

ISL

文学跨学科研究

Interdisciplinary Studies of Literature

Vol. 2, No. 4, December 2018

ISSN 2520-4920 (Print)

ISSN 2616-4566 (Online)

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Volume 2, Number 4
December 2018



Published by
Knowledge Hub Publishing Company Limited
Hong Kong

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About: *Interdisciplinary Studies of Literature* (“ISL”) is a peer-reviewed journal sponsored by the Institute for Interdisciplinary Studies of World Literature (Zhejiang University) and published by Knowledge Hub Publishing Company (Hong Kong) in collaboration with the International Conference for Ethical Literary Criticism. With a strategic focus on literary, ethical, historical and interdisciplinary approaches, ISL encourages dialogues between literature and other disciplines of humanities, aiming to establish an international platform for scholars to exchange their innovative views that stimulate critical interdisciplinary discussions. ISL publishes four issues each year in both Chinese and English.

International Conference for Ethical Literary Criticism (ICELC, since 2012) is an annual international conference for academics and research-oriented scholars in the area of literature and related disciplines. ICELC is the flagship conference of the International Association for Ethical Literary Criticism which is an international literary and cultural organization aiming to link all those working in ethical literary criticism in theory and practice and to encourage the discussions of ethical function and value in literary works and criticism.

Interdisciplinary Studies of Literature is registered with ISSN 2520-4920(print) and 2616-4566(online), and is indexed by Arts and Humanities Citation Index. It is also included in EBSCO, MLA International Bibliography and Annual Bibliography of English Language and Literature.

Submissions and subscription: As the official journal of International Association for Ethical Literary Criticism (IAELC), *Interdisciplinary Studies of Literature* publishes articles only from members of IAELC, and their submissions presented in the annual convention and forums will be accepted for publication in priority. Those authors who are not members of IAELC are encouraged to apply for membership of the association before their submissions. All submissions must include a cover letter that includes the author’s full mailing address, email address, telephone numbers, and professional or academic affiliation. The cover letter should indicate that the manuscript contains original content, has not previously been published, and is not under review by another publication. Submissions or subscription should be addressed to: isl2017@163.com.

Contact information: Editorial office, *Interdisciplinary Studies of Literature*, Amtel Building, 148 Des Voeux Road Central, Hong Kong SAR, China.

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Interdisciplinary Approach to Hans Christian Andersen: An Interview with Professor Johs. Nørregaard Frandsen

Lyu Hongbo & Johs. Nørregaard Frandsen

Abstract: Hans Christian Andersen is a world-famous fairy tale writer, but he is much more than that. Studies on Andersen can also be diverse and interdisciplinary. Located in Odense, the birthplace of Andersen, Hans Christian Andersen Center at University of Southern Denmark is an international leader in studying Andersen. In this interview, Professor Johs. Nørregaard Frandsen, the head of the center, introduces interdisciplinary approaches to Andersen's works, life and cultural significance. He illustrates the relationship between Andersen and community as well as the ethical values in Andersen's works. He also emphasizes that all studies are based on Andersen's literary works and gives some advice on the future research in Andersen.

Key words: Hans Christian Andersen; literature; culture; community; ethical values

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标题: 跨学科的安徒生研究：尤斯·诺雷加德·弗兰德森教授访谈录

内容摘要: 汉斯·克里斯蒂安·安徒生是世界著名的童话作家，但是他的成就远不止于此，对安徒生的研究也可以是多元化和跨学科的。南丹麦大学安徒生中心坐落在安徒生的出生地欧登塞市，是国际上安徒生研究的领导者。本次访谈中，中心主任尤斯·诺雷加德·弗兰德森教授介绍了对安徒生作品、生平和文化意义的跨学科研究方法，阐述了安徒生与社群之间的关系，以及安

徒生作品的伦理价值。他强调一切研究都立足于安徒生的文学作品，并对未来的安徒生研究给出了一些建议。

关键词： 汉斯·克里斯蒂安·安徒生；文学；文化；社群；伦理价值

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As a guest researcher at Hans Christian Andersen Center at the University of Southern Denmark, Lyu Hongbo participated in the international conference from 5 December to 7 December 2017 with the theme “Hans Christian Andersen and Community,” which was the celebration to the 150th anniversary of Hans Christian Andersen being made an honorary citizen of his native city, Odense. After the conference, she interviewed the organizer, Professor Johs. Nørregaard Frandsen, about the studies of Hans Christian Andersen.

Lyu Hongbo (Lyu for short hereafter): Dear Professor Frandsen, thank you very much for taking this interview. As a participant of the international conference “Hans Christian Andersen and Community” (December 5-7, 2017), I, first of all, would like to express my heart-felt gratitude for your kind invitation and warm congratulation on the success of this conference. I am wondering how you came up with such an interesting topic?

Johs. Nørregaard Frandsen (Johs. for short hereafter): You are welcome and thank you for your good question! As you know, on the conference there were a lot of very skillful and brilliant scholars from all over the world. We wanted to make it a set-up for possibilities to explain relationships to Andersen and his works. We thought that talking about community would give these possibilities for scholars all over the world. To explain their relations, I think the world today is composed of new communities with the help of the innovative ways of communicating. There are so many innovative ways like Facebook to communicate across nationalities and borders in the world. However, today, we are in a time when there are some dark clouds. I would say, something like a cold war is going on again. A lot of things due to communities are in a way changing. Hans Christian Andersen lived in a time during the 1800s, when European national communities were formed. He lived in and wrote works and travelled around Europe at that time. And some of the topics at the conference were about that. Hans Christian Andersen was a witness

of the modern Europe coming up in a way. The modern Europe was born in Hans Christian Andersen's time. That's one reason to call it "Hans Christian Andersen and Community," since we could comment on Hans Christian Andersen as a historical person, commenting around in a way.

Another reason is that we view Hans Christian Andersen as an artist, one of the world's most famous literary artists, while he always commented on community in a way because he felt lonely all his life. He himself felt loneliness. He never succeeded in love. He was very much in love with different women, for example, Riborg Voigt from Fyn, Jenny Lind and so on. He was very much in love but he never succeeded in finding one companion. He felt himself outside communities. He worked all over his life to go from this proletarian place where he was born in Odense and tried to get up in the bourgeoisie. He tried to get up among the rich one, the one who knew more about the world. He was very famous even when he was alive, so in a way, he went up there. But in another way, he never did it because he never realized to be there. He was always beside reality, the bourgeoisie community, and the Collin family, where Andersen stood beside and looked in. Many stories Andersen wrote, not only fairy tales but also novels, are about communities, about not being a part of the community. *The Match-Stick Girl*, is about community closing down. The only way the poor little girl can do is to look into the community at the very rich table with a duck of the New Year's Eve dinner. She would love to be there, but she was outside. *The Little Mermaid* is claiming a quest and she wants to be in another community. She is in a community of mermaids, but she wants something else. She wants to be in another community, the human being's communities, but she cannot. She offers everything including her life, her tongue and her fishtail to get into another community, which she is dreaming of and meant for. She has a quest that she must be a human being but not possible for her. So, it is about community. To get this topic "Hans Christian Andersen and Community," you can read *The Little Mermaid* or *The Little Match-Stick Girl* or *The Tinder Box* in that theme, because Andersen felt himself outside of everything all over him. He is an outsider and he is writing on that. In all his works, Andersen is in a way talking about community that he always wants but never goes into. Almost every person, every character in his tales is lonely. The Firtree is lonely to get back where the lights were. If you read all his fairy tales, you may find they are about community. Andersen is writing about losing or getting, winning or losing communities.

Thirdly, Andersen was politically in a way related to the topic of community. Though he never was political, he was living during this time when the modern Europe was created with new communities, because the old hierarchy broke down, and a new democratic way of living was politically established where Andersen

lived. Of course, he never commented on politics but he lived at that time, in a way he comments on that through his art. There is a main theme of Andersen, it is how to go into a community and to be accepted. The ugly duckling at last finds his community and knows that it is a swan. Thumbelina is in a wrong environment in a way. There are toads, May-bugs, field mouse and mole, but at last, she goes to the south and there she finds her people, the flower people. So, it is about communities, seeking for community, seeking for to be free from loneliness. These are some of the thoughts behind the theme of “Hans Christian Andersen and Community.”

Lyu: Hans Christian Andersen study is now on the rapid rise, which is evidenced in the rich and multiple perspectives on his works in this conference. Could you please briefly comment on the current studies of Andersen?

Johs.: Yeah, I would love to. Because ten to twenty years ago, the studies on Andersen were almost only limited in the discipline of literature, especially focusing on his fairy tales, I wanted with this center and the conference to go one more step. Of course, we are studying Andersen’s works, fairy tales and so on. But we are also making cultural studies of Andersen as a figure and character in the history. The traces that follow Andersen can provide other studies. Andersen is an icon, so by studying Andersen in China or in Europe we in a way study China and Europe. The ways Chinese and Danish are looking at Andersen are quite different. We are building bridges in studying Andersen transnationally. It’s a very interesting study to ask who is Andersen in China, who is Andersen in Denmark, and why. In such a way, we can compare our looks at Andersen in both places or in America or in Italy and so on. That is what Thorsten Bøgh Thomsen studies and the point is exactly to ask who is Andersen in Italy. Of course, it is the same fairy tales, but how widespread is Andersen and Andersen’s stories in Italy. Mads Sohl Jessen is studying on the Russian topic. Andersen is Andersen, and in Russia, too. But what is the meaning of Andersen in Russia. There are a lot of words in Russian, that are in a way, inspired by Andersen. Like in Danish, if we say in politics he has not got anything on, that is in Andersen, a lot of such sayings like “he sure was an ugly duckling.” We use Andersen in our daily language. What Mads and some people around him can see that in Russia people do that too, but they do some other comments. Of course, Andersen is the same in Russia and Denmark, but in another way, he is not. Andersen is a reflection because all Russian, like all Chinese, know about Andersen. We have maybe 10 to 15 fairy tales which are known everywhere. It means that if I can ask a young Chinese, what do you think of *The Ugly Duckling*, when he or she answers me, in a way he or she is talking about being Chinese. That

is what we call mapping. We are trying to see Hans Christian Andersen as part of culture and cultural development. That is the new thing we are doing here. We are not only reading literature but also studying the influence of Andersen because it is international and of global interest. When I know your people's way of living with and loving Andersen, I know quite a lot of you, I mean, in a very positive way. That is something Chinese and Danish can sit down and talk about. We were all children once. We all have the imagination. Andersen studies can be related to questions like how is culture formed and how does it influence imagination and the childhood, and so on. That is my big idea that studying Hans Christian Andersen is in a way studying global bridges and cultural bridges. It is what we have just started now. I think there are only 5 or 10 artists or writers in the world having enormous influence in the world and Andersen is one of them.

Next, let's talk about tourism. We know that Asian people, especially Chinese people, are travelling to Europe and to Denmark because of Hans Christian Andersen. He is a reason to go. And I would say it is great because tourism, serious tourism, cultural heritage tourism, literary tourism, is one of the biggest events where people are coming together, so I think tourism is very positive. It is great that young Chinese go to Europe and we go to China because we can learn from each other and know each other. At Andersen's time, almost no Danes had been to China, so China was only an imagination as a very strange place where there may be dragons, very strange birds, strange fruits and everything was strange. But they admired China and Chinese because from China came the powder, the fireworks, and not least, the silk. The Silk Road, from both the terrestrial and the maritime routes, all the way to China, was the most famous route ever. It organized Europe in a way until around the 15th century. So, China meant everything but as an imagination. No one had ever seen a Chinese, so China was for Danish, a kind of myth. People in Denmark thought China was down there, on the other side of the globe. Today we know that it is not true. Tourism and travelling are bringing us together and we are getting to know each other. That's good for the world and for the global thing. So, I think it is great to use Hans Christian Andersen and his reputation and his art as a reason to go. But we have to do this very seriously. It is not some Disney Andersen, though we all respect Disney, but the real thing. That is why you, a researcher in literature from China, and I are working together to communicate seriously about grounded Hans Christian Andersen for Chinese children, Chinese schools, and Chinese people. That is very important because it is nice that more and more Chinese people are doing it and coming here as tourists. But no matter Chinese or Russian, Italian, Germans and Americans, they have to

know that Andersen is a serious artist. All that demands serious and continuous studying on Andersen's works, because that is where everything starts, and then his reputation and so on. So, I think that is what we are going to do. That is a new way of studying Andersen, including but not limited in literary study, studying his life and his values.

Because as human beings, people from different countries can meet and see the same values to be a child, to have imagination, to love, and to know about love. All these are positive things for all people to be gathered around and to be in a harmonious community, which is great. I am an idealist and we are doing something. If we are sitting in Wuhan, or in Washington DC, or in Odense, studying Andersen's literature and only writing articles for each other, we would not open the mind. We are doing serious studies but we have to communicate around the city, the country, Europe, China, and the world. We have to do both. Hans Christian Andersen represents positive values, which you and I need as human beings. We need to recognize the child inside you and inside me, who knows best about the world, the living and the values in living. It is part of the human being. As a human being, everyone should have such values like to be brave to cross borders, to go outside and see what you are curious about. Meeting each other in respect for these values. No matter where you are raised, you have been a child with imagination, with love to your mother, with love to human beings. That is Andersen's stories about. The most original community is your family. The love between you and your mother is very original. Andersen never forgot that. He never forgot the heart, the love for mother to child, which is the first experience in loving other people and the fundamental emotion of human beings. That is part of studying Andersen. People can understand that cross nationalities, cross religions. That is one of my great experiences travelling in China to see that even though Hans Christian Andersen was a Christian and wrote on Christian values, his values can be recognized as belonging to all human beings by you, who come from other culture and different religious traditions. They are human being values. We all can achieve the agreement on this part on the same level. It is transnational, transcultural and trans-religions. These are values deep down in his works.

Lyu: I believe there will be more flourishing studies on Andersen across the world. Among all sessions of the conference, "Ethics and Values in Andersen" seemed to have drawn most attention and aroused heated discussion. What do you think about the ethical power of Andersen's works?

Johs.: I recognized the same thing. It was a thing like sort of a magnet. Everybody

wanted to discuss ethical values and I think it is great that it was discussed and it was very good and powerful discussion. That is because all of us were in the bottom of Andersen's stories and discussing what are ethical values. I think that is healthy and great discussion. I don't think there is one answer to Andersen's values because that is what you read in Andersen and what I read in Andersen. The discussion on ethics and values of Andersen is very important. Really, we are discussing what are ethical values. And we do this in *Thumbelina* and whatever because he makes models in a way and he is so strong in his ethical values. Love is good and evil people are so evil, so we can discuss that. I think that is ethics and values in Andersen. I am very proud that we did that as one of the themes. It was Anne Klara Bom who said we should have that. I think this is one of the coming up themes for international and global research of Andersen because the world today is discussing ethical values. That is the same thing in the beginning of the interview. Today we are in a way close to each other because of travelling around, television and some other technologies. Everybody seems to know everyone. But do we? When it comes to the end, do we? We have to make these discussions on ethical values and that's why I was so proud. After that we exactly were starting this discussion. And I'm sure in about 5 or 10 years that ethical values in Andersen are going to be a very great topic in Andersen research. It did not used to be like that because Andersen was Andersen and you could not discuss his values. But, of course, you can because we are discussing our values in doing that. So, I think that's very important because that's also a way of Chinese and northern Europe, for example, Danish people to get close to each other and to discuss what you think of childhood, and so on. That's to be human being, I think.

But what I heard at the days of conference is that we don't define ethical values in the same way. That was interesting because Professor Nie Zhenzhao and I might have very splendid discussion and in a way we both agree with each other on what is ethical but I am not sure we think the same as for the word "ethical." That's interesting. To get into further discussion on what is the meaning of "ethical," you are very pretty close to who you are as a human being and what you are doing with the next generation. It is about values in school systems. Both of us know Danish or Swedish or Norwegian schools are very different from Chinese schools. But they are all children. So, talking about ethical values in a Chinese first class of 7-or-8-year old children and Danish ones, is very different. That's what we are trying to approve in the Systime project. We provide materials and let both Chinese and Danish children read them, then we have a look at what they are reading and experiencing. I think that will give us a chance to discuss how we as grownups

and educational people are handling and making this thing as a culture. That's the ethical power of Andersen's works. They are values.

Lyu: Do you think it is right if I say that the ethical value is the core and central part of community because in my opinion ethics means a kind of orders, rules and rituals in a certain community or society. That is why we got different opinions on definition of ethics and that's what you said if Danish children and Chinese children read the same fairy tale, they have different understandings and get different values.

Johs.: I think it is very exciting to discuss it. Maybe, but I am not quite sure, ethical values in our culture in Denmark make us very difficult to talk about the nation though the nation has some values that grounded our laws and so on. But all Danish philosophers would say ethical values are in a single human being as an individual. Whereas maybe you Chinese would be more around the community, but I am not sure. That is interesting. You might think more of being in China, but ethical values in Denmark are very individualized, more than in China. But I think you might be culturally breaking up from one China to another much more global China now.

Lyu: Exactly. We are not limited in the ethics of a country or a society but also view ethics as the values and orders across the world and among human beings. And we also think of it from the point of individuals. We would talk about ethical identity of being a mother or a daughter in a core family and as a human being of only a part of the earth and the environment. Indeed, we think more about the country, but the fundamental thing should be the same and we are starting from the individuals because everyone has multiple ethical identities.

Johs.: Exactly, that is interesting. That is why we are in one culture but at the same time we are different.

Lyu: Yes, we are different because we live in distinct cultures. When we make ethical choices, we must consider the unique ethical identity in a certain community.

Johs.: Ethical values are about choices. Our cultural surroundings and cultural history are different. As human beings, we quite agree with what is right and what is wrong. Maybe in different ways we are bound up in our cultural history. We have 150-year-old tradition in northern part of Europe of thinking individual before the society. I do think in Chinese culture it is a different tradition. It is interesting to have these talks because we can know what is different. We of course do agree in the same values. I never met one of my splendid colleagues in China who would

not say yes. Of course, we know the same but there are differences because we are on different cultural status. That is what Mads is also studying in Russia which is another background. From the first day when I visited China in 2010 as the first one from SDU going there I began to search for a scholar studying Hans Christian Andersen. That is the very beginning but now I know so many of you. Especially on this conference one fourth of all participants were from Asia, mainly from China. I met new colleagues and friends studying Andersen from China. And this is the first time ever we have a conference where Western and Chinese researchers on Andersen get together, including some scholars from south America and Brazil.

Lyu: There seems a special relation between Andersen and China. He mentioned China several times in his works and even wrote a Chinese story in *The Nightingale*. You seem to be also interested in Chinese studies of Andersen and co-edited *Hans Christian Andersen in China* (2014). What do you expect for Andersen studies in China in the future?

Johs.: I do expect continuous study going on because young scholars are doing that. At our center, we have visiting scholars including Li Hongye, Li Wenjie, Bo Ling and you. There are a lot of scholars in the field of humanity studying Andersen in universities in Shanghai, Beijing, Guangzhou, Hunan, Hubei, Nanjing, and Hongkong. Around these bright scholars there are more young people who are doing the studies. You will be the next generation to lift it up. It is growing and I think you are going to spread what you know about Andersen. There will be more qualified translation to help Chinese people get real and good texts and solid and deep knowledge on Andersen and know that he is not only a writer of fairy tales but also wrote more than 1000 poems, novels, plays, travelogues and so on. That is what you are doing and why you are being here. You are studying the more and the greater Andersen. You and your colleagues are making Andersen's study growing in China and we have young scholars here who are interested in your studies. We will continue this cooperation and collaboration. That will make an influence on both our and your studies on Andersen. Because the language is difficult for both you and us, we have to break through this and we are doing that. I think in 10 years there will be at least double up in the number of scholars doing Andersen. I think some Chinese scholars think Andersen is about children's literature. Yes, he is. But he is much more than that. He is ethical and for grownups as well. I think that is a new experience for many modern Chinese scholars that Andersen is much bigger than children's literature. Actually, European and American children's literature are in a way standing on his shoulders. There are a lot of European children's literature

writers referred to Andersen. Astrid Lindgren¹ referred to Andersen all the time and said without Andersen no Astrid Lindgren. James M. Barrie², creator of Peter Pan and Wendy, also referred to Andersen. Lewis Carroll³, living at the same time, and Andersen admired each other. And J. K. Rowling⁴, the author of *Harry Potter*, is so fond of Andersen. So, Andersen is there. Of course, we could study Andersen in children's literature but he is more than that.

Lyu: The first and most important thing we have to do is to let people know more about Andersen.

Johs.: That is the responsibility of scholars of your generation, and that is why I am so proud of you being here. I am very happy Chinese universities are sending young scholars like you to this place. You are here building up a bridge.

Lyu: I will try my best to do it. As you mentioned, Andersen wrote not only fairy tales, but also novels, poems and prose. Even though his works have been translated into more than 150 languages, we have to admit that in most countries, he is best known as a writer of children's literature. Could you please talk more about this phenomenon?

Johs.: Yes. Even in Denmark, it is a quite new experience that Andersen is more than a writer of children's literature. Going 50 or 70 years back, most researchers and scholars in Denmark would say he is for children but he is interesting for others. Today we know that Andersen is not only for children but also for all mankind and for all ages. I think that experience is becoming much stronger today that Andersen did not write for children specially. He wrote for all human beings.

Lyu: Did that change happen in the recent 20 years?

Johs.: Yes, I think so. The previous head of the center, Professor Johan de Mylius was in fact one of the first to point out that Andersen is much more than children's literature. The famous American literary scholar, Harold Bloom, pointed out the western literary canon and selected 10 or 15 works representing western society's

1 Astrid Lindgren (1907-2002) was a Swedish writer, best known for several children's book series, featuring Pippi Longstocking, etc.

2 James M. Barrie (1860-1937) was a Scottish novelist and playwright, best remembered today as the creator of Peter Pan.

3 Lewis Carroll (1832-1898) was an English writer of world-famous children's fiction, notably *Alice's Adventures in Wonderland* and its sequel *Through the Looking-Glass*.

4 J. K. Rowling (1965-) is a British novelist, philanthropist, film producer, television producer and screenwriter, best known for writing the *Harry Potter* fantasy series.

values, like Shakespeare, but he did not mention Andersen. When he was asked why Andersen was not there, he said Andersen is for children so he cannot be in the western canon. Harold Bloom was very influential and that was 20 years ago. Maybe his recognition for Andersen only for children made some of us speaking very loudly, “No, Mr. Bloom, Andersen is not only for children.” Klaus Müller-Wille is one of the first to break through and says that Andersen’s fairy tales, novels, poems are in a way about uncanny thing. Andersen wrote a lot of things in shadow, the dangers outside things. In fairy tales, they are called shadows. There is always something surrounding happiness and ethical values. It is like a quarrel between light and darkness. Andersen did not write tales just with canny and cozy things, but dangerous things.

Lyu: This new perspective of studying Andersen does not only focus on protagonists but also the potentially mysterious dangers around them.

Johs.: Exactly. We are in a new era studying Andersen. He is becoming greater and bigger. Of course, we deeply respect Andersen as for children but he is so much more than that at the same time. I think that is important.

Lyu: What impressed me most on the conference and during my visit at the center is the various approaches to study Andersen. In 2015, you and other members of H. C. Andersen Center published a book titled *Hans Christian Andersen’s Magic Trunk*, with a subtitle “Short tales commented on in images and words.” Among the fifteen tales collected in the book, there are well-known fairytales like *The Little Matchstick Girl* and *The Swineherd*, as well as some less known tales. Is there any special reason for you to collect these 15 tales?

Johs.: This book was made originally a Danish edition. It was the first year of Hans Christian Andersen Festival and it was six years ago. In August 2005, the first great Hans Christian Andersen Festival was held in Odense and I had the opportunity to be one of the founders. We made this book as a gift for all children in Class Eight on Fyn island. These students are about 15 years old. We thought all kids in Fyn need a book on Andersen, and it should be a book where we comment very shortly and precisely on his fairy tales, trying to give small analysis and make it clear for the young ones to see what are Andersen’s works and tell them a way to read them. Then we asked some young artists to make new pictures as illustration to each tale. One of the best is *Princess on the Pea*, created by a 21-year-old artist, presenting a modern girl as the princess. I love this marvelous work. These images represent modernism. These young artists were free to do what they wanted. At last they presented not

only paintings but also pencil drawings, collage, even embroidery. The fascination and imagination were contributions of young artists. This is the story of the book and behind the book. This book is a gift to about 10,000 children to celebrate the first Hans Christian Andersen Festival and used for one month in class. It was a kind of educational work we did. We did not publish this Danish book at once. We did it one year before the festival. All these fifteen tales must be short because we firstly put them in a local newspaper. Every article here was put in the newspaper with illustration. Three months before the festival, the students had the book.

Lyu: Andersen's works have been illustrated by many people of different generations and you built a bridge between Andersen and arts of the young generation.

Johs.: These art works are quite original. It is very important to put those absolutely unknown tales in this book to let the children know them. After that we translated it into English and let more people know more about Andersen.

Lyu: Andersen's works are now considered as an essential part of the world literary classics. What makes his works universal?

Johs.: That might be a very long talk but I would not do that. There are three points I am going to talk. One is that Andersen might be the first literary artist in the world who had both children's and grownups' perspectives. He was the first to see children as part of grownups' world because in a way he is pointing out that inside the grownup, either good or evil people, there is a child, a voice and imagination bound to what one wants to experience as a child. He was the first one to do that.

Then Andersen broke down the old fairy tale's genre and built up a new one. This new genre really makes him unique in the world. He was the first one ever to break through. Of course, E.T.A. Hoffmann¹ in Germany and Lewis Carroll in England and some others also did that but Andersen did that consequently. He broke down the old genre and created a new one. We call it fairy tales but it is not. In a way it is Andersen fairy tales. The common genre of fairy tale is like the pattern of *Little Red Riding Hood*, which is about a young girl had very good times then she was brought out and walked to her grandmother's house but then she left her road and the wolf came and then after all she came home again. This broke

1 E. T. A. Hoffmann (1776-1822) was a German Romantic author of fantasy and Gothic horror, a jurist, composer, music critic, draftsman and caricaturist. He is also the author of the novella *The Nutcracker and the Mouse King*. Hoffmann's stories highly influenced 19th-century literature, and he is one of the major authors of the Romantic movement.

Andersen up. The little girl never gets to her grandmother in a way. The endings are open. You are not safe and you never know what would happen because the protagonists are from outside and now in a new world. There they have to find qualities and ethical values. They are doing that by heart. In the Holy Bible, there is a very famous quotation by Paul, “And now abide faith, hope, love, these three; but the greatest of these is love.” Of all great values, the greatest value is love and love conquers all. Love is the greatest. That is Andersen’s place in literature. Love conquers everything. To get into communities, for Andersen, he had to break up. He could not write in the unfit form on them but to make the fairy tale a new genre. This new genre makes him unique in the world, being a leading figure of many authors and literary artists like him to break through traditions.

Andersen is one of the first looking into the new world. Because in his living time, from 1805 to 1875, Europe was growing up to a new age of industrialization. There was a new industrial Europe, a world with electromagnetism, steam engines, industrial factories, travelling people, old hierarchies breaking down and democracies spreading around. He commented on all he saw during his travelling. He was a witness of the modern Europe coming up. All of these were handled by Andersen in a new genre. When he was an elder, he in a way was in regret with the genre of fairy tale identifying that it is not fairy tale and not for children but are stories. In 1835, he began to publish fairy tales for children, but then he found himself stuck into that, and when he was about 60 years old he said “I am writing not fairy tales, not for children. I am writing stories.”

He broke through to new genre. In this new genre, his way of writing is very recognizable. His language is very colloquial and Andersen is good at telling stories in an extremely straightforward way. “There came a soldier marching down the high road — one, two! one, two! He had his knapsack on his back and his sword at his side as he came home from the wars.”¹ At the very beginning of *The Tinder Box*, one can easily know how does a soldier look exactly and what a soldier is doing. He has been to the war and now he is back home. Andersen has enormous such introductions to stories. He is a genius in opening a story. Directly and so simple. “The Emperor of China is a Chinaman, as you most likely know, and everyone around him is a Chinaman too.” (*The Nightingale*) How simple it could be! I often view this as the simplest in the world. That is unique.

Lyu: Do you think he is writing in the logic of a child?

1 All the quotations of Andersen’s tales are from Jean Hersholt’s translation presented on the webpage of Hans Christian Andersen Center. http://andersen.sdu.dk/vaerk/index_e.html

Johs.: Exactly. I wonder, too. Because it is so simple then it is very complicated. We have to find out what is behind the simplicity. What is behind the soldier coming marching in *The Tinder Box*. The ugly witch came up and said, “Good evening, soldier,” and then magic is opening. Later, “he cut her head off.” So easily and without any more explanation. Children readers would say, “Ok, she lost her head and let us go on.” It is genius to do that. *The Nightingale* is a very deeply complicated story but the children would say it is not complicated but very easy to understand. “In the garden the rarest flowers bloomed, and to the prettiest ones were tied little silver bells which tinkled so that no one could pass by without noticing them.” It is funny that the flower has to have a bell then you do not miss it. “The Emperor’s palace was the wonder of the world. It was made entirely of fine porcelain, extremely expensive but so delicate that you could touch it only with the greatest of care.” In Danish language, the word “Chinese” and “china” refer to porcelain. The china world is like a glass world. In the story of *The Nightingale*, Andersen is building up a porcelain world in Europe. In the dictionary at Andersen’s time the word “china” and “Chinese” both means a country and people from that country but also porcelain. The second meaning is “fragile.” That gives the fairy tale a new meaning. It implies the artificial world and the emperor’s heart. It is a metaphor.

Lyu: In his fairy tales, Andersen always juxtaposes everyday life with magic or supernatural power. What do you think of the relationship between his imagination and his love of travel, science and fine arts?

Johs.: That is a nice question. Andersen lived during the Romantic era and Romantics had the idea that there was spirit filled in and governing everything. There were some power lines making the world being together. It is not religious but a way of scientific idea from this time. It was a great idea that no Greek thinking Platonism in a way is from Plato. Andersen in that matter was a romantic, so for him science and imagination, fine arts are the same thing. An interesting thing is that Hans Christian Ørsted, a Dane too, living at the same time with Andersen, was a great scientist who described electromagnetism as the first one in the world. It was the technology that makes it possible to make motors on the electricity and it was the first global communication system, telegraph, which linked America and Europe. The telegraph was built through all Russia to China from Copenhagen in Andersen’s time. They were good friends and they both saw science and poetics as in a way the same thing exploring imagination, exploring the power of the world and the spirit. Andersen was very interested in science and loved to write about

science. He loved to discuss with Hans Christian Ørsted about what is science. In 1862, when people put the first telegraph cable from France to the northern part of America, Andersen showed great interest in this new creature and wrote a fairy tale about it, which is called *The Great Sea-Serpent*. It is a story of an enormous “snake” in the bottom of the ocean. One fish said, “It has no scales! It has no skin! I don’t believe it will ever bear young ones!” but a little fish said, “Perhaps that enormously long, thin serpent is the most wonderful fish in the ocean.” Andersen often discussed science matters. He loved science because he saw it as the same as the fine art in a way.

Andersen also loved travelling. He was fascinated by every new thing. His first travel is very famous with the train in the eastern part of Germany from Magdeburg to Leipzig. He travelled for the first time in 1840 with the train and wrote about it in the travel book called *En Digters Bazar (A Poet’s Bazaar)* (1842). It was the first travel book. He was so impressed that this machine could carry and walk at the speed of 30 kilometers per hour. He was so interested in everything about travelling. At the same time, he was scared. But he still always travelled around. He was a seeking man never satisfied with community which he was in, but always searching on his way from one community to another and he said I never got there.

Lyu: For Andersen, science is the result of imagination. He could see both the optimistic and pessimistic sides of technology. He can feel the potential dangers of it and the unease in an unfamiliar environment. Thank you very much for taking this interview!

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William Empson's Journey to Mount Nanyue and His Poem "Autumn on Nan-Yueh"

Jiang Hongxin

Abstract: William Empson, an English poet and critic, had a special experience at Mount Nanyue in Hunan, China, but this has been rarely revealed. In the period of China's War of Resistance against Japanese Aggression, he joined the Temporary University of Changsha and arrived at Mount Nanyue. At Nanyue, Empson, together with the faculty of the Temporary University of Changsha (later to become Southwest Associated University), thoroughly demonstrated the spirit of being content with poverty, tenacious struggle, and following one's heart wherever one is heading. More importantly, Empson at Nanyue created a modern poem, "Autumn on Nan-Yueh," which was the longest in his literary career, to record the details of his life and his thoughts on the relation of literature and politics at Nanyue. It has unique significance and deserves commemoration both from the cultural and literary perspectives.

Key words: William Empson; Mount Nanyue; the Temporary University of Changsha; "Autumn on Nan-Yueh"

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标题: 威廉·燕卜苏南岳之行及其诗作《南岳之秋》

内容摘要: 英国诗人、批评家威廉·燕卜苏在中国南岳衡山的经历鲜有文章披露。中国抗日战争期间，燕卜苏跟随长沙临时大学，抵达湖南南岳衡山执教。在南岳，燕卜苏同长沙临时大学（后成为西南联合大学）师生将安贫乐道、顽强拼搏、无问西东的精神发扬得淋漓尽致。更为重要的是，燕卜苏在南岳留下了文学生涯中最长的一首现代诗《南岳之秋》，诗中记载了他在南岳的生活细节及其关于文学与政治关系的思考，无论从文化角度，还是从文学角度看，都有独特意义，值得铭记。

关键词: 威廉·燕卜苏；南岳衡山；长沙临时大学；《南岳之秋》

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William Empson (1906-1984) was an influential English literary critic and poet. Well known for his masterpiece, *Seven Types of Ambiguity* (1930), Empson was praised as the greatest English literary critic of the 20th century. So critical is this work to modern western poetry that it is still an indispensable reference book for students in literary and arts departments of universities in America and Britain.

In the 1930s, Empson taught in China and had a chance to live temporarily at Mount Nanyue in Hunan Province. Mount Nanyue (also Mount Heng, the Southern Mountain of the Five Sacred Mountains in China) deserves a whole spectrum of flowery rhetoric such as being graceful, magnificent, mysterious, cultural, and spiritual. Its grace is embodied in the saying "overshadowing the others in China are the Five Mountains among which the most elegant is Nanyue." Apart from its gorgeous peaks, clear waters, verdant trees, and ancient temples, everything there seems so harmonious and appeasing that any conflict can be solved. Consequently, Mount Nanyue is also called the mountain of harmony.

Mount Nanyue has been the stage for numerous moving stories. As a cultural stage, for a time gathered here were also groups of universities and scholars. This paper mainly conducts a probe into Empson's journey to Mount Nanyue during China's War of Resistance against Japanese Aggression, thus revealing the story between the two.

William Empson's Life Experience at Mount Nanyue

Empson came to China and taught in the university mainly because he did not like the boring life in London, and it might have been quite disappointing for him to make a living by tutoring and writing articles. He even had asked the great poet T.S. Eliot to seek employment for him at the University of Cairo. In early 1937, he received a three-year contract to teach at Peking University (Haffenden 432). In the same year, he went home to visit his mother and brothers in Yorkshire and pack his things. He left London on August 12, 1937, took the train across Europe, Russia, and Harbin, and finally arrived in Beijing at the end of August. Unfortunately, Empson's arrival coincided with the outbreak of China's War of Resistance against Japanese Aggression. Therefore, he came to Mount Nanyue together with the Temporary National University of Changsha, which was formed jointly by Peking University, Tsinghua University, and Nankai University because of the war.

This new university was located on the former site of Jiucuiyuan Bible College

in Changsha, and a standing committee including the former presidents of the three universities—Jiang Mengling, Mei Yiqi, and Zhang Boling—was soon organized. Classes started on November 11, 1937. The main campus and Colleges of Science, Technology, and Law were located in Changsha. Banners advocating for the spirit of anti-imperialism, patriotism, democracy, and science were fluttering among buildings of the university to encourage the students. Due to Japanese air raids, the College of Literature and Arts was forced to move to the Bible College at Mount Nanyue. Eighty students and more than twenty professors arrived. As the classes started, Qian Mu, Wu Mi, Tang Yongtong, He Lin, Luo Changpei, Luo Xi, Wei Jiangong, and Chen Xueping arrived. Before long, the other nineteen professors also arrived. Their names were recorded in verse form in the autobiography of Rong Zhaozu, a professor from Peking University. Liu Wuji quoted the verse¹ in his diary at Nanyue:

What is the fun to lean over railings? (Feng Youlan)
 I didn't hear much about its elegance. (Wen Yiduo)
 In a leisurely manner you can still enjoy the rhythm rapid. (Zhu Ziqing)
 So cherish the days with a transcendent spirit. (Ye Gongchao)
 The first emperor sank the great cooking vessel in great river; is it right?
 (Shen Youding)
 Since the diplomatic envoy had accomplished task perfectly and bright.
 (Zheng Binbi)
 Three thousand royal intellectuals by the river have been prepared in vow.
 (Pu Jiangqing)
 And how long will prince Wuji be waiting to defeat Zhao? (Liu Wuji)
 Who would be the first one to calmly take his weapon? (Rong Zhaozu)
 And fight the invader in an incompletely prepared condition? (Wu Dayuan)
 I find myself in the south when I wake up from a dream sound and sweet.
 (Sun Xiaomeng)
 Milky mist seems to be still lingering upon a tinkling rivulet. (Luo Ailan)

1 The original of the verse: 冯阑雅趣竟如何 (冯友兰) / 闻一由来未见多 (闻一多) / 性缓佩弦犹可急 (朱自清) / 愿公超上莫蹉跎 (叶公超) / 鼎沈雒水是耶非 (沈有鼎) / 秉璧犹能完璧归 (郑秉璧) / 养仕三千江上浦 (浦江清) / 无忌何时破赵围 (柳无忌) / 从容先着祖生鞭 (容肇祖) / 未达元希扫虏烟 (吴达元) / 晓梦醒来身在楚 (孙晓梦) / 皓岚依旧听泉鸣 (罗皓岚) / 久旱苍生望岳霖 (金岳霖) / 谁能济世与寿民 (刘寿民) / 汉家重见王业治 (杨业治) / 堂前燕子亦卜荪 (燕卜荪) / 卜得先甲与先庚 (周先庚) / 大家有喜报俊升 (吴俊升) / 功在朝廷光史册 (罗廷光) / 停云千古留大名 (停云楼, 教授们的宿舍)。

How the long thirsted mountains are longing for a rain! (Jin Yuelin)
 Who can to my people and the world the blessings bring? (Liu Shoumin)
 How eager I am to see resistant wars being waged with a lion's will!
 (Yang Yezhi)
 Look, swallows under the eaves may be messengers from a far sphere.
 (William Empson)
 There comes a prophecy that the blessed days may come with ease.
 (Zhou Xiangeng)
 How we hope to hear the message nice and peace! (Wu Junsheng)
 How we hope the glory to shed on my state like sunshine in the sky!
 (Luo Tinguang)
 All the names are as gorgeous as the clouds flaming high.
 (Tingyun Building, the residential building of these professors) (7-8)

In the above verse, "fenglan" in the first line is a word in the name of this professor, refers to leaning over railings; "wen" and "duo" in the second line are words in the name of this professor, refers to hearing and being many in number; "peixian" in the third line is a word in the name of this professor, refers to the elegant name of a classical musical instrument; in the fourth line, "gong" means "you," and "chao" "transcendence"; the fifth line means that "is it right for empire Qin to overthrow the Zhou dynasty" and as words in the name of this professor, "shen" means to sink and "ding" means an ancient cooking vessel with two loop handles and three or four legs, as symbol of imperial power; in the sixth line, "binbi," as a word in the name of this professor, refers to an ancient allusion about an intrepid envoy of the Zhao State who brought back a jade plate which was the symbol of power and dignity of his state; in the seventh line, "pu," as a word in the name of this professor, refers to a place by a river where prince Wuji of the Wei State supported many intellectuals; in the eighth line, Professor Liu is of the same name as prince Wei Wuji; "zu" in the ninth line, part of this professor's name, here also refers to the name of General Zu Di in the Eastern Jin Dynasty who was an eager pioneer to fight against northern invaders and had a famous weapon named Bian; "da yuan" in the tenth line, as a word in the name of this professor, here refers to reaching a perfect state; "xiaomeng" in the eleventh line, as a word in the name of this professor, refers to the daydream of Zhuang Zi, an ancient philosopher in the Chu State of southern China; "lan" in the twelfth line, as a word in the name of this professor, refers to mists in the mountain; "yuelin" in the thirteenth line, as a word in the name of this professor, refers to rain in the mountain; "shoumin" in the

fourteenth, as a word in the name of this professor, refers to bringing blessings to people; “yezhi” in the fifteenth, as a word in the name of this professor, refers to dealing with state affairs of war and peace perfectly; “yan bu sun” in the sixteenth line, as pronunciations of the Chinese name of this professor, refer to a swallow that is seen as an auspicious messenger; “xiangeng” in the seventeenth line, as a word in the name of this professor, refers to lucky days in traditional Chinese calendar; “junsheng” in the eighteenth line, as a word in the name of this professor, refers to being nice and peace; “tingguang” in the nineteenth line, as a word in the name of this professor, refers to the glory and dignity of the country; “tingyun” in the last line, as a word in the name of this building, refers to being as glorious as to stop flowing clouds according to a Chinese allusion. It can thus be seen that a large number of giants had gathered at Nanyue. Among them, William Empson was the only foreign teacher who was described as a messenger from a far sphere. His unique status in the temporary university is highlighted.

The university at Nanyue was then in a very difficult situation, as Qian Mu, the great scholar, reminisced: “The college was located on the mountainside of Nanyue, the ex-site of the Bible College. Two teachers shared a room. One of the rooms was the biggest where Chiang Kai-shek had once dwelt” (199). Coincidentally, Empson shared a room with Professor Jin Yuelin, the famous philosopher who had studied in the United States and Britain and was well-versed in both Chinese and western learning. In addition to poor accommodations, dining and teaching conditions were also unsatisfactory. Liu Wuji was then teaching three courses. According to his words, the students were in urgent need of text and reference books, and even the small blackboard was moved into the classroom later. “The rice that Hunan cook prepared is hard and countable. It’s difficult to swallow,” he added (Liu Wuji 9). In such a difficult environment, Empson, far away from his peaceful hometown, shared happiness and suffering with his Chinese colleagues and students. His students were extremely impressed by his ethics and talents. Especially impressive are the words of two of his students, who later became leading figures of foreign studies in China.

According to the memoir of Li Funing, “His books were not yet shipped to Nanyue because of war-time transportation problems, and still Mr. Empson taught works of Shakespeare. He typewrote the entire text of *Othello* from extraordinary memory, had it mimeographed, and handed it out among students” (33). Empson paid great attention to heuristic teaching; for example, he once questioned his students: “Is Othello easily jealous?” Students valued him very highly. Li wrote in his memoir: “Mr. Empson taught me Shakespeare for two semesters. He taught me

how to analyze and comment on Shakespeare and helped me lay a solid foundation. He was always emphasizing the importance of analyzing and thinking. In this way he guided his students to the field of literary studies, which at the time was extremely rare for those studying foreign languages. More importantly I benefited much from the reading and writing course taught by Mr. Empson for the third and fourth grade" (34).

Liu Zhongde, another student of Empson's and Professor at Hunan Normal University, recalled in his article "Temporary National University of Changsha and Its Stories:" "Mr. Empson and Zhu Ziqing were among those famous professors who taught us at Nanyue. I can still remember how he taught us, the fourth grade students in the Department of Foreign Languages, to read Shakespeare. At that time he was already a famous British poet and critic, and had published *Collected Poems* and *Seven Types of Ambiguity*. He was very learned, informal, and liked drinking. He often stopped and enjoyed the music of Huqin—the Chinese violin—played by a classmate of mine. Later he followed us to Associated University in Kunming, and continued to teach despite the tough environment. This is quite commendable" (271).

William Empson's Life Experience at Mount Nanyue in His Poem

Apart from writing poetry criticism and theoretical works, Empson wrote poems as well. However, he was not a prolific poet and only 56 of them were published in *The Complete Poems of William Empson* in 1955. Generally, his poetry is of an academic and Eliotic style. He loved the metaphysical poetry of the 17th century and once said that he was envious of the beautiful lines of John Donne and he himself had even been trying hard to find out interesting expressions of metaphors and puns (Perkins 74). His witty poems seem so simple, but they are still ambiguous and contain much dense and powerful content.

Wang Zuoliang, his Chinese student, viewed his poems in this way: "People assumed that he had imitated metaphysical poetry of the 17th century, but in fact his poems are more ambiguous. Though they are simple words of original Britain flavor, they contain elements of scientific and philosophical theories of the 20th century, such as Einstein's theory of relativity and Wittgenstein's logic and philosophy of language. Some lines are easy to analyze separately but hard as a whole" (204). Being different from the classical tradition of Europe that Eliot always adopted and insisted on, Empson's poems are filled with theories of the modern world, and a traditional as well as a "metaphysical" style admired by modern poets can be found while some seemingly unrelated images are dramatically

juxtaposed. The foam on the lake from tooth-brushing is reflected in the water like stars, while the real stars are blocked by the morning mist. Then the tension of the soupy water is compared to the force of a spaceship whose speed exceeds that of light. His poems, which mingle new scientific and technological knowledge, are academic in style, and filled with wit and reason. When talking about this “debate-style poetry” that carries many contradictions, Empson interestingly said that the poet should write those things that really make him annoyed, even crazy...quite a few of his good poems are based on an unresolved conflict (Wang 205).

There at Nanyue, Empson wrote “Autumn on Nan-Yueh,” his longest poem of two hundred and thirty-four lines to record his life and thoughts. This poem is of a witty style, but easier to understand than his other ambiguous poems. What is clearly attached with the title is the statement that the poem was completed at the time “with the exiled universities of Peking.” With a quotation of a part of W. B. Yeats’ poem, “The Phases of the Moon,” Empson introduced “flight” as the clue of the whole poem. His trip, part of which was flight, took him to Nanyue, and his trip of “flight” never stopped. Right during his non-stop trip of “flight,” Empson recorded the details of his life and his thoughts on the relation of literature and politics.

It’s worthwhile to ruminate over many lines of Empson’s “Autumn on Nan-Yueh.” The following is about Mount Nanyue:

The holy mountain where I live
 Has got some bearing on the Yeats.
 Sacred to Buddha, and a god
 Itself, it straddles the two fates;
 And has deformities to give
 You dreams by all its paths and gates.
 They may be dreamless. It is odd
 To hear them yell out jokes and hates
 And pass the pilgrims through a sieve,
 Brought there in baskets or in crates.
 The pilgrims fly because they plod.
 The topmost abbot has passed Greats. (92)

Here, Empson associated Mount Nanyue with Yeats. In his eyes, these two holy “mountains” equated and complemented each other. Yeats, the holy mountain of his spiritual world, gave him pabulum and literary inspiration. Nanyue, the holy

mountain of his natural world, was "sacred to Buddha, and a god itself," bringing fresh horizon to Empson. At Nanyue, Empson witnessed the intercourse of such main characters as "deformities," "pilgrims" and "abbot." The identity of Mount Nanyue as a Buddhist Shrine therefore got greatly rendered.

The following is about Empson's life at Nanyue:

(The souls aren't lonely now; this room
Beds four and as I write holds two.
They shudder at the winter's thrust
In cradles that encourage 'flu.) (92)

...

As for the Tiger Bone, the brew
With roses we can still get here,
The village brand is coarse and rough,
And the hot water far from clear.
It makes a grog. It is not true
That only an appalling fear
Would drive a man to drink the stuff.
Besides, you do not drink to steer
Far out away into the blue.
The chaps use drink for getting near. (93)

Obviously, the living conditions of professors were extremely poor. A room "beds four" and when Empson was writing the poem two professors had already lived in the room. Empson wrote: "They shudder at the winter's thrust / In cradles that encourage 'flu," which meant that they were afraid of winter when it's easy to catch cold owing to the poor living conditions. Despite a difficult life and frequent illness, Empson lived optimistically "on hope" and "on trust" (91). In the poem, he conveyed that friendship with colleagues was his source of happiness. He himself also said that he wanted to express a happy mood because he then had excellent companions (Wang 207). Though in the humble and crowded room, "the souls are not lonely." Maybe many had this kind of mood at that time, but Empson, a British literary celebrity, came to China in war, and stuck with Chinese colleagues and students to the bitter end. So, he was definitely a man of noble character. He also wrote that he could buy "the Tiger Bone, the brew with roses," but the brand manufactured in the village was "coarse and rough" with "the hot water far from clear," hence a grog. Drinking the stuff did not occur only for "an appalling

fear.” For them “chaps,” drinking was mostly for “getting near” and enhancing friendship. Empson’s humorous words portrayed his simple life at Nanyue and demonstrated the valuable spirit of being content with poverty of teachers and students at the Temporary University of Changsha (later to become Southwest Associated University).

The following is about Empson’s teaching experiences at Nanyue:

‘The souls remembering’ is just
 What we professors have to do.
 ...
 The abandoned libraries entomb
 What all the lectures still go through,
 And men get curiously non-plussed
 Searching the memory for a clue.
 The proper Pegasi to groom
 Are those your mind is willing to.
 Let textual variants be discussed;
 We teach a poem as it grew.
 Remembering prose is quite a trouble
 But of Mrs Woolf one tatter
 Many years have failed to smother.
 As a piece of classroom patter
 It would not repay me double. (92)

In the exiled university, not only the living conditions were poor, but also the teaching conditions were backward. “The abandoned libraries” in Peking reserved the contents of all lectures but they couldn’t be moved together. Without textbooks or references, teachers gave the lectures only based upon “the souls remembering.” They obtained the teaching materials by “searching the memory for a clue.” Just as Empson in the above stanza wrote, teachers taught a poem “as it grew.” In other words, teachers recalled the whole poem little by little during the teaching process. Empson regarded the teaching ideas as “Pegasi,” which would be groomed as “mind is willing to.” Evidently, teachers’ own thoughts for teaching played a critical role. Actually, for Empson, a knowledgeable man from Cambridge, this felt just like a fish in water. Moreover, in his view, “verse has been lectured to a treat / Against Escape and being blah” (93). He certainly gained enjoyment from teaching poetry in this way. However, he had a sense of propriety, reminding himself “not to fly”

and keep himself just where he was (93). Empson also wrote in the above stanza that "remembering prose is quite a trouble." "But of Mrs Woolf one tatter / Many years have failed to smother." Empson had long been interested in Adeline Virginia Woolf's prose, so it was not hard for him to remember Woolf's prose. Though teaching Woolf's prose did not repay him double, it had become "a piece of classroom patter" and Empson felt at ease in this type of lecture. In the tough times, the spirit of tenacious struggle in teaching and learning of teachers and students at the Temporary University of Changsha was fairly displayed.

The following is about Empson's thoughts on the relation of literature and politics:

So far I seem to have forgot
 About the men who really soar.
 We think about them quite a bit;
 Elsewhere there's reason to think more.
 With Ministers upon the spot
 (Driven a long way from the War)
 And training camps, the place is fit
 For bombs. The railway was the chore
 Next town. The thing is, they can not
 Take aim. Two hundred on one floor
 Were wedding guests cleverly hit
 Seven times and none left to deplore.
 Politics are what verse should
 Not fly from, or it goes all wrong.
 I feel the force of that all right,
 And had I speeches they were song.
 But really, does it do much good
 To put in verse however strong
 The welter of a doubt at night
 At home, in which I too belong? (95)

Mount Nanyue was so remote that people ought to be able to evade reality and politics there, but Empson still didn't get rid of the bondage of the two. In the main part of the poem he discussed the relation of literature and politics in an ambiguous way. The above-quoted poem reflected two kinds of mindsets of the poet. On the one hand, politics are what literature "should not fly from," "or it goes all wrong."

Empson knew this all right. In the above poem, we can find these lines: “And training camps, the place is fit / For bombs”; “Two hundred on one floor / Were wedding guests cleverly hit / Seven times and none left to deplore.” At Nanyue, Empson witnessed the bombs aiming at the training camps and innocent people, and finally killed so many. The cruel reality struck the poet’s sensitive sympathetic mind. In the special context, Empson in the whole poem mentioned such unique words and concepts as nationalism, race, economics, the Red argument, Marx, Stalin, Japs (a derogatory abbreviation for Japanese) and Germans, thus associating his poem with politics. On the other hand, he detested putting all political stuff in literature. In the above poem, we can find his rhetorical question: “But really, does it do much good / To put in verse however strong / The welter of a doubt at night / At home, in which I too belong?” Empson thought putting in verse such chores as “the welter of a doubt at night,” however politically strong, would not “do much good.” He also did not “like the verses about ‘Up the Boys’,” which were filled with “the revolutionary romp” and “the hearty uproar that deploys / A sit-down literary strike.” In his eyes, these literary words belonged to “pomp” and would finally “come down to noise” (94). Here, Empson manifested his conservatism of reformism. In the last stanza, he said he “wouldn’t fly again.” Though life was not easy at Nanyue, he wanted a stable life and did not want to move again. But “even in breathing tempest-tossed,” all other members started to move and forcibly he had “got to go” (97). Autumn passed and Mount Nanyue would “take the snow.” Empson wrote at last: “The soldiers will come here and train. / The streams will chatter as they flow” (98). All seemed calm but had the potential bloody fight that he did not desire. The political changes brought unexpected and undesirable moves to Empson. Empson’s two kinds of mindsets on the relation of literature and politics thus created an unending outcome for the whole poem.

By contrast, here the author of this paper cites a poem, “A Rainy Night,”¹ written by Liu Zhongde when he was a student at Nanyue:

In a mass of darkness
Dense clouds are surging forward
Upon a quiet mountain

1 The original of the poem: 夜, / 一团黑暗。 / 浓密的云雾在奔腾, / 满山一片静。 / 一所古老的学院。 / 倾盆大雨下个不停, / 夹杂着远处的一阵犬吠, / 还有几声鸡鸣? / 惊醒了流浪者的怀乡梦。 / 哪里怒马的悲鸣? / 战场厮杀的喊声? / 雨正在打着柏松, / 打着落叶的梧桐, / 也打着坚贞的巨石, / 一齐发出反抗的吼声, / 巧妙地 / 交织成一支进军行。 / 松柏、巨石、梧桐, / 经过彻夜的斗争, / 还依然常青、强硬、直挺, / 在打击中 / 孕育着伟大的新生!

And an ancient college
 Downpours the rain, mixed
 With the distant burst of barking
 Several rooster crows awake
 Nostalgic dreams of a wanderer, but where
 Are the angry laments of steeds? And where
 Are the roars of warriors in battle?
 There stand the rows of pines,
 Walls of phoenix trees, and
 Unmovable stones, in the torrents of rains
 Their resistant roars are woven into a virile march
 They will stand, ever green, tough and upright,
 Till the dawn when new life burgeons through
 The darkness of night! (270-271)

It's evident that Liu, a passionate student, had different style of writing with Empson, a moderate teacher. In his poem, Liu outlined a scene that was still thriving and full of vitality even though they experienced ups and downs. "The angry laments of steeds," "the roars of warriors in battle" and "their resistant roars" were "woven into a virile march." In Liu's poem, the march thus headed on in high spirits. The images of "pines," "unmovable stones" and "phoenix trees" were "green, tough and upright," symbolizing "new life" burgeoning at Nanyue, implying a new journey for the "ancient college" and predicting a brand-new look of China. The ambitious emotion, instigating words and optimistic attitude toward politics were in sharp contrast with those in Empson's poem.

People held a high opinion of Empson's character. One of his Japanese students said that he was an honest and authentic person, always kind and gentle to friends and students (Fukuhara 33). His experience in China has been put in a poem by one of his friends:

During the China Incident
 Came the long trek
 By the exiled Peking universities,
 Of which he was a teaching member;
 So William went
 To Hunan and Yunnan.
 He ran about in hope, on trust,

Happy to have escaped from the pell-mell.
 The teachers taught just
 What they could remember
 In strict rotation,
 Having no way to check.
 This suited William well,
 He being a master of misquotation. (Bottrall 50-51)

Bottrall in the poem recorded Empson's exiling experiences together with the temporary university from Hunan Province to Yunnan Province. Luckily, Empson has escaped from the chaos and survived in a succession wars in China. Moreover, Bottrall described Empson's unique teaching experiences in the temporary university, claiming that the teachers, without references and ways to check, could only teach based upon their memory. Subtly, Empson's inaccuracy or carelessness in quotation was revealed in a jocular way: "He being a master of misquotation." Throughout his life, Empson came to China twice and lived in China for seven years. The first time he lived in China was from 1937 to 1939 when he was hired by Peking University for the first time. In the Second World War he returned to Britain in service of his country and did his best as an intellectual and citizen. After the war he returned to Peking University to teach and lived in China for another five years from 1946 to 1951.

Mount Nanyue is an important birthplace of Huxiang culture. Empson was the first foreign scholar who lived there temporarily, wrote a long poem of 234 lines, "Autumn on Nan-Yueh," and thus exerted great influence on the modern Chinese poetry. "Autumn on Nan-Yueh," the longest of Empson's poems, gives an account of his life and thoughts at that time. The poem also demonstrates the resolute, diligent, and eager-to-learn spirits of the teachers and students of the Temporary University of Changsha. No doubt, Empson's journey to Mount Nanyue is valuable academically and deserves commemoration.

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A Milestone in the Field of Chinese Narratology

Fong Keng Seng

Abstract: Professor Yang Yi's *Chinese narratology*, which interprets narratology by searching for unique Chinese characteristics in Chinese narratives, has established an important milestone in the field of Chinese narratology. This article will introduce Yang Yi's academic method of *Chinese narratology* and the theoretical framework of it through the four Chinese narrative terms of "structure," "tense," "perspective" and "idea-image." Yang Yi's narratology research is set in the big framework of Chinese national culture, so his theory is inseparable from Chinese philosophy. In addition, this article also explores how to apply these concepts and terms, namely the process of applying Chinese narratology established by Yang Yi. Finally, this article draws a conclusion that Yang Yi has synthesized the western narratology, the ancient narrative regulations and practices, as well as the contemporary Chinese Narratologies, for giving birth to his own *Chinese Narratology*, which is indeed a great contribution to the narratology of China and the world.

Key words: Chinese Narratology; structure; tense; perspective; idea-image

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标题: 中国叙事学领域的里程碑

内容摘要: 杨义教授开创的中国叙事学，即通过在中国叙事中寻找独特的中国特色来解读叙事学，是中国叙事学领域中重要的里程碑。本文将介绍杨义中国叙述学的研究方法与中国叙事学的理论框架，并通过“结构”、“时态”、“视角”与“意象”四个中国化的叙事术语来展开杨义的理论。杨义将叙事学研究设置在中国民族文化的大框架中，因此他的理论与中国哲学密不可分。此外，本文还探讨了如何运用这些概念和术语，即杨义建立的应用中国叙事学的程序。最后得出结论，杨义综合了西方叙事学，古代叙事规则和实践，以及当代中国叙事学，生成了他自己的中国叙事学，这确实是对中国和世界叙事学的巨大贡献。

关键词: 中国叙事学；结构；时态；视角；意象

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Yang Yi is a real pioneer in narratology among scholars in China. He was once a guest researcher or professor in Harvard University, Yell University, Oxford University and Cambridge University. His research keeps pace with the international frontiers, looking into Chinese literature in multi-dimensional perspectives. Over the years, Yang Yi has established an important milestone in the field of Chinese narratology.

In “Reception and Variations of Classical Narratology in Chinese Scholarship,” Biwu Shang confirms Yang Yi’s contribution to narratology, Chinese or western, as he says: “Yang’s Chinese narratology represents one of the most significant developments of Chinese narratology, which yet remains to be introduced to Western scholarship” (Shang 4). In “A New Perspective on the Scope and Meaning of Chinese Literature,” Yongchul Choe agrees with Biwu Shang, as he says, “Yang Yi wanted to establish a new Chinese form of narratology by finding unique Chinese characteristics in Chinese narratives. He referred to Western literary theory but didn’t depend on it too strongly.” He feels that “this new theory of narratology still has immense influence in academia” (Choe 71). In “Emerging Vectors of Narratology: Toward Consolidation or Diversification? (A Response),” Liya Wang objectively analyzes Yang Yi’s narratology: “Yang’s observations aim at uncovering the structured pattern of life-experience and its representation in Chinese language” (Wang 138).

Like some of the like-minded scholars, Yang Yi has been worried about the contemporary Chinese literary studies. On one hand, some scholars totally reject theories whatsoever, and only focus on textual facts, which make their studies less scientific and systematic, with no philosophical or theoretical depth. On the other hand, most of the scholars only turn to western theories, regardless of whether they are appropriate to the Chinese literature, culture or society.

As said by Yang Yi himself, the academic methods to his study of Chinese Narratology were applied as follows: first, “refocus on the origins of Chinese culture”; second, “refer to modern Western scholarly theory”; third, “examine ancient and modern literature and history”; and fourth, “make a new scholarly system by combining these principles” (“Hope of Making Clear” 15). In this way, Yang Yi hopes to establish a new narratology for the Chinese academy: “I went back to the original Chinese literary ecological system to examine the conditions for the literature to come about, grow and assume its cultural identity” (Ibid).

In *Chinese Narratology*, Yang Yi points out that the difference between the western narrative and Chinese narrative can reveal the hidden cultural codes of the Chinese people, so we must go back to its origin to study Chinese narratology.

Qian Hongwen, chief editor of *Literary Reivew*, says that “theoretically *Chinese Narratology* reveals a unique Chinese narratology to the western scholars and establishes basically a Chinese system of narratology” (*Chinese Narratology* 455).

When tracing back the origin of Chinese narrative, Yang Yi examines it from all the possible angles, getting to the etymology of narrative in the Chinese context, studying narrative as a literary pattern and a mode of human wisdom, which are quite different from all the other books concerning narratology. What’s more, his *Chinese Narratology* is based on his broad research into the history of Chinese narrative, covering Oracle bone inscriptions to the modern novels, so much so that he pushes the development of narrative from more and more angles, which is a big leap forward for the outlining of Chinese narratology.

In *Chinese Narratology*, Yang Yi constructs a theoretical framework of Chinese narratology. What is the most important is that he comes up with a whole system of Sinicized narrative terms, such as structure, tense, perspective, idea-image and so on, which seem to be the same as those terms in the western narratology, but actually have quite different denotations and connotations. All the terms have been instilled with the vigor of the Chinese culture and philosophy, which makes them quite exceptional, full of energy of life.

When it comes to structure, in *Chinese Narratology*, Yang Yi defines it as “patterns and institutions communicating writing and its objective” (37). To him, structure is both the beginning and the ending, which makes it crucial to the narrative works. Yang Yi has made his research into structure exceptional in that he has put forward “structure” in the sense of Chinese narratology and given it a connotation quite different from western narratology.

Firstly, Yang Yi makes structure a verb. In the western narratology, structure is also very important, but it seems dead, instead of being a verb, a living being. In *Chinese Narratology*, he points out that structure was originally a verb in Chinese language. In many classical works, structure means the building of a house. Later, structure is considered an evaluation criterion for calligraphy art. The origin of the word structure makes it both spatial and temporal.

Secondly, Yang Yi analyzes the three basic elements of structure. One is the element of order, so that “characters and stories in the works have certain temporal and spatial arrangement, and all kinds of narrative fragments hold their appropriate positions” (65). Structure also functions as a link, both direct and indirect, the former of which works as a transition and the latter of which emphasizes intertextuality and interaction. What’s more, structure presents comparison and contrast, strengthening its “mobility, rhythm and rhyme,” so that the structure is

more elastic, charming and alive like a living being (76).

Finally, Yang Yi examines the potential energy of the structure and the five forms of the development of the structure. Structure is a verb, and its three basic elements interact with each other pushing the structure to move in a certain direction. The ontological potential energy comes from the duality or multiplicity of the character and how they release energy when put in a special circumstance. The positional potential energy comes from the convergence of the history and the reality, the life and fate, and the chance and the destined, which coexist with each other, forming the co-structure potential energy. With the change of the ontological and positional potential energy, there comes a new potential energy, that is, mutated potential energy. With the potential energy, structure will develop and turns into a certain form. As Yang Yi points out, “structure presents a history of development from the simple to the complex, the shallow to the deep, one to many. It is forever an open system that inherits and creates” (90).

In order to develop and modernize structure, Yang Yi puts forward five suggestions: setting patterns and creating, changing from single structure to multiple structure, seeking structure from the seemingly no structure, pushing the development of the structure from the simple to multi-dimensional, and the convergence of the western and Chinese narratology.

What about tense? Yang Yi points out that Chinese academy tend to feel that time and space are holistic. Words like “Universe” in *Huainanzi* or “World” in Buddhism reveal that time and space are holistic, which explains why writers in the ancient times tended to blend their own life experience into their expression of time. As far as tense is concerned, the Chinese expression does not rely on the changing of the verb form, but other words and expressions, which makes any expression of action fresh as new.

What are the characteristics of the time view of the Chinese people? Yang Yi reveals that there is an obvious one which has not been thought deeply for a long time: the Chinese people express time in the sequence of the year, the month and the day, while Western people do so in the sequence of the day, the month and the year (American people have changed the sequence to be the month, the day and the year, of course). Culture is the salt dissolved in water, which is invisible, but can be tasted. Culture is a way of living. Different sequences imply different meanings.

These are differences of cultural code lying in the implications of the two different sequences. People might ask how the issue of the sequence has been generated. If we have read oracle bone inscriptions, we will know that the method of recording time in these inscriptions is in the cycling sequence of the day (*Jiazi*),

the month, and the sacrifice (there was one major sacrifice each year), which was the same as the western method. In *Shang* Dynasty and *Zhou* Dynasty, there was a period when the sequence was the month, the day and the year, according to the inscriptions on the ancient bronze artifacts. This sequence is not different from the one in American English. In the ancient book *Zuo Zhuan*, the sequence became the year, the month and the day, or the year, the “*shi*” (the season: spring, summer, autumn or winter), the month and the day. In the oracle bone inscriptions, the four seasons had not been complete, while in the records in *Zuo Zhuan*, they became so.

The Western narration starts from concrete time and space, such as from a person, an event or a scene. Nevertheless, the Eastern narration begins with integrated time and space, such as from the legend of the creation of the world by Pangu. As an entire process, there is a long continuation of episodes from the beginning to the end of a story. The different starting points consequently lead to a further split. The Western narration is usually in the form of flashback, while the Eastern narration in the form of “flash-forward.” In *Iliad*, Achilles flared up, and the progress of the war was reversed, thus it became necessary to explain the cause of the war, and the time went back to ten years ago, when the story of the “golden apple” and the rare beauty Helen had happened. After the “first narration” appears, the “second narration” becomes the explanation and retracing of the “first narration.” In the Western narration, these two episodes form the relation of “flashback”.

However, in ancient China, since people believed that they were bound to be governed by Gods or fates, and there were many things like death and disasters, chances and forces beyond man’s control or man’s will, the narration typically began with an omniscient perspective of time and space as the world seeing from the eyes of God. The narrator overlooks the secular world, thus has a panoramic view of all characters’ fates. In *The Legend of Deification*, Jiang Ziya had known that the Gods would go to register on his Deification Altar later before he went down from the mountain. Moreover, in the chapter five of *A Dream of Red Mansions*, the description of the stone for patching the collapsed sky left by Nvwa and of the poetic evaluation of the twelve beauties in the Illusory Land of the Great Void expressed or implied the fates of these characters. This demonstrates that the Chinese narration consists of the “meta narration + original narration,” which differs from the “flashback + meta narration” of the Western narration. With the advantageous thinking habits, Chinese narration adopts usually the form of prediction or “flash-forward.” A flashback also appeared on the Chinese narration. There is a good source of flashback example in the first chapter of the extremely

influential anthology *Guwen Guanzhi*. Therefore, we can draw a conclusion that Yang Yi's concept of tense is full of obvious Chinese characteristic of holistic thinking.

Perspective has always been very significant in the western narratology, which is recognized and confirmed by Yang Yi in *Chinese Narratology*. Meanwhile, he also argues the shortcomings of the western narratology, since it tends to sever narrative perspective from the relationship between the writer and the society, history and culture. In *Chinese Narratology*, Yang Yi analyzes a text from the perspective of the writer, culture and other external factors, endowing it with broader connotation.

Yang Yi describes "Perspective is a special vision and angle for a piece of work or a text to look at this world, as a result of which perspective is selective" (197). His definition comes from his research into Bronze Inscriptions, *Chun Qiu*, *Zuo Zhuan*, and *Outlaws of the Marsh* and other narrative works. In his book, he notes that perspective is not only closely related with the writer, but also permeated with rich life philosophy.

With regard to the relationship between perspective and writer, in the western narratology, the writer is excluded in the analysis, which should be wrong in Yang Yi's eyes. He suggests that "there is a need to know about the writer before the cultural codes in the texts are disclosed" (207). In the Chinese tradition, we put much emphasis on the understanding of the writer before we interpret his works, so that "we can give back life to the works, instead of tearing works into lifeless mechanical parts. We should dig into the relationship between the narrative perspective and the writer, and thus interpret the spiritual codes of the writer hidden deep in his works" (211).

In *Chinese Narratology*, Yang Yi examines perspective, its relationship with the writer, and the relevant concepts, which breaks through the fence built by the western narratology, linking perspective with the writer and the broad society, history and culture and greatly enriching the perspective concept in Chinese narratology, quite in accordance with the Chinese sense of wholeness of everything and that everything has its own life.

The concepts of structure, tense and perspective put forward in *Chinese Narratology* refer to western narratology, but they assume Chinese characteristics when Yang Yi goes back to the Chinese narrative itself. The concept of idea-image narrative is an original one. It is formed after a thorough research into the characteristics of the Chinese narrative literature. Yang Yi points out in his book, "It is a must to consider idea-image (*yixiang*" in Chinese) and the narrative

approaches as one of the basic topics when studying Chinese narrative. With this in mind, we can deeply analyze Chinese narrative so that we can find where the difference from the foreign literature lies and what the important characteristics and charms of the Chinese literature are” (277).

In regard to his review on the “Spiritual thinking” in *The Literary Mind and the Carving of Dragons*, *Xi Ci Zhuan* in *Book of Yi* and *Critique of Poetry*, Yang Yi puts forward his own interpretation of idea-image: it is not a simple combination of meaning and image. The creation of the word “idea-image” by Yang Yi can be more poetically expressive than “image.” In fact, the significance of idea which reflects the artistic mood in the traditional Chinese poetics goes beyond the meaning of image. The above-mentioned interpretation of idea-image is similar to the idea to overhear the understood expressed by Ch’ien Chung-shu. In *Chinese Narratology*, Yang Yi indicates that custom and cultural idea-image are interconnected. As to idea-image of myth, he refers to “the idea-image of myth in the narrative literature is no longer proto myth, but some special symbolization or allusion, with recourse to its sources or myth elements” (317).

Yang Yi insists that idea-image could play a role as the spirit in the narrative works. First of all, it can strengthen narrative by condensation. Moreover, it can adjust the meaning of the works abiding by the mechanism of gathering or scattering, which can help generate thick aesthetic touch and strong aesthetic impact. In addition, idea-image can help smooth the writing lines and link the whole narrative structure. In the long narrative works, sometimes the plot is not linear, where a good idea-image can smooth the narrative line and keep the narrative rhythm. Finally, idea-image can enhance the works’ readability, for idea-image is closely related to history and culture, which can generate “idea-images that are enriched or transformed in the narrative works.” And then they can add to the “elegance or irony” of the narrative works (349).

Besides a set of concepts and terms for Chinese narratology, such as structure, tense, perspective and idea-image, Yang Yi also explores how to apply these concepts and terms, that is, he has established a procedure for the application of sinicized narratology.

Regarding structure, Yang Yi’s emphasizes that “we should respect for utilizing it, and follow it with a breakthrough it in order to get the subtlety of the structures while being free from its rigid forms” (109). In other words, we should learn how to well use structure, and give it life, instead of making it dead. In *Chinese Narratology*, he mentions, “In narrative works, the writer has instilled his own life, so his inspiration represents his unique way of experiencing and feeling

the world, his own aesthetics and creative spirit. To give narrative structure life is to break out of the traditional shackles and instill life, so to a certain extent, the writer transforms his own life into the narrative life” (117).

Yang Yi also has his own understanding of tense. He believes that the intervention of the writer changes the narrative time, so “the narrative speed could be higher for the ancient events, since it has less influence on the present, while the recent events have a greater influence on the present, so the narrative speed should be lower”(148). The narrative speed may influence the focalization of the narrative. When it’s higher, we can know clearly the ups and downs of the human life; when it’s lower, we can feel the delicacy of the communication between human beings and the universe. Besides, Yang Yi also puts forward the fantasizing of time in that “the surreal transformation in the reality will cause strong contrast and mutation of the narrative time”(162).

As per perspective, Yang Yi assumes that the focalization on the “being” and “non-being” is well designed by the writer. In Chinese narratology, this design also displays the focus and the blind spot. More than often, the meaning doesn’t merely lie in the focus, but the blind spot. This called “*Liubai*” (leaving blank space) in poems or paintings. The combination of focus and the blind spots can give the narrative deeper meaning.

Regarding choosing and using the idea-image in the narrative, Yang Yi also indicates a set of regulations. Firstly, the idea-image should be eye-catching and special, “leading to the implied meaning naturally and seamlessly” (293). Secondly, idea-image should be able to link the plot and become the focus of the narrative. Thirdly, idea-image should be able to further push the development of the plot.

Yang Yi’s narratology research is set in the big framework of Chinese national culture, hence his book is brimful of his reading and understanding of Chinese cultural and spiritual codes, which shows that Chinese narrative is internally connected to Chinese culture.

In the process of exploring Chinese narrative rules, Yang Yi discovers a critical Chinese culture code, that is, the attaining of a state of harmony, which is an aesthetic principle and a philosophical state as well. He concludes that ancient Chinese writers tended to consider writings on the paper as their interpretation of the universe, hence “the exploring and understanding of the narrative rules are influenced by the feeling of wholeness, which can reveal the structural rules of the co-structure of the binary opposites like yin and yang” (21). This is also the aesthetic principle and philosophical state of “attaining the state of harmony” which shows that “the narrative process is life experience and communication, so there is

no need, as some western scholars claim, to exclude the writers from the study of narratology” (25).

When it comes to tense, in the Chinese narrative works, Yang Yi explains that the Chinese consider time holistic, and this whole time is related to the heaven and earth. He considers this as a spiritual prototype of the Chinese, so “the rich cultural codes concerning the moving of the sun, the moon and stars, the shifting of seasons, the life and death of everything and ups and downs of human life are weaved in the narratives in accordance with the order of time” (134). As regard the narrative beginning, Yang Yi maintains that “Chinese writers like to consider the beginning of the narrative works as an opportunity to communicate with the cosmic spirit and the history rules, so they can construct a hub for the meeting of human beings and the universe, and the structuring techniques in the spiritual state of great time and space or beyond” (135).

Yang Yi’s concept of perspective is related to life, as he points out in this book, “there is life in perspective, so it can feel and think. With a certain perspective, painters see paintings and the thinkers create new thoughts. Therefore, perspective enters the writing together with feeling and thinking. That is to say, perspective can contain deep life philosophy and history philosophy” (167). What is behind the perspective is the philosophy of being and non-being, and the communication between the human being and the universe.

In *Chinese Narratology*, Yang Yi arranges a special chapter for the literary critics like Li Zhuowu, Jin Shengtian, Mao Zonggang and Zhang Zhupo, for he thinks they “create a colorful world of aesthetic feeling and theoretical thinking, which is their own world as well as the world of Chinese narratology”(354). We should set up a practical evaluation system just for them, that is, “for the research into Chinese literary critics, we should go back to what they really were.” Actually, in their literary interpretations, those critics put their own life and wisdom, since “they experience the rules of the universe and illustrate their own theoretical understanding”(353).

By and large, Yang Yi’s *Chinese Narratology* is intricately imbued with special Chinese cultural and philosophical characteristics, including the co-existence of yin and yang (opposite yet forming one body), attaining a harmony between human and the universe, human-heaven telepathy, everything having its own life and belonging to a whole. He has synthesized the western narratology, the ancient narrative regulations and practices, and the contemporary Chinese Narratologies for giving birth to his own *Chinese Narratology*, which is indeed a great contribution to the narratology of China and the world.

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Self-Negotiation between Past and Present: Bildungsroman and Character Narration in Julian Barnes's *Metroland* and *The Only Story*

Tang Yili

Abstract: Julian Barnes's debut novel *Metroland* and his latest novel *The Only Story* deal with the same subject matter of Bildungsroman, in both of which the "I" is the narrator in the discourse world on the one hand and the character in the storyworld on the other. With the affordance of dual focalization, the narrator, at the time of the telling, perceives his former self's perception at the time of his action. This article proposes the term "Barnesian Bildungsroman" to designate the narrative mode in which Barnes assimilates the narrative form of Bildungsroman to define the elusive selfhood in the crisis of self-development. It argues that Barnes invites his audiences to witness character narrators Chris's and Paul's changes and conflicts between their current selves and their past selves. As autobiographical authors, character narrators aim to construct stories of themselves, in the process of which they provide a glimpse of the past self and the current life with a purposeful and dynamic sense of self-continuity, which is emphasized by the account of change instead of stability.

Key words: Bildungsroman; character narration; Julian Barnes; *Metroland*; *The Only Story*

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标题: 过去与当下的自我协商：成长小说与巴恩斯《伦敦郊区》和《唯一的故事》的人物叙述

内容摘要: 巴恩斯新作《唯一的故事》再次回到了其处女作《伦敦郊区》所探讨的成长主题。本文提出“巴氏成长小说”这一概念，旨在分析该文类对成长小说的吸纳与包容，进而在此基础上考察小说人物如何在危机中重新定义自我。在人物叙述层面上，“我”既是话语世界的叙述者也是故事世界的人物；在双重聚焦层面上，叙述者在讲述的同时看到了过去的自己。作为自传式作者，克里斯和保罗建构自身的故事，在过去自我与现在自我之间建立起一种动态连续性，

其意义正在于这种建构的变化性，而非对某种稳定性的维护。从修辞设计的层面来说，巴恩斯通过人物叙述的笔法，有效地改写了成长小说，在叙述进程中揭示了人物叙述者在现在与过去之间的自我拉锯。

关键词：成长小说；人物叙述；朱利安·巴恩斯；《伦敦郊区》；《唯一的故事》

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Introduction

In a recent article in *The Guardian*, Julian Barnes raises such a question: are writers “traditionally supposed to have a sense of place?” (Barnes, “Julian Barnes on Suburbia”). To answer this question, we might turn our attention to his debut novel, *Metroland* (1980), and his most recent work, *The Only Story* (2018). *Metroland* is a name that the author gives to an area of suburbia north of London. Barnes admits that suburbia is his kind of place. In *The Only Story*, Barnes returns to the milieu of *Metroland*, the beginning of his career. A veteran Barnesian reader will recognize the familiar landscape in *The Only Story*, where the story deals with restrained emotion, told by a not-wholly-reliable narrator, Paul Roberts, and youth is recollected in certain stages. Both set in the suburban “stockbroker belt”, Barnes’s first novel is narrated in the first person; while his latest novel employs different voices, shifting from the first, the second, to the third person. The “I” in these two novels is both the narrator in the discourse world and the character in the storyworld. Narrated from the perspectives of adults looking back on their lives, the first parts of two novels follow character narrators from their rebellious adolescence against bourgeois values and middle-class life. It is interesting that, after almost four decades, Barnes spends much of his career turning back to his first novel through parallel themes and settings.

In *Metroland* and *The Only Story*, Barnes deals with the subject matter of Bildungsroman and employs character narration. As a refinement of “first-person narration”, character narration enjoys the advantage of excluding a narrator who is not a character but speaks in first person strategically. James Phelan creatively coins this new and accessible term to map a rigorous and systematic picture of I-narration. It is “an art of indirection” that the author uses one text appropriate for two audiences (the narrator’s and the author’s) and two purposes (Phelan 1).

Metroland and *The Only Story* are mainly about character narrators involved in an intensive interior quest for self-development, which can be effectively

interpreted as a useful metaphor for what happens to the protagonists when they grow up. Therefore, detailed combined analysis of the two novels might offer some fresh insights and assessments. This article aims to pursue four goals. First, through examining critically the debate on the character narrators' retrospection, it argues that critics' discussions are ultimately about the inner dialogue between the current self and the past self. Second, it tries to decode features of Barnes's application of the generic frame of Bildungsroman, in the name of "Barnesian Bildungsroman". Third, when analyzing the narrative logic of "Barnesian Bildungsroman," it focuses on two elements of their narration: self-consciousness and focalization. It points out that Barnes uses dual focalization to reveal the dynamic relation between the experiencing-I and the narrating-I by the act of narrating the past, and in doing so he ties the protagonist's transformation to his experience in the realm of art and love. Fourth, it tries to illuminate the most salient feature in "Barnesian Bildungsroman": circularity.

Self-Deception or Self-Correction? The Inner Dialogue between Two "Selves"

The theme of growing up, is quite a stale topic. It is, however, enlivened in *Metroland* and *The Only Story*, both of which are triptychs with an ambiguous ending. *Metroland* is written in three parts called "Metroland (1963)," "Paris (1968)," and "Metroland II (1977)." Chris's life journey ends in Metroland where he starts his journey. In the third part, *Metroland* comes full circle as Chris, aged 30, returns to Metroland with his wife into the bourgeois life that he repudiated as a teenager. *The Only Story* starts off in the first-person narration of the 19-year-old character narrator Paul, falling in love with 48-year-old housewife Susan at the tennis club. As Susan descends into addiction and depression in the second part, the voice segues beautifully from the first person to the second person. In the third part, Paul's narrative switches to the distant third person which covers the years after leaving Susan. Where *Metroland* and *The Only Story* are especially adept are in the way that they depict the lives of their protagonists from adolescence to maturity in an idiosyncratic manner.

In terms of Chris's and Paul's life paths through a weaving of narrative and structure ploys, critics suggest two different interpretations of character narrators' retrospection: self-deception and self-correction. On the one hand, those who see the narrator's return to the character's mind as a betrayal of previous feeling or ideas are more inclined to regard the return as self-deception. The self-deceivers engage in a form of mental struggle: their motivation to avoid the recognition of betrayal leads them to escape the past real world mentally or emotionally, and then

to intermittently inhabit an imaginary environment which protects them from the guilt of inner lies. On the other hand, some critics view Chris's retrospection as the ironic correction of his past self. Rather than betraying his young self, the old self still evolves his subjectivity. It is worth noting that when analyzing Chris's and Paul's retrospection, critics on different sides of the debate put the same emphasis on the tone of Chris's and Paul's retrospective narration. They primarily salute the apt descriptions of the wiser and distanced view over one's life.

In terms of *Metroland*, critics point out the irony and praise the way in which Barnes presents adult Chris's interpretation and judgement of his younger self. According to Merritt Moseley, one of the main achievements of this novel is the management of tone as the mind of adult Chris always inhabits the mind of adolescent Chris, which allows for irony and sharpness (Moseley 19). With critical hindsight, Frederick Holmes further clarifies this irony even though it undermines the positions of both the young and the adult. He argues that "what makes the irony doubly directed is the fact that the younger Chris's comments point ahead in judgment at the very bourgeois way of life that his older self has adopted, just as the older Chris's comments point backward critically at the naivety of his younger self" (Holmes 42). We see that Chris as a teenager versus an adult has contradicting ideals and realities when the character narrator's perspectives shift. What matters here is that how the narrator treats the difference between the past self and the present self.

Holmes avers that "overtly recognizing the irony inherent in the transformation that he has undergone as an adult does not make him any less an apostate" (Holmes 43). Rather than viewing Chris's choice as a positive exemplum, Holmes reminds us that we could read him as being negative. According to Holmes, we could conclude that Barnes wants us to reject Chris, instead of identifying with him, since Chris's return should be viewed as a betrayal of the youthful ideals that he has formed with his friend Toni. However, according to Matthew Taunton, Chris is aware of this paradox and even enjoys it. His self-consciousness of suburban life lies in his acceptance of inconsistency and irony. Having embraced a more contradictory reality where the youthful idealism is replaced by the ironic acceptance, Chris learns to live this kind of contradiction, which is considered as an important part of the character's development (Taunton 15). In his analysis of the ending in *Metroland*, Moseley seems to be reserved: "Does this happiness arise from willingness to settle for less? Yes, to an extent" (Moseley 30). Recording his progressive rejection of the environment, Chris gradually receives his home as the representative of convention or orthodoxy. Chris's impossibility of reaching any

lasting personal belief or faith leads to his acceptance of betrayal. His wit seems to go along with a Beckettian conviction that he simply must go on. All considered, those critics who insist that Chris has not betrayed his youthful idealism tend to justify his mature acceptance of the ordinary satisfactions and compromises. His self-consciousness of bourgeoisie life also marks the truth of contradictory reality that the important part of the process of growth lies in its ironic acceptance. In this respect, the novel portrays the consolations of maturity and the disturbing aspects of adulthood, and thus Chris's retrospection is the ironic correction of his adolescent self.

Compared with those critics who hold opposite views on Chris's attitude towards the difference, most critics claim that Paul's retrospection in *The Only Story* is tainted by self-delusion. Alex Preston argues that Susan and Paul's affair is "presented to the reader from dual perspectives: both the 19-year-old's hot, naive experience of it and then the sour reflections of the older man looking back half a century later" (Preston). Whereas the story in the first part is told in a relatively cheerful tone, the second part changes to a bleaker period in Paul's life with the narrative voice segueing from first person to second person as if to place readers in the story. Preston addresses it as "a kind of accusation" (Preston). Kate Clanchy makes the point more deeply, noting that rather than allowing readers to exult in his romance, the old narrator is dry about everything: "his revolutionary impulses, his rebellion against his parents, his expulsion from the tennis club, even the sex" (Clanchy). In this regard, the background of the novel is evoked precisely, tenderly and ironically. The narrator's method of contemplating truths about love in his retrospective narrative is to question readers and himself with hindsight. What critics pay attention to is the way in which Paul uses the first-person narration to describe his memories of the love affair. Jon Day suggests that Paul's retrospection may not be "a straightforward reckoning with the past at all, but an attempt to distance himself from it" (Day). One can therefore concur with Day that the effective use of focalization and voice highlights the increasing affective distance between the narrator and the character. This certainly explains why Kate Clanchy claims that the exquisite moments in the novel come from "its psychological acuity, especially about how we remember" (Clanchy). In Paul's narration, his experiences deconstruct themselves. The effect of a dissolution of stable narrative perspectives creates a readerly engagement of Paul's "real" emotion. In the process of recapturing Paul's feelings, Barnes implies the egotism and illusions that Paul harbor.

The discussion on tone actually is about Barnes's treatment of focalization.

Critics have already recognized Barnes's use of dual focalization but have not elaborated it theoretically. As the above-mentioned analysis on the tone suggests, the inner conversation between the current self and the past self constantly goes on Chris's and Paul's minds, which serves as the key to a central Barnesian concern about how people can change. In terms of Chris, most critics recognize the irony in his tone when facing the young self's naivety. In terms of Paul, critics care more about his affective response in the retelling of his love affair. The question is that how Chris and Paul treat the difference or conflicts between the past self and the present self. The attribute of this inner dialogue resides in the existence of paradox since it is more like the schizoid act of directly getting oneself to disbelieve what one believes, or believes what one disbelieves. The main indication of their inner conversations consists exactly in taking opposing points when they both believe and disbelieve in the "lie" about themselves. In their active attempts made to persuade themselves or make sense of their past, they pay attention to their problems and failures, criticize themselves and search for ways to change themselves. Such confrontation could be seen as a defensive inner conversation between the defending voice and the opposing voice. The former represents a subjective self-perception, while the latter demands an objective self-evaluation, even though it may contradict an ideal self-image. The difference between self-deception and self-correction lies in the present self's attitude towards this confrontation, with negative or positive manner to treat their changes. It is significant to note that, despite the varying opposing attitude, the voice of truth is still being experienced by the present self as a potential threat. Their retrospection depends on the exercise of their ethical authority in the judgment of their life. Thus, their acts are ethically charged, facing self-deception, cowardice, uncertainty and other challenges. In this sense, Barnes adapts the genre of Bildungsroman in a fresh and profound way.

"Barnesian Bildungsroman": Presentness, Autobiographical Narrative and Ambiguous Ending

It might be a cliché to consider the genre of Bildungsroman in the fictional world, as noted above. When talking about his first novel, Barnes concludes what *Metroland* has brought him:

First, because it existed, and still exists; it started me off, and it gave me confidence. Secondly, because I think I succeeded in what I was trying to do: take the traditional Bildungsroman a stage further, ending not with the young protagonist gazing Balzacianly down on the city where he is to seek

and perhaps make his fortune, but continuing on until a kind of defeat (if an ambiguous one) is reached. (Barnes, "Julian Barnes: Why I Wrote")

Barnes's self-analysis without any doubt contains remarks that he tries to adapt this genre by complicating the trajectory of protagonist's development. This is significant because it leads readers to greater personal engagement along with the protagonist's journey from youth to intellectual, psychological or emotional maturity.

To figure out how Barnes takes the traditional Bildungsroman a stage further, this article proposes the term "Barnesian Bildungsroman," which refers to Barnes's fiction that successfully adapts the narrative form of Bildungsroman to explore the issue of defining the elusive selfhood in the danger posed by the self-development crisis. Broadly speaking, "Barnesian Bildungsroman" possesses such characteristics. First, it uses the pattern of Bildungsroman, but focuses on the protagonist who can be defined by his/her experience of the past and the growing self. He uses the frame to describe the protagonist's current situation much more fully than other Bildungsroman. Second, "Barnesian Bildungsroman" has stronger autobiographical ties, with the circular trajectory of autobiographical narrative, in which the present is both the end and the beginning of its narration. The formation of a mature self is also provided by the symbolical return to the basic values of the experience of youth in the cyclical structuring of their autobiographical narrative. Third, it forms itself by refusing classical tangible optimistic or tragic ending of Bildungsroman. Instead, Barnes records the failure of development as a strong leitmotif of Bildungsroman representation in Chris's and Paul's stories with a question of the psychic fulfillment and spiritual stability or completeness. Thus, their acts are ethically charged, facing self-deception, cowardice, uncertainty and other challenges.

Chris's and Paul's developmental process begins in a provincial background, the vast suburban area. The adolescent protagonists are in conflict with their parents living in Bourgeois routines, though the description of Paul's rebellion against his parents are less vivid than Chris's. In *Metroland*, both Chris and Toni sneer at the suburban middle-class life of the old generation whose morality is to be rejected. From Chris's point of view, parenthood is "a crime of strict liability" (*Metroland* 40). Their life is an unendurably empty existence. The same holds for Paul, who offers such an account of his parents: "[m]y parents' marriage, to my unforgiving nineteen-year-old eye, was a car crash of cliché. Though I would I have to admit, as the one making the judgement, that a 'car crash of cliché' is itself a cliché" (*The*

Only Story 11). Therefore, to break away from the middle-class and suburban home of their parents, Chris and Paul leave home to enter a larger society, namely Paris and London. Their departures are determined by external and inner stimuli. To Chris, Metroland is associated with the conformity and family: “wife, baby, reliable job, mortgage, flower garden” (*Metroland* 202); while Paris is the city infused with such traits like freedom, exoticism, excitement, and non-conformity that Chris and Toni regard as desirable. As for Paul’s departure, it seems to be triggered by the scandal in the small town, whereas the stimulus lies in Paul’s eagerness to challenge and to be “different.” After leaving a brief letter to his parents, Paul says excitedly that “I thought the ‘as’ and ‘when’ sounded properly grown-up. Well, so I was. Twenty-one. And ready to full indulge, fully express, fully live my life. ‘I’m alive! I’m living!’” (*The Only Story* 83). In the process of development, they have to undergo the ordeal by love, living through moments of spiritual or emotional suffering and pain. Rather than in the larger social realm, including the change to the current political climate, the maturing of Chris and Paul is largely tied to their experience in the realm of love. After indulging in a love affair, now in their manhood, they experience the process of self-discovering that leads to their final initiation, though the final stage of this process implies an ambiguous meaning. Using the general structure of Bildungsroman, Barnes makes thematic issues of identity and understanding of one’s place in his life central to the fiction.

Barnes’s *Bildung*-element, however, also marks it off as different from general or traditional Bildungsroman. He emphasizes the features of English Bildungsroman, in which the rendering of experience of youth is an important factor. Generally speaking, it focuses on the protagonist who can be defined by his/her experience of the past and the growing self. Therefore, it creates the fictional complexity which involves both thematic and narrative contexts. Barnes uses the frame to describe the protagonist’s current situation much more fully than other Bildungsroman. The essential mode of his operation of the protagonist’s mind is memory. And in doing so, he decreases the reader’s suspense regarding the protagonist’s fate, even though it is such an important part of our experience of “Barnesian Bildungsroman.” Instead, readers focus less on what their fates are and more on how their fates come to be: how Chris returns to Metroland and how Paul comes to be living alone, how they think about their development and how they measure their youth.

To achieve these effects, Barnes adapts the generic frames of Bildungsroman and autobiography. Bearing the subtitle “autobiographical fiction,” both *Metroland* and *The Only Story* have stronger autobiographical ties. Notoriously hard to define,

autobiography, according to Helga Schwalm, signifies “a retrospective narrative that undertakes to tell the author’s own life, or a substantial part of it, seeking (at least in its classic version) to reconstruct his/her personal development within a given historical, social and cultural framework” (Schwalm 14). Another way of putting the point is that autobiography renders a story of “personality formation, a *Bildungsgeschichte*” (Schwalm 14). Instead of simple stories about one’s past, Chris’s and Paul’s autobiographies are representations of their past, or the telling and reflections of themselves. The acts begin with particular motives. The crucial point to acknowledge is that, rather than an innocent quest for self-discovery, Chris’s and Paul’s autobiographies contain specific motives. When encountering uncomfortable truths about their past, their telling of past is served as a challenge to the present, and makes it a persistent existence. Therefore, it is the motive that influences their presentation of the past. From the point of narrative, specific interest will be dedicated to the use of the narrator. At the heart of its narrative logic is the duality of the autobiographical person, “divided into ‘narrating I’ and ‘narrated I’, marking the distance between the experiencing and the narrating subject” (Schwalm 15). The dual direction of character narrators’ telling reflects their views of life as they have come to understand it many years before at the age of 30 or 60. Thus, the trajectory of their autobiographical narrative is circular, with the present is both the end and the beginning of its narration. The formation of a mature self is also provided by the symbolical return to the basic values of and the experience of youth in the cyclical structuring of their autobiographical narrative. The implication of this point lies in the ethical challenges posed by autobiography. Well positioned to tell and to observe the life of oneself, autobiography promises an ethical judgement on Chris’s and Paul’s life fruition. With the role of the autobiographer in “Barnesian Bildungsroman” elaborated, readers thus need to attend to methods of introspection, self-examination, and remembering encoded in texts through generic conventions.

Furthermore, “Barnesian Bildungsroman” forms itself by refusing classical tangible optimistic or tragic ending of Bildungsroman. The genre of Bildungsroman offers only two contrasting endings both embracing the world of adulthood. It can be epitomized in, if we adopt Barnesian way, the adultery and the marriage representing two directions of the protagonist’s life. The former symbolizes the rejection of rules of external circumstances; while the latter conforms to them. In the case of *Metroland* and *The Only Story*, the former implies both directions; while the latter denies them. Barnes records the failure of development as a strong leitmotif of Bildungsroman representation in Chris’s and Paul’s stories

with a question of the psychic fulfillment and spiritual stability or completeness. Though drawing on the pattern of the traditional Bildungsroman, Barnes also attempts to subvert its traditional feature by focusing on the beginning, the provincial environment, as opposed to the place of fulfillment of the larger society. In this respect, despite the same dealing with the transformation of an adolescent into an adult, the understanding and the perception of its process in “Barensian Bildungsroman” and traditional Bildungsroman differ, thus challenging and rediscovering the generic frame of Bildungsroman. In short, Barnes’s treatment of autobiographical acts and the ending play crucial roles in his adaptation of the generic frames of Bildungsroman, yet in the meanwhile copiously follow them.

Autobiographical Acts: Dual Focalization and Retrospective Narration

As mentioned previously, what critics mainly salute in their reviews of *Metroland* and *The Only Story* is the effective tone in Chris’s and Paul’s retrospection. To put it more clearly, Barnes uses dual focalization as a key element in retrospective character narration. Theoretically, Gérard Genette coins the concept focalization in his groundbreaking work *Narrative Discourse: An Essay in Method* ([1972]1980), referring to the modes of selection and restriction of the information conveyed by a narrative. As a replacement for “point of view” or “perspective”, Genette’s account of focalization broadens the scope of the traditional terms and formula. His major achievements can be encompassed by two aspects. First, the term tries to dispel the confusion of the vision (who sees? later amended to who perceives?) and voice (who speaks?). Second, with the vision, Genette proposed three major focalization types (zero, internal, and external). Coming from another direction, James Phelan emphasizes the capacity of narrators, pointing out that “[a] human narrator... cannot report a coherent sequence of events without also revealing not just a set of attitudes (or slant) but also his or her angle of perception” (57). To put it bluntly, when the narrator performs the function of reporting, he can also control a set of lenses through which the audience perceives the storyworld. Whether in character narration or non-character narration, it is possible for narrators to be focalizers, because “determining focalization is just a matter of answering the question *who perceives?*” (Phelan 116; italics in original)

In the course of revising our understanding of focalization, Phelan points out a situation where the narrator’s focalization is juxtaposed to the character’s focalization. Character narration can display such technique that shows a narrator at the time of the telling perceiving his former self’s perceptions at the time of the action. He then takes the novel *Lolita*, especially chapter 30, as an example

to illustrate the phenomenon of dual focalization. In the case of *Lolita*, story and discourse overlap: “Humbert the narrator is perceiving the sobbing Lolita and his own former self-through the eyes of that self” (Phelan 119). Inspired by Mikhail Bakhtin’s concept of “double-voicing,” Phelan’s concept of “dual focalization” is different from Genette’s term “double focalization” and Booth’s “dual focus.” To be more exactly, Phelan’s concept is closely related to Bal’s. They both assume that characters and narrators can be focalizers. However, Bal’s concept of “levels of focalization” only refers to the character’s focalization, while Phelan’s embraces both the character’s and the narrator’s focalization. Phelan’s concept of dual focalization serves as a more fitting term for the analysis of “Barnesian Bildungsroman.” in which the narrator appears as a principal agent. The overlapping of the narrator’s focalization and the character’s focalization can be an indicator of Chris’s and Paul’s self-consciousness, who are aware of the relationship between the present self and the former self.

Metroland presents attractive youths of Chris and Toni, who are wittier than other adolescents. Compared with ordinary people, they realize “more symbolism” (*Metroland* 13). At the same time, however, they are more immature than they assume to be. Their education and rendering of the outer circumstance are mostly located on their discourse on art:

And then, I also dreamed about finding the key to some vital synthesis of art and life. How naïve it sounds, put like that. Still, the larger question, the more naïve it always sounds. It was the only subject I’d been seriously interested in, from my early experiments with Toni in the National Gallery...Could a life be a work of art; or a work of art higher form of life? Was art merely posh entertainment, on to which a fake spiritual side had been foisted by the non-religious? Life ended; but didn’t art end too? (*Metroland* 128)

The focalization in the first sentence belongs to Chris the character who tries to balance art and life. Then the focalization shifts to Chris the narrator with a direct comment on the youth’s naïve belief on art and life. The narrator here has confronted the gap between art and life that might be insurmountable. When Chris the character expresses the questions and their fear that the passion “for art was the result of the emptiness of” their “lives” (*Metroland* 128), Chris the narrator’s focalization does not drop away. Instead, the narrator’s focalization contains the character’s. Chris the narrator perceives and feels the fear during his adolescence. The rethinking of the relationship between art and life by Chris the narrator as he

grows up has brought him to the point of judgment. In the absence of absolutes, Chris the narrator has questioned the status of art that sense-making is much in doubt. When he re-sees his youth's faith on art, he jeers against the youth's naivety and innocence who regards art as a form of compensation for vicarious living. The point of dual focalization seems to show what it means to be grown up. Much of the contrast between what the youth has believed and what he currently thinks and reassesses is now framed in the conversation between the past and the present self. Nevertheless, it is worth noting that the narrator's self-recognition as a bourgeois also puzzles Chris the narrator, who currently gives up aspirations to reconcile art and life. On the one hand, he recognizes his betrayal of his juvenile belief, and reveals his regret and helplessness. On the other hand, he tries to convince his audience and himself, including the past and the current self, that his actions are not freely chosen, but constrained by many factors.

And this struggle remains unclear in the following conversation:

“One thing about parents. They fugg you up.”

“Do you think they mean to?”

“They may not. But they do, don't they?”

“Yeah, but it's not really their fault, is it?”

“You mean like in Zola-because they were fugged up in their turn by their parents.”

“Good point. But you've got to blame them a bit, haven't you? I mean, for not releasing they were being fugged up, and going on and doing it to us as well” (*Metroland* 39).

This passage is about a conversation between Chris and Toni on parenthood. The narrator reports the adolescents' blame on their parents. However, what matters here is the intertextuality. Childs observes shrewdly that the reference to Philip Larkin is made when they discuss in terms of his poem “This Be the Verse” (Childs 21). To further his observation, the poem was written around 1971 while the conversation obviously happened earlier than the birth of the poem. Therefore, the reference is retrospective on the part of Chris the narrator. As far as “This Be the Verse” is concerned, it is not a paean to parenthood. Instead, the poem opens with straightforward lines that “[t]hey fuck you up, your mum and dad,” “[b]ut they were fucked up in their turn” (Larkin 120). Here, parents pass their failings or miseries to children, and even inspire them within the next generation. Whereas, this isn't their fault, because they are also damaged by their parents. In this way, the

failures transfer over generations. As for the advice, Larkin suggests us to “get out as early as you can” and “don’t have any kids yourself” (Larkin 120).

Though Chris goes out at an early age, finally he goes against Larkin’s advice by going back home and having a kid. In this respect, the conversation conveys both Chris the character’s essence of their rebellion against their roots and Chris the narrator’s awareness of its failure. As mentioned above, his parents’ bourgeois routines and their outlook are rejected by the young Chris. Hence, the “failing” that Chris inherits from his parents is influenced by his bourgeois of suburbia upbringing. Consequently, the effect of irony is enhanced by the fact that adult Chris becomes the epitome of bourgeois who will continue the cycle of passing his “failings” to his child. The ironic remove from the youth escapade signals Chris’s struggle with the narration as he perceives his former self and the change. To put it bluntly, Chris has always been middle-class. Though trying to pretend to be rebellious during his adolescence, he has to learn to come to terms with the fact that he lives the bourgeois life like his parents, while remaining ironically detached from it to some extent.

It is interesting that young Chris finds that travelling between two identities makes life at sixteen wonderfully balanced and enclosed. With the journey of “a time of twice-daily metamorphosis”, he travels from his home self, house-trained adolescent, to his school self, anti-social *flâneur*, in order to deconstruct a unified sense of self. Here he talks about those changes in his life:

Those daily journeys were, I now realise, the only times when I was safely alone. Perhaps that was why I never found them tiring or boring, despite sitting for years with the same chalk striped men and watching out of the same window the same tunnel walls, their sides corrugated with dusty black cables.
(*Metroland* 59)

Chris the narrator’s focalization contains the character’s (“I now realise”), which indicates that everything in this passage is what current Chris and young Chris have realized. For all his cynicism, Chris readily comes to appreciate his daily journeys to school. Chris the narrator defines his younger self in terms of this “daily journey”, which serves as the belief in both adulthood and adolescence. In some sense, Chris the narrator is defined by his journey from Paris to London. According to Taunton, “[t]he *flâneur* is without roots, moving freely through the boulevards, while the suburban — like Chris and his parents before him — is a freeholder...” (Taunton 15). Whereas in the rootlessness of *Metroland*, Chris is always crossing

channel in the oscillation between the *flâneur* and freeholder. Herein, we stand in a hall of mirrors where the older Chris can claim in the guise of his younger self.

However, Paul the narrator is much franker about his principal significance. He admits that he perhaps does not understand the young when he was young (*The Only Story* 17). Just as suggested by Barnes, Paul attempts to tell the truth, “but it can, as with any of us, only be the truth as he sees it” (Cooke). Our new narrator is aware of the danger of retrospection. In this regard, the motive of Paul’s retelling lies in the truth-claim. The questions of concern are what kind of truth, and what is the best way of truth-telling. In the case of Paul, his autobiographical narrative empowers him to experience his emotional past and present:

We wear each other’s second lover: quasi-virgins, in effect. I had had my sexual induction—the usual bout of tender, anxious scuffle-and-blunder-with a girl at university, towards the end of my third term; while Susan, despite having two children and being married for a quarter of a century, was no more experienced than me. In retrospect, perhaps it would have been different if one of us had known more. But who, in love, looks forward to retrospect? And anyway, do I mean “more experienced in sex” or “more experienced in love”? (*The Only Story* 14).

The phrase like “In retrospect” and the question asked in the present tense signal dual focalization, when Paul the narrator perceives what Paul the character perceived and felt about his love affair with Sarah. The rethinking of their lack of experience by Paul the narrator has brought him to the point of reevaluating his relationship. Consequently, Paul cordons off the past, to keep it pure and to protect himself from the effect of their adultery. The hesitant sexual liaison between Paul and Susan is never quite incarnated in Paul the narrator’s recollection. Furthermore, Paul purifies their liaison in the name of love.

However, the more Paul allows himself to see, the more regretful and bitter he becomes, which finally makes the motive for his telling appear. Young Paul assumes that Susan and his affair defies the stereotype, though the sadder narrator realizes that it is his “illusion” that they can escape both category and description. In the retrospection, Paul is faced with re-evaluation of his theories about life and love:

Joan was demanding that I be grown-up. I was prepared to try if it helped Susan; but I still regarded adulthood with some horror. First, I wasn’t sure that it was attainable. Secondly, even if desirable, then only by comparison with

childhood and adolescence. What did I dislike and distrust about adulthood? Well, to put it briefly: the sense of entitlement, the sense of superiority, the assumption of knowing better if not best...Oh, and another thing. The way, doubtless through some atavistic terror of admitting to real feelings, they ironised the emotional life... (*The Only Story* 69-70).

The above passage reveals Paul the character's understanding of adulthood. The effect of autobiographical narrative lies in that the list of the things above mentioned could also refer to the narrator's current self. Thus, although it is only the experiencing-I who criticizes the adulthood, it is both the narrating-I and the experiencing-I who value the meaning of growth. The irony has been made that the young Paul makes judgments at the dislike of adulthood that his older self has possessed, just as Paul the narrator comments critically at the naivety of his younger self. Though the narrator enjoys the superiority of knowing more than Paul the character, he also has the terror of admitting the real feelings. He creates an adolescent's fantasy about love and life, that one can use "I was only nineteen" as an excuse to escape the horror of adulthood. Therefore, he uses character narration that he can experience the youth fearlessness and joy.

However, when facing the horror of Susan's growth and resilience, the confident first person yields to the anguished second. The "I" of Paul's adolescent self becomes the "You" of Paul's early adult self. In this part, "you" discover the harsh realities that Susan has buried his damaged free spirit and misery underneath a breezy mask. Susan's descent tests Paul's belief in love and life, which is proved to be an "illusion" of Paul the narrator:

So I can't not continue. Even if this is the hardest part to remember. No, not the remember — to describe. It was the moment when I lost some of innocence. That may sound like a good thing. Isn't growing up a necessary process of losing one's innocence?...Now I was growing up and she seemed boring. But that was a loss of innocence I could handle. (*The Only Story* 98)

Compared with Chris's understanding that "[i]sn't part of growing up being able to ride irony without being thrown?" (*Metroland* 135), Paul's comprehension is more pessimistic and painful. His narration then shifts to dual focalization. Paul the narrator feels what Paul the character felt at the hardest period in his life: the ordeal of caring for his lover inflicted psychological suffering with his loss of innocence. The retelling of the feeling by Paul the character as he experiences the wasteland

of the love bruised beyond repair, has brought him to the point where he could start re-feeling it. Consequently, Paul cannot face his real feelings in this process, and he believes that narrating in shifting voices will absolve him of their repercussions.

To wear himself away, Paul the narrator uses the second person pronoun in the present tense to achieve a sense of drama. This is because in these passages Paul the character's all-consuming passion for love and life frays into anger and pity. Hence, the narrator estranges himself from the character and past to a generalized "you" and at the end, a conventionalized "he" to distance himself even further who can only shift back to his "I" at moments of extreme guilt. The "carefree" Paul, who throws himself headfirst into the life-long love affair, finally finds himself being painfully and guiltily drawn-out, and he attempts to distance himself from his story. However indirectly, he still has a new willingness to admit the real feelings and emotional life. In both *Metroland* and *The Only Story*, with the affordance of their dual focalization, the autobiographical character narrators stand in the overall position from which the narration or story is rendered. The narrator, at the time of the telling, perceives his former self's perception at the time of his action. Therefore, the distance between the narrator and the character implies the distance between the current self and the past self. They view the events associated with the memory through their own eyes. On the one hand, they may temporarily move back to adopt the focalization of the younger self. On the other hand, they personify the agent of focalization. When the "I" looks at the "Me," the form of self-understanding is built into the structure of their autobiographical acts. The autobiographical self is the fusion of the present self and past self, underwritten by the present self's recognition and negotiation with the past self.

The Circularity in Self and Life: Negotiating the Self between Past and Present

A salient feature of the autobiographical act in "Barnesian Bildungsroman" is its inherent circularity. Indeed, such circularity seems to be an inescapable feature of Barnes's treatment of character narration because of its introspectiveness. The narrator-I embarks upon a task of narrating the growth of the character-I. Accordingly, they bring themselves from the present to the past in such a way that the narrator and the protagonist finally fuse and become the one sharing the same consciousness. It is notable that, in order to bring the narrator and the protagonist together, one needs a dual movement: the protagonist moves forward and the narrator steps backwards. Or, to put the matter somewhat differently, their stories bring the protagonist up to the present, and at the same time take the narrator to the past to converge at some point between. The present point of narration as the

ultimate end of their writing thus implies the trajectory of narrative circularity, as the present is both the end and the condition of their narration. Furthermore, Barnes grants the circularity to the story structurally and thematically. He intentionally devises the circular structure as an arc as Chris and Paul set out the journey seemingly in one direction and then end up back where they restart their journey. In other words, Barnesian A-B-A structure, with the third part returning somehow to the first part, implies the circularity of Metroland (hometown)-Paris (London)-Metroland (hometown), youth-adulthood-youth and beginning-ending-beginning. In order to show how people can change, Barnes provides closures through a return to the starting point when the current self faces the similar challenge and carries the same task in their youth. In this respect, the ending of *Metroland* and *The Only Story* coalesces with the beginning to form the literary circularity. Here, the circularity illustrates that we always revolve around the present self and the past self. The current state of self affects how we treat and represent the past, which in turn affects the way it relates to us. It is important to notice that in the circularity, the internal dialectical process makes possible a space within the self.

In this sense, “Barnesian Bildungsroman” combines the rhetoric of self-justification and self-understanding, in which the present self and its agentive power occupy the central position. Barnes engages with and constructs the self of his character narrators through memories, thoughts, emotions, and fictive possibilities that constitute identity. As a psychological term rooted in the work of Erik Erikson (7), the concept of identity actually describes the process and the way of the young adult organizing his/her life. When we settle into the theater of Chris’s and Paul’s stories, we are encouraged to see the mediation of the past by the present, which governs the enterprise. In this process, when the self functions as the autobiographical author, he aims to construct the story of himself to provide the past and present life with a purpose and a dynamic sense of self-continuity. Given that the relationship between the past self and the present self always moves, I try to explore the concept of “change as return,” whose essence lies in Chris’s and Paul’s self-continuity. Furthermore, in “Barnesian Bildungsroman,” the autobiographical narrative by its nature explores character narrators’ journeys that have not yet reached the end. The continuity in narrative logic and self leads to the destabilization of the present self as Chris the narrator and Paul the narrator continue to live in the process of their projects.

Following the logic of “transformation” in “Barnesian Bildungsroman,” Barnes invites his audience to witness Chris’s and Paul’s changes and their conflicts between the present self and the past self. Regarding their past selves

both Chris and Paul constitute varying degrees of dissociation. This feeling of being disconnected with their past selves has been elaborated in their retrospection. Barnes displays the sense of personal discontinuity in their narration through focalization. Like other adolescents, young Chris and Paul take on the transitory identities, confronting the question of what kind of life they want to have. The two young men's rebellion against the suburbia, bourgeois values and their precocious fascination with romantic love in a seemingly rootless life lead to a series of escapades. However, what happens in their developmental process is the distress experienced when they become aware of their engagement in the youthful rebellion. The desire to initiate change stems from love in their value system and self-image. As one of the ideals venerated in the fantasy by Chris and Paul in their adolescence, love becomes the embodied ideal and identity. Compared with them who build on the world on intellectual snobbery, Annick (Chris's ex-girlfriend), Marion (Chris's wife) and Susan are aware that life could be observed itself. Chris's and Paul's sentimental education occur when Chris learns from Marion's infidelity and Paul learns what has happened to Susan after he abandoning her. Whereas, the idea of "change as a return" is presented herein, with a departure from the traditional transformation as growth toward a new and improved self. In "Barnesian Bildungsroman," self-discontinuity between the past self and present self promotes a longing to return to the past self. Starting in the adolescent life, layered over both the motivated agent is the narrator, the self-as-storyteller, who aims to synthesize episodic meaning about the self into a coherent life story. Consistently structured by a dialectical relationship between the narrator in the present and the character in the past, the reminiscence also contains the narrator's identification with his earlier self. Rather than through sameness or stability, the sense of continuity in self is created through the explanation of the change.

Located squarely in *Metroland*, Chris's adolescence embraces the pondering on love, truth and "the purity of the language, the perfectibility of self, the function of art" (*Metroland* 15). Despite all his cynicism, Chris the character readily acquiesces the concept of railway (*Metroland*): "[f]rom then on. I was not only interested in my journey, but proud of it...They were all, in some way, relevant, fulfilling, sensibility-sharpening. And what was life about if not that?" (*Metroland* 61). For Chris the narrator, he has always been convinced of the value of his journey, and thought about grander journeys. In Barnes's collection of short stories, *Cross Channel* (1996), the closing story "Tunnel" is served as a response to Chris' mind, in which the main protagonist aged 69 in 2015, returns from France on the Eurotunnel train to his home London. In the story, "tunnel" is set in 2015 recording

what is likely to be the future path of journeys to France. The symbolic meaning of “tunnel” in *Metroland* also lies in Chris the narrator’s future path of journeys. Moving from mentally sticking labels to being labelled himself, Chris’s sense of continuous identity with his earlier self is the unformed sense of the identity. In such places, Barnes allows the present self less to judge than to understand his past self, making sense of his relationship with his own past and future.

As much as anything else, *The Only Story* also contains a sense of self-continuity. Narrated retrospectively by Paul, his story shifts perspectives as his vision of love and life veers between moments of delusion and reality. The autobiographical “I,” in Paul’s story, serves as the ideal “other,” the audience and the sympathetic witness of his emotional past. As suggested above, Paul the narrator depicts an idealist, cynical and fearless younger self, unlocking the treasure house of past consciousness in order to display his romantic love and youth. Despite his rebel streak and bourgeois horrors of family, the young Paul views his surrounding environment and peers with a touch of non-corrosive satire. Though conforming to the spirit of satire, Paul agrees to join the tennis club. Paul the narrator seems not to allow us to exult in his revolutionary impulses. In this regard, both the young and the old realize that they are essentially normal bourgeois whose stories are interchangeable. Compared with Chris’s, Paul’s imagined rebellion against the values of their class mostly lies in his relationship with Susan. It is notable that there is an intrinsic air of fantasy in the first part given the guilt ease with which the young Paul makes himself heroic.

In the naivety of youth and the prime of his life, Paul feels that his love for Susan is absolute and pure. Susan’s husband Gordon is portrayed as a villain: an irascible, boorish, obese and bigoted man who is an exemplar of the kind of Englishman he most loathes. According to Paul, Susan is apparently bound in wedlock to Gordon. She waits for her hero to rescue her from mothering and marriage and to take her away to the place where they can live happily. Therefore, Paul is Susan’s hero. He often forgets the fact that Susan is a wife and a mother of two children. It is significant that both Paul the narrator and the character seldom or never associate himself with the act of cuckolding: “[h]ere’s something I need to explain. In all the time Susan and I were lovers, I never thought that we were ‘deceiving’ Gordon Macleod, Mr E.P. I never thought of him as being represented by that peculiar old word ‘cuckold’” (*The Only Story* 59). When having supper with Susan’s husband and children, he feels more disadvantageous rather than guilty:

I had never been before been in a household in which the male presence was

so overbearing and yet so ambiguous. Perhaps this happens when there is only one man around: his understanding of the male role can expand unchallenged. Or perhaps this was just what Gordon Macleod was like... Still, my inability to grasp tone was a lesser matter that evening. The greater problem was that, at nineteen, I was unskilled at knowing how to behave socially at the table of a man whose life I was in love with. (*The Only Story* 56)

To Paul, Gordon is just like his parents and other middle-class English men who have the influence and power in his conservative community. Hence, Paul's deep yearning to challenge the authority and to be different makes him proud of the transgressive nature of his love affair with Susan, instead of feeling moral shame or guilt. Once touching upon the ethical taboo, both the character and the narrator attribute it to youthful innocence. This excuse appears when they are aware of their shame and pain. Herein, that the focalization is dual: in Paul's account of fantasy about his romantic love and imagined rebellion, the protagonist and the narrator try to focus on the positives, while averting from the guilt. They both regard themselves as heroes who can rescue others and each other, but unfortunately, they fail. Paul the character's youthful courage turns to the cowardice. The narrator shows the great understanding and sympathy of the protagonist's running away from adult's sense of responsibility.

Viewed in the light of Chris's and Paul's life paths, their motive for writing the autobiography lies in this rescue, not for the past but for the present self and his future. First, their retrospection is the parcel of the self's ongoing project of understanding and evaluating itself. Referring to his knowledge of the past self and their joint understanding of life, the narrator needs to go back to encounter the past self so that they can cooperate on this project. The narrative arc along the path of self-fulfillment, from weakness to power, is deconstructed here since the problems of the past protagonist still exist in the present, which triggers "I" to deal with them. Driven by a desire for a profound self-knowledge, Chris and Paul pursue the goal of telling a coherent story about their lives mainly in order to make sense of their own life. In this respect, their process is itself a slippery one. The representation of past is itself influenced by his current self-conception, yet it also influences his self-concepts. Their stories also function as co-construction of the current self with a set of past experiences and emotions. Even though they sometimes adopt slightly ironic perspective, nevertheless, it allows the audience to realize that they believe themselves to be far maturer than they actually are. This perception of the situation prepares the audience for part three, which presents them basically unchanged in

the essence and thus in the process of changing.

The continuity of their past self and present self leads to their change or transformation. Just as Paul writes, “[t]he emotional record was not like a history book; its truths were constantly changing, and true even when incompatible” (*The Only Story* 184). The essence of Chris and Paul’s change lies in their self-continuity. The present point of narration is not only the static ultimate end to their writing, but also the beginning of their future. The continuity in narrative logic and self leads to the destabilization of the present self as Chris the narrator and Paul the narrator continue to live in the process of their project. The interplay of narrators, protagonists, and audiences contributes significantly to their narrative’s ability to shape their past, present and future selves. Thus, the endings in *Metroland* and *The Only Story* are open to change, since their lives continue to progress carrying the continuous task or challenge in their adolescence. Barnes’s novels work by recursion, with Chris’s and Paul’s ends are their beginnings. In this regard, the structural circularity traces or mirrors the narrative circularity, both of which reinforce the thematic circularity that the past self, the present self, and the future self infinitely overlap without discernible edges.

Conclusion

To those who complain that Bildungsroman is an old theme, one could counter that the originality of *Metroland* and *The Only Story* lies in the fact that they contain large allowances of reflections. Barnes draws our attention to Chris’s and Paul’s attitudes toward their changes or conflicts between the current self and the past self. Whether through self-deception or self-correction, Chris and Paul are involved in the inner dialogue between two “selves,” and struggle to make sense of their development. Though these changes and their retrospection seem to imply that “Barnesian Bildungsroman” describes a failure to fulfill the promise of the genre, it should point out that Barnes actually celebrates the connotation of Bildungsroman with irony and uncertainty. Character narration can display such technique that the narrator, at the time of the telling, perceives his former self’s perception at the time of his action. Therefore, the strategy of dual focalization in Chris’s and Paul’s retrospective character narration reveals the distance between the narrator and the character, which at the same time indicates significant changes or negotiations in the past self-present self-relations. Thus, the fluid shape of retrospective character narration in “Barnesian Bildungsroman” wraps itself into something more circular and ambiguous, which is mirrored by “A-B-A” structure. In this sense, Barnes thinks of the development as an arc, eliciting our exploration of the process in

which character narrators find their existence in a blended world of the past, the present and the future. Hence, “Barnesian Bildungsroman” is the philosophical excursion, meditating on the philosophical meaning of the past, of the present and of the self. This reflection of development and self dissolves back into Chris’s and Paul’s stories, which becomes Barnes’ main focus.

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Ethics of Life: W. B. Yeats's Imagination of Being Old in His Early Poetry

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Abstract: In many of his early poems as in *Crossways* (1889) and *The Rose* (1893), the young W. B. Yeats (1865-1939), then just in his twenties, devotes himself to an imagined old man's world, where he casts a retrospective look at youth and life. He usually plants the youthful thoughts and deeds in the ending stage of life to observe their consequence and value, and contrasts passion of youth with the weak and weary life of the old to reveal what is eternal and valuable in life. The young Yeats's use of an imagined world of being old for retrospection and re-evaluation of youth reveals his pursuit of ethics of life, which is characteristic of rationalism and idealism. In his system of evaluation, the criterion is "life," and the evaluator is his old/rational "self" while the evaluated is also his "self," but only his young "self," which demonstrates Yeats's endeavor to construct a reason-based and ideal-oriented ethics of life.

Key words: W. B. Yeats; early poetry; ethics of life; youth; being old

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标题: 生命的伦理：论叶芝早期诗歌中的老年想象

内容提要: 叶芝早期诗歌常常将青春置于人生终端进行观察。他将青春的言行思想置于生命终点，考察其对于世界乃至生命自身的价值；将青春时期的各种美好的景象置于青春销蚀、肉欲与激情退潮之后的老年世界来检省青春及其对人伦的影响和价值。叶芝在青春年少之际自发地想象垂暮之年并站在人生终端对人生进行回望和评价，其中隐含着叶芝对生命伦理价值的追寻，自觉地建立起一个伦理价值自我监测体系，在这一体系中，监测的主体和客体都是“自我”，参照的坐标是“生命”，揭示了青年叶芝浪漫主义的理性主义价值基础。

关键词：叶芝；早期诗歌；生命伦理；青春；老年

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In the mid-2010s, the Chinese translation of W. B. Yeats's "When You Are Old" was set to music in China and became a song very popular, especially among the young people. In this poem/song, the touching tone of sadness and the power of reason in self-questioning about life in an old man's tone are very impressive. But the awareness of the fact that Yeats wrote this lyrical poem was written in 1892, when he was just 27, has aroused my academic curiosity in his early poems. This has lent me a perspective into Yeats's early poetry, which has led to a surprising discovery of the fact that he wrote many poems like this, speaking in an old man's tone or writing about being old as a young poet. Then why did he write in this way as a young man? And how shall we understand his romanticism in his early years, especially when he was and is widely believed by scholars to be a romantic poet in his early years? All these questions give clues and inspirations to this paper.

The Ending Stage of Life as a Mirror of Youth

In many of his early poems as in his books of poetry such as *Crossways* (1889) and *The Rose* (1893), young W. B. Yeats, then just in his twenties, wrote about being old and death, and thus presented an imagined world of the ending stage of life.

A good case is the above-mentioned poem "When You Are Old." In this poem, the 27-year-old poet imagined "you," old and sleepy, thinking and reflecting over the past years. The striking contrast in this poem between the present tense for description of the "now" or being in the old age and the past tense for description of the past years presents a seemingly factual record of life.

WHEN you are old and grey and full of sleep,
 And nodding by the fire, take down this book,
 And slowly read, and dream of the soft look
 Your eyes had once, and of their shadows deep;
 [...]
 And bending down beside the glowing bars,
 Murmur, a little sadly, how Love fled
 And paced upon the mountains overhead

And hid his face amid a crowd of stars. (Yeats 14)

In this poem, the poet/speaker, as an old man, remembers his love when he was young. It reveals that Yeats, as a young poet just in his twenties, was interested in writing about the old people.

“When You Are Old” is just one of many poems devoted to or concerned with a world of the old. Another example is the poem entitled “The Meditation of the Old Fisherman,” in which young Yeats reveals the inner world of an old fisherman by speaking in his tone:

YOU waves, though you dance by my feet like children at play,
 Though you glow and you glance, though you purr and you dart;
 In the Junes that were warmer than these are, the waves were more gay,
When I was a boy with never a crack in my heart.
 The herring are not in the tides as they were of old;
 My sorrow! for many a creak gave the creel in the-cart
 That carried the take to Sligo town to be sold,
When I was a boy with never a crack in my heart.

And ah, you proud maiden, you are not so fair when his oar
 Is heard on the water, as they were, the proud and apart,
 Who paced in the eve by the nets on the pebbly shore,
When I was a boy with never a crack in my heart. (Yeats and Finneran 21)

Many other poems such as “The Ballad of Father O’Hart” and “The Ballad of a Foxhunter” are also devoted to the description of old people’s world. In the latter, for example, the old foxhunter is heard to sing his life and is described as “his old eyes cloud with dreams” (Yeats and Finneran, 24).

Young Yeats wrote not only about people who are old, but also about death and the ending phase of life. For example, in the poem “A Dream of Death,” the speaker dreams of the death of a woman, whose age is not mentioned or suggested. Thus being old or the ending phase of life seems to be a source of inspiration or/and a major theme of Yeats’s early poems.

What also deserves our academic attention is that young Yeats did not only write about old people, but also cast his eyes on nature. Many of his poems are devoted to writing about natural scenes that indicate being old or dead. Just as the title of his poem “The Falling of the Leaves” suggests, this poem uses natural

images such as the yellow leaves of the rowan and the yellow wild-strawberry leaves, indicating the passing of time and loss of life that used to be prosperous.

AUTUMN is over the long leaves that love us,
 And over the mice in the barley sheaves;
 Yellow the leaves of the rowan above us,
 And yellow the wet wild-strawberry leaves.

The hour of the waning of love has beset us,
 And weary and worn are our sad souls now;
 Let us part, ere the season of passion forget us,
 With a kiss and a tear on thy drooping brow. (Yeats and Finneran 11)

In general, by writing about people or natural objects that are old or dead, Yeats demonstrated a strong interest in the ending stage of life. However, Yeats never focused just on this ending stage of life. Instead, he used this stage as a mirror to observe or reflect over the youthhood. In his poems, the poet usually cast a retrospective look at youth and life from the ending point of life. For example, in “The Meditation of the Old Fisherman,” the speaker—the old fisherman—is always making a comparison between what he experiences as an old man and how he lived as a young man. The refrain of “*When I was a boy with never a crack in my heart*” (Yeats and Finneran 21) in each stanza foreground the contrast. Even in “The Falling of the Leaves,” which is mostly involved in natural scenes, the poem demonstrates a contrast between the time when love prospers and the waning love in autumn.

From the previous discussion, we can find that the imagined world of being old or of a world narrated at the ending stage of life forms a typical feature of young Yeats's early poems. Then what is the intention of young Yeats's imagination of this world of being old? This is a question that deserves further research.

Pursuit for Ethics of Life

It is quite obvious that Young Yeats gave a retrospective look at youth from the imagined ending stage of life in his poetry, which reveals his pursuit of ethics of life.

Among many things, young Yeats reflected mostly over love, particularly over physical love and spiritual love. The ending stage of life, which is typical of physical weakness and impotency, is used as a mirror to rethink the issues like

youthful carnal desire. The previously-mentioned poem “When You Are Old” presents a perspective from the old into what he experienced or pursued in his youthhood, which suggests the poet/speaker’s concerned about the consequence of his youthful mind or behavior.

This and other poems reflect a major theme of Yeats’s early poems, that is, the value of youthful carnal desire for life. An example is “Down by the Sally Garden,” published in 1889.

Down by the salley gardens my love and I did meet;
She passed the salley gardens with little snow-white feet.
She bid me take love easy, as the leaves grow on the tree;
But I, being young and foolish, with her would not agree.

In a field by the river my love and I did stand,
And on my leaning shoulder she laid her snow-white hand.
She bid me take life easy, as the grass grows on the weirs;
But I was young and foolish, and now am full of tears. (Yeats 5)

This is a poem based on an Irish folk song. The speaker is an older man looking back on his young and “foolish” self. The refrain at the end of each stanza evokes the sadness of a man looking back on the love he has lost because he could not match his ambition with his lover’s view of life. This poem presents the speaker’s two attitudes, taken respectively when he was young and when he is old, toward his youthful choice not to take love easy, which forms a sharp contrast.

But I, being young and foolish,/with her would not agree. (Stanza 1)
But I was young and foolish,/and now am full of tears. (Stanza 2)

Here, “full of tears” is of great ambiguity and indicates great uncertainty in his attitude towards physical desire as proposed by his love when he was young, thus open to different possibilities. Maybe the old speaker regrets his not following his passion by taking love easy as proposed by his love when he was young; maybe the old speaker is touched by his sticking to reason by refusing to “take love easy” when he was young; or maybe he feels sorry for not being able to keep both physical joy and reason-oriented ethical value at the same time. The ambiguous feeling and attitude as indicated in “full of tears” forms a riddle about ethics of life, and reflects young Yeats’s question and consideration about the real value of life.

This poem seems to suggest young Yeats's getting rid of his youthful perplexity as indicated in the title of his first book of poetry—*Crossways*, and his growing into maturity and reason.

From these and other poems by young Yeats, we can find that he tended to set himself in the imagined ending stage of life to explore the meaning and value of youth and even life to the world and society. The ending stage of life that is characteristic of physical impotence and weakness serves as a perfect mirror to youth and life.

By casting an eye from the imagined ending phase of life onto youth, Yeats attempted to seek for the answer to the question—Which matters, carnal love or spiritual love? In his 1889 poem “Ephemera” (Yeats 1-2), for example, a dialog in a deadly autumn between a man and a woman, both of whom are obviously physically weak, presents a reflection over the passion in the youthhood. The woman laments upon the waning love when physical passion and power is almost gone as suggested by “Your eyes [...] are bowed in sorrow under pendulous lids.” The man shares her idea, believing that “Passion has often worn out our wandering hearts” (2), but has transcended this idea. When seeing the “dead leaves / Gathered in silence” by the woman, he says, “Ah, do not mourn, [...] That we are tired, for other loves await us.” For his, “Our souls / are love, and a continual farewell” (Yeats 2). In the mouth of the old man who has experienced a passionate love, Yeats reveals his understanding about love: the lasting and continual love is just in soul. It is obviously a rational view of love or of body and soul. This foreshadows the theme of his 1892 poem, “When You Are Old.” This poem presents an old man's reflection over love of the youthhood, and the awareness that what survives the physical being is soul love. This poem once again reveals Yeats's emphasis on rationality in his view of love. What deserves more attention is that the “you” in this poem is a generalized “you,” which can be any person. When the speaker in this poem is giving advice to the listener “you” and leading the “you” to the awareness of the eternity of soul love, he is actually persuading and encouraging all readers to accept this view. This foregrounds Yeats's emphasis on rationality and spirituality in love, or in some sense, in life. Considering the poet who was then just in his twenties, his emphasis on rationality and spirituality deserves further academic attention, especially in rethinking of his widely acclaimed role as a romantic poet in his early years.

By writing about the old or looking back at youth at the ending stage of life, Young Yeats also explored the issue about the value of life. His early poems demonstrate his pursuit of a meaningful life, and how to make life rich and

meaningful is a major theme of his poetry in his emerging period. For him, nature and nation are two of the most important elements.

Nature is the wonderland of young Yeats and also a spiritual shelter and a place of refuge. As a young man, he expressed his wish of escaping into nature, where he found a sense of belonging. As a young poet in his twenties, he wrote the famous poem "The Lake Isle of Innisfree," well known for its theme of pursuing of life in nature or escaping to nature. In this poem, the poet/speaker was eager to flee to nature for peace of mind, as he said "I shall have some peace there" (Yeats 13), and freedom of spirit, where he would enjoy the life in a small cabin made of "clay and wattles," with "Nine bean-rows," "a hive for the honeybee," and "in the bee-loud glade" (Yeats 12). What is meaningful is that young Yeats did not write this as a young man, but spoke of this as a man who had suffered and experienced a lot, as suggested in "for peace comes dropping slow, / Dropping from the veils of the mourning to where the cricket sing" (Yeats 13). Here "mourning" is used as a pun for both "morning" and "lamenting over sufferings and pains." Thus Yeats wrote about his aspiration for nature from a perspective beyond his age, which demonstrates his view on the role of nature for life: nature is a cure to the physical sufferings and the home of the free spirit.

For young Yeats, nature is not only home of his spirit but of his nation. In his early poems, nature is part of Ireland and her history. In "To Ireland in the Coming Times" (Yeats 18-19), for example, young Yeats associated Irish history of the "written page" with the image of nature as symbolized in the "red-rose-bordered hem" (18). In some sense, his aspiration for nature is a journey back to his nation. In this poem, Yeats again spoke beyond his age and from the perspective of a man who was close to the ending phase of life: "While still I may, I write for you / the love I lived, the dream I knew. / From our birthday, until we die, / Is but the winking of an eye" (Yeats 19). The perspective of the speaking in this poem helps the young poet to make his idea more reasonable and justified with an individual's personal experience as its basis, and thus the poet/speaker's devotion to his nation and nature is foregrounded.

In some sense, it is secure to say that young Yeats, in and through his poems, expressed his ethics of life, including his view of love or body/soul based on reason, and his value of life by engaging himself with nation and nature, thus forming an ethical world based on the unity of human, nature and nation. In some sense, it receives echoes from Yeats's later poems, which feature the major themes, as Rosenthal summarized, "of life and death, love and hate, man's condition, and history and meanings" (Rosenthal xv).

The Ethical Monitoring System of Life

Young Yeats's use of an imagined world of being old for retrospection and reevaluation of the life of youth reveals his pursuit of ethics of life. By writing about being old or dead as a young poet in his twenties, Yeats tried to transcend the limit of his age and life experience so as to reevaluate the ethic meaning of youth and to explore the ethical significance of youthful choices and behaviors. By referring to the old age or death, Yeats tried to transcend his youthful confusion and perplexity and gave him a reasonable explanation or judgment about the behavior, ideas and choices of youth so as to guide him in the direct way. Distance in time makes it easier for Yeats to see his young self clearly.

It is to say, by using the ending stage of life as the mirror of youth, Yeats developed an ethical monitoring system of life. In his system, the criterion is "value," and the monitor is his old/rational "self" while the monitored is also his "self," but only his young "self." At the core of this system is "value" as the criterion, which is involved in three major fields—body/soul or love, nature, and nation. In terms of body/soul or love, the value lies in spirituality, which leads to eternity; in terms of nature, the value lies in freedom; in terms of nation, the value lies in engagement. In this sense, we can see that young Yeats's view of value seems to be deeply rooted in the idea of universality and transcendence over personality, in terms of both time and space. The value of an individual, for young Yeats, is not achieved without the involvement with nature and nation, or without extension in the dimension of time. So Yeats's ethical view is exclusive of egotism and pragmatism, and is of striking idealist flavor.

This monitoring system serves as a guide of leading young Yeats in the "right" way. This reflects Yeats's endeavor to construct a reason- and ideal-based romantic ethics of life, which is of a mixture of rationalism and idealism. In some sense, it also foreshadows Yeats's view of life and world in the following years, as exemplified in "Sailing to Byzantine."

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Ethical Choices and Implications of *The Human Stain*

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Abstract: *The Human Stain* completed Philip Roth's "American Trilogy" in which the author showed us the miscellaneous national ethical conditions and predicaments of America by anatomizing the ups and downs of Coleman Silk's failed racial trespassing. This thesis bases on the Ethical Literary Criticism method to reveal the book as a great representation of an ethical tragedy through which Roth conveys his strong and sincere longing for a free, fair, righteous and harmonious society.

Key Words: *The Human Stain*; racial trespassing; ethical tragedy; Ethical Literary Criticism

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标题: 菲利普·罗斯《人性的污秽》中的伦理选择和伦理含义

内容摘要: 《人性的污秽》是美国著名小说家菲利普·罗斯“美国三部曲”中的最后一部，在这部小说中，罗斯通过对主人公科尔曼·希尔克种族僭越悲剧的详尽剖析，向我们展示了20世纪末美国国家的伦理情况以及存在的问题。本文将从文学伦理学批评的角度出发，在文本细读的基础上，揭示小说作为一部伦理悲歌的实质，抒发了罗斯对当代美国普通民众生活的关切，揭示了人性中普遍存在的自私本性，体现了对种族歧视及战争的深刻厌恶，表达了对自由、公平、正义与和谐的社会环境的强烈渴望。

关键词: 《人性的污秽》；种族僭越；伦理悲歌；文学伦理学批评

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At the dawn of the new millennium, Philip Roth published *The Human Stain*, as a completion to his celebrated trilogy concerning post-World War II American life. It drew various attentions from those prominent literary critics such as Harold Bloom, who commented that “They all deal, he explains, with the historical moments in post war American life that have had the greatest impact on my generation: the McCarthy era, the Vietnam War, and 1998, the year of Bill Clinton’s impeachment” (Bloom 239).

In the American Trilogy, Philip Roth depicts three different typical historical moments to present his own understandings about modern living: *American Pastoral* centres on the Vietnam War period, an era that deeply influenced every common American. The heart-broken crush and burn of Seymour Levov shows us a nationwide rampant panic and prevailing predicaments of ordinary citizens; the ups and downs of “Iron Rinn,” Ira Ringold, was brilliantly depicted in *I married a Communist*, which panoramically presents the political craze of the ephemeral McCarthyism; The last part of the trilogy, *The Human Stain*, centred more on a sex scandal, on the bitter downfall of Coleman Silk, for whom life seemed more like an ethical farce, a rather woeful one, which terminated his own life. *The Human Stain*, should and ought to be labelled as an ethical tragedy concerning the doomed fate of Coleman Silk, as he chose to pass for a Jew, something that goes against his ethical origin. The seemingly reasonable solution, passing for a Jew, as in the case, led to an even crueller impasse. Mark Shechner compared *The Human Stain* with Nathaniel Hawthorne’s *The Scarlet Letter*, the book, therefore, is “a moral romance, *The Scarlet Letter* of race, class and gender” (Parrish 152). We agree with Mark Shechner when he argues that “The book makes scant sense unless Coleman Silk’s self-demolition is undertaken with gusto” (154). The tragedy was caused by a bunch of different factors, with race, ethics, gender involved, but first and foremost, it was a rekindling of ethical consciousness and a reselection under ethical predicaments. This paper, with its primary reference to the textual analysis of the book and an anatomy of major concepts of Nie Zhenzhao’s Ethical Literary Criticism, aims (1) to anatomize the existed ethical predicaments and their correlations; (2) to elucidate Coleman Silk’s ethical selections and results thereafter; (3) to unveil *The Human Stain* as an ethical tragedy and Roth’s ethical ideas in the book.

The theoretical lens of this essay hinges on an ambiguous concept of “ethical

literary criticism” emblemized by a major intellectual shift in western academia from New Left political radicalism to a conventional contemplation over ethical dilemmas in the age of global war against terrorism. While some are still catching up with the after effects of those French theorists, there is now a proliferation of discourses concerning “the ethical turn,” whose penetrating effects are felt through debates over the talks of “after theory,” in our (re)conception of literary studies, in the incertitude of the very disciplinary boundary of the literary, and in a (re) definition — so far as definition is possible at all — of the limits and purposes of what literature can do in the Post-911 intelligentsia paralyzed by numerous ethical dilemmas caused by the war against terrorism. The 1990s triumphant declamation of “the end of history” is supplemented by globalization that brings about unforeseeable dangers produced by a global unrest, regional trifles, and civil wars, all of which encroaches upon the very possibility of morality undergirded by liberal democracy. Prominent literary critics, from Terry Eagleton to Jacques Derrida, have produced a milieu of literature concerning the theorization of ethical literary criticism and its methodological appropriateness. Moreover, recent scholarship tends to treat this turn as an independent literary and theoretical attempt to disarticulate itself from the political and Marxian focus of contemporary critical theory. It seeks to redefine the very foundations of literary studies by focusing on the textuality of literature as well as the ethical considerations evolving from the close reading of the text itself. In this essay, I will perform a thorough textual analysis of the novel in order to reveal its ethical dilemmas. Meanwhile, I seek to develop a creative dialogue between Roth’s texts and the theoretical conceptualization of “ethical literary criticism” mapped out above.

“We leave a stain, we leave a trail, we leave our imprint. Impurity, cruelty, abuse, error, excrement, semen — there’s no other way to be here.” (Roth 41) It is fair to say, as the title of the novel suggests, people all bear their own “stain.” For Coleman Silk, due to the colour of his complexion, life was hard to face even from the very beginning.

Born in a black family in the town of East Orange, a town “where everyone was white, fewer were Jews and even fewer were Negroes” (Roth 41). Coleman tasted how hard it was to be a menial black when he was little: His father was a college graduate and an outstanding optician who used to own a store; his mother, “there was no finer nurse on the hospital staff, no nurse more intelligent, knowledgeable, reliable, or capable” (40). However, due to the colour of their skin, they led a very miserable life: His father sold the store and spent his declining years as a humble train waiter, serving other people; his mother, though brilliant, never

had a chance to be promoted. They faced this inequality calmly; they accepted that just like things, people also have different classifications. “Growing up, they never said: “See the bow-bow.” They didn’t even say, “See the doggie.” They said, “See the Doberman. See the beagle. See the terrier.” They learned things had classifications. They learned the power of naming precisely” (46). In their opinion, their classifications made it natural for them to be discriminated. They are coloured, which accounts for why they are supposed to be inferior. Though being severely discriminated, they felt nothing but sheer proud of their origin by choosing to accept this unchangeable fact and worked even harder to get recognized; Coleman was very smart and he knew his parents’ encounters since he was very young, besides, He faced racial inequality himself: When he was in high school, he had a great chance to be graduated from school as class valedictorian, a Jewish named Bertram, was his biggest rival. Bertram’s father went to the Silk’s, hoping that, instead of getting an A, Coleman could get a B to make his son, the Jew, Bertram, class valedictorian, thus enhance his chance to get in a good university. By doing so, Coleman would lose almost nothing since his aim was Howard, a black-oriented college. “The chances were negligible of his suffering the slightest hardship with a ranking like that”(25). Coleman felt furious and refused to do so, but he knew perfectly that life was formidable for blacks. Once a white runner in the track team was severely injured in a car accident and needed blood for transfusions, all the team members, Coleman included, went to offer blood but his “humble black” blood was politely rejected by the white man’s parents. This incident finally made Coleman realize that deep inside, though light-skinned, though being “Silky Silk,” he was just as inferior and menial as other blacks. According to *American Ethnicity*, “After the Civil War, African Americans were believed to be biologically inferior and must be segregated” (Adalberto & Turner 56). Black people at that special period took it for granted that they are not as good as their white peers. This hard yet true fact made him meditate his “good intentions” when growing up, “All he’d ever wanted, from earliest childhood on, was to be free, not black, not even white — just on his own and free” (52). The post-World War II America was such a place, where whites are the salt of the earth, presidents are white, governors are white, nurses are white and opticians are white. Coleman’s parents did nothing wrong except bearing the wrong complexion. They were the castaways, along with other minorities of that time. During that special period, the prevailing ethical context was a total compliance. Most blacks chose to submit to their fates, just like Coleman’s father, they didn’t try to fight back; they even didn’t try to complain. Coleman, at the first place, chose to do the same as his parents. He didn’t want to

fight all the inequalities, he followed his boxing teacher, Doc. Chizner's advice, "If nothing comes up, you don't bring it up" With his light, non-black skin colour, nobody would consider him a black. He attended Howard University, only to find he was discriminated even more there. After the sudden death of his father and the dropout of college, He chose to join the air force, not as an African American, but as a Jew.

In the Ethical Literary Criticism theory, "an ethical dilemma is used to describe a situation when men encounter a dilemma: the selection of one choice, although seemingly reasonable in ethical sense for an individual, would make the other immoral and unethical" (Nie 214). Coleman Silk faced such an ethical dilemma by the time he joined the army: On one hand, Coleman had always stuck to the same purpose of life, he wanted to live freely, he wanted to have equal opportunities and pursue the same goals as his white peers, he wanted to find something meaningful in his own life, he wanted to pursue a life "on his own and free." These all seem to be reasonable, a man should and must have such goals to live, regardless of his ethnic origin, social status, etc. But as a humble African American, life became narrow, he couldn't even have the slightest chance to complete all these: he couldn't go to a decent university except the black-exclusive Howard, he couldn't fight in the boxing ring just as a black, he even couldn't enjoy consummate love with Steena Paulson, his college sweetheart, a Scandinavian descendant who broke up with him simply because he was a negro. To live as a Silk or to live as a free man, or to put it in another way, to live as a black or to live as something else, are the two possible choices for him.

At first, Coleman chose to live with an attitude told by Doc. Chizner, "If nothing comes up, you don't bring it up." His little secret was not exposed by his meticulous behaviours. Even after he was crazily in love with Steena, his secret hasn't been discovered. However, sadly, life was never so simple because everyone has more than one identity. According to the principles of Ethical Literary Criticism, ethical identity is something that belongs to an individual as an existent label, a kind of responsibility and obligation one has to undertake. Anybody, no matter whom, has two entirely different identities, one that comes innately, by blood; the other one comes postnatal, by social relations (Nie 196). Coleman found it challenging to have those two identities, the "double life," he actually enjoyed it quite a lot. He was the son of an upright Negro family. Though light-skinned, or being called "Silky Silk," he was a black, someone inferior, someone who would be discriminated. This was an unchangeable fact that Coleman could never accept. He wanted to do something to change it. So goes the predicament.

The premise for an ethical dilemma is that one has to choose between two respectively correct options. When Coleman's father was dead and his brother, Walter, was sent overseas, Coleman tried, for the first time, to make choices for his own. The first and foremost one was what kind of man he chose to be. "Mr. Silk had it all figured out: Coleman was going to Howard to become a doctor, to meet a light-skinned girl there from a good Negro family, to marry and settle down and have children who would in turn go to Howard." This was his father's blueprint. This was the way that Coleman's father had chosen for him. Coleman should graduate from Howard, marry a light-skinned black. But what Coleman wanted was something absolutely different — a free man, "free on whatever he wants, free to pursue the hugest aim, to be the particular 'I.'" As a matter of fact, Coleman thought about passing for a Jew for a long time, the first time he did it reluctantly when he was told by Doc. Chizner. "You look like you look, you're with me, and so he's going to think that you're one of Doc's boys. He's going to think that you're Jewish." This sentence might just be a joke by Doc. Chizner, he said it to cheer Coleman up, to help him not being frustrated by the fact that he was a negro. What seemed to be a random jest kindled Coleman's wildest imaginations. Passing for a Jew, has been sealed in his heart since that day. With his urbane air and light skin colour, no one would label him as a "disgusting negro." Therefore it is not so hard for us to comprehend that when he decided to join the army and wrote down "Jew" on racial background, he wrote it voluntarily. "It occurred first to his heart, which began banging away like the heart of someone on the brink of committing his first great crime" (Roth 56). He made a selection to become nothing like his family. He understood perfectly, that even though he passed for a Jew for his own purposes, he didn't intend to do anything horrible; but chose to live as a Jew meant an ethical betrayal to his origin, and also, to his family. He fell in love with a white girl after his retirement from the army. At that time, he didn't mention anything about his family to his girlfriend, but in order to marry her, he decided to take her back home to visit his mother, which turned out to be the beginning of a new choice. Steena found out his secret and broke up with him. This love affair made Coleman realize that being a black, he even did not have the equal chance to love or marry someone who was not a black, whether they were truly in love or not. Selected to be a Jew would be the only way out for him to pursue happiness, to become the free "I" which he yearned so much.

Coleman Silk, the light-skinned African American who passed as a Jew, began his life of sad and bitter downfall simply by a small choice. "Coleman tried to transcend history, but the history continues to shadow him even after he would

imagine that he has escaped its hold over him” After the ill-fated love affair with Steena, Coleman decided to entirely betray his family and pass for a Jew for good. He involved in a very serious relationship with a Jewish girl named Iris Gittelman. To Coleman, this was a rather cunning and foxy move, because 1) Iris was open-minded and wouldn’t bother on things like race or religious beliefs; 2) “Iris gives more. She raises everything to another pinch” It was more than natural for a Jew to marry a Jew. By Marrying a Jew, it would be far more sensible to demonstrate that he was a white, with Iris’ help, Coleman would gain success easier in the future. However, this seemingly “perfect touch” also would lead to another ethical dilemma: on one hand, Coleman, in order to pursue his own happiness, it was valid for him to marry anyone, let alone open-minded Iris; on the other hand, he told a rank lie to Iris about his ethnicity, “He told Iris was that he was Jewish, Silk being an Ellis Island attenuation of Silberzweig.” He chose his wife over his family, or to put it in another way, he chose his own interest over anyone else’s. In order to live with that Jew, he had to cut off all the contact with his family. He knew that in order to keep a lie, one has to fabricate more lies to support it. He made up a lie, telling her that his parents were already dead and there was no one left. “There is no Ernestine. There is no Walt.” For Coleman, all the family members: the late father, the benevolent mother, the supportive brother and the caring sister, had all become insurmountable guards, defending him from getting near to his own selfish “paradise.” He went to see his mother before the wedding, telling her the truth that he was about to marry a Jewish and all the family members were not invited, simply because they were not even existed in Iris’ version of Coleman. He also entirely cut off the chains with his family by telling her mom, “Ma, you come to the railroad station in New York, and you sit down on the bench in the waiting room, and at eleven-five A.M., I’ll walk by with my kids in their Sunday best.” He savagely deprived his mother of all the opportunities to be close to her grandchildren. Coleman denied the fact that he was once a black, he chose to live as someone else, therefore, all the people in the “previous life,” must be discarded.

In order to keep the secret, he also had to conceal those secret to his own offspring. Marrying a Jew and denying the Silks, Coleman made the first step as being a Jew. But after the marriage, Coleman had to face another question of whether having kids or not. Ernestine Silk, Coleman’s sister, had a comment on this matter after Coleman’s death, “If Coleman was intent on keeping his race his secret, then the price he should have paid was not to have children.” Here, Coleman met another quandary, choosing to avoid having kids is a safe way to continue the racial lie, as kids may turn to be more dark-skinned than their father. Once a black child

was born, the secret would be crystal clear. Coleman was conflicting inside. As a liar, he kept the little secret, so meticulously and carefully, from being exposed; as a husband, he protected the family, despite the fact that the marriage was based on the lie. He ended up having more than one kid, every time he welcomed a new member to the little “Jewish family”; he faced a moment of truth whether a timely confession to his wife was in order. Luckily, all his children had the same lucky light complexion as him; he had managed to keep the secret. Nevertheless this secret kept on as a bomb that might explode any time. Ernestine said: “That was the extraordinary thing about him from the time he was a boy — that he stuck to a plan completely. There was a dogged commitment he could make to his every decision.” It is said that character decides destiny. This stubbornness, this stick-to-the-truthness had been a great merit as well as a tremendous fault to him, especially when he met another dilemma during the “Spooks Incident.”

After marrying Iris and Betraying the Silk family, Coleman finally began his brand new life in the Athena College. He found the meaning of life, which was to revitalize the “antiquated, backwater, Sleepy Hollowish” Athena by “aggressively encouraging the deadwood among the faculty’s old guard to seek early retirement, recruiting ambitious young assistant professors and revolutionizing the curriculum.” He became dean of the faculty and a prestigious literature teacher, a post that would surely make his parents proud. However, this cosy life didn’t last for long, as he was ousted from the college for calling sarcastically two absent African American students “spooks.” During this incident, Coleman faced the biggest ethical dilemma in his entire life: he could have unveiled the secret to the public, telling them that virtually he was a black himself; therefore it would be absurd for him to call the two students names, as he shared the same ethnic origin; He could remain his prestige and high post but might as well lose the company of his wife and the honour of his children. Coleman chose family over career this time, he took all the blame and kept the secret, he didn’t defend for himself and let go all the fame and prestige that he worked so hard to earn all his life, he waived all the things that brought him passing for a Jew at the first place. His life, “undone by a single word. This time it is “spooks” and it ignites a campus scandal that becomes a personal disaster” (Posnock 95).

All his life, Coleman admired Achilles, a great Greek warrior, when encountering a situation that his mistress was taken away by the mighty king, Agamemnon, turned his back on him and refused to fight his life for him any longer. In Coleman’s version, passing for a Jew was his Achilles’ Heels. When he made a choice to put personal career over family, he did all those dumb and absurd

things: he pretended to be a Jew, he built up a family based on a lie, he betrayed those people who loved him the most; When he made another to put family over personal career, he let go all the things that he fought so hard to obtain, even by doing so, he was misunderstood by his sons as the main cause of their mom's death. All the ethical dilemma Coleman faced were not insoluble and severe, he could have made better alternatives, but sheer selfishness and arrogance blurred his mind, he intended to rewrite his own story, he wanted to make a great "white" negro out to transcend the fate of the blacks at that time or in Timothy Parrish's words, "Coleman's story embodies the way in which a period's multiple histories can live and take shape through the identity of a single person, Roth, by the way, suggests that Coleman's life must be compared not by Coleman's choice but by the history that Coleman's choice cannot change" (Royal 213). In order to live better, Coleman made a series of wrong alternatives, he didn't figure out that the ethical context, the ethical environment of the consciousness, ways of thinking, etc. cannot be altered by his own little efforts, he did all the choices so carefully and sophisticatedly, only to find his life lost its initial orientation and landed nowhere.

Coleman's manifold ethical selections and their results may lead us to a glimpse on the possibility of Coleman's tragically end due to the fact that every step he took was a closer step straight to Hell. We are sure to come to the combing of the book as an "avoidable" ethical tragedy and the discovering of Philip Roth's ethical ideas in this book or his other masterpieces.

It's never been easy for us to read Philip Roth, no matter what our ethnical background is. It seems to us that he has possessed a superb gift in representing a big lesson about the complicated and intriguing human nature through a very trivial matter. It was long before the American Trilogy did he already started a wild safari on ethical matters. It's fair to say, the quest in unveiling human nature has never ceased in Roth's novels.

Roth started questioning human nature from his maiden book — *Goodbye Columbus*. The two protagonists in the book, Brenda and Neil, had a dispute over what culture they should stick to, since they were all Jewish, their argument in the book brought about a national discussion among the Jewish people, who might encounter the same situation in their own lives as well. Through Roth's eyes, we can observe an obvious dilemma almost every Jewish would face at that time: On one hand, they were members of a much small minor race in a multi-racial country, people from all over the world came to America, only to witness and experience racial indifferences or even racial discrimination toward themselves; in order to defend themselves, there's only one way for them to step in, they

had to become active to be assimilated into the mainstream American society, during which, they were often frustrated and confined by the harsh requirements of the orthodox Judaism. During the heart-aching process, people developed to have different attitude toward the matter; some radical Jewish people, those who strictly stuck to the doctrines of Judaism, like Irving Howe, who wrote a seriously derogatory article called *Philip Roth Reconsidered* when browsing off *Portnoy's Complaint* might choose to live by their own way, the same way Neil selected from *Goodbye Columbus*; some might choose to in a totally twisted and hysterical way, like the “emperor of masturbation,” notorious Alexander Portnoy from *Portnoy's Complaint*. In *The Dying Animal*, Roth unveiled his opinion about love by telling us people in love should be together, regardless of their age, profession, social status, etc. In the last scene of the book, Prof. Kepesh had a monologue with himself:

Look, there's no time. I must run!

“Don't.”

What?

“Don't go.”

But I Must. Someone has to be with her.

“She'll find someone.”

“She's in terror. I'm going.

Think about it. Think. Because if you go, you're finished. (Roth 156)

Through this excerpt, it's not so hard to anticipate the end of this story. Knowing Consuela was on her last legs, Kepesh, as her love, had the moral obligation to accompany her for the last ride of her life despite the fact that their affair started immorally and what he was interested initially was her young and attractive body. When their role in front of death changed and Consuela became the one greeting it, Kepesh had true love to comfort and assuage her before she passed away. Coleman and Faunia's affair from *The Human Stain* was another case in point. On one hand, Coleman defended her love till the end of his life. He called her “his last love”; he defended her in front of his lawyer, ugly Primus, he even shared the racial secret with her, something that he didn't even mention to her wife or kids. On the other hand, Faunia also considered Coleman as the one to accompany her through the hard times; When their tryst was interrupted by Lester, it was Coleman who stepped forward to fight back, it was also Coleman who promised to bury her late kids' ashes with her when she had no idea how to deal with it. It's valid to say, though they have not married, Faunia considered her as her life partner. That's why when

Faunia had a bicker with Coleman and fled out to see a black crow named Prince, she confessed everything to that crow, her ill-fated relations with her mother, “that bitch,” true feeling toward Coleman, virtually the crow was Coleman, what she said to the crow was intended to Coleman, she wanted to dedicate that speech to Coleman. That surely was not some one-night-stand, that surely was not some flirting, that was life-depending love. When we talk about the value of a novel, besides its literary significance, we cannot neglect its ethical value, according to Prof. Nie’s *Ethical Literary Criticism*, ethical value represents the warning and didactic value of literature, it is the collective value of both positive and negative morality (Nie 258). With this definition, the ethical ideas in *The Human Stain* can be summarized as follows:

Firstly, Coleman’s “sad and bitter downfall” started with his passing for a Jew. He came from a normal Negro family, he was supposed to attend Howard University, marry a black girl and have the same, routinely Negro life like his father and millions of other blacks. This destiny can be called as his unchangeable ethical identity which cannot be altered. In almost all literary texts, the rise of any ethical problem comes from the perversion of one’s ethical identity. There’re several kinds of ethical identities, for instance, identities based on blood relations, ethical connections, moral principles, etc. When one’s ethical identity goes against one’s ethical standard, an ethical conflict comes out (Nie 264). As a black man in a society where blacks were severely discriminated, Coleman passed for a Jew to duck all the inequalities that might happen on him, but what he didn’t anticipate was that it was basically the same for the Jews to be discriminated. His seemingly clever and manipulative move actually “isolated the basis of his being and his self-tradition, which led to self-denial” (Yuan 106). This self-denial was clearly a denial of his ethical identity; he was ousted from the blacks, in a voluntary way; after saying “spooks,” he violated his ethical identity as a college teacher for discriminating and mistreating black students, in an involuntary way. For those who own something in the society, social identities come equally with ethical identities. Take “Zipper Gate Scandal” for instance. Bill Clinton once had an immoral affair with his White House intern, Monica Lewinsky. He was the then president of the U.S., and it was heinous for him to do such a thing to his own harmonious family. *The Human Stain* was based on the scandal, Athena College was the White House and “Everyone knows you’re sexually exploiting an abused, illiterate woman half your age.” It was the unanimous national response to Clinton’s actions. In real life, Clinton become so humiliated and was almost impeached by the government; in Athena, Coleman was dismissed and murdered as a Jew, in a very sarcastic way.

Secondly, all the good and evil facets of human nature are well-demonstrated in the book. Human nature is the basic property that distinguishes human beings from animals, it is the moral property and the reason why men are men, they are perfected by ethical selections (Nie 271). At the twilight of his life, Coleman experienced a love that finally brought back some of his good attributes. Faunia Farley was the last lover for Coleman. Their love was everything but improper. There was a 37-year gap between them and she was a “Mrs.” That’s exactly why Delphine Roux, Coleman’s secret admirer, wrote such an anonymous note “Everyone knows you’re sexually exploiting an abused, illiterate woman half your age.”; that’s also why Coleman’s personal lawyer Primus “friendly” advised him “Do you use a condom, Coleman? Becoming the mother of a distinguished professor’s child might be an uplifting change after having been the mother of the children of a deranged total failure.” To these people, Coleman’s affair with Faunia was immoral and mendacious. Faunia was merely Coleman’s sex toy. But in actuality, their opinions are far away from being the truth.

When Coleman met Faunia, he was, like his all-time hero, Achilles, facing the wrath of a life time. At the edge of being thrown out of Athena, he was all helpless and angry about his racial secret from being revealed. After dating Faunia, he knew what he experienced was not as even close to those of Faunia’s. He sympathized with her and cared about her. When he got the information that Faunia kept the ashes of her deceased children in a canister under her bed, she didn’t know how to deal with it. Coleman stepped up and assured her, “Let them go. I’ll go do it with you. We’ll do it together.” This sentence sounds more like “I do” to us when Coleman took the responsibility of taking care of her, in front of Nathan, Primus or even Lesley. “If he acknowledged it to anyone,” I said, “maybe it was to the woman he died with. To Faunia Farley.” He confessed his secret to Faunia, the “abused mistress.” Their love made them show the positive sides of their nature. Their companionship was mutual true love that brought to each other the best of themselves.

Thirdly, by telling the story, Roth reflected a sincere hope of harmony in the book, yearn for harmony is ubiquitous from these several aspects: 1) Vietnam War was the devil. Lester Farley, the murderer in the book, changed from a healthy and sane man into a hysterical psycho. What he witnessed and saw in the battlefield changed him completely. Long after he returned from Vietnam, he was still tortured by the war and got a physiological syndrome called “post-traumatic stress disorder,” or PTSD. He was devastated by this disease entirely. It’s fair to say Lester was responsible for the death of Coleman and Faunia, but it

was the brutal and ruthless Vietnam War that should be blamed for this heinous crime; Wars take away the sanity of an individual, leaving nothing but cruelty and aggressiveness; wars turn civilized citizens into sanguinary killing-machines; wars tear felicitous families apart. Wars are the things we should try our best to avoid and never step into. 2) Peaceful minds are crucial. When Faunia was together with Coleman, she told him that she didn't know how to read or write that she was illiterate. "The ability to read seems to have perished right along with the childhood when she learned how." She didn't know how to learn and she was reluctant to learn. "Don't you try to teach me? Do anything you want with me. Anything, but don't pull that shit." Nevertheless, after her death, a clandestine diary of hers was founded, indicating that she was not illiterate; she held back the fact to "spotlight the barbaric self befitting the world." To her, the civilized world seemed more cruel than the rude: When she was little, she was harassed by her stepfather, a man who was supposed to be rich and educated; when she was having an affair with Smoky Hollenback, another educated intellect, she was treated as nothing but a sex slave; when her affair with Coleman was perceived by Delphine Roux, a female intellectual in Athena, she was framed by her. Therefore, in her eyes, it's better to live as a hillbilly, a woman who knows nothing and cares about nothing. By narrating the story, Roth surely wanted to convey the readers his strong yearn for us to have peaceful minds, which seem to be essential for everyone in the modern life.

In conclusion, we can clearly observe that *The Human Stain*, with tangling scenarios and complicated fates involved a sad ethical cothurns. The life trail of any individual can be altered by even the slightest change of choices. For instance, if Coleman didn't choose to become a Jewish, life would become hard but in a calm way, or if Faunia didn't choose to leave Lester, Lester would avoid becoming a complete lunatic. Anyhow, all these twists of fate are attributed to the change of ethical order, which should be considered crucial for any of us. In order to live happily, one should stick to his own ethical order from being vandalized. Meanwhile, the methodology of close reading performed in this essay seeks to return to the Kantian "text in itself" as a gesture of disarticulating from a heavy reliance upon critical theories shaped by political concerns. This gesture is not so much about a compliance towards the so-called "ethical turn" as about a critical intervention into the conditions as well as possibilities of the very definition of "ethical" in modern living. Moreover, this essay tries to bring out a set of principles in ethical literary criticism, by analyzing character's ethical identities, the breaking of ethical order, and the aftermath brought by respective ethical choices. Last but not least, the evaluation of morality in the novel is an attempt to reveal some of the

moral and ethical implications for the contemporary society.

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川端康成《千羽鹤》的伦理价值论

The Ethical Values of Kawabata Yasunari's *Thousand Cranes*

李俄宪 (Li E'xian)

内容摘要：《千羽鹤》是川端康成 1952 年获得诺贝尔文学奖的代表作，代表了他一贯的文学理念和美学思想。对这部作品研究界历来众说纷纭、莫衷一是，甚至呈现出善恶两端的价值判断现象。三岛由纪夫、山本健吉和梅原猛等日本研究者基本上在唯美主义、罪恶意识、人性救赎、官能审美等角度审视其作品的价值。以叶渭渠等为代表的中国学者也基本上集中在对该作品的美学探究和宗教魔界意识研究，与日本学者有异曲同工之处。本文以川端的诺奖获奖词为切入点，运用聂珍钊文学伦理学批评的理论与方法重读《千羽鹤》文本，发现川端康成是借用日本传统美的背景和氛围，表达他更为深沉的伦理思考和对人类的关心，从伦理和道德层面赋予了作品特殊的主题和文学价值。

关键词：千羽鹤；伦理环境；伦理身份；伦理意识；伦理选择；伦理价值；

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Title: The Ethical Values of Kawabata Yasunari's *Thousand Cranes*

Abstract: *Thousand Cranes*, is a representative work of Kawabata Yasunari who won the Nobel Prize in Literature in 1952. The novel reflects Kawabata Yasunari's consistent literary and aesthetic thinking, yet so far it has garnered rather varied, and even totally opposite comments and value judgements in the academic field. Japanese scholars such as Yukio Mishima, Kenji Yamamoto, and Takeshi Umehara generally considered the value of the novel from the perspective of aestheticism, sense of sin, salvation of humanity, and erotic aesthetics, while Chinese scholars, with Ye Weiqu as the representative, similarly focus their discussion on the aesthetic inquiry into the novel and the idea of the world of devil reflected in it. This article takes Kawabata Yasunari's Nobel lecture as the starting point, to reinterpret the text of the novel from the perspective of Nie Zhenzhao's ethical

literary criticism. In this novel Kawabata Yasunari borrowed the background and atmosphere of Japanese traditional beauty to express his deeper ethical thinking and concern for humanity, which endows the novel with special themes and literary values in terms of ethics and morality.

Key words: *Thousand Cranes*; ethical environment; ethical identity; ethical awareness; ethical choice; ethical value

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问题的切入

《千羽鹤》和《雪国》都是长期在报纸或文学刊物上连载后成书的作品。这部小说共分五章：《千羽鹤》（1949年）《森林的夕阳》（1949年）《志野彩陶》（1950年）《母亲的口红》（1950年）《二重星》（1951年）。小说主要以公司职员三谷菊治和其父亲的情人、茶道传人栗本近子为基本人物线索，描写了菊治与也是父亲情人的太田夫人母女（文子）两代人、以及茶道弟子稻村雪子之间的性爱 and 情爱关系，塑造了菊治、栗本近子、太田夫人、太田文子和稻村雪子等复杂的人物形象，展示了战后日本特殊的社会文化背景下的混乱的人际关系和命运结局。对于这部小说，自发表到现在，在日本文学研究领域，尤其是川端研究界可以说是众说纷纭、百家争鸣、莫衷一是，甚至呈现出善恶两端的价值判断现象。

先行研究中对川端康成高度评价的三岛由纪夫认为，这部小说是仿古典主义的代表作，即唯美主义和审美文学的极端甚至超越，进而认为川端为了塑造古典美的形式，暗示了人与人之间的关系也不是仅仅的人际关系，而是更加深刻的长期沉淀的活生生的肉感的人际关系（三岛由纪夫 658-674）。山本健吉则通过太田夫人的毁灭之美极力强调这部作品的罪恶意识和虚无主义表达（山本健吉 282-287）。而梅泽亚由美在传统研究的基础上认为，菊治和文子罪恶意识的结果在于某种意义上的救赎，整部作品其实就是菊治自我净化和漂白的物语故事（梅泽亚由美 51-60）。著名哲学家和评论家梅原猛虽较为深入地探讨了川端作品整体的伦理意识与官能审美的对立与矛盾，但最终还是落脚在佛教的魔界意识，强调了川端文学佛教要素（梅原猛 29-98）。更有研究者认为，对于《千羽鹤》的主人公菊治来说，女性也是与传世的珍贵茶道道具有相同意义上的存在，作家川端康成的的确确不是女性赞美者，而只是一个女体嗜好者（川至 172-183）。日本研究者基本上在唯美主义、罪恶意识、人性救赎、官能审美等角度审视作品的价值，甚至部分地否定作品的艺术和思想价值。

中国国内，叶渭渠为代表的研究者基本上集中在对该作品的美学探究，

叶氏指出，川端康成试图在小说中超越世俗的道德规范，创作一种幻想中的美、超现实美的绝对境界（叶渭渠 78-79）。孟庆枢则从思想、文化、审美和宗教等多角度论证，认为《千羽鹤》的主题是日本的传统美，是洗涤人类灵魂的唯一途径（孟庆枢 44-51）。其他一些研究者更多持有日本学者的观点，基本上不承认作品的伦理和道德因素及其价值，从宗教、从川端自述的魔界思想入手展开讨论。如李均洋认为，《千羽鹤》是“地地道道的东方小说美学之花”（李均洋 72-78）。吴永恒认为，川端康成试图在充满官能欲望的魔界寻找真和美（吴永恒 78-82）。更有李伟萍认为川端试图通过走入魔界，来摆脱一切道德的抑制，获得再生（李伟萍 191-194）。只有魏威肯定了《千羽鹤》的伦理因素和道德的胜利，但他同时指出：菊治在道德战胜情欲后，反而更颓废了，难道不是反证出官能之美还是比道德重要吗？（魏威 140-141）凡此种种，基本上没有突破日本学界的评论框架。

但是这里最有必要提起的是这样一个事实：那就是作者川端康成对自己这部作品的评价和认知。他在获得诺贝尔文学奖时发表的演说辞《我在美丽的日本》中，饱含深情地几乎用整篇的篇幅对日本的美学理念、文学追求和审美特质做出细致的论述的同时，唯独对《千羽鹤》做了这样的表述：

（前略）“雪月花时最思友”这也是日本茶道的根本之心，茶会就是这一根本之心的“感会”，即吉日吉时好友同事相会的宜佳之会。随便说一句，我的小说《千羽鹤》，如果人们以为是描写日本茶道的“心灵”与“形式美”，那就错了，毋宁说这部作品是对当今社会低级趣味的茶道表露出的怀疑和警惕，并对其予以否定。（后略）（川端康成：348）¹

这里，川端康成直截了当地指出，《千羽鹤》是对战后日本社会的低级趣味的所谓传统文化的怀疑和否定，而不是描写日本的传统美。当然，我们不能完全把川端本人的话作为判断这部作品主题和价值的唯一定论而否认其他角度的解读，更不能否定作品与日本传统美的密切关联，因为批判本身也是重要的关联，但它毕竟为我们提供了把握这篇小说的最为重要的关键点和切入点。细读文本我们会发现，川端康成在作品里不是对日本传统美的简单的褒扬和推崇，而是有着更深层次的思考和质疑，带有更多的对当时日本社会的传统认识的警惕和戒备、甚至是否定。本研究的立足点恰恰就在这里，从聂珍钊的文学伦理学批评的角度重读《千羽鹤》文本，就会发现作品中人物都具有清晰的伦理意识，而这同时又陷入伦理困惑和伦理混乱，最后不得不做出伦理选择这样一个过程，这在整个作品的文本结构中以及具体的细节描写等方面都可以得到源自文本的印证。

1 本文相关引文均出自《川端康成全集》第28卷，新潮社，1982年，以下标出页码，不再一一说明。译文由笔者自译，以下同。

文学伦理学批评认为，文学本身从起源上就是伦理的产物，文学的价值就在于它具有伦理教诲功能。只要是文学，无论是古代还是当代的，西方的还是中国的，教诲都是它们的基本功能（聂珍钊 7）。概观整个《千羽鹤》的创作酝酿和发表年代，甚至我们可以说，川端康成是借用日本古典之美或者说传统之美的背景和氛围，来表达他更为深沉的伦理思考和对人类的关心，从伦理和道德层面以及角度赋予了作品特殊的或者说更高层次的主题和文学价值。

一、伦理环境与伦理结构

《千羽鹤》的创作和发表都在在日本战后四十年代末和五十年代初，是日本战后的经济与文化的恢复期，整个社会混乱、价值迷离，不仅仅是人们的物质生活方面，各种社会思潮也是相互泛滥，战前和战时培养的价值观念变得分崩离析，丧失了原有的精神支柱和信仰，同时又对战后新旧势力交错的现实局面感到非常迷惘、不安和无助。这就是《千羽鹤》这部作品大的时代的伦理环境，只有在这个特定的伦理环境中我们才能够回到当时的伦理现场，对作品进行客观的伦理阐述。川端在作品中也不断强调日本遭受空袭的战争回忆，包括太田夫人向菊治回忆文子冒着被轰炸的危险送三谷回家、空袭中为三谷买菜做饭（川端康成 254-255）等描写，都是在提醒读者，故事发生在战后的伦理环境。

正是在这样的大的时代伦理背景下，作品中的菊治为核心的人物关系的伦理环境才更显得具有真实性与合理性。菊治从小生活的伦理环境就是复杂而又混乱的，父母貌合神离，母亲孤独中没有任何幸福可言，作为茶道师的父亲又同时与栗本近子和太田遗孀保持偷情关系，而且毫不避讳还是八、九岁儿童的菊治，使得菊治毫无防备地看到了父亲的情人栗本近子胸部的巴掌大的、长者黑毛的黑痣：

大概是菊治七八岁的时候，被父亲带着到近子的家里去玩。结果看到了近子在茶室里敞胸露怀，用一把小剪子在剪黑痣上的黑毛。黑痣长在左边乳房，占了半个乳房的面积，而且还在往胸口窝扩展。整个有巴掌那么大。在那黑得发紫的黑痣上面好像长出了黑毛，近子正在用剪子夹住那颗黑毛。（中略）

展开在近子膝盖上的报纸上，散落着好像男人的黑胡子的东西，也被菊治看到了。虽然还是正上午头上，却听到老鼠在屋顶棚上吱吱乱叫。屋檐旁边的桃花正在开着。（中略）

菊治对父亲装作没事人的样子感到一种义愤。连菊治自己都看到了近子的那颗黑痣，菊治对父亲无视自己的存在和感受也感到了一种憎恶。（中略）

另外，菊治到了十几岁的时候，想起了当时母亲的话，如果真的喝着长着那颗黑痣的乳房的奶水的、同父异母的妹妹或者弟弟出生了，那将会是怎样的可怕啊！他感到了莫名的不安和恐惧。（川端康成 248-249）

这就是作品中人物群体的具体的伦理环境。第一章在不到两页纸的空间里，居然在描写栗本近子与其他登场人物关系时，牵扯到乳房上那巴掌大的黑痣，使用“黑痣”一词共 25 次，而整个作品前后贯穿的文本中共出现“黑痣”43 次之多，这在世界文学经典作品中也不能不说是一个特殊的案例。这明显是在通过黑痣外观的象征性给读者强调了菊治从小生活的伦理环境是多么丑恶、矛盾、畸形、异样、是多么混乱。最应该是展示传统美的“雪月花时最思友”茶室，却成了完全不顾女人的羞涩和矜持、甚至基本的为人的礼貌和修养的近子敞开胸怀、用剪子修剪自己黑痣上黑毛的场所，而所谓的茶道和所谓的传统文化也都被这象征着丑陋的黑痣全面覆盖和污染，传统美荡然无存。

而这之后，作品中的重要人物登场场面，尤其是茶室聚会，纪念菊治父亲三谷的纪念会，稻村雪子与菊治的婚姻介绍见面会，等等都是这个胸部有着巨大的丑陋黑痣的人近子组织和参与的，所谓传统茶道、传统服装、传统仪式等等都笼罩全文四十三处的黑痣阴影中。仅仅这一点就可以认为，这里确切地清晰地印证了川端康成在诺贝尔授奖仪式上对所谓日本战后传统美的讽刺和批判，是对日本战后社会低级趣味的茶道表露出的怀疑和否定。

于是，在这样大的时代的伦理环境和具体的作品人物群体的伦理环境中就形成了明显的伦理结构。伦理结构指的是文本中以人物的思想和活动为线索建构的文本结构，伦理结构有四种基本构成：人物关系、思维活动（包括意识结构和表达结构）、行为和规范。人物关系主要指不同人物之间的关系构成（聂珍钊 260）。主人公菊治同已死的父亲三谷和栗本近子以及太田夫人母女的关系就是一种复杂的伦理结构。这个人物之间的伦理结构，其实也是上述大的时代伦理环境和具体人物间的伦理环境的具象化。它的作用在于，因为菊治与太田夫人的相遇，形成了父辈偷情基础上的双重乱伦，造成了菊治和太田夫人母女的伦理困境和伦理两难。从而也就形成《千羽鹤》主题思想和人物塑造的伦理现场和最基本的艺术构架。

二、伦理身份与伦理意识

那么，《千羽鹤》中基本的伦理结构中的人物群体，即便是在战后一片混乱的现实中，有没有伦理意识，伦理身份是否清楚呢？或者说伦理意识是不是清晰的呢？这是对一部文学作品进行伦理解读的关键所在。可以认为，作者川端康成的伦理意识以及作品中登场人物的伦理意识，都非常鲜明的在

作品中得到了淋漓尽致的表达。无论是父辈的三谷与栗本近子和太田夫人偷情关系的描述，还是三谷夫人与丈夫的两位情人之间伦理身份的描述，都清晰地展现着相互之间的伦理性特质。菊治与太田夫人以及其女儿太田文子的双重乱伦关系描述中，更是凸显了叙述者川端康成与登场人物的清晰的、甚至是故意夸张的伦理身份和伦理意识。这一方面表现在人物关系交流中使用的语言特色上，另一方面表现在陷入不伦和乱伦中人物的伦理自责和道德负罪感上。

从菊治第一次见到太田夫人，对于太田夫人对自己的注目和温情有所反感，尤其是知道太田夫人故意在回家的必经之路上等待自己时，就使用了不太符合日语习惯的表达方式。“那么您的女儿知道她的母亲您在这里等候着我吗？（それでお嬢さんは、お母様が私をお待ちになっていることを、御存知なんですか。（川端康成 254）¹另外，像“因为在下的父亲活着的时候让您的女儿受了很多苦”（私の父は、お嬢さんを随分苦しめたんでしょから。）（川端康成 254）。这里几乎是故意地突出了人物间的伦理身份。更有甚者，作品中菊治与太田夫人乱伦之后，夫人问起菊治与雪子是否结婚的事情，菊治答非所问地回答到：

给我作介绍人的栗本，你知道的是我父亲的女人啊！那家伙经常因过去的怨恨出口伤人。你是我父亲的最后的女人，我认为我父亲还是很幸福的啊！

（仲人をするという栗本だつて、父の女ですよ。あいつは過去の毒気を吹きかける。あなたは父の最後の女だが、父も幸福だったと、僕は思いますよ。）（川端康成 267）

等等，这些清楚表达人物之间伦理身份、亲属关系、血缘关系的单词和语句全文本 351 次之多，因为日语尤其是在使用敬语·自谦语和借助授受动词表达的时候，日常会话中，是尽量不用我·你·他这类主语词的，而作品中这些表达句子，不但用了不必要的主语，更是使用的大量敬语，就是因为这里的作品主人公清晰的伦理意识，使其故意使用敬语和表明伦理身份的主语，无论作者川端康成写作时有没有这样的用意，但是作为读者，根据语言特点可以读出这种表达内涵。其他如“未亡人”即汉语的“遗孀”等等表明对方是结婚后失去丈夫的寡妇等词汇也是频繁使用，因此伦理纲常的种种限制和伦理界限就越发清楚，言行举动等等都会受到相应的社会伦理和家庭伦理的约束。总之文本中表示伦理身份、伦理界限和伦理禁忌的词组和合句子不胜枚举，充分表现了作者本人和作品中人物的伦理意识是何等地清晰。

另一方面，作品的登场人物中，从菊治到太田夫人和太田文子都充满了

1 为便于两种语言的确认，故此引用日文原文，以下同一。

不伦和乱伦后的自责和忏悔，表现出了明确的罪恶意识，这在三个人物的乱伦前后的对话叙述和各自的心理活动描写中随处可见。鉴于如前所述的先行研究中已有了大量的论述，在此不做赘述。简而言之，作品主人公等的大量自责、忏悔和罪恶意识本身就是伦理意识清晰、甚至故意夸张凸显的伦理意识的最好证明。

日本哲学家、文学评论家梅原猛（1925年出生）在日本精神史、古代史、文学、宗教等领域都具有独创性思索。他以佛教为中心，对日本人精神性所进行的独特研究被称为“梅原日本学”，他与川端康成生前有过几次密切交往和接触，并自称川端康成的文学影响了他的整个人生历程，基于他对川端的了解，他曾经这样评价川端及其部分作品：

我少年时代读过的他的作品虽然只到《雪国》为止，但是无论《伊豆舞女》还是《雪国》这些战前的作品都是很健康向上的。虽然一直到目前为止几乎很少有人指出过，但我还是坚定地认为，川端康成是一个伦理观念非常强烈的人。他这强烈的伦理观念首先是来源于他天生的无私的精神，其次，当然这也可能是他作为公众人物受到人们尊重的原因：他的伦理观念和伦理意识有意地、适度地抑制了他战前的作品中那为所欲为的官能性的、肉欲的审美意识。（梅原猛 32）

这里，虽然梅原猛主要试图论述战前战后川端作品中官能描写的比重不同的，但是对川端伦理观念之重和伦理意识之清晰的评价是鲜明且准确的。这也是在日本学术界最清晰最肯定地指出川端康成伦理思想和伦理意识浓厚的论断，也是我们从文学伦理学角度和视野解读《千羽鹤》的重要依据和可能性所在。

人物群体的伦理混乱

毋庸置疑，《千羽鹤》中主要人物都具有非常清晰的伦理意识，而人类拥有清晰的伦理意识后就不会发生伦理错误和伦理混乱了吗？显然不是，即便是有着清晰的伦理意识，但是伦理身份的改变或者伦理结构的改变就会导致伦理混乱、引起冲突。聂珍钊认为，“既有秩序遭受破坏“道德观念发生冲突”“巧合”误解等，也同样属于伦理混乱，在文学作品中，伦理混乱的价值在于增加文学性和提供道德警示”（聂珍钊 258）。《千羽鹤》中描写的大部分内容就是主要登场人物的伦理混乱。如作品中详细地描述了近子主持茶会的参加者所属以及他们与主人公菊治的关系，诠释了第一章中伦理混乱的详细情况：既有纯洁无瑕的身着“千羽鹤”的小姐雪子和文子，更有太田夫人、近子以及把他们连在一起的茶道道具“黑织部烧”茶碗。而这只茶碗正好揭示了人物之间的混乱关系，象征和暗示出了极度的伦理混乱。

淑女面前的茶碗，菊治也有清晰的记忆。那是父亲从太田遗孀那里接受的赠物，所以父亲一定使用过。看着死去的丈夫遗留下来的爱物被菊治父亲交给了（情敌）栗田近子，又被在这样一个茶会时摆在这里，太田夫人是用什么样的心情看待这只碗的呢？（中略）

从死去的太田之手到太田遗孀手里，又从遗孀之手到菊治父亲手里，再从父亲之手到近子手里，，于是太田和菊治父亲这两个男人都死去了，两个女人都坐在这里。只看这过程本身就可知道，这是一只暗示着多么奇怪命运的茶碗啊！

这个古老的茶碗，今天在这里又被太田夫人的令爱、近子、稻村家淑女、还有其他到场的淑女们，（一个个）用嘴唇亲吻（触碰）、用手来抚摸。

“用那只茶碗！我也想来一炮茶！因为刚才我用的是别的茶碗”太田夫人突然有点出人意料地、冷不防地说了一句。

菊治又一次感到无比惊讶。这是个老好人呢！还是不知羞耻啊！看着旁边一直低头不语的太田家的淑女（文子），菊治觉得十分可怜，简直不忍心再看下去了。（川端康成 252-253）

这里，作者特意一而再再而三地警示读者伦理混乱到何种程度。一只代表着日本传统文化的黑织部茶碗，从千利休的桃山时代到现代的传世之作，却因现代人伦理秩序的破坏，集中而又形象地展示了作品中人物群体的伦理混乱：茶碗的原始所有者太田死后，传给了妻子太田夫人，而太田夫人又把它送给了情人三谷，三谷又把它交给了自己的另一个弟子情人栗田近子，而胸口有巴掌大黑痣的栗田近子又把它拿出来在隆重的茶会上使用。于是太田夫妇、太田母女、三谷父子、栗本近子、稻村淑女和其他到场的淑女们，都在同一个空间里用各自的嘴唇吻碰着、用各自的手抚摸着这只命运般的茶碗。道德、伦理、秩序、恩爱、羞耻、亲情和爱情等，都在这只茶碗里馄饨污浊在一起了。

其他伦理混乱的登峰造极的描写，在作品中还比比皆是，如“巧合”误解或者神情恍惚、时空错乱等等像日本从古至今的“物纷”¹的美学理念一样，展示了源自人类天性本身的伦理混乱。

为什么与夫人成了现在这个状态，菊治无法清楚理解。因为一切是那样的自然而然。用夫人现在的话说，好像因为诱惑了菊治感觉到很后悔，其实不仅可能夫人本来就没有打算诱惑菊治，同时菊治本人一点也

1 参见王向远：“日本‘物纷’论：从“源学”用语到美学理念”，《上海师范大学学报·哲学社会科学版》5（2014）：86-91。

没有被诱惑的感觉。另外，从心情和感觉上讲，不仅菊治没有抵触，就是夫人也没有任何抵触。可以说，这里没有任何道德的影子出现。（川端康成 237）

发生了乱伦关系的菊治与父亲的情人太田夫人两个人，都处在一种神情恍惚和时空错乱的状态，虽然两个人都具有清晰的伦理意识，但是对情人的怀恋和对父亲的感觉寻找、以及母性母爱的向往还有太田夫人的女性魅力等等，在巧合或者误解等因素作用下，恍惚之间出现了上述男女两代人 20 岁悬殊的伦理混乱。

不仅如此，作品的整体构造就十分明显地表明，川端康成是在有意识地为主人公设定伦理困惑和伦理混乱的布局。正常情况下就像在第一章《千羽鹤》各节的结构一样，作者正面描写菊治与各位父亲的情人以及情人之女的会面和交流，但是在第二章《森林的夕阳》中，第一节描写到了近子撮合下与稻村雪子见面的场景，但具体见面的内容没有叙述，而是在第二节里以回忆的方式叙述与稻村小姐的交流和内心活动，而这种回忆可以持续也可以间断，更可以随时增加进来突发的事件，于是，当回忆到菊治与稻村小姐深度交流，甚至谈到与稻村小姐结婚，谈到菊治讨厌作为婚姻介绍人的栗本近子的内心苦恼，并指出这完全是命运所致，不可抗拒的节点上，为爱情的折磨无法生活下去，挣扎着生病虚弱的身体，躲开女儿文子的劝阻，到菊治家里对菊治倾诉相思之苦、泪流面面的太田夫人出现了。

于是同一间茶室里菊治和他的父亲的情人栗本近子、同时是父亲也是自己情人的太田夫人、以及自己的婚姻对象稻村雪子在相同的空间里依次相见，各怀尴尬，浓烈地绝妙地展示了伦理的困惑和伦理的混乱。而这些恰恰是群体人物最后不得不进行伦理选择的文本基础所在。

四、伦理两难的悲剧性伦理选择

作品中充分地展示登场人物的伦理困惑和伦理两难，这是伦理选择时必然遇到的问题，也正是这部作品的伦理价值所在。因为人物陷入了无法解脱的伦理困境和伦理两难中才会出现真正的悲剧性伦理选择。菊治在太田夫人自杀后，似乎放弃了与稻村雪子结婚的打算，与文子发生了乱伦关系，主观上选择了与文子生活下去，可是文子的出走使他又陷入了迷惘。文子则在无法忍受的伦理困惑后摔碎母亲使用过的茶碗，打算与菊治相互搀扶度过人生，但是却又难以再次面对乱伦的现实，最终选择音讯全无地离家出走。而太田夫人最后的伦理选择最为复杂、最为典型因而也最具有悲剧性。

关于这一点，作品中通过人物菊治本身提出过太田夫人的自杀原因问题，“夫人是因为无法逃避负罪感而死的呢？还是因为无法抑制乱伦的爱情而死的呢？菊治困惑地思考了整整一个星期”（川端康成 269）。这里其实是一

个伦理的困惑和两难境地中的死亡选择。没有爱就没有偷情的负罪感，而这种负罪感并不是根本死亡原因，因为如果是负罪感的话，太田夫人在自己丈夫尸骨未寒的时候就与菊治父亲三谷偷情，到后来与菊治相见仿佛遇到了昔日情人，情感混乱发生乱伦之情，直到到去世前都没有极度罪恶的感觉，反而是某种留恋不舍与犹豫不决；当然太田夫人也不是因无法抑制乱伦的爱情而死，其实这也是某种意义上的误解，因为太田夫人不需要过分地抑制自己的爱情。父亲三谷的时候没有，儿子菊治的时候也没有，反而还更加享受这种过去的回忆与现实爱恋融合在一起的爱的世界，例如，当菊治与太田夫人发生肉体关系后有一段两个人的对话，夫人很怀恋地谈起了菊治父亲和自己的恋情，还有三谷对女儿文子的父亲般的爱，菊治感到了莫名的憎恶和警戒：

但是，夫人不但没有丝毫憎恶和警戒的感觉，反而还表现出了精神的完全放松、温情脉脉、十分怀恋的样态。

女儿文子之所以对菊治父亲三谷友好相待，其实完全有可能是对母亲同情，不忍心坐视不管而已。菊治认为，夫人看是在说女儿的事情，而实际上是在述说自己与三谷的爱情。

夫人可能是想诉说自己满腔的情爱，但是至于诉说的对象，用一句极端的话来说，她没有分清是菊治自己还是父亲三谷。明显地可以感觉到夫人是对着菊治，倾诉着她对父亲三谷的无限的眷恋和爱意。（川端康成 255）

也就是说，单纯的偷情、复杂的不伦和乱伦虽然可能使太田夫人有负罪感，但她不会因此抑制自己的情爱，更不会因此而自杀。上面的这段对话描述，就是在自己乱伦对象菊治怀抱里怀恋自己与其父亲三谷的不伦恋情，而且还牵扯到自己的女儿文子。这里既没有负罪感，更没有对自己不伦和乱伦的抑制。

因此，太田夫人的自杀，其实是一个伦理的困惑和伦理两难境地中的死亡选择。我们应该注意到一个点，就是太田自杀的根本原因是什么？前面论述到负罪感和无法抑制的乱伦爱情都不是根本原因。丈夫太田死时她没有自杀、爱人三谷死时她没有自杀、与菊治陷入乱伦时她没有自杀、被女儿责备乱伦时她还没有自杀，但是，自己成了菊治的婚姻幸福的障碍时，她义无反顾地自杀了。

简而言之，多重的伦理混乱与伦理困惑造成了太田夫人伦理选择的困难与不可能，最后只能是以死结束这种生不如死的伦理两难的极端状态。这也是太田夫人的真正死因。作品中在太田夫人自杀后，有一段菊治和栗本近子的对话，某种意义上强调了太田夫人的真正死因：

“菊治君，你和雪子谈婚论嫁的事是你自己告诉太田夫人的，对吧！”

菊治虽然事先想到了她可能会这么说，但还是气愤至极：

“跟太田夫人打电话，说我和稻村雪子事情已经定下来了，难道不是你吗？”

“是！是我通知的！而且我还说了，拜托你不要再来打扰再来捣乱了！太田夫人就是在我电话通知她的那天晚上自杀的！”

俩个人都沉默了。（川端康成 278）

如上所述，太田夫人恰恰是被栗本近子通知参加菊治与雪子的见面定情会后，强烈意识到自己的乱伦会影响到菊治与雪子这对年轻人的人生幸福，成为他们追求幸福的障碍，于是她不顾廉耻、不顾女儿的劝阻，冒雨直接找到菊治，再次亲自确认后，当晚自杀身亡。因为她不能舍弃对三谷父子两代人的爱，那比他的名誉和生命还重要，但当她认识到自己存在和爱会影响爱人菊治的幸福婚姻时，她就放弃了自己名誉和生命，也可以说这是太田夫人在不伦和乱论之后进行的伦理高境界选择：舍生取义。当然这个义不一定是太田夫人的主观追求，对她来说这个义可能就是她的爱本身。

正像聂珍钊在论述莎士比亚《哈姆莱特》中哈姆莱特延宕和死因时的论断那样，“他能不能不杀死母亲的丈夫、自己的继父而不犯罪？这是一系列复杂的伦理问题，需要哈姆莱特作出回答，然而他无法做出回答，只能不断地思考并让自己深陷伦理两难困境的痛苦之中，并最终导致自己的悲剧”（聂珍钊 133）。不杀继父，只是没有完成父仇子报的家庭伦理义务，而杀了继父，又会碰触谋杀国王和母亲之夫的国家政治的伦理大忌，最后只能在多次的延宕之后，舍弃生命，完成了自己人生和时代的悲剧。太田夫人同样陷入了自杀舍不得一生的爱，不自杀会破坏爱人的幸福的极端的伦理两难，最终完成了自己的悲剧性伦理选择。

伦理选择的结果导致的是两个相互对立的选项，从而出现伦理两难和伦理悖论，逻辑悖论是绝对无法解决的，而伦理悖论不是绝对的，无论结果怎样都会得到解决。而无论解决的结果如何都能给读者带来有益的思考和道德启示，太田夫人自杀选择的意义就在于此。

问题的结论

作品全文分为五章《千羽鹤》、《森林的夕阳》、《志野彩陶》、《母亲的口红》、《二重星》，如果是像部分学者的观点那样是表现所谓官能美和肉欲美的话，完全可以选用《森林的夕阳》和《母亲的口红》做小说的题目；如果作品主题是表现所谓日本传统美的话，完全可以选用《志野彩陶》和《二重星》做小说题目，但是作者选择了用《千羽鹤》做总标题。

众所周知，制作和赠送千羽鹤是日本文化的一种传统，用来象征对和平的祈求和对幸福的向往，而川端康成把这部作品命名为“千羽鹤”一方面是为了张扬日本文化，而另一面不正是想通过作品中人物从伦理混乱、伦理困惑到伦理选择的过程来告诫人们伦理意识和伦理选择的重要性吗？错误的伦理选择就会给人类带来人生的悲剧命运：早死、自杀、丑陋、自责、自我流放和罪恶意识的无边痛苦等事实，表明了作者对人类的告诫、期冀和祝福。作者没有因为不伦和乱伦等反伦理反道德的行为而抛弃人类，反而在告诫和警示人类之后用象征和平幸福的千羽鹤来祝福人类。

不是因为有了清晰的伦理意识，人们就会做出正确的伦理选择，而往往是在具有清晰地伦理意识的同时，人类与生俱来的兽性因子（聂珍钊 36-42）和情欲追求的作用，产生错觉，陷入伦理混乱和伦理两难，从而产生悲剧式命运结局，就像作品中人物菊治、太田夫人以及太田文子。某种意义上讲，人类社会生活中这种人物模式更具有伦理警示和教诲作用。

伦理价值是正面道德价值与反面道德价值的总称。伦理价值除了包括所有的道德价值在内外，还包括非道德的价值，如文学作品中的反面人物和坏人形象。虽然就这些人物的品质和行为而言是缺少道德或不道德的，但是他们仍然具有重要的伦理价值，这就是从反面提供教诲（聂珍钊 258）。就如作品中的栗本近子和菊治父亲三谷，栗本近子以及她胸前巴掌大的带毛的黑痣，几乎就是作品中恶俗的现实和道德败坏的象征性存在。

日本学者久松潜一认为“作为人类生活所必须的秩序就是伦理、就是道德。因而，离开了人的生活，就不存在伦理，所以人类成长形成人格等是文学的基本课题，仅此一点就可以说文学与伦理有着密切的深刻的关系。文学与伦理的问题乃是文学的本质性问题”（久松潜一 238）。《千羽鹤》中的伦理叙述，就是直面了文学这个本质性问题，凸显了东方文化和东方文明的特色，重估了日本传统的价值和现代意义，调和了传统与现代的纷繁复杂的关系，使之从对立走向融合，从而实现了川端文学的普遍性、民族性以及世界性意义。而他又同时又通过这部作品对现代社会低级趣味的茶道表露出怀疑和警惕，并予以否定，对传统的东方文化给予弘扬，从而在伦理和道德的层面发出警戒和忠告，进而发挥了文学的教育和教诲作用，实现了其文学的思想艺术的最高价值。

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麦克尤恩小说《黑犬》中的伦理诉求

The Ethical Appeal in Ian McEwan's *Black Dogs*

苏忱 (Su Chen)

内容摘要: 当代英国小说家麦克尤恩于 1992 年出版的作品《黑犬》以第二次世界大战、纳粹集中营、柏林墙的倒塌等宏大历史事件为背景,以传记的形式刻画了伯纳德与琼这对夫妻半生的情感纠葛。文本从“黑犬”这一具有转折性的伦理事件入手,通过深入分析“黑犬”的伦理身份,琼与伯纳德的伦理选择,认为《黑犬》彰显了西方理性在当代发展中遭遇的伦理困境,小说指出了以《道德经》为代表的东方哲学作为一盏明灯照亮西方伦理困境的可能。

关键词: 黑犬; 伦理身份; 伦理选择; 理性; 《道德经》

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Title: The Ethical Appeal in Ian McEwan's *Black Dogs*

Abstract: *Black Dogs*, the 1992 novel written by contemporary British novelist Ian McEwan, depicts Bernard and June's half-life emotional entanglements in the form of biography under the background of the grand historical events such as the Second World War, the Nazi concentration camp and the fall of the Berlin Wall. Through exploring the ethical meanings embodied by the black dogs in this novel, this paper illustrates the different ethical choices of both characters. The novel exposes the ethical predicament of reason and rationalism in contemporary Western civilization and indicates the wisdom of Taoism as a mirror to reflect and illuminate the possible development of reason in Western world.

Key words: black dogs; ethical identity; ethical choice; reason; Taoism

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当代英国小说家麦克尤恩于 1992 年出版的作品《黑犬》以第二次世界大战、纳粹集中营、柏林墙的倒塌等宏大历史事件为背景,以传记的形式刻画了伯

纳德与琼这对夫妻半生的情感纠葛。小说的叙述者杰里米同时也是小说中琼与伯纳德的传记作者。面对琼与伯纳德截然不同的人生观，杰里米陷入了价值判断的困境，他将琼与伯纳德的差异描述为非理性与理性的不可调和：“理性主义者与神秘主义者，政治名人与修行者，入世者与出世者，科学研究者与直觉主义者，伯纳德和琼是两个极端，是一条轴线上的两极”（287）¹。他在作为传记“引言”的小说开端声称自己是一位不可知论者，评论者们对此也并无疑问。但是从文学伦理学批评的视角来看，杰里米对琼与伯纳德身份的界定与描述恰恰忽略了他们各自的伦理身份，杰里米的困惑正是源于他对伯纳德与琼不同伦理选择理解的缺失。因此，文本从“黑犬”这一具有转折性的伦理事件入手，通过深入分析“黑犬”的伦理身份，琼与伯纳德的伦理选择，认为《黑犬》彰显了西方理性在当代发展中遭遇的伦理困境，小说指出了以《道德经》为代表的东方哲学作为一盏明灯照亮西方伦理困境的可能。

一、黑犬的伦理身份

“文学是特定历史阶段伦理观念和道德生活的独特表达形式，文学在本质上是伦理的艺术”（聂珍钊，“文学伦理学批评：基本理论与术语”14）。“文学伦理学批评注重对人物伦理身份的分析”，因为“几乎所有伦理问题的产生往往都同伦理身份相关”（聂珍钊，“文学伦理学批评：基本理论与术语”21）。在《黑犬》这部小说中，琼与伯纳德的分歧始自两人在蜜月旅行中遭遇的两只巨型黑犬。琼与黑犬正面搏击并逃生这一事件是一个具有转折性质的伦理事件，该事件使得小说人物的伦理身份以及他们之间的伦理关系发生了根本的改变。在黑犬事件发生之后，伯纳德与琼这对原本鹣鲽情深的夫妻从此天各一方：琼隐居于法国的乡间，不问世事，不参与家庭生活直至生命终结；伯纳德独自返回英国，积极参加左翼政党活动，成为英国政坛的明星人物。伯纳德与琼之间不可调和的矛盾围绕着彼此对黑犬事件的不同理解与阐释而日益深化。小说的评论者也大都聚焦于黑犬象征意义的阐释，却忽略了黑犬的伦理身份。

《黑犬》的评论者一直热衷于讨论黑犬的象征意义，认为它们象征了“人类历史上反复出现的破坏性非理性的爆发”（Talese 103）；或认为它们是“可怕的邪恶与非理性的体现”（Glover 21）；或视其为“法西斯主义复活的暗示，或是地狱猎犬的暗示”（“Review of Black Dogs” 61）。还有学者在其著作中特别详细地讨论了黑犬的象征意义，以及黑犬典故的由来（Byrnes 242-243）。在这些讨论中，人们倾向于认为黑犬体现的是人类社会中的动物性本能，是非理性的象征，并常常同非人道事件联系在一起。评论者们将小说中

1 此篇论文所选取的《黑犬》文本为上海译文出版社2013年发行的中英双语版中英文原版，中文翻译为论文作者译本。论文中来自此部小说的引文将使用夹注，标出页码而不再具体做出脚注。

描述的其他看似不相关的事件串联在一起，如在柏林街头青年纳粹对伯纳德的殴打；马尔德奈克集中营中展现的暴力；杰里米在法国旅馆中见证的家庭暴力等，由此断定小说展示了人类史上人为的灾难是人们丧失理性暴露出非人的动物性本能的结果。这种简单直接的论断掩盖了黑犬在小说中的复杂性，也违背了作家的创作初衷。

小说中的黑犬首先是凶猛而邪恶的动物，它威胁着人的生命。小说《黑犬》的灵感源自作家在法国的一次真实经历。作家在接受采访时曾吐露：他在法国度假的时候，偶然遭遇两只巨型黑犬：“他们很大、非常巨大，与当时的环境极不相符。于是我们离开主道，手里拿着石头，绕道而行。当它们远离后，我突然发现人们是多么轻易就将这样的事物转化成象征”（Billen 29）作家亲身经历的两只黑犬进入了小说《黑犬》，它们变成二战期间盖世太保在法国乡间豢养的宠物，用以威赫平民，甚至强奸妇女。小说中女主人公琼在荒无人烟的乡间小路上，独自面对着两只体型巨大、凶神恶煞的牲畜，生命在瞬间陷入绝境。

其次，黑犬导致了琼伦理身份的改变。黑犬事件之前，琼是一名有着朴素政治理想的青年，她加入了英国共产党，想要为推进社会进步贡献力量。但是遭遇黑犬之后，尽管琼在与两只黑犬的搏击中侥幸逃出生天，但是这个事件却成为琼生命的转折点，作为事件的受害者，琼退出了英国共产党，离开了自己的丈夫，选择终生隐居于法国乡间。伯纳德与琼一对恩爱的夫妻也因此分道扬镳。

最后，黑犬的伦理意义最重要的——也常常被评论者忽略的——是它拒绝被象征化。伯纳德曾对杰里米说：“是我告诉她有关丘吉尔的黑狗的典故的。你记得吗？丘吉尔用‘黑狗’指代他时不时感到的抑郁。……因此，琼认为一只狗象征了一个人的沮丧，那么两只狗象征了文化的萧条，是文明的最糟糕状态”（370）。在伯纳德看来，琼在黑狗事件之后的剧变是因为她将黑狗象征化了。但是，琼断然否定了伯纳德的任意解读：“不管伯纳德说过什么，我其实并不相信它们是撒旦的同类、地狱守护犬或者上帝的神谕，或者是他告诉别人我所相信的任何东西。……我没有神化这些动物”（324）。由此可见，虽然以实体存在的黑犬是纳粹盖世太保豢养的宠物，它们在二战期间威赫平民、强奸妇女，成为纳粹暴行的帮凶。但是作家提醒我们，我们不可以简单地将黑犬等同于邪恶的象征，或动物性非理性暴力的表征。正如作家在访谈中提醒大家的一——人们总是有将事物象征化的冲动。

由此可见，黑犬不是普通的野兽，他的伦理身份是纳粹豢养的宠物。黑犬的暴力行径事实上代表了纳粹的邪恶暴力。琼拒绝伯纳德简单的象征化认知行为，因为直接将黑犬象征化，则忽视了进一步追问黑犬的暴力何以可能，纳粹的邪恶是如何滋生等更深层的问题。琼在黑犬事件后的伦理选择体现了她对这些问题的探寻，她从伯纳德身上看到了理性的暴力，其中理性对同一

性的追求、抹杀差异的欲望是法西斯主义诞生的思想根源之一。

二、“理性主义”的伦理困境

在黑犬事件之后，伯纳德的伦理选择是以理性认知的方式将黑犬的意义象征化，将其等同于“人类文明中最糟糕的状态”，从而积极投身西方左派的民主政治运动之中。但是他的行为却被琼所鄙夷。麦克尤恩在小说中借叙述者杰里米之口告诉我们“琼真正排斥的是伯纳德的理性主义。”（304）那么，“伯纳德的理性主义”究竟指的是什么？它是我们一般意义上所理解的理性主义吗？为什么在黑犬事件之后它成为琼所谴责的对象并且彻底改变了琼的人生呢？小说由黑犬出发深入探究了西方文化中理性主义的伦理困境——西方文明发展过程中形成的理性认知习惯虽然推动了科学的前行、文明的推进，但是第二次世界大战之后当代理性发展中隐藏着走向非理性的危险。

伯纳德的理性主义并非人们通常意义上理解的理性。在文学伦理学批评中，理性指“人在特定环境中的正确认知和价值判断，是人拥有的自己区别于兽的美德”（聂珍钊 252）。但是“伯纳德的理性主义”却是与黑犬联系在一起，它隐含着走向非理性的危险。琼所斥责的不是使人类区别于动物性并形成高级认知能力的理性¹，而是在现代西方社会中逐渐沦为人类自我持存的工具的工具理性²。随着西方文明的发展，近代以来，以笛卡尔的“我思故我在”这一命题及奠基于此命题之上的理性哲学体系为标志，“理性”概念的内涵发生了变化。理性从世界之中的主宰力量与内在秩序变成了主体内在的认识能力，主体开始基于自身的内在性来重新确认世界的秩序与原则。这种启蒙主体性的理性概念推动了科学与工业的发展，推动了人类文明大跨越的发展。但是，从康德到韦伯，启蒙主体性的理性概念最终不仅没有使自身获得真正的解放与自由，反而陷入启蒙辩证法的怪圈，理性最终走向了自身的反面，走向非理性与不自由。麦克尤恩正是在小说《黑犬》中对此表达了自己深深的忧虑。

首先，琼对伯纳德的谴责中指出“伯纳德的理性主义”正是启蒙理性在认知活动中隐含的主客分离的观念，以及在此基础上建立的主体心中意识和主体掠夺、占有客体/他者的合法地位，这是主体对他者实施暴力的哲学之源。作为一名业余昆虫学者，伯纳德与琼在蜜月旅行途中（黑狗事件之前）

1 哲学家一般认为“理性”（reason）这一概念肇始于古希腊哲人赫拉克利特把“逻各斯”（logos）引入哲学，它的一般意义是指普遍的客观规律。他肯定人具有认识这种规律的能力，这是人类认识的一大进步（田建尔 34）。

2 有学者指出：理性内在地包含着两个维度：主观性和客观性。客观理性是一种普遍理性，它是一种调整人们之间关系和行为的规范性力量和创造性的原则，客观理性具有实践的和伦理的维度。而主观理性则只是客观理性的一个部分功能。但是，后来在历史的过程中理性的主观性层面逐步战胜客观性层面，最终主观理性取代了客观理性。主观理性在霍克海默那里就是工具理性或形式化理性。

曾偶然遇到一只较为罕见的红蜻蜓，伯纳德捕捉到了这只蜻蜓，意欲将其收集作为标本。琼对伯纳德的行为感到愤怒和恐惧：“你的意思是要杀死它。……因为它很美，所以你要杀死它”（342）。琼将伯纳德的行为与其政治观点联系在了一起，她认为伯纳德“关注的不是社会的不公正，而是不整洁”，他想要的“不是人人平等友爱的社会，而是有效的组织结构”，他“希望这个社会像军营一样整洁，由科学理论来检验验证”（343）。伯纳德试图为其行为辩解，认为他所做的是科学研究工作，“将昆虫命名、分类”，“杀死一些昆虫并没有什么关系。昆虫的数量大的惊人，即使是稀有物种也是如此”（343）。伯纳德的观点是18世纪以来西方启蒙思想的主要内容，并逐渐“成为资产阶级思想的特征”（詹姆逊 155）。康德在对启蒙的定义中言之：“启蒙运动就是人类脱离自己所加之于自己的不成熟状态。不成熟状态就是不经别人的引导，就对运用自己的理智无能为力。当其原因不在于缺乏理智，而在于不经别人的引导就缺乏勇气与决心去加以运用时，那么这种不成熟状态就是自己所加之于自己的了。Sapere aude！要有勇气运用你自己的理智！这就是启蒙运动的口号”（康德 23）。随着启蒙运动的发展与深入，康德在将外部世界赔低为素材的表象世界之后，这一世界已经不是客观的理性之所在，而变成了外在的陌生的异己物。在当代西方社会，“提升理性以排除所有其他的行为标准，特别是使暴力的运用屈从于理性计算的趋势，早已被认定是现代文明的一个基本因素——大屠杀的现象就必须被看成是文明化趋势的合理产物和永久的潜在可能”（鲍曼 38）。

其次，琼在黑犬事件后立刻退出了英国共产党，退出了所有政治活动，并对伯纳德所热心的社会改革嗤之以鼻，正是因为她在“伯纳德的理性主义”之中看到了这种深入西方社会骨髓的启蒙理性的使命与其制度的对应物结合之后，主体理性进一步萎缩成合目的的工具理性。伯纳德作为工党议员，面对欧洲文明发生的纳粹种族屠杀这样的暴行，却继续表现出对政治解决问题的实用性的信念。他坚信通过政治和社会改革，社会的弊病可以治愈。作为积极的左翼政治家，他为柏林墙的倒塌而欢呼雀跃。他一直相信“以赛亚·柏林¹所说的，如果我确定如何能为人类带来和平、正义、幸福和无限的创造力，多高的代价是不能付出的呢？……正因为我接受了这样一种观点，即为了百万人的幸福，有千万人不得不为此捐躯，所以我才能尽我的责任做事”（354）。琼曾经愤怒地对杰里米说：“看看他[伯纳德]和他那类人都以进步的名义带来了什么伤害！”（384）琼于此犀利地指出了“伯纳德的理性主义”，即启蒙理性发展出的合目的的工具理性中隐含的暴力，这种理性思维引导人们“克服动物性的同情”（Arendt, *Eichmann* 106），它使大屠杀有了

1 以赛亚·柏林（Isaiah Berlin）：英国哲学家和政治思想史家，二十世纪最著名的自由主义知识分子之一。出生于俄国拉脱维亚的里加（当时属于沙皇俄国）的一个犹太人家庭，1920年随父母前往英国。

合目的性与理性的辩词，也使现代民主政治隐藏了其暴力的本质。“在最彻底的意义，现代性的国家‘治理术’并不在乎每一个个体。……自由主义虽然高举个体自由与人权之大旗，实际上仍然继续将每个个体生命缩减成人口统计学的数据”（吴冠军 21-22）。

更重要的是，琼在黑犬事件中体悟到了“伯纳德的理性主义”与法西斯主义之间千丝万缕的关系。小说中黑犬作为纳粹所豢养的暴力工具，它的邪恶指向了法西斯主义的本质。作为实体而存在的黑犬闯入了琼的生活，与此同时在小说的叙事中“黑犬”这个意象还曾出现 1981 年杰里米参观位于卢布林市郊的马尔德奈克集中营旧址的现场。小说通过通过纳粹集中营遗址的描写，揭示了法西斯主义的本质是将差异还原为同一，以牺牲他人权利、压制他人话语为代价来确立自己的权威。纳粹对他人生存的灭绝就是这种同一还原的政治文化的集中体现。

小说中杰里米细致描写了马尔德奈克集中营的营房建筑，进而指出西方从理性主义到同一性哲学中理性主义所遭遇的伦理困境。杰里米在参观遗址时写道：

我们漫步在一个个营房间。它们建构得是如此之精巧，保存如此之完整。每个营房门前都有一条整洁的小路与我们所走的道路相连。营房在我们眼前一直延伸开来，一眼望不到尽头。我们所参观的只是一排营房，只是集中营的一部分，而这个集中营只是众多集中营中的一个，而且是规模较小的一个。虽然不适宜，我不得不对这些建筑感到钦佩。我讶异于这样一件事是如何被构想出的，这些集中营是如何设计建造的；要花费多少劲来装饰它、管理它和保存它；并从一座座城镇、乡村收集其所需的人体饲料。要何等费力、何等敬业。人们又如何能称其为一个错误呢？（111）

不可否认的是，集中营的建造体现了现代管理与现代技术的成就。这些精巧的建筑是人类理性发展的结晶。它肇始于一种真正的理性关怀，并由一个忠实于它的形式和目的的官僚体系造就而成。但是，原本为人类发展祛魅解惑，促进人类进步的理性，为何成了暴力与邪恶的帮凶呢？

当马尔德奈克集中营的参观行将结束的时候，詹妮向杰里米讲述了“1943 年 11 月的一天，德国当局枪杀了 3 万 6 千名来自卢布林的犹太人。他们让犹太人躺在巨大的坟墓中，屠杀时还通过扩音器播放着舞曲”（377）。面对着集中营遗址内一个又一个低矮的小棚屋内的铁笼里“塞满了鞋子，有成千上万只那么多，就像被晒干的水果一样压平卷曲着”（376），杰里米感到“生命变成了廉价的货品”。在集中营内，神圣的生命沦为阿甘本所讨论的“赤

裸生命”¹。整齐营房，有规划的科学的屠杀，古典音乐的伴奏，这些都使得纳粹的大屠杀行为“不是人类前现代的野蛮未被完全根除之残留的一次非理性的外溢。它是现代性大厦里的一位合法居民”（鲍曼 24）。阿多诺告诉人们大屠杀是西方文明追求同一性原则的最终结果。“奥斯维辛集中营证实纯粹同一性的哲学原理就是死亡！”因为，“种族灭绝是绝对的一体化”，这是与资产阶级文明的同一性原则一致的，“没有这一原则就不会有奥斯维辛集中营”（阿多诺 363）。这种野蛮的同一化或一体化在传统哲学中是被冠之以“崇高”而被美化着的，正如奥斯威辛集中营的同一化，“从一开始它就具有一种音乐伴奏的性质，党卫队喜欢用这种音乐伴奏来压倒它的受害者的惨叫声”（阿多诺 365）。法西斯分子正是在追求纯粹的本质（种族）同一性中，听着西方古典音乐来进行恣意杀戮的。这使得“神圣的”死亡成为一种平静的实验，一种被科学管理的除草劳作。

综上所述，小说琼对伯纳德的伦理选择的拒斥展现了西方理性主义遭遇的伦理困境。琼认为伯纳德的伦理选择中忽略了黑犬与纳粹的关系，没有看到黑犬指向了法西斯主义的本质——将差异还原为同一的霸权。隐含在法西斯主义背后的同一性哲学是理性哲学在启蒙运动之后，客观理性被主观理性所替代，而主体理性又进一步萎缩成合目的的工具理性的结果。所以，战后西方学者纷纷指出：“大屠杀带来了西方文明本身意义的深刻转变。它挑战了西方文明已经为自己建造了几个世纪的‘身份’。面对在科学、理性和秩序的名义下进行的暴行，我们不得不重新思考何为‘启蒙’”（Gauthier 103）。面对现代理性主义逐渐沦为工具理性并隐藏着走向非理性危险的伦理困境，作家并没有因此而陷入了无可自拔的悲观主义。琼拒斥了伯纳德的理性主义，同时向读者展开了直抵心灵的东方哲学。

三、东方哲学的伦理观照

琼在“黑犬”事件之后选择了避世修行，她的伦理选择彰显了中国道家哲学中“无为而治”、“大制不割”的思想。琼曾向杰里米极力推荐老子的《道德经》（阿瑟·威利的译本），并朗读其中的篇章，“天之道，不争而善胜（The Way of heaven excels in overcoming though it does not contend）”，“故抗兵相若，则哀者胜矣（Of two sides raising arms against each other, it is the one that is sorrow-stricken that wins）”。琼的这段引言所蕴含的即是老子哲学中的“无为”“不争”的思想。在老子所处的历史时期，战争频仍，世界犹如一个大的屠宰场。人如何在这充满杀戮的世界中寻求生存的可能，激发了老子和庄子

1 阿甘本给“神圣生命”起了另外一个名字：“赤裸生命”（bare/naked life）。在阿甘本看来，集中营是现代政治的典范（paradigm），因为在现代社会中的每个人，结构性地都可能随时成为“神圣人”。“赤裸生命，就是神圣人（homo sacer/sacred man）的生命，这些人可以被杀死，但不会被祭祀”（阿甘本 31）。

一派道家哲学的兴起。琼在黑犬中体悟到了纳粹暴行与工具理性发展之间密不可分的关系，她转向了与西方理性思想体系截然相反的东方古典道家哲学。在伯纳德看来，琼的避世、隐居是消极的行为，但是作家却在小说中向读者展示了东方哲学的智慧。

首先，琼所选择的老子哲学中“无为而治”的思想蕴含着摆脱知性的欲望，抱朴归真，涤荡心灵的主张。琼在法国的峡谷山间体验到了自然的广博深邃，体悟到传统知识系统内“以人为量”看待世界的局限性。伯纳德和琼在蜜月旅行时在朗格多克长途跋涉，穿过了一片名叫“拉扎克的喀斯”的干燥石灰岩高原。他们偶然经过一处古老的墓地遗址。琼在临终前告诉杰里米，身处渺无人烟的荒野之中，她感叹于大自然的“壮观、狂放不羁”；与古老的自然相比，人类的生命短暂且渺小——“和这峻岩的年龄、魅力以及力量相比，政治实在显得微不足道。”（307）琼所体验的这种情感震撼，在其隐居之后，于老子的《道德经》中申发成为更深邃的哲学思考。在西方传统哲学中，强调通过人的知性力量走出“洞穴”。尼采在《查斯图斯特拉如是说》中也曾说：“走出你的洞穴吧，世界如一座花园等待着您。”但很多人看不到这花园。这种以知识的眼光看待世界，庄子称之为“以人为量”。在人类文明的发展中，科学的前行、文明的推进，的确需要这样的眼光。但是，人们将世界“对象化”的过程中，世界也变成了人的知识、价值的投射而失去了自身独立的意义。恰如，伯纳德在看到一只罕见的红蜻蜓时，唯一想到的就是其作为昆虫标本的价值。因此，随着人们依赖理性认知、探索世界，人握有了世界的解释权、世界在人的知识谱系中存在。但是，道家哲学告诉人们，这是一种虚假的存在，万物自生听，太空恒寂寥，天地大美而不言，人们只有从知性中解放出来，才能真正从心灵体验自然之美。所以琼告诉杰里米：“我们身在一处有五千多年历史的圣地，我们深爱对方，夕阳斜照，壮阔的平原在我们眼前伸展——可这一切我们却无从把握，我们无法将它们融入自己的心灵。我们不能解放自己，进入现实中；相反，我们居然还在想怎么把别人解放出来。”（307）所以，老子说：大巧若拙、大辩若讷。老子的“大巧若拙”不是单纯地反对技术，而是因为担心人们对技术的迷恋会导致对自然真相的压抑。简而言之，“大巧若拙”的哲学就是将“人从知识的跃跃欲试拉回到天全的懵懂；由欲望的追求回归性灵的恬淡；从外在感官的捕捉回到深心的体悟”（朱良志 36）。

其次，当琼将自己从知识的体系中解放出来，回归到心灵感悟之后，她鄙视伯纳德所推行的西方民主，而认为真正的平等体现在老子所言的“大制不割”之中。琼曾对杰里米说：“让我来告诉你，为什么有人多年来如此忙碌却没有什麼变化？因为他一直停留在表面，每天喋喋不休的都是关于如果有更好的体制制度将会怎样，而没有触及更本质的东西”。（308）琼所强调的“更本质的东西”即为社会不平等的根源，即老子所说的“争”的始由。

老子认为，“始制有名。名亦既有，夫亦将知止，知止所以不殆。”万物原本处于不可名的质朴状态，当人们以知性的眼光看待世界、审视世界，万物被赋予了各自的名称，美丑善恶也由此而有了分别，纷争也就跟着产生。“知其荣，守其辱，为天下谷。为天下谷，常德乃足，复归于朴。朴散则为器，圣人用之，则为官长。故大制不割。”所以在老子看来，善于治理国家的人，不割裂事理，仅使万物各遂其性而已。由此可以看出，老子所提出的“大制不割”“无为而治”的思想是倡导的是完全无等级分别的绝对的平等精神。在麦克尤恩的小说中，当伯纳德在出租车上就柏林墙的倒塌、西方民主的进步而夸夸奇谈之时，出租车司机讥讽了伯纳德政治精英主义的立场，伯纳德为此恼羞成怒。事后，伯纳德坦言自己毫无芥蒂地与“那个阶级”的人对话——“我真是受不了的哥们的高谈阔论”（340）；与他相反，他承认“琼可以和每个人愉快相处……她是个比我好得多的共产主义者”（340）。

由此，麦克尤恩在小说中通过琼的行为和她所推崇的《道德经》从侧面批判了被工具理性所裹挟的西方文明。人类世界被机械性的运作所充斥，宗教、神话、寓言、意义、理想、乌托邦等等逐渐退出人类精神世界，“一个文明人，置身于被知识、思想和问题不断丰富的文明之中，只会感到‘活得累’，却不可能‘有享尽天年之感’”（韦伯 30）因为其生命的终极意义已经陷入模糊或者已经根本消失。像伯纳德这样，习惯于从价值或功用的角度进行理性判断的西方人，往往失去了从心灵情感体验世界的的能力。正如杰里米在琼临终前最后一次到疗养院探访她时，曾在窗外看到这样一幅景象：一位年迈的瘦弱的老妇人在狂风中拄着拐杖蹒跚着来到靠墙的花坛边，小心翼翼地播种了一把种子。杰里米说：“几年前，我看不出在这样一个年纪种花还有什么意义，我看到这样的景象，只会觉得这是在白费力气。现在，我只能看着”（309）。杰里米在与琼的交往中，也开始逐渐意识到理性的不足，开始学着放下判断，去体悟“致虚极，守静笃。万物并作，吾以观复。夫物芸芸，各复归其根。”

结语

《黑犬》封页的题词上引用了马尔西利奥·费奇诺¹的一段话：“在某种意义上可以说，现在我不知道我想要什么；也许我并不需要我所知道的，而是需要我所不知道的。”西方评论者往往认为，麦克尤恩引用费奇诺的这段名言旨在表明“为道德和政治判断重建一个稳固基础的可能性在于，人们需要意识到任何政治和形而上学体系中都有着不可避免的二元性”（Delville, 11），即小说置于卷首处的这段引言，透露着作家希冀调和相互冲突的观点。然而，过往的评论既曲解了琼的行为思想，同时忽视了伯纳德与琼行为背后

1 Marsilio Ficino, 1433—1499, 文艺复兴时期意大利哲学家、美学家、佛罗伦萨柏拉图学院派最著名代表

伦理选择的意义。

伯纳德与琼不同的伦理选择展现了西方理性发展过程中由“合理化”和“自我持存”占主导地位的工具理性所陷入的伦理困境，以及以“无为”、“不争”为核心，强调生命体验的中国道家哲学思想。麦克尤恩援引费奇诺列于卷首，因为费奇诺作为一位博采众长的伟大学者，他成功地融合了意大利文艺复兴早期的各家学说，并将各种学说与当时的基督教相融合，极大地促进了意大利乃至欧洲文艺复兴的发展。综观麦克尤恩的小说，作家表达了对西方文明发展的忧虑和借鉴东方古老哲学思想的愿望。对于作家而言，在当代西方社会让奥斯维辛成为可能的那些社会条件没有一个真正消失了，也没有采取任何有效的措施消除产生类似于奥斯维辛这种浩劫的可能性和因果律。在小说的结尾处，琼曾遭遇的那两只黑狗仍然徜徉在人世间，两只黑狗的梦魇缠绕了琼 40 多年，虽然在它们会在沉睡中渐渐远去，但是“在欧洲，在另一个时间，他们又会回来”（174）。就在麦克尤恩的《黑犬》出版当年，欧洲的巴尔干半岛上由于民族冲突又发生了“种族清洗”事件。作家于小说中所表达的伦理诉求更显迫切。

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《尼克·亚当斯故事集》的伦理身份之惑

The Predicament of Identity Clarification in *The Nick Adams Stories*

熊 卉 (Xiong Hui)

内容提要：《尼克·亚当斯故事集》是以主人公尼克为中心，由菲利普·杨按照海明威写作的顺序整理出版的一个短篇故事集。如果我们把所有故事作为一个连贯的整体进行解读，就会发现尼克在整个故事中经历了不同伦理身份确认与否的困惑。童年时代的尼克在与大自然的接触中对自己的伦理身份非常明确，他视自己是“自然之子”。然而，对“自然之子”这一伦理身份的过度迷恋使他步入社会时难于寻找到合适的社会伦理身份，他于是成为一个“迷惘的人”。但是，尼克并没有彻底迷失，他不断地通过写作、阅读和回忆来进行自我道德教诲，使自己走出伦理身份的困惑。

关键词：厄内斯特·海明威；《尼克·亚当斯故事集》；伦理身份；道德教诲

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Title: The Predicament of Identity Clarification in *The Nick Adams Stories*

Abstract: *The Nick Adams Stories* is a collection of short stories written by Ernest Hemingway centering on the character Nick Adams, chronologically rearranged by Philip Young. Reading these stories as a whole, the author of this paper proposes that Nick Adams has experienced the predicament of identity clarification. In his childhood, the intimacy with the nature successfully establishes his natural identity. He regards himself as “the son of nature.” Being too obsessed with such an identity, Nick has great difficulties in establishing his social identity. As a result, Nick is not in a position to confirm his social identity so that he often falls back on his natural identity, which can be regarded as a reflection of the lost generation. Caught between the predicament of identity clarification, Nick resorts to reading, writing and recollection as a way of self-moral teaching.

Key words: Ernest Hemingway; *The Nick Adams Stories*; ethical identity; moral

teaching

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在海明威笔耕不辍的近四十年间，他创作出了一系列跃然于纸上的人物，其中尼克·亚当斯是不容忽视的一个人物形象。海明威关于尼克的作品散见于《在我们的时代里》（1925）、《没有女人的男人》（1927）和《胜者无所得》（1937）三个短篇小说集，后来菲利普·杨在海明威留下的未曾出版的手稿中又发现了八篇新作，于是在1972年按时间顺序排列出版了《尼克·亚当斯故事集》（*The Nick Adams Stories*，以下简称为《故事集》），并指出通过这样的排列，“长久以来根本没有被广泛地认为是个前后贯穿的角色的尼克·亚当斯，便清晰地凸现为海明威作品中一长串他本人化身中的第一个”¹。然而自《故事集》出版至今，国内鲜有把海明威的尼克·亚当斯系列小说作为一个整体进行解读的评论出现。

本文认为如果把这一系列小说作为一个整体来读，则会发现尼克经历了从“自然之子”伦理身份的确认到社会伦理身份的困惑的心路历程。文学伦理学批评认为，“只要是身份，无论它们是指社会上的身份，还是家庭中的身份，学校中的身份等，都是伦理身份”（聂珍钊 265），而伦理身份的确立则是“道德行为及道德规范的前提，并对道德行为主体产生约束”（聂珍钊 264）。在《故事集》中，当尼克明确了自己的血亲伦理身份之后，开始试图慢慢确立他的其它伦理身份。换句话说，他进入道德成长过程。在这一过程中，自然和社会是两个不可或缺的角色。然而，尼克在确认了自己和自然的伦理关系之后，却由于过度依赖于这一关系而陷入了关于自己社会伦理身份无法确认的困惑之中。尼克确认身份和解除自己困惑的方式则是通过阅读、写作和回忆进行道德教诲。同时，《故事集》还以高超的叙事策略展现了尼克伦理身份由确定走向不确定的变化过程。

一、尼克和自然的伦理关系确立

在尼克确立自己和自然的伦理关系过程中，由于他从小就跟着父亲到森林里去狩猎、钓鱼，自然成为尼克成长中的一个重要环境。在这样的环境中，尼克不仅深爱着大自然，而且还能在大自然中获得心灵的慰藉。大自然能为尼克抚平伤痛，使他远离悲痛，恢复平静。所以，尼克与大自然的关系就像

1 【美】海明威：《尼克亚当斯故事集》，陈良廷等译。上海：上海译文出版社，2012年，第2页。本论文中《故事集》的引文译文均来自此书，以下仅注明页码。

有血缘关系的父子关系，他视自己为“自然之子”。从伦理身份的角度考虑，可以说尼克逐渐确立了他“自然之子”的伦理身份。

尼克和自然的伦理关系的确立首先表现在尼克逐渐发展的对自然的爱和依恋。在《故事集》中，尼克最喜欢做的两件事情都与自然有关——狩猎和钓鱼，因此就有了以下着墨于自然景物细节的描写：

随着那翠鸟在水面上的影子朝上游掠去，一条大鳟鱼朝上游窜去，构成一道长长的弧线，不过仅仅是它在水中的影子勾勒出了这道弧线而已，跟着它跃出水面，被阳光照上，这就失去了影子，跟着它穿过水面回进溪水，它的影子仿佛随着水流一路漂去，毫无阻碍地直漂到它在桥底下常待的地方，在那里紧绷着身子，脸冲着流水。（196）

如此细致灵动的景物描写是由叙述者从尼克的视角来观察叙述的，生动地写出了鳟鱼在水中的情景。贯穿在整个故事集中有多处这样关于尼克钓鳟鱼时的细节描写，尼克钓鱼动作的娴熟以及对鳟鱼生活习性的谙熟，这些都反映了尼克对大自然的熟悉热爱程度。《两代父子》中，叙述者从尼克的视角回溯他和父亲的关系时说到：“他今年三十八岁了，爱钓鱼、爱打猎的劲头还不下于当年第一次随父亲出猎的时候。他这股热情从不曾有过丝毫的衰减，我真感激父亲培养了他这股热情”（287）。苏珊·比格尔（Susan Beegel）从创作主体的角度解读这一短篇时提到森林的砍伐：“给热爱荒野、狩猎和钓鱼的海明威父子带来了持续不断的伤痛……这种伤痛在尼克·亚当斯的故事中也比比皆是”（Beegel 85）。由此，自然在尼克生命中的重要可见一斑，同时文本也暗含了海明威本人对大自然的情愫。

尼克在大自然中不仅获得了钓鱼和狩猎时的快乐，更重要的是他在自然中能够获得内心的平静，这让他进一步确立了他和自然的伦理关系，他视自己为“自然之子”，一个随时需要自然呵护的孩子。《三下枪声》中，尼克跟着父亲和叔叔到林子里露营，父亲和叔叔去夜钓，尼克独自回到帐篷时突然感到害怕了，但是“尼克感到只要能听到一声狐狸叫，或者猫头鹰啼啊什么的，就放心了”（3）。让尼克害怕的不是没有父亲叔叔陪伴的孤独，而是感觉不到动物存在的自然，因为动物对于尼克而言乃是超越于人伦之间的重要的伦理关系。遵从父亲的话，当他害怕时就开三下气枪。开完枪之后，“他听见枪子在林间摧枯拉朽，一掠而过。他只要一开了枪就没事了”（4）。他不再害怕不是因为父亲马上能回来，而是枪子摧枯拉朽的声音让他感觉到了大自然的存在。《印第安营地》中，尼克跟着父亲来到印第安营地为一位难产的印第安妇女接生。整个夜晚，尼克亲眼目睹了女人的生产过程和她丈夫的莫名自杀之后，随父亲返回的清晨，“太阳正从背后升起来。一条鲈鱼跃出水面，激起一个水圈。尼克伸手在水里，朝前溜去。清早冷飕飕的，手倒

觉得很温暖”(12)。叙述者显然是从尼克的视角来看清晨的湖面。叙述者没有表现尼克的恐惧或无助感,而是尼克在目睹了生与死的艰难与残忍之后,看到了是大自然的美景和温暖,这说明大自然能够让他忘却伤痛。尼克进而“蛮有把握地相信自己永远不会死”(12),他确认了自己作为“自然之子”的身份。这样的身份让尼克坚信大自然的永恒。在《阿尔卑斯山牧歌》中,第一人称叙事通过内聚焦的方式使读者不通过任何中介,直接透过尼克的眼光同样看到了“阳光灿烂的五月早晨”,也和尼克一样认为“这坟墓穴的事儿看来像是不真实的。(我)无法想象有什么人会死去”(269)。这种人物叙事情境显然还增强了叙述的可靠性,让叙述者尼克更加明确了自然在他生命中的意义,他热爱大自然,同时也需要自然给他心灵的慰藉,他视自己为“自然之子”。

从生态伦理学角度来看,“人类在自身进化中继自然共同体之后与自然之间所形成的空间结合形态”是社会共同体。“从人与自然的关系上讲,社会共同体是人努力摆脱原始的生物必然性的支配,充分张扬人的主体性的一种独立自我的存在方式”(郑慧子 136-137)。然而,由于尼克视自己为“自然之子”,他并不想彰显自己在自然中的主体性地位,相反,他选择依赖于大自然带给他的平静。因而在遇到问题时,他总是回归他的“自然之子”伦理身份,选择逃避。《最后一方清净地》中,猎监员因为尼克捕杀鳟鱼去他家抓他,尼克妹妹给他报信。尼克并不想束手就擒,他妹妹也不想尼克被逮住,所以尼克决定带着妹妹逃跑。对自然环境非常熟悉的尼克决定带着妹妹走进森林深处,于是一次逃亡演变成一场自然探险之旅。海明威在这个短篇中采取了零聚焦的叙述模式,更加直观地呈现了尼克进入森林后,引领着妹妹玩味森林的静谧:“你且好好玩味眼下的这种气氛,小妹。这对你可有好处哩。从前的森林就都是这样的。这片森林怕是眼前还留下的最后一方清净地了。这儿是从来没有人来过的”(92)。小说以尼克提议为妹妹念《呼啸山庄》告终,并没有进一步讲明兄妹俩被追捕的结局是怎样的。这样的开放式结局暗示着兄妹俩陶醉与大自然之中,尼克对于自然带给他的力量深信不疑。

既然尼克确立了自己作为“自然之子”的伦理身份,他也会做出与之相应的伦理选择。《大双心河》描述的就是尼克在遭遇战争创伤后,再次走入自然这一极具象征意义的伦理选择。作为海明威冰山风格的最好例证,《大双心河》的文本本身呈现的是尼克扎营钓鱼的故事,但这仅仅是八分之一,那没有呈现出来的八分之七是战争给尼克带来的压抑。因此,已经有不少学

者论及了尼克战后还乡的本质目的¹。然而，笔者认为尼克做出这一选择正是因为他明确自己“自然之子”的身份，明确自然能给他带来什么。在自然中，自然的景色和钓鱼可以让他很兴奋，让他又看到生活的希望。兴奋之余，尼克会直接跳出来和读者传递他的钓鱼经验：

在黑河上你是总能钓到大鱼的。太阳下了山，它们全都会游到外面激流中去。太阳下山前使河水射出一片耀眼的反光，就在此时，你可能在激流中的任何地方使一条大鳟鱼上钩。但是那时简直没法钓鱼，水面耀眼得就像阳光下的一面镜子。当然啦，你可以到上游去钓，可是在黑河或这条河那样的河道上，你不得不逆水吃力地走，而在水深的地方，水会朝你身上直涌。这样大的激流，到上游去钓鱼可并不有趣。（214）

这是一段自由直接引语，它是“叙述干预最轻、叙事距离最近的一种形式”（申丹 299）。海明威以这样的叙述方式表现了尼克此刻的一种轻松忘我的状态。当然，尼克越是轻松忘我，越是能表现他想要逃离现实的欲望，越是能表现战争给他带来的创伤。

总而言之，在书写尼克确立“自然之子”的伦理身份的叙事进程中，不论是第一人称叙述还是第三人称叙述，海明威都是从尼克的视角进行的，表明尼克对于自己和自然的伦理关系确认无疑。尼克的生长环境和生活经历帮助他确立了“自然之子”的伦理身份，也导致他在遭遇挫折时返回自然寻求庇护。然而，在一定程度上来说，与自然的过度亲近导致了尼克社会交际能力的不足，使得他无法清楚认识自己和社会的伦理关系，进而无法确认自己的社会伦理身份。

二、尼克关于社会伦理身份的困惑

把《故事集》视为一个整体的一个重要原因是它完整地呈现了尼克成长的轨迹：从孩童到青少年，再到士兵、丈夫和父亲。如果从这个角度来解读尼克，那么尼克成长的每一个阶段都意味着一种伦理身份的确立以及与这一身份相对应的社会责任。尼克应该通过一系列伦理选择确定自己和社会的伦理关系，这包括他在家庭的和社会的身份。然而，问题是，面对复杂的社会环境，尤其是由于对“自然之子”伦理身份的过度依恋，尼克无法厘清自己的社会责任，他对自己的社会伦理身份尤为困惑。

1 詹姆斯·费伦认为在《大双心河》中，钓鱼对尼克具有一种治愈力。参见 James Phelan, "Now I Lay Me: Nick's Strange Monologue, Hemingway's Powerful Lyric, and the Reader's Disconcerting Experience" in Paul Smith 编:《<海明威短篇小说>新论》，北京：北京大学出版社，2007年，53。马克·西里诺也提到尼克在经历战争创伤后想要回归自然简约的生活。参见 Mark Cirino, "Hemingway's 'Big-Two Hearted River': Nick's Strategy and the Psychology of Mental Control", *Papers on Language and Literature*, 47. 2 (2011):115-140.

青少年是形成社会认知的重要时期，但是已经确立的和自然的伦理关系让尼克早已习惯并依赖于自然的简单纯粹，他很难适应社会中复杂的人际关系，因此在遭遇困难或挫折时只能做出逃避的选择。菲利普·杨给《故事集》的第二部的五个短篇故事命名为“他独自”，即青少年时期的尼克独自走入社会，慢慢形成对世界的认知，但是他的遭遇并没有让他顺利地形成对自己社会身份的认知。五个短篇中的第一部《世上的光》采用的是第一人称叙述者尼克的视角，引领着读者和他一起去寻找“世上的光”。然而，初入酒吧，尼克遭遇的是酒保的冷漠。酒保是一个看到钱才会服务的人，面对尼克朋友汤姆对臭猪脚的抱怨也置之不理。失望之余，尼克领着读者继续走入“人头济济”的火车站。初涉世事的尼克好奇心强，观察也很仔细。然而，在车站他没有找到他希冀的光。他满怀真诚地跟车站的人说话，得到的却是一阵调侃。感觉“外面漆黑一团”（34），所以他开始犹豫是否要继续前行，表现在叙事技巧上，就是第二部的后四篇都是以全知视角的第三人称叙述的。全知第三人称叙述旨在使读者能够感到叙述者的存在，这样拉开了尼克和他所处的环境之间的距离，表现出尼克对融入社会的犹豫和不安。《拳击家》和《杀手》两个短篇就以这种方式书写了尼克面对暴力时的困惑。尼克因为偷搭货车被扳闸工揍了一顿，于是他暗自发誓“早晚总有一天要跟他算账”（43）。然而，当看到拳击手阿德·弗朗西斯毁了形的脸庞和发疯的样子，尼克明白用拳头是解决不了问题的。《杀手》中，尼克去给要被刺杀的奥尔·安德瑞森先生送信，劝他逃离却被莫名其妙地拒绝。这让尼克更看不懂这个世界了：“他明明知道自己就会送命，还在屋里等着，我想起来就受不了。这他妈的太可怕了”（68），所以尼克决定离开这个小镇。他的逃避导致他从一开始试图确认自己社会伦理身份时就陷入了窘境。

青少年时期的尼克没有建立对社会清晰的认知，从而无法确认自己的伦理身份。这导致他后来对于他无论是作为朋友、恋人，还是作为士兵以及丈夫这些伦理身份所应承担的责任都模糊不清，以致于他害怕确认这些身份，无法做出正确的伦理选择。一方面，从朋友和恋人的身份来说，青少年时期的遭遇导致他无法建立对任何人的信任。如果说唐纳德·戴克（Donald Daiker）为尼克的辩护成立的话¹，那么为什么他仍然要和玛乔丽分手？是因为好朋友比尔的劝说吗？事实上尼克并不信任比尔，这从《三天大风》中两人的对话中可以看出。当比尔谈及尼克和玛乔丽结束关系这件事时，比尔对尼克的做法表示了肯定“男人一旦结了婚就彻底完蛋了”，然而自始至终尼克都是“一言不发”（233）。尼克并不愿意和朋友交换心底的真实想法。事实上，尼克认为是他自己“打发她走的。这是一切的关键”（234）。他打发

1 他认为尼克对玛乔丽是充满着尊敬、关系和真爱的。参见 Donald A. Daiker, "In Defense of Hemingway's Young Nick Adams: 'Everything Was Gone to Hell Inside of Me'" in *Texas Studies in Literature and Language*, 57. 2 (2015): 242-257.

玛乔丽走的原因正是因为和玛乔丽这样亲密的关系让他无所适从。在结束了恋人关系后，“他感到高兴了。什么事都没有结束。什么都没有失去过... 大风把它从他头脑里刮走了”（237）。在尼克试图确立“朋友”和“恋人”的伦理身份时，“大风”再次成为自然的象征出现在尼克做伦理选择的过程中，成为尼克拒绝进一步社会关系的建立的重要因素。另一方面，被卷入到战争的尼克更是困惑不已，甚至产生了对婚姻的恐惧。短篇《我躺下》和《在异乡》把读者带入人物叙述情境，使读者跟随尼克一起感受身处战争时的彷徨。曾经因为热爱自然相信生命永恒的尼克在战争中不断遭遇伤亡，于是他“时常夜间独自躺在床上，想到死就害怕”（189），他甚至不敢入睡，因为他总认为“如果我在黑暗中闭上眼，忘乎所以，我的灵魂会出窍”（159）。有一天，另一位无法入睡的士兵约翰试图劝尼克赶紧结婚，因为“结了婚就不会犯愁了”，而且他还试图给尼克娶什么样妻子的意见，在约翰一连串的问题和建议下尼克的回答是“我不知道..... 我会考虑的..... 我会考虑的..... 行啊.....”，他似乎听进去了，但最后的“我们想法睡一会儿吧”（167）揭示了尼克的真实想法。也许他只是想聊个天打发时间，而当约翰提到了婚姻时，他并不打算接受约翰的建议，所以他想尽快结束这个对话。另一方面，很具讽刺意味的是，约翰结了婚，可他依然也是夜间睡不着，说明结婚了并不会如他自己所说“不会犯愁了”。到后来，虽然尼克还是结了婚，但是他的妻子海伦是缺场的。即使是在《新婚之日》的小短篇里，能发出声音的只有尼克的朋友。叙述者用了极具隐喻意义的“路又黑又长”（256）来暗示两人未来婚姻之路的坎坷。

尼克还陷入了关于种族文化身份的困惑，这主要体现在尼克和其他人对印第安人的态度的不同之处。海明威主要是通过身体体味的书写来表现这一困惑的。印第安人在白人眼里都是一个味儿，这表明在白人世界印第安人是一个没有个性的群体。正如乔·加纳一家，他们认为印第安人身上的味道和臭鼬的味道无异，甚至连穿着都是一模一样的。然而，在尼克看来，印第安人发出的是“股甜腻腻(sweetish)的气味”（27）。“甜腻腻”表现了尼克的复杂情绪。一方面他认为印第安人“都是挺好的”（296），因为他有一个印第安女友，而且是这个印第安女友让他认识了两性问题。所以当加纳一家打趣他的印第安女友的时候，他内心底是感到很高兴的。另一方面，他并没有摆脱他的白人优越感。在他看来，“印第安人没有一个发的..... 印第安人就是这副德行”（28-29）。所以，当他知道他的印第安女友可能还有另一个男友的时候，他并没有真真切切地受伤，“如果我这么难受，我的心一定碎了”（22）。因为在感受爱情伤痛之前，他更多的应该是庆幸自己不用再纠结于印第安人和白人的距离，所以“他醒了老半天才想起自己的心碎了”（22）。尼克对印第安人这种若即若离的复杂情绪体现出海明威敏锐的种族伦理批评意识，正如有的评论者所言，“海明威对印第安人、黑人、犹太人等他者表

现出一种变化不定的矛盾心理”（于冬云 139）。

由于尼克对自己一系列需要确立的伦理身份都没有积极确认甚至是逃避，所以他始终无法做出正确的伦理选择。《大双心河》就通过使用不可靠叙述¹来表现尼克无法确定社会身份时的彷徨。文本中出现了多次“叙事内不可靠性”，即叙事者在叙述尼克从战场回到塞内镇这一事件时会出现不一样的“声音”和评论。第三人称外视角模式的叙述使叙述者就像一台摄影机，缓慢移动镜头，让读者看到尼克的动作，但是却无法知道他的思想和感情。但是叙述者偶尔会跳脱这一视角，向读者展示尼克的内心活动：“尼克好久没有观望过小溪，没有见过鱒鱼了……随着鱒鱼的动作，尼克的心抽紧了。过去的感受全部都上心头”（196-197）。“好久”和“过去”两词使叙事产生了不可靠，因为外视角叙事者是不可能知道尼克过去经历过什么以及尼克正在想什么。很显然，叙事者在这里采取了全知视角，他暴露了对过去情况的了解，同时也表现出尼克内心世界的矛盾混乱，正如里蒙·凯南（Rimmon Kenan）所说“不可靠的叙述者的标志……是他对故事所做的描述和/或评论使读者有理由怀疑”（凯南 180）。这样的评论使读者开始怀疑尼克做出到塞内镇森林深处扎营不愿离开的选择真正原因，即尼克是尝试进入社会确立自己社会身份失败之后在自己热爱的大自然寻找庇护，因此“他感到已把一切都抛在脑后了”（197），他要摆脱伦理身份不确定带来的困惑。

文学伦理学批评强调“要回到历史现场，在特定的伦理环境和伦理语境中分析文学作品”（聂珍钊 9），因此回到海明威创作《故事集》的历史背景，我们会发现“在海明威看来，20世纪是个黑暗的、空白的、多元的时代。西方世界已经失去了目标，背叛了人类的精神和感情。人类需要拯救自我，自己的精神和感情”（杨仁敬 193），这也就是人们熟知的“迷惘的一代”。从这个伦理语境出发，我们就能理解面对暴力和战争，为什么尼克无法明确自己应当承担的社会责任，进而无法确认自己的社会伦理身份，陷入一片迷惘。那么，尼克会怎样拯救自我，走出迷惘呢？

三、尼克的自我道德教诲

在尼克确定“自然之子”伦理身份和经历社会伦理身份困惑的时候，都获得了一种帮助，这种帮助就是道德教诲。文学伦理学批评认为文学的基本功能是道德教诲；道德教诲是人类在经过自然选择之后，进行伦理选择的重要途径（聂珍钊 248-249）。阅读、写作和回忆在一定意义上说都是文学创

1 关于“不可靠叙述”的不同定义，可以参见【丹麦】佩尔·克罗格·汉森文，尚必武译：“不可靠叙述者之再审视”，《江西社会科学》，7（2008）：31-40。笔者在这里主要用的是论文第38页提到的叙述内不可靠性，即：不靠性为很多的话语符号所建构和支撑。凯瑟琳·沃尔称之为“声音”，即在叙述事件的某个地方的插话和评论，以及一些没有解决的自我矛盾的地方。

作中必不可少的环节。既然文学的基本功能是道德教诲，那么阅读、写作和回忆本身就具备了道德教诲的功能。在《故事集》中，尼克正是通过这些途径进行着自我道德教诲和心理疗愈。通过这些教诲，尼克进一步确认了自己和自然的伦理关系，同时也避免了在不确定社会伦理身份时的彻底迷失。正是通过道德教诲，尼克拯救了自己的精神和感情，并且他将在道德教诲的指引下继续前行。

写作对尼克的道德教诲作用主要表现在帮助他在社会环境中摆脱对“自然之子”伦理身份的过度依赖，彰显主体性，积极确立社会伦理身份从而做出正确的伦理选择。“要是能写出来的话，就能排遣开了。他曾写出许多事情，就都排遣开了”（289）。这是尼克在《两代父子》中的内心独白。它明确表明尼克通过写作排遣了内心的不悦，表明了写作的心理压力排遣作用。《论写作》是海明威发表《在我们的时代里》时从《大双心河》中删掉的结尾部分。对于这一部分，评论家的争议很多。包括《故事集》编者菲利普·杨在内的许多评论家都认为海明威在这个短篇里完全把自己和尼克等同起来。但是，黛布拉·摩多摩格（Debra Modellmog）基于尼克是作品中的“隐含作者”的前提，提出“写作使尼克必须面对他在《大双心河》中想要逃避的内心的混乱”（Modellmog 607-608）。笔者同意这样的观点，正如韦恩·布斯（Wayne Booth）所言：“隐含作者是真实作者的‘第二自我’。读者对隐含作者的感觉，不仅包括从作品所有人物的行动和受难中得出意义，而且还包括他们的道德和情感”（布斯 74-75）。也就是说，作为叙述者的尼克通过写作对故事中的尼克进行道德教诲，使故事中的尼克不至于完全依赖于他“自然之子”的伦理身份而完全逃避社会责任。

阅读这一教诲方式使尼克慢慢走出了伦理身份的困惑。《三下枪声》中，当尼克想到自己总有一天会离世而去时感到非常难受，就选择在过道中借夜明灯看《鲁滨孙漂流记》，希望“借此忘却生命总有一天会断送这一事实”（4），阅读让他重拾勇气。《最后一方清净地》中，兄妹俩是要逃避追捕的，但如前文所述，他们并没有把这视为此行的重要目的，所以了解尼克的妹妹在准备必需品的时候还带上了好几本书，故事以尼克要为妹妹大声朗读《呼啸山庄》结束。阅读让兄妹俩能忘却可能存在的危险。同样，在《大双心河》中，尼克本人也表达了强烈的阅读愿望：“但愿自己带了些书报来。他想阅读。他不想继续向前走进沼地”（216）。阅读让尼克深化了对生命的认识，让尼克接受了心灵的洗礼，让他即使是在压抑、危险的处境也能保持内心的平静。另一方面，正是因为阅读，尼克意识到自己依然有社会责任，不能一味沉心于自然。可以说，阅读让尼克不再是一个对自己身份“迷惘的人”。

回忆给尼克的道德教诲作用主要表现为回忆使尼克正视自己应当确立的社会伦理身份和应承担的社会责任，重新振作起来。在短篇《我躺下》中，海明威中运用了第一人称回顾性叙述。在这样的叙述模式中，通常有两种眼

光在交替作用：一为叙述者“我”追忆往事的眼光，另一位被追忆的“我”正在经历事件时的眼光（申丹 238）。故事开始，叙述者“我”就通过“那天夜间”、“那年夏天”（159）这样的短语就向读者暴露了他的存在。叙述者“我”从现在的角度去回忆战争期间一个个失眠的夜晚，是叙述自我。在具体回忆的事件中，“我”身临其境，是回忆自我。关于叙述自我和回忆自我交替出现的叙事模式所起到的作用，有学者指出：“叙述自我则可以用现在的眼光去观察往事，同时也可以现在的眼光去审视经历中的‘我’。叙述自我，通过‘想想’与回忆来重组经验自我曾经的经历，通过叙述将其重新展现，并在叙述中获得反思，从而达到情感宣泄与心灵救赎的目的”（方小莉 22）。詹姆斯·费伦（James Phelan）也区分了作为战士的尼克和作为叙述者的尼克，指出“叙述者尼克的回忆是为了让战士尼克重拾自律且有治愈力的自我”（Phelan 53）。也就是说，因为战争困扰而无法入睡的尼克通过回忆的方式宣泄了压抑的情感，重拾面对生活的勇气，获得了自我心灵的救赎。《两代父子》中，作为儿子的尼克和他父亲的关系也是通过回忆的方式呈现出来的。大篇幅的回忆为尼克提供了从伦理角度重新认识“父亲”这一伦理身份的机会。对父亲的怀念和回忆为尼克提供了道德范例，使他获得了如何做父亲的道德经验。

综上所述，我们可以看到《故事集》中的尼克对他的伦理身份的认知经历了从确定到困惑的过程。少年时期的尼克因为和自然的亲密接触顺利地确认了作为“自然之子”的伦理身份。在走向社会的成长过程中，他却由于对“自然之子”身份的过度依赖而陷入了对其它伦理身份的困惑中。他无法确认自己作为朋友、恋人、士兵、丈夫以及父亲的身份，因而无法做出正确的伦理选择，即承担与这一身份相对应的社会责任。尼克的这种困惑复杂的情绪表现了典型的“迷惘的一代”的特征。如有学者指出的那样，“海明威在创作中追求的是对人生进行深刻的反思，他把一枚浸透人生各种滋味的果子给你去咀嚼，而他自己却含而不露，从不直言他所品出的滋味”（王守义 62）。海明威通过《故事集》的书写也表达了自己对自然的情愫和对社会的迷惘。但同时，就像尼克通过阅读、写作和回忆等方式进行自我道德教诲最终必将走出伦理身份的困惑一样，作品本身也蕴含了海明威对未来的希望。

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赫列勃尼科夫《诗集》的原始主义艺术特性

The Primitive Characteristics in Velimir Khlebnikov's *The Izbornik of Poems*

王 永 黄锦南 (Wang Yong & Huang Jinnan)

内容摘要：赫列勃尼科夫是俄罗斯最重要的未来主义诗人之一，是未来主义诗歌最重要的分支立体未来主义的领袖人物。立体未来主义倡导诗歌与绘画的结合，诗歌创作深受绘画的影响，赫列勃尼科夫的《诗集》是其典型代表。本文从艺术学视角出发，揭示了《诗集》表现形式及内容上的艺术特征，并进一步研究了艺术特征与诗人创作理念之间的关系，由此得出结论：《诗集》无论是其表现形式还是主题上，均体现出原始主义艺术的特征；《诗集》采用原始主义艺术创作手法，旨在探索语言的原始状态，从而构建一种“永恒世界”通用的“星际语言”。

关键词：赫列勃尼科夫；《诗集》；原始主义艺术；“星际语言”

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Title: The Primitive Characteristics in Velimir Khlebnikov's *The Izbornik of Poems*

Abstract: As a leading figure of cubo-futurism, Khlebnikov was regarded as one of the most significant Russian Futurist poets. Cubo-futurism was the main school of Russian poetry in the Futurist movement. Cubo-futurist poets advocated the integration of poetry and painting. Therefore, their poetic works were deeply influenced by painting. *The Izbornik of poems* of Khlebnikov is such a typical representative. Hence, we chose to analyze the artistic features in both the expression forms and the poetic content of *The Izbornik of poems* from an artistic perspective. Moreover, we tried to reveal the relationship between the poem's artistic features and the poet's creative concept. We concluded that primitive artistic characteristics exist not only in the form, but also in the theme of *The Izbornik of poems*; and the use of primitive expression forms in *The Izbornik of poems* is

mainly aimed at exploring the original source of language thus to reconstruct a “star language,” which is universal in the “eternal world.”

Key words: Khlebnikov; *The Izbornik of Poems*; Primitivism; Star language

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莫斯科新圣女公墓的作家区，静静地横卧着一尊古老的西徐亚石像，石像下安息的是俄罗斯最重要的未来主义诗人——维利米尔·赫列勃尼科夫（Велимир Хлебников）。



（赫列勃尼科夫墓）

赫列勃尼科夫 1885 年出生于伏尔加河下游河口阿斯特拉罕附近的草原上，父亲是鸟类学家，母亲是历史学家。他先后就读于喀山大学物理数学系的数学专业及自然科学专业，曾从事鸟类研究并赴达吉斯坦和乌拉尔北部地区进行野外考察。1908 年，他在克里米亚结识了著名象征主义诗人维切斯拉夫·伊万诺夫，在其影响下，创作了近百首诗作。同年，他转入彼得堡大学数学物理系的自然科学专业。在彼得堡，他得以真正转向文学创作，进入了彼得堡的先锋诗人和画家的圈子，参加了《评判者的陷阱》（1910，1913）《给社会趣味一记耳光》（1912）《残月》等诗人合集的出版。其创作生涯虽然短暂，却留下了 700 多首抒情诗、40 多首叙事诗、40 多部戏剧和诗剧作品，以及 60 多篇小说和散文诗。此外，他还对文学艺术创作及人类文明进程进行深入思考，写下了“我们的基础”“论时间”“论当代诗歌”等数十篇专论。

作为立体未来主义诗人的精神领袖，赫列勃尼科夫受到了同时代人的赞誉。早在 1909 年，俄国诗人库兹明（М.Кузмин）就在日记中写道：“他（赫列勃尼科夫）的作品中有一种卓尔不凡、与众不同的东西……朗读自己作品时显示出惊人的天才……”（Чалмаев 211）马雅可夫斯基宣称，“我毫不怀疑，

无论是我，还是我的朋友们——诗人阿谢耶夫、布尔柳克、克鲁乔内赫、卡缅斯基、帕斯捷尔纳克，都始终不渝地视之为我们的一位诗歌导师，是我们诗歌斗争中最伟大、最正直的一名骑士”（Маяковский 158）；曼德尔施塔姆则认为赫列勃尼科夫是“发现者、科学家、预言家……”，赞叹“赫列勃尼科夫的创作中无所不有”（Харджиев 336）。

然而，作为“20世纪诗歌中的‘特殊现象’”（俄罗斯白银时代文学史，IV：196），赫列勃尼科夫的创作涉及语言、文化、思想、自然科学等领域，其自造语言的难度、思想的深度、文化面之宽度，致使人们“对他的承认只不过停留在‘说一说’的阶段”（同上：197）。当然，“说一说”并非缺乏有分量的研究成果。事实上，雅各布森（Jakobson R.）、蒂尼亚诺夫（Тынянов Ю.Н.）、加斯帕罗夫（Гаспаров М. Л.）、维诺库尔（Винокур Г.О.）、巴朗（Варан Н.）、萨拉比扬诺夫（Сарабьянов Д.В.）等俄罗斯及欧美学者从文学、语言学、艺术学、文化学等视角对赫列勃尼科夫的创作做了宏观或微观的分析和阐释（Мир Велимира Хлебникова）。但国内研究者对诗人的创作却望而却步，迄今鲜有成果问世，而“无所不有”的赫列勃尼科夫具有不断深入挖掘的研究价值。

在有关赫列勃尼科夫作品的研究中，诗人1914年出版的《诗集》是不可或缺的。虽然在诗人的创作历程中，第四阶段（1917-1922）才是鼎盛期¹，但从艺术创作的实验性来看，第二阶段（1910-1914，立体未来主义时期）创作的作品已充分体现出其独特的艺术观、世界观、文化观，构成了后两个阶段创作的基础。尤其是诗人对立体主义、未来主义、原始主义艺术创作理念的吸收，反映出诗人包罗万象的思想。因此，对这一时期作品的研究，不失为诗人创作密码的一种解密途径。

《诗集》由两部分组成。第一部分系印刷排版的12首纯诗歌作品，既有诗人选自《残月》《给社会趣味一记耳光》《印象派画室》等合集的旧作，也有新作。第二部分是石印术制作的两首新诗：“致皮隆”和“加利西亚之夜”。这两首诗由画家费洛诺夫手写而成，并配有画家的11幅插图。《诗集》无论从形式还是内容上均体现出原始主义艺术的特征，而诗人对原始主义艺术的青睐，与他对“永恒世界”、宇宙“统一”以及“星际语言”的探索密不可分。

一、《诗集》形式上的原始主义艺术特征

立体未来主义诗人倡导诗歌与绘画的结合。赫列勃尼科夫在宣言中宣称，“我们希望语言勇敢地追随绘画前行……”（Харджиев 72）。《诗集》可被视为这一宣言最佳的诠释。

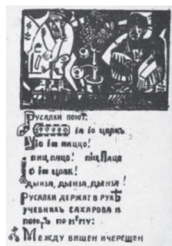
《诗集》形式上的原始主义艺术特征首先表现在诗集名称上。赫列勃尼

1 据统计，诗人1907-1922年期间共创作了700余首抒情诗，而1920-1922这3年高达260首。

科夫采用 *изборник* 这一古词代替现代俄语的 *сборник* 一词。*изборник* 特指 11-17 世纪时期的古俄语文献类型，如著名的古俄语文献《斯维亚托斯拉夫文献汇编》（1073 年）。其主要的形式特征为：手写、某些字母突出、配有插图。对比《斯维亚托斯拉夫文献汇编》和《诗集》第二部分可以看出，两者在形式上高度相似。



《斯维亚托斯拉夫文献汇编》



赫列勃尼科夫《诗集》

其次，最能体现原始主义艺术特征的是《诗集》的 11 幅插图。原始主义艺术 (Primitivism) 20 世纪产生于法国，以画家亨利·卢梭 (Henri Rousseau) 为其代表。原始主义画家将古代艺术视为样板，主张艺术创作应返回原始艺术的风格中去，追求天然、淳朴、原始性的表现形式，画作带有“原始气息”。俄国的原始主义艺术不仅吸收了卢梭的稚拙、淳朴、回归自然的艺术理念，还从古老的俄国民间文学和文字、木版画等民间工艺品中汲取营养，复活了东斯拉夫神话的多神教中的诸神的形象，具有鲜明的俄国民间工艺的风格。菲洛诺夫所做的插图，采用其独特的解析立体主义绘画手法，将多神教石雕或木雕神像与俄国原始主义绘画中常见的村舍、农民、士兵以及马、羊、鱼等动物叠加在一起，原始主义艺术特征极为明显。“致皮隆”的两幅插图尝试“在新的条件下复活古代俄罗斯的手写书的成书手法，进入罗斯受洗前的东斯拉夫神话世界，这里由皮隆及其他多神教神灵主宰。” (Будетлянский клич 69) 皮隆是古斯拉夫神话中的雷神，是多神教时期大公的保护神。罗斯受洗 (988 年) 时，雷神等诸神像被弗拉基米尔大公下令抛到第聂伯河中，而当神像处于某个特定的位置时，会带来灾难。“致皮隆”一诗作于 1909-10 年，俄日战争 5 周年之际。1905 年 5 月，俄国海军在日本对马岛惨败，赫列勃尼科夫认为这就是俄国抛弃多神教的因果报应，正因如此，菲洛诺夫画笔下的神像也格外威严。第二幅插图不仅有雷神像和其他神像，还在右上角复原了古埃及贝斯神像。贝斯是古埃及神话中的神祇，他个子矮小，相貌丑陋，却天性乐观，是老百姓尤其是老弱病残的保护神，可以给人们带来幸福和好运。

如果说“致皮隆”的两幅插图弥漫着古斯拉夫和古埃及的神话气息，那么，“加利西亚之夜”的 9 幅插图则展现出东斯拉夫民族的古老文化。神像、农夫、村舍、家禽、野兽、游鱼、鲜花，描绘出一幅又一幅古老大地上悠



卢浮宫馆藏贝斯神像



“致皮隆”第二幅插图

然自得的田园画卷，原始而淳朴。其中一幅“花瓶中的花”则融合了两河文明及乌克兰民间文化。带眼睛的花瓶可以追溯到苏美尔时期，从乌鲁克城出土的器皿上即有这样的纹饰，花瓶瓶身的图案严峻而带有神秘色彩。而花瓶中的野蔷薇是乌克兰民间创作中女鬼玛芙卡（玛娃）的化身。研究者帕尔尼斯（А.Парнис）认为，带眼睛的花瓶是玛芙卡的“隐喻性肖像”（Поляков 280）。克鲁乔内赫则指出了菲洛诺夫的绘画与赫列勃尼科夫的诗作之间的相似性，这种相似不是字面意义上的，而是两人艺术世界的有机联系。“花瓶中的花”一画，每一朵花都开得很盛，充满整个画面，挤满整个花瓶，让人感觉空间的逼仄，也预感到盛开后的衰败，与诗作中传递的“转瞬即逝”的情绪非常契合。无论是菲洛诺夫还是赫列勃尼科夫，在这个诗集中用自己独特的人道主义理想来对抗人性缺失的现实，将人类的未来托付给原始的纯洁形象。

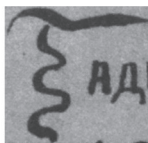
在诗歌文字的书写方式上，菲洛诺夫进一步发展了中世纪书籍抄写的传统，使得“每个词的各个字母酷似古老的文字，就像埃及文字那样在我们的眼皮底下复活”（Поляков 279）“致皮隆”一诗的标题中，两个字母 П 和 Н 包含了弓箭，那是雷神手执的箭矢；Днепр（第聂伯河）的首字母 Д 化身为河面上漂浮的神像；多处出现的字母 Ъ（ять），被写得像鲜花、荆棘或十字架；字母 Р 的尾部延长，化成美人鱼的鱼尾；字母 Г 像一条游动的蛇；шиповника（野蔷薇）一词中的字母 к 用花苞和花刺缀成。在“群山间……”这节诗中，画家将其中几个字母突出，并构成某种图案，起到暗示的作用。如将字母 О、К、Х、Л 大写；同时，О 被描绘成脸庞，将 она（她）一词形象化；字母 К 包含了若干朵娇艳的蔷薇花，似在隐射赫列勃尼科夫曾经爱过的女孩 Ксения（克谢尼娅）；властных（威严的）一词中的 Х 和 Л 两个字母大写，不能不令人联想到赫列勃尼科夫（Хлебников）本人。



包含弓箭的字母 П 和 Н



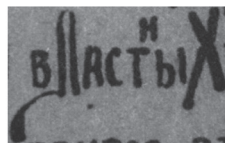
化身美人鱼的字母 Р



像游蛇的字母 Г



花苞和花刺缀成的字母 К



突出的字母 Х 和 Л

总体而言,《诗集》无论是插图还是文字排版,非常契合书名 *Изборник* 一词的内涵,充满原始的意味,与赫列勃尼科夫的诗作堪称珠联璧合。

二、《诗集》内容上的原始主义艺术特征

如上所述,《诗集》的两首石印诗字体拙朴,部分字母采用艺术手法突出处理,插图带有鲜明的原始主义艺术风格。菲洛诺夫的这种艺术创作灵感无疑来自于赫列勃尼科夫的作品本身。《诗集》收入的 14 首诗,无论从主题还是语言上,均体现出浓郁的原始主义艺术气息。在主题上,有的诗作涉及古斯拉夫主题,或描绘东斯拉夫民族历史,或刻画多神教诸神形象;有的则涉及俄国民间创作中的巫师和神灵鬼怪。第一类主题的语言较多地使用古词、古俄语词、教会斯拉夫词,以及俗语词和方言词等;第二类主题的语言较多使用无意义的音节组合,体现出诗人的“超理性语言”理念。

赫列勃尼科夫的创作题材广泛,有神话题材、民间文学、斯拉夫主义题材、东方题材。如他本人所言,“‘维德拉的儿女们’发出亚洲的声音,‘少女之神’发出斯拉夫的声音,‘卡’¹发出非洲的声音”(Велимир Хлебников, Т.1 7)而这亚洲的、非洲的声音,都与神话或斯拉夫民族的历史文化相关。诗人用纵横捭阖的手法将读者带入遥远的古罗马、古斯拉夫时期,这种特征同样体现在《诗集》中。

古斯拉夫主题是《诗集》最主要的题材。第一首“我的眼睛像秋天……”,以其带有波兰色彩的用语“Не позволям!”²以及词语 *шляхтич* (波兰的小贵族³)、*пан* (“潘”,历史上波兰、立陶宛、乌克兰、白俄罗斯对权贵的尊称)、*жупан* (古代乌克兰人和波兰人穿的男短上衣),引入了波兰及立陶宛历史人物萨佩格⁴。在“假人”和“装腔作势的实验”两首诗中,也有 *панна* (“潘”的女性)一词。有研究者认为,“潘”的词源可以追溯到古斯拉夫语,从西徐亚的 *gurān(a)*- 演变而来的 *гърапъ*。加利西亚于 1434 年开始采用这一贵族封号,由此,这首诗与《诗集》的最后一首诗“加利西亚之夜”构成有机的呼应关系。

加利西亚是历史上东欧的一个区域,大致位于现在乌克兰西部及波兰东南部地区,10-11 世纪曾为古代俄国的领地;12-14 世纪,乌克兰人在该地区建立了加利西亚-沃里尼亚王国,其领土包括了现乌克兰和白俄罗斯的西部地区以及波兰和匈牙利东部的部份地区。此后的若干世纪曾被波兰王国和立

1 “维德拉的儿女们”被称为“超小说”,融小说、戏剧、诗歌于一体,作于 1911-1913;“少女之神”为诗剧,作于 1911 年;“卡”系中篇小说,作于 1915 年。

2 波兰语: *Nie pozwalam*, 17-18 世纪波兰立陶宛王国议会的法律用语“反对”。

3 *шляхтич* 是 *шляхта* 的派生词。*шляхта* 系波兰王国、立陶宛大公国等地的特权阶层,后被俄国(自彼得大帝时期至 19 世纪中后期)及其他斯拉夫国家用于泛指“贵族”。

4 Лев Иванович Сапега, 1557-1633, 立陶宛大公国的大臣,维尔诺省军政长官,在俄国混乱时期曾协助扶持伪德米特里为俄国沙皇,参加过立窝尼亚战争。

陶宛王国两国瓜分。加利西亚主题不仅集中体现在“加利西亚之夜”一诗中，而且“加利西亚的玛娃”同样以加利西亚为背景，采用了乌克兰民间创作中女鬼玛娃的形象。

“致皮隆”同样取材于斯拉夫神话。雷神皮隆有银色的头颅、金色的胡子。神像常用橡木雕刻，因此，“致皮隆”的副标题标明“取自‘木雕神像’一书”。在俄国古代文献《往年纪事》中也有关于皮隆的记载，是弗拉基米尔大公时期的诸神之首，骑着战马，手执雷箭。在诗人笔下，斯拉夫民族的命运同历史事件密切相关。“致皮隆”一诗，是诗人对俄国在对马岛战役惨败的思考，他将失败同俄国历史上的“罗斯受洗”联系在一起。皮隆曾是基辅大公的保护神：

弗拉基米尔不是也把你的
镀金长胡子赠给罗格尼奥达？

然后，弗拉基米尔大公决定接受基督教后，下令基辅罗斯的臣民到第聂伯河受洗，并把多神教偶像抛入第聂伯河。在诗人看来，古斯拉夫民族神像的毁灭，已然埋下了战败的种子：

难道不是你预言那些
把你推下河的民族
必遭对马岛的命运？

……

于是，我们开始相信关于皮隆的神话！

“像奥斯特拉尼察那样雷霆万钧……”展现了波澜壮阔的斯拉夫民族的历史画卷。这里登场的不仅有1638年反波兰农民起义领袖、乌克兰首领奥斯特拉尼察，还有参加过1812年卫国战争的顿河哥萨克首领普拉托夫和巴克拉诺夫、14世纪在库利科沃会战中战功赫赫的谢尔盖三圣一修道院修士奥斯利亚比亚、16世纪的哥萨克首领叶尔马克等人物，他们都是斯拉夫民歌中颂扬的英雄。

有些诗句产生古罗马主题的联想，如“假人”一诗中的诗行：“当某人失去鼻子 / 他会去买蜡回来”令人联想起古罗马文学家阿普列乌斯（公元2世纪）长篇小说《金驴记》中的故事。巫婆割去了泰利伏龙的耳朵和鼻子，给他安上用蜡做的替代器官。

以上主题的原始性部分表现在诗作的词汇上。《诗集》中有不少古词和方言词。如古俄语词 *рень*（浅滩）、*снём*（众多，一大群）、*уне*（最好）、*навье*（死者）、*оран*（劳作）；古词 *вящий*（最大）、*елень*（鹿）、*пря*（帆

拱；冲突）；方言词 *коромысло*（蜻蜓；大熊星座）、*трущобы*（密林；极其危险之地）、*ячанье*（哀号）；*шугай*（上衣；稻草人）等。

民间创作和多神教的印记表现为“超理性语言”。“诗人把民间创作——神话的文化看做自古以来的道德价值的基础。在这种文化中蕴含着能使人们和解和团结的全人类因素的根源”（阿格诺索夫 387）。民间语言的玄妙语，这些难以理解的词像魔法师的咒语，像萨满教巫师的谰语，充满宗教神秘感，可以对人的命运产生影响。《诗集》中的“波贝奥比嘴唇在唱”是研究者最常引用的诗作，视其为对超理性语言所做的最有名的试验：

波贝奥比嘴唇在唱，
 维艾奥米眼睛在唱，
 彼艾艾奥眉毛在唱，
 利艾艾艾依脸庞在唱，
 格齐格齐格泽奥项链在唱，
 于是，在画布上相应地
 浮现出一张面容。

诗人对俄语词的字母、词素、词根进行语义实验，在他看来，每个词开头的辅音字母承载了重要的语义内容。在“世界画家”一文中，诗人逐一列出 18 个辅音字母的意义，如 Б“是沿直线从不同方向运动的两个点相交，然后其中一点被另一点撞击后折回”，Г“是最大幅度的振动”。此外，辅音字母还可以赋予色彩，М—深蓝色，В—绿色，Б—红色，С—灰色，Л—白色等（Велимир Хлебников, Т.6-1 154-156）。因此，以上这首诗也可以意译为：红色的嘴唇在唱，/ 绿色的眼睛在唱，/ 黑色的眉毛在唱，/ 白皙的脸庞在唱，/ 金色的项链在唱。借此，诗人完成了对颜色词的原始词实验。这种观点也得到了曼德尔施塔姆的响应，认为“辅音是词根的乘数，是词根活跃程度的指数……辅音是语言繁衍的种子和保证”（Мандельштам 261）。

“加利西亚之夜”中现身的水仙女们，手捧萨哈罗夫的《俄国民间故事》唱道：

依啊—依奥—佐尔克
 齐奥—依啊—帕佐！
 皮茨—帕佐！皮茨—帕佐！
 依奥—依啊—佐尔克！
 登扎，登扎，登扎！

这些毫无意义的音节并非毫无意义，赫列勃尼科夫在 1919 年的一篇文章

中阐明了自己的观点：“……咒语之类的神灵用语，诸如‘沙加达姆 - 马加达姆 - 维加达姆 - 皮茨 - 帕茨 - 帕佐’等，是一连串的音节，它们不是理性所能理解的，是民间言语中的超理性语言……神灵用语不需要寻常的理性来评判”（Велимир Хлебников, Т.4 393）。

由此可见，《诗集》借助古词和超理性语言，将读者的视野带到古老的东斯拉夫土地上，展现了东斯拉夫民族历史及民间故事的一幕幕场景。

三、《诗集》的原始主义艺术本质

赫列勃尼科夫倡导语言追随绘画前行，这种理念在《诗集》中既体现为原始主义艺术的表现形式，又体现为带有原始主义特征的主题和词语。诗人借鉴原始主义艺术的创作手法，完成了《诗集》编选及印刷出版，同其创作理念及艺术追求密切相关。

从赫列勃尼科夫的作品中可以看出，诗人内心有一种探索存在与世界观等根本问题的渴求，这种世界观被称为“俄国宇宙主义”。“俄国宇宙主义者”运用各种方法探索宇宙奥秘，如纯科学的方法、神话诗学的方法、神秘主义的方法等。因此，与纯科学相关的数、与神话学相关的古老文化、与神秘主义相关的法术等均成为诗人的研究对象，成为艺术观察和灵感的目标。在诗人的艺术世界中，“俄国宇宙主义”体现为对“永恒世界”的向往以及对“星际语言”的探索。

在诗人看来，世界上人与人之间、不同民族之间、不同种族之间以及所有生物之间构成一个永恒世界，在这个“永恒世界”中，人与自然和宇宙构成一个统一体。在“我的周围是草原、鲜花……”（1909）一诗中，诗人写道：

大自然，我曾经和它生活在一起。

这里的“我”泛指人类，没有时间的界限。诗句散发出对远古时期人与自然和谐相处景象的向往，梦想“我”本人以及现代甚至未来的人类永远是大自然的朋友而非破坏者。虽然身为未来派诗人，但赫列勃尼科夫的创作理念不同于意大利未来派诗人对工业发展及现代文明的渴求，反而从中看到了工业化进程对大自然造成的破坏，强烈地意识到欧洲文明与大自然之间越来越尖锐的冲突。人类在时空中的真正统一，是整个宇宙的统一，“本质上根本不存在什么时间，不存在什么空间，一切都是永恒的、一以贯之的，其深层的本质是永恒不变的唯一”（Винокур 207）。这一思想贯穿了赫列勃尼科夫诸多作品，使诗人的艺术世界充满了人道主义思想。而原始主义艺术回归大自然，拙朴和纯粹。因此，原始主义艺术手法成为诗人探索“永恒世界”的一块敲门砖。

要达到“永恒世界”的理想，需要构建一种能实现不同文化不同民族之

间相通的“星际语言”。正是基于这种思想，赫列勃尼科夫从词源上寻找不同时代、不同国家、不同语言之间的联系，试图找到或重建所有民族通用的语言，一种以俄语词根为基础的独特的世界语。诗人立足于古斯拉夫词的词根，通过将不同词拆解融合的方式创造新词，如他本人所言，“不脱离词根的范围，找到能把一个斯拉夫词语变成另一个词语的魔法石，自由融合斯拉夫词，这是我对词的第一种态度；认识到词根只是字母之弦构成的幻影，由此找到世界上各种语言由字母单位构成的统一特征，这是我对词的第二种态度。此即通向世界超理性语言之路”（Велимир Хлебников, Т.1 8）。

也就是说，超理性语言即星际语言的建构途径，是找到音与原始文字之间的联系，发现由音到字母、由字母到词根、由词根派生词的语言生成规律。在他看来，“词根是神赐的，词语是人类创造的”（Самиздат века 121），“不朽的”词根富有自我发展的能力，可以像植物一样生长，以此为基础，不断创造新词，可以构筑起由过去、现在和未来的时间连续统架起的空间，使“星际语言”成为“永恒世界”的桥梁。

对词根与音的运用并非赫列勃尼科夫独有。雅各布森指出，童话、童谣、壮士歌、顺口溜、咒语等俄国民间创作中均有把玩词根或词缀的传统，“但只有在新诗中，特别是赫列勃尼科夫这里，才成为一种自觉的、合法的手段”（Якобсон 55）。可以说，赫列勃尼科夫在《诗集》中所做的语言实验，其本质是试图回到语言的原点，追寻语言创立之初的原始之源，如某些元音、辅音所能引起的联想，将已经“用烂”的词彻底抛弃，尝试找到能为人类普遍理解的音，再由这些音来重构新的语言，使之成为“星际语言”，“一种可以由音本身来表达意义的未来的世界语言”（Перцова 359）。而《诗集》的原始主义艺术风格的插图，也非常契合文字的图画记事起源说，因为“古老的文字中都有象形字符乃至图画性极强”（李葆嘉 60）。

综上所述，赫列勃尼科夫的《诗集》从古老文化和民间文学艺术中得到灵感，具有原始主义艺术特征，体现了诗人的创作理念。弥漫着稚拙和原始特征的绘画、古老的巫术咒语的音符，无不指向语言之源；古斯拉夫文化、古埃及和古希腊罗马文化的汇集，构筑起一个同根同源的世界文化；而能够将这种文化联系在一起的是为世界共同的“星际语言”。

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后现代主义文学的美学原则

The Aesthetic Principle of Postmodernism in Literature

胡全生 (Hu Quansheng)

内容摘要: 后现代主义文学的美学原则是“什么都行”，其具体表现则是“双重编码”，即一手拿着传统的通俗编码，一手拿着超越传统的精英编码，“既精英通俗并存，又崭新陈旧共处”。从小说方面看，精英编码指其形式试验，主要包括元小说、戏仿、拼贴画、碎片化、抹除法、叉式情节、影子人物，而通俗编码指其对通俗小说的借用或混用，尤其是科幻小说、哥特式小说、侦探小说、西部小说、历史小说、校园小说、言情小说和色情小说。

关键词: 美学原则；双重编码；试验性；通俗性

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Title: The Aesthetic Principle of Postmodernism in Literature

Abstract: The aesthetic principle of postmodernism in literature is “anything goes”. It is illustrated by “double coding”, whose point is double itself, meaning holding the popular code in one hand and the elite code in the other, or in Jencks’s words, “both elite/popular and new/old”. In the field of fiction, the elite code refers to formal experiments chiefly with metafiction, parody, collage, fragmentation, erasure, bifurcating plot, and figure character, whereas the popular code refers to the use or blurring of popular genres, particularly science fiction, gothic novel, detective fiction, western novel, historical fiction, campus novel, sensation novel, and porn fiction.

Key words: aesthetic principle; double coding; experimentalism; popularism

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一、后现代主义文学的美学原则：“什么都行”和“双重编码”

后现代主义文学的美学原则是“什么都行”。应该说，这一原则针对的

是现代主义文学只求“精英”不要“通俗”而言的。戴比兹认为，后现代主义文学“天生的就是一副‘什么都行’的态度”（Dybicz 102）。“什么都行”是在70年代提出来的（Huysen 202）。概括地说，“什么都行”表现在两个方面，即试验性和通俗性，也就是詹克斯和艾柯（Umberto Eco）说的“双重编码”。詹克斯是在1978年提出“双重编码”这个概念，在1986年的《什么是后现代主义？》中详细地解释了这个概念。所谓“双重编码”，即是一手拿着传统的通俗编码，一手拿着超越传统的精英编码。他说：“双重编码名称上是种杂交，其含义是既继承又超越现代主义。”他还指出：“双重编码的要点是双重本身。……既精英通俗并存，又崭新陈旧共处”（Jencks 7, 14-15）。

艾柯就“双重编码”多处作过解释。首先是出版《玫瑰之名》（*Il nome della rosa*, 1980）后他写了个“后记”，为解释“双重编码”，他打了个比喻，说：

“我认为，后现代主义态度好比一个男人，他爱一位很有教养的女人，知道自己不能对她说，‘我爱死你了’，因为他知道她知道（而且她也知道他知道），这种话芭芭拉·卡特兰德（Barbara Cartland）已经写过了。但是还是有办法。他可以说：‘就像芭芭拉·卡特兰德说的，我爱死你了’。他这样说，既避免了虚假幼稚，又明显说了不再幼稚说的话；他到底还是说了他想对那女人说的：他爱她，但是他是在失去了幼稚的时代爱她。如果这女人接受这种做法，那她还是得到了爱的宣言。两个说话的人都不会感到幼稚，都会接受过去和所言发出的挑战（——曾经的事和已说过的话是无法消除的），双方都有意识地、愉快地玩讽刺游戏。……但是双方却都再次成功地说了爱。”（qtd. in Jencks 18）

其次，艾柯做系列讲座《一个年轻小说家的自白》时，也就“双重编码”作了具体解释：（1）有批评家注意到他的小说“有一典型的后现代主义特征，即双重编码”；（2）他列举的“双重编码”的典型例子就是他的《玫瑰之名》；（3）他“承认，通过运用双重编码技巧，作者与读者建立一种默契”，并“认为双重编码不是贵族冲动（aristocratic tic），而是尊重读者智力和良好意愿的方式”（Eco 29, 30, 32）。读过《玫瑰之名》的都知道，它的通俗编码是其侦探小说的外壳，它的精英编码是其对语言意义的关注¹。

尼科尔将詹克斯的“双重编码”解读为“精英与大众、陈旧与崭新的结合”，同时指出，“双重编码这一概念对文学批评家哈琴提出的后现代理论也很重

1 小说“序”开篇即《圣经》所云“太初有道，道与神同在，神就是道”；小说结尾借用12世纪一拉丁语诗句，曰：“昨天之玫瑰以名而长存，今日之我们只获其虚名”（stat rosa pristina nomine, nomina nuda tenemus）。

要”，哈琴认为后现代主义的诗学是“既……又……”，而非“非此即彼”（Nicol 15-16）。她“坚持认为后现代主义生来就有双重性”（Nicol 31）。如果落在意大利著名作家卡尔维诺（Italo Calvino）身上，“双重编码”则是“一只脚踩在叙事的过去，另一只脚——有人可能说——踩在巴黎结构主义的现在”（Bertens, *The Idea of the Postmodern: A History* 70）。

二、后现代主义文学的实验性

文学没有试验便没有发展。可以说，一切新文学都是试验的结果，浪漫主义之与古典主义，现代主义之与现实主义，后现代主义之与现代主义，无一不是如此。“试验是文学变化和更新的发动机之一；它是文学创新的方式”（Bray et al. 1）。

既然是试验，那就有多种。从小说方面看，后现代主义文学的试验形态，概括起来主要有如下几种。

1. 元小说

元小说作为一种小说形式早已有之，几百年前塞万提斯的《堂·吉珂德》和斯特恩的《项迪传》就是，不过那时还没有元小说一说，没有后现代主义小说之称谓。元小说的“爆炸期”是在20世纪的60年代（McCaffery 23）。与其它形式的试验文学一样，元小说也具有“所有文学试验的共有特征”，即“致力于就语言艺术的本质和存在提出基本问题”（Bray et al. 1）。元小说试图提出并回答的问题，是什么是小说？读者何为？它给出的答案是小说本身就是虚构物（fiction），是用文字或说符号做成的东西，这是它的“自我意识”（self-conscious），它的“自己说自己”（self-reflexive）。因此，凡是可称为“元小说”的，都是或明或暗地说语言，道写作，论阅读。艾柯的《玫瑰之名》，福尔斯的《法国中尉的女人》，卡尔维诺的《如果在冬夜，一个旅人》，无一不是。加之戏仿、碎片化、拼贴画、排版试验、色彩、照片等非线性的写作手法，如加斯（William Gass）的《威利·马斯特斯的孤妻》那样，迫使读者意识小说的本质，并积极参与小说意义创作。我们完全可以说，元小说是集试验之大成者。

2. 改写和戏仿

后现代主义作家在其试验中，改写也蔚然成风。卡特（Angela Carter）的《血腥密室等故事集》，巴塞尔姆（Donald Barthelme）的《白雪公主》，阿克（Kathy Acker）的《远大前程》和《堂·吉珂德》，看标题就知道是改写。在后现代主义作家的改写中，改写成了一种游戏。小说家兼评论家费德曼称后现代主义改写为“游戏（抄袭）主义”（play(y)gicism）（Federman 1976）。改写是在原本上改写，自然涉及互文性。作家改写实际是将原文置于一个新的语境，让它产生新的意义。这就像杜尚（Marcel Duchamp）拿来一只尿壶，命名曰《泉》，再署名“理查德·马特先生”，于是这只尿壶就“创造一种

新思想”（杜尚语，见 Grapes 36）。或者像他把达芬奇的画《蒙娜丽莎》拿来，给画中的蒙娜丽莎添上几根胡须，再加上几个字母。如此“改”来，《蒙娜丽莎》就不是原来的《蒙娜丽莎》，而是带有“新意”的《蒙娜丽莎》。这实际是戏仿带来的效果，因为说到底，改写的目的就在讽刺原文本：表面上，它在模仿原文本，实际中却用了滑稽的手法，带着讽刺的目的，对原文本进行了批判。卡特将佩罗（Charles Perrault）的童话《蓝胡子》改写成《血腥密室》收到的正是这样的效果。首先在情节上，《血腥密室》中母亲成了“救世主”。其次，母亲和女主人公都刻画成具有女权意识的女人，只是后者经历了一个“提高觉悟”（consciousness-raising）过程。再次，《血腥密室》变传统童话中的男性叙述者为女性叙述者，话语权从男人手里转到了女人手里，女人藉此话语权可以宣扬自己的女权意识。

3. 拼贴画、碎片化、抹除法

杜尚的《泉》是将一只现成的尿壶整个拿来改造，但有些试验性作品是拿部分来拼贴，如从报纸上剪下些句子、广告画等等，这便是典型的拼贴画了。拼贴画原本用于绘画，但被移植到文学创作也屡见不鲜。现代主义作家和后现代主义作家都使用拼贴画，但二者使用中追求的效果还是有差异的。在前者手里，它“只是一种表现手段或方式，它最终有所指有所言”；但在后者手里，“它从头到尾、从上到下只是孤零零的拼贴画，”“时空上没有彼此的相互联系，没有整体与部分的联系，”“它无所指亦无所言，只成了没有所指的能指，因为这里物还原为物，而此时的物就是语言，就是符号——自显（self-apparent）符号，我们面对着它，或者说它‘傲慢地凝视我们’时，‘我们感觉的是这媒体本身，而不是媒体所表现的东西’（胡全生，《英美后现代主义小说叙述结构研究》144）。

后现代主义拼贴画的核心效果，是破除整体性和一致性。传统上，维系整体性和一致性的是有头有身有尾的线性结构，无论是情节结构、人物塑造和叙事方式，都讲究一个“圆满”。求“圆”则是求一个中心，没有中心何谓“圆”？在文字式的拼贴画里，尤其是由文字构成的独立叙述单位的拼贴画¹，它已经成碎片化了，如库弗的《保姆》。《保姆》共分108部分（包括其标题），每一部分都可构成一个独立的叙述单位，是个典型的碎片化作品。与使用拼贴画一样，现代主义也使用碎片化，它也是“现代主义文学和后现代主义文学的核心特征”（Sharma & Chaudhary 196）之一，只是在现代主义那里，拼贴画和碎片化“给人以共时感”，而在后现代主义那里，它们“引出的效果是多样性而非共时性。因此，后现代主义拼贴画与碎片化、多元性和相对性紧密相连”（Kušnir 39-40）。比如，在库弗的《保姆》里，作者

1 文学拼贴画可分图画式和文字式两种，而文字式又可分两种：一种“是直接或间接引用他人语录、广告词、报告书、标语等等——总之是捡来的‘现成物’——做成的”；另一种“是由文字构成的独立叙述单位”（参见胡全生，《英美后现代主义小说叙述结构研究》147）。

呈现出多种可能事件同时发生：保姆可以被谋杀，也可以安然无恙，甚或私奔。碎片化带来的效果是：（1）碎片艺术给作家想象带来无限想象空间；（2）碎片艺术否定了“现实”的确定性；（3）碎片艺术显现“语言言说”；（4）碎片艺术打破了线性叙述结构；（5）碎片艺术有利于读者的积极参与（胡全生，《英美后现代主义小说叙述结构研究》194-200）。

抹除法是指将先前说的、写的加以否定。比如，刚说了“屋外阳光明媚”，接着说“屋外正下着雨”。又如，说保姆死了，又说她安然无恙，还说跟男主人私奔，这也是抹除法。再如，卡尔维诺的《如果在冬夜，一个旅人》，刚描述“读者”读完一部小说，又说此小说不是此小说而是彼小说，如此反复九次，结果读的是十部小说，这还是抹除法。麦克黑尔称此现象为“叙述自我抹除法”（narrative self-erasure），并视此法并非为后现代主义小说所独有，现代主义叙事里也出现。但是，在现代主义小说中，被取消的事件只见于某一或其他人物的主观世界，而不在该文本所描绘的世界里（McHale, *Postmodernist Fiction* 101）。依照他的看法，这是一个涉及本体论的问题。前者，涉及本体论的“不稳定性少些”，而在后现代主义作品中，“不是稳定该文本漂浮不定的世界，而是进一步恶化它的本体论不稳定性”（McHale, *Postmodernist Fiction* 101, 102）。其实，抹除是抹除一种可能，从而呈现了别的（种种）可能，也就是说，它呈现多元，从叙事效果来说，它与碎片化无有二至了。

4. 叉式情节和影子人物

后现代主义作家情节编排上常试验叉式结构。传统上，情节常按早上的事件到中午的事件再到下午的事件作线性编排。读者读到这样的编排，往往将前一个事件视为因，后一个事件视为果，似乎这样才合符理性思维。但现实中，一个因常能引发数种果。库弗的《保姆》呈现的就是这种状态。《保姆》的情节线索有三条：主人塔克先生家，马克父亲家，药店；外加电视机（播放的内容）。这些场景中所发生的事件，作为“因”都可能呈叉式引发数种“果”，而这数种“果”通常又表现为“是”与“否”。如保姆去做保姆，事后可能安然无恙回家，但也可能被杀，或跟男主人私奔。再如塔克先生在马克父亲家做客，中途可能回家与保姆鬼混，也可能没回家。库弗把“是”与“否”都写进《保姆》里。因此，叉式结构实践的也是一种抹除法了。它所展示的，是或然性或说不确定性，说到“真”（the real）的话这是真正的“真”了：事物本来就充满不确定性，谁说一因只可能带来一种果呢？¹

后现代主义作家塑造人物时，已不仅仅是“丰满人物”和“扁平人物”那么简单。人物在后现代主义小说中不见人味但见鬼气，成了“无理无本无我无根无绘无喻”的“六无”影子。在将人物塑造成影子或符号时，后现代

1 关于《保姆》使用叉式情节结构的艺术效果，请参阅胡全生《英美后现代主义小说叙述结构研究》Chap. 12。

主义小说家似乎很注意以下几点：（1）切断小说人物与现实中的人的直接联系；（2）否认人物的可知性；（3）否定人物的固定本体；（4）主张人物塑造须有读者参与；（5）凸现人物塑造的互文性¹。

上述的这些试验形态只是“双重编码”之一重，另一重则是通俗性。

三、后现代主义文学的通俗性

应该说，大搞试验的精神是后现代主义文学从现代主义文学那里继承下来的，不同者只是程度而言，非本质也。然而，倘若后现代主义文学只有这试验性的一面，那它就不是后现代主义文学了；它之所以是后现代主义文学，乃是因为它还有超越现代主义文学的一面，即打破“精英”与“通俗”的界限，而打破此界限以体现通俗性之手法的，则是借用或混用通俗文类。这是“后现代主义的典型特点”（Nünning 232），是种“跨文类策略”（Holland-Toll 662）。

对此策略，后现代主义小说家非常喜欢，之所以如此，乃是因为文类本质和文类混用效果之使然。从其本质上说，文类是开放的。这种开放性主要表现在以下几个方面：（1）文类并非僵化不变，“文类即过程”（genre as process）；（2）文类推陈出新，“一种新文类向来是一种或几种旧文类变换而来，方法是或逆转、或取代、或组合”（托多洛夫语）；（3）文类因其时时处于发展、变化之中，故而具有不稳定性和多元性；（4）由于文类处在变化中，因而研究、解读文类的方法和对待文类的态度也发生变化（胡全生，“后现代主义小说的文类混用” 91-92）。既然文类即过程，既然文类推陈出新，既然文类因变化而具有不稳定性和多元性，且影响解读它的方法和态度，那么对于追求“篇篇怪”、崇尚不确定性和相对性、欢迎读者积极参与的后现代主义小说家来说，文类的混用就是必定的、不可避免的。他们好用文类混用²，使之成了“后现代主义的典型特点”。另外，从文类混用带来的效果来说，后现代主义小说家好用文类混用，还主要因为：（1）文类与生产和发行有联系，因此关乎作家的名与利；（2）文类混用是一种巴思说的“补充”（巴思认为后现代主义小说是“文学枯竭”之后的“文学补充”）；（3）文类混用体现了后现代主义“什么都行”（anything goes）的精神；（4）文类混用是种能指滑动；（5）文类混用带来独特的叙事功能（胡全生，“后现代主义小说的文类混用” 93-94）。

就后现代小说中的文类混用现象，美国著名批评家帕洛夫曾说过这样的话：“后现代文类的特征是挪用其它文类，既有阳春白雪的，又有下里巴人的，办法是渴望既有又有而不是非此即彼”（Perloff 8）。真是一语中的。文类混合实践的正是这种“既有又有”的后现代主义美学，它意味着多元的文类带

1 关于后现代主义人物塑造，请参阅胡全生《英美后现代主义小说叙述结构研究》Chap. 6。

2 尤其是从 20 世纪 70 年代开始，文类越发呈杂交状。详见 McCracken (2004)。

来了多元的期待，吸引更多的读者，在“什么都行”中跨越了界线，填平了鸿沟，求得了“篇篇怪”。

上面讨论了文类的本质和文类混用带来的效果。下面我们来粗略地看看后现代主义作家在“什么都行”的指导下借用或混用的通俗文类。

1. 科幻小说和哥特式小说

麦克黑尔多次撰文讨论科幻小说与后现代主义小说的关系。1987年，在《后现代主义小说》的第四章第二、三节，分别讨论了“后现代主义科幻小说化”和“科幻小说后现代主义化”问题，认为科幻小说与后现代主义小说的发展轨迹“存在这样的趋向，即后现代主义写作从科幻小说写作中吸取主题，挖掘其素材”（McHale, *Postmodernist Fiction* 65），因为有大量的证据证明，后现代主义写作得益于科幻小说写作，而科幻小说写作也受益于后现代主义写作（McHale, *Postmodernist Fiction* 68）。他的这种观点，在1992年的《建构后现代主义》一书和1997年的《论科幻小说》一文得以重申。二者之所以能互借互利，是因为科幻小说和后现代主义小说一样，其主旨（dominant）都是本体论（McHale, *Postmodernist Fiction* 59），提出的问题是“这个世界是哪一种世界？”而不是“我如何理解这个我为其中部分的世界？”。其实从一定程度上说，科幻小说的发展史也是个后现代主义化史。科幻小说发展到朋克小说（Cyberpunk），就已经是后现代主义小说了。《维基百科》就说，“朋克小说是一种后现代主义科幻小说，以专注‘高科技俗生活’而闻名”。在朋克小说里，人物不叫人物而叫“赛博格”（cyborg），依据哈拉威的解释，“赛博格”一半为人一半为机器，“是个人机杂种，是社会现实里的生物，也是小说中的生物”（Haraway 149）。比如在吉布森的《神经漫游者》中，女主人公莫莉就是个半人半机器的杂种：她“穿着黑色手套皮革紧身牛仔裤”，“指甲看起来像是人造的”，身上却“装有电线”，“白色手指微微张开，‘咔’的一声，十把四公分长的两刃手术刀片从紫红指甲里滑了出来”（Gibson 25, 24, 25）。这里，真实的与想象的混淆了。这种混淆使得读者很难确定他们所处的世界是真实的还是想象的。这种不确定性正是朋克小说的特点，也是后现代主义小说的特点，因为“朋克小说明显地进入后现代主义的批评日常议程”，而“詹明信又好像将朋克小说当作后现代主义的文学宣言”（McHale, “Elements of a Poetics of Cyberpunk” 149）。

后现代主义作家在借用科幻小说的同时不忘哥特式小说。本来嘛，哥特式小说与科幻小说只有一步之差。玛丽·雪莱（Mary Shelley）1818年的《弗兰肯斯坦》，当是英国文学史上第一部科幻小说，可还是常有人视之为哥特式小说¹。哥特式小说的出现比科幻小说早；它始于18世纪末，到20世纪80年代，朋克小说风行之际，我们就见到了赛博哥特式小说（Cybergothic）（van Elferen 2009），也就是说，哥特式小说也可以后现代主义化。比如加

1 如Lloyd-Smith（134）和van Elferen（105）就作如是观。

迪斯 (William Gaddis) 的《木匠的哥特式古屋》就是部后现代主义哥特式小说。小说的标题就显示这是部哥特式小说, 但却非传统意义上的哥特式小说。哥特式小说又称“哥特式传奇”(Gothic romance)(艾布拉姆斯 223)(或曰“哥特式罗曼史”)。小说中的女主人公莉茨是个受害者, 她最终消失在这个有 90 年历史的、常闹鬼的旧宅里, 这就颠覆了“罗曼史”中皆大欢喜的喜剧结尾。而且小说的终点没有句号, 如此则把读者抛入困惑与不确定之中。整部小说几乎全由对话构成, 可对话却不用引号而用破折号, 话语也常碎片化, 尤其是莉茨的, 这就加强了这种不确定感。这些是“对经典哥特式小说情节做后现代主义的改编”(Jameson 314)。

2. 侦探小说和西部小说

其实我们也可以说, 侦探小说也有后现代主义化的趋向。在所有借用的通俗文类中, 侦探小说恐怕最为盛名, 以至于有学者干脆称后现代主义化的侦探小说为“后现代主义侦探小说”, 或者更为熟悉的“反侦探小说”或“玄学侦探小说”。传统侦探小说在“穷凶”中强调推理(即理性)的重要性, 而读者的期待是以因果为主的期待, 所以认识论是它的哲学基础。后现代主义侦探小说却往往没有“穷凶”的释然, 以此来质疑理性, “拒绝满足以因果为主的期待”(Bertens, “The Detective” 197), 呈献给读者的不是理性的光辉, 而是不可知性和不确定性。比如艾柯的《玫瑰之名》, 它具备侦探小说的基本条件: 接二连三的谋杀和对凶手的追查。但它的结尾没有“释然”(solution), 凶手也没有得到应有的惩罚。虽然福尔摩斯式的人物威廉博学多才, 到达修道院的第一天就表现出高深的推断能力, 但他却败在了凶手佐治手里: 佐治最终竟然从威廉手中, 将他犯罪的证据, 即涂有毒药的《诗学》, 拿过来付之一炬。从这点上说, 佐治是胜利者: 在侦探与反侦探、犯罪与惩罚犯罪的较量中, 佐治最终打败了威廉。可见理性是多么的脆弱, 世事又多么难料。

西部小说虽然借用得不如侦探小说那么广泛, 却也借用得有声有色。传统的西部小说与传统侦探小说一样, 都是以无序开始, 以有序结束: 在侦探小说, 以凶杀开始, 以凶手受到惩罚结束; 在西部小说, 以恶棍猖獗开始, 以好汉战胜恶棍结束; 二者伸张的都是正义。从文化编码的角度看, 这种侦探与凶手之争, 好汉与恶棍之争, 便成了守法与违法、正义与邪恶、有序与无序之争。在多克特罗的《哈德泰姆斯欢迎你》, 恶棍特纳杀人、强奸、无恶不作, 而好汉布卢面对恶棍的无恶不作, 却像个胆小鬼: 埃夫里请他赶走恶棍, 他却说: “也许他很快就离开”; “好了埃夫里, 我现在都 49 岁了。”就他的话, 埃夫里说了一句“混账!”当布卢与特纳面对面时, 他想伸手去摸枪, 结果手却伸向酒杯, 并“在此刻感到自己想讨好他, 几乎很高兴自己在喝酒”(Doctorow 6, 18)。两人面对面枪战, 第一次特纳占上风; 第二次布卢占上风, 但却是靠耍阴谋诡计——在传统的西部小说, 此乃小人也, 非丈夫所为。

最后，布卢将恶棍带到自己的情人身边，以示恶棍如今对她无害，可她却用刀子刺伤恶棍，而吉米（好汉收养的孩子）看到这幅情景吓坏了，开枪打死了她和恶棍，布卢虽奋力制止却未成功，反倒受了重伤。吉米最终离开了哈德泰姆斯镇，任由布卢孤独而死。他的离开，一者讽刺了小说的标题——《哈德泰姆斯欢迎你》，一者他可能将变成另一个恶棍蹂躏西部。在这样的结局里，读者当然见不到秩序的恢复，而是看到公正、守法、有序被嘲弄。

3. 历史小说和校园小说

历史小说也是后现代主义作家借用最广的通俗文类之一。它被借用得如此之广，以至有“后现代主义历史小说”之谓。莫里森的《宠儿》，拉什迪的《午夜儿童》，库弗的《公众的怒火》都是。这些小说都有历史作其背景，《宠儿》有黑奴求解放的背景，《午夜儿童》有印度独立的背景，《公众的怒火》有尼克松为总统的背景。后现代主义历史小说是建立在新的历史观的基础之上的。“历史本身依赖于叙事、语言、意识形态的习俗，以便叙述‘真正发生过的事’”（Mazurek 29）。《公众的怒火》共30章，分为6个部分，即“序幕”，“周三-周四”，“周五上午”，“周五下午”，“周五晚上”和“尾声”，外加三个“间奏曲”，或诗歌或戏剧场景，与四个主体部分分开，逢双的那章以尼克松的视角来叙述。尼克松的尴尬是当众“脱裤子”，但梅热克分析认为（Mazurek 39），此举一者暗指现实中的尼克松1952年竞选副总统时请史蒂文森和斯帕克曼走到人民面前，说说他们的个人私有财产之道¹，宣称“如果不这样做，他们就是承认自己隐瞒了什么”；二者指小说中尼克松最后呼吁大众贡献爱国之心：“今晚大家都向前走一步，……为美国脱裤子”（Coover 482）。这里我们看到，相对于传统的历史小说来说，《公众的怒火》的“新”是新在它“将历史处理为一种话语形式”（Mazurek 29）。

借用校园小说这一文类来创作后现代小说的，最负盛名的恐怕是洛奇。他是文学教授，对大学生生活很熟悉，对西方文类也很熟悉，写了一系列后现代主义校园小说，其中最为大家所熟悉的是他的“校园三部曲”：《换位》，《小世界》和《好工作》，最后两部还列入布克奖候选名单。作为文学教授和文学批评家，洛奇对叙事技巧自然有种自我意识，因此他的小说与他的文论一样，对语言特别敏感，结果他的小说常表现出元小说的特征。比如《小世界》。此小说的副标题是《校园罗曼史》，这一副标题就显示此小说不仅仅是部校园小说，实际它还是部高度自我意识或说自我反射小说，也就是元小说了。其一，小说里的人物几乎没人不谈罗曼史，而且常以奚落的口吻。如文学学

1 指民主党总统和副总统的竞选人 Adlai Stevenson 和 John Sparkman。1952年，共和党的爱生豪威尔（Dwight Eisenhower）竞选总统，尼克松竞选副总统。9月23日，尼克松发表著名的“跳棋演讲”（“Checkers Speech”，亦称“基金演讲”），陈述自己在竞选基金问题上没有“污点”，说：“我的美国同胞们，作为副总统的竞选人，我站在你们面前”，“[就所谓的污点]来讲真话”，“[我]提议史蒂文森先生和斯帕克曼先生……也应做我现在做的。”

生安杰丽卡居然在学术研讨会上说：“最伟大、最典型的罗曼史常常没有结局；它们只在作者筋疲力尽时结束，就像女人的性高潮能力只限于其身体耐力。罗曼史是种多元性高潮”（Lodge 323）。连机场验票台小姐谢丽尔也竟然说：“用心理分析的话来说，罗曼史是寻找力比多，或者说渴望实现自我，这个实现发源于现实焦虑，但依然包含着那个现实。”（Lodge 259）其二，小说中有很多典故与罗曼史或罗曼史作家或作品相关。其实，小说的结构就像寻找圣杯，男主人公帕斯（Persse）担当的角色是圣杯骑士帕斯瓦尔（Percival）。小说第一章女主人公安杰丽卡就问他 Persse 是不是 Percival 的缩写，他回答说“有可能。”（Lodge 9）就此，霍姆斯评论说，这就“准备让读者”“与中世纪圣杯罗曼史联系起来”（Holmes 49）。而且，安杰丽卡说她的博士论文就是研究罗曼史。小说一开始描述帕斯对安杰丽卡一见钟情，此后便是描写他寻找他所爱的女人，但他与之做爱的，却是安杰丽卡的孪生妹妹丽丽。至末尾，他意识到自己其实是“爱上了一个梦”（Lodge 326）。他转而去追求谢丽尔，但结果如何却无人知道。显然，寻爱结果成了寻求可能性或不确定性。小说中的罗曼史典故和对罗曼史的讨论，都是“元小说的特征，这些特征揭示技巧（artifice）背后的现实幻想，最终混淆了艺术与生活的区别”（Holmes 47）。当洛奇让他的人物，如安杰丽卡和谢丽尔等，评论罗曼史时，他其实是暴露他写作中的叙事技巧，将读者的注意力引向《小世界》立于这些技巧之上的虚构性。

4. 言情小说和色情小说

英语中的 romance（罗曼史）若不是言情小说的代名词至少也是言情小说之一。在英国维多利亚时期，言情小说之风大吹，福尔斯似乎认为此风不可长，于是写下《法国中尉的女人》来戏仿。言情小说都道“有情人终成眷属”，可那个所谓的法国中尉的女人莎拉却得不到这样的好下场。然而莎拉究竟是贞女还是妓女，能否“终成眷属”，唯有读者自己知道或裁定。如果去掉像 12 章的末尾和 13 章的开头那样的“元评论”，去掉三个结尾中的二个，只保留莎拉和查尔斯结为眷属的结尾，那么《法国中尉的女人》就是部地地道道的维多利亚式的言情小说了。现在，正因为它有了这些东西，评论家认为它是部元小说。福尔斯不是只讲一个爱情故事，更多的是想借助爱情小说的外壳，来让读者意识到小说的虚构本质以及世事的多变或说不确定性。

色情小说这一文类的借用中，最出名的可能是杨。她的名著《害怕飞行》出版于 1973 年，此时女权主义的第二次浪潮如火如荼，高歌的是其口号“私人的也是政治的”，“提高觉悟”是其目的之一。小说表现的是一个 29 岁的女人，叫伊莎多拉。她渴望冒险、性快乐、自由和创造力，或用她自己的话来说，渴望“无拉链性交”（zipless fuck¹），并为此而备受煎熬。小说中有

1 zipless fuck 因 *Fear of Flying* 而生，现已进入一些英语词典，意指两个陌生男女纯而无权欲之偶然性交，类似汉语中“一夜情”。

一个故事中的故事反映“无拉链性交”（Jong 19-21）。故事里的两个主角，一个是寡妇，一个是士兵。寡妇还在节哀当中，士兵挑逗寡妇，寡妇始终被动。最后士兵见寡妇下了火车，就跳下去追赶她。就此情境，奥布里评论道：“他被尚未逝去的欲望压倒了；她走了；传统的性别角色被颠覆了（Aubry 424）。讲完这个故事后，叙述者（即伊莎多拉）立即解释道：“无拉链性交绝对纯洁。它没有别有用心，没有权力游戏。男的不‘索取’，女的不‘给予’。没有谁企图与某个丈夫通奸，或者羞辱某个妻子。没有谁企图证明什么，或者从他人那里得到什么。无拉链性交是人间最纯洁的东西，比独角兽还少见”（Jong 21-22）。伊莎多拉也遇到自己的“无拉链性交”：她去英国开会遇见一个男人，叫古德洛夫，此君外表堂皇¹，暗地里却是个自私自负、持强欺弱之徒。后来他在巴黎与她不期而遇，但她最后终于鼓起勇气回到旅馆丈夫身边。在小说末尾，我们看到伊莎多拉躺着浴缸里：“我低头看自己的身体，与原先的一样。……漂亮的身体。我的。我决定继续拥有它”（Jong 423-424）。这显然是说，伊莎多拉结束了自己“无拉链性交”的冒险，认识到先前幼稚的“无拉链性交”之幻想消失了：“我的害怕消失了，此顽石压在我心里达29年之久，如今消失了。不是突然之间。或许不是永久消失，但到底是消失了”（Jong 424）。这表明“无拉链性交”的冒险导致了伊莎多拉的新生。整部小说都是伊莎多拉来叙述，是她在讲故事，仿佛她正面对一群提高觉悟的女人（CR group），实践提高觉悟。因此从这个意义上说，《害怕飞行》是一首“提高觉悟”之歌，而非色情故事。

应该特别指出的是，后现代主义作家借用通俗文类有一个共同特点，即在借用中必定“釜底抽薪”，如侦探小说没有“穷凶”的释然，西部小说未必好汉战胜恶棍，言情小说未必“终成眷属”。“釜底抽薪”的用意，是不让读者将它读成通俗文类，不让读者沾染通俗文类所透示的意识形态，如通俗文类所维护的确定性、一致性等等；它要让读者读到的是不确定性、多样性、相对性，让读者意识到小说的虚构性。在这层意义上，此作为与实验有异曲同工之妙。从某种程度上说，借用或混用也是一种试验——谁说“釜底抽薪”不是呢？——只是这种试验给装上了旧瓶。

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1 名叫 Goodlove，意为“好的爱情”，实具讽刺用心。

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“总体艺术”与跨媒介叙事——西方浪漫主义文学新论

“Total Work of Art” and Cross-media Narrative: A New Discussion on Western Romantic Literature

龙迪勇 (Long Diyong)

内容摘要：西方浪漫主义文学与艺术之间有着千丝万缕的联系，之所以如此，关键就在于浪漫主义作家试图创作出一种综合性、整体性的“总体艺术”作品。西方浪漫主义文艺最具根本性的特征就是试图综合多种艺术门类或多种艺术媒介的“总体艺术”，而实现“总体艺术”的路径，就叙事媒介的使用方式而言，包括多媒介叙事与跨媒介叙事两种。作为“总体艺术”实现路径的跨媒介叙事，其实也就是美学上所谓的“出位之思”在“叙事”方面的表现。通过跨媒介叙事，即通过语词对绘画或音乐的模仿，西方浪漫主义文学在某种程度上达到了“总体艺术”的美学效果；也就是说，通过跨媒介叙事，西方浪漫主义文学在保持自身文学特性的同时，也使自己具备了某种“绘画”或“音乐”的特征。无论是文学对绘画（图像）模仿的跨媒介叙事，还是文学对音乐模仿的跨媒介叙事，都表现在“内容”和“形式”两个层面。

关键词：总体艺术；跨媒介叙事；浪漫主义文学；图像；音乐

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Title: “Total Work of Art” and Cross-media Narrative: A New Discussion on Western Romantic Literature

Abstract: Western romantic literature and art are interrelated in countless ways, which can be traced to the fact that romantic writers attempt to create “total work of art” of synthesis and wholeness. The essence of western romantic literature and art is “total work of art” which composites various categories of art and diversified artistic media, while the approaches to “total work of art”, as far as the modes of using narrative media, cover multimedia narrative and cross-media narrative, and the latter is actually a narrative expression of aesthetic “Andersstreben”. Through cross-media narrative, namely, words’ imitation of painting and music,

western romantic literature has in part achieved an aesthetic effect of “total work of art”; that is to say, through cross-media narrative, western romantic literature is endowed with certain features of painting or music while maintaining its literary characteristics. Cross-media narratives, no matter literature imitating painting (image) or literature imitating music, manifest themselves in the two levels of content and form.

Key words: total work of art; cross-media narrative; romantic literature; image; music

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法国学者让·贝西埃认为，浪漫主义文学思想的一个重要特征就是“突出该思想与非文学领域的不可分割的联系”(贝西埃等 509)；而他所说的“非文学领域”指的主要便是音乐、绘画等艺术领域。对此，英国观念史学者以赛亚·伯林在《浪漫主义的根源》一书中说得非常明白：“浪漫主义运动一诞生便与艺术息息相关”，“在某种意义上，浪漫主义与艺术之间的关系较之它与其他领域的关系要紧密得多。……我们完全可以肯定浪漫主义运动不仅是一个有关艺术的运动，或一次艺术运动，而且是西方历史上的第一个艺术支配生活其他方面的运动，艺术君临一切的运动。在某种意义上，这就是浪漫主义运动的本质”(伯林 3)。如此看来，要研究西方浪漫主义文学，考察其与艺术之间的关系是至关重要的，因为正是这种关系构成了“浪漫主义运动的本质”。可让人感到遗憾的是：尽管研究西方浪漫主义文学的各类学术成果堪称汗牛充栋，但这一文学思潮与艺术之间的本质性联系却并没有得到应有的重视，有些研究领域甚至还是一片空白。正是有感于此，本文拟从跨媒介叙事的视角，对西方浪漫主义文学与艺术的关系进行探讨；而要有效地讨论这个问题，首先需要明了的便是西方浪漫主义文学的“总体艺术”特征。

一、西方浪漫主义文学的“总体艺术”特征

西方浪漫主义文学之所以与艺术有着千丝万缕的紧密联系，关键就在于浪漫主义作家试图创作出一种综合性、整体性的艺术作品——“总体艺术”(Gesamtkunstwerk)。事实上，浪漫主义文学最具根本性的特点就是这种所谓的“总体艺术”。“总体艺术”也叫“整体艺术”，这一概念首先出现在德国浪漫派哲学家特拉恩多夫(Eusebius Trahndorff)于1827年出版的《美学》一书之中，后被剧作家理查德·瓦格纳在《艺术与革命》(1849)、《未来的艺术作品》(1849)等论文中进一步发扬光大。

概而言之，“总体艺术”指的是一种融合各艺术门类(绘画、雕塑、建

筑、音乐、戏剧、文学等)与各表达媒介(图像、语词、音符等),以形成一种诉诸视觉、听觉、触觉、嗅觉、味觉等各感官系统的相互交织的综合性、统一性的文学艺术作品。在瓦格纳看来,最理想的“总体艺术”是戏剧,因为只有戏剧中,才能真正把建筑(剧场和舞台)、绘画(布景)、文学、音乐、舞蹈等各艺术门类统一成一个有机的整体。关于他心目中理想的“总体艺术”——戏剧,瓦格纳这样写道:“未来的艺术作品将具有一种共同的性质,它们也只有根据共同的要求才能够产生。这种要求,我们迄今只是就个别艺术品种必然具备的实质从理论上加以阐述,然而实践上是只有采取一切艺术家组合的形式才是可以想象的,而构成这一组合的,则是一切艺术家根据同一时间和地点奔向一个确定目标的联合。这个确定的目标就是戏剧,大家在这里面联合起来;以便在共同参与之下把这特殊的艺术品种的特色发挥到高度丰富的程度,在发挥过程中大家同心协力地向各方面深入贯通,作为这番深入贯通的果实,就正是孕育那生气勃勃的、感性上活灵活现的戏剧。至于使它们各部分的参与成为可能,是的,使它们成为必不可少而且缺乏这一参与就根本不可能出现的东西究竟是什么,那正是戏剧的本来的核心:戏剧性的情节”(瓦格纳 301)。显然,瓦格纳认为,真正能在戏剧中把各“艺术品种”联合起来的,还是故事情节;也就是说,真正能把戏剧塑造成“总体艺术”的,还是戏剧舞台上的叙事行为,也即展示“戏剧性的情节”这一核心要素。

至于能够创造出“总体艺术”的创作者,瓦格纳认为是“未来的艺术家”。那么,什么样的艺术家才是瓦格纳意义上的“未来的艺术家”呢?瓦格纳在上述引文中的说法——“一切艺术家组合”很可能会让人产生误解,认为“未来的艺术家”并非个体创作者,而是一个包含多个艺术家的集体。这当然不是瓦格纳的本意。要明白瓦格纳的真正意思,我们还必须仔细研究瓦格纳对“未来的艺术家”的以下解释:“那么,谁将是未来的艺术家呢? / 无疑是诗人。 / 然而,谁将是诗人呢? / 当然是演员。 / 反过来,谁又将是演员呢? / 必须是一切艺术家的组合”(瓦格纳 301)。尽管上述文字仍然没有明确指明“未来的艺术家”的具体身份,但仔细推敲还是可以肯定:瓦格纳所说的“未来的艺术家”、“诗人”、“演员”以及“一切艺术家组合”,所指的其实是同一个人,即具有多种创作才能的“总体艺术”的创作者。对此,德国学者吕迪格尔·萨弗兰斯基说得好:“由于艺术和艺术家的四分五裂,瓦格纳梦想着一种整体艺术作品,能将许多艺术门类统一起来,那是音乐、戏剧的表演、文学,以及绘画和雕塑的造型艺术。整体艺术作品要求整体艺术家,集体的生产有可能吗?也许不,责任在个别艺术家身上……”(萨弗兰斯基 288)除了指出“总体艺术”的综合性特征,萨弗兰斯基的这段话还包含了以下信息:创作这种整体性的作品需要作为“整体艺术家”的“个别艺术家”,而不能指望“集体的生产”;能写出“整体艺术”的“整体艺术家”非常少见,所以

连瓦格纳这样的天才都只能“梦想着一种整体艺术作品”。无疑，像瓦格纳所说的那种能综合多种艺术门类或多种艺术媒介的“总体艺术”作品，其创作是非常困难的，几乎是难以实现的，所以它往往只能是一种“未来的艺术作品”。正因为如此，所以一般来说，只要能融合两种艺术门类或两种艺术媒介的文艺作品，都可以称之为“总体艺术”作品。

对于“总体艺术”这一关涉西方浪漫主义文学创作根本理念的思想，我们还需要明白的是：尽管这个概念 1827 年才由特拉恩多夫正式提出，但“总体艺术”这一最能反映浪漫主义精神实质的文艺思想其实早就有了，如弗里德里希·施勒格尔于 1798 年所提出的“总汇诗”，在精神实质上其实就是一种进步的浪漫主义的整体文艺：“浪漫诗是渐进的总汇诗。它的使命不仅在于重新统一诗的种类，把诗与哲学和雄辩术沟通，它力求而且也应该把诗和散文、天才和批评、艺术诗和自然诗时而混合起来，时而融汇于一体，把诗变成生活和社会，把生活和社会变成诗，把机智加以诗化，用各种各样纯净的文化教养的材料作为艺术形式的内容，充实艺术，并通过幽默的震颤给艺术形式灌注灵魂。浪漫诗包罗了一切具有诗意的东西，……只有浪漫诗能够像史诗那样，成为周围整个世界的一面镜子，成为时代的肖像”（施勒格尔 72）。因此，正如狄特·波希迈耶尔所指出的：在特拉恩多夫、瓦格纳之前，“综合各个艺术门类的思想，就已经在浪漫派的艺术理论中发挥过重要作用”（波希迈耶尔 178）。而且，尤为重要的是：特拉恩多夫所提出的“总体艺术”概念，其实正是对此前文艺创作实践的精准概括，因为到 1827 年他正式提出这个概念的时候，浪漫主义作家已经创作出了一大批颇具代表性的堪称“总体艺术”的文学作品。

从创作心理学的角度来说，浪漫主义文艺所倡导的“总体艺术”其实是与创作时的心理活动非常吻合的一种，比如说，要创作一篇小说，这种所谓的“总体艺术”就能够把作家创作这一叙事作品时的所思所想相对完整地记录下来。有过写作经验的人都知道，当作家们构思一篇小说时，那些来到他们意识中的事物是既快又多的，哪怕是在一分钟之内，那些出现在他们意识中的事物都完全可以用成千上万来形容。而对于这种“万象齐临”的意识状态，作家们的记录手段——语词却往往会显得不够用：他们常常会感到，如果写下了这个，就很可能忽视了那个；如果考虑到了一种可能性，就可能无法考虑其他更多的可能性；尤其让他们感到难堪的是，那些来到意识中的事件差不多是同时的，而语词却必须遵循一个线性的叙事秩序。对于创作时的这种状况，阿根廷著名作家博尔赫斯在其小说《阿莱夫》中就有非常生动的描述。所谓“阿莱夫”，是叙述者在特殊情境下所看到的一个“闪烁的小圆球”，“直

径大约两三厘米”，但这个小圆球却包含了世上的万事万物¹。面对“阿莱夫”这样一个无限的小圆球，叙述者的绝望心情是可想而知的，正如博尔赫斯在小说中所叙述的：“现在我来到我的故事难以用语言表达的中心，我作为作家的绝望心情从这里开始。任何语言都是符号的字母表，运用语言时要以交谈者共有的过去经历为前提；我羞惭的记忆力无法包括那个无限的阿莱夫，我又如何向别人传达呢？……此外，中心问题是无法解决的：综述一个无限的总体，即使综述其中的一部分，是办不到的。在那了不起的时刻，我看到几百万愉快的或者骇人的场面；最使我吃惊的是，所有场面在同一个地点，没有重叠，也不透明，我眼睛看到的是同时发生的：我记录下来的却有先后顺序，因为语言有先后顺序”（博尔赫斯 192-193）。

如此看来，任何用词语叙述出来的故事都不可能完整地再现像“阿莱夫”这样的“一个无限的总体”——而创作时的意识状态正是一种类似“阿莱夫”一样的东西，也就是说，任何叙述行为都必须经历一个选择与抛弃的过程：选择一种或少数几种叙述的可能性，而抛弃其他众多的可能性。意大利作家伊塔洛·卡尔维诺就曾经谈到过创作时的这种状况。他把写作活动的“开始”视为“一个决定性的时刻”：“抛弃那些数不胜数的、多姿多彩的各种可能性，奔向那尚不存在的，但如果接受某些限制或规则就可能存在的东西”（卡尔维诺，《美国讲稿》121）。而且，在卡尔维诺看来，无论是对于小说家还是对于诗人来说，写作的“开始”都是这样一个面临艰难的选择与抛弃的时刻：“每一次开始都是这样一个抛弃众多可能性的时刻：对讲故事的人来说，就是要抛弃众多可能讲述的故事，把他决定当天晚上要讲述的那个故事区分出来，并把它变成可以讲述的一个故事；对于诗人来说，就是要从自己那混沌般的精神世界之中区分出某种感情，并使它与表达某种感觉或思想的词语和谐地结合在一起”（卡尔维诺，《美国讲稿》121-122）。

显然，如果不把出现在意识中的众多事件和组织事件的各种可能性进行义无反顾的抛弃，我们便不可能写出任何形式的叙事作品。就此而言，那种囊括一切的真实意义上的绝对性的“总体艺术”是任何作家和艺术家都不可能创作出来的；但相对意义上的“总体艺术”通过特定的创作手段还是可以

1 从“阿莱夫”出现的特定情境来看，这个特殊的“小圆球”其实正是博尔赫斯所创造的作家创作时意识状态的一个绝佳隐喻。正如小说中的人物之一卡洛斯告诉“我”（小说的叙述者）的，要看到“阿莱夫”，必须“先喝一小杯白兰地”，然后钻进楼梯下的地下室仰面躺着，“在黑暗中，一动不动，让眼睛先适应一下。你躺在砖地上，眼睛盯着楼梯的第十九级。我走了，放下地板门，你一个人待着。也许有个耗子会吓你一跳，再简单不过了。几分钟后，你就会看到阿莱夫。炼丹术士和神秘哲学家们的微观世界，我们熟悉的谚语的体现：麻雀虽小，五脏俱全！”（博尔赫斯：《阿莱夫》，王永年译，上海：上海译文出版社，2015年版，第191页。）从上述文字的描述看来，“阿莱夫”不可能是眼睛真实看到的具有物质实在性的球状物，它其实是一种在类似“幻视”状态下出现在意识中的心理学意义上的“小圆球”。

实现的，而这也正是西方浪漫主义作家在理论上积极提倡并身体力行付诸创作实践的。

那么，西方浪漫主义作家在叙事作品中实现“总体艺术”的路径究竟有几种呢？我们认为概括起来无非是两种：（1）多媒介叙事；（2）跨媒介叙事。就叙事媒介的使用方式而言，这其实正符合施勒格尔在表述“总汇诗”时所说的“时而混合起来，时而融汇于一体”（施勒格尔 72）：所谓多媒介叙事就是两种或两种以上的媒介（语词、图像等）“混合起来”共同完成一个叙事行为；所谓跨媒介叙事则是把两种或两种以上媒介的特性或长处（如图像的空间效果、音符的抽象性与直接性等）“融汇”于一种媒介（语词）的叙述之中，以使纯文字性的叙事文本在某种程度上具有音乐或图像的美学效果。

众所周知，作家们用来叙事的媒介是语词，但语词这种媒介在叙事时的优点和缺点都是非常明显的：其优点是可以很好地根据时间进程把一连串事件组织成一个具有因果关联的情节，其缺点则是无法把那种“阿莱夫”式的共时性事件清晰地、有秩序地叙述出来。与语词相比，图像尽管因其空间特性而无法完整和流利地叙述一个持续较长时间的故事，但其媒介特性却远比语词更利于展示多个共时性的事件。正是由于表达媒介的上述特性，所以运用语词的作家们在碰到像“阿莱夫”那样的叙述对象时，往往会借用像图像那样的空间叙事手段去尽可能地达成一种与共时性事件相适应的“总体艺术”作品。无疑，最直接的借用就是把图像与语词相混合，从而形成一种以两种媒介共同讲述一个或多个故事的图-文体叙事作品。这也正是西方浪漫主义作家（如瓦肯罗德、霍夫曼、雨果、乔治·桑、普希金、莱蒙托夫等）往往喜欢在文字性的手稿上画上各种图像（或涂鸦）的根本性原因。显然，这种多媒介叙事是西方浪漫主义作家试图在叙事作品中实现“总体艺术”的基本路径之一。关于西方浪漫主义文学的这种“图文一体”的多媒介叙事现象，我们将在其他论文中进行论述，下面主要讨论西方浪漫主义文学的跨媒介叙事问题。

二、作为“总体艺术”实现路径的跨媒介叙事

除了多媒介叙事之外，西方浪漫主义作家在叙事作品中实现“总体艺术”的路径还有跨媒介叙事。所谓跨媒介叙事，其实也就是美学上所谓的“出位之思”在“叙事”方面的表现。“出位之思”源于德国美学术语 *Andersstreben*，指的是一种媒介欲跨越其自身的表现特长而进入另一种媒介所擅长表现的状态。对此，钱钟书在《中国画与中国诗》一文中说得好：“一切艺术，要用材料来作为表现的媒介。材料固有的性质，一方面可资利用，给表现以便宜，而同时也发生障碍，予表现以限制。于是艺术家总想超过这种限制，不受材料的束缚，强使材料去表现它性质所不容许表现的境界。譬

如画的媒介材料是颜色和线条，可以表现具体的迹象，大画家偏不刻划迹象而用画来‘写意’。诗的媒介材料是文字，可以抒情达意，大诗人偏不专事‘言志’，而用诗兼图画的作用，给读者以色相。诗跟画各有跳出本位的企图。”¹西方浪漫主义作家要实现“总体艺术”的目标，在保持自身表达媒介——语词之特长（长于表现时间进程中的一连串事件）的同时，也跳出“本位”去追求图像或音符等其他表达媒介的表达潜能，确实不失为一种极好的表达手段或艺术路径。对于这种“出位之思”（跨媒介叙事）现象，法国浪漫主义诗人兼艺术批评家波德莱尔在《哲学的艺术》一文中有精彩的论述：“今天，每一种艺术都表现出侵犯邻居艺术的欲望，画家把音乐的声音变化引入绘画，雕塑家把色彩引入雕塑，文学家把造型艺术的手段引入文学……”（波德莱尔 256）

对于表达媒介与艺术门类之间的内在关系，阿尔伯特·施韦泽发表过很好的意见：“我们依据艺术描绘世界的媒介，来给艺术分类。通过声音表达自我的人，被称为音乐家；借助色彩的，是画家；使用词语的，则是诗人。事实上，艺术家藉以自我表达的材料，是次要的。并非某人仅仅是一个画家，一个诗人，或是一个音乐家，而是他集这些身份于一身。一个艺术家的身上，包含了各种艺术倾向；仿佛他灵魂里居住着不同的艺术家。他的作品，是这些艺术家合作的产物；在他的每一个想法中，所有艺术家都有自己的一份分工。唯一的区别在于，在某个艺术灵感中，这个艺术家占主导地位；在另一个灵感中，则是另一位艺术家主导，但他们永远选择最适合自己的语言”（施韦泽 381）。这就是说，尽管很多作家和艺术家仅以某一种身份被人们所熟悉，但事实上，他集画家、诗人或音乐家的身份于一身——“仿佛他灵魂里居住着不同的艺术家”，比如说，歌德就是这种“灵魂里居住着不同的艺术家”的作家，他年轻的时候甚至还以占卜的方式来决定自己未来的艺术生涯到底是成为一个画家还是一个作家（施韦泽 381-382）。当然，正如我们所知道的，歌德后来成了一个作家，但他始终都没有放弃绘画；尤为难得的是，歌德的绘画才能还潜移默化地转移到了写作之中，所以我们读他的很多作品就像是在看一幅幅用语词绘成的图画。就像施韦泽所指出的：“歌德风格中最深邃之谜，正在于他毫不刻意，却能凭借寥寥几句话，让整个场景呈现在读者眼前；把读者们既没有见过、也没有听过的一切，传达给他们，仿佛身临其境。在《浮士德》里，我们读到的与其说是一个个场景，不如说是一幅幅生动的图画。……他描绘风景，并不仅仅用词语，而是像画家一样，真的目睹过实物；

1 转引自浅见洋二：《关于“诗中有画”——中国的诗歌与绘画》，《距离与想象——中国诗学的唐宋转型》，金程宇、冈田千穗译，上海：上海古籍出版社，2005年版，第113页。据浅见氏该文所说，钱钟书《中国画与中国诗》一文中的这段文字仅见于《开明书店二十周年纪念文集》（上海：开明书店，1947年版）所收该文的初版。后来，钱钟书对《中国画与中国诗》一文进行过大幅度的修改，此段文字在修改后的版本中不再出现。

而且他使用的词语,就像相互呼应的色彩点;如此一来,它们将活生生的场景,召唤到读者眼前”(施韦泽 382)。

像歌德一样,很多西方浪漫主义作家尽管以语词作为写作的工具,但他们的思维方式却是图像性的,不少浪漫主义作家甚至本身就是颇有成就的画家,如雨果、梅里美、乔治·桑、缪塞、波德莱尔、戈蒂耶以及普希金、莱蒙托夫等人莫不如此。显然,这些浪漫主义作家的绘画才能肯定为他们的文学创作增色不少,从而使他们创作出的文学文本具有某种“图像”性特征,就像我们能从《浮士德》中读到“一幅幅生动的图画”一样。

对于真正的高手来说,不仅文学与绘画之间的跨媒介转换会增强各自的表达效果,文学与音乐的跨媒介转换同样如此。而且,这种跨媒介转换都有利于创作出堪称“总体艺术”的叙事作品。

如果说歌德是一个偏向图像思维的作家的话,那么,席勒则是一个具有音乐气质的诗人:“我们把席勒认作一个诗人,他却认为自己其实是个音乐家。……与歌德情况不同,在席勒的词语背后,不是纯粹的直觉,而是声音与韵律。他的描述是声音性的,而没有逼真的图像性,不为读者呈现鲜活的场景。他的风景其实都是剧场般的背景装饰”(施韦泽 383-384)。像席勒这样具有声音性描述才能的作家当然也不在少数,如法国浪漫主义诗人拉马丁以及深具浪漫气质的诗人和哲学家尼采,就具备这种音乐般的思维方式和写作才能。施韦泽说得好:“拉马丁是又一个音乐家,因为他的暗示多于描绘。音乐之于尼采,就像绘画之于歌德。他认为作曲才是自己的天赋,是他命中注定的天职。……他的著作就是一部部的交响曲。这位音乐家并不阅读它们;他听见它们,仿佛他正在翻阅一份乐队总谱。他所见的并非词语和字母,而是不断发展和交织的主题。在《超越善恶》中,他甚至运用了赋格形式的短小间奏——这是贝多芬常用的手法。……无论如何,尼采本人对自己著作的音乐性,有全面的自觉。这就是缘何他对那些‘把耳朵塞进抽屉里’、只用眼睛读书的现代人,感到如此恼火。再者,通过思想之间的清晰联系、通过它们明显的不相关性和不连贯性,我们可以看到,写作《查拉图斯特拉如是说》的那位诗人,不是以词语的逻辑,而是以声音的逻辑处理他的思想”(施韦泽 384)。如果说尼采是诗人中的音乐家的话,那么让他又爱又恨的瓦格纳则是音乐家中的诗人。对此,施韦泽这样概括道:“瓦格纳是又一位音乐家中的诗人,只不过他不仅仅是文字表达的大师,同时是音乐表达的大师。尼采对瓦格纳不论是爱是恨,都达到了无人能及的地步;他总结了如下的著名公式:‘瓦格纳是画家中的音乐家,音乐家中的诗人,但最重要的一点:他是戏子中的艺术家’”(施韦泽 384)。

总之,我们认为,图像(造型艺术)因长于在有限的空间中展示多个共时性的事物,所以它们在表达效果方面往往容易成为西方浪漫主义作家所模仿的对象;音乐则因其抽象性和直接性而长于表达主体的精神状态或主观性

的情感，所以它们作为一种“从灵魂到灵魂”的语言也容易被高度主观化的西方浪漫主义文学所借鉴。在论及德国浪漫主义文学的特征时，彼得·皮茨除了谈到各种文学体裁之间的相互渗透之外，也指出了文学对艺术（尤其是绘画和音乐）的借鉴：“由于‘渐进的总汇诗’不局限于任何特定的形式和内容，它也同样摆脱了束缚，迈进了文学以外的艺术领域。这个时期的德国文学借鉴最多的是绘画和音乐”（皮茨 12）。

无论是文学对绘画（图像）模仿的跨媒介叙事，还是文学对音乐模仿的跨媒介叙事，都表现在“内容”和“形式”两个层面。限于篇幅，下面仅以西方浪漫主义文学模仿绘画（图像）的情况举例进行阐明¹。

就“内容”层面对图像的模仿而言，在文学史上有所谓的“艺格敷词”传统——一种古老的对物品（主要是艺术作品）或地方进行描述的传统：“这种写作方法被称为‘艺格敷词’（ekphrasis）——一种古时的文学风格，以详细精确描述某件物品或某个地方为特征，无论描述对象是真实存在抑或虚构”（金兹伯格 2）。也就是说，“艺格敷词”旨在提供所见物品或地方在语词上的对等物。现代人则倾向于仅仅把“艺格敷词”理解为“对一件艺术品的描述”（威布 26）。当然，无论是广义上把“艺格敷词”理解为对一切物品或地方的描述，还是仅仅理解为对艺术作品的描述，这种修辞方式或写作方法在“生动性”的艺术效果之外，还应该“在‘内容’描述方面以语词达到某种‘客观性’或‘精确性’，至少主观上如此。

由于与艺术之间的密切关系，西方浪漫主义文学中当然有不少对艺术作品进行描述的文字，但这种描述并不属于“艺格敷词”传统。浪漫主义作家认为真正客观的描述既不可能也无必要，所以他们对艺术作品的描述注重的是抒写主体的体验，如果非要对某件艺术作品的“内容”层面做出描述，那也是非常简单的，他们重点关注的还是该作品的“艺术性”。正因为如此，所以浪漫主义作家描述一件艺术作品的方式往往是以不同的媒介创作出另一件艺术作品；或者是在另一种媒介的衬托下，对被描述艺术作品的美学效果进行带有主观色彩的抒写。比如，瓦肯罗德的《一个热爱艺术的修士的内心里倾诉》中就有两个篇章以诗歌的形式来描述他所看过的画作：一篇即《对两幅画的描述》，另一篇则为《画家肖像——缪斯与一位年轻艺术家相会在画廊》。在题为《对两幅画的描述》的那一篇中，第一幅画名叫《贞洁圣母与基督圣婴和小约翰》，瓦肯罗德写了三首诗来对画作进行描述：《玛利亚》、《圣童耶稣》和《小约翰》；第二幅画名叫《来自东方三圣的祈祷》，瓦肯

1 至于西方浪漫主义文学对音乐模仿的跨媒介叙事，其特征也是非常明显的，勃兰兑斯说得对：“正如今天一些作家相当成功地试图用文字绘画一样，浪漫主义者也想用文字制作音乐。”（勃兰兑斯：《十九世纪文学主流》（第二分册），北京：人民文学出版社，1997年版，第112页。）关于西方浪漫主义文学模仿音乐的情况，笔者将另撰专文探讨，限于篇幅，此不赘述。

罗德也写了三首诗来对之进行描述：《三位圣人》、《玛利亚》和《圣童耶稣》。对于这种以诗述画的方式，范大灿先生这样评述道：“由于他坚持反对对艺术家进行阐释性的分析，因而为了表达一幅画的杰出之处，他就只有一种办法，用另一种艺术形式（例如诗歌）来描述一幅画的内容和发表自己的感想，‘对两幅画的描述’就属于这种情况”（范大灿 19）。当然，尽管范先生认为其中的诗歌也描述了画作的内容，但仔细地阅读这六首诗之后，我们能从中获取的“内容”方面的东西其实是非常少的。比如，瓦肯罗德对题为《贞洁圣母与基督圣婴和小约翰》画作的描述，就仅仅对画面上的三个人物形象分别写了一首诗，而我们从诗中能够获取的“内容”既少又充满主观性。试看其中题为《圣童耶稣》的那一首：“美丽多彩是身边的世界！/它对我异于其他孩童，/我不能真正地游戏，/用手捕捉不到任何东西，/我不能大声嬉戏轻松玩耍。/所有我眼前/生机勃勃的东西，/仿佛是些过往的影子/和可爱的光怪陆离之物。/但我内心充满喜悦，/胸中藏有更美妙的事物，/却无法道出”（瓦肯罗德 40）。

显然，这是以另一种艺术形式（诗歌）来释读画作《贞洁圣母与基督圣婴和小约翰》中的一个人物形象，而这种释读注重的是文本的“艺术性”而非内容的“精确性”。之所以如此，是因为瓦肯罗德认为：“一幅美的绘画作品其实是不能用语言描述的；因为一说到‘美’以外的词，人们对画的想象就会烟消云散。因此，老一代艺术史作者给了我明智的启示，他们面对一幅画只说：一幅杰出的、无与伦比的、盖世无双的精彩之作。我觉得，几乎不可能再做出更恰如其分的描述”（瓦肯罗德 38）。

至于“形式”层面对图像的模仿，瓦肯罗德的《一个热爱艺术的修士的内心倾诉》也是一个极好的例子。仔细分析起来，我们可以发现，《一个热爱艺术的修士的内心倾诉》一书的叙事结构呈现出一种特殊的“空间形式”，而这种“空间形式”受到了教堂中的祭坛画的深刻影响。除作为“前言”的《致这部文集的读者》（由蒂克撰写）之外，该书共收录了 17 篇形式上独立的作品（其中的 3 篇是蒂克撰写的）。这 17 篇作品既可以单独成篇，合起来又构成为一个整体。就整体而言，这些作品的排列组合，也就是说，整部作品的叙事结构受到了教堂中祭坛画的组合形式的影响：以第 9 篇《缅怀我们德高望重的鼻祖阿尔布莱希特·丢勒》为核心，呈左右对称地排列。关于这一点，恩斯特·贝勒尔已做过很好的揭示：“我们可以把这种排列与祭坛画（altarpiece）的形式作比较。两者的主要差别当然是，祭坛画从左至右排列的圣徒与先知在这里变成了艺术家，而通常身处中央的基督则让位给了丢勒”（贝勒尔 204-205）。

总之，通过跨媒介叙事，即通过语词对绘画或音乐的模仿，西方浪漫主义文学在某种程度上达到了“总体艺术”的美学效果；也就是说，通过跨媒介叙事，西方浪漫主义文学在保持自身文学特性的同时，也使自己具备了某

种“绘画”或“音乐”的特征。

结语

正如阿尔伯特·施韦泽所指出的，很多优秀的文学艺术作品尽管最终只能在外表上通过一种媒介以某一种艺术形式表现出来，但在其外表的背后其实还潜藏着另一种甚至多种艺术形式。文学艺术的这种本质性特征正好为“出位之思”或跨媒介叙事现象提供了心理基础，也正好为西方浪漫主义作家创作出“总体艺术”作品提供了现实可能性。从上面的论述也不难看出，西方浪漫主义作家也确实通过跨媒介叙事这一特殊的路径，成功地创造出了一种综合性的“总体艺术”。当然，这只是问题的一个方面；而问题的另一个方面则是：当文学或艺术纷纷“出位”去追求其他艺术的长处或效果时，千万不要忘了所用媒介自身的特色或“本位”，也就是说，“出位之思”或跨媒介叙事固然可能带来固守媒介“本位”时所不可能具有的精彩表述或艺术效果，但也不要超出媒介自身的表达极限，否则的话就容易事与愿违，走向问题的反面。施韦泽说得好：“不同艺术之间存在的紧密而又紧张的关系，使每一门艺术都有一种扩张的愿望，必须达到自身最极致的可能性，方甘罢休。但随即它又想去侵占别的艺术领地。不光音乐希望像另外两门艺术那样去描画和叙述，绘画与文学亦然。文学希望描绘出必须用眼睛观看的画；绘画希望抓住的，则不仅是可见的场景，更是其背后诗的感觉。然而，音乐借以表达的媒介，实在是太不适合描述实在的观念了，所以它想清晰表达诗歌与图像的观念时，很容易就达到能力的极限。正因如此，图画与文学的倾向，在一切时代都对音乐创作造成极其有害的影响，并催生一种伪艺术，它自以为是地幻想自己能描绘某些事物和思想，实则那已经远远超出了它的能力范围了。这种伪音乐靠做作与自欺存活。它傲慢地把自己看作唯一完美的音乐，结果只能令它声名狼藉”（施韦泽 385）。

如果说，音乐试图去清晰地表达文学或图像等实在的观念时很容易超出音符“能力的极限”的话，那么，叙事作品试图像音乐那样仅仅满足于能指的游戏而不叙述任何故事的话，就同样有超出语词“能力的极限”的危险。此外，文学固然可以借鉴图像的空间表述能力，但如果忽视语词的线性特征而试图使其承担视觉艺术的全部功能的话，就会超出语词“能力的极限”而走向反面了。比如说，法国的“新小说”因模仿图像艺术的空间描述和造型特征而确实产生了很多优秀的作品，但毋庸讳言，其中也有不少因超出语词的能力极限而导致失败的小说，对此，卡尔维诺曾一语中的地指出：“‘新小说派’（*nouvelle école*）的危险性在于把文学命题缩减为（也许更严谨但无疑更有局限性）视觉艺术”（卡尔维诺，《关于小说的九个问题》31）。当然，只要作家们在进行跨媒介叙事时对作为表达媒介的语词有理性的理解和清醒的认识，努力做到不超出这一媒介的表达极限，就可以有效地避免因“出位”

而带来的危险性。绝大多数西方浪漫主义作家，如瓦肯罗德、蒂克、霍夫曼、波德莱尔、马拉美等，对跨媒介叙事所持的都是这种理性的态度，所以他们能有效地运用跨媒介叙事这一艺术手段，去创造出他们心目中那种既具有高度的复杂性又具有多姿多彩的美感特征的“总体艺术”之花。

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Published by
Knowledge Hub Publishing Company Limited
Hong Kong

ISSN 2520-4920



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