have been perpetually suffering from their own fate of a hopeless, unknowable, unintelligible and mysterious reality. Notably, this gesture of the narrative potentially implies its author's private spiritual life enhanced by an attempt to seek self-preservation in the text. Yan identifies this trope in the novel, in response to pressure from poverty and the coercive role of local government manipulation in rural China.

Ding villagers are tragic and hopeless and the place they live is now enveloped in death, appearing to be ominous and suppressing just as the narrative explains,

The silence is intense. Yet even in the absence of voices or sound, Ding Village lives on. Choked by death, it will not die. In the silent shades of autumn, the village has withered, along with its people. They shrink and wither in tandem with the days, like corpses buried underground.²

In such atmosphere of universal death, one finds it easier to see deaths than slippery pebbles around the lane. Yan uses the first person narrator "I", a 12-year-old boy who has been poisoned to death to unveil his father's true nature. It is through "I" that we learn his father is called Ding Hui who is the biggest blood merchant known as the Bloodhead, characteristic of a capitalist in post socialist China. Grandpa asked his son Ding Hui to apologize for what he did, but was rudely refused. Sadly in vain Grandpa hid in dreams as fever did in blood. Yan writes,

Grandpa has a same dream every day, Grandpa dreamed almost every night. For the last three nights, he'd had the same dream: the cities he'd visited — Kaifeng and Wei county, with their underground networks of pipes like cobwebs — running thick with blood. And from the cracks and curvatures of pipes, from the l-bends and the u-bends, blood spurs like water. A fountain of brackish rain sprays the air; a bright-red assault on the senses.³

Also,

1 Yan Lianke, *Dream of Ding Village*, trans. Cindy Carter (New York: Grove Press, 2005) 338.

2 Yan Lianke, *Dream of Ding Village*, 7.

3 Ibid., 8.

Death settled over Ding Village like deep, black night, blanketing the neighboring hamlets and villages. The news that passed back and forth along the streets each day was just as dark. If it wasn't that another person had come down with the fever, it was that someone had lost a family member in the middle of the night. News even spread that a woman whose husband had died from the fever was planning to remarry into a distant mountain village, as far away as possible from this fever-ridden, God-forsaken plain.¹

Life is really hard for Ding villagers, for they not only lack in money, but also do not have sufficient rules and regulations that enable them to get rich. Poor as they are, Ding villagers have to risk their life and try their luck. Gripping, swift, heartfelt, occasionally exhilarating and often surprising, the narrative exhibits an existential parable in which power obsession leads to moral crisis. Its ruthless depiction of violence, madness and despair also encode such themes as sacrifice and misery. In the novel, the narrator locates the critical and moral function in the power of the author to introduce the reader, by indwelling and identification, to dimensions of reality of which the reader would otherwise remain ignorant. Just as Liang Hong has observed, "death, violence and self-destruction abound in Yan's fiction."² Judged by the standard criteria of literary excellence, *Dream of Ding Village* merits our attention, for it diversifies our understanding of the modes and manners of moral discourse in the new century. It exposes how Chinese people in age of transition struggle to survive at the cost of their life, reminiscent of decades of destruction, frivolity and moral degradation in twentieth century China despite its boastful claim of tremendous material achievements.

Yan is keen and observant, probing to the depth of humanity and the desire to combat death in the face of death. For him, it is just the desire that incurs death. In his *Dream of Ding Village*, Yan censures human desire, for it is not only the instinct of death but one of life as well. The novel's hallucinatory depictions of death and desire-driven morally corrupted actions allow us to consider further how Chinese peasants have suffered from capitalistic impulses and distorted human nature in post socialist China. Despite its obvious harsh criticism and representation of moral crisis, *Dream of Ding Village* also foregrounds the writer's

1 Ibid., 13-14.

2 Liang Hong, shenhua, qingdian, baoli ji qita — Yan Lianke xiaoshuo meixue tezhen lun (Myth, Ceremony, violence and others: a study of the aesthetics and others: a study of the aesthetics in Yan Lianke's fiction), *Nanfang wentan* [*Southern Cultural Forum* 4] (2015, 64).

“mythorealist consciousness, innovative imagination, and creative literary praxis,” to borrow Weijie Song’s words.¹ It is all known that economic development — industrialization in particular, and more recently globalization — often brings undesirable side effects, like damage to the environment or the homogenization of what used to be distinctive cultures, and we would naturally regard these matters, too, in moral terms. On both counts, economic growth is often observed in terms of material considerations *versus* moral ones.

Moral crisis is also accompanied by a theme of extramarital love that many Chinese writers are enthusiastic about in the new century. In their writing, sexuality offers meaningful social criticism regarding the individual’s plight in contemporary Chinese society, a criticism present in the work of Bi Feiyu. Different from the conventional Chinese concept of family which sees sexuality as the result of marriage and love between husband and wife, sexuality depicted in the new century Chinese literature starts to serve as a kind of individual communication in which sex is no longer connected with marriage. Here sexual morality like loyalty and chastity, for example, is effaced, but what we see instead in these family narratives are their different discourses of love bringing to the fore extramarital sex. A case in point is Bi Feiyu’s short story “Days in Love” featuring a man and woman who only get to know at a dinner party come together afterwards and make love. Obviously they don’t intend to get married, for they simply want to live together to comfort each other by making love. For both, sex serves as a means of connection. Living on odd jobs in a glamorous city, they don’t know what will happen to them but they have to live on. Again, the story unveils the dark side of materialized contemporary China which reminds its reader of unemployed city dwellers nowadays reduced to be hapless, desperate and lonely seeking reckless sex at the cost of Chinese marital morality.

Towards an Environmental Crisis

Many writers in the new century are also striving for an ecocritical approach in their writing which renders various perspectives into Chinese government-led economic development and human depravity. Environmental degradation, for them, is a profound moral failing that ignores the well-being of the whole of the social network.

Liu Qingbang, for instance, is very much concerned about environmental degradation. His *Red Coal* (2006) offers a typical example that addresses

1 Weijie Song, “Yan Lianke’s Mythorealist Representation of the Country and the City,” *Modern Fiction Studies* 62, no.4 (Winter 2016) 645.

rural environmental failing caused by local government's policy of economic development. The novel narrates a farmer and his life in a coal factory. It reveals how he chased fortune in any means, revealing the twisted soul of humans. The story started in the 1980s, a farmer named Song got a temporary job in a coal factory. In order to become the staff there, he tried to chase the daughter of the boss of the coal factory. However, he failed and was driven out of the coal mine. He then found his chance in another village which is not far away from the mine, and finally married the daughter of the village headmaster. He made plenty of money and finally became the boss. With wealth came, his darkness of the soul surfaced. He became obsessed with profit making with no attention to the environment coal mining was ruining. Casualty occurs daily and the villagers are now living in pollution. Springs abound in the area but no one now flows water. The river around is now dry as the narrative goes, "They cannot grow lotus or rice any more. Birds have flown away. You are responsible for all this, demanded a villager."¹ Even waterfowls have flown away, for there is no fish for them. No waterfowls. "Not a single one. The tall trees where birds used to nest have been felled. The whole Red Coal Village cannot grow rice any more. All the fields have become wheat land. Deprived of its moisture, the wheat land turns barren. Even garlic grows smaller and there used to be lots of lotus ponds, mourned the villagers."² The situation is even worse, for Red Coal villagers are utterly "threatened by a lack of drinking water."³

Having recognized the dual facets of science and technology, Li Cunbao also begins to critique the government's crazy obsession with science and technology and mourns over their penetrating impact on human life, offering his critical thoughts that science has not ensured humanity safety but fears of atom and chemical wars. In his opinion, science and technology do help us know the world better but have never avoided deterioration they are to bring about and left us on a worse situation.⁴ Such perception of science is rooted in his ecological vision critical of contemporary China's high-tech controlled modernization drive. Unexceptionally, Zhang Wei also gets saddened over the deforested wasteland in his hometown, claiming that loss of land often gives rise to human empty-

1 Liu Qingbang, *Hong mei* [Red Coal] (Beijing: The Beijing October Arts and Literature Publishing House, 2006) 289.

2 Ibid., 350.

3 Ibid., 351.

4 Li Cunbao, Jingshang [The death of a whale] in *Dahe yimeng* [Remaining dreams of a big river] (Beijing: PLA Literature and Art Press, 2002) 27.

mindedness. Very few people may agree with me, Zhang maintains, but it is absolutely a truth.¹ Thus, contemporary Chinese writers offer what might be considered a morally infected criticism of the refinements of life made possible by economic development and negligence of the importance of nature in human life.

More and more Chinese today are afraid of being displaced in the process of rapid urbanization and have brought forth an anxiety of spiritual loss and displacement. Instead of immersing in their happiness of material gain and refined life, they are now aware of many considerable environmental sins and a steady distancing from nature and become more anxious about their own life featured by a perplexity of alienation, haplessness, fear, helplessness and mental predicaments. Most of them inwardly know that nature will soon take a terrible revenge if human beings continue their rampant exploitation of it. For them, the feast offered by material gains doesn't taste well. This reflection warns that humanity should revere nature. Writers at the time feel impelled to streamline such sporadic environmental thoughts and turn them into a more interrogative voice embodied in their respectful portrayals of awesome Mother Earth. Obviously, Chinese life writing starts with a kind of profound self-questioning that is necessary to moral judgment, bringing out some aspects of the relevance of literature to the global environmental crisis, for "stories matter because they shape our values, inform our sense of our humanness, and by indirection shape our environmental behavior."² It is hoped that man can regain his benign humanity and befriend nature. This thematic concern is evident in many contemporary works such as Yang Zhijun's *Huanhu bengkui* (*Lake-bank Collapse*) and Wu Zhongxin's *Dixia youyu* (*Underground Fish*) both are novellas offering intricate analyses of the causes of environmental degradation, focusing on frenzied human activities dedicated to profit driven cultivation against the laws of nature. What is apparent in *Lake-bank Collapse* is the novella's argument that human beings will inevitably ruin their homelands and become homeless if they keep acting irrespective of natural governance. In a similar way, Wu Zhongxin recuperates the motif of crime and punishment in his *Underground Fish* which is told via the first person point of view, demonstrating that coping with power requires adaptability, strength and the willingness to surrender oneself. Ironically, the story narrates how government approved mining industry destroys a green village, exhibiting various responses to power ranging from direct confrontations

1 Zhang Wei, *Yuanxing zhi zhu* [Warning of a long journey] (Wuhan: Changjiang Literature and Art Press, 1996) 202.

2 G. B. Handley, The metaphysics of ecology in Marilynne Robinson's *Housekeeping*, *Modern Fiction Studies* 55, no.3 (2009) 500.

with damaging dominant discourses of coal mining to the constructions of alternative communities after environmental destruction. As the story develops, the narrator "I" is morally encoded in line with other protagonists named respectively Shi Shenxian and Lin Daren who represent two different attitudes towards Nature. Shi Shenxian, though boney and often talking nonsense, is actually a village prophet who can foretell a future mining disaster; whereas Lin Daren is rather negatively portrayed as one who has made fortunes and climbed up the social ladder at the cost of his village's environment and many villagers' life and health.

Conclusion

Reading contemporary Chinese fiction, one is also getting to know China today in its rapid social transformation in the past couple of decades. Chinese writers in the new century have been keenly observant of various issues derived from social transitions turning out a cluster of stories and novels which correspond with the nation's explosive capitalist growth, multiple social contradictions, tumultuous strategies of re-linking with global capitalism. What they write about embodies an apparent lack of coherence between theory and practice, and a vast transformation of the social body into emerging interest groups. Instead of enjoying equal benefits of social development increased globalization has brought about, the nation's vast rural China has been all the way kept on the edge. Thus have occurred various interpretations of what China's transformation means, ranging from coming collapse to inimical rise, with uncertainty and ambivalence in between despite various governmental efforts taken to improve the situation. As China is undergoing such colossal transformation, Chinese writers nowadays are more than ever reflective in their criticism while they are writing crises and disasters. What we read in their writing is often a grotesque, comic, spectacular, miserable, absurd, and deformed literary world.

责任编辑：杨革新

论《红字》中神性因子与人性因子的伦理冲突

The Ethical Conflict between the Divine Factor and the Human Factor in *The Scarlet Letter*

吴 笛 (Wu Di)

内容摘要: 在长篇小说《红字》中，霍桑有意识地将历史的、道德的以及心理的主题融为一体，构成了这部小说复杂的内容和多层次的意义。这部小说是高度抽象化的，作者的意图不是描写具体的“虚伪”与“诚实”，不是对人们进行“要诚实”的说教，作者在小说中竭力排斥道德说教的成分，而是提出了许多令人震惊的问题。该文认为，女主人公赫斯特并不是某些评论家所认为的一个传统观念上的悔过自新的典型，她尽管接受惩罚，却没有接受惩罚她的那些社会道德规范。她的“罪孽”源自于神性因子与人性因子的伦理冲突，更是针对清教的一种伦理选择。因此，我们不能把女主人公赫斯特和男主人公狄梅斯代尔两个形象的意义看成是堕落灵魂的自我拯救，恰恰相反，可以视为从神性因子朝人性因子进行伦理价值转向的一个象征，而且，女主人公赫斯特更是霍桑心目中人性因子与神性因子达到理想的和谐境界的一个范例。

关键词: 霍桑；《红字》；人性因子；神性因子；伦理冲突

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Title: The Ethical Conflict between the Divine Factor and the Human Factor in *The Scarlet Letter*

Abstract: In his novel *The Scarlet Letter*, Nathaniel Hawthorne purposely mingles the historical, moral, and psychological themes altogether, and makes the novel's meaning complicated and multi-dimensional. This novel is highly abstractive; the purpose of the writer is not to describe the concrete "hypocrisy" or "honesty," and its aim is not to preach the ideas of "being honest." The author of this paper thinks that the heroine Hester Prynne is not the typical example of character of repentance as some critics regard. Although she received her punishment for her "sins," she didn't accept the social moral standard on which she was punished. Her "sins" originated from the ethical conflicts between the divine factor and the human factor and are the result of ethical selection in the Puritan society. So, it is not appropriate

to regard Hester and Dimmesdale as two symbols of the self salvation of the fallen souls; on the contrary, they are the symbols of the turning of the ethical values from the divine factor to the human factor, and, in Nathaniel Hawthorne's mind, the heroine Hester Prynne is the ideal example of the harmonious union of the two factors.

Key words: Nathaniel Hawthorne; *The Scarlet Letter*; human factor; divine factor; ethical conflict

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《红字》的作者霍桑被亨利·詹姆斯认为是“美国天才中最有价值的典范”(Wright 3),《红字》是第一部以美国社会历史条件为基础,带有浓郁的美国乡土气息的小说杰作,也是美国第一部赢得世界声誉的作品。如同霍桑的其他作品一样,长篇小说《红字》取材于新英格兰的殖民时期的历史以及现实生活。尽管是以新英格兰的现实生活为背景,但是他在这部作品中所表现出的却是对人类命运和发展历程的关注,以及对于改善人类社会道德的理想。正因表现了这一具有“人类命运共同体”性质的命题,所以西方学者珀森(Leland S. Person)认为:“《红字》是美国19世纪最著名的两三部长篇小说之一”(Person 66)。本文拟从文学伦理学批评视角,探索历史的、道德的以及心理的主题是如何在这部小说中呈现,以及霍桑以“红字”的象征对人类发展历程所作的独特审视。

一、“红字”:人类发展历程的隐喻

《红字》是一部具有多重主题的作品,因此,对于这部作品的解读,同样存在着多视角的可能。从文学伦理学批评的视野进行介入,我们认为,尽管霍桑的《红字》有着复杂的内容和多层次的意义,并且是高度抽象化的,但是,无论如何,作者的意图不是描写具体的“虚伪”与“诚实”,不是对人们进行“要诚实”的说教,而是反映了人类发展历程中人性因子与神性因子的冲突,以及最终向人性价值的转向。

正是因为这是一部多重主题的作品,所以,“也存有一些比较偏颇的倾向,常有学者以诸如‘爱情的颂歌’、‘社会的悲剧’、‘道德的探索’之类的‘单一主题论’来概括整部作品,容易得出较为片面的结论。譬如,持‘道德探索’主题论的人,常常简单地将作品主人公的活动过程归结为在所谓的‘道德’标准上的升浮与下降的过程,用简单的‘道德’标准来衡量主人公的

形象意义”(吴笛 452)。在《红字》面世之初,一位热衷于超验主义的奥雷斯蒂斯·布朗森就批评霍桑不该寻求原谅赫斯特和她的情人,认为两位主人公“既没有为犯罪行为真正忏悔过,甚至从未认为那是有罪的”(Brownson 177)。同时代的神学家亚瑟·考克斯不仅反感于霍桑对主人公所犯罪恶的同情,甚至认为这部小说是“雅致地不道德”(Coxe 181-2)。于是,有学者将赫斯特形象的发展也归结于从犯罪到认错的过程,并且就此争论她的认错态度是否诚恳,导致有人提出:女主人公只是“装扮出俯首贴耳、勇于认错的样子……”“事实上,作品中最虚伪的人莫过于赫斯特·白兰了”(曹精华 74-75)。也正是基于这样的道德概念,所以有人提出这部作品是“一部揭示犯罪和隐瞒犯罪的悲剧作品”(Myerson 93)。英国《简明不列颠百科全书》的编者也正是以这样的观点,来给《红字》这一条目下了定义:这部小说“详细描述了隐瞒罪行所招致的悲剧性后果”(《简明不列颠百科全书》804)。

我们认为,对于这部以1642-1649年北美殖民地新英格兰为语境的小说,如果仅是围绕主人公是否道德,是否隐瞒了罪行来对作品主题进行评说,不仅有失公允,而且难以把握作品的实质。在某种意义上,就人类的发展历程来说,这是一部史诗性作品,尽管其主人公中并没有一个历史人物,正因如此,有学者认为,霍桑是“新英格兰殖民历史的最为杰出的编年史家”(Person 1)。

这部小说中的主要人物,虽然各自经历了心理层面的艰难的搏斗,但是这些搏斗恰恰是一种隐喻,霍桑正是借助主人公的心理历程,来展现更为重要的历史的进程。正如西方学者所说:“尽管霍桑迷恋于描写道德负罪感给人物带来的漫长的痛苦,但他的正面观点却与爱德蒙德·伯克没有不同,这种观点对19世纪中期美国文化的意义越来越重要:‘人类正常的本能’是可贵的”(伯科维奇 685)。

其实,这部作品所展现的不仅仅是新英格兰殖民地的思想发展历程,更是整个人类思想发展历程的一个隐喻,尤其是反映了人类发展进程中的伦理选择。我国学者聂珍钊认为,人类文明发展进程已经经历了两次重要的选择,即生物性选择和伦理选择,但是,“人类的生物性选择并没有把人完全同其它动物即与人相对的兽区别开来”(聂珍钊,“文学伦理学批评”3)。只有经历过伦理选择,才能真正成为人。在生物性选择之后,“人类同其他生物没有本质的区别,这就意味着人类实际上并无可能实现上帝的意志。只是人类最后选择了吃掉伊甸园中善恶树上的果实,人类才有了智慧,因知道善恶才把自己同其他生物区别开来,变成真正的人”(聂珍钊,“文学伦理学批评”4)。由此可见,伦理选择,体现了兽性因子、神性因子与人性因子的较量。从霍桑的这部《红字》中,我们可以明晰地看出,在人类最初的伦理选择中,除了兽性因子与人性因子的较量,还有人性因子与神性因子的冲突。

亚当和夏娃偷食禁果,就是人类祖先违背上帝意志的抉择,就是人类神性因子与人性因子的最初的搏斗。可以设想,如果神性依然占据统治地位,

智慧果没有遭到采摘，人类也就没有了自己的祖先，正是在伦理选择中人性因子获胜，亚当和夏娃偷食了禁果，犯下了原罪，所以人类才有了伦理意识，开始自身的成长历程。

在《红字》中，神性因子与人性因子的较量和冲突贯穿着整部作品，也渗透在《红字》四个主人公的心理活动中。对于女主人公赫斯特，神性因子与人性因子经过强烈的冲突，最终在她身上达到了一种理想的和谐。对于她女儿珀尔而言，由于两种因子的冲突，使得她游移在“天使”与“人类的孩子”之间。对于狄梅斯代尔而言，则只要是神性因子占据上风，赫斯特是他身上人性因子得以体验和作用的唯一机遇。而对于齐林沃斯，在他身上发生冲突的，则主要是兽性因子和神性因子。因此，哈罗德·布鲁姆就认为：“齐林沃斯既是魔鬼，也是复仇的天使”（Bloom 7）。

如果按上述说法，认为这部作品共有四个主人公，其实还是不够全面的。可以说，《红字》中，还有一个主人公，甚至是一位至关重要的主人公，这就是“红字”本身，它最能代表这部小说思想内核。这位主人公所具有的特性和内涵在作品中不断发生变换，从最初的代表神性惩罚的耻辱标志，到最后成为代表人性力量的理想象征，从而成为人类历史发展进程的一个隐喻。

在《红字》中，为了表示对赫斯特的惩罚，让她佩戴耻辱的红字 A。红字 A 是“Adultery”，是她与狄梅斯代尔偷食禁果的符号，是对她的一种严厉的惩罚。实际上，即使红字 A 所体现的是“通奸”这一罪孽，那么，这也是一种与生俱来的“原罪”，是神性意志的体现。于是，“Apple”具有神性因子的内涵。这样，《红字》中所犯的“罪孽”也就成了原罪的象征。而佩戴 A 字的赫斯特的“罪孽”性质也就变得十分明了：这种代表原罪的“A”并不是不道德的，更不是体现堕落的罪孽。如果说赫斯特和狄梅斯代尔所犯的不过是与亚当、夏娃一样的“错误”，那么，打破神性的枷锁，回归人性的本质，是人类经过生物性选择之后的又一重要的伦理选择，正是经过了这一选择，人性因子才得以焕发光彩，促使人类逐步趋于成熟，拥有自身的能力（Ability），从而走向独立。

于是，亚当与夏娃所犯的原罪以及他们被驱逐出伊甸园的故事，是人类发展历程从“Apple”到“Able”转向，是象征着人类由天真向经验的转化，从神性向人性的转化，而没有这种转化，人类的进步和发展简直是难以想像的。《红字》所表现的是人类从童年的罪孽“Adultery”转向“成熟”（“Adult”），进而使得这部描写这一艰难历程的作品也成为人类的一种“艺术”（Art）。

在这个意义上，我们可以说，《红字》的作者所要着重描写的，并不是具体的“奸情”，并不是具体的“罪孽”，而是以“红字”这一大写的 A 为象征的抽象的“罪孽”，这样，A 所能代表的，也已不是清教主义范畴的“通奸”之罪，而是表达了从体现神性因子的原罪意识的“Apple”（禁果）到体现人性因子的创造意识的“Able”（能干）这样一个艰苦的人类历史的进步历程。

二、珀尔：“红字”的生命形态

有学者把珀尔的形象意义纯粹地看成“是将赫斯特的通奸始终呈现在她的面前，使她怎么也无法逃脱她自己行为所招致的后果”（Fogle 114）。

联想到人类历史发展的进程，从某种意义上来说，赫斯特和狄梅斯代尔就是亚当和夏娃的化身，他们违反了人类道德与法律的禁令，偷食了禁果，从而使得珀尔得以诞生。不过，珀尔的诞生依然属于“自然选择”的范畴。“人类的自然选择是一种生物性选择”（聂珍钊，《文学伦理学批评导论》6），“在现代文明社会里，人类仍然还在不断地重复着自然选择和伦理选择的过程”（聂珍钊，《文学伦理学批评导论》6）。人性因子与神性因子的冲突是人类在经过自然选择之后所进行的伦理选择这一过程的一种体现。在《红字》中，霍桑在珀尔这一形象上所关注的问题，是“人类”身上人性因子与神性因子是否具有达到和谐境界的可能。

其实，《红字》中的人物，大多具有双重性。无论是赫斯特·普林、狄梅斯代尔，还是齐林沃思，或是珀尔，都有着鲜明的双重性，尤其是体现了人性因子与神性因子的伦理冲突。

从清教的观点而言，珀尔是一个在社会上没有立足之地的不合法的孩子，是赫斯特·普林罪孽的直接结果。然而，在霍桑的笔下，珀尔的形象被塑造成一个极为复杂的充满矛盾性的形象。对珀尔形象的态度，直接关系到作者对待原罪的态度。最为重要的是：珀尔的身份是红字的具体化，珀尔是另一种形态的红字，是一种赋予了生命形态，既对赫斯特进行惩罚又对赫斯特不断激励的生命形态。在这部作品中，作者借助于赫斯特的口，强调“她就是红字”（霍桑 51）。而且，对待珀尔的认知，也是伴随着赫斯特观念的转变而逐渐转变，开始的时候，珀尔对于赫斯特而言，是一种罪行的惩罚，赫斯特认为上苍通过这一形象，将她的罪孽的“惩罚力度”加大了“百万倍”（霍桑 51）。然而，随着时间的推移，赫斯特逐渐意识到，珀尔是“红字”的生命形态的一种体现。

于是，具有神性因子的抽象的罪孽逐渐转变为人类具体的“生命的形态”。这其中集中概括了神性因子与人性因子之间的冲突与搏击，以及最终朝人性价值的伦理转向。

在霍桑的笔下，珀尔被塑造成一个人性因子与神性因子集聚一体、并且在两者之间不断游移的一个形象，以至于人们感到困惑，不得不发出疑问：“你是淘气的小精灵还是小仙女中的一个？”（霍桑 48）

其实，关于这一问题，答案是很清楚的，霍桑在塑造这一形象时，是在一定程度上体现了他对自己女儿乌纳的情感和认知。尽管珀尔似乎被塑造成一个现实层面的清教小孩，如霍桑所称的“精灵小孩”，但是，她的形象基于作者自己的女儿尤纳。霍桑存有他孩子成长的完整的日记，他直接将其中

的一些描写尤纳的段落移植到《红字》中。他在描写他女儿时写道：“这个小孩的有些事情几乎让我震惊，我不知道她是小精灵还是小天使，但是，在一切方面，她都是超自然的……她的形象不时地对我产生这样一种印象，使得我不能相信她是我的人类的女儿，而是一个混杂着善与恶的一种精神，出没在我所居住的屋子里”（Hawthorne 430-1）。

从以上引文中，我们可以看出，霍桑本人对自己的女儿乌纳也同样发出“我不知道她是小精灵还是小天使”的疑问，甚至怀疑她究竟是不是“人类的女儿”。对于这一疑问，同样体现在对待珀尔的描述上。在《红字》中，霍桑指出，珀尔拥有“一种极其聪颖而又令人费解的神色，极其倔强而有时又怀着恶意的神色，但一般来说，这种表情都伴有灵魂的骚动，以至于赫斯特在这一特定时刻情不自禁地发出疑问：珀尔到底是不是人类的孩子？她看起来倒更像一个虚幻的精灵”（霍桑 35）。

正是因为珀尔的身上同时存在着体现神性因子的“精灵”，以及体现人性因子的“人类的孩子”，所以霍桑为此而困惑。

对于这样一个在人性因子与神性因子之间游移不定的人物，最应该启迪人们的是如何对她进行教育，使得两种因子在经过一段时间的冲突之后，能够达到和谐的境界。而作为小说中心主人公的赫斯特，便是这样的一个经过两种因子的冲突最终归于融合的理想形象。

三、赫斯特：神性因子与人性因子的理想融合

如果说，在珀尔的身上，由于神性因子与人性因子的冲突，使得她游移在“天使”与“人类的孩子”之间，那么，在赫斯特身上，神性因子与人性因子经过激烈的冲突，两种因子在她身上终于达到了一种和谐的境界。“最终，感情与原则完美的结合在理想的赫斯特身上体现了”（伯科维奇 697）。

赫斯特是霍桑竭力歌颂的形象，也是他的笔下所塑造的一个将神性因子与人性因子融汇一体的理想形象。她曾经因为两者的失衡而遭难。

必须强调的是，赫斯特的“失衡”，是“神性因子”与“人性因子”的失衡，而不是“兽性因子”与“人性因子”的失衡，更不是很多学者所认为的“堕落”。赫斯特与齐林沃斯的婚姻，本身就是一种社会礼教的枷锁，更多的是神性因子的体现，它直接导致神性因子与人性因子的对立。因为“堕落”是发生在赫斯特在自己的丈夫齐林沃斯下落不明，被认为因海难而“葬身海底”两年之后。人们都认为她的丈夫齐林沃斯因海难而死亡了，所以，她的“堕落”不是“兽性因子”获胜的一般意义上的出轨，甚至在法律意义上，也是属于原配失踪两年之后、在法律层面上原来的夫妻关系不复存在的前提下所发生的并不违法的行为。而且，她的行为是对清教道德原则的反抗，她身上的神性因子与人性因子经过激烈的搏斗，人性因子一时获胜，于是，为了获取生命意义的实现，她对纯洁真诚的爱情进行了勇敢的追求，她大胆地打破了神

性的精神的枷锁，让人性进行了一次自由的翱翔。结果，违反了宗教戒律，犯下了“罪孽”。

可见，她是曾经因为在并不违法的前提下追求人间真挚的恋情而触怒了波士顿的清教，遭遇了严厉惩罚，不仅让她示众，而且让她永久地戴着刻有所犯罪孽的耻辱的标记——红色的A字。在她戴上这一耻辱标志的起始，她所承受的痛苦我们难以想象。在《红字》中，赫斯特第一次出场时，已经是经受了一段时间的牢狱之灾，但那还是在七年之前，当她怀抱三个月的婴儿被拉出监狱示众的时候，她依然是一个披着长发的美女：“这位年轻女子身材修长，体态优美。她满头乌黑的秀发在阳光下熠熠生辉。她那张脸上不仅五官端庄、肤色红润，而且眉毛秀丽出众、眼睛乌黑深邃，给人以深刻印象”（霍桑6）。

然而，经过长达七年的艰难的孤独抗争，虽然她的外貌逐渐失去了原先的光彩，但是她的内心却变得异常坚强。而且，经过长期内心的搏斗，人们对她产生了好感，甚至对红字产生了新的理解，人们“开始重新审视红字，不是把它当作她为此遭受长期的凄惨惩罚的罪孽的标志，而是把它看成从那以后她的许多善行的象征”（霍桑88）。

神性因子与人性因子的对立与冲突，同样也是作者霍桑世界观矛盾的一个反映。在霍桑创作《红字》的时候，“与霍桑自己的矛盾一样，他的党派也面临着进退两难的困境”（伯科维奇696）。所以，他笔下的人物才如此充满了矛盾的双重性。

赫斯特形象的最重要的意义在于，当人性因子被神性因子击败的时候，她通过自身的不懈的努力，最终恢复了人性的尊严，达到了理想的平衡。就连她所佩戴的红字，也不再是针对人性堕落的罪孽的标记，而是赋予了神性因子的成分。甚至给波士顿的居民带来意想不到的慰藉：

刺绣的红字闪烁着，圣洁的光辉中蕴涵着慰藉。在别的地方，红字是罪孽的标志，然而在病房里，它却是一片烛光。在受难者艰难的临终时分，它甚至放射出超越时光界限的光芒。当尘世之光迅速变暗、来世之光尚未来临之时，它向受难者指引该走的道路。（霍桑88）

从上述引文中我们可以发现，“红字”的内涵之所以发生变换，是它逐渐具有了“圣洁的光辉”，从而能够在黑暗的土地上“闪烁”。这就是霍桑的女主人公身上所体现的神性因子与人性因子理想融合的意义所在。

《红字》的象征和寓意是极其深邃的，对霍桑的《红字》作过专门论述的英国著名作家劳伦斯认为：“这是一篇精彩的寓言。我认为这是所有文学中最伟大的寓言之一”（劳伦斯96）。劳伦斯关于《红字》是寓言的观点是

十分中肯的。霍桑在长篇小说《红字》中，通过赫斯特·普林等形象的刻画，将罪孽的标志：红色的 A 字，转变成美国的现实象征，红字从原有的内涵“Adultery”朝“Arthur”的转换，从“Apple”朝“Able”的转变，在极大的程度上象征着人类发展历程中的伦理选择，代表了人类从神性因子朝人性因子的伦理价值的转向。

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伦理教诲的缺失、错位的伦理身份和乱伦的创伤： 《托比的房间》的文学伦理学解读

Lack of Ethical Education, Misplaced Ethical Identities and Incest-engendered Trauma: A Study of *Toby's Room* from the Perspective of Ethical Literary Criticism

刘胡敏 (Liu Humin)

内容摘要：巴克在《托比的房间》里书写了哥哥托比和妹妹爱莲娜在青春情窦初开时发生了兄妹乱伦，此后两人感到内疚和自责。后来托比参加了二战，在战争中死去。他临终前留给妹妹一封未完成的遗书。为了得知哥哥的死因，伊莲娜费尽周折找到哥哥的战友科特了解情况，得知乱伦给哥哥带来了严重的精神折磨。本文试图从文学伦理学的批评视角入手，重点分析托比和爱莲娜在一个缺少父母关爱和伦理教诲的家庭伦理环境里成长，因此在成长的过程中没有树立正确的伦理意识；在他们之间萌生恋人的情感时，兽性因子与人性因子相互博弈，当前者占上风之时最终发生违反人类伦常的兄妹乱伦；乱伦导致他们错位的伦理身份，并给他们带来了难以言说的心灵创伤。巴克通过小说揭示了在青少年成长的过程中健康的伦理环境、伦理教诲、培养正确的伦理意识以及做出正确的伦理选择的重要性。

关键词：乱伦；伦理教诲；伦理身份；《托比的房间》；创伤

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Title: Lack of Ethical Education, Misplaced Ethical Identities and Incest-engendered Trauma: A Study of *Toby's Room* from the Perspective of Ethical Literary Criticism

Abstract: Barker, in *Toby's Room*, depicts an incest between a brother Toby and his sister Elinor at the age of puberty, who feel guilty and remorseful afterwards. Later Toby goes to WWII and dies. His suicide note to Elinor is only half written, so Elinor tries very hard to see his comrade-in-war Kit to find out about his death, only to know that the incest between them has brought forth severe psychological

torture to him. This paper tries to analyze the novel from the perspective of ethical literary criticism, focusing on the analysis that both Toby and Elinor, growing up in an ethical environment in which parental love and ethical education are missing, fail to nurture a correct ethical awareness; their animal factor and their human factor are fighting to gain the upper hand in the process of their development of mutual love, resulting in the anti-ethical incest when the former wins; the incest leads to their misplaced ethical identities and engenders unspeakable trauma. Barker tries to reveal that a sound ethical environment, ethical education, nurturing correct ethical awareness and making a correct ethical choice play a very important part in the growth of young people.

Key words: incest; ethical education; ethical identity; *Toby's Room*; trauma

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帕特·巴克 (Pat Barker) 是 20 世纪 80 年代在英国文坛崛起的一位女作家, 曾获得英国小说最高奖布克奖, 被誉为“英国当代著名小说家”(Brannigan 2) 以及“一个坚定的工人阶级地方主义作家”(Morrison 78)。她的作品因描写当代英国不为人知的另一面而获得许多评论家的好评: “真实反映了贫穷的、无依无靠的当代英国人的生活, 她在这方面的成就几乎没有其他更多的英国当代小说家能够企及”(Boston 40); “抓住并揭露了二十世纪英国普遍存在的社会和政治焦虑”(Monteith, Jolly, Yousaf & Paul eds. vii)。巴克在其 30 多年的创作生涯里一直致力于书写各类精神创伤, 其早期作品关注英国北部劳动阶层妇女的创伤, 而后期作品将叙述视角聚焦到犯罪创伤、战争创伤、家庭创伤和乱伦创伤等。巴克在 2012 年出版的《托比的房间》(*Toby's Room*) 里讲述了一个骇人听闻的兄妹乱伦的故事以及由此引发的社会伦理问题和心灵创伤。

一、家庭伦理环境的书写和错误的伦理选择

在《托比的房间》里, 托比和伊莲娜在一个缺乏父母关爱和伦理教诲的伦理环境里成长, 他们的父母在生活上不仅没有给孩子们树立一个良好的道德榜样, 更没有在孩子成长的过程中对他们进行伦理教诲。伦理教诲的缺失导致托比和伊莲娜无法树立正确的伦理观, 因而在面对青春期的情感问题时无法正确处理, 最终做出了错误的伦理选择, 造成了兄妹乱伦。聂珍钊教授曾说过: “客观的伦理环境或历史环境是理解、阐释和评价文学的基础……伦理环境就是文学产生和存在的历史条件。文学伦理学批评要求文学批评必

须回到历史现场，即在特定的伦理环境中批评文学”（聂珍钊，“文学伦理学批评：基本理论与术语”14,19）。健康的家庭伦理环境对一个人的成长至关重要，缺乏爱和伦理教诲的家庭环境会给一个人的成长带来负面的影响，甚至会造成严重的后果。我们回到《托比的房间》所描述的家庭伦理环境，不难发现这个家庭像许多问题家庭一样有许多显性的问题和隐性的矛盾，而这些问题和矛盾最终给托比和伊莲娜的成长带来了灾难性的影响。

巴克在小说的开篇描写了一对关系冷漠的父母，他们名义上是夫妻，而实际上形同陌路人，“妈妈和爸爸很少见面。她因为健康问题需要长期住在乡下享受那儿的空气；而他晚上经常要在医院工作到很晚，因此住在俱乐部里，因为那儿离医院很近，他可以轻松地走到医院。这难道就是他们要长期每周都分开住的原因吗？她（伊莲娜）怀疑这不能成为一个理由”（4）¹。从这段叙述可以看出在这个家里，托比和伊莲娜的父母关系不和睦，父亲借口自己要在医院工作到很晚，因此一周仅在周末回一次家。虽然父亲周末会回到乡下的家里跟家人团聚，但是每次都如同匆匆过客，根本没有时间关心自己的孩子，更不用说对孩子们进行伦理教诲。此外，作为一个父亲，他本应该在道德和行为上给孩子们树立一个好榜样，然而他却做出了有违婚姻道德的事，跟一个比自己的大女儿还要年轻的女孩发生了婚外情。当伊莲娜在伦敦的街头亲眼目睹父亲跟这个女孩亲密地上了一辆出租车时，顿时目瞪口呆，几乎不敢相信自己的眼睛。父亲对母亲的背叛让她感到愤怒和难过，但是她不想把这个秘密告诉母亲或其他任何人，包括跟她无话不谈的哥哥托比。发现了父亲的婚外恋让她从此对父亲产生了反感和隔阂，几乎不愿意跟父亲交流。父母本应该成为孩子道德和生活上的榜样，然而伊莲娜的父亲却给孩子们树立了一个反面的形象。父亲违背伦理道德的婚外情必将影响伊莲娜在今后树立正确的伦理观，而他的行为也会成为孩子们效仿的“榜样”。伊莲娜目睹父亲的婚外情也成了她和托比之间后来发生兄妹乱伦的伏笔。

除了对父亲的行为感到反感，伊莲娜对母亲也有诸多不满。一天她的姐姐蕾切尔和姐夫带着孩子回家吃饭，伊莲娜穿了一条低领的红色裙子下楼吃饭，结果当场被母亲训斥：“伊莲娜，立刻上楼把你那条可笑的裙子脱了”（4）。她已经是一个成年人了，但是母亲仍然把她当成一个小女孩，完全不顾及她的感受当着众人的面训斥她。母亲对她的态度让她感到“无辜，内心受到伤害，更有一种被羞辱的感觉”（4）。从她记事起，母亲总喜欢处处拿她和姐姐作对比，在各方面对她吹毛求疵。而且只要她和哥哥之间发生争吵，“妈妈总会支持托比，而伊莲娜总是有过错的一方”（12-13）。面对母亲长期的挑剔和指责，伊莲娜内心非常郁闷。在这个缺少关爱的家庭环境下生活，她很自然地特别渴求他人对她的关爱。因此当托比在日常生活中特别关心和爱护她，

1 本文相关引文均出自 Pat Barker, *Toby's Room* (London: Penguin Books, 2013)。译文均由笔者自译，以下凡出自该书的引文均只标注页码，不再一一说明。

她的内心也渐渐萌生了对他的爱。

姐姐蕾切尔过早选择结婚生子，但是她的婚姻生活并不幸福，于是她特别嫉妒在大学学习艺术的伊莲娜。姐姐每次回来都会打探伊莲娜的私生活，问她在伦敦的学校交了什么朋友，经常跟谁约会或有没有关系特殊的朋友。伊莲娜对此非常反感，尽量不向姐姐透露自己太多的信息。姐妹之间本应有很多秘密可以互相倾诉，但是伊莲娜跟姐姐在性格、爱好和价值观上完全不同，谈话总是不投机，因此她不愿意跟蕾切尔多说一句话。有一次在饭桌上姐姐又再次追问伊莲娜是否跟男同学约会，不胜其烦的伊莲娜只好瞎编自己正跟班上一个男同学科特交往。听到她的回答，母亲也开始追问这个男孩的情况。面对俗不可耐的姐姐和母亲的“逼问”，她颇为厌烦，于是故意对着姐姐说了一句不太中听的话，这时在旁边一直静听的父亲不仅没有帮她，反而生气地对她说：“够了，伊莲娜。”父亲不分青红皂白的责备让她感到特别难受，当时她正准备咽下口里的食物，但是父亲的责备导致她被食物噎着，“嘴里含着的芝士和饼干卡在喉咙里”（5）。父母对她的漠视和羞辱性的话语以及姐姐对她的嫉妒和盘问都让她感到愤怒和难过，她觉得自己跟他们越来越无法沟通。而家里唯一关心她、爱护她、能够理解她的人是托比。虽然伊莲娜父母健在，但是完全没有给予她任何关爱。不仅如此，她还经常因为一些小事被父母当成一个孩子斥责，他们不仅无法理解她对美术的热爱和追求，更无视她的感受，说话时经常不给她留任何面子。在这样一个父母关系不融洽，家庭气氛不和谐，无法被家人理解的伦理环境里生活完全不利于她的成长。长期处于这个压抑的伦理环境下，伊莲娜特别郁闷，总想“跳上桌子，大声喊叫，泄露他们可怜的小秘密”（6）。

伊莲娜在成长的过程中不仅缺乏来自父母和姐姐的关爱，更缺乏来自父母的伦理教诲。“当人类经过自然选择获得人的形式之后，人类面临的最大问题是怎样通过伦理选择获得人的本质，这就需要榜样和说教，即教诲”（聂珍钊，“谈文学的伦理价值和教诲功能”13）。教诲在一个人的成长过程中起到非常重要的作用。然而在托比和伊莲娜成长的伦理环境里，父母没有以身作则树立良好的榜样，也缺乏对他们进行正确的伦理教诲。也正因为如此，他们根本无法树立正确的伦理观。当他们在青春期情窦初开之时，在面对来自异性的吸引和爱慕时，他们无法用正确的伦理观来规范自己的行为。在面对满足自己的情欲和遵守伦理规范这个难题时，他们都没能正确地处理这个问题。当托比用行动向伊莲娜表白后，在面对情欲和道德谴责的困境时，伊莲娜无法做出正确的伦理选择。而托比在自己的欲望和伦理发生冲突的时候也同样选择抛弃伦理道德，满足自己的个人私欲。要探讨造成托比和伊莲娜做出违反伦理道德的乱伦行为的原因必然离不开对他们所处的家庭伦理环境的分析，因为环境对一个人的影响是极为重要的：“人是社会的人，社会又是人的社会，所以文学对人的描绘从来不会脱离人的生存环境——社会来孤立地描绘”（李

定清，“文学伦理学批评与人文精神建构”45）。巴克在小说一开篇就描写了这样一个非常不利于孩子成长和性格形成的家庭环境，给后来的乱伦做了很好的铺垫。因此当我们分析造成兄妹乱伦的原因时，可以很容易地得出这样的结论：兄妹乱伦的发生离不开它的“孵化器”：一个毫无温暖和关爱、缺乏伦理教诲的家庭伦理环境。在这样一个客观伦理环境下生活给托比和伊莲娜带来了灾难性的影响，这种影响将会在他们的余生继续发酵。

二、兽性因子和人性因子的博弈

托比和爱莲娜在青春期面对情感的困惑和欲望的诱惑时无法做出正确的伦理判断，在他们的兽性因子和人性因子的博弈中，最终因为缺乏正确的伦理教诲而导致无法产生正确的伦理观，并且无法用理智来控制情感，继而导致乱伦的悲剧。聂珍钊教授认为：“从伦理意义上而言，人是一种斯芬克斯因子的存在，由人性因子和兽性因子组成。斯芬克斯因子是文学作品伦理表述的核心内容”（聂珍钊，“文学伦理学批评：伦理选择与斯芬克斯因子”1）。在《托比的房间》里，读者可以清晰地看到托比和伊莲娜从犹豫到发生乱伦的过程中，他们身上的斯芬克斯因子发生了多次不同的组合和变化，引发了两人之间的伦理冲突，让他们经历了由“产生欲望—犹豫不决—（伊莲娜的愤怒）—痛苦煎熬—乱伦—内疚”这一系列复杂的情感变化。在斯芬克斯因子活跃地控制着他们的精神和肉体之时，他们的人性因子和兽性因子在不同时期各占上风，于是他们经历了这种冲突给他们带来的精神折磨和灵魂拷问。在他们的情感和道德相互较量的过程中，人性中的兽性因子（自由意志）最终战胜了人性因子（理性意志），导致了乱伦的发生。

托比和伊莲娜年龄仅仅相差2岁，从小关系异常亲密，经常一起玩耍，几乎无话不谈，像一对非常要好的朋友。但是到了青春期，托比渐渐对妹妹产生了一种异样的爱恋，即恋人之爱。一开始托比还一直抑制自己对伊莲娜的爱慕，但是当他有一天晚上在饭桌上听到妹妹告诉姐姐自己跟班上的科特交往时（伊莲娜对姐姐的盘问不厌其烦，因此随意说了一个自己讨厌的男同学的名字来敷衍她），内心深处萌生了一种莫名的嫉妒。于是内心郁闷的托比想去磨坊散心，伊莲娜不知托比内心的苦闷，像往常一样要求跟他同去。从两人在路上的谈话可以看出托比虽然表面上不动声色，但是内心深处对妹妹提到与男生约会的事极为嫉妒：

托比：“你知道你昨晚谈到那个男孩……？”

伊莲娜：“我不想谈这个话题。”

“我提到他仅仅因为我已经非常讨厌被人戏弄……”

“你提到了他，这无论如何总有一个原因吧。我的意思是，你提到了他，而不是其他任何人。”

“他非常令人讨厌，仅此而已。他只不过是我首先可以想到的人”（7）。

以上对话已经暴露了托比的内心秘密，他非常在乎妹妹是否真的爱上了她为了敷衍姐姐而随口提到的男同学，并且为此心生嫉妒。作为哥哥，他本应为妹妹找到喜欢的男友而感到高兴，但是他的反应却极为不正常，因为只有恋人才会产生这样的嫉妒心理。此时托比内心虽然嫉妒妹妹提到的男同学，但是他的人性因子抑制了他的兽性因子，即他的理性意志仍处于上风，因此他并没有即刻向妹妹表白。当他们走到废弃的磨坊时，他们一开始还犹豫是否要走进去，因为“这里是他们童年时被妈妈禁止进入的地方。（磨坊）里面地板已经腐烂，天花板有随时坍塌的危险”（9）。但是托比不顾母亲从前的禁令和伊莲娜的警告，无视可能出现的危险，当场把磨坊窗台上的板子撬掉，然后翻过窗台跳了进去。伊莲娜犹豫了片刻，也跟着跳了进去。当他们进到破旧的磨坊里，托比再也无法压抑自己的情感，他对妹妹的爱让他失去了伦理意识，于是做出了错误的伦理选择。“他一把抓住了她的手臂，把她拉过来。她的身体被拽到他的胸前，几乎不能呼吸。她笑着、挣扎着，以为这是他们孩童般的游戏的开始”（9）。但是接下来发生的事让伊莲娜猝不及防，“他急切地把嘴唇贴到她的唇边，她被惊得一动不动。他的舌头有力地穿过她的嘴唇”（9）。此时托比的兽性因子处于上风，让他失去了理智，他开始把妹妹当成了恋人。而伊莲娜开始拼命挣扎，但是当哥哥的手“抓住她的乳房，她感觉自己的身体开始变软，朝着他贴过去”（10）。就在伊莲娜停止挣扎的时候，托比的人性因子突然回归，他猛然意识到自己犯了一个弥天大错，于是“他突然把她从身边推开”，然后不停地说着“对不起，对不起，对不起……”（10）。托比连声道歉说明此时此刻在他的兽性因子即将失控的那一刻，他的理性意志控制了自由意志，让他停止了本不应该对妹妹所做的行为。

在短短的几分钟时间里，托比对伊莲娜的所作所为彻底改变了他们之间的伦理关系，让他们从兄妹关系转变成了恋人关系。从他的兽性因子战胜人性因子的那一刻就注定他们最后将走向万劫不复的乱伦深渊。他们走进被妈妈一直禁止他们进入的废弃的磨坊暗示了他们之间将发生不该发生的伦理禁忌，而托比不顾危险带着妹妹进入磨坊的行为预示着他将从此把她带入一个危险和痛苦的处境。伊莲娜一直把托比当成自己的哥哥，从未想过哥哥会这样对她，但是当哥哥用行动表达了对她的爱之后，她经历了从“惊愕—害怕—愤怒—迷恋”这一连串复杂的情感。在回家的路上，她的脑海里一片混乱，各种意识在大脑里翻腾，“没有必要对这样兄弟般的拥抱小题大做，不过这个吻似乎有点变味了。一切都结束了。最好忘了它。她的反应有惊愕、害怕，还有一种不可言状的感受，她不知道是什么；这一切最好被忘了……她的心变得越来越愤怒。还有一个可能的解释：托比只不过在她身上做了一个如何跟女孩亲近的实验”（10）。在她不停地思考刚发生的这一切时，她的内心五味杂陈，各种滋味涌上心头。回到家后，她关上门大哭了一场，此时她感到害怕和愤怒，因为“这个灾难把她的生活豁开了一个洞”（10）。她感到

害怕和愤怒是因为此时她的人性因子在起着主导作用，让她意识到哥哥不应该这样对她。

刚进入青春期的伊莲娜面对这突如其来的“意外”，不知所措。但是这种爱又让她感到幸福，因为她长期生活在一个缺乏父母关爱的环境，非常渴求别人的关心。托比对她的表白唤起了她长时间以来对他朦胧的爱。她想起每当母亲对她说东道西，百般挑剔她的时候，托比总是站出来保护她。而且此时童年的记忆总是不停地浮现她的脑海：一次她在海边玩耍，脚被岩石划伤流血，托比脱下自己的衬衫帮她包扎伤口，然后扶着她回到海滨大道，“当他弯下腰检查她的伤口，她看到他被海水浸泡过起皱褶的粉色的手指和头上的一缕卷发”（6）。托比从小到大一直以来对她的关心让她觉得他似乎已经成为她生命中不可分割的一部分。一方面人性因子让她意识到托比在磨坊里对她所做的是错误的，因为这种行为已经超越了兄妹之情，但是另一方面兽性因子让她开始对托比的爱感到心动。此时人性因子和兽性因子在她内心互相“拉锯”，她被一种复杂的情感所左右，她一会儿感到愤怒，一会儿又很兴奋。思虑再三，她最终决定在大家都睡着的时候去托比的房间找他“复仇”。当晚，“愤怒”的她悄悄溜进托比的房间，走到他的床头，拿起脸盘架上的一罐水准备往他的头上浇下去。这时托比突然醒了，睁开双眼望着她。“他们俩都没说话。慢慢地，她放下了罐子……他伸出手，抓住她的手腕，然后一把把她扯过来。”面对托比的爱，她无法抗拒，此时她的兽性因子在体内膨胀，因此在最关键的时刻她彻底被自己逐渐增强且未被遏制的欲望所击败，最终屈服于自己的欲望之下。在兽性因子的主宰下，托比和伊莲娜的欲望似一匹脱缰的野马驰骋着，他们跨越了伦理道德的界限，最终犯下了兄妹乱伦的禁忌。托比在磨坊时首先用行动表达了对她的爱，但是在关键时刻停止了自己的乱伦行为。而伊莲娜后来主动去他的房间找他“复仇”给乱伦提供了一个契机。在托比把她拉过去的时候，两人身上的兽性因子处于上风，失去了理智才导致乱伦的发生。

人性因子和兽性因子是不可分开的，只有它们结合在一起，才能构成完整的人格（聂珍钊，“文学伦理学批评——伦理选择与斯芬克斯因子”23）。而托比和伊莲娜身上的人性因子和兽性因子在不同的时期此消彼长，两种因子之间的较量导致了道德和欲望之间的力量消长，当他们的理性意志战胜了自由意志之时，发生乱伦也就不足为奇了。他们的理性之所以在最后的时刻失控，跟他们成长的伦理环境有很大的关系，因为在一个缺失伦理教诲的家庭环境里成长，他们无法树立正确的伦理意识，因此也无法在欲望与伦理发生冲突时做出正确的伦理选择。

三、错位的伦理身份与难言的创伤

在托比和伊莲娜的兽性因子和人性因子博弈的过程中，前者占了上风，

导致他们之间发生了兄妹乱伦。而乱伦的行为造成了他们伦理身份的错位，而错位的伦理身份给他们的余生带来了难言的创伤。人类社会需要用伦理道德来约束个人的欲望和自由意志，否则会违反社会约定俗成的伦理和纲常，而这个社会也将处于一种无序和混乱的状态。托比和伊莲娜之间由于受到自由意志的控制，无法在关键时刻遏制自己的欲望，结果发生了乱伦的行为。乱伦之后，他们从兄妹的伦理身份变成了情人的伦理身份，这种错位的伦理身份扰乱了他们的伦理关系，也极大地影响了他们未来的生活，让他们痛苦不堪。一方面他们明知自己的伦理身份是兄妹，根据社会的道德约束他们不能发展恋人的关系。而另一方面他们面对自己的情欲却难以自拔，渴望能够继续这种恋人之间之爱。于是他们徘徊在情欲的快感和良心的谴责之间，在兄妹的伦理身份和情人的伦理身份之间不停地转换，这种两难的选择撕扯着他们的心，给他们带来严重的精神折磨。他们复杂的心情通过他们在发生乱伦几天后的对话可见一斑：

“你来找我的，”他（托比）说。“我会承担百分之九十的责任，但是我不能承担百分之百的过错”。

.....

“如果你愿意，我会离你远远的，”他说，“你可以再也不用见到我”。

圣诞节？生日？

她举起一只手，手指环扣着他的手指。“你知道这不是我所希望的。”

“我也不希望会这样”（28）。

此时此刻，伦理身份本应为兄妹的二人却因无法控制自己的自由意志而继续向对方表白，他们的言行已经彻底改变了他们的伦理身份，他们不再是兄妹，而是变成了情人的伦理身份。伦理身份的破坏直接导致的后果就是带来无法言说的创伤。他们因一夜情在情感上更加爱慕对方，但同时他们又深知他们是兄妹，这种伦理身份禁止他们相爱，他们的爱情要受到社会伦理的谴责。在两种矛盾情感的左右下，他们感到异常痛苦：“他们在镜子中互望，然后她突然转过身来面对他。他摸了摸她的脸颊，低下头 当他的嘴离她的只有一英寸时，他猛然退后，似乎有一股外力抓住了他的头发把他拉开”（28）。托比和伊莲娜的伦理身份在“兄妹”和“情人”这两个伦理身份之间转换，而他们也随着伦理身份的转换不停地在理智和情感中挣扎。当理智最终战胜情感时，托比对伊莲娜说：“我们必须要让生活回到之前正常的轨道”（28）。伊莲娜问他，他们之间曾经处于什么样的轨道，他说回到“朋友”的轨道。而伊莲娜一语道破他们之间曾经朦胧存在的爱，“如果我们曾经是朋友，那这一切就不会发生”。内心无比纠结的托比只好说：“我们必须尝试一试（回到之前的生活轨道）”（28）。在乱伦的激情之后，两人开始意识到自己犯下了违反伦理的弥天大错，希望生活能够再次回归正常。

巴克没有直接刻画乱伦后再次见面托比的内心经受着怎样的痛苦，但是

她对伊莲娜矛盾的心理活动刻画得非常细致。而伊莲娜的痛苦侧面映射了托比的内心煎熬。此时，伊莲娜的内心是非常复杂的，当她看到托比故作轻松地走开，她“感到愤怒，但同时又觉得这也是一种解脱”（28）。几分钟前当托比准备吻她时，她身上的兽性因子让她期待着他的吻，但是人性因子告诉她不能继续这种乱伦之爱。于是她既兴奋又焦虑，各种复杂的情感交织在一起。她回忆了自己跟托比之间发生了乱伦的经过，认为自己也应为他们的乱伦负责，“她不确定她是否可以阻止他或她自己。他说得对，是她在模糊中带着孩子般的复仇计划（在乱伦发生的晚上），在迷惑和无知的状态下去找他。但是难道复仇是她唯一的动机吗？她越回想当晚发生的事，越觉得自己是共犯”（29）。伊莲娜这一段内心独白暴露了她对托比的爱已经不再是纯粹的兄妹之爱，而是情人之爱了。她的欲火被托比点燃之后再也无法用理智来控制 and 熄灭，而两人因相互间产生了错误的情感而最终导致兄妹乱伦。正如聂珍钊教授所言，“在文学作品中，伦理身份的变化往往直接导致伦理混乱”（聂珍钊，“文学伦理学批评：基本理论与术语”21）。由于托比和伊莲娜之间发生了乱伦，这彻底改变了他们的伦理身份，导致他们的兄妹关系让位给了情人关系。而这种伦理身份的变化直接导致了他们之间的伦理混乱和伦理冲突。正是因为这种伦理身份违反了社会的伦理规则，破坏了伦理秩序，因此要受到伦理道德的谴责。

后来，托比和伊莲娜因为人性因子的回归，受到良心和道德的谴责，开始感到极为痛苦和内疚，因此故意互相疏远，尽可能不见面。几个月后托比在学校得了肺炎，躺在租住的房里发高烧，他的室友在深夜时分找到伊莲娜，让她去照顾托比。当晚在托比发烧说胡话的时候，他的嘴里一直不停地重复着“对不起。我真的感到非常对不起”（33）。在他发烧失去意识的时候他对她说了那么多“对不起”，足以看出在乱伦之后他经受了多少精神上的煎熬，而乱伦给他带来的创伤将永远成为他内心无法痊愈的伤疤。在托比生病的那个晚上，她陪了他一个晚上，在那个无眠的夜晚，她思前想后，思虑万千，而最让她害怕的是他会因肺炎而死去。她无法想象没有他她将如何面对未来的生活。在这之前，他们故意疏远对方，已经很久未见了，他们的伦理身份也从情人的身份回归到兄妹的伦理身份。但是当伊莲娜去照顾托比时，她的内心又再次燃起对他的爱。虽然她非常清楚他们必须回归到正常的伦理身份，但是她对他的牵挂和爱让“她意识到他们再也回不到过去了”（59）。

二战爆发后，托比参加了战争，伊莲娜也到医院做了志愿者。虽然两人从此分离，但是她仍然无法控制自己不去回忆她跟托比之间发生的小事件，因为这个“愚蠢的小事件打开了一扇她再也不想进入的门”（73）。可以看出这次乱伦在她的人生画卷上留下了一个无法抹去的印迹，让她的内心从此无宁。虽然乱伦之后他们一直在努力克制这种不道德的情感，但是他们“都没能成功地忘掉此事”，相反，他们“建立了一种与众不同的、感情更深的关系”

(73)。为了忘掉托比，她也曾特意找了一个男朋友保罗，但是跟保罗的恋爱却依然无法让她忘记托比。在思念托比的时候，她感觉“我的情感回到了起点”(73)，而且“托比是我唯一不能失去的人”(75)。尽管伊莲娜努力想忘掉这段给她人生带来污点的乱伦之爱，并企图改变现状，但是从她在日记里写的内心独白可以看出她的内心是极为痛苦的，她一直挣扎在理智和情感的夹击中，在道德和情欲的矛盾中蹒跚前行。

后来托比在战场上“失踪”的消息传来，他的遗物被送回了家。托比的死让伊莲娜悲痛欲绝，她觉得自己的天突然塌了下来。从此她天天穿着黑色，强迫自己回到伦敦去画画，根本不愿意照顾同样伤心的母亲。她对托比的爱因他的死而被百倍放大，她从此几乎不跟其他人接触，在不得已见朋友的时候，她也几乎不愿意说话。她似乎“被巨大的白色的沉寂所包围”(78)。托比的死给她带来了极大的打击，她整日郁郁寡欢，因此姐姐蕾切尔说她简直就像一个寡妇(151)。托比死后她开始“肆无忌惮”地回忆起她和托比过去在一起的点点滴滴，想起在托比参战的前一天两人躺在草地上聊天的情景，甚至她的脑海还经常出现托比活着回家的幻觉。她对托比的爱在他死后无限膨胀，内心绝望而痛苦的她喊道“噢，托比，你为什么要死”(155)?此时，她对托比的爱和怀念让她的伦理身份从妹妹变成了情人，她俨然成了哥哥的爱人。自乱伦发生之后，她的理智和情感在交替作用，她的伦理身份也因思维的不同而不停地在“妹妹”和“情人”之间转换，这种错位的伦理身份导致了她的伦理意识混乱，也因此给她带来了严重的精神创伤。

后来她在托比的遗物里发现了他给她写了一半的遗书，遗书上告诉她他不能回来了，不能回来的原因可以问他的战友科特。为了了解托比的死因，她费尽周折找到脸部严重受伤的科特。但是科特对托比的死因保持沉默，于是她只好求助自己的前男友保罗去说服科特。后来科特终于开口告诉保罗托比真正的死因：原来托比为了掩盖他在战争中对一个男孩的鸡奸行为，为了逃避因此事败露而将面临的军事法庭的审判以及不让家人蒙羞，托比选择了在战场上自杀。托比曾经如此深爱自己的妹妹，在乱伦之后经历了常人难以想象的精神痛苦，也许正是这种违反伦理和道德的乱伦之爱给他带来的折磨超越了他精神上所能承受的程度，因此他选择了用性(鸡奸)来麻醉自己的神经，缓释自己的痛苦。而他再一次错误的选择导致了他不得不采取自杀来掩盖这个丑闻和结束自己的痛苦。或者从另一方面解释，对托比而言，乱伦之后造成了他的伦理身份错位，因此也给他带来了伦理意识的混乱，这也许是他为什么会在战争中对一个男孩做出如此违反伦理的行为。

结语

巴克擅长描写人类社会存在的各种问题和创伤，她的全部作品所关注的主题是“人类社会和生命的脆弱和弱点”(Brannigan 9)。在《托比的房间》

里巴克一如既往地关注创伤，再次把叙述视角聚焦在由人性的欲望所引发的乱伦创伤，即因缺乏伦理教诲和人性因子的失控而导致的兄妹乱伦以及由此带来的心灵创伤。在小说的结尾，托比的死并没有将父母的关系拉近，反而让他们选择离异来结束他们之间多年的冷漠。当父亲决定卖掉乡下的房子时，伊莲娜最后一次回到托比的房间收拾他的衣物。当她翻开托比的书，看到他在书的边缘留下的拇指印，她感觉自己“离托比的距离是如此之近”，而“托比在她的身上找到了庇护”（262），此刻她和托比已然合二为一了。托比的死让他结束了自己因乱伦而导致的痛苦，而伊莲娜却不得不永远承受乱伦给她带来的精神折磨。乱伦给她留下的痛苦，正如他们在托比的床垫上留下的那个无法抹去的“月牙儿形状的污点”（264）一样，将永远伴随着她，直到她的生命结束之时。这部小说也通过书写乱伦带来的创伤证明了“文学的根本目的不在于为人类提供娱乐，而在于提供从伦理角度认识生活和社会的道德范例，为人类物质生活和精神生活提供道德指引，为人类的自我完善提供道德经验”（聂珍钊，“文学伦理学批评：基本理论与术语”17）。乱伦和创伤是文学中永恒的主题之一，通过描写两个兄妹因缺乏伦理教诲而发生乱伦所引发的严重创伤，巴克试图揭示伦理禁忌对于维护社会和家庭伦理秩序的重要性，反映了她反对违反伦理道德的行为，并给人类提出进一步的警醒。

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《白鲸》的伦理困境与伦理选择

Ethical Predicament and Ethical Selection in *Moby Dick*

刘永清 (Liu Yongqing)

内容提要：《白鲸》中的人物向我们展示了一个充满矛盾的伦理世界。他们大都陷入宗教伦理、社会伦理、生态伦理的困境。亚哈自己从一个基督教徒变成了一个异教徒的“盟主”，欲挑战上帝权威，又在潜意识里不由自主地臣服于上帝；他想承担关爱妻儿的责任，却又因追求“自我”而又不得不抛妻弃子；他也想放弃人类的征服欲望、保持生态和谐，但却最终为一己私利追杀白鲸，置全体船员利益于脑后，最终船毁人亡。以实玛利敬畏崇尚上帝，信奉基督教的博爱，却又背叛加尔文派教义，选择与异教徒魁魁格称兄道弟。斯达巴克想自救并维护股东利益，却又绝对服从船长命令，最后加入了亚哈的杀鲸同盟。魁魁格对国家父母和臣民有着非常的爱恋，却又因崇尚进步与文明选择了与他国的亚哈为伍，背叛了国家父母和臣民，最后丧命大海。他们在各种不同伦理困境下做出的伦理选择，实际是生活在特定社会历史时期的麦尔维尔伦理选择的体现。

关键词：《白鲸》；麦尔维尔；伦理困境；伦理选择

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Title: Ethical Predicament and Ethical Selection in *Moby Dick*

Abstract: Persons in *Moby Dick* showed us a ethical world full of contradiction. They were involved in the predicament of religious ethic, social ethic and ecological ethic. Ahab changed from a Christian to a leader of the heathen, going to challenge the authority of God while subjecting to the God automatically from the subconscious; He wanted to take responsibility of his wife and son, but he had to abandon them for pursuing “selfness”; He also wanted to give up his desire for conquering the nature and keep the ecological harmony, whereas he chased *Moby Dick* only for his own interests regardless of the crew interests, causing the crew to death. Ishmael believed in Christianity while he made a friend with a heathen.

Starbuck would protect his and other stockholders' interests while he obeyed the captain's orders and joined his alliance of chasing Moby Dick. Queequeg felt deeply attached to his motherland while he chose to join Ahab's alliance by betraying his nation's wish on him. All ethical selections made by them in those ethical predicaments reflect Herman Melville's ethical selection in his times.

Key words: *Moby Dick*; Herman Melville; Ethical Predicament; Ethical Selection

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赫尔曼·麦尔维尔(Herman Melville,1819-1891)的代表作《白鲸》(Moby Dick)创作于1851年。故事讲述了“裴廓德号”船长亚哈在前一次出海中,被一只名叫“莫比·迪克”的白鲸咬掉了一条腿,因此誓杀此鲸。他使用威胁利诱的手段,迫使船员们跟他一起去作环球航行,搜捕莫比·迪克。历尽千难万险后,他终于遇到了莫比·迪克,在经过连续三天与白鲸的恶战之后船毁人亡。不同的人从不同的视角去阅读《白鲸》,都会获得不同的审美感受。著名学者聂珍钊教授指出,“从起源上看,文学伦理学批评把文学看成伦理的产物,是特定历史阶段社会伦理的表达形式,在本质上是关于伦理的艺术。”¹从文学伦理学批评的视角看,小说中人物形象所呈现的善与恶、生与死、爱与恨、文明与野蛮、信仰与怀疑、禁锢与自由等纷繁交错,呈现出多重伦理关系纵横交织的伦理困境。

一、《白鲸》的宗教伦理困境及选择

宗教伦理的共同点都是以信仰为本,以劝善去恶为体。宗教伦理的实质在于以神圣的信仰为根据来建立道德行为的准则。它的核心内容是神与人的关系,它决定着人与人,人与自身的关系,它们通过诫命、训条等他律和自律的形式体现出来。

但就小说《白鲸》而言,其牵涉到的宗教伦理仅限于基督教中加尔文教派宗教伦理的基本范畴。从信仰的角度看,加尔文派强调对上帝的虔诚、敬畏与绝对服从,奉《旧约》经文为其精神源泉与行为准则。Peschke指出:“旧约表现了一种很强的思想程式,那就是伦理律法完全起止于耶和华(Yahweh)。通过西奈山的盟约和先知、圣者的教导,上帝彰显了他的意旨并颁布了他的法律。”(Peschke 3)综观《旧约全书》,“摩西十诫”是古以色列伦理律法的总纲。加尔文派奉“摩西十诫”为其伦理律法,它突出上帝“至上”、“威严”、“全能”与“绝对”的形象与地位,强调所有“上帝的子民”——基督教信徒必

1 聂珍钊:“文学伦理学批评:论文学的基本功能与核心价值”,《外国文学研究》4,(2014):11。

须奉耶和华为他们唯一的神，并必须敬畏神、敬爱神、奉养神、守神谕与执行神旨。这些伦理要求也蕴含在小说《白鲸》中。

伦理困境 (ethical predicament) 通常指“文学文本中由于伦理混乱而给人物带来的难以解决的矛盾与冲突”(258)。《白鲸》中的宗教伦理困境体现在亚哈和以实玛利这两个主要人物身上。《白鲸》中亚哈的原型源自于《旧约·列王纪》的古代以色列第七代国王亚哈。作为以色列的王及耶和华神的子民，亚哈本应严守以“摩西十诫”为总纲领的神人伦理律法。然而，他娶异教徒之女为妻而事奉他神；并在妻子耶洗别的怂恿下，他背弃了以色列与耶和华立的神人之约、屠杀耶和华的先知，砸毁供奉耶和华的神坛；他巧取豪夺，杀人越货，在其妻子耶洗别的计谋下诬陷拿伯从而夺得了拿伯的葡萄园。他因宠爱和纵容异教徒之妻耶洗别从而将自己本应该遵循并发扬的宗教伦理律法抛之脑后，尽做些在上帝看来是恶的事情。这是他对基督教宗教伦理的背叛。正如《白鲸》中的亚哈在第九章《讲道》中提及的那样，“所以如果我们遵从上帝，我们就得违反我们自己；正是在这种违反我们自己中，包含着遵从上帝的困难。”他从一开始就作为一个矛盾体而陷入宗教伦理困境之中。

“所有伦理问题的产生往往都同伦理身份相关”(聂珍钊 257)。从伦理身份来看，亚哈本是“裴廓德号”船长，可是他自诩为魔鬼，扬言“我不是奉天父之名，而是奉魔鬼之名为你洗礼”，公然成为神的对立面——“魔鬼”；自诩为弑父神的“神子”：“你这个真神呵，你用火把我造了出来，我就要像火神的真正的孩子一样，把火给你吹回去。”“你这个了不起的人物啊！这会儿，我可为我的族系增光啦。可是，你不过是我的炽热的父亲。”“这里，我再次地又傲慢又苦难地看清了我的祖先。跳吧，跳起来吧，火舌直舔上青天吧！我要跟你一起跳，我要跟你一起烧；我情愿你焊在一起；我不顾一切地崇拜你！”(480-481)在这里，亚哈把自己看成是“神”族成员，伦理身份由人变成神。正是这种伦理身份的错乱，使得他滋生了混乱的宗教伦理观念。“由于身份是同道德规范联系在一起的，因此身份的改变就容易导致伦理混乱，引起冲突”(聂珍钊 257)。人物的伦理身份是维系其与他人、与社会、与自然之间关系的纽带，彰显出人物对道德规范的遵守。人物在伦理身份发生变化时，必须做出相应的伦理选择。如果人物不知如何确定自己的伦理身份，便容易使自身陷入困境与两难之中。而亚哈“虽然名义上是个基督教徒，他却又是个非基督教徒”(145)，是个“不敬神却又像神似的人物”，是一个“好人——可不是个虔诚的好人”(76-77)。这种矛盾的伦理身份使他陷入了宗教伦理困境中。在这种混乱的宗教伦理观念的作用下，亚哈为了个人私利，暗中招募了一群异教徒船员跟随他并受命于他，把自己从一个基督教徒变为一个异教徒的“盟主”，将个人私利凌驾于集体利益之上，抛弃船员捕鲸的集体利益而为报一己私仇做出了自私自利的伦理选择。这个伴随他伦理

身份的改变而发生的宗教伦理选择的过程也是他背叛神的过程。

与亚哈一样，以实玛利也是一个具有特定原型意义的人物。原型中的以实玛利（其名寓为“上帝听见了你的苦情”）为亚伯拉罕之妾夏甲的孩子，他地位卑微，被亚伯拉罕之妻撒莱赶出家门。他履行着尊奉神的宗教伦理观念，极力践行着基督教的宗教伦理准则。然而，以实玛利身上流淌着一半埃及人的血统。正是因为具有埃及人的血统，所以以实玛利本人的身份地位是低下的。这身份也就形成了以实玛利潜意识中的“叛逆”因子。

《白鲸》中的以实玛利厌倦了内陆穷困潦倒、缺乏父爱母爱与人间温情的流浪生活，急切地奔向苦难深重的海洋生活。这正好与原型以实玛利困守在干枯的巴兰旷野的生活相呼应。以实玛利这种对凄苦生活的记忆与叙述，以及对内陆生活的逃离，表明了他强烈的对基督教宗教伦理的逃离情绪。随着他选择这种不符合自己伦理身份的宗教伦理观念，在他遇到异教徒黑人魁魁格之后做出的伦理选择更突出了他的这种“离经叛道”的伦理观念。在他这种伦理意识指导下，他不仅对魁魁格盛赞不已：把魁魁格看成是比白人还要有教养的人，把他与美国的开国总统华盛顿相提并论；还被魁魁格深深吸引，并在心里把异教徒魁魁格当做自己的同胞。作为基督教徒，以实玛利本应该信奉耶和華為唯一之神，而他在体验了实践生活的苦难后，他的信仰发生了改变，“我却已开始觉得我自己是在神秘地向着他了。而那些本来会排斥大分别的事物的感情，却成为这样吸住了我的磁石。我要结交一个异教徒的朋友，我心里想，因为文明人的仁慈原来只是一种虚伪的好意”（49）。并作出与魁魁格成亲的伦理选择，“我们吸过烟后，他把他的额头贴着我的额头，拦腰把我抱住，还说如今我们已经成亲了；那意识，按照他家乡的说法，就是我们如今成为了知心朋友了”（46）。他俨然把自己的宗教伦理身份异化了，和异教徒相提并论，他的这种伦理选择是对基督教伦理的公然背叛。然而，“我是个在正正派派的长老教派中生长起来的正正当正的基督教徒”（49）。这种基督教徒伦理意识又使他意识到自己的基督教伦理身份，从而使自己陷入了伦理困境。但是艰难生活的磨练让他坚信，“信念就像豺狼一般是靠坟墓为生的”（35）。“崇拜是什么？—执行上帝的旨意—那就是崇拜。那么，上帝的旨意又是什么呢？我役于人，人役于我—那就是上帝的旨意”（50）。在经受过现实苦难与无情洗礼的以实玛利已经对基督教伦理十分模糊了，在残酷的现实面前，他选择了互助友爱来结交朋友。以实玛利的伦理选择基本上是由于自己潜意识里的伦理身份的变化—从陆地居民到海洋居民，从正正派派的基督教“文明”教徒到崇尚异教徒黑人魁魁格的“野蛮”同胞或知心朋友而决定的。

二、《白鲸》的社会伦理困境及选择

社会伦理通常是指人与人以及个人对集体的伦理秩序与道德规范。相对

于宗教伦理而言，社会伦理又被认为是世俗伦理。《白鲸》中的核心人物亚哈不仅需要肩负宗教伦理责任，而且还必须履行世俗伦理。首先，身为“裴廓德号”船船长，亚哈必须承担起维护所有与“裴廓德号”船有经济利益关系的人的利益，用最少的成本去捕杀更多的鲸，获得更多的鲸油，最终使所有经济利益人获得最大的经济利益。这是亚哈作为船长身份本应践行的社会伦理。在“裴廓德号”起航之前，亚哈一直把自己包裹起来，就连二股东法勒船长都很难见到他一面。亚哈正是通过这种躲避的方式在股东及众人面前掩饰自己的伦理观念和伦理选择，从而深得船东们信赖。然而，正如他那个痴痴呆呆的守寡母亲——那个该黑特老太婆蒂斯蒂克所说的那样，“亚哈”这个名字总是有预见性的。世俗的亚哈完全抛掉世俗伦理而去追求理想的个人“英雄主义”——自诩为神，追求自我，挑战全能、威严的耶和华神权。因此，在随后的捕鲸行动中，亚哈选择处心积虑地组建异教徒联盟，全然不顾“裴廓德号”船的原初使命，漠视船东的利益与船员的生命，全力追杀神灵——白鲸，来报自己的私仇，以求实现自己的英雄梦。亚哈对社会伦理的遗弃转而追求个人“英雄主义”这一伦理选择过程，是由其作为船长所具有的社会伦理意识混乱决定的。

其次，身为“人父”与“人夫”的亚哈，按照社会惯例，本应该遵守维护家庭利益，保护妻儿的生存安全，努力使家庭成员过上安定、幸福的生活这一社会伦理秩序。然而，在自己自由意志的指导下，他新婚第二天就毅然抛下他那过了五十岁才结婚的年轻妻子，抛下他那未曾谋面的幼小的孩子，让年轻的妻子过着没有夫爱的守活寡的痛苦生活，让年幼的孩子生活在没有父爱的冰冷的世界里。亚哈抛弃其本应该关爱妻儿，给予她们人间温暖的社会伦理责任，而忽略其为人夫、为人父的社会伦理责任，是由他个人的偏执意识所导致的。

亚哈的伦理选择始终出于自己主观意愿，而斯达巴克的伦理选择则出于外界的诱逼所致。斯达巴克作为一个标准的南塔开特土著，一个桂克的后代，他为人真挚、耿直非凡，但不愿随意冒险。但是，正是因为他的这一性格特征使他的社会伦理意识趋于混乱。除了船长亚哈以外，在“裴廓德号”船上，斯达巴克作为大副，他的职位最高且深受法勒与比勒达等大股东的信任，他们尊他为船上的大管家。事实上，斯达巴克也意识到自己的这种伦理身份，一开始也能够遵从这一伦理身份所要求的职业道德并维护其物质伦理原则。他认为捕鲸是为了获利而生活，而不是为了报复鲸鱼而葬送自己的性命。因此他努力秉承股东利益第一的原则，行使着自己的职责。正因为他拥有这样一颗正直的心，所以当亚哈公开自己的意图，改变“裴廓德号”船捕鲸的航行目标时，他首先提出了质疑。并且多次以股东利益欲与亚哈协商，还想借神威威慑亚哈，以“上天也在反对你啦”、“不吉利的预兆”等话语提醒、告诫亚哈。从他的伦理身份职责讲，他忠实地履行了他应该履行的不断提醒、

劝诫，甚至恳求船长亚哈修正思想，调整航向，改变行动的职责。这时的斯达巴克在自己的意识主导下所作出的伦理选择既符合他作为大管家的伦理身份，也和大家寻求共同利益的心声相呼应。然而，面对老谋深算、意志坚定的亚哈，以及群情激奋的异教徒们，性格温和的斯达巴克最终没能坚守住自己的底线，忘记了自己作为全体船员管家的这一伦理身份，忘记了维护全体船员物质伦理利益的职责。他失去了理性，并且接受亚哈的蛊惑，协助亚哈组建了异教徒联盟，完成了庄严的追杀“莫比·迪克”的同盟酒誓仪式。在酒誓的蛊惑下，温和的斯达巴克也跌入了亚哈主宰的“裴廓德号”船之“阴谋”深渊。即使是在斯达巴克遭受了亚哈的羞辱之后，在拥有枪杀亚哈，挽回一切损失的机会的时刻，混乱的伦理意识使他弃善从恶，他最终放弃了自救与拯救整条“裴廓德号”船的伦理责任的机会，加速了“裴廓德号”船的悲剧命运。

魁魁格的伦理选择成因既不同于亚哈也不同于斯达巴克。魁魁格是科科伏柯人，来自一个远在北美洲大陆西南方的地图上找不到地方的岛屿。他父亲是个大酋长，一个部落里的国王。他叔父是个祭司长。按照传统和正常的社会伦理，他将来是王室的继承人，其伦理身份贵为“天子”。作为未来的“天子”，魁魁格本应该踏踏实实地呆在部落里好好地孝敬父皇母后，并向他的父王与叔父学习如何经营他的王国，笼络部落权贵，亲近部落民众，为将来巩固皇权奠定基础。但是，魁魁格由于“一个深切的愿望所驱使，想在文明人中间学得一些技艺，借此使他的同胞过得比原来更幸福，不仅如此，要过得比原来更好”的理念，他千辛万苦偷逃到一艘捕鲸船上，甘愿成为一个卑微的捕鲸者。然而随着对文明人的了解，对比现实中文明人的形象和最初自己心中文明人的形象，他感觉这两者之间的冲突越来越激烈。那些捕鲸者的行动立刻就教他看出了文明人的卑鄙与邪恶，让他大失所望；其邪恶甚至比他父亲统治下的那些异教徒还要来得厉害。他亲眼目睹了许多水手在妓院的行为，看到他们怎样在那地方花掉他们的工薪。至此，魁魁格对文明人完全绝望了。如果此时的魁魁格选择“洗心革面”、“迷途知返”回到部落，那么他的伦理选择还处于符合他本人伦理身份的社会伦理范围内。他本可以回去，去继承他父亲的王位，但是在“文明人”这个染缸里，他觉得文明人的影响已经使自己不配登上那相承三十代的纯净无疵的异教王座了，由此他陷入了回去还是留下的伦理困境之中。渐渐地，在“文明人”的影响下，他放弃了回去的打算，进而不顾生命的危险，毅然选择加入了亚哈的异教徒联盟，成为“邪恶”的标枪手。最后，葬身于大海之中。魁魁格最初的伦理选择出于改善自己部落的目的，符合自己的伦理身份。然而，魁魁格在文明人的影响下，“近朱者赤近墨者黑”，选择了效力于亚哈，既不是为了部落利益也不是为了个人名誉，就这样为了疯狂的亚哈献出了宝贵的生命，辜负了部落以及其父皇母后对他的殷切期望。魁魁格的伦理身份从一个王位的准继承人到一个捕

鲸者的转变，导致了他的伦理混乱，做出了错误的伦理选择。

三、《白鲸》的生态伦理困境及选择

《创世纪》里的记载表明，在上帝的契约中，其他所有有生命的物种与人类同等重要；它们甚至是人类赖以生存的基础，因为在上帝的造物顺序中，它们都是先于人类而存在的。从某种意义上来说，《创世纪》的这种叙述在本质上隐含了生态伦理的思想。聂珍钊教授曾明确指出，“从生态的立场看，这个世界并不是我们人类所独有的，而应该为一切生物所共有。包括人类在内的不同生物都有自己的生存世界，有着共生的伦理秩序。”“自然界的一切生物包括人类在内，应该是一种生存调整，即把自己在自然界的位置调整到适合自己生存的最佳状态。在自然界，一切生物都有自己生存的空间和环境，相互之间并行不悖，形成了自然伦理或生态伦理，即自我调整、和谐相处、共生共存的伦理关系。这也是整个自然界必须遵守的伦理秩序或者自然法则”（147）。聂教授指出生态伦理就是人类处理自身及其周围的动物、环境和大自然等生态环境的关系的一系列道德规范。通常是人类在进行与自然生态有关的活动中所形成的伦理关系及其调节原则。

从生态伦理学的视角看，《白鲸》以一种超前的生态忧患意识，深刻地反映了生态伦理遭受破坏所带来的混乱与灾难性后果。文本除了以《鲸的庞大身躯会缩小么？——它会灭亡吗？》专章讨论鲸类物种的生存状态来表述人类对大自然的破坏外，更是以那犹如地狱般的“可怕的街道”、纪念死亡水手的“凄凉的石碑”、发出悲鸣并且啄吃鲸尸的“贪婪鸟群”、“阴郁天空中”的狂风暴雨、令人“沉闷和困惑不解”的陆地、“冷酷恶毒”和“大寿衣似的”的海洋等隐喻式描写，无不使读者感受到作者对当时自然生态系统的深邃思考，感受到自然生态的恶化与恐怖。

《白鲸》文本中的生态伦理混乱是由亚哈对白鲸认知的伦理混乱所导致的。由于在上一次征程中“莫比·迪克突然从他下边挥起它那镰刀似的下颚，如同一架刈草机在地里刈草一样，把亚哈的腿给刈掉了”（175-176）。这一事件的发生，亚哈的兽性因子被彻底激发出来。这种肉体的痛苦使“他把他整个种族自古以来的一切愤怒和憎恨全都加在大鲸的白色背峰上”（176）。他不惜以遍体鳞伤之躯去跟这条他心中恶行滔天的白鲸抗争到底。此时心怀仇恨的亚哈已经失去了人类所具有的理性，在他的自由意识里，他忘记了白鲸只是大自然的一部分，忘记了自己作为人应该凭借人的理性认识自然，在人与动物界搭建起有利于人也有利于动物的伦理关系。他身上的兽性因子主导着他身上的人性因子，其兽性因子驱使着这位自认为掌握了人类技术、拥有人类工具的船长不顾一切地要去捕杀这条巨大的鲸鱼。在追杀白鲸的过程中，他把自己的身份从人降格到动物，把自己当成了海洋生物的同类，此时人类社会独有的伦理禁忌消失了。他放弃了人类社会的伦理禁忌而遵循着

动物界的伦理秩序，依靠弱肉强食的方法和白鲸展开了生死较量。弱肉强食的方法就是动物界的伦理法则——丛林法则：“丛林法则是自然界一切生物生存竞争的基本法则，是维护自然秩序的规则。无论陆地还是海洋，除人之外一切生物的进化过程都是生存竞争的过程，所有的生存竞争者都要遵守弱肉强食的规则。丛林法则是自然界的伦理”（208）。亚哈放弃人类社会的伦理规则转而接受动物界的伦理法则即生存竞争的丛林法则，将自己降格为自然界的生物物种，在观念中没有把这两种本质不同的伦理区别开来，出现了伦理混乱。于是，根据丛林法则，亚哈对白鲸的捕杀表现为一种纯粹的生存竞争的生物性生存需求。在丛林法则的主导下，失去理性的亚哈不仅把白鲸当成自己肉体上的宿敌，还把它当成精神上的宿敌。在他持续的追杀中，最终船毁人亡，葬身茫茫的大海之中。

在19世纪的社会主流认知中，人的理性认为人是自然界的主宰，一切生物为人类的生存所用。在没有更为广泛的伦理约束条件下，人的欲望的无限性就使得人类对自然进行着无休止的索取。亚哈正是在当时这种理性社会中，陷入了人类无所不能、唯我独尊的“人类中心主义”伦理意识之中。结果导致以亚哈为首的捕鲸船滥杀各类鲸鱼，在海洋上疯狂扩张，无休止地劫掠大自然。“这种具有决定意义的打击早已使得鲸这支队伍大大地减少了。虽则不久前，光是美国的捕鲸者，每年在西北线上所捕杀的这种鲸，其数目可就不下于一万三千条”（438），“这些被猎击的大鲸，现在是逃不了要迅速灭种的命运了”（437）。这就是人类伦理越位即入侵大海导致的后果。这种无休止的捕杀后果使人们需要花费更多的时间、行走更远的距离，耗费更大的成本才能勉强满足人类生存和享受的需要。鲸类物种的急速减少，甚至灭亡不仅对人类的正常生活带来极大的影响，而且对自然生态环境也造成灾难性的影响。亚哈在为报一己私仇中迷失了方向，任由个人自由意志泛滥，偏执狂热，接受“丛林法则”的原则，视动物为人的宿敌；同时在他“人类中心主义”的自我意志里，他坚持“人定胜天”和“物质主义”的伦理思想，漠视其他生灵性命，作出错误的伦理选择，导致船毁人亡的结局。

结语

通过对《白鲸》中人物的宗教伦理困境、社会伦理困境与生态伦理困境的分析，我们看到不管是基督徒亚哈、以实玛利、斯达巴克，还是异教徒魁魁格都由于伦理意识的混乱而面临着激烈的矛盾与冲突。亚哈自己从一个基督徒变成了一个异教徒的“盟主”，欲挑战上帝权威，又在潜意识里不由自主地臣服于上帝；他想承担关爱妻儿的责任，却又因追求“自我”而不得不抛弃妻子；他也想放弃人类的征服欲望、保持生态和谐，但却最终为一己私利追杀白鲸，置全体船员利益于脑后，最终船毁人亡。以实玛利敬畏崇尚上帝，信奉基督教的博爱，却又背叛加尔文派教义，与异教徒魁魁格称兄

道弟。斯达巴克想自救并维护股东利益，却又绝对服从船长命令，最后加入了亚哈的杀鲸同盟。魁魁格对国家父母和臣民有着非常的爱恋，却又因崇尚进步与文明选择了与他国的亚哈为伍，背叛了国家父母和臣民，最后丧命大海。

文学伦理学批评“强调回到历史的伦理现场，进入文学的伦理环境或伦理语境中，站在当时的伦理立场上解读和阐释文学作品，寻找文学产生的客观伦理原因并解释其何以成立，分析作品中导致社会事件和影响人物命运的伦理因素，用伦理的观点对事件、人物、文学问题等给以解释，并从历史的角度做出道德评价”（7）。根据文学伦理学的这一原则，我们可以肯定，《白鲸》中人物的这些复杂的伦理困境的形成，是特定社会历史生活中麦尔维尔伦理意识的基本反映。

从大的社会历史背景来看，麦尔维尔所生活的十九世纪上中叶，美国正处于资本主义不断上升的特定历史时期：工业日益发达，物质不断进步。“资本和利润”成为美国社会开创新的历史画卷的推动力。于是不顾一切地“征服”与“占有”大自然成为社会发展的基本主题。在这种主旋律的推动下，兴盛于十八世纪九十年代末至十九世纪三十年代之间的美国第二次大觉醒运动（美国大觉醒运动又称为宗教复兴运动）与兴起于十九世纪三十年代的“美国超验主义运动”（American Transcendentalism）（亦称美国的文艺复兴运动）使得当时的社会思想更为复杂与多样化。美国第二次大觉醒运动推动了美国宗教走向世俗化。“美国超验主义运动”推动了人们“自我”的觉醒与高扬。他们崇尚理性，又高举着崇尚自我的人本主义的大旗。过去人们所信奉的传统而又严厉的加尔文教严重动摇，而个人主义和乐观主义日渐兴盛。许多人一方面仍然相信上帝存在，保持着对上帝的信仰，另一方面又把目光投向现实的生活享受，从而拼命地去追求财富，掠夺自然。这种社会思想状态，无疑使人们陷入了伦理观念混乱与伦理困境之中。

生于斯长于斯的麦尔维尔亦不能独善其身。浓厚的新英格兰清教的生存背景与虔诚的加尔文教家庭生活背景，使麦尔维尔深受基督教清教教派的熏陶。麦尔维尔幼小的时候，在妈妈的带领下，他和兄弟姐妹经常参加以宣扬从不改变加尔文主义信条而自豪的荷兰改革教会（Dutch Reformed Church）。¹因此，在《白鲸》中，我们所看到的麦尔维尔眼中的上帝俨然是加尔文教严厉的上帝形象。与此同时，聪颖好学的麦尔维尔也广泛阅读了但丁（Dante Alighieri）、拉伯雷（François Rabelais）、斯宾塞（Edmund Spenser）、莎士比亚（William Shakespeare）以及德国和法国的浪漫主义作品。这些文艺复兴时期的文学家的人文思想也在麦尔维尔的思想中留下了不可磨灭的印记。有多年海员经历的麦尔维尔，亲眼目睹了大海生态环境的恶

1 Lawarance Roger Thompson, *Melville's Quarrel with God* (Princeton: Princeton University Press, 1956) 19.

化以及靠海为生的人们因为自然生态环境的日益恶化而生存更加艰难的历史事实，使得他的潜意识里涌动着对人类生存环境的忧思。通过他早年在“波利尼西亚三部曲”《泰比》、《奥穆》与《玛迪》中对遥远偏僻的波利尼西亚海湾那原生态、“野蛮”、和谐的自然环境遭受“文明”的殖民者破坏的批判性描写，我们便能强烈地感受到麦尔维尔对人类生态环境的忧虑。因此，严厉的加尔文宗教思想、文艺复兴的人本主义思想与对自然环境的忧虑这三种不同层面的思想，使他深深地陷入了多重伦理困境之中。他一方面要面对严厉的加尔文派宗教伦理，另一方面又深受其当时社会思潮“人本主义思想”的深刻影响，更亲身体会了代表社会进步的资本主义对大自然的“征服”与“占有”导致的自然环境的严重破坏的现实。故他始终徘徊于继续遵循与坚守传统加尔文派宗教伦理还是接受新的进步的“人本主义”思想艰难选择之中；也徘徊于人类是要无休止地占有自然、无限制地膨胀自我的欲望还是节制人类欲望，放慢“文明”行进的步伐来保持自然生态和谐的伦理困境之中。

麦尔维尔是一个不愿随波逐流、敢于直面社会现实、具有忧患意识的作家，故他选择了代表社会伦理群体的“裴廓德号”船、代表宗教伦理群体的神灵白鲸与代表自然力量的生物物种白鲸最终船毁人亡的这种伦理叙述。告诉人们，尽管人是自然界最后智慧的高等动物，但是面对着精神生活中的宗教伦理与现实生活中的社会伦理，我们必须保持宗教伦理、社会伦理与生态伦理的和谐统一。否则，等待人类的将是“裴廓德号”船一样悲剧性的结局。

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诗意历险与创造：关于文学创作的对话

A Dialogue on Poetic Adventure and Literary Creation Between Le Clézio and Xu Jun

许钧 勒克莱齐奥 (Xu Jun & J.-M.G. Le Clézio)

内容摘要：本文系法国文学翻译家许钧教授与2008年诺贝尔文学奖获得者、法国作家勒克莱齐奥先生就文学创作问题展开的对话。对话结合勒克莱齐奥长达五十余年的创作经历，以勒克莱齐奥创作历程中呈现的“断裂”倾向为思考的起点，就勒克莱齐奥的“断裂”倾向的深层原因与独特追求进行探索，指出勒克莱齐奥的创作有着构建性的“断裂”与持续性的平衡特征。在此基础上，对话就作家对语言本质的思考、对小说语言的探寻以及其作品体裁的丰富性与混杂性等问题展开讨论，指出勒克莱齐奥在诗意的历险中，敢于不断探索、不断超越自己。最后，对话聚焦文学与绘画、音乐、电影等其他艺术形式之间的关系这一重要问题，展现了勒克莱齐奥在其小说创作中如何拓展视野，接受绘画与电影等艺术滋养的特殊经历。对话形式生动，内容深刻，有助于进一步理解勒克莱齐奥独特的文学创作观与艺术观。

关键词：勒克莱齐奥；文学创作；断裂；语言；体裁；艺术形式

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Title: A Dialogue on Poetic Adventure and Literary Creation Between Le Clézio and Xu Jun

Abstract: This paper presents a dialogue about literary creation between Mr. Xu Jun, professor of Zhejiang University, and J.-M.G. Le Clézio, the 2008 Nobel Prize laureate in literature. Based on Le Clézio's rich experience of literary creation, the dialogue starts from the tendency of "rupture" in the process of his literary creation by investigating the hidden reasons and unique pursuit of his tendency of rupture. It is pointed out that Le Clézio's creation features constructive rupture and balanced sustainability. The dialogue then focuses on issues like writers' thinking on the essence of language, exploration of fictional language as well as the richness and hybridity of literary genre. It is argued that Le Clézio always transcends himself by constant exploration in his poetic adventure. Finally, the dialogue analyzes the relationship between literature and other artistic forms like painting, music, and

movie etc, revealing how Le Clézio expands his horizon in his literary creation by drawing nourishment from painting, movie and so on. It is a dialogue vivid in form and profound in content, enabling the readers further appreciate Le Clézio's unique outlook on art and literary creation.

Key words: Le Clézio; literary creation; rupture; language; genre; artistic form

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2008年诺贝尔文学奖得主勒克莱齐奥在文学创作之路上,一直勇于探索,有研究者将其文学之路概括为“反叛、历险与超越”之路¹。那么,勒克莱齐奥在其文学创作中到底有哪些自觉的追求?其诗意历险之路有何特征?本文围绕相关问题,展开对话与探讨。

一. 具有探索与建构意义的“断裂”

许钧:勒克莱齐奥先生,您是一位在创作上有“断裂”的作家,给人一种矛盾的印象。从文本形式与文体看,您的作品似乎从不遵循一种线性的变化,而处于一种令人质疑的小说美学的边缘,这反映了二十世纪末的一种文学创作趋势,即开放式结构。有人认为您的写作表现出两种断裂:外部的断裂与内部的断裂。外部的断裂出现在您早期的创作中,即与传统小说形式、典型西方文化的决裂;而内部的断裂则出现在80年代初,是与您早期创作的一种断裂。虽然您的作品在形式上的确表现出一种变化,但不应当忽视的一点是,您的作品有一种不变的东西,我认为这就是对和谐的追寻:语言与思想的和谐,个人与社会的和谐,自我与他者的和谐,生命与死亡的和谐,巫术与现实的和谐……在您的创作中并存着一种构建性的断裂与一种持续的平衡。您是否认同这一观点?在您看来,“断裂”是否真的如此鲜明?这一断裂,是您作为作家的有意识追求还是您自身经历的一种自然结果?

勒克莱齐奥:如果真的存在断裂,那应该存在于我生活中经历的种种事件中,写作只是它们可见的那部分。问题在于弄清楚这一可见的部分是生活产生的果,即一种偶然性的产物,还是说,它其实是因,即一种建构性的存在。我十分相信隐秘的东西,我想说的是一种由力量、事件、思想、词语、图像等构成的网络,它从来就不会抵达清醒的意识层面。我也深信尼采所说的力量,与弗洛伊德、达尔文不同,他所说的力量是一种超越意识控制的生命力,从某种角度说是一种非理性的理性,其目的便是平衡——正如您提到的那

1 参见高方与许钧主编:《反叛、历险与超越——勒克莱齐奥在中国的理解与阐释》。南京:南京大学出版社,2014年。

样。在我生命的某个时刻，我不得不面对选择，要么改变要么沉默。这种选择是一种关乎生命的事件。在这选择的时刻，是与离文学世界最远的一群人 为我指明了方向——他们住在森林里，对写作一无所知，但懂得美与智慧。另外一些人曾鼓励我在写作的道路上继续走下去，比如杰米娅¹。于是当时的我不得不放弃在此之前计划好的一切——包括一本由好几个叙述声音（其中我的声音表现出一种对想象的执迷）构成的小书，我已经将书名定为《在依瓦国》，并且已经寄给了巴黎的出版社，它书写了身份的两重性。当时这本书已经要付梓出版，但是我写信过去说，我不想出版了，它不再是我的作品，我拒绝它的存在。这件事就是一种断裂。直到好几个月过后，我才又开始写作，我写成了《另一边的旅行》。究竟发生了什么？直到今天我自己依然不清楚。我并不认为通向其它事物的通道是预先安排好的！我也不认为这有何独创性。也许，说到底，这是“枯竭”的感觉。亨利·米修某时说过，某一天，他忽然叩开了词语的大门。

“断裂”的原因是什么呢？

如果现在再细细想一下（那件事大约过去四十年了），我觉得大概有两个原因。

首先，因为词语本身。在我写作生命的某个点，我找不到词语。我想说的是，词语越过了我。那段时期，我有时会觉得词语有一种反射力，它们不由我控制相互组合在一起，构成一幅自我中心的画作，空无意义。想要惩罚、抛弃它们是艰难的。“人们”——“他们”——对我满怀期待。它们（词语）背叛了我，我将它们抹除，我就背叛了他们（读者）。要下定决心，必须取道于空。我当时在巴拿马写信给一位朋友，我在信里说，对我而言重要的一切正是这些：



词语之空，恰恰是生命之满，即森林、鲜花，尤其是那个慷慨的受神灵启示的民族，他们接受了一个陌生的外来者，接受他生活的无能，他不会划船、不会用手抓鱼、不会打猎，甚至不认得有用的植物以及生火的树木。正是那些人赋予语言另一种意义，因为他们那个穷苦的民族拥有许许多多的神话故事，而且创造了一种文学性的口语，我到后来才懂得了这种语言。这段经历，我本来也可能以其它方式遇到，在某个时期的中国，或者在某个修道院，或者在布列塔尼——那里的农民与我的祖先十分相似，他们的知识与深刻让我深受触动。事实是，这段经历发生在那里，在达连省的河流边，而且我再也没有离开过那里（哪怕如今这个民族面临着毒品交易的威胁，遭受着全球化的不良影响）。另一个原因应该是道德的。我记得，兰波曾经写信给他的姐

1 作者的妻子 Jemia Le Clézio。

姐伊莎贝尔：“因为这很糟糕。”在那个时刻，这也正是我的感觉。

许钧：1976年，我就读于雷恩二大，即上布列塔尼大学。那个时候，中国仍然处于文化大革命时期。作为一位工农兵大学生，当我读到您的小说《诉讼笔录》时，我真的非常吃惊，甚至可以说震惊，因为这本书与文化大革命期间中国年轻人可以想办法读到的巴尔扎克的作品截然不同。在我看来，您在这部小说中，似乎在尝试创作一种“新小说”，我的意思是，您试图打破写作的既定样式、更新语言、为文学创造一种独特性。您早期作品中形式的爆炸令人惊诧。您从未停止对形式与词语的关注。哪怕是在被认为较传统的作品中，依然可以发现您十分重视形式、排版、结构、叙述声音等等。您是否一直都在十分有意识地改变创作的形式？但是，形式与内容不能截然分开。正如您在《物质狂喜》中所写的那样：“形式与内容是同一件事，绝对不可能将它们分开。以这种或那种方式言说，选择这个或者那个词语，这些都是涉及到整个存在的方式。”（*L'Extase matérielle* 51）如果是这样，那么在您的创作中，是否存在着一种与形式的断裂对应的内容的断裂？或者，是内容的变化促使您进行形式的变化？

勒克莱齐奥：您谈论的是我寻找形式的那个时期。也许，那时我之所以觉得这十分必要只是因为法国的小说形式一直带着经典、传统写作的印记。60年代在法国兴盛的“新小说”坚决认为不同文体之间有着不可逾越的鸿沟，它们使用一种完全被控制、被“保卫和弘扬”（《保卫和弘扬法兰西语言》）的各种禁令和法令所约束的语言。我所借鉴的作家更多地来自于安格鲁-萨克逊文学。乔伊斯（《芬尼根的守灵夜》）、多斯·巴索斯、凯鲁亚克、金斯堡，当然还有埃兹拉·庞德的《诗章》，因为他们都展现了一种大胆的形式以及对学院主义的蔑视。我注重排版，改变叙述声音，从一个主题跳跃到另一个主题，插入图像文本，就像做游戏一般，这些当然都改变了内容，正如马歇尔·麦克卢汉所言：“媒介即信息”。

之后，便出现了我之前提到的危机，我对游戏式的创作失去了兴趣。也许我渴望在简单的线条中发现丰富的意义、找寻独一无二的道路：从某种角度说，我不再相信无序，也不再相信混沌的生成性。另外，在我离开的期间时代也发生了变化。爆发的革命持续了很久。讽喻一直都没有消失，因此，长篇、中篇以及短篇小说成了最重要的体裁。如今，很多新小说（或者“新寓言派”）的“发现”在我看来可笑而晦涩。持续至今的是，（我）确定（心理）小说并未坠入大家所说的死亡之谷（也没有抵达光荣的顶峰），巫术、通灵术以及最简单的奇幻一直都在被书写，以最平淡无奇的小说艺术的形式。也许，并不是什么艺术，而只是一种技巧？

二. 小说语言的探寻与力量

许钧：语言应该是作家永远最关注的一个问题。这种关注在您身上一直都存在且十分强烈。从您的第一部作品开始，您就一直没有停止对语言与言语的思考。一开始，您用一种十分有力的“新”语言写作，甚至可以说充满了暴力，您试图解放语言与词语。之后，爆炸的语言渐渐宁静下来，我们读到的是一种更加温柔、缓慢的语言，节奏感十分强烈，可以说是一种音乐般的语言，这让叙事充满了一种梦的感觉。您一直都在寻找一种原初的、简单的、完整的语言，它应当与真是一体的，它可以言说所有事物的本质，“抹除思想与世界之间、目光与被注视的物之间的界线”（Stendal Boulos 83）。您这种“让语言与世界联系在一起”（Lhoste 101）的追求让我们想起罗兰·巴特所说的“克拉底鲁式意识”，它意欲让语言模仿思想，让符号具有内在动力（Barthes 125）。您是否认为语言可以穷尽现实？在您看来，语言、思想与世界观之间有何关系？似乎，除去语言之外，您也欣赏其它直接与世界缔结关系的可能性，“比如一种即时性的智慧，它来自于感官，与古老的谵妄、魔鬼附身状态颇有关系”（*L'Extase matérielle* 116）。因此，您在寻找一种含有声音、颜色与气味的语言？

勒克莱齐奥：我对语言的一种情感发生于巴拿马的森林。我指神话的语言。当我说起“神话”这个词，我并不是指某种古老的已经消亡的事物，仿佛只属于一些人种学家，他们根据自己的主观意愿随意分析、重构这些神话。我所说的是一种有生命力的、非物质的珍宝，它环绕着森林的子民，启示他们的日常生活，超越他们的语言。每个人都是这份珍宝的使用者与拥有者，但是，又不是绝对地占有它，就像是空气和水，每个人都分享它们但不占为己有。正是那种语言让我震惊。它给我一种感觉，写作可以抵达一种融合，但就个体而言并不能抵达绝对。并不是指词语。词语会损耗。热忱、暴力、侵袭会让词语脱离它们的本质。我们习惯于词语，正如我们会习惯于图像。膨胀可能是一种世纪病，无论是就语言而言还是就经济而言。要继续写作，就必须信仰这种别样的语言（比如，森林的语言，但也可能是城市中一种平衡的语言），写作有时能从中获取甘露，有时是因为灵光乍现，有时是因为坚持不懈的努力。因此，某些时刻——这些时刻让其它的一切变得合理，我们可以实现语言与世界的契合——以训教的方式说，这就是所谓的真？

许钧：从某种角度看，您早期作品中词语的爆炸与现代社会中信息的爆炸相辅相成。语言、词语不断增殖、泛滥、爆炸。语言不再是现代社会中人的居所，它成了人的威胁与压迫。与这种语言的混沌相比，您在美洲印第安人那里找到了另一种语言：静寂。您经常提到不说话的国度。比如，您在一篇散文中这样写道：“语言的最高目标是非-语言，即静寂”（*L'Extase matérielle* 205）。一部文学作品中的静寂是指什么？显然，不是空寂。或许是

词语的简洁与纯净？或者是未言之语？或者是音乐节奏？您认为静寂是您作品中一种真正的语言，这是从何种意义上说的？您所追寻的东西，或许是亨利·米肖与塞林格所为之事，即，用极少的词语语言说极多的东西？

勒克莱齐奥：我出生于前信息时代，而且从许多方面看，我属于一个逝去的时代（这并不是说它没有回归的可能），即纸笔书写的时代。我觉得，如今看来已经老去的那个时代创造了一种神话，它与那个时代一起消亡了。这便是完美之书的神话，波德莱尔曾经所说的“无可指摘”的作品，它实现了形式上的完美与思想上的永恒。我在现代性作品中发现了这一神话的制高点，比如马拉美的诗歌，多玛（Daumal）与吉贝尔-勒孔特（Gilbert-Leconte）所办的杂志《伟大的游戏》，它表现了一种精神追寻，尤其是美国作家多斯·巴索斯以及爱尔兰作家詹姆斯·乔伊斯（《尤利西斯》、《芬尼根的守灵夜》）的小说作品。

这些作品都在寻找一种完整的语言。这些作家都相信现代革命可以创造一种共同的交流、一种完美的语言，通过这种语言人类可以与一切生命存在交流，而且可以实现直觉的、绝对的思想的传递。那时没有人想到这种沟通有一天可以实现，并不是通过神秘主义或者新人道主义的方式，而是通过技术：信息学与互联网。现在我们知道曾经那些文学追寻是很有限的：马拉美从来就没有写成他的理想之“书”（他的写作计划便是以这个词来命名的）：“一致主义”只是一个文学流派，乔伊斯则是“新小说”以及其它一些文学流派的预言者。相反，对绝对语言的追寻导致了某种反作用力，它将欧洲的文学遗产与东方思想——尤其是中国佛教的禅学思想、日本铃木大拙的禅学思想——结合在一起，从而使静寂成为文学的一种理想形式。在法国，亨利·米肖曾是其中的一位追寻者，他将静寂融于动词的节奏中，创造了一种有益于诗歌创作的“两者之间的语言”。受东方——中国、日本与韩国——启示的绘画引领他将诗歌与图像符号糅合在一起，因为他确信：“当我绘画时，我便关上了词语的大门”。在东方绘画中，尤其是深受道家与佛教影响的绘画，空与满一样重要，正如风景中的天空、人物之间的空白。

当我遭遇两个极端时，我在文学中便获得了生命。一个是对语言的信奉（自动写作、总结清算、净化、乔伊斯与庞德笔下语言的漩涡），一个是对空的痴迷。约翰·凯奇（John Cage）出版了一部重要的作品，《无言》（*Silence*），他在书中明确静寂在音乐中的力量。那时我感觉自己需要遇见这样的静寂。并不是遗世独立的生活让我得以遇见它，而是因为在一个自然族群中的几次短居，也就是生活在巴拿马森林中的恩布拉斯人。日常生活中巫术的语言与流传下来的普通语言之间的交替，即一种有意识地驯化，让我十分惊叹。我记得那段时间我写信给一位小说家朋友：“从此以往，这就是我想表达的东西”，紧跟其后的是一张白页。

这一切都已经过去了。我继续我的写作生涯，继续填满白色纸页。但是

我一直喜爱静寂的社会——沙漠之民、森林之子，城市里冥思的人群、空地、空旷的广场、自然区域。我寻找闹与静、书写的语言与虚空的空间之间的平衡。

许钧：我们谈论语言的时候，总是会首先想到书写的语言。但是，您对口头语言特别感兴趣，也就是话语以及人说话的声音。在您的创作中，讲故事的人并不少见，歌曲吟唱也不少见。似乎对于您而言，口头语言更加有魅力、更加诗意，或许是因为人的声音以及词语的发音？当词语被念出来，会产生一种魔力，一下子就会把我们带到词语的另一边。一个个被念出来的词经常将您的人物带入一种梦境。在您看来书写的语言与口述的语言有何差别，尤其是在您的创作中？口述的语言在您写作时给了您怎样的灵感？如果说口述的语言对于您特别重要，也许是因为您认为口述这一传统以及口述的文化具有一种美与智慧？

勒克莱齐奥：我的感觉是，口述的语言与书写的语言并不是截然分开的。它们彼此交融、彼此阐释、彼此改变。哪怕大家会想到“没有书写的民族”（列为-斯特劳斯很奇怪地将他们称作“没有历史的民族”），我们发现这些民族拥有两种语言，一种是用于日常生活的语言，另一种是用于想象的语言。区别更多存在于节奏、语级以及礼仪性，而不是在词汇方面。但是，我觉得，不存在任何中性的语言、原始的语言、粗浅的语言（或者说，“信息化的语言”，但是它们真的能算作语言吗？）写作并不是交谈。所以它使用的语言是这种孤独、既定的语言，也就是小说的语言、咒语，有时甚至是咒骂的语言。这种语言本身包含着一种静寂，因为它之所以存在不是为了生产某种物质性，它本来受益于梦、神话，有时甚至受益于它本身：它是一种创造物，但并不来自混沌，而是来自于早已存在的想象体系。它似乎没有原初，所以也没有终点。换句话说，它是活着的语言。

也许，赋予它力量的东西正是它影子般的静寂，正如生命藉由死亡才获得意义。

许钧：在您的法语写作中，您经常会插入不同的语言：英语、皮钦语、克里奥尔语、意大利语、西班牙语，甚至是臆造的语言。可以说，每一个地方都对应着一种独特的语言。如此，您试图建立语言与地方之间的一种紧密联系。通过所有这些语言，我们发现一种复调式声音。您这样做是否是因为极其强烈的意识，好让我们能听到“他者的声音”？您一直都喜欢住在地理与文化的交界处，所以您的创作也处于语言与文化的交界处。您在写作时会经常思考文化间的关系吗？

勒克莱齐奥：我觉得现在这个世界被“复调”这个词浸染了——庞德、多斯·巴索斯、乔伊斯等作家曾经试图言说它，更近一些有布托、娜塔莉·萨洛特。聆听世界上所有的声音，这是一个现代的美梦（或者噩梦）！

我更愿意回到我最初的幻象，即在（我阅读、书写的）每个词语中找到完整的意义。我认为在进行文学创作时，不可能只存在一种唯一的语言，即

作家通过运用学习过程中掌握的各种关系所精通的语言。其它语言的回声在创作中不仅可能出现,而且很可能出现,甚至是被期待出现,因为一种语言(也就是说一种文化)永远都处于运动变化中。其中被构建的东西,是“关系”,这仿佛是难以察觉的、勾连各种历史(“历史”这个词我没有将其首字母大写,因为我想表达的是日常生活的轨迹,即一系列构建我们人性的日子——另一种历史,即历史学家路易·共扎雷·易·共扎雷所说的“青铜史”不属于文学的范畴!)因素的水流。当然,我们生活在这种语言的表层。当我们意识到它的时候,它上面的基质会滋养我们、教化我们。这一点,正是现代性的模糊性。昨日的现代性是今日的经典,同样今日活着的人在明日就已老去。只有对文学文本的认知才能保证我们不会遗忘,这就是为何我喜欢中国人所说的“大师”,因为他们将我们置于一种历史的联系中,或者,换一种表达,置于一种延续中。说到这里,通过翻译来进行传播也是文学很重要的一部分。“一切都应当被翻译”,哪怕是不可译的(我想到了乔伊斯、普鲁斯特,以及中国神秘的唐诗宋词)。我挺喜欢安地列斯诗人爱德华·格里桑(Edouard Glissant)的话:“从一切被允许讲述的话语中,我铸造了自己的语言”(我大致引用了他的话),因为这意味着其中不应当出现文化的等级,而且书写的语言是一种无限的出口。在这里,可以发现,我们与文学艺术中的民族主义相去甚远,尤其没有对知识进行压缩。换言之,“诗”(创造、发明)先存在于任何知识、任何批评、任何冲突的危险、任何结构。但是,这么说,我们也很容易陷入概念的泥淖。虽然我赞同存在主义,尤其是维特根斯坦《逻辑哲学论》中傲慢而反叛的观点,但是我觉得自己无法细细阐释它们的本质。我写作,是为了进入行动。很显然,这种行动是文化间的行动、多语言的行动,并不涉及政治上的介入(但也不是说毫无理想)。

三、文学体裁的思考与形式的创造

许钧:从创作初始至今,您一直在同一个文本中将小说、叙事、故事、诗歌、戏剧等不同的文学体裁融合在一起,打破了各种既定的参照。对于您而言,体裁意味着什么?您是想打破各种体裁之间的界限,创造一种更加融合、更加完整的体裁?通过这样一种混杂或者复调,您希望抵达怎样的一种存在呢?这样的一种追寻看起来仿佛是对现代艺术的解构。而且,体裁的混杂往往伴随着多重的叙述声音。因此,您的作品就像是巴赫金所说的多声部的作品。这样的一种混杂写作或许是源于一种混杂思想?文学中的这种对话与复调对于您而言有何意义?

勒克莱齐奥:当然,曾经在某些时候,我梦想能将不同的体裁糅合在一起。这种野心对于我而言与电影的发现、一种语言之外的语言——这种语言的核心是图像——的发现相关。在那个怀疑的时代,“体裁”一直都是大家关注的问题。质疑包括两方面:小说中是否有时间的概念?它与叙述(比如加缪

《堕落》中的叙述模式，以及乔伊斯、贝克特大部分的文本）中的时间是否不同？又或者与“中篇小说”（nouvelle）中的时间有何不同？最近，我曾使用 *nouvella* 这个词来表示一种讽刺的含义，参照的是新安格鲁-萨克逊语（所以，它不同于 *short story* 或 *histoire courte*（短篇故事）），也不同于巴西、墨西哥 *télenovela*（浪漫电视肥皂剧）的形式，它的特点恰恰相反，是叙述的无限延长以及情节的交错。

另一方面，想象体裁的终结，也就是说不能再对一个文本限制它的形式——这一文本不是小说、诗歌，也不是感叹、呼语、符咒、疑问、描写、清单、理论、引用、列举等等。这就意味着要重新认识到静寂相对于言说的价值。我们发现，这一问题与道家思想很相似。

那个时代已经过去了。那并不是一段无意义的时光，它在实验文学的极致中找到了自己的答案。也许作家在一个社会（法国的，欧洲的，当代的……无论是哪一个）中的地位已经发生了巨大的变化，因为新的传播形式的出现，也因为其它语言（比如，二进制语言）的有效影响。问题的中心又转移（回归）到道德与介入的范畴内。“如果上帝不存在，一切就都被允许？”陀思妥耶夫斯基这样问。同一个问题：如果文学中一切都被允许，就不再需要“体裁”。小说是开放的，正如我们所看到的，而小说家选择的语言是合适的语言：简单来说，是最好的用于言说的词语。这个词可以是“我”、“他”、“我们”，甚至是无人称词——也可以是线性的时间（唯一的故事，唯一的主题）——或者是共时的时间，甚至是消失的时间。我觉得，这种被认可的自由赋予作家超越任何限制、任何要求进行写作的兴趣。不再是追求真或者逼真，真实（这个词本身的意义）不再强加它的法则。您所说的“混杂”（*métissage*）是有道理的（这个词有时受到批评家的责难，他认为在这个词中看到一种歧视的存在，因为它划分了“范畴”。但是，我觉得这个词要比“克里奥语化”更加准确，后者与殖民史过于贴近）。“混杂”的写作意味着多种语言的相遇，这些语言彼此构建、彼此融合，进而抵达一种新的语言。虽然我个人反对任何艺术中的“进步”说（每次谈到艺术的线性发展时，我都会表达这一观点），但是我赞同小说表达中变化以及运动的存在，它缓慢地发生于时空中，借助现代技术搭建的传播网络。我在此时、此地用此种语言写作，但同时，这种写作也发生在世界上其它的地方，在叙利亚、黎巴嫩、日本、印度、中国，我不能假装不知道这一切。这些多样化的选择（以及道路）是我们这个时代的巨大挑战也是精彩绝伦所在，我确信，小说（杂交的体裁，但也是开放的体裁）在其中占据了重要的一部分。我们会不会永远都需要这种“体裁”？无法回答这个问题。但是我们都记得其它一些体裁在文学创造的历史中败北：阿拉伯世界从未接受史诗这种体裁，在中国，诗歌一直高于小说叙述，哪怕强制性的文化“全球化”有时似乎更加青睐安格鲁-萨克逊的传统小说，它

是萨克雷或者艾米斯¹留下的遗产。

许钧：您认为，“将两种或者三种元素融合在一起的艺术是一种特别完整的艺术”(Ezine 15)。如果是这样，那么您的写作可以说是一种完整的写作，因为它经常将不同的艺术形式融合在一起：绘画、音乐与舞蹈通过不同的方式进入词语之中。如果说作家是词语的“修补匠”，正如您所说的那样，那么，您作品中的词语充满了颜色、声音、味道与动作。您一直都在追寻一种完整的作品吗？

勒克莱齐奥：说到这一点，我感受到的是写作的变化。在极短的时间内，它从图像的表达——绘画、地图、象征、图表——进入物理性的内化：话语、叙述者的身份、心理发展——在法国，有时我们会将这一过程称作“纵向的”（并不是指空间或时间维度上的意义，而是指一种内在的无限性）旅行。因此，在内心的旅行中也存在。我记得很久之前，我的一位朋友声称借助心理分析他抵达了自己出生的时刻。

我曾谈论过 *bricolage*（做零活）这个词，因为我觉得，与追求完美、极致的诗人不同，小说家（讲故事的人）永远都处于一种将至未至的状态，即不确定、摸索与懊悔的状态。

也许，这就是为何这种不完美的“体裁”会在我们这个时代赢得胜利。“青铜”（*bronze*）文化（我借用的是墨西哥伟大的历史学家路易·共扎雷·易·共扎雷的表达，他创作了《职业“讲故事者”》这本书）让位于一种转瞬即逝的文化、停滞的时间、资料，即让位于延展、伸缩、隐喻、冲动、形象——因此，也就让位于消费与遗忘。而我，我出生于两个非常不同的世界的交界处。一边是我的童年与青少年时期，那时我读了许多书，在图书馆、家里，甚至在大街上。另一边是一种潜在的世界，在那里，我极其迅速地浏览历史的方方面面，迅速表达持续存在的东西。这两个世界，准确而言，是“不可调和的”，但是必须要适应这一状态。在潜在性的边缘，我也曾想到完整之书，它应当收藏、修复生命的完整性。但是，这种完整性如今已经存在，它通过网络实现，因为网络上集合了无数的知识、传奇、流言与谎言。既然文学再也不会是青铜质的，它可以由稻草、纸板制造，或者由路上捡到的遗落的螺栓所制造，或者由谚语、谜语、错乱的梦的片段、没有名字的回忆等制造。

我也十分喜欢小说所创造的第六感，即联觉，这是活着的感觉。

四、小说艺术中的艺术

许钧：绘画似乎是一种让你的创作更加完整的艺术。我们知道您小时候曾想做一名画家。虽然您成为了一名作家，但是您对绘画的喜爱并未消退。您的作品里有各种各样的画：印刻在蓝族人与梅洛埃族人身体上的细小符号，《寻金者》与《乌拉尼亚》里的星星与星座图案，《阿玛塔遗迹》里两个孩

1 Kingsley Amis (1922-1995)，英国作家。

子的即兴画作，以及《大地上的陌生人》里美丽的图画……您在写作中继续着您的画家梦？而且，一切与绘画有关的东西似乎都会给您留下深刻的印象，甚至甚于写作。在创作中，您搭建了写作与绘画之间的桥梁。为什么要在作品中插入图画呢？是为了创造一种不同于词语的表达？就您的写作而言，词语与绘画之间有何差别？您对绘画的热爱是否影响了您的写作？绘画为您的写作注入了什么东西？

与此同时，我们发现，在您的笔下，都市景观经常被缩减为线、角、平面，而且，您对光影之间的关系特别敏感。这样的描写让我们想到立体主义绘画。您一直很喜欢连环画，在《阿依》（*Hai*）这本书里，您强调您“憎恶西方绘画”（*Hai* 95）。您如何看待现代主义绘画，比如立体主义绘画？

勒克莱齐奥：对于我而言，写作与绘画是在同一时间段学会的。可能是战争结束后的状态以及解放后的岁月让我喜欢上了同一种行为的两个不同方面：“绘”词、“书”线，并且不断地往返于两者之间。我还记得最早的尝试：我坐在小板凳上，在我外祖母公寓的阳台上，房间位于一栋俯瞰港口的大楼的七层。我面前的风景如今已经消失：一座古老的公园里的棕榈园，中间是红瓦屋顶，远处是地中海的海水，深蓝色，港口长长的海堤挡住了地平线，尽头是废弃的灯塔（是被美国飞机炸毁的）。右边，港口一座座楼房的红屋顶上方有一条垂直的线，它正是轰炸时沉落的帆船的巨大桅杆（很长时间里，这个桅杆一直都在水下，直到有一位爱好者决定将它打捞出来并且修复它。很长时间里，我曾以为这艘从海里打捞出来的海船就是美国演员埃罗尔·弗林的“扎卡”（*Zaka*）号，我在中篇小说（*nouvella*）《偶然》中使它变成了一种永恒的存在（如果可以这么说的话））。

我想继续谈一谈我五六岁时在画板上用彩色粉笔（那个时候彩色粉笔是十分罕见的东西，蓝色粉笔是外祖母将粉笔浸在墨水里做出来的）画下的这第一幅画——因为这幅画讲述了一个故事：它不仅仅是对现实的一种描摹，一幅风景画，它也是我所经历的一个关于战争的故事，一种对逝去时光的见证，充满了怀旧与遗憾之情，同时又满怀着希望。蓝天、阳光、大海、红色屋顶、悠悠的棕榈树、起重机，甚至是毁坏的灯塔、沉没的海船，这些都属于幸福的时刻，它们之所以存在是因为我写下了它们，它们存在于讲故事人所创造的神奇国度，存在于一种愈现在时中。这幅画表明，一切都不再是从前的模样，而我有理由将目光停留于这一刻，占据它，让它变得坚不可摧、不复失去。当然，这幅画并没有保留下来。我的外祖母异常虔诚地相信自己的两个孙儿，很长时间内，她都把这幅画放在她房间里的柜子上，因为从窗户向外看，她可以看到同样的风景。之后粉笔留下的痕迹越来越淡，而外祖母的视力随着年纪的上升也越来越差。房地产商拆除了棕榈园、豪华的别墅，竖立起一栋栋60年代浮夸而可笑的楼房，画消失不见了，几年后，外祖母也离开了人世。我之所以说起这幅画，是因为它依然存在于我的记忆里，（对于我而言）它

表现了我对写作最早的兴趣。写作、绘画，两者相辅相成。我保留着这样一种需求，有时动笔写作之前我必须先画上几笔画，或者用绘画的线条来支撑词语——平面图、路线、表格，甚或速写画，或者公路画册，正如我在一些作品中插入的那些文本。

我很喜欢绘画（素描或者彩色画）这一行为带给我的东西。我曾这样写：最最诗意的活动就是坐在一座山前面，观看，然后画下来——后来我发现，这原来也是中国唐代文学的诗歌创作方式——直到成为山本身。这就是为何我喜欢东方的绘画（比如连凯），而对西方的艺术思想总是有一种怀疑，因为它过于强调个体，而且过于注重商业价值。画里空的成分太少，有人这么说。但是，我们之后要再次提到立体主义的钻研以及不可见的艺术，它们对于精神而言非常重要。

许钧：您作品的音乐性令人赞叹。您的作品充满了许多重复：词语、句子、意群、图像、目光、感觉的重复。这种细致的重复创造了一种音乐性的东西。各种不同的语音在您的作品中创造出非常愉悦的效果。从中可以看到“一个充满回声、往复、对比的系统，所谓的对比在很大程度上相当于元音重复、辅音重复以及韵律”（Tadié 8）。正如您的观点，“一切皆为节奏”（*L'Extase matérielle* 130）。您是否有意要在小说或者叙述中恢复诗歌的特质？节奏会不会是一切诗歌、诗学的本质呢？

勒克莱齐奥：我很早就觉得，文学，尤其是小说，与音乐创作有许多共同点。当我说音乐这个词时，我并不只是指欧洲的“古典”音乐，而是世界上一切的音乐。也并不仅仅是词语的发音，或者音调，或者与韵律的呼应，而是“节奏”，也就是说是近似于生命的平衡感（心脏的跳动、步行的节奏、生命的周期、身体的循环、四季的循环、时间的循环，或者说宇宙的运动，虽然我们不能清晰地感知到它，但是每一刻它都在影响我们，比如月球影响下潮汐的起落，与月亮周期一致的女性生理周期，也许还有磁力的影响、太阳爆炸的影响、地质板块迁移的影响，海洋动物可以感受到这些，但是人类却不能）。所有这些都是音乐。写作是一种半意识行为（或者，称其为半清醒行为更加准确），它就是在这样一种音乐的节奏中实现的。

因为我母亲非常喜欢音乐，她也是一位优秀的钢琴演奏家（她本来可以举办音乐会，如果她所接受的丰富的布尔乔亚式教育允许她献身于艺术），我很早就对音乐的乐章非常熟悉。我还记得妈妈给我弹奏德彪西的《隐没的教堂》、肖邦的《夜曲》时，我那种激动的心情。那时候，我对音乐一无所知，对文学也尚未产生兴趣（只是对童话故事、传奇故事以及雨果或者埃雷迪亚¹的一些诗歌有些兴趣），但是，当妈妈坐到钢琴边，弹起第一个和弦时，我似乎觉得她是在为我讲故事，一个漫长的故事，既简单又复杂，里面有呼喊也有叹气，有梦幻也有真实，有重音、哀求还有秘密。

1 José Maria de Heredia (1842-1905)，法国文学家，出生于西班牙，古巴裔。

过了没多久，我想到在音乐中加入话语（写下来的或者读出来的），我与同班同学一起尝试一种“多声部交响诗歌”（polyphonie sympoétique）的艺术表达，这个词有点夸张，我为这种新的形式专门创造了这个词。做法是，用好几个叙述声音创作一首诗歌，每一篇诗歌同时被朗读，有时要运用卡农的定律。某些时候，诗歌的意义变得更加重要（叠句、复句、带有色彩的词），这些时刻用符号在乐谱上标记出来。结果显然不令人信服。我只在尼斯高中的体操馆举办了唯一的一场交响诗歌音乐会。基本上没有什么听众，气氛完全不热烈。文本完全不可理解，虽然根据发音选择了词语（比如 viride, neige, sycomore, 等等），但是我并没有成功地将我创造的这种形式的音乐协调起来，看似整齐却是尖锐的噪音，这其实是贝多芬第五交响曲的第二乐章。文学不是音乐，这就是我发现的真相。

然而，当我想到小说，我想到的正是音乐。我在每一个音中寻找它，它就在节奏中，在向前的冲力中，在收缩中。我在叙述人声音的和谐中寻找它，小说就是在一个个叙述者的声音中创造了它，一种往复、循环的时间，一种重生，主题、篇章的往复变化，一种流动性的存在。就像是，无论是有意识还是无意识地，气温上升、云朵集聚，沉闷，甚至是闷热，继而落下一场及时雨，一场快乐的雨。

许钧：我们知道您是一个影迷。您曾直白地表达过电影对您的影响。电影带给您的，与其说是关于小说的概念，不如说是对世界的看法。这种对世界的看法或者说世界观，是否可以理解为魔法与谎言之间的悖论？或者，更准确地说，是真实与梦幻、现实世界与想象世界之间的对立？然而，这种对立难道不正是文学的本质？因为文学也可以让我们离开现实进入一个梦的世界。电影赋予您一种新的世界观，那么电影的诞生以及它特殊的语言如何影响了您的写作？

勒克莱齐奥：我是与电影一起出生的。我的意思是，战争结束后的那些日子里，两个小孩（我和我的哥哥）在阅读之外没有任何其它的消遣活动。在外祖母狭小的公寓里，我们设立了一个电影放映室……因为我们没有办法出去看电影（电影院太远、太危险、太贵），所以，我们便在过道里设立了这个放映室，一件床单挂在墙上变成了屏幕，还有一个手动的帕特·巴比（Pathé-Baby）牌放映机，当然还有巴特出产的一系列电影作品，那些都是外祖母的一个好友收藏，她把**这些胶卷**送给了我们，她在两次世界大战之间曾是查理·巴特（Charles Pathé）工作坊的剪辑师。每段胶片大约三分钟，但是将它们一一连接起来，形成了时长一小时的卷盘。大部分都是喜剧电影：哈罗德·劳埃德、普兰斯·李嘉丹（Prince Rigadin）、哈利·思诺博·波拉¹

1 哈利·思诺博·波拉（Harry “Snub” Pollard），澳大利亚演员，1889年11月9日出生于墨尔本，1962年1月19日去世于加利福尼亚的伯班克。1916-1920年期间，他在哈尔·罗奇（Hal Roach）的工作室与哈罗德·劳埃德（Harold Lloyd）一起拍电影。在法国，大家喊他博·希特隆（Beau Citron，意思是：美丽的柠檬）。——原注

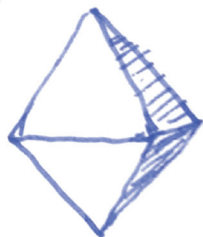
等人的作品。也有一些纪录片、动画片以及许多的新闻片：汽车比赛、工厂与动物园的报道、航空飞行以及跳伞纪录片。甚至，外祖母的朋友还用画笔将一些胶片中一帧帧画涂成了彩色：破茧而出的蝴蝶、绽放的鲜花，等等。

这些胶片让我熟悉了电影的语言：拉近镜头、淡出、慢镜头、运动镜头、俯角镜头、切分镜头，等等。这只是一种游戏，但是我觉得它教会了我一种关于目光、距离的意义。特技、“特效”以及节奏（段落、远近镜头、反打镜头），这些东西的“发现”对写作都有意义。它揭示了叙述与对话的特技，创造一种荒诞感，这种感觉熏陶了我。这对于自我控制很有裨益，即及时停止过分的行为以及冗长的赘言（哎，这些东西在 20 世纪初的小说作品中实在太常见了）。

这不仅仅是批评。电影的魔力是从房间的黑暗中诞生的一种矜持，它使观众成为唯一活着的生命体。小说创作与此也十分相似：它也是成形于与读者构建的紧密联系中，读者是享有特权的知心人。这种魔力属于艰辛的说服（但是在诗歌、戏剧中，它属于集体的催眠）。小说与电影一样，都有这样一种交流的亲密性，这种高于其它一切的关系，这种持续的默契。是“人物”、演员、脸庞、熟悉的符号、“印记”通过一部部小说构建了一个网络，正如电影作品中的网络一样（布列松、多尼奥-瓦克罗兹、特吕弗、戈达尔的电影，或者贝纳诺斯、马尔罗、马拉巴特、卡夫卡、纪德与萨特的小说）。

我当时很幸运能成为两位艺术家的同时代人，他们对小说、电影这两种创作形式产生了深远的影响。一种思潮发生在“新”小说陷入绝境后不久。新小说的基础一个是心理分析，一个是超现实主义者、伍尔夫与乔伊斯的追随者等革新者熬制的“分子浓汤”——这是新批评与结构主义的“恐怖主义”元素。另一种思潮则是现实主义电影与它的追随者（虽然如今已经被遗忘，但是我们都记得现实主义电影如何滋养了当时的电影批评），鲁什（Rouch）、鲁斯伯里（Ruspoli）、罗戈辛（Rogosin）、莱辛巴哈（Reichenbachd）等人所提出的“真实-电影”。这两位我的同时代人，一位是电影艺术家戈达尔，另一位是小说家塞林格。他们都信奉自由创作：没有任何独裁、路线图、宣言，只有借鉴、回忆、文化。以及一种反叛的、挑衅的狂喜，这就是一种创新，是前代人没有实现的东西。我记得这样一个新闻领域的用词，它并没有错：镜头之笔。一边移动一边写作，完全是自发的、愉悦的写作，质问一切的风格、一切的方式，质疑自己，批评、自我批评（当时欧洲正处于毛泽东主义时期，而美国则处于佛教、禅学的“心印”时期，塞林格的作品中就有体现）。对于我而言，这一切都与最自由、最“运动的”作家呼应，首先是米肖，然后是洛特雷阿蒙，我的硕士论文与博士论文分别以这两位作家为研究对象。这种自由感，我觉得必须将其归于“新浪潮”电影的功劳——电影不再是复杂的东西，在这种艺术中也存在着小说中那种简洁的本质。所以，这是另一种实践的方式。

早期写作时，我看了很多电影。所有电影，无论好电影还是坏电影，经典电影还是新电影。我更喜欢美国的电影，比如沃尔什(Walsh)、福特(Ford)、佩金帕(Peckinpah)，以及日本伟大的导演，沟口健二、黑泽明、犬童一心、小津安二郎，尤其是小津安二郎。那个时代有许多“艺术与试验”电影院以及“电影俱乐部”。我每天都要看两三部电影。我还和一位电影迷朋友合办了一份题为《金字塔》的文学刊物（是为了致敬鲁什与鲁斯伯里，不过也是因为我们所分析的电影的价值被包含于一个双层的金字塔图形中，如下：



最优秀的作品位于塔尖，
一般的作品位于中间，
最劣质的作品位于底端！

杂志从未出版，因为没有发行商。但是在那段时间里，对于我而言，写作与电影一直都紧密融合在一起，那段时间里，我创作了《巨人》、《大地上的陌生人》、《战争》。我很清楚我从电影中收获的一切。

(樊艳梅译)

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《逃之书》中的“亚洲”

Asia in *The book of flights* of Le Clézio

樊艳梅 (Fan Yanmei)

内容摘要: 在《逃之书》中，勒克莱齐奥一方面通过主人公奥冈的身体感知来描写亚洲的具体形象，另一方面通过互文手段表现亚洲文化的回声。与传统旅行叙事中的亚洲形象不同，《逃之书》中的亚洲失去了传统的异域风情，它不再是曾经西方作家笔下浪漫主义的乐土或者理想主义的乌托邦，这表现了后殖民主义时代，城市化进程中世界景观的趋同以及多样化受到的威胁。然而，作为欧洲之外的世界，亚洲依然表现出“异”的特征，它教会主人公重新认识人与世界的关系、诗意语言的本质。东方思想具有一致性，与此同时，东方思想与墨西哥思想、非洲原始主义思想等其它异域文化具有某种共通性。因此，勒克莱齐奥打破了异域情调的陈词滥调，在关注异的同时，他更关注人类存在的共性以及文化间的对话与兼容。

关键词: 勒克莱齐奥；亚洲；异域性；去异域性

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Title: Asia in *The book of flights* of Le Clézio

Abstract: In *the book of flights*, Le Clézio describes Asia through the hero Hogan's perception and makes us listen to the echoes of Asian culture through some intertextual excerpts. Different from the image of Asia in the traditional travel literature, this foreign land lacks something exotic and it is no longer paradise or utopia at the beginning of the 20th century. Yet, being land beyond Europe, Asia still reserves its essential difference. It reveals another relationship between man and world, and another poetic language, the silence. These two ideas belong not only to Asia, but also to Mexico, Africa and other foreign countries in Le Clézio's works. Thus, the writer sweeps the stereotypes of exoticism, denying any attachment to the past or any primitivism. By making a great case of otherness, it attaches more importance to the community and to the compatibility between different cultures.

Key words: Le Clézio ; Asia; exoticism; de-exoticism

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作为一位旅行作家，勒克莱齐奥的创作与地理、空间有着密切的关系。20世纪70年代末之前，其叙事的主要空间在欧洲。从《逃之书》(1969)开始，其作品中的空间由欧洲转向欧洲之外的世界。80年代以来，异域逐渐替代欧洲成为其叙事的主要空间，尤其是非洲与南美洲¹。相对而言，勒克莱齐奥笔下的亚洲非常隐晦。其小说很少以亚洲作为故事的发生地，更不用说以亚洲为主题的纪实作品。亚洲在其创作中与其说是一种具体的形象，不如说是一种文化的回声：第一部小说《诉讼笔录》(1963)、哲学散文《物质狂喜》(1967)、诗性叙事《另一边的旅行》(1975)、《大地上的陌生人》(1978)等作品都蕴含着中国的道家思想²以及日本的禅学思想³。此外，印度的宗教思想也多次出现在其作品中⁴。正是在《逃之书》中，亚洲第一次也是唯一一次获得了一种具体而圆满的形象。这部历险小说以一种旅行叙事的模式书写了主人公奥冈从欧洲到亚洲再到美洲的旅行见闻。通过奥冈的身体感知，作者以一种“现象主义”的手法、“现实主义”的方式描写了地理的、历史的亚洲。同时，文本中穿插着玄奘的故事以及《道德经》与《奥义书》的思想⁵。主人

1 主要分为两类作品，一类为虚构的小说，一类为纪实的游记或者评论性的散文。与非洲相关的小说包括：《沙漠》(1980)、《奥尼恰》(1991)、《毛里求斯系列》等，纪实作品包括《罗德里格斯岛之旅》(1986)、《云中人》(1997)、《非洲人》(2004)。与南美洲相关的小说包括《革命》(2003)《乌拉尼亚》(2006)，纪实作品包括《三座圣城》(1980)、《墨西哥思想》(1988)等。

2 参见 Maurice Cagnon and Stephen Smith, “Le Clézio’s Taoist Vision”. *The French Review*, Special Issue, *Studies on the French Novel* Spring 4 (1974) : 245-252; Zhang Lu, “L’évolution des pensées orientales chez J.M.G. Le Clézio”. *Cahiers Le Clézio* 8(2016): 103-126. 张璐在这篇文章中较为详细地指出了勒克莱齐奥作品与亚洲文化相关的细节，尤其是与中国文化相关的细节。比如《阿玛塔遗迹中》中的中国诗歌、佛祖的故事，《物质狂喜》题铭与《奥义书》的关系，《逃之书》中玄奘的故事，《巨人》中的中国汉字、《奥义书》的选段等等。

3 参见 Masao Suzuki, J.-M.G. Le Clézio: *Evolution spirituelle et littéraire par-delà l’Occident modern* (Paris: L’Harmattan, 2007): 72-81, 163-179.

4 参见 Madeleine Borgomano. “La Quarantaine de Le Clézio et le vertige intertextuel”, *Cahiers de Narratologie* 13 (2006), mis en ligne le 01 septembre 2006, consulté le 12 janvier 2018. URL : <http://journals.openedition.org/narratologie/317>; Bénédicte N. Mauguière, “Mythe et épopée de la descente du Gange” (*Europe* janvier-février 2009) : 161-167.

5 参见 Zhang Lu, “L’évolution des pensées orientales chez J.M.G. Le Clézio”, *Cahiers Le Clézio* 8 (2016): 103-126.

公奥冈是“白种人”，“大约二十九年前或三十年前生于谅山（越南）”，“住在一个叫做法国的国家”¹（17）。白人、出生地与居住地的历史关系，这使得《逃之书》中关于亚洲的书写具有特别的意义。其中关于亚洲的部分有不少段落直接取自于1969年作家在《费加罗文学》上发表的与亚洲主题相关的访谈²，具有一种纪实性。这部小说出版于作家人生中两次重要的异域旅行之后：1966年的泰国曼谷之旅与1967年的美洲墨西哥之旅。日本学者铃木正雄认为：“从某种程度上说，《逃之书》所叙述的旅行很有可能是从那两年（1966、1967）作家本人在世界各地旅行得到的灵感”（Suzuki 84-85）。大部分评论者都认为，勒克莱齐奥思想与写作的断裂是因为与墨西哥的相遇，但是，我们认为，这一断裂实际上始于作家在亚洲的经历。

19世纪末20世纪初，众多法国作家来到亚洲，用文字构建了关于东方的想象。作为一位出生成长于二战期间、经历了20世纪后半叶种种社会、政治、历史事件的作家，作为一位游走于欧洲主流文明之外的作家，勒克莱齐奥在《逃之书》中书写的亚洲与洛蒂、克洛代尔、谢阁兰、米修等这些法国作家书写的亚洲相比有何异同？同样作为欧洲之外异域，《逃之书》中的亚洲与美洲、非洲有何关系？从这纵横两方面展开，结合作家其它文本中碎片式的亚洲书写，本文试图分析《逃之书》中的亚洲形象，探求勒克莱齐奥对亚洲、亚洲文化的态度以及亚洲之于作家文本创作的意义，进而探讨作家对“异域性”³、自我与他者、多样性等问题的思考。

一. “去异域性”的异域

《逃之书》中关于欧洲、亚洲（125-202）与美洲的描写大约分别占据文本的三分之一。与旅行叙事相似，文本中的地理空间具有强烈的真实性，诸多真实的地名勾勒出亚洲真实的地图：印度的哈班尼亚、罗塔克、克塔克、赖布尔（126）、维沙卡帕特南（127），泰国的阿瑜陀耶（149）、曼谷、雅加达、邦巴因（151）、吴哥（152-156），中国的澳门、台北（174）、北京、

1 勒克莱齐奥，《逃之书》，王文融译，上海：上海译文出版社，2012年。某些地方对译文进行了修改，后文相关引用在文中标明页码，不再一一指出。

2 参见 Le Clézio, “Lettre à une amie thaïe”, *Le Figaro littéraire* 12 janvier 1969: 12-14.

3 *exotisme*, 中文译作“异域风情”、“异国情调”、“异域情调论”、“异域性”、“异域学”等等。参见黄蓓主编：《谢阁兰与中国百年——从中华帝国到自我帝国》。上海：华东师范大学出版社，2014年。在“他我之思”这一章（第235-290页），路东、冯冬将该词译作“异域性”，叶隽将其译作“异域学”。另，参见 Victor Segalen, *Essai sur l'exotisme*. Paris : Fata Morgana, 2009. 中译本为：谢阁兰：《异域情调论：一种“多异”美学》。《画与异域情调论》，黄蓓译。上海：上海书店出版社，2010年，第213-316页。黄蓓认为，“*exotisme*”在谢阁兰笔下“不再指异域印象，而是指对‘异’的体验”（218页）。本文在谈及异域具体风景的印象时用“异国风情”或“异国情调”，在谈论一种关于异域抽象的特征时用“异域性”，以示区别。

上海、广州、香港（188），日本的奈良、东京、三岛（195）。诸多真实的山川、河流的名字使得亚洲的地貌也具有某种真实性。这些带有异域色彩的地名与19世纪以来西方传统的旅行叙事呼应，暗示着一种异域风情的存在，但是这种潜在的“异域性”并没有发展为萨义德所说的“东方主义”。

作家尤其描写了亚洲各地的都市景观。首先是印度的海港城市维沙卡帕特南（130）：“这座两百万人口的大城市在荒凉的大路、铁路、沙土小道的尽头……林荫道上，车子成千上万”（129-130）。水泥房、空地、沥青路、白墙、人群——这是奥冈“早已跑遍的超大城市”（130），毫无“异”的感觉。在“澳门、马尼拉或者台北”（174），依旧是林荫道、商店、车库、加油站……在落马洲，“另一座钢铁和玻璃的城市”，风景“一成不变”（190）：塔楼、居民、公路、桥梁、塑料、霓虹灯……所有这些亚洲城市与之前奥冈所在的欧洲城市（39-49）毫无差别。但是他正是为了逃离“铁与混凝土的城市”（61）才踏上了旅程，他渴望遇见与“现代世界”（61）不一样的东西，但是，现代性已经像病毒一样蔓延至世界的各个角落。“我在陆地漫游，从一座城市到另一座城市，而我什么也没遇到”（219）。“我离开了我的世界，又没有找到别的。这正是悲剧性的历险”（265）。因为“全世界只有一座城”（247）。亚洲的城市景观无从辨认，它们可以是世界各地任何一座城市，一切都是重复。这种“似曾相识”（*déjà-Vu*）（谢阁兰 233）恰恰意味着“异域性”的消失。与19世纪末20世纪初的东游作家不同，勒克莱齐奥已经意识到“西方人异域性的梦早已消失在现代社会里”（*Ridon* 123），所以在《逃之书》中，作家一次次强调奥冈的熟悉感而不是陌生感、厌恶感而不是新奇感。在“自我批评”部分，作为作家的勒克莱齐奥承认，自己原打算写一部“历险小说”，却以“失败”（175）告终，因为他认为自己无法“激起人们去那儿的欲望”（175）。可见，作家与《逃之书》中的人物奥冈一样，试图在异域追求“异”，但是结果以失败而告终。

真正的城市是怎样的？“无法真正谈论你们，城市/噢，尼尼微/噢，拜占庭/噢，特拉斯卡拉、帕恰卡马克、华沙、彭世洛/噢，司诺奇提特兰/当你们死去时，才能在你们的墙上写下爱的字眼”（249）。在这里，奥冈叹息的都是世界各地曾经的古都，是已然消失的城市。它们才是可“爱”之地，因为它们不是任何其它城市的复制，它们独一无二。无论是城市还是文化，其价值都在于多样性。而“去异域性”的异域恰恰意味着多样性的消失。由此可见勒克莱齐奥的一种预见性，在60年代末，他已经看到现代性对城市多样化的威胁。这与谢阁兰所说的“多异的衰减”（谢阁兰 289）如出一辙，其原因是“所有被冠以‘进步’之名的事物”（谢阁兰 301）。现代化与“异域性”似乎是不相容的。

对于许多西方作家而言，东方与亚洲有其相对确定的文化特征，这些文化特征“以社会总体想象的一些‘异域形象’表述出来”（周宁 122），且

往往与西方、欧洲的文化特征相对立。一般而言，这一“异域形象”可以分为三类：“作为西方的理想梦幻，东方历来是浪漫传奇之地”，“作为失落了的人类的过去，东方是西方人失去的伊甸园”，“作为文明的西方的对立面，东方是落后、野蛮的象征”（张德明 205）。《逃之书》中的亚洲失去了传统意义上的异域风情，至少在地理景观上，它已经与西方现代世界趋同。同时，它也不再是理想的梦幻或者伊甸园。每一座亚洲城市都隐藏着贫穷、肮脏、邪恶与悲惨：“穷人区”（169）、“陋屋”、“狭窄阴暗的小街”（170）、垂死的老妇、分娩的女子、跳脱衣舞的胖女人（171，173）。这是全球化语境下所有现代城市的缩影。一方面是极度的工业化，另一方面是不能消除的贫穷。都市排斥居住者，居住者无法忍受城市。亚洲经历着与欧洲现代世界一样的困境。因此，《逃之书》中的亚洲并不是幻想或者想象的构建，而具有一种现实性与当代性。

更进一步说，《逃之书》中的亚洲表现出的“去异域性”也是作家某种历史文化立场的反映。长期以来，西方文学中的异域风情总是“使人想起热带海岛的椰子树，美洲的原始森林，中国的瓷器，阿拉伯的香料……”，“如果说浪漫主义作家常把异域描绘成充满色彩、香气与爱恋的理想乐园，19世纪西方的殖民扩张则使异域文学越来越成为一种殖民文学”（黄蓓 217）。到了20世纪上半叶，异域风情泛滥成灾，它往往从殖民者的角度塑造一系列关于异域的刻板印象：野蛮落后或者理想乐园。“异域性”与殖民主义具有密切的关系。在奥冈游历亚洲时，作家借他之口表达了对异域风情的态度：“异国情调是个毛病，因为它是忘记一切寻觅的真正目的、忘记良知的一种方式。他是白人的发明，与其唯利是图的文化观相关联”（148）。勒克莱齐奥将“异国情调”与西方白人对其它民族的侵略联系在一起，是白人为抢占其它民族文化、灵魂而制造的借口。正如谢阁兰所言：“异域情调远远超出了殖民地”（谢阁兰 309）。从这一角度看，“去异域性”表现了作家一种反殖民主义的立场。

在《逃之书》中，作者并未直接描写亚洲曾经遭受的殖民主义战争，而是通过委婉、迂回、隐匿的表达捕捉碎片化的战争记忆。与具体的空间描写、景观描写相反，关于这片土地的历史与苦难似乎变得抽象，它们散落在每一个角落，形成一种气氛。在湄公河，奥冈感受到“战争造成空气诡异的召唤，它们横扫升起黑色烟柱的荒芜田野”（184）。在落马洲，奥冈自问：“难道有一天不曾发生过战争吗？”（194）他觉得自己是“面对罪行、目光、战争前进”（198）。在伊尔库茨克，他看到“满载军人和妇女的大飞机”（202）。战争仿佛阳光下的阴影，始终不曾离开这片土地。这些若隐若现的战争通过泰国“宾河”流域“本多岛”¹的形象（138-146）变得更加清晰。作家以隐喻的方式通过描写旖旎的自然风光慢慢揭示其背后隐藏杀戮历史，表现出一种深刻的张力。表面上看，“岛上处处如此美丽、如此宁静、如此温馨”（141），

1 作者确定了岛屿的经纬度：北纬 18° 50，东经 99° 02，在泰国境内。

但是，河流的水里“裹挟着土块、树干、尸体和气泡”（139），“危险近在咫尺，看不到，听不见”（141），每时每刻，奥冈脑袋里想到的都是“死，死，死，死”（141）。岛屿的中心：白色的水泥小房子，门上刻着人的名字——仿佛是一座座墓碑。而居民的模样更是惊悚：“脸无鼻，手无指，指无甲，眼无眼睑，耳被扯掉，嘴无唇无牙，脚被砍，腿被砍，肢体残缺，身体千疮百孔，受到损害”（142）——人或者幽灵？无从判断。作者说他们为疾病所伤，但是这些描写暗示了一种屠杀的历史。作者写道，“一只穿巨型拖鞋的巨脚踏在地上，把一切踩扁。随后昆虫们收拢它们的残羹剩饭，梳理翅膀和爪子，伸出触角”（144-145）。这一幕自然的戏剧恰恰表现了一种杀戮，其内在的比喻极其鲜明：侵略与被侵略。作者没有提及任何战争、迫害，但是，他通过一系列词语构建了一个关于死亡的语义场：“监狱”、“营地”、“水泥立方体”、“公墓”……此外，“美国烟”、“打针”、“化验”（143等词语都让人联想到历史上的战争与屠杀。“从前，别处曾有过罪行、战争、对人种施暴这种幻想”（144）。这里的“别处”就是亚洲。究竟是“幻想”还是忘却？在这一节的最后，作家描写了一个漂浮在河中央的女性头颅（146），“嘴里绝不吐出任何一句话，任何一个词，任何一声叫喊、祈祷、咒骂，只有静默，静默，静默”（146）。由此可见，这里的欲言又止或者说缄默实际上表现了战后亚洲（与所有被侵略的国家）的失语，以及集体性的遗忘。作为回到亚洲的“白种人”，奥冈并不是以殖民者的目光观看亚洲，也不是以旅游者的目光观看亚洲，相反，他的目光具有一种地理的、历史的、人类学的特质。他描摹现代景观，同时，他也试图挖掘历史记忆。与大部分后殖民文学不同，奥冈同时以一种外在的和内在的方式去体验亚洲的历史。或许正是因为他是出生在越南、居住在法国的白人，关于亚洲的战争记忆才成了不可言说的秘密。

亚洲的“去异域性”是全球化语境下的一种真实。但是它并不意味着“异域性”的彻底消失。因为“异域性”“并不是对非我之物具有完美认知”，而是“对永不可知的敏锐感知”（谢阁兰 238）。在亚洲，奥冈认识到，“必须爱异的国度。爱它并非因为它的不同或者遥远（离什么远？）……而是因为这是一个不容易理解的国家，因为这是一个反对别人侵入的国家，因为它有它内在的真实”（148）。可以说，勒克莱齐奥与谢阁兰对于“异域性”、“异域情调”具有相似的态度，一方面否认其固有的与殖民主义的关系，另一方面，极力肯定其“异”的本质，它不是“单纯的地理层面的接受”，而是“差异的概念”（谢阁兰 235）。

二、“异”的体验与领悟

《逃之书》中的亚洲摒弃了“异域性”所有的陈词滥调。要理解奥冈眼中的亚洲，首先要明白他为何逃离欧洲、法国。首先，他要逃离钢筋与水泥

的现代世界，即逃离一种物质的、有形的空间。其次，他要逃离自己的白人身份：“希腊-罗马世界，我不再是它的儿子，不再可能属于它的种族”（265）。越南作为出生地，回到那里对他而言具有重要的意义。更重要的是，他要逃离一种精神的禁锢，他挣脱的“不仅仅是墓地和监狱般的城市，更是包裹或囚禁着人的思想和行动的虚伪的面具，是充满仇恨和谎言的世界”（高方 108）。在欧洲，奥冈感到“意识被关在镜子做墙的笼子里”（196）。与此同时，他“对无秘密可言的文明不再有惊喜可以期待”（265）。虽然在地理景观层面，亚洲并未给奥冈提供他想要的东西，但是在思想意识层面，亚洲却给予他一种新的视角，这主要表现在两个方面。一方面，关于人与世界关系的新发现，另一方面，关于诗性语言本质的新发现。这两个问题是勒克莱齐奥本人创作伊始一直在思考的问题，也是西方文化长期带给他的困惑。可以说，亚洲为他打开了“冲到思想之外的路”、“通向否定话语的路”（220），即打破意识与语言的困境。

在泰国的原野（147-51），望着天空、河流、稻田，奥冈感觉到这片土地“不是传说中的而是实实在在的土地”（148），它“撤去了每个人和世界之间的纱幕”（148）。“纱幕”意味着人与世界的隔离，这正是奥冈在现代欧洲世界遭遇的困惑。自笛卡尔以来，主体与客体、人与世界分别被割裂开来，是各自独立的存在，由此而形成了西方社会的自我中心主义思想。“我思故我在”，在西方社会，人的认知活动是将真实内化，“人所接触的真实，并不是真实本身，即真实本来的样子，而是存在于形而上学的范畴里的关于真实的概念”（Suzuki 71）。换言之，人与世界是隔膜的，真实是概念的构建。但是在亚洲人那里，情况不同，作者一直强调“真实”，实际上是指人与世界的亲密。“在这片充满知识的土地上，人们生活着……他们的思想、他们的词语就在那里，与这土、这水融合在一起”（150）。在“吴哥吹笛人”（152-56）一节中，作者细致地描写了悠扬、神秘而美丽的笛声，它并不是乐器本身的音乐，而是“与每一件东西结为一体，明明白白地来自大地、枯树、坍塌的老墙”（155）。音符是“凝视风景”（155）的目光，是笛子对世界的所见、所说。吹笛人、笛子、笛声是统一的存在。这部分文字与勒克莱齐奥在1969年发表在《费加罗文学》上的文章《致一位泰国女性友人的信》十分相似。在这篇文章中，作家写道：“欧洲人与泰国人的最大不同之处在于，欧洲人生活着，但是他们与世界是割裂开来的，而泰国人则从来不会与世界割裂开来”，相反，他们“每个人与……自然、事物、生命联结”，“不存在什么可憎的分析，所以也不存在将人与真实分开的不可见的纱幕”（« Lettre à une amie thaïe » 13）。奥冈看到，田野里、河流上、寺庙中，人的活动与世界的活动具有一样的节奏。不需要什么概念，只需要身体与世界的直接接触，这就打破了西方社会主体与客体的对立，而重新走向两者的融合，“自我中心主义”随即坍塌。

在人与世界的统一中，“词语不再存在，思想和行为也不再存在，只剩下时间在空间延展”（149–150）。在欧洲，作者多次描写西方现代世界语言的爆炸，到处都是噪音，但是这些声音无法被听见，到处都是文字，但是这些文字都不被理解。在那里，“连思考都不可能”（12），“真相丢失了”（24）。但是亚洲教会奥冈另一种语言：沉默。它不是“安静”，“不是不讲话，也不是停止思索”，而是“抵达语言之外的一个领域”，“可以说这是活跃的沉默，是人与世界间一种积极的平等关系”（149）¹。这种语言产生于人与现实之间的幕布落下之后，即产生于人与世界的联结中。说到底，这种沉默是“节奏的和谐”（149）。独木舟的引擎声、歌唱的声音、吟诗的声音、舞蹈的音乐、乐器的曲调与自然界的雨、风的节奏相互呼应、相互交融，“这些节奏都是沉默”（151）。正是这种节奏可以抵挡“噪音和战争的侵犯”、“仇恨和焦虑”（151），语言的牢笼就此打破。在其后来的创作中，如《物质狂喜》、《另一边的旅行》、《大地上的陌生人》以及一系列描写非洲、美洲的作品中，都可以看到作家对“沉默”、“节奏”的书写。总而言之，亚洲文化的要义在于“协同人与承载其存在的大地的关系，协同人的意识与宇宙的意识”（«Lettre à une amie thaïe» 14）。勒克莱齐奥再一次改变了19世纪末20世纪初东游作家构建的关于亚洲的刻板印象。亚洲之于他的价值，“不在于对异域性或者回归原初的渴望，也不在于某些复古主义思想，而在于他们的认知不是扎根于二元对立的思想，他们知道如何去除外与内、看与被看、人类思想与周遭世界之间的界线”（Suzuki 137），即打破西方笛卡尔式的主体与客体的分离。

在关于亚洲的这一节中，有这样一句话，“我²忘不了这趟旅行，这从思想到物质生活的过渡”（149）。紧接着，叙述人物由第三人称的“他”转为第一人称的“我”：奥冈、《逃之书》的叙述者与作家勒克莱齐奥三者身份在此融为一体。将这一节的文字与《致一位泰国女性友人的信》的文字对照，可以说，作家把自己在亚洲的思想经历移到了《逃之书》的人物奥冈身上。但是，作家本人对亚洲的这种肯定其实并不是一开始就存在的。1966年，勒克莱齐奥作为技术援外人员第一次抵达泰国曼谷时³，其实遭遇的是深深的失落与失望。他坦诚当时自己之所以去往亚洲是想要“最大程度的改变”（Albo 26）。在此之前，他对亚洲的认识基本局限于印度文化与宗教，所以，他期待在泰国找到一种类似于印度文化的存在（Albo 27），即一种精神性。但是，

1 同样的话也出现在《致一位泰国女性友人的信》中。Le Clézio, «Lettre à une amie thaïe.» *Le Figaro littéraire*, 12 janvier (1969):13.

2 法语原文是 *On ne peut pas oublier ce voyage, ce passage de la pensée dans la vie matérielle*。王文融将 *on* 译成“人们”，笔者认为，结合上下文，在这里应当译成“我”，因为这里既指奥冈，也指作家本人。并且，在下一段，叙述人物直接变成了“我”。

3 作家最初的意愿是要来中国，但因种种原因没有实现。

与期待相反，他发现泰国是一个“没有文化的国家”，一个“意识完全缺失的社会”，人们“像植物一般生活”，即一种“完全物质的生活”（Borderie 11）。因此，当时的作家并不能接受“从思想到物质生活的过渡”。但是，两年后，《致一位泰国女性友人的信》与《逃之书》中关于亚洲以及泰国的书写完全不同，作家从鄙弃它的物质生活到发现这种物质生活中的智慧，他意识到，欧洲所谓的精神生活实际上是对现实的逃避，而亚洲的物质生活则是与现实的靠近。

当我们谈及《逃之书》中的亚洲时，它主要包含了印度、东南亚国家（越南、柬埔寨等）、中国以及日本。在作家看来，这些位于不同地域的国家在现代化的进程中地理景观逐渐趋同。但是，这些不同的东方国家具有一种“东方思想的一致性”（Zhang Lu 91），这种思想正是真正的“异域性”。在访谈中，他说“印度思想与中国思想（道家思想）之间存在一种共同的东西”，即“平衡性”（Zhang Lu 91）。而这两种思想与日本的禅学也具有相似的内核。这一“东方思想的一致性”贯穿了作家 70 年代的作品。勒克莱齐奥与 20 上半叶的东游法国作家不同——例如米修在《野蛮人在亚洲》这一著作中就提到，印度、中国与日本从根本上而言是不同的——他在表面异质性的亚洲文化中发现了它们的共同性，这一共同性正是东方思想的核心，也是其区别于西方思想的关键。

19 世纪末 20 世纪初，洛蒂、克洛代尔、马尔罗、谢阁兰、米修等法国作家因为不同的动因和追求来到亚洲，并且用文字构建了不同的亚洲形象。洛蒂、马尔罗等“是在 19 世纪末 20 世纪初殖民文学和异国主义浪潮的鼓动下，或出于异国情调的迷恋，或出于猎奇、探险的激情”来到亚洲，他们笔下的亚洲“充满浓重的异国主义情调和文化冒险色彩”。而谢阁兰、米修等作家则是因为“对自身文明的怀疑和绝望”来到亚洲，他们怀着“更自觉的意识”，“为了寻求根治西方文明危机的‘药方’”，他们笔下的亚洲“带有更多的文化历险和精神探魅的色彩”（钱林森 208）。这些作家更多地醉心于亚洲与欧洲的“差异”，他们追求新的理想世界，试图解开自身文明的桎梏。在某种程度上而言，勒克莱齐奥更接近谢阁兰与米修，而不是洛蒂、马尔罗。逃离欧洲的奥冈的确是想在异域寻找到一些东西，一些能够解决西方社会存在困境的可能的方式。但是，勒克莱齐奥与谢阁兰、米修又并不完全相同。他具有清醒的意识，觉察到了现代性对整个世界的影晌；他寻求“异”的存在，但是并不迷恋“异”的存在。并且，他也不追求理想化的世界，并没有像谢阁兰或者米修那样将亚洲美化。他逃离了西方面对东方的三种态度：“仰观的启蒙态度，俯视的殖民态度，以及将异域作为装饰的游客态度”（黄蓓 220）。

《逃之书》中的亚洲“并不仅仅在于一个物质有形的空间，一个地理或人文的巧合的结果，而在于空间的一种特定的理念或感知”（钱林森 300），“一

个人与宇宙、与万物都处于变通、谐和的神话空间”（钱林森 301）。作为欧洲之外的异域，勒克莱齐奥的亚洲又与美洲、非洲有着某种呼应关系。它们构成了作家“本体论意义上的彼岸”（钱林森 303）。正是在这个意义上，亚洲成了作家笔下关于人类本质存在的寓言世界。

三、亚洲、美洲与非洲：同一个寓言世界

大部分评论者都认为，勒克莱齐奥在墨西哥的经历，尤其是 1970—1974 年在巴拿马森林的生活改变了作家，让他发现了一种新的人与世界关系的模式以及一种新的语言。但实际上，从《逃之书》以及当时的访谈可以看出，作家最先是在亚洲获得了启悟。

《逃之书》中的亚洲作为一种积极的他者是勒克莱齐奥本人思想变化的结果与表现。为何会发生这种变化呢？铃木正雄认为，这是作家本人“在对意识的追寻中观念深化的结果”（Suzuki 71）。而我们认为，更重要的原因恐怕是 1967 年作家在美洲墨西哥的经历。无论是《致一位泰国女性友人的信》还是《逃之书》，都是作家在去往墨西哥之后对泰国重新审视后的结果。在《逃之书》中，亚洲是欧洲与美洲的中转站，换言之，是一种桥梁；同时，亚洲与南美洲具有一种镜像关系。首先，奥冈遇见的南美洲与亚洲一样，在现代化的进程中，各个城市失去了独特的个性，地理层面的异域风情已经很难再找寻到（235），同时它们又不曾逃离贫穷的阴影（238—39, 244—47）。其次，墨西哥与亚洲一样同，经历了侵略战争。在这一部分，作家对西方的殖民主义进行了严厉的谴责（265—66, 272—74, 295—97）：“白人总是偷光所有人的东西”，“偷够了土地和奴隶后，便开始偷文化”（273），他们曾杀害印第安人、越南人、墨西哥人、秘鲁人——这在某种程度揭开了前文中亚洲模糊的战争记忆。结尾处，作者描写了一座墨西哥东部的村庄，“阳光下的一座小公墓”（292），种种细节都与亚洲本多岛的描写相互呼应。再者，奥冈在墨西哥也重新发现了一种新的人与世界的关系，即一种直接、融合的关系。作者在一系列与墨西哥相关的著作中多次强调“印第安人与世界不是分离的”（Haï 111），对于他们而言，“人的经历内涵在宇宙的经历之中”（Haï 15），这与其在亚洲的发现惊人地一致。最后，奥冈在墨西哥重新认识了语言的本质（267—71），这与他在亚洲发现的“节奏的和谐”、“沉默”相呼应。奥冈在惠乔人所说的语言中发现“语言恰恰谈论的不是词与物。它是一个意味着归属的自然行为”（270），这种语言“不是一种意义体系，而是一种宗教、政治和家庭的关系”（271），因此，它“解放了西方人异化意识的思想结构与语言结构”（Marguerite Le Clézio 533）。与亚洲“吴哥吹笛人”一节相对应，作者还专门描写了南美洲“库斯科的吹笛人”（276—79），音乐声“变成简单的人的气息”，“与现实不再有任何关系”（279），这不是音乐，而是“叫喊”（277）：吹笛人、笛声与世界是一种交融的关系。无论是描写的内容还

是描写的结构，奥冈经过的亚洲与南美洲墨西哥具有一种内在的相似性¹。

这种呼应关系再一次凸显了勒克莱齐奥与20世纪初法国其它东游作家的不同。毋庸置疑，对于那些作家而言，亚洲、美洲、非洲作为欧洲之外的世界，其共同点在于原始野蛮、异域风情或者理想主义的乐园，除此之外，甚少有什么文化、思想的共通性。但是勒克莱齐奥却在这些看似异质性的文化中发现了一种共同的东西。他曾多次在访谈中谈到，在他看来，东方思想与墨西哥印第安人思想以及非洲的原始主义思想具有一种相似的内核。比如，中国的道家思想与美洲印第安人的思想都强调二元性，印度的《吠陀经》等典籍中表现的对平衡的追寻与中国道家思想、非洲的原始主义思想也极其相似²。这种欧洲之外不同文化间的对话、回响表明，在勒克莱齐奥的创作中，亚洲、美洲、非洲甚至大洋洲（《看不见的大陆》）这些欧洲之外的异域，尽管地理、历史有千差万别，但是它们对人与世界的关系、对语言等认识具有共同性，这促使这些不同的异域构成了一个与西方、欧洲相对的异的世界，或者说寓言的世界。

诚然，旅行中的奥冈在异域寻求“异”，但是作为“白种人”，“他追寻的并不是他们（被遗忘的民族）与我们（欧洲人）的不同之处（异域性与相对主义的方式），而是他们与我们共有的价值，是他们依然能教导现在以及未来的人们的东西”（Salle 94）。许多评论者认为勒克莱齐奥多异域世界的书写表现了他对失去的天堂的怀念、对原始主义的赞美、对“野蛮人”的推崇。但实际上，作家本人始终都否认自己具有原始主义的倾向，他也从来没有将异域理想化，他所关注的是人类共同的命运，是存在的共同困境。亚洲、美洲或者非洲不是什么天堂。奥冈说：“（应当爱异的国度）因为它和我的国家一样，是这世界的的一个地点……怎能不被这样多的天然矛盾、恬静和暴力、肮脏和美丽所打动呢？这些矛盾是实实在在的。地球既非仙境，又非天堂。因而它也不是地狱。”（148）奥冈具有一种世界主义的视角，在他看来，亚洲与欧洲一样，与其它任何地方一样，都是世界的一部分、宇宙的一部分，无所谓先进与落后、天堂与地狱，它们并不是一个更加完美的世界。正如他在描写印第安人文化的作品中写的那样：“世界的每一个角落都承载着相似的不幸与痛苦”（La fête Chantée 190）。但是，它们在某些方面的确具有一种不同于西方文化的智慧。由此可见，《逃之书》中的“去异域性”也是一种对人类共同性的肯定，在承认、尊重、保留异域的异质性的同时，更应当发现人类的共同性。

1 铃木正雄认为，墨西哥文化对作家产生的三个重要影响是：1 从混沌走向一种人与宇宙的协同；2 沉默与语言的整合；3 重新找到童年。参见 Suzuki, Masao. *J.-M.G. Le Clézio: Evolution spirituelle et littéraire par-delà l'Occident moderne* (Paris: L'Harmattan, 2007): 159-210.

2 参见 Zhang Lu, «Entretien avec J.-M.G. Le Clézio sur les philosophies orientales et leurs rapports avec l'Occident.» *Cahiers Le Clézio* 8(2016): 91.

勒克莱齐奥是米修忠实的读者，但是他并没有亦步亦趋跟在米修的后面。两人都曾去过亚洲与美洲，都撰写过与这两片土地相关的文章。勒克莱齐奥先去了亚洲，之后去了美洲。米修先去了美洲，之后去了亚洲，并先后创作了《厄瓜多尔》（1929）、《一个野蛮人在亚洲》（1933）。勒克莱齐奥在亚洲一开始只有失望——这种失望在他去了墨西哥之后发生了改变，变成了一种赞许——但是，米修在亚洲则发现了新生的乐趣。勒克莱齐奥在美洲墨西哥经历了一种精神的蜕变，但是米修在美洲的厄瓜多尔只留下了痛苦的回忆。只是，勒克莱齐奥一开始在泰国失望的理由与米修在厄瓜多尔失望的理由几乎一模一样，即某种期待中的精神性的缺失。他们都想在异域找寻“精神”，找到的却是“物质生活”。米修先后去了土耳其、意大利、北非，最后在亚洲的印度和中国找到了自己一直都在寻找的东西。在印度，个人的精神与神是统一的，个人与外在世界没有差别，依靠冥思、精神之力，人便可与神合二为一。在中国，尽管宗教性很弱，但是中国的绘画、戏剧、书法等艺术无不表现出一种内在性与精神性。在米修看来，内在的、精神的生活引导东方人更加注重个人的完善而不是外在的物质世界，这也正是诗人自身的追求。勒克莱齐奥恰恰是在美洲墨西哥领悟了相似的智慧，然后，他以此反观泰国之旅，重新认识了泰国以及亚洲文化中一种人与世界、与真实紧密相连的思想。正如铃木正雄所言，无论是勒克莱齐奥还是米修都痴迷于“神奇的国度”、“另一边的旅行”，这些都与亚洲文化（印度哲学、宗教，中国道家思想，日本禅学）所推崇的物我同一的世界观相似。不同的是，米修认为东方代表一种内在性、精神性，西方代表一种外在性、物质性，他坚持内在高于外在、精神高于物质；而勒克莱齐奥追求的则是内与外的平衡、统一、融合¹。

结语

从早期阅读获得的对东方的认识（向往），到第一次的亲密接触（靠近），到再一次重新认识（远离），勒克莱齐奥对东方的认识并不是一成不变的，经历了一个从肯定到否定再到肯定的过程。《逃之书》中的亚洲往往都是通过奥冈的身体知觉表现出来，尤其是通过看与被看这一关系表现出来。但是，在这一关系中并没有一般意义上所说的统治与被统治、占据与被占据的意思。奥冈的目光更加接近“现象学式”的目光，他只是如摄影机一样客观地描写亚洲，甚少带有主观的情绪。作者描写欧洲之外的世界，“不是为了将海外的装饰物纳入欧洲人的视域中，而是关注其它文明本身，并不以西方的标准去评判他们”（Gilles Manceron 11）。无论是奥冈还是作家本人都没有作为西方人的优越感，没有将亚洲纳入自身的审美范畴中，实行自我对他者的占

1 参见 Suzuki, Masao. *J.-M.G. Le Clézio: Evolution spirituelle et littéraire par-delà l'Occident moderne* (Paris: L'Harmattan, 2007), 81.

领。同时，文本中的亚洲作为他者的存在，没有取消自我，也没有替代自我。对于作家而言，“异域性从来不是否认自己的本源，向往一种理想化的别样的文化世界，相反，它是要保持自我与他者之间的距离，从一种感觉的、思想的角度去体察这种自身的特殊性与他者的特殊性之间必然的互动关系”（Gilles Manceron 13）。换言之，勒克莱齐奥赞赏的是一种“关系的诗学”¹，即不同文化之间的共存与对话。

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市民、传媒、科学与小说：18世纪以降英国小说演变之跨学科考察

Citizen, Media, Science and Novel: A Cross-disciplinary Investigation of the Evolution of British Novel Since 18th Century

蒋承勇 (Jiang Chengyong)

内容摘要：英国小说从文艺复兴至17世纪还处于雏型期，而在18世纪之所以能够“成型”和“崛起”，则得益于城市的发展、市民阶层的形成和市民文化的兴起，同时也因为此时说的现实性或真实性审美品格应和了市民大众的阅读与审美趣味，市民阅读的增长反过来激励了作家的创作。19世纪印刷技术和传播媒介的革新则使小说产量剧增，加速了小说阅读的普及和读者群体结构的变化，小说进一步走向大众、走向繁荣与成熟，19世纪也被称为“小说的世纪”。19世纪同时也是“科学的世纪”，自然科学理念的渗透促进了小说审美品格的嬗变，无论是作家还是读者都更喜好小说故事的现实性和真实性，作家则把小说文本的内容作为“历史”和“事实”去描写。20世纪新的科学理念的渗透使作家对19世纪小说观念产生不满与反叛，进而追求一种新的“真实性”审美品格，从而导致了英国小说艺术形式与表现方式的新变革。

关键词：市民阶层；大众阅读；传播媒介；自然科学；真实性；英国小说

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Title: Citizen, Media, Science and Novel: A Cross-disciplinary Investigation of the Evolution of British Novel Since 18th Century

Abstract: During the period from Renaissance to 17th Century, British novel had been in its state of miniature. However, in 18th century it came into “being” and “rose” due to the development of cities, the formation of citizen stratum and the rise of citizen culture. Meanwhile, since the reality and authenticity of novels catered to the reading taste of citizens, the increase of citizens’ reading stimulated the creative writing of writers in return. The revolution in the printing technology and media in 19th century boosted the volume of novel writing dramatically and

accelerated the popularization of novel reading and the change of readership structure. As a result, novels went further to the mass, became more prosperous and mature. 19th century was called “a century of novels”. It was also “a century of science”. The ideas from natural sciences influenced the evolution of the aesthetic quality of novels. Writers as well as readers preferred the reality and authenticity of novels and pursued the contents of novels’ texts as “history” and “facts”. The permeation of new scientific ideas in 20th century made writers be discontented with and rebel against the notions of novels in 19th century, pursuing a new “authentic” aesthetic quality, which led to the new revolution of British novels in artistic form and mode of representation.

Key words: citizen stratum; mass reading; media; natural science; authenticity; British novel

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英国现代小说的成型与成熟始于 18 世纪，那是伴随着英国近现代史的步伐走过来的，或者说是伴随着英国社会的现代化步伐走过来的，是现代文化发展变革的历史产物。而在此之前，从文艺复兴至 17 世纪是英国小说的发端阶段或雏型期，其内在文本模式从古老的叙事方式中逐步成熟起来 (Richard Kroll 4-5)，经历了从韵文叙事文学向散文叙事文学的转型。“雏型期”英国小说的基本特点是：小说创作多取材于圣经、神话故事和民间传说，也有的取材于具有现实意义的历史题材，而直接取材于现实生活的则较少，因此，现代小说意义上的那种现实性或真实性还显得比较弱。作为叙事文学，此时的英国小说通常以一个人物为中心直线式展开情节，故事较单一，结构教简单；在人物形象的塑造上，此时作品中的形象都比较夸张，明显具有传奇文学的虚构性，现实感和性格完整性不强。这些都说明，17 世纪及其以前的英国小说尚未脱离英雄史诗与传奇的母本，艺术上不够成熟，处于雏型状态。本文从市民阶层的兴起与大众读者的壮大、印刷技术与传播媒介的革新、科学技术的突破与科学理念的渗透等宽泛的文化因素出发，考察、辨析英国现代小说的成型、崛起与繁荣及其审美品格之嬗变的外部原因及互动关系。

一、市民阶层的兴起与“市民大众的史诗”

用英国著名小说理论家伊恩·瓦特的话讲：在 18 世纪，古老的叙事文学发展成了现代意义上的“小说” (Ian Watt 70)。所谓现代意义上的“小说”，除了叙事艺术、表现技巧上的“现代化”之外，很重要的一点是小说文本所

表现的内容贴近日常生活,更富真实感,能够为更多的普通民众所接受。

小说要从 16、17 世纪被冷落于诗歌与戏剧一旁的边缘状态走出来,进而昂首崛起于诗歌与戏剧之前,首先需要拥有读者大众。18 世纪的欧洲,既是“自由思想开始形成”(Berlin 29)的世纪,也是“现代世界”逐步产生的世纪,尤其在工业化、城市化处于领先地位的英国,文学所面对的新大众是市民阶层。市民阶层作为新兴的阶级,有自己独特的世俗化价值观念和大众化审美趣味,他们在文学接受的期待视野上趋于通俗化,而小说恰恰与这种大众价值观念和审美趣味相契合,“因为小说的文本内容总是带世俗化倾向,小说的接受范围也带有大众化的特征,这两点都集中体现于市民生活之中”(徐岱 91)。这个时期,小说是“影响英国国民生活的最重要的艺术”(Leavis 354)。所以,黑格尔称小说是“近代市民大众的史诗”(黑格尔 167)。“从 1774 年后,很多失去版权保护的书大量印刷、销售,书价下降,低收入的人也买得起书了,读者群就迅速扩大”(戴联斌 133)。从 18 世纪中叶开始,小说在英国已经成为一种独立的文学形式普遍地在民众中流行,小说写作的队伍也日渐壮大,“到了 1750 年,小说的文化意义已十分重大,有力地影响——在某些方面甚至可以说是决定——任何一个对小说创作感兴趣的人(不论是男是女)的职业选择”(Hunter 28)。就小说家来说,他们往往都认为自己创作的小说文本的现实性和真实性,并希望通过小说“创作一部历史足以体现自己权威的历史著作,从而获得他在从事其他社会活动所无法企及的声誉”(Ray 133)。可见,英国小说在 18 世纪之所以能够“成型”和“崛起”,很大程度上得益于社会的发展和市民阶层的兴起,同时也因为小说这种文学样式应和了市民大众的精神文化需求。在这个意义上,社会的发展和市民大众的精神文化需求成就了小说的发展与成型,并影响着这一时期小说的艺术风格与审美品格——现实性或真实性。

18 世纪英国文坛上最令人注目的是现实主义小说。“现实主义”一词含义丰富,在不同时期拥有不同的艺术与人文内涵,而这里主要指当时英国小说普遍反映现实生活、描写普通市民、表达作家对生活的真实感受的那种真实感和现实感。这种小说“既反映已经发生了的事又力图促成事情的发生,它既包含了再现,又意味着修饰”(Hunter 133),从而有别于 16、17 世纪“雏型期”小说及传奇故事,它完全以一种新的面貌与姿态出现在读者面前。

丹尼尔·笛福被英国小说批评家伊恩·瓦特誉为“我们的第一位小说家”(Watt 80),是英国最先出现的 18 世纪现实主义小说家。笛福的自传体小说《鲁滨逊漂流记》是他对小说真实性的一个实践范本,而他所说的“真实性”则集中在个人生活体验的真实性上,由此又强调了小说文本与生活现实的一致性。这部作品既标志着 18 世纪英国现实主义小说的诞生,也标志着现代意义上的英国小说的形成。笛福之后的理查逊则用书信体小说表达人的真实感受,把关注的焦点从笛福式的小说文本世界与外在生活的对位,转向了文本世界

与人的情感心理世界的对位，成功地将心理分析与情感描写引进小说，从而引领了英国现实主义小说的主观心理真实之路。英国18世纪现实主义小说由亨利·菲尔丁推向了高峰，他的“喜剧性散文史诗”以幽默讽刺的手法，广泛地描写了18世纪英国万花筒一般的社会生活，在人性开掘的真实性、深刻性和故事叙述的曲折性、复杂性方面作出了有益的探索与贡献，从而拓展了18世纪英国现实主义小说的内涵。

除了现实主义小说外，为18世纪英国小说的“崛起”与“成型”做出贡献的还有感伤主义小说和哥特式小说。劳伦斯·斯特恩是英国感伤主义小说的代表。他的《感伤的旅行》特别擅长于抒发主观的感情和心理分析，把小说的叙述对象从外部转向了人的内心世界和心理真实。因此，这种心理“感伤”不仅从另一种审美角度应和了现实主义小说的现实感和真实感，而且也从心理真实的层面投合了市民大众的阅读趣味。

“哥特式小说”兴起于18世纪中后期的英国，代表作家是霍勒斯沃尔波尔。如果说从笛福到菲尔丁的现实主义小说注重日常生活真实的描写，斯特恩的感伤主义小说注重内心世界的描写，那么，哥特式小说则注重从超现实的角度叙述离奇变幻的故事，给人一种新的观察事物的视角，让事物以一种全新的面目展示在读者眼前，从而满足了市民大众对小说趣味多元化的审美心理需求。

总之，在市民阶层形成、大众阅读兴起的社会历史与文化背景下，现实主义小说、感伤主义小说和哥特式小说为主的多种小说品种，共同促成了18世纪英国小说的“崛起”与“成型”，使小说这一文学体裁更趋完善。概而言之，“成型期”的英国小说有以下共同特征：第一、“真实”成为小说创作的重要理念，因而，小说成了文学家反映生活、表现生活真实感受的重要手段与方式，阅读小说也成了普通民众观察生活和情感宣泄的重要渠道，成了文化传播的重要媒介。第二，以虚构的方式描写当下生活中的普通人，而非以往的传说人物或神话人物，而且，开始重视人物性格的刻画和复杂人性的揭示，对人的心理情感分析在小说中占有一定的位置。第三、作家们对故事叙述的技巧更为重视也更成熟，小说的情节显得曲折、生动，因此，小说的可读性、娱乐性增强，但叙述方式上仍然与流浪汉小说较近，中心人物主要为推进情节服务，故事情节以单线发展为主。因此，从叙事技巧的角度看，18世纪英国小说处在“故事小说阶段”或“生活故事化的展示阶段”（刘建军 78）。18世纪英国小说的这种形式和审美特征，都应和了特定时期读者大众的阅读与审美趣味，这反过来也促进了具有特定审美特征之小说的成型。

二、传播媒介的变革与“小说的世纪”

无论哪位作家，其文学创作要得到世人的熟知和认可，都离不开作品的传播。文学经典的生成与传播需要媒介的承载，而媒介是十分宽泛的，不

同时期的传播方式不尽相同。从古代的口口相传到文字的抄写流传，再到印刷品的出现，乃至现在的电子网络媒介，媒介与传播方式的变化无疑关乎文学艺术发展方式与速度。如果说莎士比亚的成名是仰仗于当时为上至女王下至广大市民所喜爱的舞台戏剧这一表演性传播方式，因而成为那个时代文学艺术的弄潮儿，那么 19 世纪作家的成功，则与当时印刷技术革新后出版业和报刊传媒的快速发展息息相关。

现代报纸是印刷技术革新的产物，它对小说的传播与繁荣起到了重要作用。“现代报纸”是指有固定名称、面向公众、定期、连续发行的，以刊载新闻和评论为主，通常散页印刷，不装订、没有封面的纸质出版物。报纸的诞生最早要追溯到中国战国时期（也有人说是西汉），当时的人们把官府用以抄发皇帝谕旨和臣僚奏议等文件及有关政治情况的刊物，称为《邸报》。11 世纪左右（中国北宋时期）中国毕升发明了活字印刷，并流传到欧洲，大大促进了印刷品的数量，也丰富了印刷品的种类。欧洲最早开始使用印刷术印报大约是在 1450 年，那时的报纸并非天天出版，只是在有新的消息时才临时刊印。1609 年，德国人索恩出版了《艾维苏事务报》，每周出版一次，这是世界上最早定期出版的报纸。不久，报纸便在欧洲流行起来，消息报道的来源一般都依赖于联系广泛的商人。1650 年德国人蒂莫特里茨出版了日报，虽然只坚持发行了三个月左右，但这是世界上第一份日报。

17、18 世纪欧洲各国的资产阶级革命如火如荼，以报道新闻事件为宗旨的报纸也由此在欧洲各国相继发行，并被越来越多的人所喜爱和接受。工业革命促进了社会生产力飞速发展，从而将报业带入一个新时期——以普通民众为读者对象的时期。相对于封建社会时期的贵族化、小众化，资产阶级革命时期的报刊具有了大众化倾向。由于报纸售价低廉，内容也日渐迎合下层民众的口味，使得读者范围不断扩大。当然，这一时期的“大众化”只是初具形态。19 世纪下半叶到 20 世纪初，报纸真正实现了从“小众”到“大众”的质的飞跃，报纸的发行量直线上升，由过去的几万份增加到十几万份，几十万份乃至上百万份；读者的范围也不断扩大，由过去的政界，工商界等上层人士到中下层人士，它宣告了“大众传媒”时代的到来。从英国的情况来看，1476 年威廉·卡克斯顿在威斯敏斯特建立了第一家印刷厂，从此印刷术被正式引入英国。之后的一百多年，英国各地陆续出现了一些不定期新闻印刷品，内容通常是对某些重大事件进行报道。18 世纪 50 年代，英国出版物大约有 100 种左右，到了 18 世纪 90 年代，每年的平均数量急剧增长到 370 种左右；19 世纪 20 年代，又增加到 500 种，到 19 世纪 50 年代则有 2600 种（威廉斯 109-110）。其时，“连载的通俗小说几乎成为 19 世纪一些发达国家的普遍现象，在法国便有欧仁苏、雨果和大仲马等迷住一代读者的小说作者。”（朱虹 90）报纸业从“小众”到“大众”的民间化之路，

恰恰是小说从贵族走向普通民众之路。文学阅读——尤其是小说阅读，在报纸连载这种新的小说发布方式的推动下，迅速成为普通大众的基本文化生活方式。报纸在新时代对小说的传播、繁荣与经典的“淘洗”起到了媒介作用。

19世纪初印刷技术的革新，有力促进了英国图书市场的发展；与传统的精致高价的出版物相比，市场上出现了一种廉价的定期再版丛书方式的印刷品。这种丛书大量印刷，每册只卖6便士。小说以定期连载方式出现在这些廉价的小册子上，不同层次的人都可以买到并阅读，这使小说的阅读人数显著扩大，促进了小说的发展。“英国的19世纪上半叶，是小说的黄金时期，小说数量之多达到空前。根据一种统计，1820年出版新小说26种，1850年增至100种，而到1864年竟增至300种了。另一种统计，数字更加惊人：1800年以年前最高产量为40种，1822年增至600种，而到世纪中期竟达2600种之多”（朱虹89）。图书出版方式的更新，促进了图书市场的发展。“18世纪以来，小说传统的出版形式是三卷本，定价一个半吉尼，属奢侈品；普通市民可望不可即。19世纪初，租赁小说的图书馆在城市广泛设立，对普及小说起了重要作用。”“19世纪小说的兴盛与过去有所不同。这时形成了现代意义上的图书市场。作家（生产者）——出版者——读者（买主）都是这个市场上的不同环节”（朱虹89）。

总之，印刷技术的更新，加速了新闻报刊、图书出版业和图书市场的发展，同时促进了小说产量的剧增，也促进了小说阅读的普及和读者群体结构的变化。这意味着小说作为一种文学形式进一步走向了大众。“小说对于维多利亞时代就如戏剧对于伊莉莎白时代和电视对于今日一样重要”（罗伯兹293）。毫无疑问，19世纪的英国小说是借助于报刊与出版的大众传媒新渠道得以传播与繁荣的；19世纪现实主义小说是在新传播媒介里“淘洗”出来。

在此，我们以查尔斯·狄更斯为例，考察传播媒介对小说繁荣所起的决定性作用。狄更斯是在当时的新传播媒介里成长起来的英国19世纪小说家代表，是他把19世纪英国小说推向了繁荣之巅。

早期的狄更斯是借助报纸创作合乎大众口味的连载小说的“写手”面目出现于文坛的。他15岁踏入社会，第一份给他带来收入的工作是在一家律师事务所做小伙记。20岁时狄更斯成为下议院的采访记者，正式进入了报界，从此与报纸结下不解之缘。他长期从事记者和编辑的工作，先后为《议会之镜报》、《真实太阳报》、《时事晨报》、《时事晚报》等报纸工作。1846年1月21日他创办《每日新闻》，自任主编，出版十七期后请辞；1850年他创办杂志《家常话》；1859年又创办《一年四季》。不仅如此，他的文学作品大量的都是以报刊杂志的分期连载方式与读者见面的。其成名作《匹克威克外传》就是首先在报纸上连载的，受欢迎的程度可以说开创了小说出版史上的奇迹。

连载小说必须具有可读性，要用生动曲折的故事把读者日复一日地吸引住。“狄更斯的小说通常分章回，按月连载。所以，一想到正在等候的排字工人，他会有一种急迫感，也许从来没有过在此种条件下写作的小说家”(Ford 217)。这种写作状态颇似我们今天的某些网络文学写手。狄更斯在创作《匹克威克外传》之初，“不知道如何写下去，更不知如何结尾。他没有拟订任何提纲，对于自己的人物成竹在胸，把他们推入社会，并跟随着他们”(莫洛亚 20)。随着狄更斯名声日盛，拥有的读者愈来愈多，他在创作中也就愈为读者所左右，千方百计地想使自己的小说不让那些如饥似渴般翘首以待的读者们失望。“由于广大读者日益增多，就需要将作品简单到人人能读的程度才能满足这样一大批读者。……读者太广泛的作者也许很想为最差的读者创作。尤其是狄更斯，他爱名誉，又需要物质上获得成功”(莫洛亚 78)。狄更斯常常将读者当“上帝”，自己则竭尽“仆人”之责。为了让读者能继续看他的连载小说，“他随时可以变更小说的线索，以迎合读者的趣味”(莫洛亚 78)。他“常常根据读者的意见、要求来改变创作计划，把人物写得合乎读者的胃口，使一度让读者兴趣下降的连载小说重新调起他们的胃口”(莫洛亚 78)。为了吸引住当时在狄更斯看来拥有远大前途的中产阶级读者，“他的作品虽然着力描写了下层社会，但常常为了迎合中产阶级的阅读趣味，描写一些不无天真的化敌为友的故事”(Pykett 5)。狄更斯总是一边忙于写小说，一边关注读者对他的小说的趣味动向。所以，“人们很难确定到底是他被读者牵着鼻子走，还是他牵着读者的鼻子走”(Blair 221)。狄更斯的创作与读者之间这种“息息相关”、“休戚与共”的关系，既很好地发挥并开掘了他想象的天赋和编故事的才能，也促成了他的小说的故事性、趣味性和娱乐性。狄更斯小说创作对读者的高度依赖和自觉迎合，满足了读者的阅读趣味和娱乐需求；读者的阅读趣味和娱乐期待也反过来激励了狄更斯对故事性的刻意追求。所以，“故事”成全了“娱乐”，“娱乐”也成就了“故事”、成就了作家和出版商，其间的因果关系，实在是一种说不清的循环链。“19世纪上半叶由连载小说开路，通俗小说打开市场，进入极盛时期，而狄更斯则是它的无冕之王”(朱虹 91)。很大程度上可以说，是报刊杂志的连载以及出版业、出版商成就了狄更斯。其实，在当时，与此相仿的并不仅仅狄更斯一人。

正是随着报纸、杂志和图书出版等传播媒介的新发展，英国19世纪上半叶成了盛产小说的年代，长篇小说以空前多的数量问世，读小说成了民众的主要娱乐方式。虽然，诗歌创作在19世纪的欧洲依然势头不减，但小说成了人们更青睐的读物。正如英国作家安东尼特罗洛普(Anthony Trollope)所说，19世纪的英国“变成了一个惯于读小说的民族。平时近乎人手一册，上至国家首相，下至厨房的女佣人都在看小说”(Gilmour 1)。读小说成了19世纪英国一道靓丽的文化风景线。经过18世纪小说家们的“助跑”，到了19世纪，英国的小说就“腾空而起”，成了叱咤文坛的雄鹰。因此，从文学与文化发

展史的角度看，19世纪的英国文坛可谓是“小说的世纪”，也即英国小说的繁荣期。

三、科学理念的渗透与“真实性”审美品格之嬗变

与整个欧洲小说相仿，英国小说是随着社会现代化的历史而发展的，也可以说是现代化的产物，而自然科学则是现代化的骄子。小说这种文学样式的发展演进，是以现代化进程中的人对周围世界和自我认识之兴趣的增进为推动力的，这种“兴趣”包含着一种生发于求知、求真的好奇心，其间，不乏科学理念的渗透。也就是说，到了19世纪，小说读者在好奇心驱使下的娱乐性阅读中，求知、求真的心理在有力地攀升。从审美品格的角度看，这个时期的小说比以往任何时候都更关注现实，“小说与社会之间的关系显得格外的密切”（Gilmour 4）。其实，此前人们对即使是作为小说之前身的叙事文学——神话、史诗和传奇——的阅读心理，那“‘好奇心’也从来不曾完全脱离过‘好真心’的约束控制”（徐岱 93）。因为，事实上神话、史诗和传奇“其记载的故事，当然并非全是事实，但很难说是虚构，它是虚假的故事与以讹传讹的事迹相混淆在一起，装点成实有其事”（坪内逍遥 93）。人们即使是在阅读传奇这种被认为十分虚假的文学作品时，也一定程度地怀着“信以为真”的心理去看待其中的人与事的。而随着人类文化的不断演进，人们对叙事文学阅读趣味从关心遥远时代的传说转到身边琐事和自我本身，传奇之类的叙事文学也就演变成了小说，“真实”的理念也就得到了强化。到了19世纪，自然科学的快速发展拓宽了人们的视野，增强了欧洲人认识自然、改造自然、征服自然的自信心与乐观精神，在19世纪这个“科学的世纪”（也即“科学崇拜的世纪”），自然科学的求真、求知理念强有力地渗透到小说美学之中。在西方人的文化观念中，19世纪是一个自然科学取代了上帝的时代，是一个理性崇拜的时代，是西方理性主义文化发展到了高峰的时代。此时，人们更坚定了三个信念：人是理性的动物；人凭借科学与理性可以把握自然的规律与世界的秩序；人可以征服自然、改造社会。对自然科学的崇拜，使人们对科学的理解不仅仅限于科学本身，而是用科学的方法去研究一切问题，包括人类社会。英国科学史家丹皮尔曾指出：

在19世纪的上半期，科学就已经开始影响人类的其他活动与哲学了。排除情感的科学研究方法，把观察、逻辑推理与实验有效地结合起来的科学方法，在其他学科中，也极合用。到19世纪的中叶，人们就开始认识到这种趋势。（丹皮尔 262）

科学的这种影响在19世纪的欧洲形成了与以其他世纪明显不同的普遍风气：任何其他学科，唯有运用自然科学的方法才令人信服。正如赫尔姆霍

茨所说：“绝对地无条件地尊重事实，抱着忠诚的态度来搜集事实，对表面现象表示相当的怀疑，在一切情况下都努力探讨因果关系并假定其存在，这一切都是本世纪与以前几个世纪不同的地方”（Helmholtz 33）。不仅如此，19世纪的许多人还以借助理性思维和科学方法，建立一门科学并相应有一整套严密的概念、定理、范式予以支持，这被认为是一种非常荣耀的事，为此，人们称这是一个“思想体系的时代”（阿金 2）。恩格斯也对当时的这种现实深有感触地说：“在当时人们是动不动就要建立体系的，谁不建立体系就不配生活在 19 世纪”（马克思恩格斯选集 212）。不管是在理论观念层面还是在具体的创作实践当中，西方文学中的所谓“写实”，并非一成不变，而是处于不断生成的动态历史过程之中的（Auerbach 3-23）。正是上述这种区别于以前世纪的精神文化风气，影响着文学的发展。于是，无论是小说家还是读者，对小说文本都有了比 18 世纪更强的“真实性”要求，尤其是作家们，常常把小说创作看成对现实社会的研究、实验、解剖与评判，把自己创作的小说文本之内容作为“历史”和“事实”去追求。因而，此时许多作家的创作，对小说文本故事“虚构”的技巧和水平的高低，在于其内容的逼真性程度。这种小说理念影响到了这一时代读者的阅读心理，那就是：强烈的好奇心运载着强烈的求真心，从而迎来了一种不同于 18 世纪现实主义小说的“批判现实主义”小说。我以为，自然科学理念的渗透，通过读者和作家两种渠道，影响了 19 世纪英国小说文本的真实性审美品格。

如上所述的狄更斯，其小说创作一方面因迎合读者大众故事性、娱乐性的审美期待，另一方面更是顾及其“求真”的心理企求，他的小说也就不至于一味地流于纯娱乐化而成为低层次的通俗小说；追求真实性、描写广阔的社会生活画面、富有道德责任感和社会责任感等等，使狄更斯小说具备了文学经典的品位。但是，与法国巴尔扎克、福楼拜等小说家相比，狄更斯的现实主义明显具有主观性和情感性特征。他注重人物形象的塑造，他笔下的人物性格单纯而不单薄，个性鲜明，栩栩如生，对人性的发掘有深度。威廉·梅克皮斯·萨克雷没有描写狄更斯那样广阔的生活场景，而是描写如他自己所说的“家常的琐碎”，但他的小说在自然、平和中塑造了真实的人物，描写了富有真实感的故事。为了使作品富有真实感与感染力，他运用独具特色的叙述策略，有意模糊小说叙述者、作品人物与读者三者之间的界线，形成了自己的叙述风格。勃朗特姐妹在英国 19 世纪小说画卷中闪烁着奇特光彩，在当时就拥有广泛的读者。特别是夏洛蒂·勃朗特的《简·爱》和艾米莉·勃朗特的《呼啸山庄》无论在形象塑造和故事叙述的技巧上，都称得上英国小说乃至欧洲小说史上具有真实性品格现实主义小说杰作。托马斯·哈代是 19 世纪英国继狄更斯之后最伟大的小说家，他为 19 世纪中后期的英国小说撑起了半壁江山。他的创作继承维多利亚时期小说的现实主义精神，又昭示着现代小说新的思想和艺术特征，他把严肃而深邃的哲思渗透到传统的现实主义小说

形式中。

综观 19 世纪的英国现实主义小说可见，在“真实性”理念指导下，作家对现实生活的反映广阔而全面，小说除了具有娱乐与审美作用外，社会认识与道德评判功能达到了空前的高度。

20 世纪是英国小说的创新、变革时期，“变革”的根本是真实观，而这与科学理念的进一步渗透直接相关。如前所述，从“传奇”到“小说”的演变，真实观就是对“小说”这一文体具有质的规定性的核心概念；从最初雏型期的小说到 19 世纪成熟期的小说，真实观内涵的变化也是小说演进发展的重要标志。19 世纪现实主义小说家在自然科学的实证性理念的影响下，对小说之真实性的追求达到了空前的高度，而当“真实地反映生活”成为小说创作的一种固定规则时，对之怀疑与超越的企图就悄然在作家中萌生了。而且，如同 19 世纪小说真实观受当时科学与文化之影响而成为一种审美品格一样，20 世纪科学的新发展则促使作家们对 19 世纪之真实观的不满与反叛，并追求一种新的“真实”的审美品格。

在西方文化史上，从亚理斯多德以来，科学的的目的都是在寻找客观的规律和秩序，以逻辑的、实证的方式求证一个稳定的、可以认识与把握的世界。因此，人们相信，“世界中的一切现象都被先验地认为是某种原因的结果，而这些原因都有其自身的法则。秩序建立在原因结果的基础之上。不能找到原因的结果超出了科学的范围，就是违反逻辑的。不能被原因和结果这一法则解释的现象都是偶然，偶然无疑也与科学的目的形成对立”（易丹 55）。正是基于这种机械宇宙观，19 世纪欧洲人面对世界时才有了那种自信与乐观。他们认为，“人运用科学手段——如望远镜和数学计算——和理性思辨，就能够认识这个世界中的任何一条固定的法则，找到任何一种现象内部的根本原因”（易丹 55）。这种宇宙观也支撑起了 19 世纪现实主义小说家对小说真实性追求的坚定信念。然而，20 世纪科学的新发展轰毁了机械宇宙观的“幻想”。爱因斯坦的相对论告诉人们：在貌似稳定的世界和宇宙里，一切都是不牢靠的；许多现象的产生并没有固定的原因和必然的规律；传统逻辑的、实证的认识方法并不一定能把握人们面对的世界。于此同时，现代心理学和哲学打破了传统的思维模式，开阔了人的视野，把人们的目光从客观物理世界转向主观心理世界。人们发现，理性所认识和把握的外在世界并不是真实的世界，而无序的直觉才是唯一的真实。因为，人们所面对的外部世界并不是稳定不变的，一切都没有绝对性标准，只有人的内在感觉才是最真实的。克罗奇认为，只有心灵世界才是唯一真实的存在。柏格森认为，人的生命的冲动是一种不能截止的“绵延”，它不断变化、活动、创造，而自我的生命冲动是时间绵延的根本动力，人的内在感觉则是时间的衡量标准，自我的感觉顺序就是时间的绵延。弗洛伊德则进一步把目光投向人的心灵深处，认为无意识是一个无限广阔的世界。萨特则赋予人的心灵意识最高最真之意义，

认为外部世界是“自在的存在”，人的意识是“自为的存在”，自在的存在是一片混沌，是一个巨大的“虚无”，没有原因、没有目的、没有必然性，永远是“不透明的”、“昏暗的”、“非逻辑的”没有意义的东西；而自为的存在才是真实的，自在的存在只能依附于自为的存在，为自为的存在设立对象才能有意义。20世纪科学的发展及其所带来的宇宙观的变化，深深影响了文学。

现代主义作为20世纪的“先锋文学”，其首要特征就是反传统、图变革、求创新。在英国的文坛上，现代主义倾向的小说家就是新宇宙观的接受者和拥护者，因此，他们不再重视“如眼所见”的外部生活世界，而是关注心灵世界对外部世界的主观感受，注重表现一种形而上的存在，一种感觉的、心理的真实；而心理的、主观的存在和行为是一种无序的、破碎的印象的集合过程，因此，要客观、准确地反映这种心理行为和心理真实，传统的狄更斯式的故事叙述已难以奏效，于是，在表现手法与技巧上也必须标新立异、另辟蹊径。英国的现代主义小说就以一种崭新的面目雄踞文坛，开创了20世纪英国小说的新局面。这里，不同的真实观是英国现代主义小说与19世纪现实主义小说的最根本的差异。

英国现代主义小说的产生是以表现主观真实的心理小说的出现为主要标志的。这种现代特征的心理小说最先从19世纪末的亨利·詹姆斯的创作开始。詹姆斯坚持19世纪现实主义小说的真实性原则，但他认为，真正真实的不是外部的、表象的生活，而是人的内心生活。他在《小说艺术》中指出，“一部小说成功与否，决定于它在何种程度上揭示了此心灵与他心灵的差异”(James 430)。他的小说关注的是人对生活的真实体验与感悟。所以，詹姆斯被批评家称之为“细微意识的史学家”(the historian of consciousness)，也有的称他为“心理现实主义”作家。可见，詹姆斯是沿着“心理真实”的方向开辟现代主义小说之先河的。到了20世纪初，这种“心理真实”小说在弗洛伊德精神分析理论的影响下得到了进一步的发展，代表性的是两种流向。一种是D·H·劳伦斯为代表的以揭示性心理为主的心理探索小说，另一种是以乔伊斯和伍尔夫为代表的意识流小说。

劳伦斯的小说在结构形态及对社会的批判意义上，仍具有传统现实主义小说特征，但是，更为重要的是，他的“独特的审美意识及其深入探索人类心灵的黑暗王国的心理小说使其成为一名出类拔萃而又与众不同的现代主义者”(李维屏 224)。就劳伦斯来说，这里的“黑暗王国的心理”主要是指人的性心理，性的心理几乎是他的小说的中心题材。他企图通过性心理的描写来揭示工业文明时代人的自然本性；他把性的和谐作为对现代工业文明时代的人的拯救，把性与爱的和谐看成人性的回归。正是在这种追求中，劳伦斯拓展了小说表现的领域，体现了小说揭示人性的深度，引领了英国小说的一种新取向。

真正把英国心理小说推向高峰的是乔伊斯和伍尔夫。詹姆斯·乔伊斯是英国现代主义小说的杰出代表，他毕生致力于小说艺术的变革与创新。他的创作具有鲜明的实验性，这种实验性的最集中、最突出的表现是：他把小说描写的焦点集聚在人的意识上，把笔触深入到人的精神活动的底层——潜意识，表现那飘忽混乱的思绪与感觉，生动逼真地展示自然和非逻辑状态的心理流动的过程。在乔伊斯看来，小说家如果能够把描写的焦点集聚于人物的精神世界，以理性的手法表现非理性状态的精神世界，就能真实地反映生活，揭示生活的本质。这显然是意识流作家所拥有的现代意义上的真实观。乔伊斯的意识流小说有力地推进了英国小说的艺术变革，也推动着整个西方现代小说的巨大变革。弗吉尼亚·伍尔夫也是一位实验小说家、意识流小说的倡导者之一和杰出的现代主义代表。她与乔伊斯几乎同时倡导与实践意识流小说，但又有自己独特的追求与贡献。她像乔伊斯一样关注人物的精神世界，揭示人的真实的精神-心理的感受，但她又格外重视表现人的精神世界的技巧与形式，因此，她的小说在心理时间、叙述方法、结构布局等方面为意识流小说和现代小说做出了新的探索，她的小说在形式上与传统小说拉开了更大的距离，从而表现了她对小说形式的创新与变革。

第二次世界大战以后，英国小说出现了一次新的转折，即现代主义的小说发展成了后现代主义小说。后现代主义小说既是现代主义小说的延续，又是对现代主义小说的超越与反叛。后现代主义小说家否定了小说文本能通过语言来反映生活真实（包括心理真实），而认为小说文本只能用语言构筑一个虚构的无意义的世界，无真实性可言。后现代主义小说家对“真实”的这种颠覆性理解，无疑同后结构主义哲学影响有关。后结构主义试图用解构主义的理论推翻结构主义，有明显的怀疑主义和虚无主义倾向。它要瓦解几千年来西方传统哲学观念，否定一切终极永恒的东西，否定整体性、确定性、目的论之类的概念，拒绝一切试图重设深度模式的哲学和重设中心的企图，主张无限制的开放性、多元性和相对性。关于文学，它否定作品在它们使用的语言范围内可能确定自己的结构、整体性和含义。后结构主义的这种哲学思想对英国后现代主义小说有直接影响，因而，在后现代主义小说家看来，小说是作家凭想象力虚构出来的语言文本，既然是“虚构”，就无法反映真实，“真实”与“虚构”是互相对立的。在此，“真实”被“虚构”取代，可见后现代主义小说在“解构”了小说自它产生以来一直追求与恪守的“真实”这一根本性原则之后，回归到了“虚构”。于是，文学史上从传奇到小说的发展历程就成了“虚构→真实→虚构”的历史循环。显然这不是历史的重复，而在很大程度上是一种否定之否定。因为，后现代小说的“虚构”与传奇文学的虚构有明的不同内涵。后现代主义小说的“虚构”实质是要模糊小说文本内容之真实与虚构的界限，是“事实与虚构的交混”（the fusion of fact and fiction），达到一种以假乱真、真假难辨的效果。当然，正是这种真假难辨

之效果，消解了小说接受过程中的真实感。正是真实性之被颠覆，后现代主义小说的叙事方法、结构特点、语言风格、表现技巧等等，都出现了实验性的变革，在艺术形式上不无“板端形式主义”倾向，这在一定程度上消解了既有的小说概念，所以这种小说又具有“反小说”特征。但不管怎么说，后现代小说的这种实验与探索，丰富了小说的内涵，推进了小说的变革与创新。

英国后现代主义小说的主要代表有塞缪尔·贝克特、劳伦斯·达雷尔、约翰·福尔斯和 B.S. 约翰逊等，他们超越既往的小说创作规范，自由地进行着小说艺术的实验，使英国小说在情节、结构、人物、语言等方面都发生了革命性变化。概括地说，“贝克特创造性地发展了一种‘能容纳混乱’和‘荒诞小说’，达雷尔热衷于构筑他按照平等关系发展的‘重奏’小说，福尔斯别出心裁地推出事与虚构混为一体的‘超小说’，而 B.S. 约翰逊则毫无顾忌地将小说形式的革新推向了极端”（李维屏 328）。

总之，20 世纪英国小说在真实观问题上，既存在着认识论哲学基础止的客观真实性（即传统现实主义倾向的外部真实）和主观真实性（即现代主义我倾向的心理真实）理念，又存在着本体论哲学基础上的非真实性（即后现代主义倾向的“虚构”）理念，因此，小说文本既有力求真实反映日常生活，具有深刻认识价值与社会批判意义的现实主义形态，又有展示主观心理世界、追求形而上的深度意义的现代主义形态，还有试图用新的语言体系构建一个虚构世界，追求文本结构的无序性、非逻辑性和意义的不确定性的后现代主义形态，不同形态的小说普遍具有内倾性特征，关注对人的精神 - 心理世界的展示。较之 19 世纪现实主义小说，20 世纪现实主义倾向的小说加强了对人的心理的描述；现代主义倾向的小说则力图在理性原则规约下展示人的自然状态的精神 - 心理世界；后现代主义倾向的小说则力图在小说文本中展示一种荒诞的精神 - 心理体验。

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论威廉·布莱克创作中的诗画共生

A Study of the Symbiosis between Poetry and Painting in William Blake's Works

应宜文 (Ying Yiwen)

内容摘要: 本文探究威廉·布莱克诗画的可视形象,以共生创构方式深化诗意,展现一种跨界融合的诗歌审美意象。他的诗画以线条统领全文,构成“点睛”之笔,成为复活诗意之想象力,融会贯穿诗歌与绘画之间通感的一座桥梁。通过图像考辨,首次总结其诗画视觉设计的八种创构类型,解析各时期布莱克作品的不同特征与风格。他将视觉形象的塑造与文辞符号的表达一体化,消除诗歌与绘画之间的“分水岭”,使两者相互依存、融合共生,呈现自然生发、两全其美的创作状态。他的诗画合体范式对西方近现代诗学与艺术发展产生了深远影响。

关键词: 威廉·布莱克; 诗画共生; 线条; 可视形象; 视觉设计

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Title: A Study of the Symbiosis between Poetry and Painting in William Blake's Works

Abstract: The aim of the article is to research William Blake's visible images of poetry and painting, which could promote poetic inspiration and artistic conception through visualized symbiosis methods. Blake's works exhibit one kind of interdisciplinary poetic aesthetic imagery. In his poetry and painting, visible elements of lines become the key points and control over the full poems to revive imagination of poetry. Lines could be regarded as the bridge and mirror between poetry and painting in harmony. Through the close reading and methodical review of images and poetic texts, the article generalizes eight original types of Blake's poems and paintings by the view of visual design, and analyses different distinguishing features and idioms of his works at all ages. His creation of visual images and expression of diction symbols are an organic whole without watershed between poems and paintings. His compromise symbiosis between poetry and

painting is mutually attached to expression, which would be considered as one kind of innovation state of mind and method satisfactory to both sides. Blake's conjunctive form of poetry and painting made a profound impact on western poetry and art studies in modern times.

Key words: William Blake; symbiosis between poetry and painting; line; visible image; design of visualization

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引言

18世纪中期,英国希冀本土艺术得到蓬勃发展,使其与当时被誉为“艺术之都”的法国相媲美。随之,伦敦的装饰与艺术产业(Decorative and Artistic Trades)逐渐兴盛,英国美术教育从社会中、上阶层挖掘具有艺术潜力的年轻一代,培养并资助青少年从事纯艺术创作(Phillips 19)。1760年,伦敦艺术家统筹中心首次举办年度艺术展赛,为杰出艺术传承人颁奖(Myrone 201)。威廉·布莱克(William Blake, 1757-1827)幸运地出生在“英国艺术兴起”的时代。他十岁进入由威廉·希普利(William Shipley)创建的亨利·帕斯美术学校(Henry Pars's drawing school)接受绘画启蒙教育及美术基本功训练(Phillips 12)。他的老师威廉·帕斯(William Pars)曾游学希腊、涉猎亚洲艺术并擅于摹绘经典的古希腊建筑画,布莱克受老师帕斯的影响间接地学习古希腊艺术及接触亚洲艺术,他将老师的古希腊建筑画以镌刻方法再现出来,一鸣惊人地展露了他化用古今的艺术才华。布莱克还曾临摹各种古典艺术模型,他向古典艺术学习的热情与天赋感动了亚伯拉罕·兰福德(Abraham Langford),当时规模盛大的兰福德拍卖中,使他有幸亲眼鉴赏到古典艺术以及文艺复兴大师的真迹,其中包括拉斐尔(Raphael)、米开朗基罗(Michael Angelo)、艾伯特·丢勒(Albrecht Durer)等(Phillips 25),可谓转益多师、博学众长,开阔并提高了布莱克的艺术眼界。

1772年,布莱克成为版画家詹姆斯·巴塞(James Basire)的学徒,巴塞擅长刻绘古籍书以及历史人物肖像,独具慧眼的布莱克热衷于研习这两种雕刻技巧并深悟其中的奥妙,使他很快能熟练驾驭不同版画技法完成高难度的作品。七年版画求学历程,使布莱克不仅深入领会文艺复兴大师的作品且磨练了他从事铜版雕刻、蚀刻和点刻的创作技能。1779年,布莱克获得英国皇家艺术学院(Royal Academy of Art)深造机会(Vaughan 21)。杰出的艺术家必然是各种艺术熏陶与技能训练合乎逻辑的结合,对于他这样艺术悟性极高的天才来说,接受系统而严谨的学院派艺术修炼,无疑是一种锦上添花

的拓展。这为他日后从事诗歌与绘画合体创作奠定基础，也对他日后表现诗歌中的“可视化”因素起到关键作用。他的传世作品《天真与经验之歌》（*Songs of Innocence and of Experience*）、《天堂与地狱的婚姻》（*The Marriage of Heaven and Hell*）、《美国：一个预言》（*America a Prophecy*）、《欧洲：一个预言》（*Europe a Prophecy*）和《尤里森之书》（*The First Book of Urizen*）等皆为诗画合体范式。

一、线条：诗与画通感的桥梁

布莱克诗画中遍布可视的线条是贯通诗歌意旨的“指挥棒”。他通过连绵回绕、灵动万变的线条表达融入在字里行间的情感、诗歌的涵义、语汇的节奏、艺术的思维与想象力的源泉。首先，布莱克的诗画以线条统领全文，延续变化的线条构成“写诗点睛”之笔。诸如《经验之歌》（*Songs of Experience*）诗画原作第53页《学校里的男孩》（“The School Boy”）采用植物凝成的线条营造画面气氛，发挥线条的魅力来直抒胸臆；如《天堂与地狱的婚姻》（*The Marriage of Heaven and Hell*）诗画原作第21-24页中所用精巧的线条不仅富有装饰美感和节奏韵律，并成为诗歌导读与分段的重要符号；又如《弥尔顿之诗》（*Milton a Poem*）诗画原作第9页体现为生动的线条、布局的巧思与意境的奇幻，首尾呼应、此起彼伏的线条是布莱克心迹的自然流露，这是一幅充满想象力的佳作。

其次，布莱克的诗画创作使笔者不禁联想起德国文艺复兴代表画家汉斯·何尔拜因（Hans Holbein）精密细致的线条之美。布莱克的诗歌以绘画达意采用“纯粹的线条刻绘”汲取了丢勒（Albrecht Durer）的画风及意大利版画家马冈东尼奥·莱蒙迪（Marcantonio Raimondi）精于控制线条及刻画轮廓线（Phillips 11），布莱克创作中“收放自如”运用线条的例子举不胜举，诸如《美国：一个预言》（*America a Prophecy*）诗画原作第12页的诗文展示，以线条表现张弛、形义与空间留白。在《摇篮之歌》（“A Cradle Song”）诗画原作中“甚至未出现任何实体形象，仅仅依托诗文的书法和抽象灵动的线条，再现了诗歌的意境与想象”（应宜文，“布莱克《天真与经验之歌》的书法之美”147）。同诗集的《春》（*Spring*）以充满意趣的线条烘托一种欢腾鼓舞的氛围，诗文与线条交相辉映形成画面的主旋律，使人们感受到春天的欢乐之情。布莱克擅用线条表达诗意与情感，可见他深受文艺复兴艺术家的影响而师古创新的印迹。

再者，2016年笔者在伦敦泰特美术馆（Tate Britain Gallery）欣赏布莱克诗画原作展。《天真之歌》（*Songs of Innocence*）卷首页展现出精妙的诗文，健逸的字体，纯熟的技巧，流畅的线条，诗歌与画境相互映衬，视像与诗意互为生发，这是一种诗意盎然、意在笔先的创作。布莱克画境中的线条为势而行呈现了一种图像化的表达方式，诗词的每一个字母都在述说着诗歌的内

涵,涌现出一种独特的视觉美感,体现与中国古代六书之一“象形”造字法(何九盈 3865)具有异曲同工之妙的“象形”元素,从而引导读者深入作者的思想情怀之中。“一幅好的英文书法作品跟东方书法一样,能表达一种抽象的意境,启迪人们的思维,给人以一种趣味无穷的美的享受”(闵志平 1)。布莱克的典型作品有《瑟尔之书》(*The Book of Thel*)诗画原作第 1 页的标题“THEL”一词的线条体势一笔而成,挥洒自如犹如中国草书之章法。又如《罗斯之歌》(*The Song of Los*)诗画原作的封面页“The Song of Los”字形如画动静交错,用字装饰图给人们一种空灵超然之感,仿佛布莱克创造了一种舒展、俊朗的英文新书体。

笔者认为,布莱克对线条的创造力可谓独步一时,他于 1826 年完成的作品《拉奥孔》(*Laocoon*)图中甚至将诗句及文字聚合成一排排“句线”,环绕在主体图像四周,图像与“句线”凝集成图与底的一对守恒的空间,视觉效果上互为装饰达到最佳状态。诗意与线条融合的代表作《一个梦想》(“A Dream”)的字体亦然转化成一种绘画元素,英文字母“A”和“D”的字形演化为飘逸而富有节奏感的线条,其间穿梭着姿态各异、优美可掬、活泼生动的人物形象,字母与线条巧妙地联成一体美不胜收。显然,可视化的线条是布莱克表达诗篇韵律、抒发思想情感、复活诗意之想象力、再现诗歌画境的表现方式,也是他融会贯穿文学、诗歌与绘画之间通感的一座桥梁。

二、设计:可视形象的创构类型

布莱克诗歌的可视因素体现在他精心构思的画境之中,展示图像与诗歌互文见义的设计。“由诗歌的艺术转换成视觉的艺术,由表现情节的诗文再创为追求画面意境的视觉语言更是一项漫长艰难的创举”(应宜文,“布莱克与多雷《神曲》诗画创作比较”75)。他的多部原作都将诗与画设计成可视的艺术形象,采用不拘一格的字形映衬画境,又用灵妙唯美的绘画烘托诗文,展现诗画共生的视觉想象天地。比较布莱克的传世作品,笔者发现可分为门式围合型、窗式围合型、上下配置型、左右配置型、图底融合型、多层分阶型、图绘想象型、书体想象型八种视觉设计类型。

第一种门式围合型:通过抽象线条、植物图形或字体设计使画面总体呈门框样式的构图形式。第二种窗式围合型:通过抽象线条、植物图形或字体设计使画面总体呈窗户样式的构图形式。第一种类型的典型作品《瑟尔之书》原作封面页(*The Book of Thel*, front cover)、《美国:一个预言》原作第 9 页(*America a Prophecy*, plate 9)¹等。第二种类型的代表作品《天真与经验之歌》原作第 49 页“一棵毒树”(Songs of Innocence and of Experience, plate 49: “A Poison Tree”)、《罗斯之歌》原作第 6 页“亚洲”(The Song of Los, page 6: “Asia”)

1 以下有关布莱克典型作品或代表作品的图例均选自: Bindman, David. *William Blake: The Completed Illuminated Books* (London: Thames & Hudson, 2000).

等。这两种类型具有相似之处，创作构思上都以“门框”或“窗户”样式作为构图依衬，突出了诗歌的主题与内容，使诗与画相辅相成，更加引人注目。

第三种上下配置型：绘图与诗文呈有序的上下布局形式，构图呈现上方图下方诗，或相反呈现上方诗下方图。第四种左右配置型：绘图与诗文呈左右布局形式，构图呈现左边图右边诗，或相反呈现左边诗右边图。第三种类型的典型作品《天堂与地狱的婚姻》原作第21页（*The Marriage of Heaven and Hell*, plate 21）、《天真与经验之歌》原作第9页“小黑孩”（*Songs of Innocence and of Experience*, plate 9: “The Little Black Boy”）等。第四种类型的代表作品《天真与经验之歌》原作第36页“小女孩的寻获”（*Songs of Innocence and of Experience*, plate 36: “The Little Girl Found”）、《欧洲：一个预言》原作第9页（*Europe a Prophecy*, page 9）等。这两种类型在构图上呈对立形式，从创作构思而论，“上下”和“左右”的布局形式不仅保持了诗歌版面的完整性及连贯性，又充分映现绘画的叙事情节及艺境，使诗与画互相呼应、更为贴切。

第五种图底融合型：整幅画面将诗文与绘图融合一体，呈“图”与“底”互补互衬的构图形式，字体设计与图像风格一致。第六种多层分阶型：以抽象线条作为穿插，通过字体设计将画面分界，字里行间形成多个层次并使诗歌的段落更为清晰易读。第五种类型的典型作品《天真之歌》原作封面页（*Songs of Innocence*, front cover）、《弥尔顿之诗》原作封面页（*Milton a Poem*, front cover）等。第六种类型的代表作品《天真与经验之歌》原作第16页“摇篮曲”（*Songs of Innocence and of Experience*, plate 16: “A Cradle Song”）、《弥尔顿之诗》原作第25页（*Milton a Poem*, plate 25）等。这两种类型其设计特点是诗文与绘画的表现方式更加融洽，互不可缺。创作思路讲究“诗中有画，画中有诗”两者融合共生、相得益彰，构成相谐的诗画合体范式。

第七种图绘想象型：围绕诗歌创作的绘画占主要画面，图像设计烘托诗歌意境，成为诗歌内涵的表达及延展，产生富于想象力的图绘意识。第八种书体想象型：以诗歌文字占主要画面，字体设计结合线条变化生动形象，表达充满想象力的思绪与抽象表现艺术之美。第七种类型的典型作品《天真之歌》原作第25页“婴儿的欢乐”（*Songs of Innocence*, plate 25: “Infant Joy”）、《欧洲：一个预言》原作第8页和第10页（*Europe a Prophecy*, page 8 and page 10）等。第八种类型的代表作品《天堂与地狱的婚姻》原作第6页和第19页（*The Marriage of Heaven and Hell*, plate 6 and plate 19）、《欧洲：一个预言》原作第14页（*Europe a Prophecy*, page 14）等。这两种类型的设计布局精妙，以图绘或英文书法为主体展开视觉联想，发挥时空想象力及多元艺术表现语汇，使视觉创构的形象与文思表达一体化再现诗歌涵义。

据图像考辨，布莱克早年的诗画创作采用“上下配置型”、“门式围合型”、“窗式围合型”比较普遍，他晚年的作品采用“图绘想象型”、“书体想象型”

颇为常见，而“多层分阶型”、“图底融合型”、“左右配置型”则在他不同时期的多部创作中均有选用，通常被穿插运用于整部诗画作品之中。通过可视形象的分类，我们能够更为整体地、清晰地解析布莱克的诗画创作风格，更为精确地把握他从早期至晚期各阶段的文脉与画理。他早年的诗画作品受到英国传统美术教育的影响更讲究布局、章法、技法等范式，而他晚年的创作意趣悠长融入更多再创造的因素，艺境随兴灵动、个性鲜明，更趋于表达自我的想象与内心世界，达到一种超然物外的境地。



图1 《天真之歌》第15篇《欢笑的歌》，创构类型：上下配置型。



图2 《天真之歌》第25篇《婴儿的欢乐》，创构类型：图绘想象型。

三、共生：视觉意象的自然生发

在“英国艺术兴起”特定时代背景下，布莱克接受过系统而完善的美术教育，从版画学徒到皇家艺术学院深造，使他具备扎实的美术功底与超群的绘画技能。从文艺复兴到19世纪后期，欧洲著名艺术院校培养了一大批专为小说、诗歌、剧本配置插图的画家，因插画而闻名的古斯塔夫·多雷（Gustave Dore）就是其中一位，不仅如此，布莱克于1779年任职的第一份工作也是作为商业插画雕刻师（Phillips 61）。他在雕刻、素描及绘画方面的艺术技能是通过漫长的学习练就而成，然而，并非所有画家都具有文学创作的禀赋，笔者认为，布莱克热爱文学创作，他以诗歌表达他的想象与志趣，他所掌握的各种绘画及雕刻艺能最终是为他创作诗歌服务的。他的创作过程不是待写完

诗歌之后单纯为美化图面而增加绘画，更不是先完成绘画为了弥补画面空缺而填写诗歌，而是诗歌与绘画互为生发创构而成。他在创作时精神饱满、激情澎湃而又充满幻想，蕴藏在他内心的创作思绪倾泻合出、尽情畅怀！

人们在创作过程中皆可能瞬间“闪现”可视的形象，布莱克“擅用夸张而具有视觉创造力的艺术表现手法，表现出一种写意洒脱、出神入化、情趣盎然、充满激情的浪漫主义诗意空间与艺术境界，使诗歌的含蓄美、凝练美、意境美、空灵美、简远美再现于视觉图像之中，形成诗集独具特色的视觉审美意象”（应宜文，“威廉·布莱克画境中的《天真与经验之歌》”135）。对他而言，诗歌仅以文字表述趋于单调而缺乏想象，表现广度和力度均不够到位，不足以表达他全部的梦幻创意，不足以将他脑海中的场景画面全盘呈现，所以，他选择诗画共鸣、共生创构的方式，绘画不但能够还原诗歌叙事情节的景象，还能够还原诗歌的意境并且深化诗歌的涵义，他的诗与画俨然一种自然生发。

布莱克在文学创作方面可谓是天才，他凭借自己的诗歌感悟力与天赋，创作并绘制了多部脍炙人口、口碑载道的“视觉化”诗集。或许是诗歌启发了他的绘画，或许是绘画塑造了他的诗歌，他的诗与画跨界融合，犹如孪生兄弟一般，亦是共生一体。其中《老虎》一诗以图文并茂形式连续被写入教科书并成为青少年必读的范文，是英国家喻户晓的名诗。20世纪以来，他的诗画创作经久不衰、传播甚广，以各种形式被选用在当代海报设计、动漫设计、相册封套、书籍封面之中。正如学者迈伦所述：“他的诗歌与绘画创作以独一无二的方式已融进英国人的血脉之中，实质上，曲尽其妙地体现了英国乃至西方诸国的文化思想”（Myrone 7）。布莱克的诗与画代表着西方艺术文脉的经典传承，诗歌充分体现了他的理想与意志，他的诗学思想既有预言性又富有感染力，其诗画合体范式对西方近现代诗学与艺术发展产生深远影响。

布莱克“可视的诗歌”中蕴涵了他的真知灼见，他塑造的视觉形象与文辞符号的表达是一体化的，他运用直观或抽象的“可视化”形象来表达他的内心情感，运用绘画语言与抽象字体形象的双重法式展开视觉想象以拓展诗意，消除了诗歌与绘画之间的“分水岭”，进而使两者相互依存、互为影响、融合共生，这是一种两全其美的创作状态。他以可视形象展现内心世界的微妙情感，在想象力的驱动下，创生一种诗画共生的视觉艺术领域。诚然，布莱克是一位跨学科、善创造、善想象具有多重天赋的奇才，更不愧为一位独具卓识的“视觉诗人”。

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从爱欲到离欲：论印度《苏尔诗海》艳情诗中的宗教哲思

On the Liberation and Renunciation of Eros in *Sūrasāgara's* Erotic Poetry

王 靖 (Wang Jing)

内容摘要：“爱欲”与“离欲”是印度黑天派文学经典《苏尔诗海》艳情诗所体现的两大主题，但究其根本，“离欲”才是黑天信仰者的最终目的。《苏尔诗海》的艳情诗体现的是黑天信仰者由“爱欲”到“离欲”的过程。从“爱欲”到“离欲”是黑天信仰者获得“喜乐解脱”的必由之路。黑天信仰是实现人类天然欲求与充满压抑的社会现实和谐共存的“乌托邦”，是对印度世俗居家之士的“心灵补偿”。

关键词：苏尔达斯；《苏尔诗海》；艳情诗；黑天信仰；爱欲

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Title: On the Liberation and Renunciation of Eros in *Sūrasāgara's* Erotic Poetry

Abstract: Eros, or liberation of desire, has been long held as the major theme in *Sūrasāgara's* erotic poems. But after careful investigation, we will discover that the renunciation of desire is the ultimate goal of Kṛṣṇa's believers. The erotic poetry of *Sūrasāgara* embodies the thinking process of Kṛṣṇa's believers from eros liberation to renunciation of desire. Such a process is the only way for Kṛṣṇa's believers to obtain their blissful completion. Śri Kṛṣṇa belief or Bhakti is a Utopia where the natural desires of human beings and the cruel and repressive reality of society can be compatible. It is also a psychological compensation for secular men.

Key words: Suradasa; *Sūrasāgara*; Erotic Poetry; Kṛṣṇa Belief; Eros

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马克思曾说，一个淫乐世界和一个悲苦世界这样奇怪地结合在一起的现象，在印度宗教的古老传统里早就显示出来了，印度的宗教“既是纵欲享乐

的宗教，又是自我折磨的禁欲主义的宗教”（马克思 62-63）。纵欲与禁欲、淫乐与离欲原本是两个极端，为什么两者会在古老的印度宗教里奇怪地结合在一起？本文试图以苏尔达斯的颂神诗集《苏尔诗海》中的艳情诗为例对此加以阐释，以期从一个侧面对这种现象进行认知。

苏尔达斯，印度中世纪宗教诗人，是“印度教有形派虔诚文学中最有成就和最有影响的黑天派诗人代表”（姜景奎 173），“在整个印度文学史上都占有重要地位，他以虔诚诗人著称”（刘安武 84）。在皈依黑天派之前，苏尔达斯就已经是当地远近闻名的的宗教圣人歌者，但其唱颂的内容却与黑天本事关系不大。在皈依黑天派并受到宗教领袖瓦拉帕大师的开示之后，苏尔达斯以《薄伽梵往世书》为蓝本创作了《苏尔诗海》这部以“欢喜”与“福乐”为主旨和基调的颂神诗集。

苏尔达斯在《苏尔诗海》中主要通过描写毗湿奴大神凡间化身黑天的种种本事和功行，既淋漓尽致地表达了对大神黑天的虔诚与信爱，又行之有效地宣扬了黑天信仰的福乐与果报。其中，展现黑天与罗陀及牧女们欢爱和离别的艳情诗占据了整部诗集近三分之二的篇幅。为什么一个虔诚的宗教诗人会在颂神诗集中如此热衷于艳情的描写呢？“艳情”与“宗教”是如何通过“虔诚”的情感而融合在一起呢？这些问题的答案可在《苏尔诗海》艳情诗所蕴含的“爱欲”与“离欲”两者的关系中窥其一二。

一、会合艳情诗中“爱欲”的特征

《苏尔诗海》的会合艳情诗描述的是牧女与黑天相会和欢爱的情状。其中，黑天与牧女相会时的亲密举动被细细描绘，突出表现的是牧女与黑天相会时产生的身体欢愉，通过相视、抚触和爱语会产生甜蜜的快感，这种外在的快感正是人类“世俗爱欲”的直接表现。然而，作为宗教颂神诗，这类“艳情化”诗并非旨在表达人类的爱欲，而是有其深刻的宗教哲学特征，即通过展现黑天与女子欢爱的艳情诗将人的世俗爱欲转化为对黑天的信爱。其具体过程是通过唱诵或听闻关于黑天的艳情诗歌，产生外在身体的愉悦与快感，体会到与黑天大神纵欲合一的至喜欢愉，将所有感官喜悦全部集中于黑天，对黑天产生狂热与迷醉，达到全身心奉爱的忘我之境，从而将世俗爱欲完全集中于黑天，以摆脱世俗伦理与欲望的束缚。

从描述的内容来看，这类诗不同于《圣经》中的宗教爱情诗，因为其中充满了淋漓尽致的“爱欲”色彩，与其说是情感的流露，不如说是外在身体的快感。“周身打量黑子喜，笑将慧女抱入怀。相拥牙齿咬嘴唇，手抓下巴托抬起。鼻鼻相对紧紧贴，目目互碰轻接触。此间情女望胸前，彼时犹豫挣脱开”（苏尔达斯 634）。从表面上看，这种情爱的描写不仅远离了宗教的“圣洁性”和社会道德的“纯洁性”，而且将世俗的男欢女爱尽其所能地“艳情化”了。

印度宗教哲学中，“爱欲”不仅被认为是人类本能，而且具有浓厚的宗教意味。在印度古典文学传统中，所谓艳情，梵文是 *śṛṅgāra*，即指情爱欲，这种艳情与人类本能的性欲和爱欲密不可分。与这种艳情对应的爱，梵文是 *rati*，意思是“爱恋、迷醉，淫乐、快感，交媾，爱情”。艳情在印度文论中，尤其是印度中世纪之后的味论（美学）范畴中带有浓厚的宗教虔诚信仰，多用于描绘大神黑天与牧女的爱，其中体现的就是虔诚艳情味。（黄宝生 72-73）美国学者霍利评论曰：“苏尔达斯所描绘出的诃利（黑天）之风流，实际上反映了他内心（对于黑天）的虔诚之爱”（Hawley 225）。

《苏尔诗海》的艳情诗所体现的“爱欲”（*rati*），不同于简单的“性欲”。¹黑天与牧女和罗陀之间的爱主要体现的就是人类的情欲本能，这是人类的本能欲求，具体表现为强烈的情爱欲。在一首描写黑天与罗陀在林间幽会的诗中有云：“亲手纱丽装饰身，言说此乃一心愿。女子羞涩面露笑，朝向别处一直瞧。双双精通情爱艺，三界之中无人及。”（苏尔达斯 667-668）诗中的“情爱艺”，原文是 *koka-kalā*（*Vājapeyī* 1067），意思是性学，性爱的艺术。但由此并不能简单地得出结论说《苏尔诗海》艳情诗中的爱欲即是性欲。因为性欲更多地指向人的动物性本能，而《苏尔诗海》则是将人的欲望以“艳情化”、“狂欢化”的方式引向“黑天大神的境界”。实际上，《苏尔诗海》中艳情诗的大部分内容都在描绘黑天与牧女们的嬉戏与舞蹈，强调的是黑天与女子之间的欢爱之情，而非性欲的满足或宣泄。

黑天在印度文化中被看作是完美的爱神，他不同于印度神话中的欲神（*Kāmadeva*）。“欲神”在国内不少有关印度神话的著述中经常被译作“爱神”，事实上，*Kāmadeva* 的主要工作是催发男女的肉体情欲，与具有社会属性和精神需求的“爱情”关系不大，所以，他被译作“欲神”或“欲天”更为恰当。与“欲神”不同，黑天是完美的爱神，凌驾于“欲神”之上，他不仅具有完美的性爱技艺，而且他更能满足女子们的精神欢愉。

在一首有关黑天于怡人月夜同女子们翩翩起舞的艳情诗中，黑天施展神通，显现出无数分身，陪伴在每个牧女身边。他们载歌载舞，共舞情味。情态各异的众女子都沉醉在风流之主黑天的美妙游戏之中。诗人禁不住赞叹，“何述共伴莫亨状”（苏尔达斯 331），此句中“莫亨”的原文是 *mohana*（*Vājapeyī* 621），本义是“迷人的、令人神往的，有吸引力、有魅力的人”，后被用作黑天的名号，指黑天的俊美与迷人，黑天对信徒的无比吸引力。正是因为“莫亨”的陪伴与嬉戏，众女已然沉浸于黑天的魅力之中，满足了自身的情欲需求，“情欲已然迷妙女”（苏尔达斯 331），此句中“情欲”的原文是 *kāma*（*Vājapeyī* 621），这正说明了女子在黑天这里得到和满足的爱欲并非只是肉体的欲求，更是精神上的欢喜和愉悦，或者说这是精神对肉体的回归

1 此处所指“性欲”，原文 *kāma*，作名词时指的是人的情欲、性欲和人的欲望。参见 Śrī Nandadulāre *Vājapeyī*, *Sūrasāgara* (Vārāṅsī: Nāgarīpracariṇī Sabhā, 1964) 621.

与升华，是全身心投入的“奉爱”，是“自我”身、心、灵的完全奉献与牺牲。正是这种虔诚奉爱的感召与驱动，使牧女们对黑天充满了狂热与迷醉，通过与黑天大神的合一，从而达到了忘我的境界。

会合艳情诗表达的主要是对神灵的毫无保留的奉献精神，在黑天的恩泽以及与黑天的合一之中，使“自我”融入无尽的欢喜与福乐之中。“自彼日起心深陷，欲拔不出黑蜂啊”（苏尔达斯 956），牧女对“俊美身”黑天迷恋不已，因为牧女的“自我”在与黑天的“神我”接近合一中得到了忘我的“至喜”与“福乐”。这种欢喜与福乐是人类“爱欲”的毫无压抑的自由表达。

“爱欲”是人类社会历久弥新的话题，但对这种话题的探讨，长久以来，人们多侧重于“爱”而有意回避了“欲”。弗洛伊德认识到这个问题，将“爱”的问题与“欲”结合起来，从“欲”的角度对人及人类文明进行了较为深入的探讨。在弗洛伊德看来，“欲”是 *eros*，¹ 指人的性本能，人类本能的欲求及后天的行为都源自于这种被社会文明所压抑的“爱欲”本能。弗洛伊德认为，“文明以持久地征服人的本能为基础”，“人的本能需要的自由满足与文明社会是相抵触的，因为进步的先决条件是克制和延迟这种满足”（马尔库塞 1），人类个体的本能性欲与人类社会的文明和文化的发展是相抵触的，在漫长又残酷的历史进程中，这种人类个体的本能性欲慢慢受到社会文化的“驯化”，而转化为“爱欲”，进而在社会文明中升华为“爱情”。在社会文明中，“性欲因爱而获得了尊严”（马尔库塞 131）。社会文明对于“力比多”² 进行了改造，把它从限于生殖器至上的性欲改造成对整个人格的爱欲化。这是力比多的扩展，这种扩展是将个人欲求扩大至私人关系和社会关系的领域，这种对个体本能性欲的社会化扩展，即由性欲扩展至爱，沟通了由社会文明的压抑而造成的个体本能欲求与社会文明及文化进步之间的鸿沟。在这种“社会化的扩展机构”中，被改造过的“力比多”得到了自由地发展，“性欲”本能得到了自我升华。

在《苏尔诗海》的艳情诗中，苏尔达斯实际上早已接触到“爱欲与文明”的问题。黑天信仰正是这样一个“社会化扩展机构”，人类原始的本能性欲在其中得到了升华，信仰者的性欲本能转化为对黑天的虔诚与“信爱”。尽管《苏尔诗海》中“爱欲”的概念与西方精神心理学的认知有某些契合之处，都偏重于人类的天性本能，但苏尔达斯对爱欲的展现及其对爱欲与文明问题的接触是在宗教帷幕的掩饰下进行的，这与弗洛伊德、马尔库塞从社会、文明的角度所做出的探讨有所不同；不过，即便如此，《苏尔诗海》中的艳情

1 See Herbert Marcuse, *Eros And Civilization: A Philosophical Inquiry into Freud* (Boston: Beacon Press, 1974) 1.

2 力比多, *libido*, 由弗洛伊德提出的泛指“性力”的概念术语, 是一种人类原始的力量, 是一种本能, 是人类精神和心理现象的驱动力, 是被压抑的性的欲望, 同时泛指一切身体器官的快感。

诗依然对人们的心灵和社会产生了极大的振荡与冲击，它冲破了世俗道德和伦理束缚，即使在今天看来，其中所表现出的价值观念依然让人感觉不可思议。

黑天信仰者在唱诵和听闻《苏尔诗海》艳情诗的过程中，会认为自己犹如牧女，或者说自己就是牧女，他们在对黑天的信仰和“奉爱”中得到了如同牧女一般的欢喜与福乐，这种欢喜正是对人类爱欲需求的满足。黑天信仰者将自身的爱欲需求转化到黑天那里，在他们心目中，黑天是充满情味的完美的惟一至高存在。对黑天的全身心奉爱，对黑天的“纵欲”，正是信仰者“离欲”的初步经验：人们抛弃了自我，抛弃了世俗的爱欲；信徒全身心奉献黑天之后，便会忘记世俗的家庭、社会，对之感到厌恶甚至是舍弃，排斥、抗拒各类世俗伦理和道德观念，摆脱身心上的任何束缚：“仿若河流奔入海，那般疾跑向黑子。父母严厉行恫吓，畏惧羞愧丝毫无。……沉浸诃利情爱中，不再遵守世俗礼”（苏尔达斯 400）。牧女舍弃世俗道德、礼义廉耻及家庭关系，不畏家族亲人的威胁和恫吓，不顾忌世俗社会之羞耻道德，决然离家出走，找寻黑天。与黑天相会，获得黑天的情爱是她们惟一的欲望与目的。她们与黑天就如“石灰姜黄着颜色”一般（苏尔达斯 400），姜黄和石灰混合后会变成红色，一方面是说两者已发生化学反应，合二为一，不能分离；另一方面是说两者在一起会产生激情与喜悦，红色代表着极致欢喜与至高福乐，牧女们可以为此不顾一切。抛弃世俗关系与俗世欲求是狂热的信仰者对黑天“奉爱”的最为强烈的表达方式。

黑天信仰者正是通过唱颂和听闻黑天艳情故事，在牧女与黑天的情爱本事中寄托了自身的爱欲需求，通过对黑天的狂热“奉爱”疏散了自身的爱欲。在黑天信仰这个“社会化扩展机构”中，信徒的天然性欲需求转化为对黑天的爱欲，信徒在对黑天的爱欲抒发中获得了精神上的极致欢喜与至高福乐，这种能够获得欢喜与福乐的对神的爱欲使得信徒的本能爱欲出离了社会和家庭关系的世俗之欲。对黑天信徒来说，口诵、耳闻有关牧女与黑天的艳情诗是必要的修行，这是他们最终达到“离欲”和获得“解脱”的必由之路。

二、分离艳情诗中“离欲”的信仰追求

《苏尔诗海》艳情诗展现黑天与牧女之间的爱欲，依据牧女不同的情感状态，可以将这些艳情诗分为会合艳情诗和分离艳情诗。会合艳情诗中，牧女与黑天的欢爱所激发出的外在快感是人类“爱欲”的直接表现；分离艳情诗中，牧女与黑天分离而产生的相思苦痛所激发出的内在心绪是人类“离欲”的必要条件。但究其根本，“离欲”才是黑天信仰者的最终目的。信徒要到达“离欲”状态并不能一蹴而就，需要经历和体会与黑天离别后的十种痛苦状态，逐渐认识到引发痛苦的源头乃是自身欲望，进而主动净化对黑天的爱欲，使

之升华为对黑天的信爱，超越世俗，超越“摩耶”¹。

《苏尔诗海》的分离艳情诗，通过与黑天的分离进一步表达了“离欲”式的“信爱”。与黑天在一起的纵欲使牧女脱离了世俗的爱欲和家庭，而与黑天分离则使牧女们更深一步地体味了“离欲”的痛苦以及从这种痛苦中所生发的“信爱”，这依然是一种艳情，是对“世俗爱欲”的进一步弃绝，是对黑天“爱欲”的进一步净化。通过分离艳情诗，信徒可以体会到与牧女一般的相思离别之苦，正是这种离别之苦的经验，纯净和升华了信徒对黑天的爱欲，通过体验这种离别之苦，黑天信仰者的“爱欲”进一步升华为对黑天的纯粹的“信爱”。这种对黑天的信爱，主要是精神层面的，是需要克服世俗摩耶的迷惑与束缚而达到对黑天的纯净的奉爱。通过这种对黑天的纯粹的精神“信爱”，黑天信仰者达到了真正的内在“离欲”状态。

印度古代哲学早已将“离欲”分为外在和内在两种。《金七十论》卷1中记载，数论派创始人迦毗罗仙人(Kāpila)论离欲有两种，外离欲和内离欲：“外者，于诸财物，已见三时苦恼……因此见故，离欲出家，如是离欲未得解脱……内离欲者……先得内智，次得离欲，因此离欲，故得解脱”（自在黑 1251a）。由此可见，“外离欲”是舍弃身外之物，了断俗情，戒杀害，不被诸外相挂碍，这种“避世的出离”并不能得到真解脱；只有达到身体与精神层面的出离，才能真得解脱，而要达到最终的解脱，“内智”的获得是必要条件。先获得“内智”，之后才能达到身体与精神层面的“内在离欲”，并进一步得“解脱”。这个“内智”，在黑天派看来，只有通过念诵、听闻、唱颂和冥思黑天才能获得。这种“内智”充分表达了对黑天的虔诚与信爱，通过对黑天的纯净信爱，信徒即能达到“内离欲”，并最终获得解脱。

黑天支派的“离欲”，并非是强调身体的厌世弃俗，而是强调在精神层面超脱世俗的迷惑与束缚，即精神层面的“离欲”，在精神上升华对黑天的至高虔爱。信徒无论是出家还是居家，只要身心奉献黑天，在精神上皈依黑天，冥想念诵黑天，就能够时刻与黑天在一起，并得到黑天的庇佑与恩泽。信徒通过“离别之苦”将自身的“世俗之爱”升华至对大神黑天的纯净的“信爱”，这“信爱”虽依托于“世俗之爱”，但却是超越“世俗之爱”的“神之爱”。世俗人类之爱是期望得到报答的爱，而黑天信徒对大神黑天的奉爱是不期望得到报答的爱，没有任何附加的世俗关系，只是纯粹地虔诚奉爱黑天，而不祈求任何回报，不祈求任何事物，全身心地冥思黑天，赞颂黑天，自会得到黑天的庇佑和恩泽，获得欢喜和福乐。牧女通过经历与黑天离别之苦的洗礼，最终她们会将

1 摩耶，māyā，“幻力”，亦被称作“瑜伽摩耶”，Yogamāyā，“瑜伽幻力”，一种奇妙的变化力量。黑天派认为，瑜伽摩耶是大神黑天的原质的创造力，黑天通过瑜伽幻力创造了世界万物，而黑天的自我隐藏在瑜伽幻力中，不生不变。参见毗耶娑：《薄伽梵歌》，黄宝生译（北京：商务印书馆，2010年）77。

的爱欲之情升华至对大神黑天的虔爱之情，从内在精神的层面达到对于世俗关系与世俗爱欲的出离，纯净对黑天的情感。

黑天由于使命需要，离开沃林达林，前往马图拉城，与罗陀和牧女们相分离，牧女们对黑天产生极度思恋，这种相思之爱引发了极大的痛苦，这些描述牧女们离别之苦的诗构成了《苏尔诗海》分离艳情诗的主体内容。苏尔达斯通过大量的喻体描写，表达了主体的焦灼和忧虑，展现了饱受相思之苦的牧女所经历的十种状态，分别是渴望、忧虑、回忆、赞美、烦恼、悲叹、疯癫、生病、痴呆和死亡。这些状态突出的重点即是痛苦，由爱欲和渴望而引发的痛苦。“望眼欲穿泪盈盈，胸前衣裳尽湿透。仿若鱼儿与鹧鸪，无水焦灼渴不消。心神不安惶恐极，勿忘我等苦别女。双目候望马图拉，凝神注视眼不眨。无有诃利在此地，饮鸩自尽伯勒杰”（苏尔达斯 1079）。牧女与黑天分离后处于焦灼痛苦之中。苏尔达斯将与黑天离别的牧女比作离开水的鱼儿和渴望天空雨水的鹧鸪，将牧女思恋黑天的情状比作鱼儿与鹧鸪渴望水滴。苏尔达斯意在呈现牧女们渴望的情态。黑天信仰者通过品读此首诗，能够直接感受到牧女与黑天离别的痛苦，这种痛苦的常情爱能够激发出他们内心的潜在印象。再如表现罗陀与黑天离别后处于痴呆、几近死亡的艳情诗：“蓬头垢面牛光女，胸衣浸湿诃利汗，贪恋情爱不浣纱。垂首不向别处顾，仿若输钱赌徒乏。面容枯槁发凌乱，宛如莲花遭霜打。闻诃利信即昏死，离女本苦蜂又蜇”（苏尔达斯 1089）。通过罗陀的痛苦之情，听者能够体会出罗陀这位牧女的忧伤之苦，从而品尝到分离艳情味，这种味之审美的获得会进一步引发听者内心之中相同的痛苦经验，使听者对罗陀的相思苦痛感同身受。

《苏尔诗海》的分离艳情诗通过本体与喻体之间的巧妙转换和运用，栩栩如生地刻画了牧女身受离别相思煎熬的苦痛，这能够激发出黑天信徒的情感共鸣和内心体验。黑天信仰者通过唱诵和闻听这些分离艳情诗，能够体会到与神主黑天的分离而引发的痛苦，这种痛苦源于自身的爱欲和渴望。黑天信徒与神主黑天的分离是客观现实，因为就身体而言，神主黑天不可能出现在信众肉身旁边，这种离别的痛苦是信徒必经的状态。在黑天支派看来，这种离别的苦痛也是神主黑天对于信众的考验，因为只有遭受离别苦痛的煎熬，信徒内心之中对黑天的爱欲才会升华至对黑天的纯净的信爱，艳情诗中由世俗爱欲引发的奉爱才会转变为圣洁的虔爱。

在《苏尔诗海》中，黑天在劝诫伯勒杰的子民之时，要他们“撕掉虚伪之纸张”（苏尔达斯 709-710），指的是超越世俗关系中的爱人关系，母子关系等，超越摩耶对于世人的束缚与迷惑，超越世俗关系中的聚散离别，将这些世俗关系升华为对于大神黑天的虔爱，要时刻牢记与黑天在一起的福乐欢喜，心念黑天。这即是黑天信仰者的“离欲”状态。

三、从爱欲到离欲的“喜乐解脱”

黑天派认为，信徒只有经过从“爱欲”到“离欲”过程的洗礼，才会最终获得“喜乐解脱”。黑天派的解脱观与印度传统的吠檀多哲学所宣扬的无忧无虑的“解脱”不同，黑天信仰者对于黑天的“信爱”与追求即是人类“内在精神”对于“欢喜与福乐”的追求。这种追求是基于对现象世界和世俗生活真实存在的肯定之上的。面对充满种种不如意的世俗生活，黑天信仰者追求的，并非是离俗避世与瑜伽苦行的“无身解脱”，而是“身在世俗，心在黑天”的这种内在精神的解脱——无论在何世，今世或来世，无论在何界，天国还是人间，只要与黑天在一起，就能尽享福乐。

合一与分离、纵欲与离欲，在《苏尔诗海》中是如此奇怪地结合在一起，从世俗、道德、伦理的角度，我们会觉得从纵欲的角度来表现离欲的情感，令人费解，甚至会给人一种畸形的感觉，但在黑天虔诚文学中，任何超常的现象，只要是基于对黑天的虔诚与“奉爱”，便不是什么反常，因为世界的存在与人的灵魂的奥秘，本来就是不可思议的，任何的知识、价值、意义都是不确定的。因此，在《薄伽梵歌》中，黑天教导人们：“你的职责就是行动，永远不要考虑结果；不要为结果而行动，也不固执地不行动。……对于成败，一视同仁……瑜伽就是一视同仁。……具备这种智慧的人，摆脱善行和恶行……摒弃行动的结果，摆脱再生的束缚，达到无病的境界”（毗耶娑 25-26）。这里所谓的“一视同仁”，指的是好坏、善恶、美丑、崇高与低下等等，并没有本质的差别，只要虔诚地向神，一切都没有差别。古代印度文化认为人生与世界充满了痛苦，这种痛苦的主要根源便在于欲望。因此，无论是印度教、佛教、耆那教都曾主张苦行和禁欲，但随着印度宗教文化的发展，禁欲又与纵欲结合在了一起，不过这种纵欲本质上并不是性欲的放纵，而是将宗教情感从思想和心灵的追求上回归于人们日常生活的感受之中，尤其注重对于身体即人的欲望的探究，密教的兴盛便是如此。

《苏尔诗海》的创作，某种程度上有可能受到了原始密教的影响，其艳情诗的纵欲与禁欲奇特的结合，并不是一种独立的现象。但同时它并不像密教那样致力于对性爱秘密的探究，这些艳情诗，从形式上看是描写世俗男女之间的爱情，但究其内涵，会发现其中体现了根植于民间的黑天信仰者对于“离欲”“解脱”的认识，其强调的是对黑天的奉爱和虔信。无论是与黑天的合一还是分离，无论是纵欲还是离欲，表达的都是对黑天的毫无保留的虔诚与“信爱”，惟有如此，方能得到黑天大神的恩泽。

《苏尔诗海》艳情诗中所描述的牧女与完美情人黑天的关系在宗教信仰层面上说，即是指虔诚信徒与大神黑天的关系，这种充满宗教色彩的艳情文化传统与印度中世纪的帕克蒂运动（Bhakti Movement，亦译作“虔诚运动”）亦具有直接关联。该运动主要强调对至高大神的奉爱，这种“奉爱”的信仰

把大神看作是阳性的存在，而把信徒看作是阴性的存在。因此，在以赞颂大神为主旨的印度中世纪宗教虔诚文学作品中，能够看到几乎所有的作者都以女性人称自居，以对大神毫无保留地奉献爱情为主题，赞颂大神，展现自己的虔诚。《苏尔诗海》艳情诗即是如此。作为“虔诚文学”的代表之一，它体现出的“爱欲”与“离欲”思想具有与印度其他宗教派别所不同的哲学内涵。

黑天派的这种认知与他们的群体身份有很大关系。以苏尔达斯所属的布什迪派（Puṣṭi Mārga Sampradāya）为例，该派的创始人和宗教领袖，开明有识的婆罗门瓦拉帕大师（Śrī Vallabhācārya）富于改革精神，反对正统吠檀多哲学所倡导的解脱之道，反对禁欲苦行，主张享受世俗欢乐，提倡享乐主义和幸福之道，因而创立了布什迪派，崇尚福乐之道，宣扬大神的恩泽之道（the Puṣṭi Mārga）。¹他认为崇拜神灵不是靠裸露身体和虐待体肤，“而是靠华丽的衣着和佳肴美餐；不是靠独身禁欲和克制情感，而是靠世俗的享乐和尽情的欢乐，”“一个人只要崇爱神，顺从神意，就可以得到神的恩泽和慈爱”（刘建等 321）。

黑天作为恩泽至上主，其信徒主要是印度社会的广大中下层民众，黑天信仰者反对“吠陀救世论”和“高贵的主知主义救世论”（韦伯 408）。与富有传统吠陀知识而独善其身的正统婆罗门阶层不同，与弃世出家的托钵僧和双重离欲（外离欲与内离欲）的瑜伽苦修者不同，他们既不具备吠陀传承的正统知识，又不能也不愿放弃世俗的家居生活。黑天信徒信爱有形至上者、情味之主黑天即能够得到黑天赐予的极致欢喜和至上福乐，这种单纯通过“信爱”而得到的“至喜”与“福乐”可以使信徒超越世俗关系，摆脱内在痛苦，此为“喜乐解脱”。

《苏尔诗海》的艳情诗体现的是黑天信仰者由“爱欲”到“离欲”的过程。在会合艳情诗中，信徒将人的世俗本能爱欲转化为对情味之主、完美爱人黑天的爱欲，通过对黑天的狂热信仰与迷醉爱恋，信徒具备了从内在精神层面出离世俗社会与家庭关系的条件；在分离艳情诗中，信徒通过体验与黑天分离的痛苦，意识到与大神黑天的现实距离，在这种离别苦痛中，对完美爱人黑天的爱欲进一步升华为对大神黑天的纯粹的精神奉爱，这种对黑天的纯净“信爱”成为黑天信徒获得“喜乐解脱”的惟一途径。

黑天信徒通过对有形黑天的热烈信爱和皈依，从而达到精神上的内在离欲，这种主张既满足了印度中下层民众达到精神解脱的迫切内在需求，又不妨碍他们正常的世俗生活，为他们在离欲的精神生活与世俗享乐的家居生活之间找到了平衡点。作为能够调和人类本能爱欲与社会文明之矛盾的“乌托邦”，有形黑天信仰更加受到印度广大中下层民众的欢迎和信赖。

1 See Edwin F. Bryant, John Stratton Hawley, "Introduction," *Sur's Ocean* (Massachusetts: Harvard UP, 2015) 9-12.

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从“空间转向”到“空间叙事”：《小说空间叙事论》述评

From “Spatial Turn” to “Spatial Narrative”: A Review of *Spatial Narrative in Fiction*

郑红霞 (Zheng Hongxia)

内容摘要: 20 世纪后半期, 西方人文社科领域和叙事理论的发展都经历了“空间转向”, 文学叙事的空间维度日益受到叙事学界和文学研究界的关注。受此影响, 国内于上世纪末开始探讨文学叙事中的空间问题, “空间叙事”逐渐成为文学研究的一个热点。但直至方英的《小说空间叙事论》问世, 国内文学研究领域才对空间概念的发展做出了梳理, 对文学叙事中的空间做出了界定, 并对作为小说叙事模式的“空间叙事”做出了系统深入的探究。该书借鉴了当代西方叙事学理论、空间理论和相关研究成果, 以小说的“空间叙事”为研究对象, 以中外 20 世纪小说为主要文本来源, 探索了小说“空间叙事”的规律与特点, 讨论了其模式特征、时空关系、意义言说等问题。作者将小说空间叙事界定为“一种叙事模式”, 并以“叙事的空间化”简明扼要地概括出空间叙事的本质特征。这是一次扎实严谨的学术开拓, 也是一次扎根于文本实践的理论研究, 为中国当代叙事学的发展提供了新的参照, 将小说理论研究 with 文本批评推向了学术研究的新领域。

关键词: 《小说空间叙事论》; 空间叙事; 叙事模式

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Title: From “Spatial Turn” to “Spatial Narrative”: A Review of *Spatial Narrative in Fiction*

Abstract: The latter half of the 20th century witnessed a “spatial turn” in the development of western humanities and social sciences and narrative theories, thus pushing the spatial dimension of literary narratives onto the stage around the narratological and literary world. Following the suit, Chinese academic circle began to explore the spatial issues in literary narratives at the end of the last century, and then “Space narrative” has gradually become a hot topic in literary studies. As a latest publication in this field, *Spatial Narrative in Novels* by Dr. Fang Ying observed the development of the concept of space, gave a definition

of the space in literary narration, and examined the narrative mode as a “spatial narration.” The monograph, relating to the contemporary western narratology theory and space theory, explored the rules and characteristics of the spatial narrative in novels and discussed the issues of its pattern characteristics, space-time relationships, and meaning-reference relationships by rereading novels of the 20th century. The author defined spatial narrative as “a kind of narrative mode” and summarized the essential characteristics of spatial narrative in a concise and simple way. The monograph, rooted in textual practice, provides a new reference for the development of contemporary Chinese narratology, and pushes novel theoretical research and textual criticism into a new field.

Key word: *Spatial Narrative in Fiction*; spatial narrative; narrative mode;

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20 世纪后半期，西方人文社科领域经历了一场“空间转向”（spatial turn），并随着全球化进程和后现代主义思潮的蔓延而不断深入。与此契合的是，西方叙事理论的发展也出现了一场“空间转向”（Herman 551），文学叙事的空间维度日益受到叙事学界和文学研究界的关注。受此影响，国内于上世纪末开始探讨文学叙事中的空间问题，“空间叙事”逐渐成为文学研究的一个热点。但直至方英的《小说空间叙事论》问世，国内文学研究领域才对空间概念的发展做出了梳理，对文学叙事中的空间做出了界定，并对作为小说叙事模式的“空间叙事”做出了系统深入的探究。

《小说空间叙事论》借鉴了当代西方叙事学理论、空间理论和相关研究成果，以小说的“空间叙事”为研究对象，以中外 20 世纪小说为主要文本来源，在梳理“空间”的意义并界定“叙事空间”概念的基础上，探索了小说“空间叙事”的规律与特点，其模式特征、时空关系、意义言说等问题，对小说空间叙事做出了系统的理论探讨。该研究坚持“理论整合”的方法，即对不同学科空间理论和各种文学理论的整合；并始终贯穿着自觉的比较意识，即在对空间叙事理论的建构、对该叙事模式的分析和对空间叙事作品的解读中，始终暗含着与与传统叙事模式和叙事理论比较。通读全文，能发现一条十分清晰的研究路线：厘清概念（梳理、辨析和界定核心概念）、建构模式（提炼小说空间叙事模式的主要原则、规律和特征）、意义探寻（探索该模式的意义言说与价值）和理论运用（将该模式和相关理论运用于其它文本分析）。

全书主体部分由四章构成，另有绪论和结语。

在绪论中，作者对空间叙事研究的兴起、发展、成果和问题做出了梳理，

对空间维度的叙事研究做出了详细述评。作者认为，西方的研究主要涉及了以下几个方面的问题：关于空间的理解、关于文学叙事空间的分类、关于“空间形式”或“空间结构”的研究、关于虚构空间的研究、文学叙事中的时空关系、空间问题与读者阅读以及相关文本批评。国内的成果主要涉及：空间叙事及相关概念的辨析、有关空间叙事的理论探讨、对中国古代小说空间叙事元素的挖掘和整理、有关空间问题的文本批评等。

第一章在梳理西方空间意义发展脉络的基础上对文学空间和叙事空间做出了界定与探讨。第一节讨论了西方空间意义的演变，勾勒了西方空间意义发展的三大阶段：古希腊、近代和 20 世纪。作者指出，空间的基本内涵是虚空、处所与广延，古希腊哲学已触及这三种意义。在对近代空间意义发分析中，作者认为主要有两个特点：其一，背景化和几何化，即“空间被视为绝对的、永恒的、静止的”（方英 29）¹；其二，“受认识论哲学的影响，将空间视为人认识和把握的对象”，并“主要沿着理性主义与经验主义两种路径展开”（30）。关于 20 世纪空间意义的发展，作者做了详细的梳理，并特别总结了该世纪下半期空间概念的特点：空间的凸显，出现了全新的空间形式与空间经验，对形而上学的清算，“对二元对立、本质主义的质疑和超越”，“对空间的研究渗透到多学科、多领域、多层面，空间的意义变得丰富、多维、复杂、流动”（32-35）。

第二节和第三节对文学空间作出了理论探讨和详细分析。作者认为，文学空间是对关系的建构，是以文字为媒介，通过作者、读者和文本之间的互动而建构的关于作品世界的空间，既是时间、位置、层级、权力、价值等关系的集合，又是语言建构、心理建构与文化建构的结果。作者将关系性和建构性看作文学空间的核心内涵。在界定“文学空间”的基础上，第三节讨论了小说叙事中的空间。作者在借鉴列斐伏尔（Henri Lefebvre）、苏贾（Edward Soja）、科特（Wesley A. Kort）理论的基础上，提出小说叙事中的空间主要可以分为物理空间、心理空间和社会空间三大类。作者将物理空间界定为“物质层面的关系建构，是以物质形态呈现的、人的知觉可以感知的空间”，可包括物体、“作为物质存在的人和人的活动”、“与人发生联系的风景与场景等”（51）；将心理空间定义为“一个内部的、主观的空间，是人的知觉、情感和意识对外部世界染色、过滤、变形、编辑后所建构的空间”，并讨论了心理空间的构成和建构方式（53-55）；将社会空间看作“人与人之间关系的建构”，并指出“这个空间主要强调政治、经济、权力、种族、阶层、文化等因素”（55）。在对社会空间的讨论中，作者援引列斐伏尔、哈维、段义孚、科特等人的理论，并详细分析了乔治·奥威尔的《1984》中社会空间的构成与特征。此外，作者还讨论了互补、交集与边界，空间的分层和分区等问题。其中对

1 参见方英：《小说空间叙事论》（上海：上海交通大学出版社，2017年），下文引用只标注页码。

边界的讨论尤为精彩，不仅探讨了苏贾、德·塞托、弗里德曼、艾特林等人关于边界的论述，而且颇有心得地指出，维克多·特纳提出的阈限（liminality）和福柯的异托邦（heterotopia）都具有边缘、缝隙、边界的特点。

第二章探讨了空间叙事的规律和特征。作者在理论借鉴与整合的基础上，将小说空间叙事界定为“一种叙事模式”，并以“叙事的空间化”简明扼要地概括出空间叙事的本质特征。作者又进一步指出，“较之传统叙事而言，空间叙事以空间秩序为主导，以空间逻辑统辖作品，以空间或空间性作为叙事的重心。叙事通过空间形态、空间位置、空间顺序、空间关系、空间描写、空间的意义等得以组织，表达和完成”（75）。作者提出，空间叙事可以从表达和内容两个层面加以分析，即表达的空间化和内容的空间化。

首先是对表达空间化的讨论。作者认为，这指的是通过一定叙事手法，在表达层面实现叙事的非线性发展，因而具有块状叙事的立体化特征。也就是说，空间叙事是“空间地”叙事。作者指出，在表达空间化中，“叙事逻辑和叙事线索呈现出立体、网状的特点，而非平面上的线条变化”，“不是遵从时间的次序性、流动性或因果逻辑，而是遵从空间逻辑”（78）。作者主要分析了三种形态的表达空间化：叙事元素的“并置”、情节的“碎片化”和叙事脉络的“迷宫化”。“并置”，根据作者的解释，“是将一些叙事元素——语义单位、意象、比喻、象征、事件（组合）、场所、视角、叙事片段等——置于同一个层面，通过互相比较、对照、重复、呼应等方式，使他们产生空间性——而非时间性——联系”，“形成叙事元素的块状分布”。“简单地说，并置就是在本不相关的叙事元素之间创造空间性关联，从而实现表达的空间化”（80）。作者将情节的“碎片化”界定为“情节的非流动性和非顺序性”（85），即小说情节不再按时间顺序流动，不再是事件与事件的连续发生，而是由散乱的“碎片”组成，不同碎片之间呈现出“空间化的网状联系”。至于叙事脉络的“迷宫化”，指的是“叙事脉络的混乱性、离散性、去中心”（88）。作者将“迷宫化”与“碎片化”进行了对比，认为迷宫化叙事更强调叙事线索的杂乱、分岔与残缺：“大多数碎片化叙事只是将情节分成许多片段，打乱时序加以叙述，其中的线索有迹可循，而迷宫化叙事则难以追踪其中的线索。许多情节没有始末，甚至没有完整的情节，只有一个个无法组成整体的时间碎片和故事碎片”（88-89）。作者对表达空间化三种形态的讨论，既是对弗兰克（Joseph Frank）“空间形式”（spatial form）概念的拓展，也是对学术界已有相关研究的理论总结和补充，是一个概念化和体系化的过程。

“内容的空间化”指的是在内容层面将空间作为叙事的重心，即以空间描写、空间建构、空间关系和空间的意义为小说内容的重心。作者从三个方面讨论了这一问题。其一，以空间为叙事“前景”。指空间是小说叙事所强调的不可或缺的内容，“而不仅仅是故事发生的地点、人物活动的场所、情

节展开的舞台、衬托人物性格的环境”（94）。作者指出，空间的“前景化”意味着，小说叙事中要么有大比重的空间描写，要么赋予空间独立性和主题性。关于叙事中的描写，作者特意梳理了描写在不同时期叙事作品中的发展，以及叙事理论中描写的“地位”变化，并在此基础上讨论大比重描写的意义。关于空间独立性的讨论，作者认为这主要在于空间自身的意义（尤其是象征意义）、空间所发挥的作用和影响力。其二，以空间组织叙事。作者特别指出，这是以空间的“前景化”为前提的，因为，“像流浪汉小说那以地点的变化串起主人公的不同遭遇，却将地点置于叙事的背景”（102），这样的小说并非空间叙事。因此，空间应当首先处于叙事的前景，而且发挥着组织叙事、推动叙事的作用。作者讨论了三种形态：以空间组合代替情节发展（情节往往被淡化和消解），以空间转换推动叙事发展（叙事进程由空间转换而非事件的发展决定），以空间重复形成叙事节奏（某些空间不断重复，形成有规律的间隔，构成叙事的空间节奏，这种节奏既组织了叙事也传递出故事之外的意义）。其三，以空间为意义主体，即小说的意义主要来源于空间的意义——“空间形象、空间知觉和空间关系的意义”（109）。作者通过对大量作品的精彩分析，有力地论证了这些空间不再是叙事的场景或背景，而是作品的意义主体，是不同于传统叙事的“空间叙事”。作者的论述表明，内容层面的空间叙事既是关于空间的叙事，又是通过空间来叙事。如果说“表达空间化”中的空间是抽象的比喻意义上的空间，那么，对“内容的空间化”的讨论则主要涉及具象的空间/地方和空间关系。如果说对表达空间化的研究或多或少受到弗兰克“空间形式”的启发，并具有一些整理和总结的意味，那么，对内容空间化的讨论则具有原创性和开拓性，其中的作品解读为文学研究提供了新的视角和可操作的模式。

第三章讨论了空间叙事模式中的时空关系。作者首先指出，空间叙事中的时空关系也具有“时空一体性”的共性。也就是说，不论空间叙事如何强调空间与空间性，时间与空间也无法分割，一方面空间存在于时间之中，另一方面空间又包含着时间。在“时空一体性”的基础上，作者继续深入讨论了空间叙事的两个时空关系特征：对时间的反叛，时间的空间化。关于“对时间的反叛”，作者主要讨论了三种表现：其一，时间的“淡化”，即时间的线索、逻辑和秩序，时间的流动、顺序与间隔等都处于叙事的背景，被淡化处理。其二，时间的“停滞”。作者认为，在空间叙事中，大量的空间描绘与空间建构导致“叙事速度放缓、叙事进程搁置、乃至时间静止幻觉的出现”，而空间则“不断展开与流动”（130）。其三，时间的“碎片化”，指时间的线条被肢解成碎片，散乱地分布于叙事的空间之中，“相对而言，空间却具有相当的完整性”（134）。关于“时间的空间化”，作者指出，空间叙事作品也需要表现时间元素、时间顺序乃至时间主题，因而，往往需要将时间空间化。作者主要讨论了两个方面：时间“凝结”于空间，即以空间物象或作

为整体的空间建构表现时间的存在、流逝和意义；以空间标志时间，即以静态或动态的空间作为时间的标识物，标志时间的片段或变化。总之，时间的空间化就是“以空间表现时间”（145）。

第四章探究了空间叙事的意义言说。该章开宗明义地写道：“空间叙事作为一种整体性叙事模式多见于20世纪的小说创作中，这与这个世纪的时代特征、人们的时空体验和生存状况息息相关”（146），并进一步提出，小说空间叙事“与这个时代具有结构上的隐喻性关联”（148）。作者从20世纪的社会现状、时代特征和“现代性”入手，主张空间叙事是对以下内容的言说：生活偶然性、瞬间真实和存在空间性。“偶然性与瞬间性是对时间流动性和因果律的对抗与消解，空间性是一种共时性幻觉和对时间停滞的追求，这三者都是现代人存在状况中的核心问题，也是空间叙事的核心”（149）。而空间叙事之所以能言说这些问题，是因为其“以空间与空间性的凸显，回应着现代社会的碎片化和现代人的时空焦虑。或者说，空间叙事以其模式特征象征着现代社会的时空特征，言说着现代人的时空体验和生存状态”（196）。

关于生活偶然性，作者认为，空间叙事常常打断事件之间的连续性和因果关联，消解整一性与确定性，由此言说现代文化与现代生活的本质特征。关于瞬间真实，作者指出，空间叙事具有块状化和片段化的特点，叙说各种短暂的时空片段，强调当下感觉和记忆碎片的无序组合，实则是强调真实存在于瞬间。对存在空间性言说的讨论是本章的亮点和独特理论贡献。作者首先从人的空间体验、人对空间的建构和空间中的权力关系三个方面，概述了莱布尼兹以来西方哲学和人文社科领域中关于空间与存在关系的理论论述。在此基础上，并在这些理论的观照下，作者通过对大量作品的精彩解读，分析了空间叙事如何言说存在的空间性。作者认为，空间叙事凸显空间秩序，以空间描写和空间意义为叙事重心，因而能言说“现代人与空间之间空前紧密而复杂的关系”（169），言说现代人的空间体验、空间建构和权力关系的空间化。

该书总结道：空间叙事作为20世纪以来常见的一种小说叙事模式，“以表达的立体化和内容的空间倾向突破了语言的线性局限，将小说叙事中长期被忽视的空间、空间性、空间化等因素置于叙事的中心，革新了小说叙事模式，拓展了小说叙事的疆界，以叙事的模式特征将存在的状态与问题导向空间”（198）。总结的同时，作者将视野投向了未来。作者认为，空间叙事“改变了人们理解世界的方式和对世界本身的认识。空间叙事促使人们按照空间秩序和空间逻辑而非时间顺序来关照和理解世界，并使人们认识到世界不是整一有序、线性发展的，而是混乱、碎片化、不确定的”（198-199）。因此，关于空间叙事的认识论价值，值得未来的关注和研究。

《小说空间叙事论》既有对核心概念的追溯和辨析，又有跨学科的理论借鉴和独到的理论建构，还有对具体文本的精彩解读。作者理论视野广阔，

吸纳和借鉴了叙事学、人文地理学和社会学的理论成果，涉及列斐伏尔、福柯、段义孚、巴什拉、巴赫金、德·塞托、詹姆逊、苏贾、弗兰克、米切尔、斯密顿、赫尔曼、巴尔、查特曼、科特、赫慈、热奈特、赫蒙等人的理论、思想与批评模式。这是一次扎实严谨的学术开拓，也是一次扎根于文本实践的理论研究，为中国当代叙事学的发展提供了新的参照，将小说理论与文本批评推向了学术研究的新领域，并预示了文学空间研究的发展方向和体系建构的必然。

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