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Monika Porwoł¹

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MANIFOLD CONTEXTS OF THE WORD *LADDER* [EN]/*DRABINA* [PL] IN THE LIGHT OF DIGITAL HUMANITIES: A PILOT STUDY

Abstract: *This article describes a pilot study pertaining to the linguistic analysis of meaning with regard to the word ladder[EN]/drabina[PL] taking into account views of digital humanities. Therefore, WordnetLoom mapping is introduced as one of the existing research tools proposed by CLARIN ERIC research and technology infrastructure. The explicated material comprises retrospective remarks and interpretations provided by 74 respondents who took part in a survey. A detailed classification of multiple word's meanings is presented in a tabular way (showing the number of contexts in which participants accentuate the word ladder/drabina), along with some comments and opinions. Undoubtedly, the results suggest that, apart from the general domain of the word offered for consideration, most of its senses can usually be attributed to linguistic recognitions. Moreover, some perspectives on the continuation of future research and critical afterthoughts are made prominent in the last part of this paper.*

Keywords: *digital humanities, CLARIN ERIC, plWordNet, WordnetLoom Viewer, linguistic analysis, pilot study*

Introduction

I will begin with a synopsis of digital humanities and its instruments related to the underlying matters, i.e. a variety of language investigation resources and techniques of natural language processing. I will then describe my project aimed at analyzing the meaning(s) of the exemplary word *ladder/drabina* by means of retrospective questionnaire. The main purpose is to examine whether and how differences and/or a multiplicity of meaning(s) are reflected in the digital realm.

Background

Semantic analyses in the area of cognitive linguistics have often been based on corpus based methods (Divjak 2006, Arppe 2008, Gries & Divjak 2009, Glynn 2009/2014/2015, Krawczak 2015). Even though fascinating studies have been conducted, cognitively-oriented investigations pertaining to words senses

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(that incorporate naturally occurring data with corpora) are quite rigorous, quantifiable and they tend to exclude introspective methods. The exception is the study of polysemous words as network-like categories with many interrelated senses of 'to run' performed by Gries (2006). Here, the author does not advocate to use the corpus evidence alone, because it is usually not large enough (Gries, 2006: 87) to obtain reliable uses of a given lexeme.

The second generation humanities pertains to a synergy of the humanistic thought and knowledge with the digital tools that deal with the so-called 'big-data' analysis (i.e. processing, visualization, presentation and popularization of research results). The contemporary humanities deal with a variety of issues, such as: (a) the global society of knowledge, information and digitalization; (b) the basis of visual communication (infographics, hypertext, video blog, messenger, chat room, social networking, etc.); (c) fundamentals of computer design and editing; (d) interactive literature; (e) the correspondence of arts and science, (f) an introduction to visual reality (VR), etc.

Moreover, the intersection of 'the humanities' plus 'the digital' gave rise to social and cultural conditions, in which the humanities became subject to new scientific perspectives and developing new research methods (Schreibman et al. 2004, Radomski & Bomba 2013, Radomski 2014, Bomba et al. 2016). An impressively large number of techniques, computer tools, platforms, applications came gradually into existence under the category of 'digital' and changed the pattern of humanists' performance, ways of collecting data, as well as the analysis and dissemination of their findings. By the same token, computer scientists have a tendency to treat the digital humanities as the study of how an electronic form stimulates the disciplines in which it is used and how these fields of knowledge contribute to the computing elaboration.

Digital humanities (DH): a definition

In order to research a capacious statement of the meaning and significance, I first commenced online Google search with Wikipedia that provides a justly far-reaching definition of digital humanities, as:

“[...] an area of scholarly activity at the intersection of computing or digital technologies and the disciplines of

the humanities, it includes the systematic use of digital resources in the humanities, as well as the reflection on their application. DH can be defined as new ways of doing scholarship that involve collaborative, trans-disciplinary, and computationally engaged research, teaching, and publishing. It brings digital tools and methods to the study of the humanities with the recognition that the printed word is no longer the main medium for knowledge production and distribution.”

It has to be pointed out, however, that the Wikipedia’s explication is rather a working definition, which omits matters that actually concern people working in this field of knowledge, for instance: the question of equidistance between ‘digital humanities’ and ‘humanities computing’, or whether efforts directed to accomplish research goals occur only in DH academic departments (Kirschenbaum 2010).

On the other hand, Svensson (2010) claims that:

“[...] humanities-based engagement with information technology is not new, but we are now seeing a rich multi-level interaction with the "digital" that is partly a result of the persuasiveness of digital technology and the sheer number of disciplines, perspectives and approaches involved. Humanists are exploring differing modes of engagement, institutional models, technologies and discursive strategies. There is also a strategy-level push for the digital humanities which, among other things, affects university research strategies, external funding and recruitment.”

The digital investigations expand the amount of material and computer science infrastructure that scholars can access and process in any given amount of time just to facilitate their work in the digital sphere.

Many definitions of DH found in the sources do not fulfill a satisfactory outcome, which depends on various factors and purposes of DH modes of engagement. An interesting compilation of statistical facts with regard to this field and the quest to

provide the DH definition was performed by Melissa Terras². She developed an infographic representation of DH in a quantifying form that provokes for comments and further deliberations on language resources and technological tools. One of them is CLARIN ERIC (Hinrichs and Krauwer 2014, *Lingua* 2016: 1-4).

Comon Language Resources and Technology Infrastructure, European Research Infrastructure Consortium (CLARIN ERIC)

It is an European 'roadmap of projects' as far as research archives, tools and infrastructure in humanities and social sciences are concerned. It offers a multiplicity of language resources (i.e. digital archives, electronic dictionaries, corpora, language models, etc.) on the Internet and in electronic forms (i.e. press releases, texts or blogs, etc.), as well as software tools for natural language processing to language investigators (Hinrichs and Krauwer 2014: 1525).

Scholars who are engaged in researching large quantities of text may find useful information and guidelines rooted in computational linguistics, language and speech technology, natural language engineering in 19 member countries³.

The 'seeds' of modern computerized database are evident in many text-based taxonomies and indexing systems. Humanists can use various relational databases as the engines behind complex visualization systems, text archives and multimedia works. Even a simple application may be developed to a well-designed and efficient database, in which an entire set of ontological relations may be capable of generating statements about a given domain. Therefore, a single word (e.g. *ladder/drabina*) can be detected in terms of the context of its synonyms set, or the lexical equality of ratios proportion (i.e. analogy) may be found.

One of the number of Polish language resources is 'plWordNet'. It is a lexico-semantic network which currently contains 178,000 word forms, 259,000 word senses, and over 600,000 relations (that are constantly updated). It has got numerous applications, one of which is a Polish-English and

² Professor of DH in the Department of Information Studies, University College London, and Director of UCL Centre for DH.

³ See: <www.clarin.eu>

English-Polish dictionary (the effect of mapping onto Princeton WordNet). Additionally, 'plWordNet' is an essential resource in natural language processing, as well as in artificial intelligence research (e.g. it is used by Google Translate for the purpose of machine translation).

The relationship by which language is anchored onto the world is called *reference*. Moreover, the semantic links between elements within the system of nomenclature is an aspect of meanings. In 'plWordNet', senses are interconnected by relations. For example, in the resulting network, the lexeme *ladder/drabina* is defined implicitly in reference to other words and presented in a 'concept map' via WordNetLoom Viewer (an application enabling the display of plWN entries). In computer science, mapping is used in argument representation and illustration of schemes for depicting cyberspace and the web. The semantic network of the word *ladder/drabina* is shown on the screenshots presented below. The first one (1a) represents semantic relations, i.e. synonymy {partial, (inter)register, (inter)pragmatic}, hyponymy, holonymy, meronymy, hyperonymy. A path to the highest hyperonym is constructed in the following order: an entity, physical entity, object, artifact, stairway. The second screen grab (1b) envisages some hyponyms of the word *ladder/drabina*, such as: *Jacob's ladder*, *rope ladder*, *scaling ladder*, *Szczerbowski's ladder*, *step ladder*, etc.

W WordNetLoom 1.65 (WordNetViewer) Słowniczek: 1.0
 Plik Edycja Perspektywa Inne Okno Pomoc

Relacje jednostek Relacje synsetów Edycja synsetów Wizualizacja wordnet...
 drabina #0

Wszystkie Aspekt: Wszystkie Dziedzina: Wszystkie Relacje: Wszystkie
 Ogranicz do 500 eleme

Szukaj

Jednostki tekstu/kalibr:
 drabina 1* (wytw)
 drabina 2* (wytw)
 drabina analityczna 1* (umy)
 drabina hakowa 1* (wytw)
 drabina jakubowa 3* (wytw)
 drabina Szczerbowskiego 1* (N

Podgląd

Synset

Właściwości

Jednostki w synsycie:
 ladder 1* (wytw)

Status: Nieprzetworzony
 Komentarz:
 brak danych

Właściwości:

Relacje jednostki

ladder 1* (wytw)
 Od

Przykłady Schowek

Spuściwszy je po drabinie sznurowej, poprzytyją em wielkimi gwoździami żerdzie, poukładają em na nich deski i po dwóch godzinach pracy zrobią em
 najlepsze fosucie maczna trzusa... brzoa przyniżają em do szczepki sterna... stw. mi.śt. woda nie zabrze... (KDW.1)

Cache włączony, zapytania: ██████████ (57%), czas życia: 2 min., zapytań: 1, wielkość: 0 B/s. | Ogólne zużycie pamięci: 158 MB

15:12
 2017-02-08

The screenshot displays the WordNetLoom 1.65 interface. The main window shows a network of word relations for the term "drabina Jakułkowa #0". The nodes in the network include "drabina Jakułkowa", "drabina 1* (wytw)", "drabina 2* (wytw)", "drabina hakowa 1* (wytw)", "drabina Jakułkowa 3* (wytw)", "drabina Szcherbowskięgo 1* (N)", "drabina 1* (por)", "drabina 2* (por)", "drabina 3* (por)", "drabina 1* (wytw)", "drabina 2* (wytw)", "drabina 3* (wytw)", "drabina 1* (wytw)", "drabina 2* (wytw)", "drabina 3* (wytw)", "drabina 1* (wytw)", "drabina 2* (wytw)", "drabina 3* (wytw)", "drabina 1* (wytw)", "drabina 2* (wytw)", "drabina 3* (wytw)".

The interface includes several panels:

- Podgląd:** A small diagram showing the relationship between "drabina Jakułkowa 3* (N)" and "drabina 1* (por)".
- Synset:** A list of synsets for "drabina Jakułkowa #0", including "drabina 1* (wytw)", "drabina 2* (wytw)", "drabina hakowa 1* (wytw)", "drabina Jakułkowa 3* (wytw)", and "drabina Szcherbowskięgo 1* (N)".
- Właściwości:** A panel with fields for "Jednostki w synsencie: biblizm 1* (por)", "Status: Nieprzetworzony", "Komentarz: brak danych", and "Właściciel: Justyna Ławniczak".
- Relacje jednostki:** A panel with a dropdown menu showing "biblizm 1* (por)" and a "+" button.
- Wyszukiwanie:** A search box with the text "Szukaj".
- Właściwości leksykalne:** A list of lexical properties for "drabina Jakułkowa 3* (wytw)", including "Dziedzina: wytw => wytwor; ludzkie(nazwy)", "Część mowy: rzeczownik", "Wystąpienia: 0", "Status: Nieprzetworzony", "Komentarz: ##K: książk; ##D: bardzo wysokie schody; ##DD>", and "Synsety: (drabina Jakułkowa 3* (wytw) [wytw] |)".
- Statystyki:** A panel showing "Ilość: 6".

traditional way by administering the questionnaire to respondents and asking them to answer the questions (only in Polish). The prepared sets of queries were designed in such a

manner that all key informants could comprehend them in the same way. The results were compared with pLWN entries, Tweeter and online resources (i.e. NGram Viewer, Google Trends, National Corpus of the Polish Language).

Hypothesis

The main goal of the preliminary investigation was to check the respondents' perception of the given word in a variety of contexts. It was predicted that the participants will primarily highlight the general understanding of that word in a given domain and then proceed to its interrelated senses depending on their own personal cognition and comprehension of ideas.

Respondents

In order to obtain a representative (but also sufficient public opinion), I have decided to engage people who claimed to have some linguistic knowledge (i.e. English Philology students, college/university graduates, teachers, linguists, etc.).

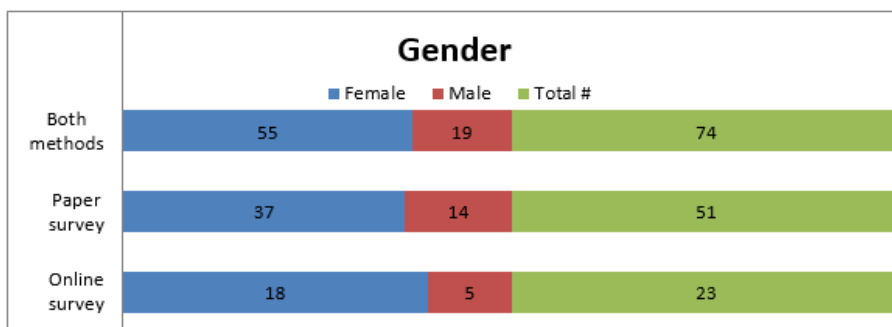


Diagram 1 – The respondent's number and gender

Fundamentally, 74 people took part in a survey: 55 women and 19 men. The above Diagram 1 envisages the subdivision of participants that filled out either paper or online version of the questionnaire. The majority of subjects (72%) were 20-29 years old and at that time they were the second year students of English Philology (see: Diagrams 2 & 3) . The most mature and experienced respondents were between 50-59 years old; nonetheless, they established only 3% of the total number of informants. Interestingly, 16% was represented by people, who claimed to be 40-49 years old and they are college or university graduates (having either BA or MA degree). It must also be underlined that one person that completed the desired

information claimed to have a PhD degree. This particular informant accomplished the set of questions by way of SurveyMonkey and provided an invaluable range of engaging answers that gave rise to intriguing concluding remarks with respect to lexico-semantic analysis of meaning.

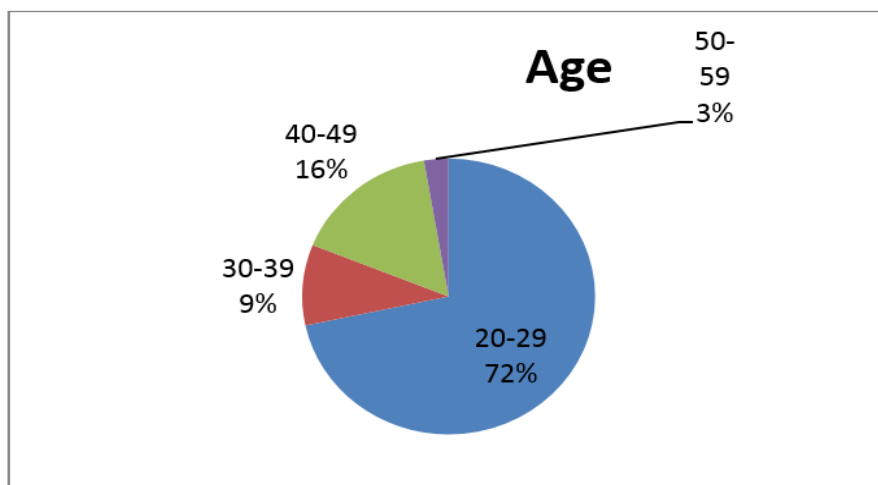


Diagram 2 – The respondent's age

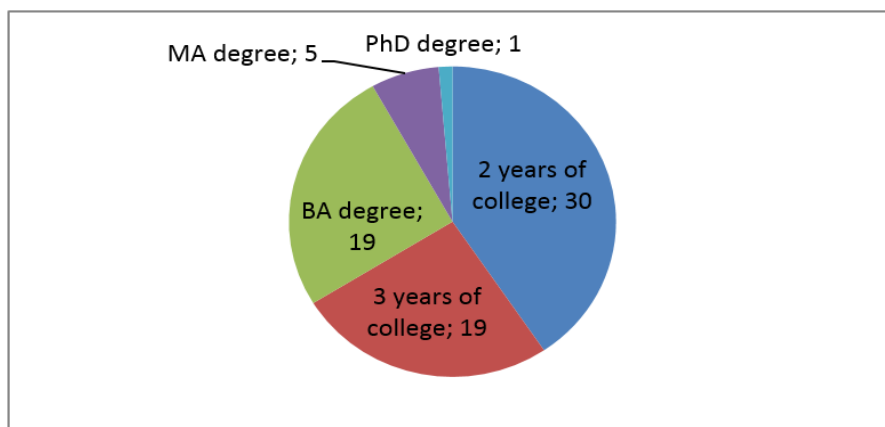


Diagram 3 – The respondent's education

Additionally, I also asked participants to reveal their knowledge of foreign languages with specifying their level of competence. This information is presented in Table 1:

Level of competence	English	German	Russian	French	Spanish	Japanese	Romanian	Czech	Serbian	Italian
<i>Proficiency</i>	9	1	--	--	--	--	--	1	--	--
<i>Advanced</i>	38	--	2	--	--	--	--	--	1	--
<i>Communicative</i>	1	--	--	1	--	--	--	--	--	--
<i>Intermediate</i>	13	10	1	6	--	--	--	1	--	--
<i>Basic</i>	9	45	21	13	6	2	1	5	--	1

Table 1 – The respondent's knowledge of foreign languages

Therefore, it can be commented that English is the most frequent second language that the respondents know and use on the advanced way of communication (both written and spoken). Another most popular foreign language among informants is German (on the basic level). There are the subjects, however, that have claimed to know French, Russian, Czech or even Japanese. In order to establish validity of this information, I asked to provide the equivalent of the word *drabina* [PL]/*ladder* [EN] in a distinguished foreign language. In return, I have received the following feedback information: *žebřík* (Czech), *l'échelle* (French), *die Leiter* (German), *scala* (Italian), *はしご* (Japanese), *scară* (Romanian), *лестница* (Russian), *мердевине* (Serbian), *escalera* (Spanish).

Discussion

The vast majority of respondents claimed that *ladder/drabina* is an object of climbing to a higher level. A large group described the *ladder* as a hierarchy, e.g.: professional career (from an employee to a director), development and/or success. Some people depicted *ladder* as a wooden or metal object with beams/rungs, or a kind of 'stairs'. Moreover, it was described as a part of the car used by firefighters to extinguish a fire and rescue people. There were some informants that mentioned *Jacob's ladder* as: (1) a phenomenon in physics, (2) the way we have to go through life (metaphorical meaning), (3) overcoming obstacles, (4) the way to the ideal, spiritual development, as well as a *ladder* associated with the biblical story.

The results of the pilot study signalled the general understanding of the expressions in the context of the word *ladder* that corresponded with a provided domain of knowledge. The most straightforward answers were provided with regard to *ladders* associated with the technical profession or skill. The greater part of informants matched *articulated ladder*, *fire ladder*, *telescopic ladder* and *general duty extension ladder* with technical industry (Table 2).

An in-depth study of numerous sources makes prominent the existence of synonyms of the relational word *ladder* in different domains, which intensify its meaning(s). It should be emphasized that the same synonyms can occur in various fields of knowledge, e.g. in literature and art (theater, painting, etc.). For example, the *ladder of beings/great chain of beings* refers to the established order (hierarchy, stage, cycle, sequence, order, etc.). The *ladder* can also be traced back to the SCIENCE domain (and terms related to thinking) that has historical roots. Additionally, it can branch into at least three sub-disciplines: (1) HISTORY: philosophy: biology, (2) HISTORY: philosophy: theology/religion, (3) HISTORY: philosophy: literature /linguistics.

SCIENCE (terms connected with thinking)	HISTORY: philosophy: biology <i>The Great Chain of Beings</i>
	HISTORY: philosophy: theology/religion <i>The Great Chain of Beings</i> <i>ladder of Saint Thomas Aquinas</i>
	HISTORY: philosophy: literature/linguistics <i>The Great Chain of Beings</i> <i>ladder of Saint Thomas Aquinas</i> <i>feudal ladder</i>

Firstly, the *ladder of beings* is referred to a linear system of living organisms, used in biology at the turn of the 18th and 19th centuries; Latin *scala naturae* (Kopaliński, 1987: 220). In ancient times, Aristotle placed metaphysics as a human need for knowledge, which occupied a dignified place in the hierarchy of science. The way of being and non-being is the general expression of "substances of change in the crescent-like sphere up to the self-concocted, which is the ultimate goal of the theoretical, and thus philosophical, life in the cosmos." (Aristotle, 1996: xxix). On the canvas of this conception, the *ladder of beings* was created as the

hierarchy of material objects. A classification of creatures (from the simplest to the complex ones) is dependent on the degree of participation of form and matter in a single being (the whole life). Consequently, Tomism is based on Aristotle's philosophy. One of its assumptions is that a man's destiny is to know the highest goal, i.e. meeting God through the 'light of glory'. According to St. Thomas Aquinas, the *ladder of beings* has a place between angels and animals, and the hierarchy of forms depends on how these forms relate to one another. Thus, the medieval philosophy of beings was supplemented by the question of existence, which in conjunction with the essence is synonymous with substance. Moreover, it is an interesting fact that the *ladder of beings* (as a system of hierarchy) was used in Shakespeare's plays ("Hamlet" & "Macbeth"), in which the social classification (kings-princes-nobility-people) was distinguished. In addition, Nowak (2013, 2014) proves that in today's Polish language it is possible to analyze many linguistic examples with regard to terms attributed to people, animals and plants as the so-called '*ladder of beings in language*'.

It can be detected in Table 2 (see: legend pertaining to the number of responses) that the *ladder of beings* was matched with philosophy by [50] informants, religion {29}, linguistics and esoteric aspects (17). The choice of the last mentioned domain is questionable though, because esoteric association with this phrase seems to be quite doubtful. In contrast, the *ladder of Saint Thomas Aquinas* was linked with religion by [19] participants, philosophy by {17} and linguistics by (15) people.

Apart from the overall aspect of a given expression that was the first selection for the majority of respondents, the second or the third most frequent choice of reference was linguistics. The concepts pertaining to technical language, professions and *Tarot's symbolic meaning of ladder* were exceptions.

From the linguistic standpoint, there are numerous and varied instances in communication when the word *ladder* may be expressed or represented in a metaphorical mode, e.g. *a ladder of dreams*, as well as in terms of idiomatic expressions, for instance: *low man on the ladder*, *the lowest rung on the ladder*, *at the bottom of the ladder*, *I can't see a hole in a ladder*, *crosses are ladders that lead to heaven*, etc. A present pilot study indicates that Polish language users (that took part in it) frequently associate semantic relations (in this case with respect to the

word *ladder*) with the science of language. This trend (with some cases not conforming to the general point) can be seen in the last column of Table 2 presented below:

CONCEPTS	REFERENCE							
	religion	philosophy	business	technics	literature	esotericism	arts	figurative or metaphoric expression
<i>ladder of success</i>	2	(11)	[69]	8	10	--	(11)	{36}
<i>social ladder</i>	(20)	[37]	15	3	(20)	3	7	{32}
<i>ladder of loyalty</i>	(17)	[30]	{23}	2	2	1	1	(17)
<i>corporate ladder</i>	3	5	[63]	{17}	3	1	3	(13)
<i>ladder of Saint Thomas Aquinas</i>	[19]	{17}	1	--	11	8	12	(15)
<i>spiritual ladder</i>	[69]	{27}	2	1	12	(26)	16	18
<i>ladder of beings</i>	{29}	[50]	3	3	11	(17)	9	(17)
<i>Jacob's ladder</i>	[60]	16		2	(22)	1	10	{23}
<i>feudal ladder</i>	3	{23}	17	5	[25]	--	5	(18)
<i>ladder to heaven</i>	[64]	21	3	--	20	8	{26}	(22)
<i>ladder of dreams</i>	7	[41]	13	6	(35)	10	31	{36}
<i>articulated ladder</i>	--	--	1	[63]	2	--	1	1
<i>fire ladder</i>	--	1	3	[69]	5	--	4	2
<i>telescopic ladder</i>	--	--	--	[66]	2	4	2	3
<i>general duty extension ladder</i>	--	1	4	[65]	3	2	1	4
<i>witches' ladder</i>	5	10	--	--	{37}	[42]	(21)	(20)
<i>'Tarot's symbolic meaning of ladder'</i>	2	3	--	--	{13}	[46]	(11)	7
<i>career ladder</i>	3	(13)	[72]	8	10	1	8	{23}

Table 2 – Matching expressions with their reference: the number of answers provided by the respondents

Legend:

[# in square brackets]: the first highest number of responses

{# in curly brackets}: the second highest number of responses

(# in round brackets): the third highest number of responses

What is more, the testees were asked to present their point of view with regard to some general and figurative statements with the lexeme *ladder/drabina*. As it can be seen in Table 3, the answers are varied, but engaging attention.

	I DEFINITELY AGREE	I AGREE	I'm NOT CERTAIN	I DISAGREE	I DEFINITELY DISAGREE
1. 'The ladder of dreams' is a	11	[46]	9	6	2

	metaphor pertaining to life and happiness.					
2.	Walking under the ladder may indicate bad luck.	4	8	12	[29]	21
3.	The ladder is a 'bridge' between a chance of escape and orderly transition from the world of truth to the new covenant.	8	22	[30]	10	3
4.	'The ladder of buyer's loyalty' illustrates the idea of marketing relationship. It indicates the place where the buyer is identified in the service organization.	9	[34]	27	3	1
5.	'Ladder' is a word composed of 6 letters (2 vocalics and 4 consonantals) and/or 6 sounds (2 vowels and 4 consonants).	[50]	{22}	1	--	1
6.	A ladder may depict a timeless hierarchy.	21	[38]	10	4	1
7.	„Even the highest ladder has got the last rung“.	[26]	[26]	17	3	2
8.	A ladder may depict stages in the production process.	11	[46]	13	4	--
9.	Only one person may stand on a ladder.	15	12	9	[29]	10

Table 3 – Respondents' opinions

Statement 5, for example, was accepted by almost all informants, that is quite obvious since they are/were principally philology students or college/university graduates. Responses to statement 9, on the other hand, caused an unexpected astonishment, because from the technical viewpoint presented in many instructions or guides regarding safety hazards it is set forth that: 'Only one person may stand and/or work on a ladder'. It is a customary fact. Opinions connected with other sentences indicate that language users are familiar with connotative senses of the word *ladder/drabina* both in their mother tongue, as well as in the English language.

Conclusion

Essentially, in the present work there are several observations made. I have determined that a great part of survey participants is able to unify the meanings of the word *ladder/drabina* by matching a direct sense out of the provided collection of word meanings in the adequate context. Language users can easily determine the denotative meanings of the word, as well as exemplify that lexeme in connotative sentences by illustrating their point through metaphors or idiomatic expressions. However, in several instances the answers were

marked by doubt due to a lack of knowledge, uncertainty or carelessness in answering the questions. In other words, the majority of subjects took notice of the general understanding of the word *ladder/drabina* in an ordinary domain and then proceeded to its interrelated senses (depending on the personal wisdom and understanding of concepts). The linguistic background, however, was indispensable in determining the word's annotations.

I am aware that the present study has shortcomings. First of all, it has to be claimed that the research is limited in scope: (a) rather a small group of respondents involved in the preliminary investigation, (b) the study involved only Polish language users that have a good command of the English, (c) only one lexeme (*ladder/drabina*) was taken into account, etc. Another critical argument is the necessity to undertake a larger empirical study based on concrete instruments found in digital infrastructure. The present work is treated here as a prelude to an extensive investigation of semantic links between elements within the particular language vocabulary systems and their multitude of references appearing in the digital reality. For this reason, the special software and/or application is in preparation that will indicate a given word (for instance on Tweeter) and assign that vocabulary item to its key senses provided by language users. Hopefully, the present pilot study will be supplemented in the future with the possibility to check the frequency of given words that exist in the digital sphere. It is known that the results of further studies shall employ a larger group of online testees (global language commons), involve different language combinations (a variety of codes), detect and visualize (by means of info-graphics) the synergy of meanings, as well as semantic disruptions in symbols valuation with the use of tools offered by the IT industry.

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SEMANTIC PRIMING EFFECTS OF SYNONYMS, ANTONYMS, FRAME, IMPLICATION AND VERB-OBJECT CATEGORIES

Abstract: *Semantic priming has been a major subject of interest for psycholinguists, whose aim is to discover how lexical memory is structured and organized. The facilitation process of word retrieval through semantic priming has long been studied. The present research is aimed to reveal which semantic category has the best priming effect. Through a lexical decision task experiment we compared the reaction times of masked primed pairs and unprimed pairs. In addition, we analyzed the reaction times and priming effect of connected semantic relations: antonymy, frame, synonymy, implication and verb-object. The data collected and interpreted unveiled that the mean reaction times of primed pairs were shorter than those of unprimed pairs. As to semantic priming, the most significantly primed pairs were those of implications and verb-objects, and not those of synonymy or antonymy as it might be expected*

Keywords: *psycholinguistics, priming, lexical decision task, semantics, reaction time*

Introduction

The fast pace at which humans choose from approximately 30,000 words in the mental lexicon to produce more than 150 within one minute, has led to vast research and numerous experiments aimed at figuring out how words in the mental lexicon are organized and whether there are any specific relationships among them.

The human brain seems to be able to search for a certain word within a significantly short time. Psycholinguists have developed several techniques to provide evidence on how fast and how efficient is the ability to search and produce words. One of these techniques is well-known: Lexical Decision Task. In this task, the subject has to decide whether a string of letters presented to him/her, is a word or a non-word of a specific language. The evidence collected from this experimental technique has been helpful in evaluating the mental accessibility of the word and the time needed to process the word.

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Numerous experiments based on Lexical decision tasks have shown that the inclusion of priming facilitates the task. “For example, in a seminal study, Meyer and Schvaneveldt (1971) demonstrated that people were faster to decide that butter is a word in English when it was preceded by the word bread than when it was preceded by the word nurse” (González and Márquez 2007: 203).

Lexical decision task is often combined with the experimental technique of priming, where the TARGET word is preceded by a prime, which is a word, related or unrelated to the target. There is a priming effect whenever the prime facilitates the retrieval of the target word.

To eliminate any memory trace and the conscious operation of activating the target word through the prime, Forster and Davis developed the paradigm of masked priming in 1984. In masked priming the prime is shown between the mask and the target, and for a shorter time than the mask. This prevents the prime to reach consciousness, but still seems to produce the priming effect. Some scholars refer to masked priming as purer priming, since subjects are mostly unable to notice it. “It seems clear that any observed priming effects cannot be a result of any conscious appreciation of the relationship between the prime and the target stimulus” (Forster 1997).

The primes that are semantically related have been found to facilitate the lexical decision task. What we wanted to unveil was which semantic relations between the prime and the target have more priming effect and lead to faster Reaction Times (henceforth RT).

In the experiment we used a visual mask. We did so based on the fact that “evidence from visual masking supports the view that readers process a word at many different levels – feature, letter and whole word. Briefly shown a word on a screen, subjects find it more difficult to report what the word is if it is immediately followed by another stimulus” (Field 2005: 171).

Experiment

The experiment tested the priming effect in a lexical decision task, where the primes and targets had certain semantic relation. The first condition was that the prime and the target had to have had an Antonymic relation. In the second condition, the prime and the target were synonyms of each other. The third

condition was a Frame condition, the fourth was the implication condition, whereas the fifth one was the verb-object condition, in which the prime was a verb and the target was the direct object of that verb. There was also an unrelated condition (ord), in which there was no semantic relation between the prime and the target, since they had no semantic relationship. The last condition was that of nonwords.

Method

Subjects: 24 people participated in the experiment. They all claimed to be native speakers of Norwegian and 23 of them were university students. The subjects were not paid and they participated voluntarily. In addition, they were told that if, for any reason, they felt uncomfortable, they could quit the experiment. All of them completed the experiment from the beginning to the end.

Materials and Design

The wordlist used for the experiment was created by the experiment designers. This wordlist had two main groups. The first group was “Words” and the second ones “Non-words”. In the words group there were 5 categories of prime-target: antonyms, synonyms, frame, implications, and verb-object. In each of the categories there were 10 pairs; on the other hand, in the second group, there were 50 non-words.

The experiment had four blocks: An introduction text block, a warm up block, the experiment block, and a final thank-you block, which notified the subjects that the experiment was over.

The word non-word targets were shown randomly, and the same was true for the antonymic, synonymic, frame, implication and verb-object pairs.

The experiment was designed through the program “Superlab”. The subjects saw the word strings on a computer screen and had to answer through a control box designed with two response keys: a green one for yes, and a red one for no.

Procedure

The subjects were presented with the task of the experiment: to decide whether the string of letters shown to them on the monitor, was a word or a non-word in Norwegian.

They were also told that this experiment's aim was not to measure their intelligence, nor to test their knowledge.

After the first block of introduction, there were some warm-up pairs of words shown to the subjects. The reaction times to these pairs were not taken into consideration in the final results.

The mask which was a single asterisk (*), stayed on the screen for 1000 milliseconds. Then the prime, with small letters appeared on the screen for 50 ms. As to the target that was shown for 1000 milliseconds, or for a shorter time, in case that the subject pressed a button before that time. The randomized pairs of prime-target were the same for all subjects.

Results

As it was expected after finishing the experiment, most of the subjects were not aware of the primes, the words in small letters. This was likely to happen since the experiment dealt with masked priming.

The data collected and statistically analyzed showed that the primed conditions had shorter reaction times than the unprimed ones (ord). In addition, the response latencies for antonymic, synonymic and frame pairs were almost the same. The priming effect was noticed on implications and verb-object pairs.

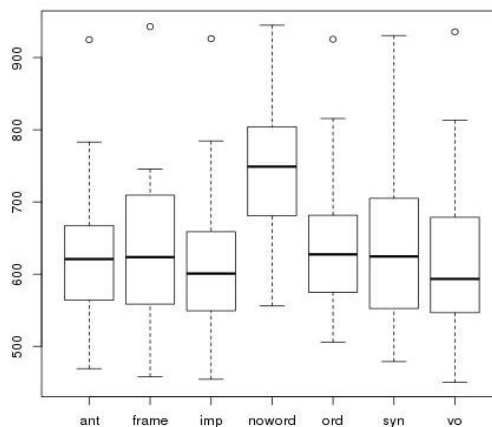


Figure 1

Mean reaction time

condition	Ant	601.166
	Frame	606.154
	Imp	562.362
	noword	611.064
	Ord	603.187
	syn	594.708
	VO	595.183

Table 1

It is clear that all primed mean RTs are below the RTs of the unprimed category nonword.

Different processes take different time to complete. By manipulating the variable “baseline times” (unprimed word) with the control over the condition, we can obtain the reaction times. The reaction times for each of the conditions are as follows and they are plotted with a histogram. These histograms indicate the Confidence interval, and the normal distributions. As it can be seen, the curves of the implications and verb-object scoops miss zero. This indicates that the data can be explained by the variation at the rejection level of 5%.

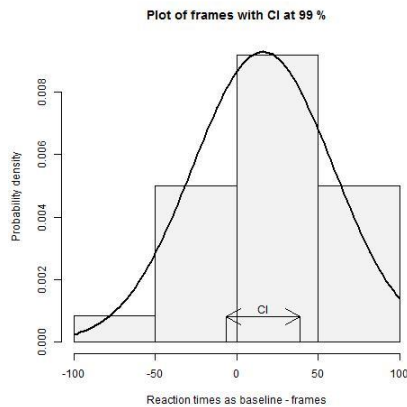


Figure 2

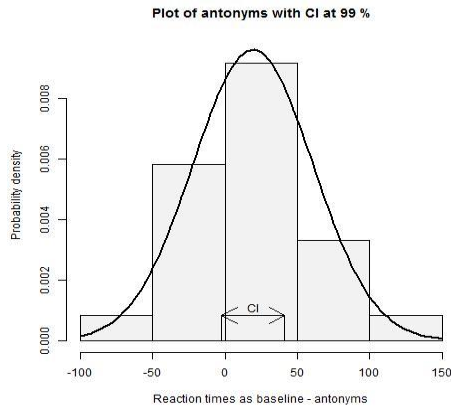


Figure 3

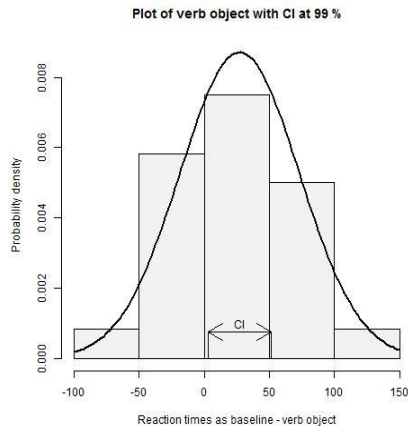


Figure 4

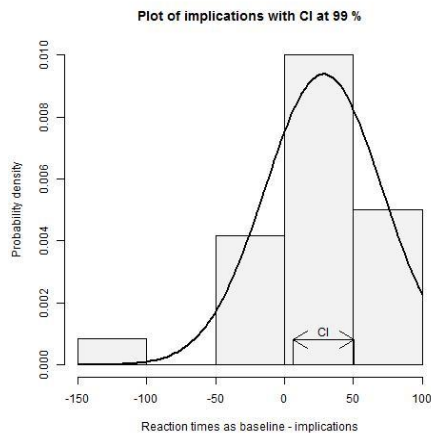


Figure 5

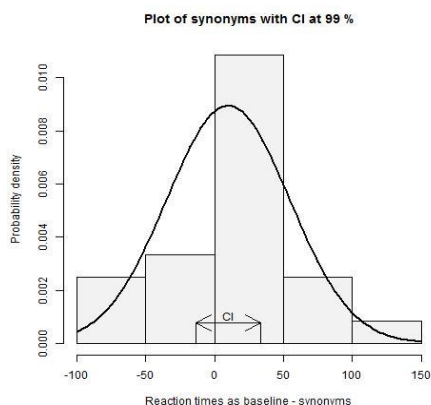


Figure 6

In the cases when the curves scoop up to zero, the differences are too small to reject the null hypothesis (the hypothesis that there is no difference in the reaction time for all semantic categories).

The Confidence Interval due to Bonferroni corrected, was 99% and not 95%, since there were 5 hypotheses and the rejection level of 5 %, was turned into a rejection level of 1%. For this reason the CI in our plots were set at 99%.

The significance of each condition was tested via the pairwise t-test for each category.

T-test	p-value
(frame.o)	0.079
(syn.o)	0.293
(imp.o)	0.003
(ant.o)	0.033
(vo.o)	0.008

Table 2

There are three p-values under 5%, for Imp., V-O and ant. However, due to Bonferroni correction, we had to adjust for the number of comparisons, which brings the 5% significance level down to 1%, and only Imp. and V-O are still below that, i.e. show significance.

What can be concluded is that there is a priming effect for implications and verb-objects – these two conditions showed significance $p < 0.1$.

Error-codes of the experiment and their interpretation

To determine the priming effect of different categories, the error codes representation was chosen to shed light on our results.

type	C	E	NR
ant	229	2	9
frame	229	3	8
imp	216	4	20
noword	965	42	193
ord	212	11	17
syn	225	1	14
vo	230	2	8

Table 3

Table no. 3 shows the number of Correct answers (C), Wrong answers (E) or No responses (NR) for each category. As it is seen for the non-word category, there are 42 errors, more than all other semantic categories altogether, 23. In addition, there are 193 No responses for the non-words, even less than the sum of NR-s of all remaining categories, 76.

Statistically, the data from the error codes can be explained by the chi-square test. This test provides an explanation on whether (C), (E) or (NR) are in the proportions as expected by chance.

Test between all with baseline “ord”

```
chisq.test(type.code[c("ant", "frame", "imp", "syn", "vo", "ord"),])
p-value=0.001193 <---- on the level 0.001
```

Test only between the priming pairs

```
chisq.test(type.code[c("ant", "frame", "imp", "syn", "vo"),])
p-value=0.1519 <---- 15% no significance
```

These chi square tests show that the primed conditions have the expected distribution, and, on the other hand, the unprimed (ord) have a significant low p-value.

As it can be seen from the graph and the chi-square tests run in R, RTs in general are faster for primed versus unprimed words (non-words). But only implications and verb-objects show a significant difference, thus a priming effect.

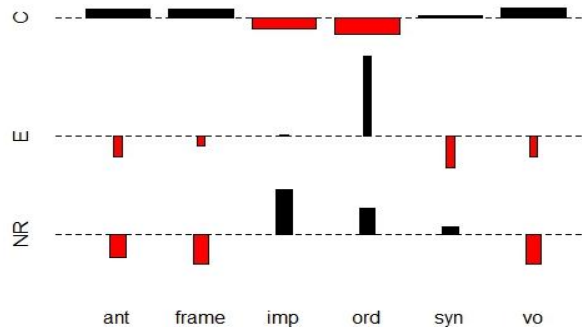


Figure 7

As shown on graph 8, the error-codes group the primed words together as a cluster with respect to the unprimed one, keeping the non-words out of the equation.

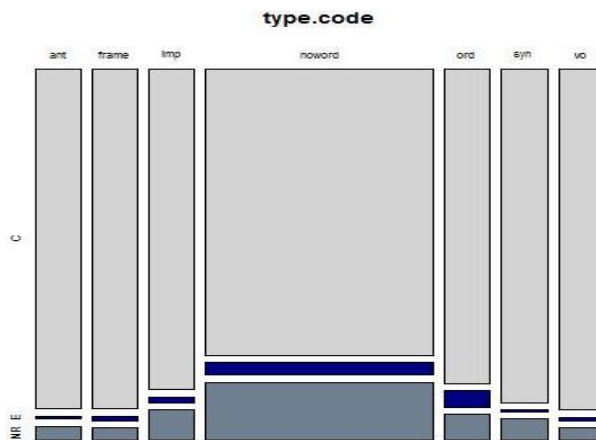


Figure 8

To conclude, the reaction times show a general tendency towards faster times for primed words. In the primed categories only the implication category and the verb-object category were significantly primed when compared to the other ones. As to

what the analysis of the error-codes indicates, there is a priming effect for words and non-priming effect for non-words.

Discussion

In psycholinguistics research the term "semantic priming" refers to the facilitating effect of word retrieval when it is preceded by another word that belongs to the same semantic field. The semantic priming phenomenon might suggest that concepts in the lexicon are related to one another, and that the mental lexicon is not a randomized entity.

Via the lexical decision task, Meyer and Schvaneveldt (1971) showed that lexical decision responses have shorter reaction times when the target word and the previous (prime) one are related. Moreover, Levelt (2001) assumes that a word from a certain semantic field activates related concept nodes. "HORSE also sends part of its activation to semantically related concept nodes, such as those for ANIMAL and GOAT. In turn, these spread part of their activation to their lemma nodes, animal and goat" (13466).

Researchers have suggested using masked priming to minimize the expectancy effects or memory traces and to avoid any strategy in word retrieval (Forster 1997). They also found that the reaction times in the lexical decision task were faster for the primed Targets than for the unprimed ones.

What we were aiming to find out was whether the primed categories had faster reaction times than the unprimed ones. In addition, we wanted to discover which of the semantic categories had a more facilitating effect in the lexical naming task and shorter reaction times. For this reason we analyzed the data collected from the experiment built on five semantic categories: antonyms, frame, implications, synonyms and verb-object.

The results of the experiment showed, as it was expected, that there were shorter reaction times for the primed condition than for the unprimed ones, as stated in the studies by Neely (1977) Aitchison (1987), Ortells et. la (2006), etc. In a similar study Radford (1999) argues that the difference in the reaction-times is a result of the lexicality. "Both are pronounceable English words, but there is still a significant reaction-time difference: the rejection of a non-word takes longer than the acceptance of a real word. This is called lexicality effect." (Radford 1999: 241). The so-called lexicality effect can be

observed at the mean reaction time for each condition of the experiment (Table 1& Figure 1).

The mean RT for non-words was 611.064 ms, but the mean RT for unprimed words (ord) was shorter – 603.187. (+8ms longer for non-words). In addition, we noticed a significant difference between the unprimed condition (ord) and the mean reaction time for all other 5 semantic categories -- 591.914 ms (11.272 ms shorter than for the unprimed ones). This figure clearly confirms the priming effect for the semantic categories.

A salient result from our experiment was that of priming effect related to different semantic categories. There are several papers on this topic, which have investigated the most effective semantic relation that has a stronger priming effect. Authors like Moss et al. (1995), Bueno and Frenck-Mestre (2002), Smith et al. (2004), among others, did similar research, focusing on the investigation of masked semantic priming and the variance of priming effect due to various semantic relationships.

The statistical analysis of our experiment data and the mean reaction times presented a significant priming effect for the categories of implication and verb-object. Surprisingly, the priming effect was higher than the priming effect for the other categories such as synonyms, antonyms and frames.

In a similar study, Lund et. al (1995) suggest that there is no significant priming effect for associations. Our frame condition is comparable to the association condition. Even when priming effect was noticed, it was not as significant as in the cases of implications and verb-object. The mean RT for this condition was the second slowest, after the non-word condition.

In a semantic categorization task, Bueno and Frenck-Mestre (2002) found out that the priming effect for the synonyms was almost constant and higher than that of associates. They explained such result by the fact that synonyms are “semantically closer” to each-other. As for antonyms Murphy (2003) provides a similar explanation, by stating that “Antonym canonicity or goodness of opposability is the extent to which antonyms are both semantically related and conventionalized as pairs in language” (31). In our results synonyms and antonyms have similar mean RT, which supports the view of the conceptual basis of antonymy and synonymy (Murphy and Andrew 1993).

The implication category showed surprising results by being highly primed. When having pairs such as pregnant and woman in a kind of tautological relationship, the concepts 'pregnant' and 'woman' seem to be more strongly related to each other, than when dealing with a synonymic or antonymic pair. If we refer to Levelt's Theory of Lexical Access (2001) word retrieval starts by lexical selection, our experiment results indicate that the retrieval of a target which has an implication relationship with the prime is easier.

As to the verb-object condition, there a significant priming effect was noticed. The primes were verbs and the targets direct objects; an example from these pairs is that of read - book. This kind of condition actually resembles to creation of simple syntactic structures. In these pairs the verbs themselves have argument structures. They are all verbs that require a direct object, thus containing the crucial information of valency. As Aitchison (1987) suggests, having in se this kind of knowledge may facilitate the retrieval of the target. "Verbs, on the other hand, need at the very least to specify the constructions which must, or must not, follow them in a sentence, which often involves reference to other parts of speech: we cannot say *Stella put, • Stella put the cat, or Stella put outside: it has to be Stella put the cat outside" (Aitchison 1987: 101).

Among expected findings for this research, we faced an unexpected one: getting a more significant priming result on implications than on synonyms. We were expecting the opposite to be true. This finding reveals the need for other similar experiments and research to be conducted. The results of this experiment are not enough to claim absolute validity of our findings. Other possible experiments might include testing the same categories, but through unmasked priming or a different task such as picture naming, then a conclusion may be drawn, whether these phenomena occur exclusively at a lexical decision task. Comparisons of this present research to future experiments and studies could help in making reliable generalizations on semantic priming.

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GENDER SHIFT IN TRANSLATION FROM ENGLISH INTO ARABIC AND ALL THAT AGGRO

Abstract: *The present article examines how English grammatical gender is handled in Arabic translation as can be illustrated in a gender-loaded English text taken from the Gulf News English website. To diversify and corroborate our argument, the text was given to a group of forty students enrolled on Translation Studies course for the academic year 2017/2018 at Sultan Qaboos University. The article shows that the translation students fall victim to several problems, most likely attributed to the linguistic reality of the masculine and feminine genders in both Arabic and English. The article reveals that three strategies in translating a gender-loaded text are employed: (1) Source Language (SL) gender-free items are translated into masculine gender in Target Language (TL) in view of the fact that they are contextually determined or that they are closely bound up with unequivocal patriarchal domination in the Arab culture; (2) SL gender-bound items usually observed by complex genders (i.e., the addition of a gender lexical item to a gender-free item) are translated by means of explicitation whereby a that-clause or an astute feminine lexical item is utilised; and (3) the dormancy of a viable computer-aided translation (CAT) strategy is called upon, very frequently, when Strategy 1 and Strategy 2 are to no avail.*

Keywords: *masculine gender, feminine gender, Arabic, English, translation*

Introduction

Translation Studies (TS) has unequivocally been deified for the past few decades as a superb discipline in its own — a relentlessly upward discipline trajectory, indeed. Munday (2012, p. 11), aptly remarks that there has been “a vast expansion in specialized translating and interpreting programmes.” What would then be required is translator training of high quality. Language competence has always been the cornerstone for translator training, simply because the translator should, or even must, not be faulted on grounds of language competence. The ABC of translational action is to be competent in two languages: the language from which translation occurs, i.e., the Source Language (SL) and the language into which translation goes, i.e.,

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the Target Language (TL). Translation *per se* requires as much of other competencies such as ‘cultural competence’: “how cultural expectations for a particular genre [...] require considerable translator mediation” (Hewson 1995 as cited in Hatim and Mason 1997, p. 170), as the parallel ‘transfer’ competence and ‘factual and research’ competence (Nord, 1991). But for the sake of the present article, only language competence will be dealt with, bearing in mind that cultural competence is sometimes needed for a better understanding of grammatical gender shift. It ensues, therefore, that more attention should be given to language competence. However, due to the fact that languages cut linguistic reality quite differently, as is the case with Arabic and English, translation turns out to be difficult.

What poses even more problems in translating from one language into another is culture remoteness. The ultimate aim of translation has always been to reduce the obvious substantial cultural gaps between various cultures to a minimum, an easily achievable aim at a first glance. However, Arabic belongs to the Islamic-Arab culture, which is widely unrelated to that of English, which belongs to the Western culture. Therefore, several difficulties are usually not only relevant to the linguistic system gap between SL and the TL, but they are also very germane to the cultural discrepancy and disparity between languages. In no way can it be claimed that Arabic and English are stylistically, linguistically, semantically, pragmatically and culturally equivalent, but rather that they stand as perfect examples of the languages with little linguistic and cultural affinity, as Sofer (2002: 65-6) argues:

“The conscientious Arabic translator is aware of the generic difficulties in working with two languages as different from each other as English and Arabic. [...], there are vast cultural differences between a Western language such as English and a Semitic language like Arabic. One cannot translate these languages without paying attention to these cultural differences.”

In the same vein, Nida (1964) strikes a fairly obvious claim that, when the SL and the TL linguistic and cultural systems do not share that much, translating undoubtedly becomes rather difficult. When it comes to the deep-seated cultural difference

situations gleaned from feminism or egalitarianism, the aim could operationally be perceived a mirage, as English and Arabic are wholly unrelated languages. The former is a leading exponent of feminism and the realisation of this advocacy is obvious in the recognisable socio-textual practices, whilst the latter, generally, still seems to lag behind the former, as can be shown in the distinctive socio-cultural dynamism promoting different thresholds of patriarchal domination, as it were.

One of the basic assumptions of the cultural diversities behind the two languages is the way gender is closely bound up with in both languages. The occurrence of gender is culture-specific. “[T]he gender of a noun, pronoun, or adjective is whether it is masculine, feminine, or neuter. A word’s **gender** can affect its form and behaviour. In English, only personal pronouns such as ‘she’, reflexive pronouns such as ‘itself’, and possessive determiners such as ‘his’ have gender” (Collins Cobuild 2002; emphasis in original). Put differently, “gender is a built-in lexical property of the word,” according to Najjar and Shahin (2015, p. 256). Governing the agreement between nouns and pronouns and adjectives etc., is usually referred to as grammatical gender, i.e., “as a system for nouns themselves” (Najjar & Shahin, 2015, p. 256).

Farghal and Shunnaq (1999; p. 56; emphasis in original) state that “English makes very few gender distinctions in its pronominal system, viz., *he, she, it, who* and *which*”, bearing in mind that ‘he’, ‘she’ and ‘it’ “coincide with the real gender of their referents rather than with the grammatical gender of their antecedents. The choice between [these pronouns] comes from the way they present masculinity, femininity, or unknown sex” (Najjar and Shahin, 2015, p. 257). Farghal and Shunnaq (1999; p. 56) further claim that Arabic makes all second and third person pronouns for gender. In terms of gender,

“there are three types of nouns in English: those that have no overt marking that suggests morphological correspondence between masculine and feminine [...] those that have a derivational relationship, [...] and finally those that have dual gender [...]. In Arabic, on the other hand, most nouns that correspond to masculine and feminine have a derivational relationship” (ibid.; see also Newmark, 1988, p. 59; Versteegh, 2006, p. 155).

Beyond this typology, Arab grammarians and philologists also address dual gender, as is the case with *'arūs* ('bride or bridegroom') (Ibn Manzur 1955), a point of disagreement with Versteegh (2006, p. 430), who considers *'arūs* as unmarked for gender and denotes "biologically feminine persons." Crucially, it should be added that all competent speakers of Arabic intuitively recognise *'arīs* as a 'bridegroom' and *'arūs* as a 'bride', both of which have wider currency across the Arab World.

The list also includes *milḥ* ('salt'), *al-'injīl* ('the Bible'), *as-silāḥ* ('weapons') (Ibn Manzur 1955). By the same token, Versteegh (2006, p. 242) speaks of 'unmarked nouns' or 'common gender', e.g., *'ajūz* ('old woman or old man').

In what follows, we hope to illustrate how certain masculine and feminine voices have to be adjusted slightly or drastically in the translation into Arabic, to meet the expectations of audience's assumed gender beliefs and values. Needless to say, it is-in-your-face ideology: "the ways in which meaning serves to establish and sustain relations of domination" (Thompson, 1990, p. 56), a meaning within or across linguistic boundaries or, as Ullmann (1983, p. 128), writes: "language is not merely a vehicle of communication: It is also a means of expressing emotions and arousing them in others," reflecting the underlying ideological underpinnings, the aetiology of which goes far beyond the production and reception of texts in an exchange.

Gender and culture

Undoubtedly, there seems to be a tug-of-war relation between the Arabic-Islamic culture and the Western culture when it comes to woman. A woman is respected in both, but the two cultures approach it from a different angle. The Western culture has taken steps towards a presumed reconciliation of the values of equality and liberty in almost all walks of life, perhaps well envisaged along historical, geographical and social lines in the West. Likewise, the Arab culture has been worked up about the fact that women are emasculated and marginalized, and so many steps have been taken towards a more ground-breaking demonstration of amity and goodwill, again, in almost all walks of life. Any gender-marked language has undergone a number of drastic developments and changes for the past few decades, e.g., the gender sensitive English idiom 'right-hand man' disregards gender to mean a trusted helper, and more obviously, the gender-

marked 'fireman' has been changed into the gender-free 'fire-fighter'. "In the case of masculine dominance in English gender, the latter course has been undertaken reasonably successfully and change has proved relatively painless" (Pym, 1992, p. 169).

On the other hand, the Arab culture is tilting towards greater freedom and equality for women in two ways: there is a strong feminist movement that aims to promote the equality concept and bring freedom to women. Like in the Western countries, this runs concurrently with a change in the Arabic language to achieve such an amount of equality. It does not work quite well, however, due to the arbitrariness of handling the issue, on the one hand, and the inimitability of Arabic, on the other. In some Arab countries, e.g., Jordan and Palestine, ministerial posts that involve women have undertaken some changes at the language level by employing the most common marker of the feminine: "the suffix *-at*, which is usually added to the masculine form to derive the feminine. This is known as [*tā' at-ta'nīth*] 'the *t* of femininity' when referring to its grammatical function, or [*tā' marbūṭā*] 'bound *t*' when referring to its orthographic form" (Versteegh, 2006, p. 156). The rationale is to enjoy the fruits of the massive progress of widespread respect to women in the West and to distinguish the post as exclusively for a woman, rather than for a man, e.g. *wazīr* ('minister' +masc.) versus *wazīrah* ('minister' +fem.), *muḥami* ('lawyer' +masc.) versus *muḥamiyah* ('lawyer' +fem.); *qāḍi* ('judge' +masc.) versus *qāḍiyyah* ('judge' +fem.); *nā'ib* ('MP' +masc.) versus *nā'ibah* ('MP' +fem.). It should be added that Versteegh (2006, p. 242) considers *nā'ib* as 'common gender'. No sooner had this trend come out in these two countries, than it diminished again for some posts, due to linguistic restrictions and in order to allow for a certain ambiguity of intention. Arabic is recalcitrant to some changes as is the case with *qāḍi* ('judge' +masc.) versus *qāḍiyyah* ('judge' +fem.) and *nā'ib* ('MP' +masc.) versus *nā'ibah* ('MP' +fem.), as the former, i.e. *qāḍiyyah*, has a polysemous meaning of 'destructive' and the latter means 'calamity'. Official circles in Jordan and Palestine, have re-used masculine gender-marked items for those two posts, again paradoxically, out of respect for women.

Methodology

The present paper explores one of the multifarious cultural problems in the translation from English into Arabic, namely, grammatical gender in both Arabic and English. The two languages approach the matter from a different angle; therefore, problems in translating feminine-loaded texts are likely to arise. Although English intends to use gender-free items, apparently impinging on the Western ethos and cultural values, the intention of the text producer to underlie gender-marked nouns has been clear to describe the Saudi culture efficiently and effectively. The present article examines how gender is adapted in the Arabic translation of gender-loaded units in an English text taken from the *Gulf news* English website (see Appendix I)². The research data consist of the translations provided by forty students taking the Translation Studies course in Fall of the academic year 2017/2018 at Sultan Qaboos University.

It is worth remarking here that only gender-loaded segments are explicated in the discussion and analysis below, whereby these translation segments are bolded and Arabic equivalent(s) is/are displayed in transliterations.

Significance of the study

The present study roughly falls within the ambit of gender studies in relation to translation studies, the amalgamation of which has been a relatively embryonic academic discipline in the Arab World. The study may be considered significant as it broaches interdisciplinary studies and reports a current move away from the focus on traditional translation-oriented topics insofar as the Arab translation studies is concerned, and above all, tackles grammatical gender and the strategies employed by translation students in the context of translator training. The present article hopes to be of great socio-cultural significance in two ways: it is intended to shed new light on grammatical gender at the language level as well as on a more sophisticated cultural level in the Arab World. It also sets a path for further research and draws conclusions that hopefully bring about translator training of high quality.

² Published by AFP: May 8, 2014 appeared in *Gulf News: Saudi Arabia* (<http://gulfnews.com/news/gulf/saudi-arabia/saudi-woman-killed-as-she-defied-driving-ban-1.1330037>) (Accessed October 1, 2017).

Discussion and Analysis

Thus far, in our analysis, the theoretical framework established requires that we examine some representative examples in order to make the much-needed argument. It has been found that three major strategies are employed in the course of translation; namely, the SL gender-free text is rendered into masculine gender and the SL gender-bound text is translated into explicitation by a *that*-clause or using a feminine lexical item. A third CAT-based strategy is called upon when Strategy 1 or Strategy 2 fails. At this point of juncture, it is perhaps worth noting that:

“From the perspective of the translator, what is perhaps particularly significant in this area of language use is the motivation behind such departures, the functions served by them and the compensation strategies which would have to be adopted in languages whose rhetorical systems do not share this phenomenon, in order to rectify the likely communicative loss” (Hatim and Mason, 1997, p. 94).

It is the effect of a given strategy to overcome translation problems, a strategy that has often been determined in translator training. Insofar as translation strategy is concerned, Krings (1986, p. 18; see also Nida and Taber, 1969; Molina and Hurtado, 2002) offers a fairly comprehensive definition: “translator’s potentially conscious plans for solving concrete translation problems in the framework of a concrete translation task.” In what follows, we hope to discuss and analyse the examples to corroborate our argument. Let us consider Text 1 below:

Text 1

SL: Ultra-conservative Saudi Arabia is the only country in the world where women are not allowed to drive. However, **they** usually get behind the wheel in desert regions away from the capital.

TL: (a) *yaqumna bisyyaqat assyyarah*
(b) *yaqumu bisyyaqat assyyarah*

In Text 1 above, the English gender-free second person pronoun ‘they’ is rendered into an overt feminine marker attached to the end of the verb, i.e. *yaqumna* (‘performing’, 2nd

person pronoun+ fem.+ pl.), a gender marker without which communication is likely to suffer and getting the message across may be in jeopardy. It is crucial to highlight the gender distinction. The translation student seems to have made a correct choice in TL_a. However, in TL_b, the rendition made by the student, i.e., *yaqumu* ('performing', 2nd person pronoun+ masc.+ pl.) would kill the SL cohesion stone-dead; that is, cohesion is not established by a straightforward link of masculine plural pronoun *u* and 'women'. Consider Text 2 below for more elaboration:

Text 2

SL: Thursday's deadly accident was not the first of its kind involving a **woman driver**.

TL: (a) *imr'ah sāl'iqa*;
(b) *imr'ah taqūd as-sayyārah*;
(c) *sāl'iqa*

Closer scrutiny of the three translations shows a source of difficulty for translating the distinctive gender in English, i.e., 'a woman driver', that can be said to be an instance of "markedness" in texts: "either as infrequency of occurrence (that is, less frequently occurring expressions are somehow more significant when they do occur) or as informativity (that is, the less predictable in context an item is, the more information it potentially relays)" (Hatim and Mason, 1997, p. 10).

The item 'woman' is usually used in English to underline the fact that the action is performed by a woman. Ostensible straightforward equivalent seems to be possible at work. It is never possible to be certain about it, however. The first student's *imr'ah sāl'iqa* ('a woman driver') in TL_a may look like pandemonium to target audience, that is to say, ungainly, repetitive and grotesque. The English complex gender seems to be formally adopted, whereby a distinctive gender lexical item (i.e., 'woman') is added to a gender-free item (i.e., 'driver'). In other words, "markedness" and "informativity" in English are maintained in translation by means of adopting a formal translation, thus giving rise to complex genders in Arabic, i.e. *imr'ah sāl'iqa* ('a woman driver'), which is succinctly anomalous in Arabic. The student could be presumed to have internalised a set of the TL linguistic norms rather than merely copying the SL

socio-textual conventions. The second translation in TLb, i.e. *imr'ah taqūd as-sayyārah* ('a woman who is driving a car') is remarkably creative, though it sounds verbose in Arabic. The SL gender-bound item is translated via explicitation into a that-clause or using a feminine lexical item. One of the most salient translation is observed in TLc, obviously corresponding to the feminine gender-marked lexical item in English, i.e., 'a woman driver'.

In Text 3, it is clear that the student translator seems to have opted for a formally-based translation in T1a, i.e., *'untha sā'iqa* ('a female driver'), leading not only to a redundant, but also to an inaccurate translation.

Text 3

SL: In January 2012, a **female driver** was injured and her **companion** killed when their car overturned in the northern Hael province.

TL: (a) *juriḥat 'untha sā'iqa wa qutila rafīquha*
(b) *juriḥat sā'iqa wa qutilat rafīqatuha*

The other gender-free noun 'companion' has been translated into *rafīquha* ('her companion' +masc.), perhaps this rendition is due to the impact of patriarchal society in the Arab World. Arguably, the student's gender is not an issue here as a large number of students in the data are female. It should be noted that T1a is made by a student whose apparently little cultural knowledge of Saudi Arabia seems to be the reason for such a translation. Conversely, the feminine *rafīqatuha* ('her companion' +femin.), is made in TLb by a student whose knowledge of the Saudi culture seems to be the catalyst for this translation. It is disconcerting for the TL reader. Contextually undetermined, opting for masculine gender in TL does not seem to be an outlet. Similarly, adopting complex gender in the TL would not suffice. Consequently, we propose, in what follows, to consider a fuller analysis of the SL text by means of what we may call computer-aided translation (CAT)-based strategy. We could trace back the news item in its original Arabic on the website of the local Al-Jazeera daily to make a decision on the translation in TLb. Having carried out an appropriate Internet search, we come up with the fact that it was the feminine *rafīqatuha* ('her companion' +femin.) who was killed in the accident.

In the second translation, a derivational relationship clitic is used to give an optimal translation that shows a normal condition of the natural language use in Arabic. For illustration, take Text 4 below:

Text 4

SL: And in November 2010, a woman driver was killed along with three of her **female passengers** in a similar accident.

TL: (a) *musāfirāt 'ināth*
(b) *musāfirāt ma'aha*

A formally-based rendition of *musāfirāt 'ināth* ('female passengers') shows insensitivity to the TL linguistic norms on the part of the student, essentially ascribed to a failure to perceive the SL pattern of "markedness" and "informativity" (see Hatim and Mason 1997). However, the other translation, i.e. *musāfirāt ma'aha* ('female passengers with her' +fem. +plural) sounds natural in Arabic.

Text 5

SL: Women in the kingdom who have the means to hire **drivers** while others must depend on the goodwill of **male relatives**.

TL: (a) *yastajir sā'iqīn*
(b) *al-'qārib ath-thtūr*

Our discussion here will encompass two items. TL_a reflects what may be called cultural interference in which patriarchal values and norms are imposed while translating. The student seems to be influenced by the culture of patriarchal domination, thus opting for *sā'iqīn* ('drivers' + masc.) rather than *sa'iqāt* ('drivers' +fem.). It is still valid that the student may be acquainted with the fact that in Saudi Arabia all hired drivers are male and cannot be female. It is perhaps useful to address the co-text and the context. The former refers to "the sounds, words or phrases preceding and/or following a particular linguistic item in an utterance", whereas the latter is "enveloping that particular utterance" (Hatim and Mason, 1997, p. 181). Contextualised, the structure of argumentation in the text is based on the assumption that Saudi women are not allowed to drive, so drivers are

supposed to be primarily male. In TLb, the formal translation sounds natural in Arabic.

Finally, in Text 6 below, the student opted for an embarrassing formal translation in TLa, a sheer failure in establishing translation adequacy as far as the target audience is concerned.

It is perhaps worth stating, however, that TLb and TLc are not only a specimen of masculine genders, but are also the products of the TL culture. The item *walī* ('a person preeminent for holiness' and *maḥram* ("unmarriageable, being in a degree of consanguinity precluding marriage" (Hans Wehr, 1974)) bring to the surface the cultural differences between Arabic and English and further show subtle and intricate connotations used in the Islamic religion. Geographical proximity seems to have played an active role in the choice made by the group.

Text 6

SL: In addition to not being allowed to drive, Saudi women must cover themselves from head to toe and need permission from a **male guardian** to travel, work and marry.

TL: (a) *ḥāris thakar*
(b) *walī*
(c) *maḥram*

Here the analysis conducted from the standpoint of geographical and cultural perspective shows that Saudi Arabia borders Oman and the two peoples undoubtedly share common linguistic and cultural background. Besides Hans Wehr's definitions, the items *walī* and *maḥram* (roughly equivalent for 'male-guardian') is possible in the judiciary. In Oman, for instance, *walī*'s permission is required for various socio-practices. In *Gulf News*, the Ministry of Endowment and Religious Affairs in Oman has "affirmed that a guardian or 'maḥram' needs to be present when a woman performs Haj [...] A guardian is a must for women who want to perform Haj."³ However, in other

³ Published on May 24, 2016 and appeared in *Gulf News*: Saudi Arabia <http://gulfnews.com/news/gulf/oman/male-guardian-must-for-women-to-perform-haj-oman-1.1833726> (Accessed December 1, 2017).

parts of the Arab World, say, Jordan, *qarīb* ('male relative') can be roughly used for a male guardian.

Conclusion

The foregoing analysis has shown that gender poses problems in the translation from English into Arabic. The task of the translator is fraught with peculiar perils, not only because of the linguistic disparity between the two languages but also, and perhaps more significantly, because of the culture-specificity in Arabic, as can be seen in grammatical gender in a general sense. It is quite true that incongruities (be linguistically and/or culturally) in Arabic and English are quite clear. This means that, as we have noted with respect to the examples discussed above, each language has its own subtle nuances in terms of syntax, semantics, pragmatics, and culture.

It is clear that, in order to dispell the above incongruities, processing translation strategies need to be employed in the translation of both gender-bound and gender-free items insofar as our data are concerned. The grammatical gender is approached differently in Arabic and English, and it is culture-specific. The SL gender-free items may happen to be completely context-determined and are consequently translated into masculine gender. The choice made by students is also ascribed to the patriarchal domination in the Arab culture, or, as Burke, P. and Hsia, (2007, p. 150) state a "form of adaptation was the translation from one gender to the other." For the SL gender-bound items (usually not desired as the SL culture resists patriarchal domination), explicitation is opted for, in which a that-clause or a feminine lexical item are employed. We have to cater for a situation in which neither of the two strategies work. It has been found that the CAT-based strategy works pretty well, as can be shown in Text 3 above.

In order to ensure translator-training programmes of good quality, (1) trainers should pay due attention to this area of difference between Arabic and English grammatical gender so that translation problems can be reduced to a minimum; (2) student translators should be aware of how to deal with gender-loaded utterances; (3) students should be trained to employ the right strategies; and (4) CAT tools seem to be closely bound up with employing other strategies in the course of translation and

thus training with these tools would unequivocally be commendable.

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Appendix I (SL)

Saudi woman killed as she defied driving ban

A Saudi woman was killed in a car crash in the capital Thursday as she defied the kingdom's long-standing ban on female driving, local media reported. The woman, in her 20s, lost control of her vehicle and crashed into the wall of a youth club in Riyadh, according to the website of the local Al-Jazeera daily. The car caught fire and she died, it said. Ultra-conservative Saudi Arabia is the only country in the world where women are not allowed to drive. However, they usually get behind the wheel in desert regions away from the capital. Thursday's deadly accident was not the first of its kind involving a woman driver. In January 2012, a female driver was injured and her companion killed when their car overturned in the northern Hael province. And in November 2010, a woman driver was killed along with three of her female passengers in a similar accident. Women in the kingdom who have the means to hire drivers while others must depend on the goodwill of male relatives. Women's rights activists make frequent calls to challenge the ban and those who do so post online videos showing themselves behind the wheel. In addition to not being allowed to drive, Saudi women must cover themselves from head to toe and need permission from a male guardian to travel, work and marry.



PARTICULARITIES OF THE (NOT SO) EMOTIONAL SPEECH IN EUROPEAN PORTUGUESE: ACTED AND SPONTANEOUS DATA ANALYSIS

Abstract: *The present article is a symbiosis of two previous studies made by the author on European Portuguese Emotional Speech. It is known that nonverbal vocal expressions, such as laughter, vocalizations and, for instance, screams are an important source of emotional cues in social contexts (Lima et al., 2013). In social contexts we get information's about others emotional states also by facial and corporal expressions, touch and voice cues, (Lima et al., 2013 & Cowie et al, 2003). Nevertheless most of the existent research on emotion is based on simulated emotions that are induced in laboratory and/or produced by professional actors.*

In this study in particular, it is proposed to explore how much and in which voice related parameters spontaneous and acted speech diverge. On the other hand, this study will help to obtain data on emotional speech and to describe the expression of emotions, by voice alone, for the first time for European Portuguese. Analyses are mainly focused on parameters that are generally accepted as more directly related with voice quality like F0; jitter; shimmer and HNR (Lima et al, 2013; Tiovanen et al, 2006; Drioli et al, 2003).

Given the scarcity of studies on voice quality in European Portuguese, it is important to highlight that this work presents original corpora specifically created for the presented research: a small corpus for spontaneous emotional speech and Feeltrace system to provide the necessary annotation and interpretation of emotions; a second corpus for acted emotions produced by a professional actor.

It is particularly important to highlight that was found that European Portuguese presents some specificities on the values obtained for neutral expression, sadness and joy, that do not occur in other languages.

Keywords: *European Portuguese; Emotion; Voice analysis; spontaneous speech; acted speech; Feeltrace*

1. Introduction

There are, clearly, different ways of thinking and talking about feelings according to all different languages, cultures, societies, epochs and religions in the exactly same appraise that there are different ways to express and perceive those emotions.

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Nevertheless there are no doubts about the existence of shared characteristics and qualities being then possible to talk about emotional universals as stated by Wierzbicka, 2005.

Emotions influence physiological state, with important effects on speech production and especially on the phonation process. These effects are reflected in varied and complex voice quality related parameters, such as fundamental frequency (F0) and jitter. While some of the parameters are language independent, others are part of specificities of a Language, Culture or even Speaker. Many emotion theorists defend that emotions are mostly learned and affected by social environment. As a result, emotions are conjectured to vary considerably across cultures, (Sauter, Eisner, Ekman and Scott, 2010 and Adolphs, 2003 cited by Sauter and Eimer, 2009).

Speakers vary in their capacity to express, recognize and interpret attitudes or emotions. According to Scherer & Scherer 2011, cited by Lima et al., 2013, "Understanding the behavioral, socio-cognitive, and neural underpinnings of emotion perception in different channels is thus a topic of central importance". Research has shown that emotions are not equally recognized across genders, Cultures and languages. Zovato et al, 2003 using perceptual tests, demonstrated identification problems between the pair's neutral/sadness and joy/anger; Sawamura et al, 2007 found that, disgust and anger are similar, surprise and joy similar as well, and fear is often confused with sadness.

"Increased emotional arousal is accompanied by greater laryngeal tension and increased sub glottal pressure which increases a speaker's vocal intensity". For example, Darwin observed that angry utterances sound harsh and unpleasant because they are meant to strike terror into an enemy (Darwin, 1872).

Anger is usually associated with an increase in mean F0 and energy, it also includes 'increases in high frequency energy and downward-directed F0 contours. The increase of F0 mean and range is also a characteristic of fear, also with high frequency energy; sadness shows a decrease in mean F0, F0 range and mean energy; joy a positive emotion (one of the few that are usually studied), has an increase in mean F0, F0 range, F0 variability, mean energy, and an increase in high frequency energy (Banse & Scherer, 1996). 'Understanding a vocal emotional message requires the analysis and integration of a variety of acoustic cues'

(Schirmera & Kotz, 2006), those acoustic signals should be related to temporal aspects, intensity, fundamental frequency and, of course, voice quality related parameters, (Lima, Castro and Scott, 2013).

Johnstone and Scherer, 1999, have studies in which emotional vocal recordings were made using a computer emotion induction task. Voice quality acoustic parameters included F0 minimum, F0 range, jitter and spectral energy distribution. The emotions studied were: tense, neutral, irritated, happy, depressed, bored and anxious. The authors report that: 'values for jitter are correlated with F0 floor, thus indicating that period to period F0 variation tends to be larger with higher F0. This tendency is absent for anxious and tense speech though, which is in agreement with previous findings of a reduction of jitter for speakers under stress. Happy speech presents significantly higher values of jitter than all other emotions. Also as expected, F0 floor was found to be lowest for the emotions bored and depressed, and highest for happy and anxious speech.

It was also important to find out how well voice quality conveys emotional information to be perceived by humans and computers, Toivanen et al., 2006, carried out a study which had as informants nine professional actors producing data to be studied, simulating: neutral; sadness; joy; anger and tenderness states, in which they extract only a vowel from the entire running speech (approximately one minute). They considered vowel [a]. The samples were presented to 50 listeners to recognize the emotion and classify it using automatic methods. Humans were better than the machine at recognizing anger, since humans are probably more 'tuned into anger' than the computer which ponders all emotions on a neutral basis.

Drioli, Tisato, Cosi and Tesser (2003) analyzed F0, duration, intensity, jitter, shimmer, HNR and other voice quality indexes such as Hammarberg Index. The authors used Praat voice report. Regarding irregularities, and for stressed vowels, they report a high shimmer value for anger; higher jitter values for joy and surprise (with anger in third place). The HNR is lower for anger and joy.

Chung explored acoustical properties of Korean emotional speech. The author measured: F0 parameters (mean, maximum, minimum, mean of the 20% lowest values, range), jitter, shimmer, speaking rate and spectral distribution. The analysis

showed that joy increases F0 mean, whereas sadness enhances the decrease of F0 minimum. The increase of F0 maximum and of F0 range was found to be 'a good indicator of the general emotional arousal'. 'The jitter and the shimmer values seem to increase under the emotional tension (...). However, these variations (...) were not statistically significant in the case of Korean data' (Chung, 2000).

As conclusion it should be said that Voice quality aspects are very often described qualitatively. In quantitative studies, the most considered parameters are the F0 related. More recently, the list of examined parameters expanded to include jitter, shimmer, HNR, glottal source parameters, among others.

2. Studying vocal emotion

The Expression of the Emotions in Man and Animals by Darwin (1872) is probably the start of descriptive and theoretical studies about expression of emotions. Since Darwin's work that several discussions, perspectives and theoretical works have been published, also other areas (like psychology, neurology, cognitive sciences, sociolinguistics) started to be interested on the analyzes of production and perception of emotions. Among different questions that are important in this field, the function of language and culture turn out to be very relevant and considered. According to Darwin, Culture does not have an important role on the expression of emotions once that for the author the recognition of emotions makes part of a biological heritage, therefore universally recognizable. Nevertheless, Darwin recognized that there were different societies, ethnicities, languages and even different cultures and social environment that could influence the expression of emotions, however the important matter of study was what Humans had in common with animals in what concerns to emotions.

The first problem one faces in starting the investigation is choosing valid *corpora*. These can be divided into three main categories: spontaneous speech, acted speech and elicited speech. All three present pros and cons (for further information: (K. R. Scherer, 1989; K. R. Scherer, 2003). Spontaneous speech was the option for the Belfast Naturalistic Emotional Database (Cowie, Cowie and Schroeder, 2003), which consists of 298 audiovisual clips from 125 speakers. The *corpus* was described according to several tiers of descriptors: impaired communication, pitch and

volume, timing, paralinguistic, voice quality, articulation. Despite the controversies, many studies on voice quality and emotions use actors for *corpus* creation.

As an example of acted speech, Vogt, André and Bee, 2008, recorded 10 professional actors (5 men and 5 women) acting 10 utterances with 6 different emotions (anger, joy, sadness, fear, disgust and boredom) as well as a neutral emotional state. The sentences were semantically neutral. Consistent with other work, the authors found acted emotions to be more easily recognized than realistic emotions.

On this area not much research was conducted on the subject of emotional speech for European Portuguese. There is no *corpus*, big or small, of EP emotional speech available. Even the work on emotional speech synthesis of Portuguese (Cabral, 2006; Cabral and Oliveira, 2006) was based on information published for other languages, complemented by extraction of glottal parameters (such as open quotient) from a German database. The present work was also based on the studies that were made in other languages so that it would be possible to understand and know better what parameters should be analyzed.

2.1. Cross linguistic studies on Emotional Speech

Scientific studies have been carried out crossing speakers and listeners of several origins. In the following paragraphs some studies are mentioned to serve as background for these aspects.

According to Zinken, Knoll, Panksepp, 2010, the languages and cultures studied so far are not actually very diverse. Moreover, only a few specific emotions have been studied systematically, usually 'basic' emotions even if it can be universally accepted that anger is the better perceived emotion, even in a foreign language and the other emotions are better perceived in our native language and culture. Those aspects were compared and proved in this available study, showing that there is, in fact, an impact of linguistic and cultural aspects on recognizing emotions.

Abelin, 2004, made an experiment in cross-cultural multimodal interpretation of emotional expressions. The aim of the study was to investigate how speakers of Spanish and Swedish interpret emotions in each other's languages. The emotions studied were: sad and tired, angry, sad, skeptical, happy, afraid, depressed, very happy. Results show that Spanish

listeners were better at interpreting the Swedish speakers. Certain emotions, such as happiness and fear were more difficult to interpret only from prosodic information, by both groups.

Sawamura et al., 2007, in a study with Japanese, American and Chinese speakers, showed that there are some common factors, independent of language and culture that determine emotion perception in speech sounds. It was found that multiple emotional components were perceived in most speech materials, even when a single emotion was intended. Anger, joy and sadness seem to be the three basic emotions, while the other emotions converge to them.

Sauter et al., 2010 studied the differences between westerners and some isolated and remote Namibian Villages, finding out that the vocalizations of basic emotions were “bidirectionally recognized” while some other emotions were only perceived within but “not across, cultural boundaries.” It is also interesting to notice that “a number of primarily negative emotions have vocalizations that can be recognized across cultures” while most of the positive ones were only understood using “culture-specific signals”.

It is known that from the production point of view speech acts and expressive pattern are independent categories, once the emotions do not disfigure the melodic contours which are typical of the different speech acts. This is confirmed by the fact that the normally “proposed phonological representation for a neutral utterance is also applied to expressive utterances”. In Brazilian Portuguese (from now on BP), according to a study carried out by Colamarco and Moraes, 2008, emotional patterns do not always affect the different speech acts in the same way. It was verified by the author that the relation between the emotional patterns is different in every speech act. It is possible then to assume that there it seems to exist a general tendency: neutral utterances and those expressing sadness present lower values for pitch level, average intensity and higher value for duration; in an utterances expressing joy and anger pitch level is higher and duration has a lower value. The expression of Anger and Joy also present similar values to what is generally described for other languages: an increase of pitch and average intensity of melodic contours, even if these emotions affect the F0 in BP in very similar ways, they were not confused in perception tests.

For sadness also BP presents different values, just like EP (European Portuguese), when compared to results for other languages. In BP sadness, when compared to neutral utterances, does not present a decrease on pitch and intensity but an increase. Values described for sadness in BP are closer to the ones reported for despair.

In another study reported for BP carried out by Peres, 2014, it was found that BP intonation parameters play an important part on the prediction, perception and distinction of emotional states. In this reported study F0 related parameters along with duration parameters were analyzed for BP. The 32 excerpts of spontaneous emotional speech stimuli were collected from a website. First, two Brazilians and two non-Latin speakers classified the stimuli (presented randomly) according to basic emotions: happiness, sadness, fear and anger. After this first analyzes 18 BP native speakers and 18 English speakers participated on the experiment. They had to indicate the valence (pleasant/unpleasant); activation (non-agitated/agitated); dominance (submissive/non-submissive). Results showed that the perception degree of activation could be predicted by some acoustic parameters of intonation. Regarding the degree of dominance - middle tone had significant results for BP; and the coefficient variation of medium tone and duration (intonation) had significant better results for English speakers, as example.

According to the author, there is an important difference between the two groups of participants: Brazilians were better differentiating each dimension (valence, activation and dominance) while English speakers were more confused. The author states that analysis showed that evaluation of non-native speakers could be explained by acoustic information, without the influence of lexicon. According to Peres, 2014, it is still necessary to find more acoustic parameters that could help to explain the differences between judgment made by BP and English participants. However it seems to be a linguistic component related to the perception of emotion in addition to the acoustic parameters (co variation principle) that may explain the performance of native speakers. But in the case of non-native speakers, the lack of linguistic knowledge of BP could explain their performance.

2.3. Describing emotions

The great difficulty on characterizing a certain type of voice and correlate it with a particular emotion has to do with the fact that there is a great personal and unique expression that varies according to each individual.

There are considerable evidences to prove that emotions are beyond a simple activation dimension of active/passive (aroused/sleepy) and pleasant/unpleasant (negative/positive). In addition, many studies were based only on few emotions that are often described as basic, therefore neglecting others more complex. Many theories of emotion do not present a detailed study of the feeling that emotion can cause to the listener. For example, one can expect differences on the activation dimensions and valences (continuous or discrete). These categories may well differentiate voice quality.

The evaluation of these theories also shows that emotional speech conveys some nuances that reflect the cognitive assessment and subsequent action tendencies that underlie each emotion (Patrik et al., 2008).

One way to define/describe emotions is through a bi dimensional image Active/Passive vs. Negative/Positive. Although this definition may vary from individual to individual it may clarify a better description of an emotion. Figure 1 represents Scherer (2005) description of emotions.

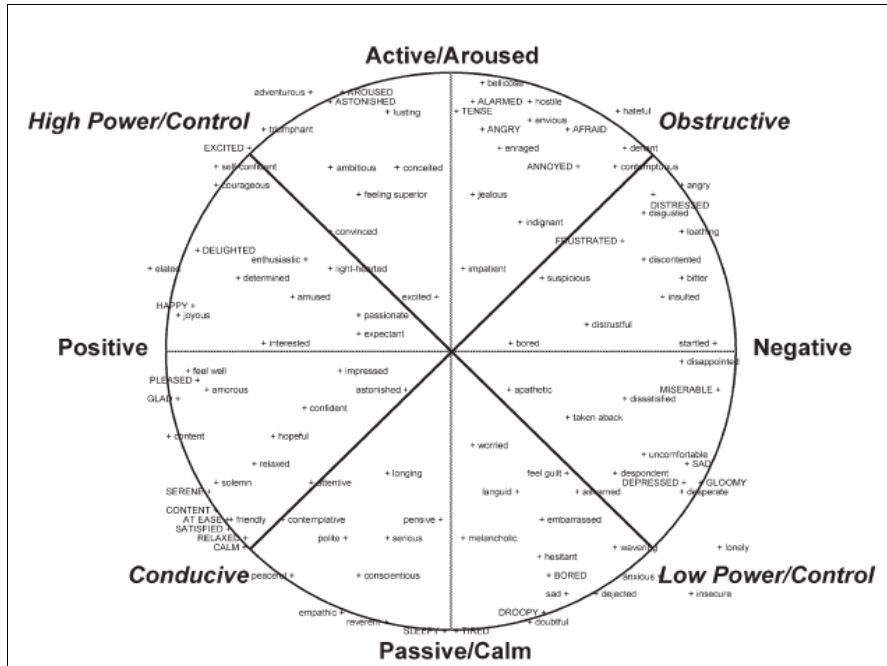


Figure 1: Description of Emotions presented by Scherer (2005)

In his study Scherer (2005) also presents a prototype tool for classification of emotions (created at the Geneva's University) called Geneva Emotion Wheel (GEW), Figure 2.

The author believes that the emotion concept became trivialized because is used very often. Nevertheless, facing the question “what is in fact an emotion?” there seems to be a consistent answer, and different research areas (like Humanities, Social Sciences and behavior) rarely reach an agreement. Emotion is then an episode that is a response to an internal or external stimulus (Scherer, 2005). In the first version, the Feeltrace was a tool that allowed identifying all the families of emotions through a specific parameter, which became visible by moving the mouse inside the circle. However, this experiment indicated that it was problematic to measure the intensity of emotions. Thus, a newer improved version could provide different measures and values. The new analyzes were related with the degree of distance or approach that all the emotions were from the neutral state and didn't have much association with emotions family. The GEW looks to be the first instrument to provide a true quality sampling of emotions in a bi-dimensional

space (present: positive or negative, intensity: distance from the neutral state).

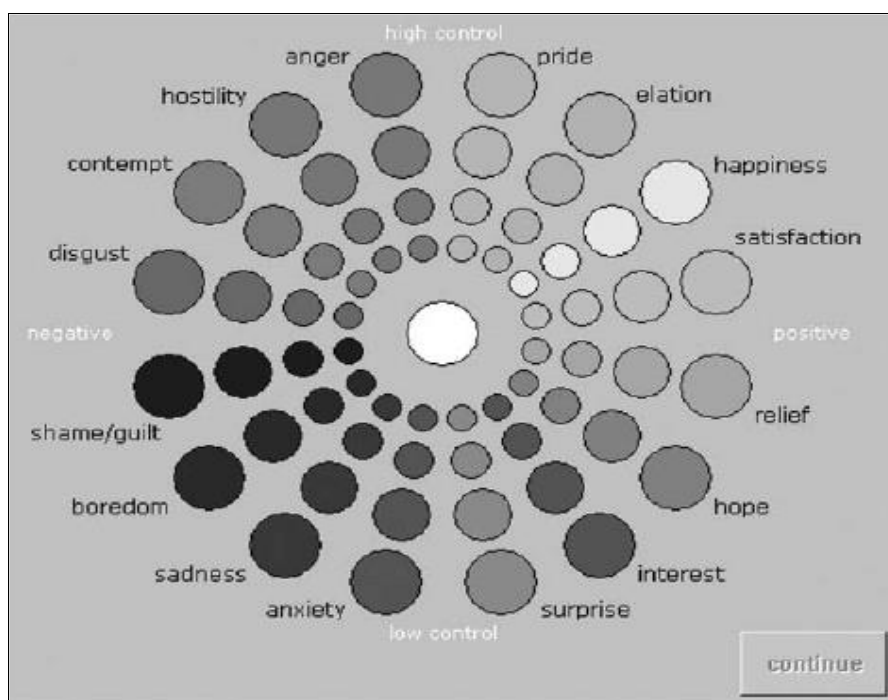


Figure 2: Geneva Emotion Wheel (GEW), Scherer (2005)

3. European Portuguese Spontaneous Speech

A *corpus* was created and developed for this particular study. It was recorded from live different Talk Shows of Portuguese National TV channels. The first task was to clean noise from street and talk shows interviews (street noise, people talking, etc.). The *corpus* consists of 20 statements, representing joy, sadness and anger, plus the neutral speech. The emotions that were analyzed are those that one thought to be easier to reach with the resources available, are encompassed all families of emotions. Although this *corpus* is necessarily limited, brings us quite new and original information in scientific terms for this area.

Knowing the limitations that a *corpus* of spontaneous speech features, and even recognizing it is easy to trigger different feelings in an individual, it is also important to follow the ethical principles and the right to privacy of all individuals. The recordings have some problems in terms of noise and sound

quality, however, does not impede, in general, analysis and extraction of important results.

3.1. Phonetic annotation and acoustic parameters extraction

All the selected segments were annotated in Praat system using SAMPA. Subsequently a feature extraction using Praat was held copying all required values and time information of each sentence to Excel. Throughout the process Praat was not able to provide accurate results of some segments, in those cases it was possible to replace the utterance for another clear one. Statistical analyzes were then performed, as well as comparisons between the various parameters and values that were obtained.

4. Feeltrace

Feeltrace (Figure 3) is a tool designed to allow the listeners registration of the emotion they are perceiving, and their changes over the utterance, ie, in a dynamic way. It is based on the activation space/assessment that derives a representation of psychology. The extent of activation shows how an emotion can be dynamic and assessing how it can be manifested: positively or negatively (Cowie et al., 2000).

Feeltrace has some distinctions where it fails, for example between anger and fear (Cowie et al, 2000). However, for many emotional states through the analysis of this system it is possible to have a very important starting point. Duration parameters are certainly the most difficult to analyze taking into account only the voice. A major difficulty in research, when it comes to emotion, particularly spontaneous and when the analysis is on fluent speech samples (as opposed to sustained vowels), is to realize its gradation, how varies over time.

Freeeltrace is an instrument developed to allow listeners to describe certain stimulus in a continuous (in time) and dynamic mode. It is based on the idea of representation space of activation and evaluation advocated by psychology. It is easy to use and at the same time enables reliable results in terms of scientific research. The activation dimension measures the degree of dynamism of an emotion (active / passive); the dimension of evaluation allows the distinction between positive and negative feelings associated to a stimuli. Research also suggests that space is naturally circular, i.e., the strongest emotions (in terms of

intensity limit) do form a circle and, therefore, the neutral one is presented at the center.

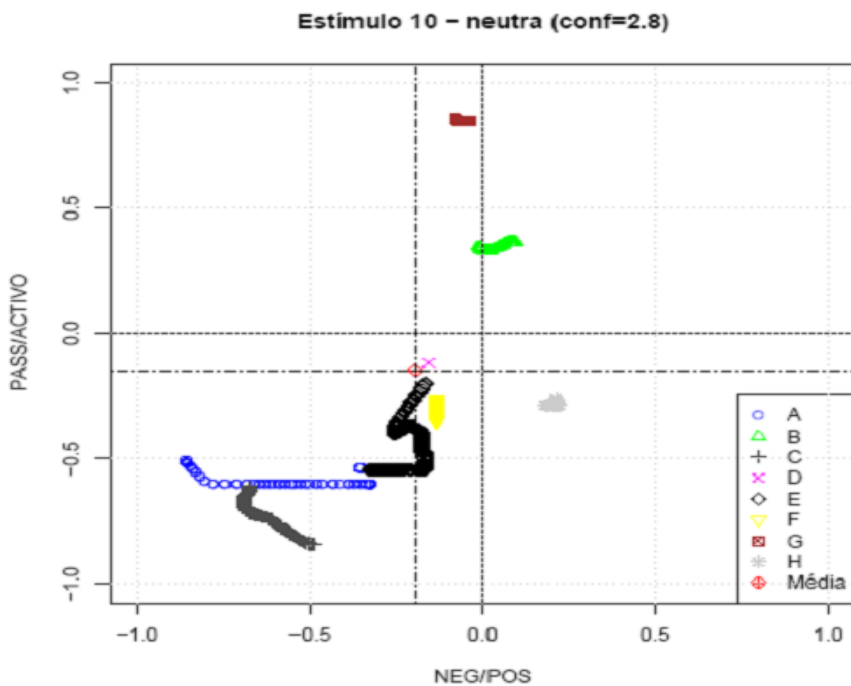
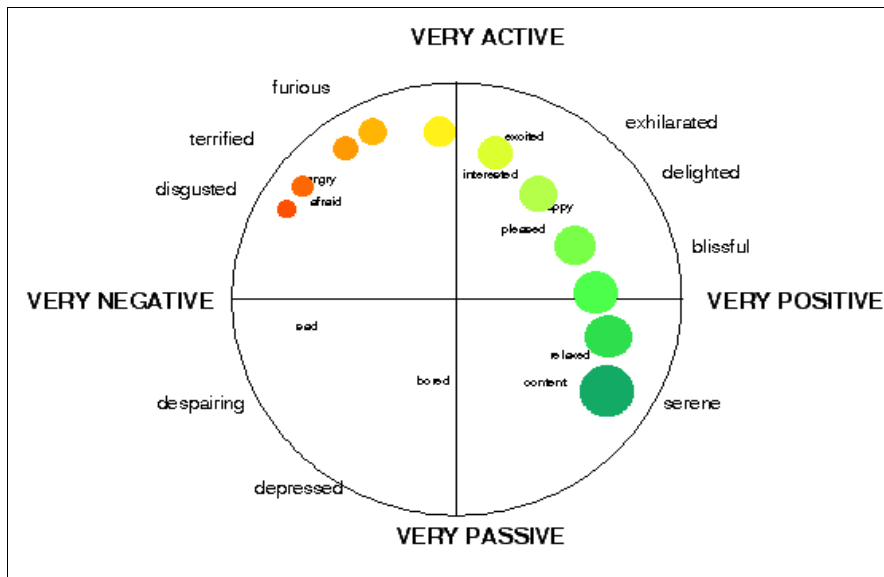


Figure 3: *Feeltrace* during a record session of a neutral utterance. It is perfectly clear the informant's confusion on identifying the emotion. The stimuli felt much more like sadness than neutral.

4.1.1. F0 values

Analyzing the figures for F0 (Figure 4), it is possible to make the distinction between men and women, since this parameter varies significantly according to gender. The recordings that were used allowed analyzing for women all the emotions. However, for men it was only taken into account: sadness, neutral and joy.

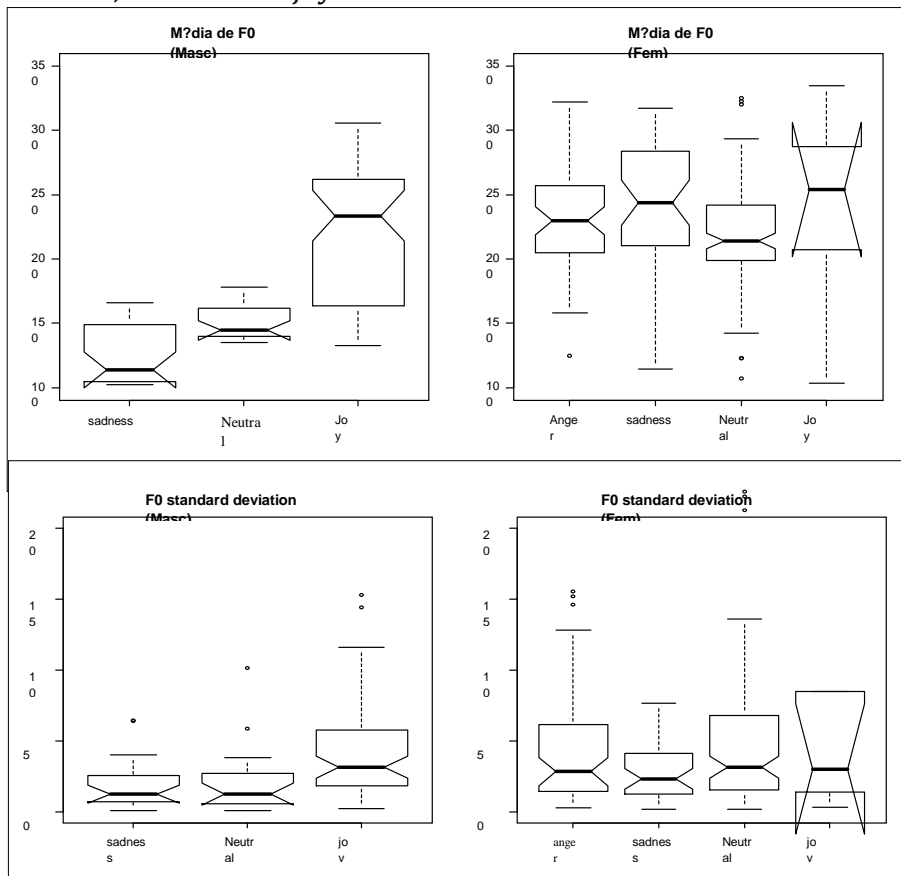


Figure 4: F0 values for men and women, in that order.

In a global analyzes of the results one realizes that in all the informants (either men or women) F0 is always higher when it comes to the manifestation of joy.

On average F0 for male is perceived an evident high register when expressing joy, with a value close to 230 Hz. For neutral speech it is observed that values for F0 are around 150 Hz and with lower values sadness with about 120 Hz. In terms of standard deviation it is clear that for men this is greater in

utterances that express joy, understanding that between the neutral speech and sadness expression there is no significant difference.

In analyzing the results for women, it is possible to have a wider perspective, since data allows to analyze all the emotions under study. Therefore, joy and sadness in terms of average F0 for PE are very close. There is a very slight difference on the expression of sadness with 230 Hz and happiness, which is close to 250 Hz. Thus appear two completely opposite families of emotions (positive/ negative) with similar results in terms F0 average values.

Anger appears in-between position near to 225 Hz, and finally neutral speech with about 215 Hz. Particularly there is in terms of females F0 average very small differences between anger expression and neutral state.

Thus, in general terms, observing the two groups it is possible to state that the differences are more prominent in men; that joy is the emotion which stands for both groups, with F0 higher values and, the lowest values, are related to sadness.

4.1.2 Jitter

In what concerns to jitter examination (Figure 5) it is possible to more directly compare each emotion with the neutral speech. Becomes easier to observe and highlight the possible similarities and / or differences in relation to each other and all in relation to the average level, which will be neutral.

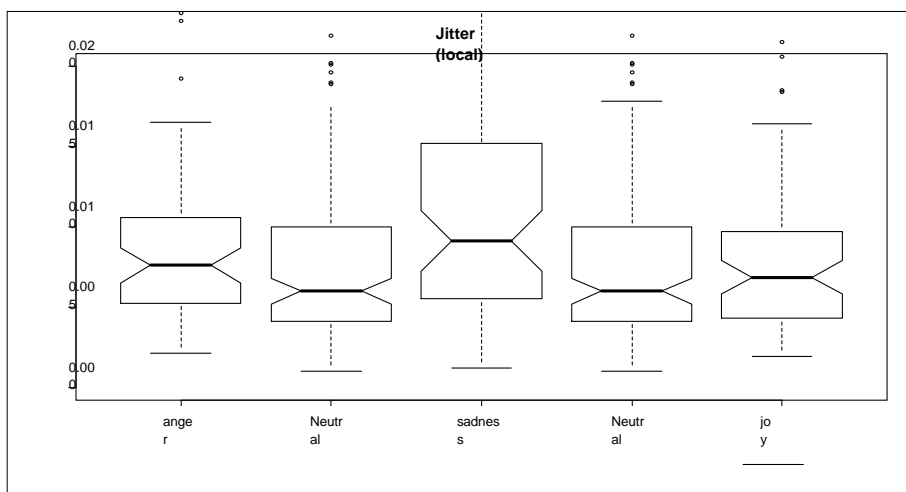


Figure 5: *Jitter* Local values for the different studied emotions

The graph in Figure 5, referring to the Jitter Local, allows to observe a clear difference in the values for sadness, which are higher in relation to all other expressions in study.

Joy and anger are very similar and in closer positions in relation to the neutral speech than in relation to sadness. The neutral sentences are the ones presenting jitter lower values.

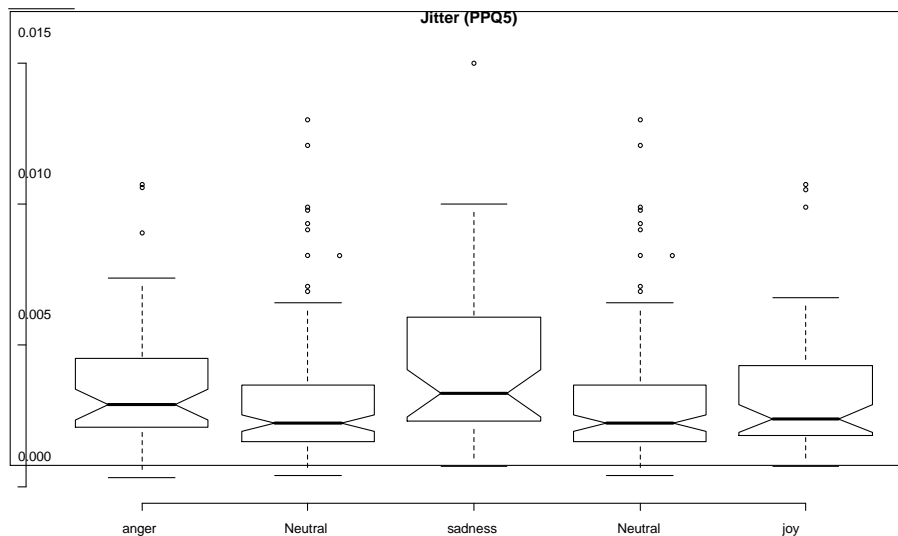


Figure 6. *Jitter* PPQ5 values for all the studies emotions

In this graph it is possible to observe, that sadness stands out, with the highest value for jitter PPQ5. It is noteworthy that for jitter PPQ5, joy and neutral speech have the lowest values and all similar, with no significant difference between these productions with regard to this parameter analysis. Anger seems to be closer to the values presented for sadness than the ones for neutral. This nearness comes from the fact that in this case the analyzed segment it was very close to suppressed rage (cold anger), since the recordings analyzed were taken from a television program, not as denoting high values in any of the parameters analyzed.

4.1.3 Shimmer

A detailed study of the figures presented for Shimmer Local and APQ3 shows a comparison between emotions and the average value reported for neutral speech (Figure 7).

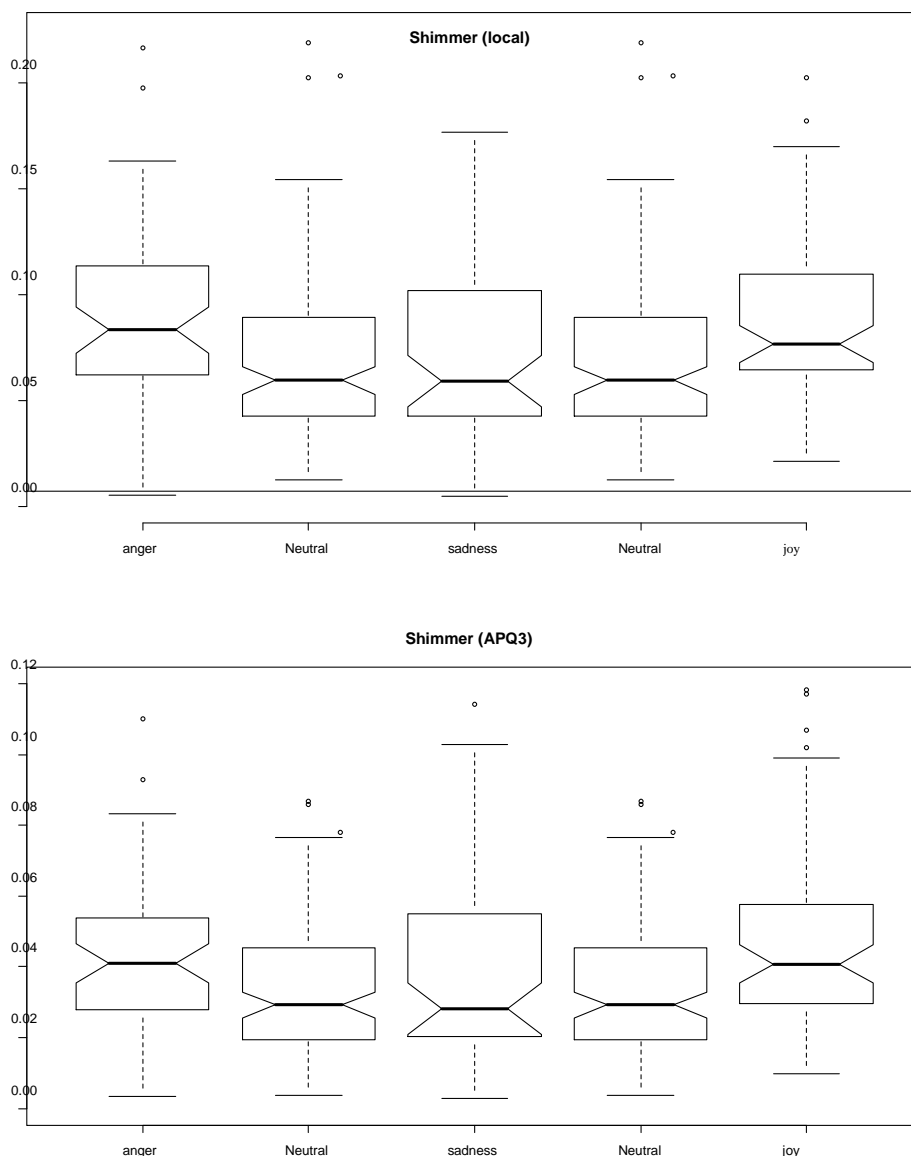


Figure 7: *Shimmer* local and APQ3 values for the four different emotions and neutral state

Observing of Figure 7, it is noticeable that the parameter values are higher for anger and happiness, two emotions interestingly distinct. This may reflect the intensity that was gave to each of them.

On the other hand expression of sadness has lower values, even lower than those reported for neutral state.

4.1.4 HNR

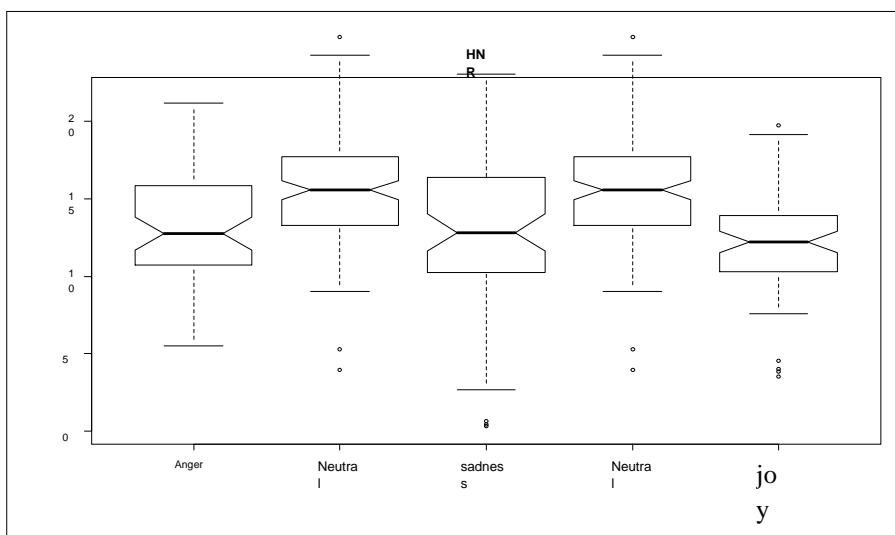


Figure 8: HNR values for the five utterances

Taking as reference neutral speech it is possible to verify that all the 3 analyzed emotions present values below normality.

Anger and sadness have very similar values of 13 dB and the expression of joy, although very close to other emotions, shows the closest reference value for the normal 12 db. All of them are, however, at the threshold of normality in terms of noise / harmony.

4 A) Explaining the “normality” for voice parameters

In other study for uncontrolled and pathologic voices one also used the Hoarseness Diagram (Fröhlich, Michaelis et al. 2000), a “new approach to the acoustic analysis of pathological voices combining several acoustic measures” (Michaelis, Fröhlich et al. 1998). This diagram separates two independent acoustic measures, the irregularity component (Irreg) and the noise component (Noise). For clinical application the speakers' data are plotted in the diagram as ellipses representing the mean and standard deviation of the two factors. On the previous study only sustained values were analysed according to the program requirements (segments with more than 500 msec duration) made it unsuitable for sentences by Michaelis (1998) for which normal and pathologic values have been studied. Thus it is

possible to know when some parameters of an individual's voice are approaching irregularity consequently close to pathology. Those studied factor for voice quality and emotion was extremely appreciated by actors and TV presenters, once that they would try to be more careful.

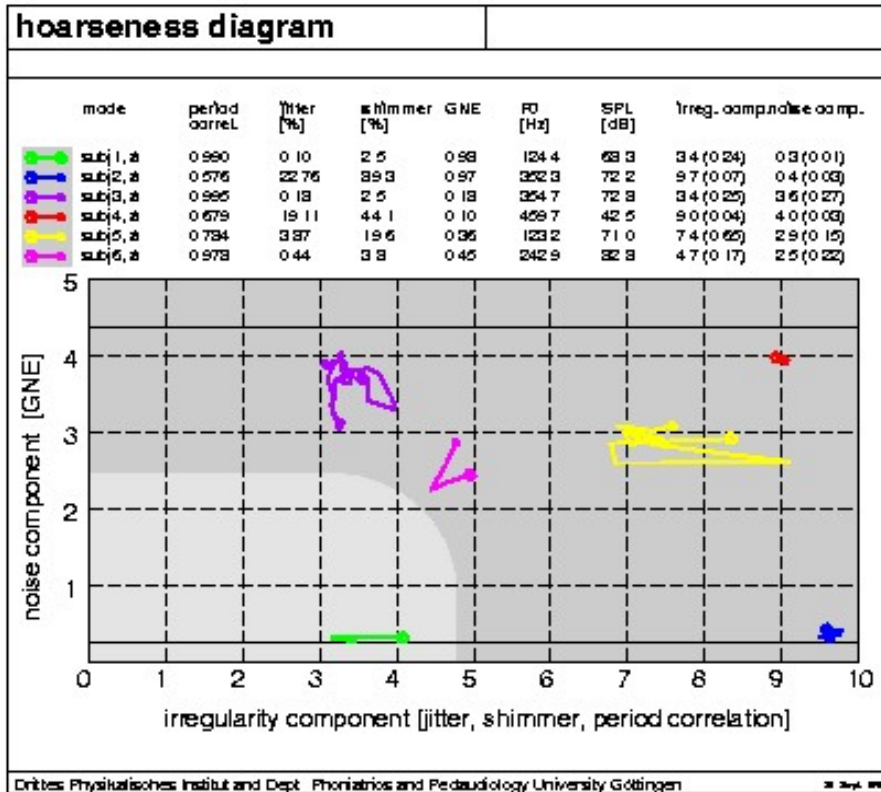


Figure 9: Hoarseness Diagram, (Fröhlich, 1997)

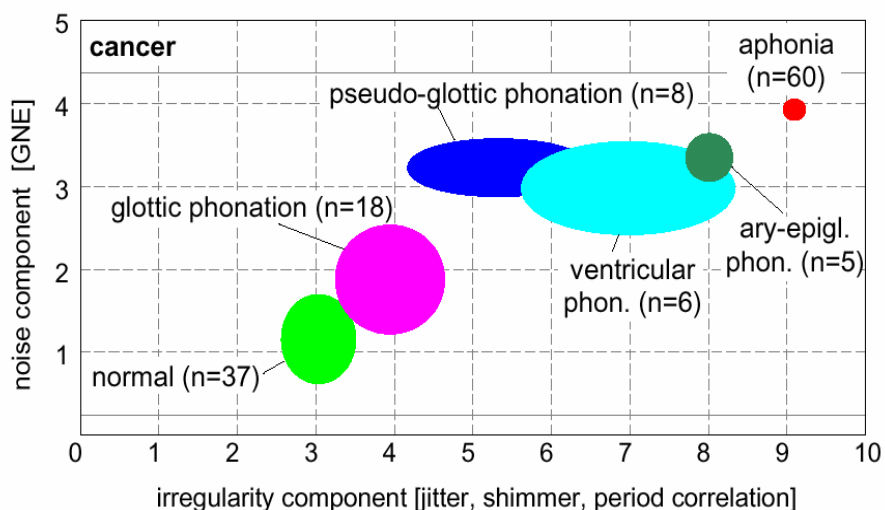


Figure 10 – Hoarseness Diagram (Fröhlich, 1997) ellipses reporting voice pathologies

5. European Portuguese acted emotional speech

The *corpus* is composed by two sentences, one simple and one complex, both extracted from the Portuguese version of the naturalistic dialogue "The human voice" by the French writer Jean Cocteau (1998). The sentences were recorded one after another not giving the actor time to prepare and concentrate, once that it was thought that it would help on a more spontaneous speech. The complete *corpus* had 42 utterances (once that he repeated 5 times each sentence conveying 5 emotions plus the neutral state). The *corpus* was thus constituted by the simple sentence "O melhor será tomares conta deles" /u m@LOr s@ra tumar@S ko t6 del@S/ (You've better take care of them) and the complex sentence "N~ao tenho com certeza a voz de uma pessoa que esconde qualquer coisa" [/n6 w t6]Ju Ko s@rtez6 6vOS djum6 psow6 kiSko d@ kwalker kojz6/ (I don't really have the voice of a person who hides something). The chosen sentences do not present by themselves any emotional charge or meaning, so the actor may well interpret them according to the intended principles: joy, despair, anger, fear, sadness and the neutral form. The informant was a professional actor, male.

Sentences were first annotated at word and phone levels, using SAMPA (*Speech Assessment Methods Phonetic Alphabet*) transcription in SFS (*Speech Filing System*). The limits of each

segment were marked and a broad phonetic transcription was made, considering phenomena such as elision, crasis and addition of certain sounds. All data was processed in Praat software (Boersma, 2001), which allowed the extraction of the needed elements using the Praat Voice Report function. Analyses were made in SPSS (v. 16) and R. As part of the parameters from a Normal distribution, non-parametric tests were employed.

The following figures (11 and 12) present both sentences in Phonetic transcription:

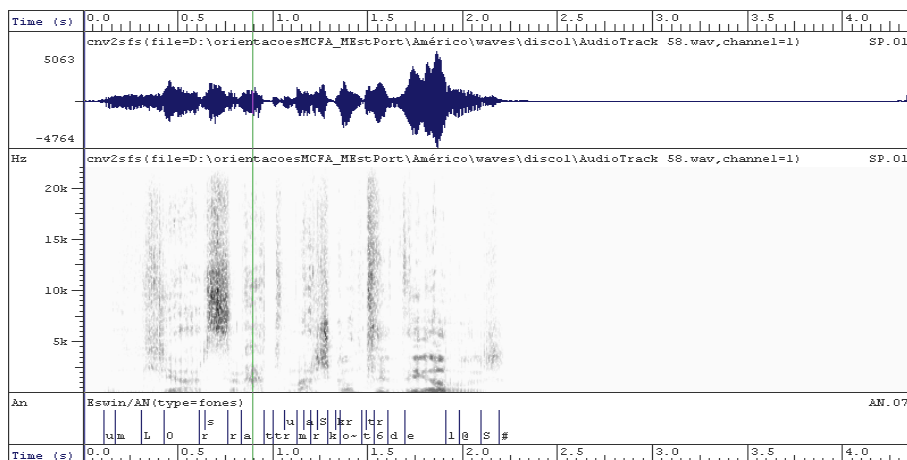


Figure 11 – Simple utterance - /u m l o r s r a t u m a r k o ~ n t 6 d e l @ s /

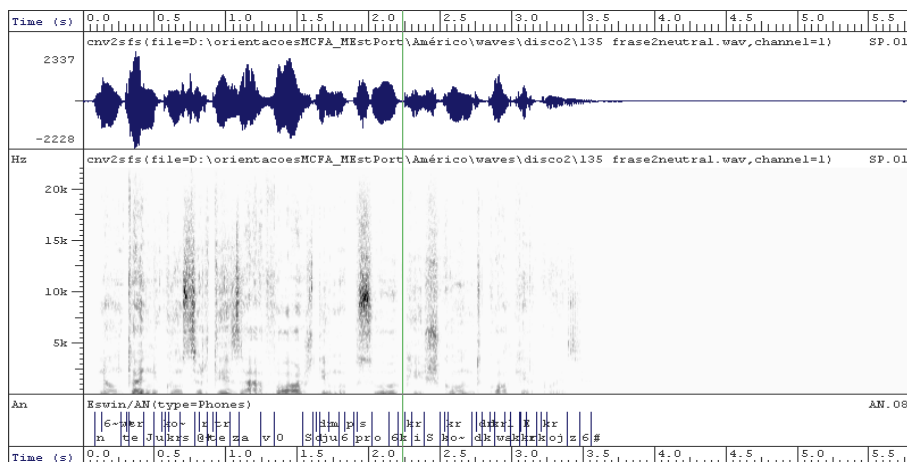
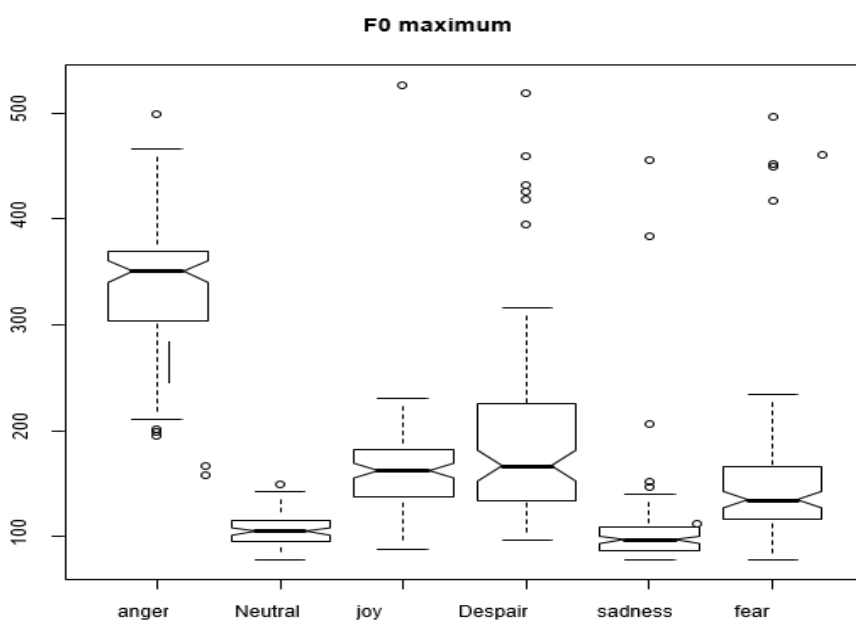


Figure 12 – Complex utterance - /n 6 ~ w ~ t 6 j u k o ~ s @ r t e z a v o s d j u m 6 p s o w 6 k i s k o ~ d @ k w a l k e r k o j z 6 /

On this study four different F0 related parameters were considered; F0 minimum, max, mean and F0 standard deviation.

Data analysis of different F0 parameters shows that anger is clearly differentiated, presenting an average value near 300 Hz and the highest standard deviation and range.

Joy and despair present similar values on the four F0 parameters, with mean around 150 for F0 mean and F0 max. One difference between the two is the higher range of values for despair. Fear has F0 values lower than the previous pair. Standard deviation is also lower. Sadness presents the lower values for those parameters, comparable with neutral. For F0 maximum, minimum and mean, all pairs are significantly different except for despair-fear, despair-joy, fear-joy and neutral-sadness. For F0 standard deviation, also the following pairs were not significantly different: fear-neutral, fear-sadness and joy-sadness. It can be said that some pairs are difficult to differentiate based on F0 parameters only. The standard deviation presents the lowest discrimination power.



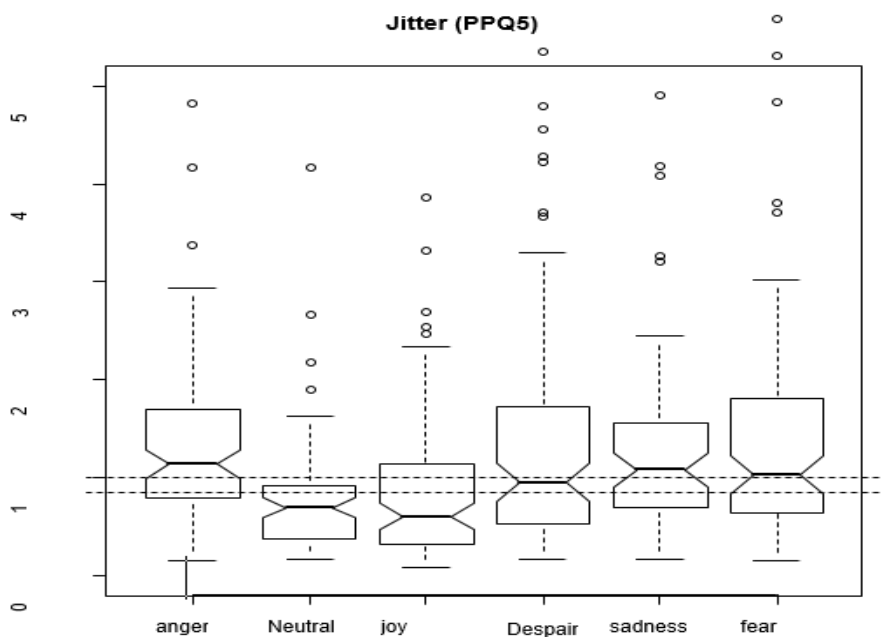


Figure 13 – Maximum F0 and Jitter values for each emotion

Jitter and Shimmer were also studied. For Jitter it was only contemplated PPQ5 parameter. Results showed that higher jitter values are associated with despair, fear, anger and sadness the most negative emotions. The neutral speech and joy present lower or similar values. Regarding jitter values, joy appears clearly lower than three of the other emotions. Jitter seems a relevant factor to detect joy.

For Shimmer parameters it is clear that they are particularly high for anger, followed by the group that combines despair, sadness and fear. Anger only does not present significantly higher shimmer values than sadness and despair. Nevertheless despair also has significantly higher shimmer values than joy and neutral; other emotions present no significant differences. Shimmer only differentiate anger and despair from all the remaining.

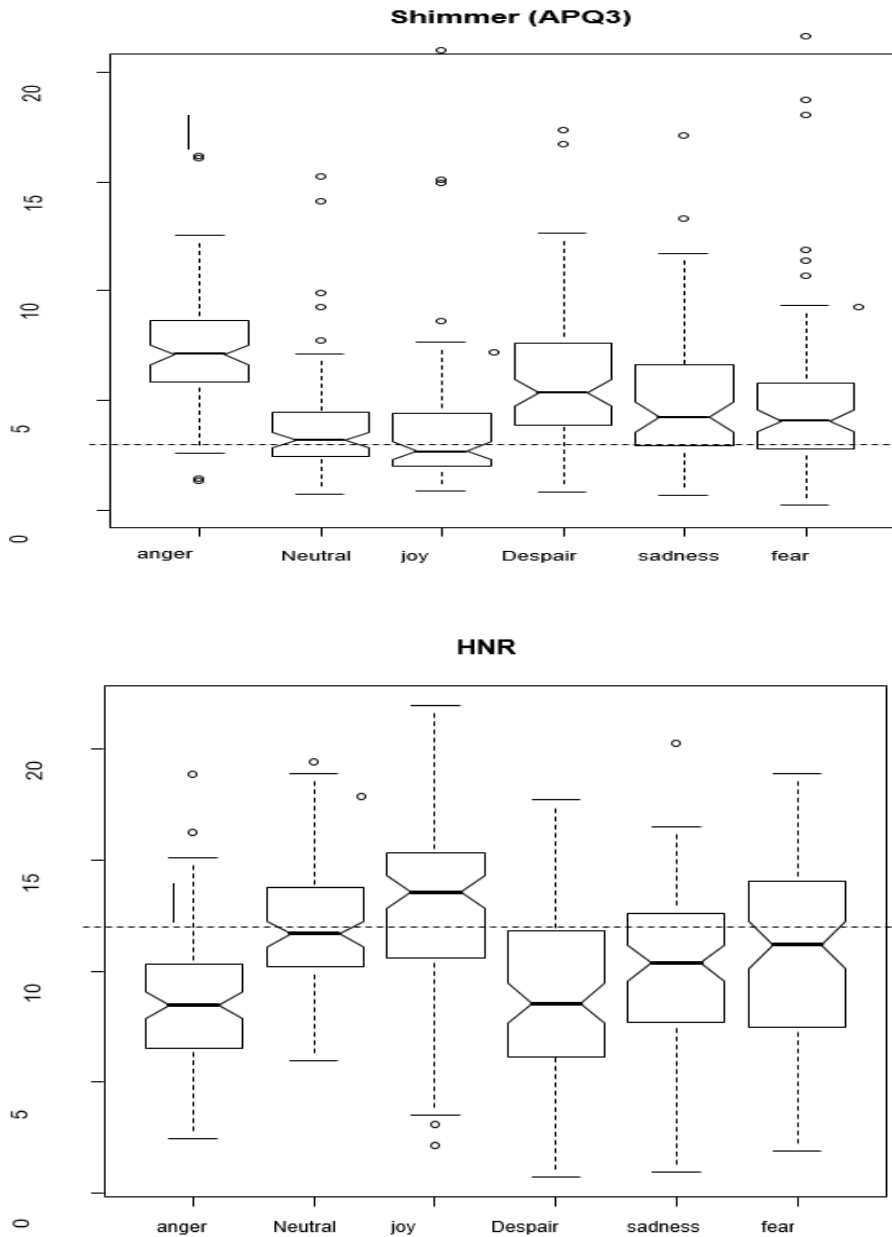


Figure 14 – Shimmer and Harmonic Noise Ratio values for each emotion

6. Conclusion

The analyzed parameters are the most common, providing a good starting picture of the effects of emotions on the voice quality, but there is a big margin for improvement. The glottal

source parameters, such as Open Quotient, and the spectral parameters should be also considered.

For spontaneous speech it was possible to observe that F0 maximum and average differentiates anger, sadness and joy as reported by Banse & Scherer (1996) and Cowie et al. (2003). Anger presents the highest F0; joy an equally high value; sadness the lowest value. Sadness, as reported by Cowie et al. (2003), has values close to neutral. One's measures don't confirm the increase of F0 for fear. As Scherer (cited by Airas & Alku, 2004) suggested, our F0 measures correlate with activation dimension; high activation relates with higher values of F0.

The comparison of jitter and shimmer values with the literature is more difficult. Firstly, there are few studies reporting such parameters; secondly, there is some uncertainty on the exact parameters report (ex: Local, PPQ5); thirdly, the process of parameter extraction is not necessarily equivalent.

Regarding shimmer results only anger does not present significantly higher shimmer values than sadness and despair, and those are in agreement with published measures such as by Drioli et al. (2003) showing high shimmer values for anger.

In this research concerning to jitter, joy appears clearly lower than three of the other emotions. Jitter seems to be a relevant factor to detect joy. The similarity of jitter for joy and neutral observed for EP is in agreement with the results obtained by Monzo, Alías, Ignasi, Gonzalvo & Planet (2007) for Spanish happy and neutral speech.

Also in agreement with the revised literature (Drioli et al. (2003)), HNR is lower for anger and for despair. Contrary to some work, were verified significantly higher values of HNR for joy, placing this emotion far from fear relative to HNR has was stated in Drioli study.

The differences observed for joy can be related to the difficulty on identifying the emotion in perceptual tests, in agreement with the observations of Darwin, joy is more difficult to be conveyed by voice alone. Joy was often confused with neutral, by native and non-native EP speakers. The *corpus* is too reduced to generalize, but this question of possible differences in expression of joy or relative ineffectiveness of the actor expressing this emotion, recommend follow-up studies.

For some of the emotions, parameters such as HNR and jitter present values in the 'pathological' ranges usually

considered in voice evaluation. This urges the necessity of controlling the emotional state of the subject to whom a voice evaluation procedure is applied. Being sad or happy has noticeable effects on the 'normal' (Michaelis, Dirk; Frohlich Mathias; Strube, Hans Werner, 1998) range of several parameters.

7. Discussion

Comparing the results obtained for spontaneous and acted emotions and taking into account the analysis of the related F0 there is a consistency between the results obtained for the two *corpora*. Thus, in terms of average F0, speaking only in the context of male voice (once that for spontaneous emotion also have recordings of female voice), joy presents the highest values and the difference between the expression of sadness and neutral speech remains minimal. The most active emotions have higher values of F0, according to Scherer (2004), which corroborates the results of this study. Spontaneous expression of joy that makes of this *corpus* is, in most cases, euphoria (since it is linked to the football excitement), thus explaining the higher values than for anger.

In terms of F0, one was unable to study the values for anger in the male discourse. However in this same emotion the female discourse does not have higher values than joy on F0 average. Both present very close values in terms of standard deviation. It is observed that in PE sadness reports lower F0 values than neutral speech, confirming once again the values presented by Cowie et al (2003).

On acted emotions the highest jitter values are associated with anger and sadness (also despair and fear, but those were not considered in the study of spontaneous emotion). Thus, negative emotions have higher values of jitter. Also, for spontaneous emotion sadness has the highest value. Referring to the study of Shimmer related parameters it is seen that with values above the neutral speech it is possible to find only anger and joy. This parameter shows a deviation from the results obtained by the analysis of emotion produced by the actor. While in the study of acted emotions anger is the far above the value of neutral speech and happiness, in turn, is below a threshold.

Finally, considering the values of spontaneous emotion, in what concerns the Harmonic Noise Ratio, it was found that all the

emotions present results close to those considered normal values close to 13 db. It is noteworthy that the neutral speech is the one with highest values close to 15 dB, which was the value reported for joy in the study of acted emotions.

In spontaneous emotion HNR gives us very similar values in all emotions and neutral speech, what does not occur on acted speech analysis. This parameter may be one of the most significant in distinguishing emotions regarding acted and spontaneous speech.

In the study of emotion by actor, anger appeared in an area that would be potentially considered pathological.

Regarding the analysis of spontaneous emotions in Feeltrace it is possible to observe that the results for shimmer are the opposite of those obtained for jitter. Shimmer results are more negative and more passive and in jitter more positive and active. Resembling shimmer results to those previously observed for the values of the two F0 parameters analyzed (for men). The results HNR, despite being very similar between them, are more comparable to the results obtained for F0 in which there is an increase in negative and passive axes.

For PE the results to retain are: the proximity of values between the neutral speech and the expression of sadness when in terms of shimmer; the similarity of jitter values between joy, anger and neutral expression and, finally, the close proximity of HNR values of the anger, joy and sadness.

Particularly with regard to values so close between sadness and neutral state, joy and neutral expression and the closeness of values of Harmonic Noise Ratio for joy and sadness, can be indicators of a cultural condition in which the expression of sadness or joy shows no major differentiating values when compared with the neutral speech.

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MEMORY AND MUSIC IN MIKHAIL BULGAKOV'S THE MASTER AND MARGARITA: DEFYING THE REGIME

Abstract: *Mikhail Bulgakov's The Master and Margarita reveals intricate intersections, which are negotiated via memory and writing. Witnessing the collapse of the Russian Empire and the emergence of the Soviet Union, Bulgakov devises multiple ways to engage not only with political and historical changes but with literary and aesthetic changes as well. Known for its magical and phantasmagorical abundance, The Master and Margarita offers, in addition to a love story, a narrative that reveals the individual's fragmented memory that is connected with existential uncertainty and lostness brought forth by political oppression.*

To illuminate the novel's engagements with memory and existence, this essay brings attention to musical references that Bulgakov employs to produce multilayered narrative dimensions. Although music in Bulgakov's novel has been mentioned on many occasions, this discussion shifts the emphasis from the writer's love of music to the responses to the brutality of the Soviet regime and to the conflicts, arising from the state's attempts to control the individual's memory, private space. In this essay, memory and music are presented as means to defy the state's dominance, control, and surveillance.

Keywords: *memory, music, fluidity, rhizome, multiplicity, multilayered*

The Master and Margarita is usually discussed as Mikhail Bulgakov's last novel, which brings intimate engagements with life, history, and memory. Margarita's and the Master's desire to exercise their right for freedom, which echoes the story that takes place in the Jerusalem of Pontius Pilate, contributes to the ongoing conversation about the Soviet regime and the individual's struggle against dictatorship. In this context, memory

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appears to be a space where the personal, political, historical, cultural intermingle.

Memory in *The Master and Margarita* has been previously discussed ; however, this discussion very often was shaped by Soviet criticism and ideology, situating the conversation about memory in the context of dualistic struggles that the novel overtly reveals: good and evil, spiritual and materialistic, life and death, etc. This essay aims to shift focus and to locate memory engagements that Bulgakov's novel demonstrates in the context of fluidity and fragmentation: for Bulgakov, memory is not an archive of stable items but a constant flux of interrelations, a shifting mosaic of fragments. This presentation of memory contrasts with the understanding of memory which was supported and promoted by the Soviet regime: as a stable archive of clearly defined items.

To disclose memory as a fluid entity, this essay will focus on music components, which add to the narrative not only cultural intertextuality but also mnemonic proliferations. Bulgakov's love of music has been detailed, but the current conversation will shift the emphasis from the writer's fascination with music to the ways in which he responds to the brutality of the Soviet regime and to the conflicts, arising from the state's attempts to control the individual's memory, private space. In this respect, music functions as a means to defy the state's dominance and to police one's own private space; music also helps the individual survive when they are confronted with control and surveillance.

Promoting the coexistence of the past and the present and outlining mnemonic palimpsests, *The Master and Margarita* questions the policies initiated by the Soviet government and subverts the foundations of the Soviet regime. One of the patterns, where music reveals its power of subverting chronological hierarchies, involves an extravagant group of the novel's characters that happen to be intricately connected: the editor Berlioz, Dr. Stravinsky, and the Variety Theatre treasurer Rimsky. These three names, which evoke references to the

famous composers, have links to another name, which is briefly mentioned in *The Master and Margarita*: Wagner. This current discussion will push forward the Wagnerian element to the premises of transcultural interaction and repercussions it produces for the understanding of the individual, defying political terror and control. The main focus will be the exploration of how this narrative orchestration that includes the famous composers illuminates the fluidity of memory, which encodes the individual's fight for freedom. Bulgakov's representation of memory will be described in terms of rhizome, which is understood within the theoretical framework proposed by Deleuze and Guattari. This essay will emphasize musical nuances, which help intensify transcultural dialogues in response to the politics of exclusion maintained by the Soviet regime. Undoubtedly, musical allusions that *The Master and Margarita* includes are numerous; but this essay seeks to initiate a conversation about Bulgakov's political stance when engaging in a transcultural artistic collaboration.

The name of Wagner in the novel is associated with Woland, the devil in disguise. When trying to narrate the tragic death of Berlioz, Bezdomny, having a hard time remembering the stranger's name, confuses a series of names, one of them being Wagner: "If only I remember it began with 'W.' But what was the name beginning with 'W' ? . . . 'W, W, W! Wa. . . Wo. . .Wo. . . Washner? Wagner? Weiner? Wegner? Winter'" (52). Mentioned in a cursory way, the name of Wagner brings uncertainty and ambiguity. First and foremost, it can be easily associated not with the name of the German composer, but with Faust's attendant, Wagner. Considering multiple references to Goethe's works that *The Master and Margarita* includes, as well as Bulgakov's particular liking of the opera *Faust*, this hypothesis has some solid ground. However, multiplicity is one of the most conspicuous traits of Bulgakov's texts—remembering Bulgakov's love of Wagner's music, it is worth exploring connections disclosed via this musical thread.

As Tatiana Kiselgof (Lappa), Bulgakov's first wife, recalls, her husband loved Wagner, *The Valkyrie* in particular (6). Although direct mentioning of Wagner is meager in *The Master and Margarita*, it can reveal other musical references mentioned in the novel—references that lead to the names of Hector Berlioz, Nikolai Rimsky-Korsakov, and Igor Stravinsky. In a subtle way, Bulgakov conflates not only literature and music, but times and places as well. He surpasses the national limitations of cultural heritage and goes far beyond the confinements of the closed Soviet system that was rather hostile and suspicious toward Western trends and influences.

Pre-Soviet Russia and Soviet Russia of the formative years appeared to be receptive to Wagner's aesthetic ideas. Even though Wagner's works were not frequently performed, his aesthetic influence proved to be intriguingly significant. Providing an overview of Wagner's international influence, Barry Millington mentions, "[. . .] Russia proved to be fertile Wagnerian territory too, in spite of the composer's tenuous association with the country in his lifetime" (24). The link was established on the basis of the mystic and the spiritual that Wagner was striving to express via his diverse works:

The spiritual dimension of [Wagner's] art struck a chord, however, with practitioners of the mystical, Symbolist—inspired movement that swept the country at the turn of the century. Wagner's theories and aesthetic ideas were actually discussed more than the works themselves were performed, and after the Revolution too it was the anti-capitalist tendency of such essays as *Die Kunst und die Revolution* that appealed to Bolsheviks and intellectuals alike. Mass festivals were organized, often involving thousands of people, in a grand synthesis of music, dance, rhythmic declamation and decorative arts that unmistakably, though tacitly—art of the past not being officially approved—invoked the spirit of the *Gesamtkunstwerk* (24).

Wagner's oeuvre, ranging from dramatic, orchestral, solo works to diary, journalistic, and autobiographical writings, can be presented as a territory where a variety of arts fuse and

intermingle. For Wagner, reuniting the arts was not only an aesthetic principle. To some extent, reunification would reflect social changes: “this reuniting of the arts in the new, perfect drama would also mean a regeneration of society, an intentional meeting of art and revolution” (671). Wagner’s imagination fuses and combines diverse artistic media, gesturing toward breaking boundaries, conventions that keep the arts separate and isolated.

For Wagner, music turned out to be a catalyst for the idea of synthesized arts. Bulgakov employs music to synthesize cultures and histories; also music serves as a medium for transmitting memories, not only personal but collective as well. In this light, a trio of characters—Berlioz, Rimsky, and Dr. Stravinsky—which are overtly derived from three well-known composers brings attention to memory as a rhizome where various historical periods and cultural traditions interweave. For Bulgakov, music turns to be a world of quotations and improvisations: mixing the names of the composers, which are one way or another connected to the name of Wagner, Bulgakov not only involves his readers into a whimsical game that breaks the chronological and national boundaries, but also exercises his liberated spirit and imagination. Music is a way to escape control and oppression of the Soviet regime and to assert one’s inner independence.

Belonging to different cultural environments, the four composers establish dialogues that disclose the mobility and flexibility of memory. While bringing unique connotations, each composer of the trio—Berlioz, Rimsky-Korsakov, and Stravinsky — evokes an intriguing link to Wagner: all three composers were in a way influenced by Wagner’s music compositions and/or his aesthetic ideas the core of which was constituted by the composer’s striving to synthesize the arts. Additionally, while connected via a variety of aspects, the three composers reveal their genuine interest in and fascination with symphony compositions, complex orchestrations, and various compositional and performance innovations. Taking into consideration multiple

narratives, *The Master and Margarita* can also be described as a complex orchestration, with Bulgakov being a conductor.

Music allusions, evoking the Wagnerian element, emerge in the beginning of the novel. Berlioz, the editor of a literary magazine and chairman of MASSOLIT, Moscow's literary association, tragically dies after having a provocative conversation about religion with his colleague Ivan Bezdomny and a suspicious stranger, Woland, devil in disguise. This conversation, it should be noted, takes place in the Moscow of the 1930s: religion is a dangerous topic. In spite of his death, Berlioz's presence remains rather eloquent. The subsequent events keep returning to the opening scene of the novel: the present, as well as the future, is shaped by the past. The editor has his *idée fixe*—Jesus Christ does not exist and never existed. One may suggest that his death is some sort of punishment for his ideological and philosophical rigidity. Berlioz's death can be presented not as a punishment, but as a gesture to reveal the absurdity and impossibility of rigid structuring.

Berlioz shapes to some extent the lives of other characters: the lives of those he knew and of those with whom he was not acquainted. After his death, Bezdomny finds himself at Dr. Stravinsky's mental hospital. Here he meets the Master, who not only believes his story about the stranger, Woland, who predicted the death of the editor, but also has some insight into the development of the trial, involving Pontius Pilate and Yeshua Ha-Nostri. The mental institution turns into a place where the past and the present meet and mix, keeping the future blurry and hazy. While triggering a number of narrative proliferations, as well as musical associations, the name of Berlioz subverts a rigid chronology and a linear and predictable development of the events.

At the first glance, Bulgakov's Berlioz may seem to be distantly connected with Hector Berlioz (1803-1869), a representative of French Romanticism. However, when considering the composer's main musical contributions, the connection appears strikingly solid. Berlioz is known for the

development of *idée fixe*—obsessively recurring melody. However, he was also known for experimenting with a variety of musical styles and genres, seeking inspiration in a diversity of musical and literary works, and developing orchestration principles that would echo Wagner's ideas:

The beginning of the century heralded the liberation of woodwind and brass instruments, whose sonorities, both solo and in combination, now made more distinctive contributions to the orchestral texture. In opera, more specifically, such composers as Spontini and Weber were employing these timbres imaginatively, adding new colours to the tonal palette; such innovations were soon extended by Berlioz and Meyerbeer as well as Wagner (Millington 21).

The paths of the French composer and the German composer crossed in an intriguing way. Not only were they commenting on each other's compositions and aesthetics ideas, they also seem to have maintained creative dialogues through their compositions.

Bulgakov incorporates international music heritage, blurring the boundaries of geographical and cultural limitations. By referring to Wagner and Berlioz, for example, the writer, first and foremost, provides his potential Soviet readers with the world of transcultural communication. Bulgakov shows resistance toward the limitations that the Soviet regime was implementing in the cultural sphere: only pro-Communist material was allowed and supported at the governmental level, while the majority of pro-Western works were harshly criticized and eventually censored or banned. The Soviets' attempts, which were based on the strategy of exclusion and closeness, to sift out the material that links generations to their past, present, and future are critiqued in *The Master and Margarita*.

In the context of cultural and political resistance, another character, Dr. Stravinsky, produces additional layers for music and literary allusions. Dr. Stravinsky establishes an apparent link to Igor Stravinsky, Russian composer, pianist, and conductor famous for his innovation in the realm of music composition and

performance. Bulgakov's Stravinsky works at the mental clinic and he seems to be compassionate and understanding toward his patients, particularly toward Bezdomny. Bezdomny makes a few comments about Dr. Stravinsky, which, at the first glance, may seem ironic; nevertheless they gesture toward a positive image of the professor: "He's clever,' thought Ivan. 'You have to admit, there are some smart people even among the intelligentsia. . ." (91). Although his story about Berlioz's death does not sound plausible, Bezdomny feels comfortable sharing with Dr. Stravinsky how he encountered a mysterious person "who knew about Berlioz' death before it happened and who knew Pontius Pilate personally" (90).

Some critics point out that the name of Stravinsky contributes to the sophisticated intertext and links *The Master and Margarita* to the world of the supernatural. It is noteworthy that the name of the Russian composer is mentioned in the context of a mental hospital, the topos where the notions of the sanity and the normal collapse. Another direction this link can develop seems also legitimate: the name of Stravinsky evokes the subversion of limitations, standards, and norms and highlights not only liberated imagination and creativity but also the idea of memory that escapes suppression and control. At the clinic, Bezdomny does not question his ability to remember a mysterious story that took place at Patriarch's Ponds; in addition, his insane memories of the night are interpreted as normal. At the mental hospital, while the sane and the insane become blurred, memories acquire clarity and definiteness.

Revolving around Dr. Stravinsky, asylum episodes reveal Bulgakov's gesturing not only to the contemporaneity, but also to modernist and postmodernist consciousness—fluid, mutating, and fragmented. From this perspective, the individual is presented as a complex web of multiple connections where the past, present, and future blend. In the continuum of multiple links, memory functions as a means of maintaining inner freedom and as a connector to one's own self and other.

Organizing his transcultural musical ensembles, Bulgakov surpasses the national limitations of cultural heritage and goes far beyond the confinements of the closed Soviet system that appears to be hostile and suspicious toward Western trends and influences. As Wagner who sought to unify the arts, Bulgakov attempted to improvise with and in literature, defying the Soviet cultural life that was regulated by rules, prescriptions, and instructions. The Wagnerian element, on the one hand, intensifies the proliferation of various readings; on the other hand, it emphasizes Bulgakov's embracement of memory fluidity, as well as historical and cultural dialogism.

Bulgakov's embracement of transcultural interconnections that signal the fluidity of memory is further intensified through music references, which appear to introduce confusion and indeterminacy. The name of Rimsky, treasurer of the Variety Theatre, can be identified as a variation of Rimsky-Korsakov (1844-1908), a Russian composer who experienced a significant influence of Wagner. Devoting much effort to the development of Russian style in music, Rimsky-Korsakov found new musical stimulus in Wagner's *Der Ring des Nibelungen* (*The Ring of the Nibelung*). Wagnerian influence can be traced in the libretto *Mlada* (1890).

The portrait of Bulgakov's Rimsky is tinted with irony. Not only is he responsible for money matters of the Variety Theatre—an intriguing area that to some extent ridicules a widely promoted by the Soviets competition between communism and capitalism—he also embodies a sneaky Soviet clerk who would almost always prioritize his comfort and profit when making decisions: “The only person to have no interest whatsoever in the wonders of the Giulli family's cycling technique was Grigory Danilovich Rimsky” (99). Rimsky seems to hardly have any enthusiasm for anything—his interests revolve around lucrative and comfortable positions. When meeting Woland, a devil in disguise, he barely shows any aliveness: “Trying to put a smile on his face, which only made it look sour and mean, Rimsky bowed to the silent magician, who was sitting on the couch next to the

cat” (99). Rimsky tries to escape any situation that can bring him unnecessary exertion—emotional or mental—and, of course, that can sabotage him as a financial director.

Rimsky’s and Woland’s paths cross only a few times. What is intriguing about their brief counteraction is that Rimsky’s life drastically changes:

Stepan Bogdanovich’s removal from the Variety did not give Rimsky the joy he so fervently dreamed of so long. After a spell in a clinic and a rest cure at Kislovodsk, the aged and decrepit financial director with the shaking head put in for retirement from the Variety (330-331).

In the end, he quits his position at the Variety Theatre and joins the children’s puppet theatre. Like other characters, Rimsky evokes ambiguity. On the one hand, one sympathizes with him—an aging clerk, who seems to be tired of his duties, retires being incapable to handle tensions, overwhelming the Variety Theatre. On the other hand, Rimsky gets what he deserves. Trying to oust other employees that he dislikes, he himself has to quit.

Rimsky supervises the Variety Theatre, a place for entertaining shows and musicals. It is not that Bulgakov derides popular culture, which was intensively developing under the Soviet regime. What Bulgakov opposes is manipulative approaches not only to managing official institutions, but also to exploiting cultural heritages in order to promote the image of the USSR mightiness. In this regard, Rimsky’s attempt to survive within the Soviet apparatus is eloquent.

Rimsky-Korsakov, to whom Bulgakov’s Rimsky alludes, is known for employing a wide range of Russian folklore, emphasizing national trends in music. Moreover, he was also a member of *moguchaya kuchka* (the “Mighty Five” or “Mighty Handful”), a nineteenth-century circle of Russian composers, who, while maintaining openness to the international musical heritage, were developing Russian style in classical music. Apart from Rimsky-Korsakov, this group included Mily Balakirev (1837-1910), Modest Mussorgsky (1839-1881), Alexander Borodin (1833-1887), and Cesar Cui (1839-1918). One of the

kuchka's leaders was Mily Balakirev, "who promoted a supposedly progressive aesthetic line against a purportedly conservative—and conservatory—opposition" (Taruskin and Gibbs 710). The group was fighting against Westernizing Russian music; Anton Rubinstein (1829-1894), who established the St. Petersburg Conservatory, was considered one of their "enemies." Not only did Rubinstein develop the conservatory establishments, he also supported the westernizing of Russian music, and hinted that "Russian musical nationalism was merely a sign of immaturity and dilettantism" (Taruskin and Gibbs 711).

Rimsky-Korsakov simultaneously represents two camps—official/institutional and creative/artistic. A talented composer and musician, he devoted many years of his career to the development of conservatory music in Imperial Russia—the trend that the kuchka was protesting against. In terms of his kuchka activity, Rimsky-Korsakov started his collaboration with the group enthusiastically; however, gradually his zeal to produce "Russian music" was turning into frustration and eventually he abandoned almost all the doctrines of the kuchka (Humphreys 8-12). Rimsky-Korsakov seems to intuitively pick up on the limitations, especially creative, that vehement nationalism can bring. Moreover, the kuchka's activity was national only to some extent—Rimsky-Korsakov himself was referring to international traditions and experiences when developing his compositions. In other words, the kuchka's lamentations for authentically Russian style in music were proclamations and declarations supported by manipulation and propaganda, rather than actual facts and evidence. After all, the world of art appears to be alien to boundaries and limitations set up and maintained by doctrines and prescriptions. Bulgakov's Rimsky, eager to quit his duties, evokes the absurdity of official institutions and an individual's fatigue intensified by rules, instructions, and directions. After leaving the Variety Theatre, he joins a puppet theatre. It may sound ironic; nevertheless, it gestures toward the failure and toward the protest and rebellion against the previous experiences.

Imperial Russia was developing its own myths and legends in the realm of history and culture. The burgeoning USSR was following the same path in many spheres. Bulgakov targets the idea of exclusion, purity of national/nationalistic art, elimination of multiple influences that cultures, generations, and their memories are exposed to. In this context, the allusion to Igor Stravinsky emphasizes the idea of creative freedom and openness to a variety of cultures. While recycling the Wagnerian ideas of synthesizing the arts and genres, Stravinsky reveals the spirit of survival and freedom, defying control and oppression.

A pre-postmodernist composer, Stravinsky represents stylistic diversity and artistic unity: responding to a variety of influences, he produces his unique style and revolutionizes modern music, surpassing geographical and national boundaries. Born and educated in Russia, Stravinsky spent years abroad, becoming a naturalized French and American. Soviet Russia was alien to the composer who seemed to be inspired by freedom that could be embraced via music. Having studied with Rimsky-Korsakov, Stravinsky launched his own search for musical innovations and experimentations. Rich in a variety of quotations, references, borrowing, his music, producing sophisticated textures of multiple fragments which can develop into a separate piece, is haunting; it triggers imagination and disturbs memories, revealing their palimpsestic layers. Employing the past to engage with the present and the future, Stravinsky exerts one of the major influences on the modern music.

Bulgakov's Dr. Stravinsky seems to operate in the environment created by his own self—he works at the mental institution which is subject to his decisions and instructions. His figure is at times hard to read: he either manipulates his employees and patients or he proceeds with his job while attending to others without cultivating excessive sympathy and compassion. While remaining ambiguous, he is respected. In spite of his emotional turmoil, the Master finds his peace at Dr. Stravinsky's clinic: "I'm incurable," the guest replied calmly.

‘When Stravinsky says that he’ll bring me back to life, I don’t believe him. He’s humane and simply wants to comfort me’” (125). Although the Master doubts if he can return to his pre-clinic life, he is comfortable with the shelter the metal institution provides. In fact, by keeping the Master at his hospital, Dr. Stravinsky contributes to his peace and eventually to his escape and reunification with Margarita.

Stravinsky’s episode strengthens the presentation of memory as a complex and fluid network, which mixes and blends multiple components, triggering a variety of conceptual and sensory responses. Taking these effects into consideration, memory, presented in *The Master and Margarita*, reveals itself as rhizome and multifariousness, allowing a combination of a variety of cultural and historical links, influences, connections. In this light, Bulgakov’s novel functions as a memory rhizome, gesturing toward the complexity of creative process of writing and toward the intricate ways of remembering, forgetting and engaging with self, with times and places, and with generations. This interpretation of memory defies the Soviet strategy to reduce the individual’s memory to a set of data that can be manipulated to achieve desired outcomes. From this perspective, memory is a tool to preserve one’s individual memory and freedom, and to survive in the environment, controlled by terror and fear.

A diversity of music references demonstrates Bulgakov’s openness to the international cultural heritage—Russian heritage is only one of multiple sources of creative and imaginative inspiration. (Walsh 1). In *The Master and Margarita*, the musical group connected by Wagner contributes to the conflation of multiple cultural traditions, as well as to the diluting of timeline systematization and purity of memory. Bulgakov’s musical improvisations emphasize the idea of freedom and escape from oppression and control. In addition to classical compositions, the novel’s music assortment includes, jazz, folk songs, pop songs, etc. This aesthetic mixture promotes fragmentation and disconnectedness: signaling the collapse of the linear narrative,

fragmentation introduces existential instability and uncertainty that the individual faces while being submerged in an atmosphere of fear and anxiety. Through music, the novel engages with the political turmoil that reveals the individual's response to existential crises augmented by political oppression. By combining numerous musical references, which allude to the Wagnerian art fusions, Bulgakov responds to the Soviet program to construct a new culture while manipulating the memory of the past. In this regard, Bulgakov's music serves as a link between the past and the present, discreetly critiquing the Soviets' attempts to reduce the memory of the past, the significance of previous experiences (cultural, political, historical, etc.) and prioritize the importance of the current moment.

When the population is provided with the "right" memory that involves the formation of the state and the function of society, the mechanisms of terror and control are less likely to fail. By presenting memory as a fluid and changing entity, Bulgakov defies the Soviet regime, subverting the idea of artificially constructed and manipulated memory that was a product of and an instrument for the formation of controllable consciousness. Conflating music references, Bulgakov brings to the surface via memory cultural plateaus that the Soviet regime intended to reduce and exterminate, or on the contrary, support and underscore. Contributing to the narrative intertextuality and contrapuntal structure, these components demonstrate the individual's striving for freedom not only to live and create, but also to remember and forget—striving for freedom to have one's own memory. By engaging with cultural traditions in this manner, Bulgakov sabotages the Soviets' intentions to produce a New Soviet Man and Woman armed with the memory that will serve the regime. Memory, although subject to manipulation, escapes total control and elimination if there is the individual's desire and willingness to remember. In the oppressive environment of the Soviet Union, Bulgakov presents memory as a resistance force against destruction, physical and spiritual.

Bulgakov's *The Master and Margarita* is a novel that subverts the Soviet strategy to treat human psyche, soul as something that can be designed, regulated, and fixed while completing step-by-step instructions. More often than not, memories emerge in an unpredictable and unexpected way: multiplicities and opposites combine and blend, producing a plurality of variations. Of course, memories can be "engineered" and individuals' souls can be constructed and manipulated according to agendas; however, at some point an individual's spirit defies control and oppression. This protest can be internal and external: if books and manuscripts can be burned and ruined, memory, which an individual chooses to keep and transmit, cannot be burned.

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A ROSE IS A ROSE IS A MELODY: MAPPING JULIO CORTÁZAR'S MUSICAL NARRATIVES

Abstract: *In 2014, many of Julio Cortázar's ground-breaking works were re-launched over the world to commemorate the centenary of the birth of the Argentine writer. A major figure of world literature, Cortázar's fictions are known to break out of the prison of words and conventional practices. His "counternovel" *Hopscotch* (1963), a milestone in Latin American fiction writing, is nothing less than a linguistic revolution. Part of what makes this novel revolutionary is the way it explores the boundaries of language and reality. The other part are its profuse references to jazz music, making it a work of unparalleled sonority. In fact, the presence of music – jazz, classical music, and tango – is significant not only in this novel but also in at least in half of Cortázar's tremendous production. Most scholarship about Cortázar agrees that the author uses music as an alternative form of expression, one that complements and contradicts traditional language. Nevertheless, scholarship has not yet fashioned a convincing and comprehensive theoretical approach to his musically-infused production. The present article starts by examining what scholars have thus far said regarding music and, more specifically, jazz in Cortázar's work. Then the essay raises critical questions about the cultural and linguistic myopia resulting from typical approaches to music in the author's work. Finally, it points out avenues which might lead scholarship to a comprehensive vision of Cortázar's strategic use of music.*

Keywords: *Cortázar, Music, Jazz, Interdisciplinary, Latin-America*

Introduction: The crystal with the music inside

The use of music in narrative fiction is almost as old as the musical genre itself. Since erupting into the global scene, jazz has inspired numerous novels and short stories, both inside and outside the United States. Latin-American writers are not immune to its effects. Like the best jazz solos, some great jazz-inspired writings unfold in unpredictable ways. Their literary discourse hops and jumps incessantly through the pages, just like a soloist hops and jumps through a chord sequence, making it harder to pin down all the complexities behind and within this connection. Such is the case of famed Argentine author Julio

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Cortázar (1914-1984). Cortázar's interest in music, specifically jazz, is present from his very first publications. Since his 1938 collection of sonnets, music has been Cortázar's constant companion. Much has been written about the use of jazz in his fiction. To this day critics are constantly debating the explanations for the presence of music in his texts.

There's an assumption that the intrinsic relationship between music and language in Cortázar's works is due only to his idea that music is a better form of expression than words. Certainly, he believed in the pure qualities of music as language. In fact, he frequently discusses his conceptualization of music in several literary/critical and fictional writings. In the essay "Soledad de la música," for instance, he states that a listener receives the message more directly from a melodic line than from a poetic verse. Even though he refers to language in musical terms – its rhythm, its melody – he is always suspicious of its effectiveness to communicate. His work often comments on the absence of any natural connection between the meaning of a word and its sound or form.

In Cortázar's most famous novel, *Rayuela* (Hopscotch), his constant obsession with the ambiguity of language is conveyed through a writer named Morelli. As expected, one of the protagonist is in fact a writer, a writer that, is in eternal battle with his expressive tool: "Morelli condena en el lenguaje el reflejo de una óptica y de un Organum falsos o incompletos, que nos enmascaran la realidad, la humanidad."³ In chapter 93, Morelli tells us that words are "perras negras"² that bite ("te muerden") and bark, that attack and run away. In another passage of the same chapter, the act of writing is portrayed as the production of "ríos de hormigas feroces que se comerán el mundo" (rivers of fierce ants that will eat the world). Words, once put on paper, are uncontrollable voracious entities. Many passages are the expression of a single – and therefore limited – viewpoint that need to be confronted in order to push readers out of their comfort zone:

"Sacás una idea de ahí, un sentimiento del otro estante, los atás con ayuda de palabras, perras negras, y resulta que te quiero. Total parcial: te quiero. Total general: te amo. ... A Beatriz no se la elige, a Julieta no se la elige. Vos no elegís la lluvia que te va a calar hasta los huesos cuando salís de

un concierto. Pero estoy solo en mi pieza, caigo en artilugios de escriba, las perras negras se vengan cómo pueden, me mordisquean desde abajo de la mesa. ¿Se dice abajo o debajo? Lo mismo te muerden. ¿Por qué, por qué, pourquoi, why, warum, perchè este horror a las perras negras? Miralas ahí en ese poema de Nashe, convertidas em abejas. Y ahí, en dos versos de Octavio Paz, muslos del sol, recintos del verano. ... Curioso, muy curioso que Puttenham sintiera las palabras como si fueran objetos, y hasta criaturas con vida propia. También a mí, a veces, me parece estar engendrando ríos de hormigas feroces que se comerán el mundo. Concebir una raza que se expresara por el dibujo, la danza, el macramé o una mímica abstracta. ¿Evitarían las connotaciones, raíz del engaño?" (Chapter 99)³

Such passages in *Hopscotch* show two strong structural traits: an emphasis on the dangers of language as a mechanism of exclusion and manipulation of reality⁴ and an overwhelming dependence on musical elements. Given the juxtaposition of these two traits, it is understandable that critics would read Cortázar's complex use of music in the novel as intrinsically related to his fear about the limitations of words.

Indeed, elsewhere, Cortázar depicts words as the barrier between the writer's idea and the reader. In "Cristal con una rosa dentro," a short reflection on poetry published in *Ultimo Round* (1987), he reflects on the nature of words, their sound, their meaning, and their relationship with what we call reality. The word rose in the title is itself a reference to Gertrud Stein's verse "Rose is a rose is a rose is a rose." Just like Stein's famous phrase, "Cristal con una rosa dentro" the essay builds on the fact that any word contains many possible meanings and associations, such that each iteration of the word could be a different meaning, or all meanings simultaneously. The one-paragraph text is a suggestive combination of poetry and ontology. Cortázar compares the futility of time with that of meaning: a word being the "articulating lighting that curdles the crystal" in a timeless existence.

On the one hand, Cortázar attributes significant meaning to language, but on the other hand, he is deeply suspicious of its expressive capabilities. No wonder, therefore, that he eventually

recorded himself reading his works on LP. It allowed him to capture fully “el sentimiento oral de la literature.” Texts like *Hopscotch* and “The Pursuer” illustrate that sound is, without doubt, a key component of his narratives, quite in the same way as it is for abstract poets. Whether consciously planned it or not, the music that permeates Cortázar’s works appears to serve as the “lighting” that magically articulates his narratives inside a timeless crystal. If we look closely, behind *Hopscotch*’s verbal discontinuity there are multiple musical lines that connect the different narrative levels of the work. *Hopscotch* is only an example of Cortázar’s inclusion of music. In truth, the musical material opens the text to the possibility of multiple layers of meaning, while releasing the reader from the distress of an intricate narrative. The omnipresence of music in Cortazarian texts proves it to be a referential code essential to his dialectic system—not just a metaphor for the limits of human language.

A review of selected criticism

The existing studies on Cortázar’s ‘musical fiction’ posit different hypotheses. These differences are based on the features and literary works that scholars examine under the light of his conceptualization of music and literature as communicative languages. Such scholarship tends to fall into two groups.

The first group typically offers more traditional readings of Cortázar’s work, explaining the presence of music through analysis of plot, character traits, autobiographical information or historical references. In this group, we find José María Guelbenzu (2007) with his article “Julio Cortázar: el jazz y la escritura.” Guelbenzu’s reading of “The Pursuer” is centered around Johnny’s character traits (his difficult childhood and how music takes him out of reality) and Bruno’s behavior (an analogy for the complexity of creative writing). The critic connects it all through the idea that time is lived and perceived by both characters in very different ways. Like many others in this first group, Guelbenzu gets caught at the fictional level, with sporadic connections to Cortázar’s biographical events and colorful anecdotes of jazz pieces and their performers. He argues that jazz can only be ‘written’ in fiction by means of analogies and metaphors, a move that he ironically mirrors in his own conclusion. Another example from this first group is “Palabras con swing. La música de jazz en la obra de Julio Cortázar” by

Patricio Goialde Palacios (2010). The article includes a long list of works where characters are commenting, playing or listening to jazz. Regarding the many musical quotations and evocations found in these Cortázar's short stories, Goialde Palacios chooses to interpret them as a musical representation of characters' emotions or as a melancholic commentary on the story. Once again, the explanation of music is limited to a strict plot discussion. Finally, Joseph Tyler (1996), in a through-composed-like⁵ piece, reads a series of musically infused short stories, critical essays, and concert reviews by Cortázar under a dichotomy established between Paris and Buenos Aires. Tyler's "Cortázar: jazz y literatura" gives an overview of some of Cortázar's writings. However, there is neither an attempt at theorization nor a deep examination of the political and cultural implications that are sporadically mentioned. Ultimately, the scholarship that constitutes the first group stops short of exploring Cortázar's use of music as more than a literary device, like allusion, that is available to all authors. As I have indicated above, Cortázar does not use music carelessly or simply.

In contrast to the first group, the second group experiments more with theoretical frameworks as explanatory mechanisms for the musical components in Cortázar's fiction. Nevertheless, the conclusions they derive often eschew critical closure. In "Subverted Claims: Cortázar, Artaud and the Problematics of Jazz," Nicholas Roberts uses Artaud and Derrida to argue that Cortázar's use of jazz is an expression of a non-intermediary model of communication. Based on this idea, Nicholas Roberts' 2011 essay on Cortázar, jazz, and Artaud's theatre of cruelty reflects on the communicative components of the musical experience. One of his conclusions is that

"Within the concern for creating an artistic form which moves away from conventional generic characteristics there is one specific trait of both Artaud's theatre and Cortázar's jazz which is particularly fundamental in the potential realization of this common goal of changing human ontology and society, and one which corresponds to Cortázar's overarching interest in a form of communication which escapes the strictures and structures of linguistic expression" (Roberts 2011, 736).

Roberts focuses on the idea that works like “The Pursurer” or “Louis, enormísimo cronopio” connect with the aesthetic of Antonin Artaud in that they contain a (jazz-inspired) “non-intermediary communicative model” that breaks down the limit between artist and audience in the same way Artaud intended for his plays. It is true that, as Roberts puts it, Cortázar has “jazz’s improvisational elements in mind” (733) when he emphasizes that this genre allows for no distancing between the work and its representation: “a diferencia de la música llamada clásica . . . en el jazz sobre un bosquejo, ... cada músico crea su obra ... no existe la mediación de un intérprete” (Gonzalez Bermejo 1978, 49-50). However, is improvisational jazz the only music capable of “breaking down of divides in humankind which Cortázar seeks in his writing”? (733). If that were the case, how would we explain stories that use other musical genres when attempting to overcome oppositions in the world? “Reunion” is the perfect example to illustrate Cortázar’s drive to surpass all dichotomies. Interestingly, the music piece he chooses as unifying thread is not improvisational jazz; it’s Mozart’s quartet “Die Jagd.” Unfortunately, Roberts’s hypothesis leaves out texts like “Reunion” or “The Gates of Heaven,” among others.

By digging into Cortázar’s claims about the limitations of words, Roberts explores how the use of music in his writings reveals jazz to be “such a vital and ‘authentic’ form of expression” (730). Next, Roberts links statements by both Artaud and Cortázar regarding the use of language⁶ and linguistic manipulation frequent in both writers, emphasizing “the potential for readings of Artaud’s of work to be turned onto Cortázar’s writings on jazz” (739). Finally, he examines Derrida’s take on repetition. This is the key component that, for this scholar, connects Artaud’s theatre with Cortázar’s jazz-inspired character Johnny Carter, who refuses to record “Amorous.” The character’s refusal

“can be understood as coming about because the improvisation was a glimpse of a beyond of language which is now gone and whose repetition would be an immediate negation or loss of that glimpse, since it would constitute its inscription within a system of *différence*, of repeated representation” (Roberts 2011, 742).

Although very promising, Roberts' article has too many "voices" playing simultaneously at different levels of the "score." He overlaps classical music-imbued narratives with jazz-infused texts, Cortázar's aesthetic essays with Cortázar's Jazz-inspired fictional characters, fictional elements dialoguing with aesthetic manifestos; Cortázar essays on music and literature, with experimental theatre. Then he somehow connects all of this through Artaud's ideas of representation and Derridean notions of repetition. Beyond his intention to include more original theoretical approaches, Roberts creates a complex web of fictional and non-fictional writings connected through characters and historical references, and his conclusion is too far from his original goal. To put in more musical terms, it modulates to multiple key signatures never returning to the original one.

Along the same, Marc Couture's 2016 close reading of "The Pursuer" focuses on its narrative organization and the way the Johnny and Bruno relate to each other and to the reader through the principles of modernist bebop.⁷ Couture's view on the construction and development of each character is centered on the idea that the story "is a tale of two texts" that underscores the "distinction between writing on jazz and jazz writing." (12) This scholar insists that the depiction of Johnny as unpredictable, irrational, and passionate⁸ – being himself the embodiment of jazz music – shows Cortázar's inability "to perceive completely the rational analysis inherent in advanced jazz playing" (ibid). Cortázar, as Couture puts it, gets "too caught up in the notion of 'passionate transcendence,'" (ibid)⁹ and therefore is incapable of portraying in his writing the intellectual processes that Couture consider part of complex improvisational jazz.

Couture's argument fails to consider some visible aspects of the "The Pursuer" while arbitrarily bringing to the table others that are absent in jazz performance practice. First, Couture assesses Cortázar's effectiveness in crafting a written equivalent for modern improvisational jazz as if that were the purpose of the narration. Yet there is no documented evidence for such assumption. Secondly, he bases his analysis on the 'passionate' and 'intellectual' components of the story, concluding that Cortázar's story is too tainted by Johnny's 'irrationality' and thus not aligned with the rational control required by intricate jazz improvisation. Unfortunately, not only does Couture make assumptions regarding the nature of improvisational jazz but also

overlooks Cortázar's depiction of Carter's (Parker's) traumatic obsession with practice and perfection. Such depiction is not present in the narrative material¹⁰ of the story but in its narrative discourse (language devices and viewpoint). In other words, the rationality and "hours and hours of [systematic] practice" (12) Couture claims an understanding of "speed-of-light" (ibid) jazz playing could be found not in the 'what' – character traits and relationships – but in the 'how' – the way in which the discourse communicates with the reader. For instance, the calculated juxtaposition of the two narrative perspectives that structure the whole short story could satisfy Couture's request that the story should "replicate the highly structured" language of jazz. Finally, his conclusion makes assumptions regarding the relationship between what he calls 'advanced jazz playing' (2016, 12) and the rational control of sound and rhythm. He pairs complex improvisation to a total intellectual control of music making. What are the cultural and social implications behind considering that elaborated improvisational jazz is exclusive to the technically accomplished performer? Is Johnny's art only the result of rationalization and technical virtuosity? Again, we find a scholar willing to explore new theoretical avenues in his approach but ultimately presenting an insufficient analysis of the elements involved. While it is encouraging to see Couture's efforts to experiment with the principles of bebop, his final remarks reveal many uninformed assumptions regarding the nature of improvisational practices. Such assumptions prevent him from elaborating a plausible critical conclusion.

A tendency among the second group is to examine Cortázar's inclusion of music under the umbrella of avant-garde theories. As stated before, Cortázar's multiple testimonies emphasize the connection between his narratives and jazz performance. Guided by Cortázar's interviews and letters dealing with his writing process, some scholars make the connection between jazz improvisation and the automatic writing characteristic of the surrealists. Such is the case of Arévalo, who finds it difficult to get past the association between so-called stream of consciousness writing with free-form jazz in his work: "Hopscotch, vacillated between a near prose poem to a stream of consciousness hypertext via music, place (Paris, Buenos Aires), the existential, and identity. (...) Cortázar was also an amateur musician, and it is jazz—the improv and scatter of linked notes of

the mind—that influences one's appreciation of Hopscotch and any of Cortázar's work. The stream of consciousness flow of the thoughts and story were in vogue at the time. (N.T. Arévalo, 2016)."

Goialde Palacios (2010) disagrees on this matter in his attempts to differentiate between those aspects in Cortázar's work that are clearly influenced by surrealist principles (the merge of genres in *La vuelta al día en ochenta mundos* o *Último round*, the search for a poetic prose half-way between lyric and narrative modes in *Teoría del túnel*) and those that are not. While such distinction is important for opening up new perspectives for analysis, Goialde's argument remains incomplete for it lacks in depth and clear examples.¹¹

Other scholars use the surrealist perspective as a starting point, but manage to take the discussion to more theoretically challenged territories. This is the case of Vaughn Anderson and Jaume Peris Blanes. Vaughn Anderson argues that through music Cortázar's surrealist aesthetics communicates the experience of the Paris he knows: "Cortázar allows music to carry him constantly back to—and through—surrealist tropes and techniques" (2013, 18). He suggests that Cortázar's use of music reunites Lefebvre's and De Certeau's approaches through and "intermedial representation of Paris" that follows the Surrealist tradition of collaboration between the literature and other arts. Likewise, Jaume Peris Blanes (2011), starts by asserting that "The Pursuer" is the most vanguardist of Cortázar's works due to the fact that Johnny symbolizes a break from the traditional code of a language and the search for formal experimentation. Then, he adds another level to his analysis by arguing that the story somehow addresses the problematics of a subjectivity that connects with the Che Guevara's revolutionary discourse about the new man: "The search for new form of expression were, then, aligned with the search for new forms of living in a multifaceted and non-automated reality" (Peris Blanes 81).¹² Like Couture, Peris Blanes sees in the narrative discourse of "The Pursuer" a literary analogy to bebop prosodic rules, taking it not as an aleatory enterprise but as a multi-dimensional mode of experiencing reality that connects with politics in a very existential way. The fact that Vaughn Anderson and Peris Blanes attempt to incorporate interesting theoretical approaches does not make up for the fact that both discussions limit themselves to

a celebration of genre hybridity. Anderson's architectonic narrativization of Paris circumvents the fact that the majority of Cortázar's musical narratives are not set in the French capital, while Peris Blanes's nostalgia for revolution ignores the crucial differences between Cortázar's and Guevara's political contexts.

Still other scholars in this group try to explain music by focusing on the linguistic traits of his writing, specially in those stories where improvisational jazz seems to have a correlation in his narrative discourse. Perhaps one of the most distinctive readings of "The Pursuer" is that by Doris Sommer (1995). Her emphasis on Bruno's insistent use of the present perfect does not end in a linguistic approach. Even though her article "Grammar Trouble" (1995) does not delve into understanding the connection of the story to the complex aesthetics of jazz, she does go beyond her grammar deconstruction of Johnny and Bruno's perpetual antagonism to open new avenues of/for analysis of Bruno's self-reflecting – although self-serving – narrative voice and the act of biography writing. Jazzuela (2000) is Peirat Lasuén's study of Cortázar's jazz-inspired and world-renowned novel *Rayuela*. She is sharply focused on demonstrating that the novel's incorporation of jazz serves as an invitation for reader to find its own individuality comparable to what jazz improvisation does. One of the most interesting analyses of Cortázar's use of music is found in Emily Hicks' *Border Thinking: The Multidimensional Text* (1991). In this chapter, Hicks argues that Cortázar's fictions display a multidimensional relationship between the two systems and not an analogical one, as claimed by Guelbenzu (2007), Goialde Palacios (2010), Peris Blanes (1995), to name some. She uses complex schemes derived from Deleuze and Guattari's *Kafka* and Barthes's *S/Z* to approach Cortázar's use of referential codes. Her discussion includes some insights on the interstices between form and content (the structural parameters of Bach's *A Musical Offering* in Cortázar's "Clone") and on questions regarding language as a shared system (the diagrams included in *A Manual for Manuel*). The major strength of Hicks' 1991 chapter on Cortázar is that it raises a critical question regarding his interest in music. This scholar underscores the fact that the jazz permeating Cortázar's texts shows "Music is an important referential code that dissolves the boundaries between 'high' art and mass culture" (54). Regardless of its possible implications, this provocative idea only in touched

on in passing. The reference to high and mass culture is, in fact, attractive but it is left aside surrounded by many questions: How does she define 'high' art and mass culture? What is music a referential code for? What are the mechanisms and consequences involved in such dissolution? Is any type of music or is it jazz the one she is referring to? Unfortunately, the whole idea remains unexplored, as well as other parts of her theorization.

These two trends in the body of scholarship on Julio Cortázar recognize the music in his texts as a mode of operation between different ways of addressing reality. While the first group chooses to stay attached to more traditional close reading strategies, the second one goes one step forward to venture beyond what is already known by exploring Cortázar's texts in the light of very diverse theoretical frameworks. However, the authors discussed above are unable to offer a totalizing/unifying vision of the inclusion of music in his works either due to the diversity of their individual theoretical design or because the lack of specificity in their contextual discussions.

Conclusion: Pursuing the cronopio

The tendency to read Cortázar's use of music through one of these two trends has produced a body of work that is limited /shortsighted in three significant ways. The first is to approach all Cortázar's use of music in his fiction based on the examination of just one of the genres that appear in his narratives. Analytical studies of jazz elements in "The Pursuer" may only partially help us understand the presence of different musical genres in all his works. It could be a starting point to theorize on his used of musical material based on only "The Pursuer." However, such analysis is unlikely to be very useful when approaching "Meeting," "Clone," or "The gates of heaven." Out of his novels, approximately thirty percent of the narrative material is intrinsically related to different musical genres. Likewise, at least forty percent of his short stories include music as a key element in the story and narrative discourse. It is unconceivable to think that we would elaborate a theory of Shakespeare use of humor only based on an analysis of "Twelfth Night."

The second problematic assumption coming out of many critical theories on Cortázar's use of music are uninformed generalizations about music as a language. Musical parameters such as rhythmic or harmonic complexity are oversimplified by

scholars that lack the training necessary to properly examine the musical aspects linked to Cortázar's short stories and novels. As a result, many approaches attempt to compare musical features with those that appear to be equivalent in the narrative discourse. For instance, both music and language have syntactic rules but chords or intervals do not function at the same level of words for they have no meaning without an appropriate context. However, there is still scholarly criticism that persists in considering stream of consciousness/automatic writing as the written analog for jazz improvisation. Another generalization is related to the idea that music is a universal language. Some authors argue that Cortázar's fiction appeals to music's universal communicative qualities to overcome the limitations of literature. What does 'universal' mean? Music is, in fact, a universal human experience. Generally speaking, some melodic and rhythmic features universally convey sadness or happiness. Something similar occurs when listening to a conversation in a language foreign to us, we can infer some pragmatic components of the situation without understanding the conversation. However, research on music perception indicate that there are many possible misinterpretations within any musical experience. In fact, studies in music processing show that Western listeners often time out went exposed to unfamiliar microtonal systems such as the one used Chinese opera or the Javanese gamelan. Other generalizations result from discussions about the controlled vs spontaneous components of jazz, which are not properly informed by musicological approaches to jazz. Basing a critical analysis on the assumption that improvisational jazz presents no communicative problems just because there is no distance between the composer and performer sounds simplistic. Indeed, cultural studies on improvisation suggest that there are aspects of improvisational jazz that succeed even when misunderstanding and disagreements arise, and Cortázar's prolific insertion of jazz in his texts is likely to be an evidence of them.

Finally, there are assumptions regarding the relationship between Cortázar and Paris. While it is true that many of Cortázar's works set up an opposition between Latin-America and Europe, most critics read this dichotomy as a sign of Cortázar's eurocentrism and elitism. They accuse him of being anti-American in the hemispheric sense based on his devotion to

Paris. Latin-American intellectuals of his time, such as José María Arguedas, blame him for having too strong a connection with the French capital. However, there is a whole side of Cortázar's Paris that is not considered. Paris is for him more than the symbol of European whiteness. Since the Harlem Hell fighters landed in France during World War I, the City of Light had been fascinated by the African Americans. Black performers gathered to enjoy the carefree Jazz in Montmartre. While the racial turmoil in the United States never stopped, many of its black citizens had discovered in France the racial equality that was absent across the Atlantic. Most Harlem Renaissance artists had left visible traces in the French capital when, during the post-World War II era, political and intellectual exiles populated the cafés of existentialist Saint Germain des Prés.¹³ When Cortázar arrived in 1951, Paris held a vital relationship with its black community: the Paris noir. It is clear from his library that he had a deep appreciation for black music and literature. Reading Cortázar's Paris just as the center of European tradition of thought is one of the gravest myopias, because it makes assumptions about his attitude towards the African American artistic tradition. Moving to Paris may have taken Cortázar closer to European ideas but it also put him closer to African American cultural tradition.

It is no secret that Cortázar's dream was to be a musician: "If I could choose between language and music," he once wrote, "I would choose music" (Standish 2001, 72). It is also no accident then that one of the greatest jazzmen in history played a significant role in inspiring Cortázar to create the cronopios, the fictional creatures that would be so dear to him and his readers. Cronopios are one of the three types of creatures that live in the fictional universe created by Cortázar in *Historias de cronopios y famas* (1962). Cronopios are idealistic, unconventional, and sensitive creatures, contrasting with the rigid, obsessive, and judgmental famas and unimaginative and apathetic esperanzas. Cortázar first used the word cronopio ten years before the publication of the book. He included it in a 1952 article published in *Buenos Aires Literaria* when writing a poetic review for a Louis Armstrong concert given in November of that year in the Théâtre des Champs-Élysées in Paris. The article was entitled *Louis, Enormísimo Cronopio* ("Louis, Enormous Cronopio").

Throughout his career, Cortázar endeavored to find a language analogous to his idea of the diversity of human

perspective, of unity in a world marked by restrictions, of dialogue beyond contradiction. His multiple aesthetic and political writings provide ample proof of his concerns. In addition, Cortázar was a musician, however informally, he did study music. Hence, we have to approach his fiction with the understanding that he knew more than the average listener. Even though scholars discussed in this essay perceive the connections between jazz performance and Cortázar's manipulation of language and form, the absence of a critical approach to socio-cultural aspects behind his musical narratives, marks a curious blind spot in their theorization. Therefore, it is imperative that we elaborate a well-informed and comprehensive theory of Cortázar's musical texts, a model that includes all the factors behind the author's emphatic use of music. If this theory is not rooted in an Atlantic understanding of 20th century music performance and its social implications, then how can we ever expect to read the "rose" and understand what he meant when he honored Louis Armstrong by giving him the same name as his beloved cronopios?

Notes

1"Morelli condemns in language the reflection of a false and incomplete viewpoint and Organun, that disguises reality ,the humanity for us." (Unless otherwise noted, all translations from Spanish to English are mine.)

2 The words perras negras have a double connotation in Spanish, they mean black female dogs or black bitches.

3"But take good note, because it is not gratuitous. Why stop? For fear of starting fabrications, they are so easy. You get an idea from there, a feeling from the other shelf, you tie them together with the help of words, black bitches and it turns out that I want you. Partial total: I want you. Overall total: I love you. ... Beatrice wasn't picked out, Juliet wasn't picked out. You don't pick out the rain that soaks you to the skin when you come out of a concert. But I am alone in my room, I am falling into tricks of writing, the black bitches get their vengeance any way they can, they chew on me from underneath the table. Do you say underneath or under? They bite you just the same. Why, why, pourquoi, por qué, warum, perchè this horror of black bitches? Look at them there in that poem by Nashe, transformed into bees. And there in two lines from Octavio Paz, thighs of the sun, enclosures of the summer. ... Interesting, very interesting that Puttenham felt words as if they were objects, and even creatures with a life o their own. It also seems to me to be generating rivers of fierce ants that will eat the world. ... To conceive a race that expressed itself through drawing, dance, macrame, or abstract mimic. Would they avoid connotations, the root of the problem?" (My translation.)

4 See chapters 66, 79, and 99 of Hopscotch.

5 Through-composed is a musical term that can be applied to a piece that includes no repetitions of themes or ideas or music that is composed in linear order. In this case, the term implies that the author does not return to any previously stated idea (only moves forward): no recapitulation or sense of closure. By definition, through-composed works can end at any time.

6 The comparison is done between "briser le langage pour toucher la vie" (Artaud, 509) and "el escritor tiene que incendiary el language" (Rayuela, 620).

7 Much has been written about Bruno and Johnny's relationship: Sosnowski (1972), Jitrik (1974), Álvarez Borland (1996), y López Martínez (1996), Goialde Palacios (2010).

8 Johnny, as most of Cortázar's protagonists, is not a monolithic character, he is made of contradictions. The irrationality in Johnny's actions does nothing but confirm that he is a creation of Cortázar. 9The notion is taken from Parkinson Zamora's essay "Art and Revolution in the Fiction of Julio Cortázar."

9 The notion is taken from Parkinson Zamora's essay "Art and Revolution in the Fiction of Julio Cortázar."

10 The distinction between narrative material and narrative discourse is taken from narratological approach to fiction. I follow Rick Altman's notions of narrative discourse (language), material (plot), and narrative drive (reader involvement) (A Theory of Narrative).

11 When discussing Cortázar's surrealist traits, Goialde confusedly places Rayuela's "Tablero de Dirección" (a very detailed map for the reader) at the same level as 62: A Model Kit's formal organization, using both as an example of the writer's freedom (486).

12 "La búsqueda de nuevas formas de expresión era, entonces solidaria de la búsqueda de nuevas formas de habitar una realidad multiforme y desautomatizada."

13 Among them Eugène Ionesco, Samuel Beckett, and James Baldwin. Later on, many Latin-American writers joined the Parisian literary circles (Carlos Fuentes, Vargas Llosa, Severo Sarduy)

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THE NARRATIVE OF ARTHUR GORDON PYM OF NANTUCKET: PSYCHOLOGICAL INTROSPECTION IN A MARITIME JOURNEY

Abstract: *This paper aims to disclose Pym's epistemological and gnostic quest as the revelation of the psychological introspection of the author. I argue that Poe uses the arcane white shrouded figure as an apocalyptic power to paint a surreal realm that overlaps his spiritual realm discussed in Eureka. The shrouded figure is a self-reflection of Pym, or more accurately, of Poe himself. In the novel, nature engages in the process of decomposition or dissolution, by which Poe associates Gothic space with the theme of the elimination of the ego that reaches its peak when the shrouded figure appears. The three interrelated aspects of my analysis—the terrifying narrative of southwards adventure, a Hollow Earth as a Utopian / Dystopian world, and the geometric structure of the quincuncial network—all point in the same direction: Pym is a novel in which the writer / protagonist, through the narrative structure of God's providential injunction, integrates his exploration of every imaginable form of spiritual survival and transcendence into spaces of horror on Earth that do not permit transcendence.*

Keywords: *Self-Reflection, the white shrouded figure, the quincuncial network, a space of horror*

Introduction

Many scholars of Poe, including Richard Wilbur, Grace Farrell Lee, Kathleen Sands, Barton Levi St. Armand, John T. Irwin, Richard Kopley, Kent Ljungquist, and Ana Hernández del Castillo, have paid attention to various arcane religious subjects in *Pym*. As Wilbur, Sands, and Armand point out, Pym's journey to the South Pole symbolizes "a gnostic quest" (Peirce and Rose III 57). Richard Kopley states that *Pym* has a "biblical connection" (Peirce and Rose III 57). However, the identification of *Pym* with an arcane rite does not mean there is a direct assertion of a particular meaning—salvation or heavenly enlightenment—in the work. As Paul Rosenzweig points out, "*Pym* reflects the inability of meaning, on every level, to assert or declare itself, and

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of any end to complete itself despite man's constant search" (140). The novel conveys to readers various patterns of fluctuation between expectations and frustrations. Whenever a meaning is established, a rejection of this meaning emerges. Deconstructionist scholars, like Paul Rosenzweig and G.R. Thompson, note the incongruity in *Pym* in terms of structure, theme, and plot, and conclude that the novel should be seen as "metafiction" or "postmodernist fiction." Poe in *Pym* expresses an epistemological problem, and the intellectual-intuitive quest is accompanied by irony. In the essay, I will orient my argument in the following direction: Pym's epistemological and gnostic quest is a sign of Poe's psychological introspection. When Poe constructs the sophisticated narrative structure composed of a southwards adventure, a Hollow Earth as a Utopian / Dystopian world, and the geometric structure of the quincuncial network, he integrates his exploration of every imaginable form of spiritual survival and transcendence into spaces of horror on Earth.

Southwards Adventure

Pym is a novel where Poe integrates his "mental history" into diverse scenes or incidents of horror that he perceives from the other texts. The fantastic mariner's episodes in *Pym*—horrifying sea tales of shipwrecks and famines, the weird terrains like the gorges and the clefts, the exotic flora and fauna, and the encounter with the Tsalalians and the shrouded figure—were all borrowed from the literary materials that Poe researched or reviewed. In a discussion of the resources used in *Pym*, Burton R. Pollin mentions that the novel experienced four stages. In the first, under the advice of James Kirke Paulding, Poe tried to create a sea novel, a very popular genre at the time. The most important literary materials that affected the writing of *Pym* in this respect include *Robinson Crusoe*, *Peter Simple*, *Mr. Midshipman Easy*, *The Pilot*, *Tom Cringle's Log*, *The Cruise of the Midge*, and *The Young Crusoe* (Pollin 98-99). Poe blended the "adventurous and exotic elements" (from *Robinson Crusoe*) with "gory, horrifying sea tales" (from Michael Scott's *Tom Cringle's Log* and *the Cruise of the Midge*) (Pollin 98-99). In this period, *Pym* came into being as a work of humor, horror, and satire. In the second stage, Poe added details of actual experiences about shipwrecks and adventures, and these were borrowed from Jeremiah N. Reynolds, Lieutenant Wilkes, Washington Irving, and Benjamin Morrell (Poillin 100-

101). In the third stage, “scientific curiosity satisfied as to details of flora and fauna” came from David Porter, Morrell, Reynolds, Washings Irving, James Riley, and J. L. Stephens (Pollin 101). In the fourth stage, Poe “adapted” “graphic, mysterious, and confusing material to suggest supernatural, revelational conclusions about the degradation of the blacks” (Pollin 101-102). References include Gesenius, Charles Anthon, the Baron de Meiran, James Bruce’s Mideast travel, and Alexander Keith (Pollin 101). Poe read Faber’s *Origin of Pagan Idolatry*, from which he drew on “pagan” mythology related to the White Goddess. Through Anthon, Poe gleaned “mystic” ideas from Schlegel and Bryant (Peirce and Rose III). With regard to the Arthurian legend, as well as the Fisher King, Pym is incarnated as an initiate partaking in the rite of seeking the Holy Grail, undertaking “a journey across water to a wasteland” for “magical fulfillment” (Peirce and Rose III 62). Poe blended actual events published in journals or anecdotes with arcane subjects related to initiation rites. In addition, *Pym* reflects the imaginary form of the author, and can be seen as an autobiographical text of Poe. As Ingram points out, “Dreams of the day and of the night are plentiful in Pym’s narrative, and are rather more typical of the psychological introspection of the poet than of the healthy animalism and muscular energy of the sailor” (121). Through the four stages, Poe fabricates *Pym* as an “autobiographic fidelity of the author” that reflects not merely the extreme distress and suffering that Pym feels in the most terrible moments, but also Poe’s “psychological introspection”—a desire for heavenly enlightenment with the resulting network of sea voyages and supernatural revelations.

Pym is an interlaced work moving between reality or the physical realm and mystery or the spiritual realm. At the beginning of the novel, Poe involves the usual maritime life of Nantucket in an epistemological quest for an unknown realm. He locates his protagonist in a “jumping-off place” (Walden 3), who yearns to explore a world which seems to be a place of freedom and beyond the limits of civilization. Born on the island of Nantucket, which is “essentially a frontier town” (Walden 3) that “indicates its separation from America” (Walden 9), Pym might have aspirations for life at sea or fantasize about a place of “upward mobility,” beyond the limits of the town (Walden 11). The reason why Pym sails on the *Ariel* with his friend Augustus is

unknown, but we know they decide to do so when they get drunk, falling into the status of dreams. On the *Ariel* Pym and Augustus encounter a violent storm, and they are rescued by the crew of the whaling ship *Penguin*. Pym is not frustrated by this first ocean adventure, but instead a romantic notion of the sailing life is ignited in his heart. His decision to follow further adventures with Augustus by sailing on the *Grampus* for the southern seas that signifies “integrating into the community” (Walden 9) of Nantucket is imagined as going beyond the frontier of civilization. Though this maritime adventure makes Pym disconnect from his family, especially his grandfather, who does not want him to join the maritime life, Pym imagines the journey as an initiate’s participation in a tough life in preparation for the spiritual realm beyond life. The incidents on the journey for the romantic adventurer signify “God’s providential injunction.”

Although Pym has to disguise himself, hides onboard as a stowaway, and then unfortunately experiences starvation, mutiny, shipwreck,^[1] and cannibalism in his south sea voyage, his distress as his inhuman status is imagined as an integral part of his epistemological and gnostic quest. Pym goes beyond the limits of his hometown, as brutality and horror repeat themselves on ships, the ocean, and in exotic lands. The oceanic wilderness is the expansion of the coastal frontier of Nantucket (Walden). When the food that Augustus promises to send to him does not arrive, and Pym thus does not eat for several days, he remains alone in the dark and cramped, suffering from starvation and becoming delirious. His condition reminds us of that which the protagonist confronts in “The Pit and the Pendulum,” a story Poe published in 1842. Both men suffer the ordeal of starvation. Poe here demonstrates two spaces overlapping at the same time. While a mutiny is taking place onboard, starvation and insanity are attacking the young folk in the stowage. However, Poe fabricates a form of God’s injunction in Pym’s hidden place: the stowaway protects Pym from being murdered and ferries the soul of the initiate to the road of gnostic initiation.

Another revelation of providential injunction appears when a ghostly ship passes by the *Grampus*. By the time a storm destroys almost all the provisions that the *Grampus* depends on, and Pym and his shipmates are starving, a Dutch ship is moving toward them. It seems that there are seamen on deck nodding to them, as if in greeting or an expression of friendliness. In ecstasy,

the survivors of the *Grampus* believe that they are going to be rescued. However, as the Dutch ship approaches they realize that the apparent nodding of the red-capped in distance is caused by seagulls jumping on the skulls of the dead sailors. Hope and ecstasy transform to despondency and horror. This vessel symbolizes the infernal ship: “The redoubtable knights of the round table are sometimes fabled to man the infernal ship and to ferry the souls of the dead over the lake of Hades” (qtd. in Peirce and Rose III 67). Again, the infernal ship is a signal of gnostic quest that conforms to Poe’s form of imaginary transcendence.

In the southwards journey equivalent to apocalypse, Pym more or less senses the existence of a providential injunction when men struggle between the spiritual realm and descending into violence. Take “the custom of the sea” in *Pym* as an example of this. When the crewmen confront starvation and there is no sign of imminent rescue, cannibalism then becomes acceptable. They do not resort to combat, but draw a lot to decide who will be sacrificed. When Parker suggests the others draw straws, Pym is vehemently opposed to it. Cannibalism, though acceptable to the crewmen who “have no other choice,” is indeed an expression of violence. Urged on by Parker, Pym gives up the spiritual realm: he and the other three survivors of the devastated ship draw lots. The function of cannibalism here as an attempt to maintain “order” of the ship ironically confronts the survivors with their repressed brutality on the wild ocean, where they struggle to keep rational or spiritual. If, without “the custom of the sea,” a person kills and eats another to survive a famine, they are supposed to be condemned as a murderer. In other words, “the custom of sea” endows the sailors with a rationalized collective violence, consented to by all. This act of cannibalism exposes the concealed guilt in civilization—a repressed desire to devour others.^[2] In the case of collective violence, we feel less pity for the destiny of Parker, the one who proposed the act. However, Pym, Augustus, and Peters, at the moment of devouring Parker, have all committed murder, and cannot be exempt from guilt. When Parker draws “the terrific lottery,” death soon strikes the ship.

“Let it suffice to say that, having in some measure appeased the raging thirst which consumed us by the blood of the victim, and having by common consent taken off the hands, feet, and head, throwing them together with

the entrails, into the sea, we devoured the rest of the body, piecemeal, during the four ever memorable days of the seventeenth, eighteenth, nineteenth, and twentieth of the month” (Poe 94-95).

In myth, the cannibal feast symbolizes “partak[ing] of the body of the old in the primitive mystery of the White Goddess” (Peirce and Rose III 67). Yet devouring others in *Pym* is a narrative framed for an ironic effect. It is not “internalization into the body of the old” that urges the hungry sailors to devour their shipmate, but the fear of death and starvation that force them to do so. In other words, they surrender to their secret desire—brutality, and rationalize the collective violence, thus getting a reprieve. Indeed, disintegration of order or the threat of violent chaos is recurrent in the novel, but this is usually followed by an episode of hope or triumph over some plight. The *Grampus* falls into famine. Even so, Pym prays to God to end the helpless situation, and it seems, in the case of cannibalism, a providential power punishes the diabolical Parker, as he is the one who proposes the idea. Poe exalts the miseries to the spiritual realm or idealizes certain incidents so as to ensure the existence of divine power. When Augustus’ body is devoured by the sharks in his ocean funeral, Pym “witness[es] the actual coming apart of his companion and double, a spectacle which in its grotesque detail literalizes the disintegration and loss of selfhood noted by Morin” (Kennedy 174). Augustus’ death symbolizes not only the loss of an “intimate communion,” but “the disintegration and loss of selfhood” of Pym. That is, the idealized life at sea helps adventurers integrate into the community or turn the experience into an enthralling dream or illusion, one that helps Pym to survive as he encounters brutality.

Sidney Kaplan, in “An Introduction to *Pym*,” notes Baudelaire’s worship of Poe as one of the important dark romance poets who perceive evil in both nature and men.

“For Baudelaire, Poe had many virtues, but ‘more important than anything else’ was that in ‘a century infatuated with itself,’ this ‘child of a nation more infatuated with itself than all others’ had ‘imperturbably affirmed the natural wickedness...the primordial perversity of man.’ Against all the ‘misguided

equalitarians,' Poe had proclaimed that 'we are all born marked for evil'"(146).

Poe in *Pym* shows the most abominable scenes in nature that expose not only the disintegration of the psyche but also other weaknesses in humans. With frames of meta-narratives, Poe reveals how horror in reality breaks through dream or hope. What remains with the survivors is a sense of guilt and loss of the spiritual self. As Robinson observes, Poe "explores the thought that reality is of a kind to break through the enthralling dream of innocence or of effective concealment and confront us—horrify us—with truth" (6). However, Poe believes in the existence of a significant universe (Eakin 21), and through revelation of the brutal reality Poe transforms spaces of horror into an imaginable form of spiritual survival and transcendence.

A Hollow Earth as Utopian / Dystopian World

Poe's Gothic space ranges from a confined one, as we see in "William Williams" and "*The Masque of the Red Death*," to a spacious oceanic frontier, as we see in *The Narrative of Arthur Gordon Pym of Nantucket*, in which the Gothic space is characteristic of the 19th century "Arctic Obsession." The Arctic world of the 19th century was imagined as one of paradise as well as a world of violence and madness ("Literature's Arctic Obsession," Schulz).^[3] In much the same vein, Poe's *Pym* is characteristic of the two minds of 19th century explorers in his description of the territories in the southwards adventures as an ice-free prelapsarian world, as well as a barbarian / hellish one in which the protagonist suffers an inhuman life.

The fantastic south sea adventure, colored by theories of a Hollow Earth proposed by Reynolds and John Cleves Symmes, Jr., is integral to Poe's imaginary spiritual realm. Pym the name may in fact be derived from Symmes, a 19th century theorist who claimed that the earth was "hollow, habitable, and widely open about the poles," and proposed an expedition to the North Pole so as to verify his theory. Pym's adventure to the South was a dramatization of Symmes' idea of a polar expedition to a hollow-earth-entrance where a perfect "undiscovered race" was thriving. Sidney Kaplan, in "An Introduction to *Pym*," mentions Symmes' theory of Hollow Earth and Adam Seaborn's *Symzonia: A Voyage of Discovery*. Symmes believed that "a warm and rich land stocked

with thrifty vegetables and animals” existed in the North Pole, an entrance to the hollow earth. Seaborn’s Symzonia, based on Symmes’ theory, was “the abode of a race perfect in their kind,” and the perfect race referred to the “polar Utopians” (Kaplan 151). Symmes was not the first theorist who proposed a hollow-earth. In the 17th and 18th centuries, the same idea was proposed by Athanasius Kircher (1664), James Burnet (1681), Edmond Halley (1692), Cotton Mather (1721), Le Clerc Milfort (1781), and more. Darryl Jones, in “Ultima Thule: *Arthur Gordon Pym*, the Polar Imaginary, and the Hollow Earth,” argues that Poe certainly knew Kircher’s *Mundus Subterraneus*, “which had entered the American imagination through a bizarre and fittingly circuitous route” (56). In the book, Kircher witnesses the eruptions of two volcanic mountains, Etna and Stromboli. He claims that the earth is hollow, with a hole at each Pole. He also believes that waters were frozen in the Arctic, but were heated as they flowed through the Earth. There were “vast Abysses” in “the Bowels and very Entrals of the Earth” (qtd. in Jones 55), and under the Earth lived “a race of giants” (Jones 56). The giants in Symmes’ hollow earth utopia are a perfect white race living in a warm and rich land. Symmes’ world is a utopian one reflecting a “desire to return to a prelapsarian state, the discovery of a lost Eden before (or outside of) time” (Jones 63). Familiar with such imagery (Jones 64), Poe integrates the blessed prelapsarian state into the horror scene of the cataract at the close of *Pym*. When Pym descends into the arm of the giant snow-white figure, he is about to enter a symbolic channel to the hollow earth and his own inner moral life.

Jones associates the scene of the white cataract in *Pym* with “Ultima Thule” in French scholar Gaston Broche’s *Pythéas le Massaliote Découvreur de l’extrême Occident et du Nord de l’Europe* (1936), since the two works share a lot in common with regard to “a space with the potential to open up vistas of numinous terror” (Jones 51). Broche explains this terror as a “religious terror” of punishment. Poe’s giant snow-white figure is characteristic of *ne plus ultra*, something that cannot be explained within a linguistic system.

The evil that tests the initiates in the spiritual journey is the race of the Talalians. If the hollow earth (a portal, tunnel, or cave) is an important entrance for the ancestors to emerge from, or a place related to afterlife, it is also a channel from which devilish creatures come out to control or capture their victims.

Those who adventure into the hollow space might die or become mad if they fail to conquer the evil they find there. Taking H. P. Lovecraft's "At the Mountains of Madness" (1936) as an example, the Antarctic expedition in this work leads to an insane world of massacred and dissected victims. In contrast, Poe distances Pym from evil in spaces of horror, as Pym is the hero who represents the psychological introspection of the author.

The black rock in Poe's *Pym* marks the North Pole—the location of the entrance to the hollow earth (Kaplan 156). It is a region possessed by a dark and hostile race—the Tsalalian—who live in caves and holes (Moldenhauer 76-77), and have a phobia of whiteness. The territory of the Tsalalian is abundant, yet it is far from an ideal world inhabited by a perfect race, as in Symmes' hollow land. The Tsalalians are an allusion to "the descendants of these Symzonian degenerates" in Captain Adam Seaborn's *Symzonia: Voyage of Discovery* (1820) (Jones 62). Kaplan points out that the word Tsalal means Hell, and geographically it is "a blend of the terrains of Ethiopia, Sinai and ruined Babylon" (157). "Tsalemone sounded vaguely like Solomon" (Kaplan 156). The Tsalalians bear "the American stereotype of the minstrel Negro" (Kaplan 155), and the "great men" among the black Tsalalians are "Wampoos or Yampoos" (Kaplan 157). The Tsalalians are compared to the rulers "descended from Solomon and Sheba" (Kaplan 158); they are "perfect demon[s]" who fear "anything white," and at the sight of white objects they scream "Tekeli-li" (Kaplan 156-157). In Poe's narrative structure, the Tsalal and the Tsalalians are evil. The Tsalal island on which the ship *Jane Guy* anchors duplicates the human evil that happened on the ship *Grampus*. As the novel enters the second part that begins with Chapter 18, those events that have happened in the previous chapters—deception, live burial,^[4] shipwreck—replicate themselves in the encounter between Pym and the exotic black world of Tsalal. The Tsalalians are actually counterparts of the mutineers of the *Grampus*. Pym describes the Tsalal as a world different from that of his familiar Europe or the other lands of the south.

"At every step we took inland the conviction forced itself upon us that we were in a country differing essentially from any hitherto visited by civilized men...The trees resembled no growth of either the torrid, the temperate, of

the northern frigid zones...The very rocks were novel in their mass...[we] had difficulty in bringing ourselves to believe that their qualities were purely those of nature...the water, we refused to taste it, supposing it to be polluted..." (Poe 137).

The differentiation between "I" and "the Other" is immediately installed as the narrator and the crewmen of the *Jane Guy* arrive in a blizzard on this unnatural but abundant land. "This variation in shade" in Tsalal "was produced in a manner which excited as profound astonishment in the minds of our party as the mirror had done in the case of Too-wit" (Poe 138). The narrator further underscores the difference of the exotic people as he describes their appearance. Beauty and strength in their bodies or their carriage "[were] not to be found in civilized society" (Poe 141). They "were always addressed by the title Wampoo" (Poe 141). The Tsalalians conceal their mysterious guilt and deception. They have their own system, as do the civilized people. "There appeared so much of system in this that I could not help feeling distrust" (Poe 139). The color black prevailing in the nature of Tsalal and the Tsalalians themselves symbolizes contradiction to the color white, from which they always "recoil" (Poe 135). What the black savages fear is revelation of their evil quality. Too-wit expresses this when he sees himself in mirror:

"There are two large mirrors in the cabin, and here was the acme of their amazement. Too-wit was the first to approach them...Upon raising his eyes and seeing his reflected self in the glass, I thought the savage would go mad; but, upon turning short round to make a retreat, and beholding himself a second time in the opposite direction, I was afraid he would expire upon the spot" (Poe 135-136).

In much the same vein, the white men of the *Jane Guy* are greedy for things in the exotic land, such as the large tortoise and the *biche de mer*. Captain Guy is so intoxicated with the abundant natural resources that he is determined to stay longer on the island. Both the crewmen of *Jane Guy* and the Tsalalians exemplify greed. Deceitfulness and an incapability of perceiving

deceitfulness characterize human nature and enhance the effects of irony when the tale is told from the point of view of a naïve narrator.

In contrast, whiteness and the white figure are structured as a power of punishment as well as one of transcendence. Critics' comments on the enemy of the Tsalalians—whiteness—vary. One indicates that such whiteness is the white “vengeance of the father” on “the black wicked sons” who transgress the taboo of incest as they approach the “whiteness of the mother” (Marie Bonaparte). One says that this whiteness is an agent of death (e.g. the white goddess) that sucks Pym down to a death (S. Foster Damon). The whiteness that the Tsalalians fear is the same whiteness that drowns Pym, and suggests “figures of biblical apocalyptic judgment” (Robinson 7). In the association between Pym and myths of the white goddess, the white figure that is about to swallow Pym is believed to be a goddess (Richard Wilbur, Grace Farrell Lee, Kathleen Sands, Barton Levi St. Armand, John T. Irwin, Richard Kopley, Kent Ljungquist, and Ana Hernández del Castillo). In short, whiteness is imagined as a power which can destroy the ego, as it emerges at the moment when the evil Tsalalians descend to corruption and violence, and is self-portrait of the author, who desires the spiritual realm of *Eureka*. Pym engages in a voyage to the South Pole as an innocent initiate in a world of evil, yet his enthralling dreams and imagination of a spiritual world, such as gradually approaching a world “continuously whiter,” alien from the earthly world (a world within human limited cognition) help his transcendence. Framed in the form of metafiction, Poe paints a surreal realm that overlaps the theme of spiritual salvation in myth and religion.

The plot of the Dystopian world that takes place on the island of Tsalal is a replication of that on the ship *Grampus*, as perfidy, confinement, and famine also occur on the island. While the adventure of the *Grampus* involves a manifestation of “the divine injunction to go south” (Fukuchi 150), the narrative concerning the ambush on the land of Tsalal reveals God's vengeance on “greed and primitive ignorance” (Fukuchi 155). The second half of *Pym* thus serves as a metanarrative for the former, as things that have remained unexplainable in the first part are eventually demystified. God's providential injunction (Nature) engages in the process of dissolution of all at the apocalyptic moment when men are losing their inner morality,

and the providential power is essential in the narrative structure for the construction of a spiritual realm in an inhuman world.

The Geometric Structure of Quincuncial Network

Pym is Poe's self-portrait witnessing brutality and violence in reality. Ingram notes, "We are at no loss to comprehend the autobiographic fidelity of the author...under the pseudonym of Pym" (121). Just as Poe supports a cosmological spiritual transcendence in *Eureka*, so the thought of survival somewhere beyond is designed in the geometric structure of a quincuncial network, one that implies a gnostic quest for the spiritual realm.

The idea of a quincunx is taken from the essay *Urn Burial-The Garden of Cyrus* of Sir Thomas Browne. John T. Irwin in "The Quincuncial Network in Poe's *Pym*" discusses Browne's quincuncial network. The components of the quincuncial network are the shape of a lozenge or diamond, a V shape, and X shape (decussation or hourglass figure), and the image of the network presents the world as "an object whose shape is compatible" "with the shape of the mind," that is, the reflection of "self-consciousness" (Irwin 177). It is the God-given design that "schematizes the interface of mind and world" (Irwin 178). It is a metaphor of human recognition of the world—animals, vegetables, minerals, and all in nature—as its shape (X decussation shape) demonstrates the structure by which humans grasp (recognize) objects within its loop (Irwin 184). In *Urn Burial-The Garden of Cyrus*, Browne claims that the geometric pattern of the quincunx is a divine design for "the intelligible continuity of the universe." The title *Urn Burial* concerns death, passions, and substance, while the title *The Garden of Cyrus* refers to resurrection (or life), reason, and form. *Urn Burial* and *the Garden of Cyrus* are not separate from each other, but exist on the same interface, forming the shape X. *Urn Burial* represents the shape Λ of a pyramid, opening downwards. *The Garden of Cyrus* represents the shape V of an upside-down pyramid, opening upwards. Λ and V form the shape of X as they join in the middle, and the shape X suggests corruption and death in the grave, as well as resurrection and life in the garden. "To flourish in the state of Glory, we must first be sown in corruption" (Irwin 176). The quincuncial design is "an icon of the organization of the world...forming not only the basis for the cross of Christ but

also...the design of the Garden of Eden and the cabalistic 'name' or 'letter' for God himself" (Thompson 205-206). The quincuncial network, viewed from this aspect, symbolizes a spiritual life, reflecting the underlying theory of Gnosticism: the soul rises from the underground / the realm of death to the spiritual realm.

G. R. Thompson, in "The Arabesque Design of *Arthur Gordon Pym*," points out that the quincuncial network schematizing the interface of the mind and the physical world includes "the feature of multileveled quest" (199). The mind, in its contemplation of the physical world, is engaged with epistemological or interpretative quest, like taking journey into infinite "inwardness." The mind "partakes" "the self-reflective" or "self-referential" commentary about an object it contemplates, and is unable to stabilize meaning as the center cannot be determined (Thompson 199-202). The mind can only reconcile desire into "unity" that, as Schlegel shows, "involves the incorporation of chaos or indeterminacy" in consciousness (Thompson 197). The quincuncial network is a form of "encyclopedias": the epistemological quest, Schlegel argues, is recurrent of self-creation and self-destruction as "these movements of the creative self and the critical self alternate or oscillate until 'developed to irony' " (Thompson 194). The network in which the Self embarks on "the journey into infinite inwardness" generates ambiguity of meaning, illusion-breaking, and indeterminateness. It is a plentitude or an interface of "endless signification that ends in emptying design of meaning" (Thompson 206). Take the plot of Augustus' letter and the language of Tsalal as two examples of linguistic difference that involve incongruity or ambiguity in the linguistic system. As Pym hides in the stowage, a letter written in blood—the only communication between Pym and Augustus—is fragmentary as some of the words are missing, and thus leaves to Pym some space for the imagination. On Tsalal island, Pym and his crewmen engage in danger since they do not understand the linguistic system of the Tsalal. The quincuncial network, viewed from this aspect, reflects a geometry of the void in which, ironically, "oversignification leads to undersignification and purposeful textual collapse" (Thompson 209).

In "A Platonic Dialogue; *Eureka* as Detective Story," Irwin discusses Poe's "infinite Self-Diffusion" into the destructive void in terms of "the structure of self-consciousness" associated

Pythagorean geometry. The component of self-consciousness is “basically transgressive” as it is merged with virtue and vice, along with “the divine intelligence.” To illustrate the divine intelligence in human consciousness, Irwin mentions the geometric figures D and S:

“The *D* evoking the triangular tetractys as a figure of the mathematical component of reality and the *S* evoking the line of beauty as a figure of the aesthetic, the two together (one inscribed within the other) presenting an emblem of the conjunction of these two orders in the creation of the universe” (57).

The letter D is a symbol of Pythagorean tetractys or “four group” —“an equilateral triangle each of whose sides contains four points” (Irwin 50). The D figure appears in the material world. It contains the S figure—“the serpentine line or elongated S curve” which is “THE LINE OF BEAUTY” (Irwin 53) in the art of William Hogarth. The golden section of the golden mean is associated with the Pythagorean sacred figures D and S. The myth of the Delphi oracle in *Oedipus the King* involves the sacred figures D and S. Browne’s *Urn Burial-The Garden of Cyrus* is linked to the tetractys and the serpentine curve (the quincuncial network Y shape of descending backwards and ascending forward). The two figures D and S, if put together, signify the mystery of the human condition—irrationality as part of beauty and divinity. The two figures D and S reinforce “the sense of mirror-image reciprocity between the terms in the other differential pairs” and point once again to “the V-shaped fold of the hand as the bodily given that grounds a linguistic system of differential oppositions” (Irwin 58). The difference or antagonist marked in culture, in a linguistic system, is effaced as the opposites intersect at the point indicated in the V- or X-shapes. Again, the geometric figures D and S suggest the process of spiritual rise from the underground: the soul can reach Beauty in a Spiritual Realm if it remains spiritual going through the gnostic / alchemistic experience.

In *Pym*, the shape of the quincunx reveals the message that the southwards voyage suggests a spiritual realm shaped like a pyramid upside down above the corruptive real (material) world, as well as a mind which is in its epistemological quest. The

quincunx appears in the rookery of the albatross and the itinerary of the south sea journey. Irwin points out that the rookery of albatross and penguin on Desolation Island forms a quincuncial network composed of the elements of the shape V, a lozenge shape, and the decussation X.

“Their nests are constructed with great uniformity upon a plan concerted between the two species—that of the albatross being placed in the centre of a little square formed by the nests of four penguins. Navigators have agreed in calling an assemblage of such encampments a rookery...At each intersection of these paths the nest of an albatross is constructed, and a penguin’s nest in the centre of each square—thus every penguin is surrounded by four albatrosses, and each albatross by a like number of penguins” (Poe 113-114).

Irwin associates the position of the albatrosses and the penguins in the rookery with the position of the trees in the Browne’s *The Garden of Cyrus*. Both reveal “the intelligible continuity of the universe” and the “self-reflection of the world.” Further, Thompson notes men’s epistemological problem. The rookery mirrors, Thompson writes, “the epistemological problem” in its determination of the center. (Is the albatross or penguin the center of the quincunx?) If the geometric shape of the rookery is a microcosm of the recognition of the world, then the rookery involves ambiguity and irony. Thompson notes how Pym’s itinerary of the south sea journey, extending from Nantucket, through Liverpool, the Kerguelen Islands, and the Falkland Plateau, to St. Peter and St. Paul, forms a parallelogram (lozenge or rhombus) in an X shape, with St. Peter and St. Paul as the center (208-209). The shape parallels the quincunx in Browne’s essay *Urn Burial-The Garden of Cyrus* and the rookery of the albatross in *Pym*, suggesting indeterminateness and decentralization of meaning in an ironic way.

The geometric structure is an imaginary form of spiritual quest: it implies God’s divine injunction in nature, through which the deceitfulness, illusion, and linguistic difference that characterize human nature and action are eventually revealed in the apocalyptic judgement. In other words, the geometric shape of the quincunx suggests the infinity of the

Creator absorbing all that is created by human actions into the Void. The labyrinthine space in the hold of the *Grampus* and the cavern on the island of the Tsalal where Pym suffers miseries of the human condition—famine, claustrophobia, suspicion, and so on—represent the space of Λ , a space on Earth composed of distress and suffering. However, Poe forms a world beyond suffering, which corresponds with the shape of V . In darkness, Pym perceives the demons which are a reflection of his own self desiring to rest at the abyss.

“I fell in spite of every exertion to the contrary, into a state of profound sleep, or rather stupor. My dreams were of the most terrific description...Among other miseries I was smothered to death between huge pillows, by demons of the most ghastly and ferocious aspect. Immense serpents held me in their embrace, and looked earnestly in my face with their fearfully shining eyes...I at length breathed a faint ejaculation to God, and resigned myself to die” (Poe 18-19).

The demons that the protagonist fears are gleaming within his soul and moving in Pym’s inner space as an uncanny “non-human being” that wraps him in death and tests his inner morality. Pym fears and describes them as “immense serpents” or “ferocious beings” since he fears the realm of death, a realm that the Gnostic initiates are supposed to pass through if they desire to spiritually rest in the realm of God. Pym’s phobia of the demons reflects his fear to approach death. In much the same vein, the cavern on the island of Tsalal leading to the entrance of abyss serves as a Gothic labyrinth where Pym encounters an uncanny entity, or more specifically, his own reflection—the shadow.

“And now I was consumed with the irrepressible desire of looking below. I could not, I would not, confine my glances to the cliff; and, with a wild, indefinable emotion, half of horror, half of a relieved oppression, I threw my vision far down into the abyss. For one moment my fingers clutched convulsively upon their hold, while, with the movement, the faintest possible idea of ultimate escape wandered, like a shadow, through my mind—in the next my whole

soul was pervaded with a longing to fall; a desire, a yearning, a passion utterly uncontrollable. I let go..." (Poe 166-167).

The mystery of self-consciousness for spiritual resurrection is characterized as the Pythagorean figure Y: descending down to the abyss parallel and rising upwards to the garden. The Self who stands on the nodal point can rise upwards to Heaven when he has experienced the underground realm that the shape Λ embodies.

Poe also incorporates the geometric structure quincunx with the plot of an apocalyptic moment: those who fall away in the world of violence and immorality and never rise to a spiritual world will confront their apocalyptic punishment. Curtis Fukuchi, in "Poe's Providential *Narrative of Arthur Gordon Pym*," explores the idea of providence, noting that human actions in the narrative are "played out" against God's design, and their actions—(self)-deception, utilitarianism, and violence—are rendered ineffectual when confronting the divine injunction in nature. Pym's expedition to the south manifests the divine injunction. The Tsalalian hieroglyphics, a figure engraved into the hills gesturing southwards, Pym's lucky escapes from famine and shipwreck, the figure of a tortoise on a piece of wood, and the ship of the dead, as Fukuchi claims, are all a manifestation of "the divine injunction" (Fukuchi 150) that Pym is destined to carry out. Though Pym fails to see this divine intervention, he "fulfills," as scholars of *Pym* point out, "his role as a mythic quest hero" (Fukuchi 152).^[5] Pym's journey is "a disinterested quest for knowledge" (Fukuchi 154). The mutineers, Captain Guy, and the Tsalalians, in contrast, are advocates of "the degrading spirit" of greed and utilitarianism (qtd. in Fukuchi 155). Staying in Tsalal means to dwell in the darkness of human nature. Going south signifies a spiritual quest for divine unity. It means staying with the white goddess, to have an interdependent relationship with her (nature), to accept "natural selection," even though the result is extinction. In contrast to Pym, the Tsalalians and the island Tsalal exemplify evilness in human nature and horror at confronting the vengeance of the white goddess (death). In the note, the editor explains the hieroglyphs found in the chasm as words of punishment for humans:

“Nothing *white* was to be found at Tsalal, and nothing otherwise in the subsequent voyage to the region beyond. It is not impossible that “Tsalal,” the appellation of the island of the chasms, may be found, upon minute philological scrutiny, to betray either some alliance with the chasms themselves, or some reference to the Ethiopian characters so mysteriously written in their windings. *‘I have graven it within the hills, and my vengeance upon the dust within the rock’*” (Poe 177).

Though a pseudo-biblical document or a reference to racism, the vengeance is explainable when associated with the exposure of the guilt and evil in human actions. The Tsalalians’ horror of anything white signifies their horror of death or inevitable destiny of destruction—both physical and spiritual. The white figure in the last scene of the south sea voyage that Pym encounters is “the abyss” (death) through which he has to pass before reaching the Gnostic God. The maritime journey is Pym’s (or Poe’s) imaginary form of salvation into a spiritual realm.

Conclusion

The melodramatic events in *Pym* are extremely outlandish. Can one experience a series of nightmarish adventures—starvation, mutiny, cannibalism, etc.—in such a short period of time, and still survive until confronting the mysterious white shrouded giant? Perhaps Poe’s ghastly scenes are somewhat exaggerated, but they reveal Poe’s “mental history in those parenthetical passages he so much affected” (Ingram 120). Pym’s survival of these many nightmarish events reflects Poe’s “psychological introspection” and desire to transcend brutal reality. Nevertheless, the series of catastrophic events reveal Pym’s desire to survive the realm of death, which ferries him to the Gnostic spiritual realm. The last scene of white mist, Irwin argues, explores the “origins of language and of human consciousness,” and the white figure is “Pym’s own projection” of his yearning to regress to the “undifferentiated unity of prelinguistic and preconscious experience.” Pym’s longing to fall is actually a desire to rise, which is mirrored in the structure of the quincunx as well as the imaginary world of Utopian / Dystopian. At the end of the narrative, Poe decides to keep the

story of the Pym's survival a mystery, unknown to readers. Pym survives his ordeal and returns to his country, yet the "two or three final chapters" regarding his southwards adventure were destroyed.^[6] Eakin in "Poe's Sense of an Ending" argues that Poe does so since he is aware of "Pym's position in the earth," "his stance within the figures," that "does not permit transcendence" (20). The only person who holds the secret of Pym's (Poe's) transcendence is Pym's editor, who is, as Eakin notes, "stationed as he is at a privileged, indeed 'angelic,' vantage point looking down on the chasms from above" (20). With the fabrication of the fictional character of Pym's editor, Poe intends to consolidate the structure of providential injunction. While Pym is a Gnostic hero executing the mission of epistemological quest, Pym's editor is stationed as an omnipresent God who knows all about the secret minds of Pym / Poe.

Notes:

[1] See also "MS. Found in a Bottle" and "A Descent into the Maelström," in which Poe presents shipwrecks, whirlpools, and mysterious vessels.

[2] The motif of devouring others varies in Poe's stories. If cannibalism in *Pym* concerns the theme of survival and collective violence, the death of a beauty in "The Oval Portrait" has something to do with the theme of devouring the soul.

[3] In "Literature's Arctic Obsession," Kathryn Schulz investigates "the two minds" that dominated 19th century explorations of the Arctic in history and literature. For example, Conan Doyle's writings, Schulz notes, contain the two minds. His "The Captain of the Pole-Star" describes a hellish, violent world while his speech concerning the subject of polar exploration presents the explorers as godlike heroes. Further, Schulz notes that these Arctic exploration arguments were rooted not so much in "geophysical realities" than "in geopolitical ones."

[4] The motif of live burial is one of the most important in the studies of Poe's stories. See also "The Fall of the House of Usher," "The Premature Burial," and "The Cask of Amontillado."

[5] Stephen Mainville in "Language and the Void" gives a similar comment on Pym's mythic adventure. "That is, Pym's blindness to the possible significance of the hieroglyphics results not simply from the 'rational' explanation he offers, but from his more radical refusal to see meaning anywhere. Pym experiences passively; though open to new experience, he 'experiences the experiences' both literally and passively, both being unimaginative and ultimately inhuman. Thus Pym, the monster of literality, becomes a symbol of the gothic frontier he survives: 'naturally,' he becomes part of the landscape he inhabits" (200).

[6] Poe's *Pym* influences the Polar imaginary in science fiction writers like Jules Verne and H. P. Lovecraft. In Jules Verne's *Le Sphinx de Grace* (1897), the survivors of the *Jane Guy* return to Tsalal, and in their expedition, they find the

body of Arthur Gordon Pym, who has died and “become a part of the Polar landscape.” See Jones 58.

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**ΓΕΩΡΓΙΑΔΗΣ, Ν. (2014). ΚΩΣΤΑΣ ΚΑΡΥΩΤΑΚΗΣ:
ΑΠΑΝΤΗΣΕΙΣ ΣΤΑ ΕΡΩΤΗΜΑΤΑ ΓΙΑ ΤΟΝ ΊΔΙΟ ΚΑΙ ΤΟ ΈΡΓΟ
ΤΟΥ [NEARCHOS GEORGIADIS, KOSTAS KARYOTAKIS:
ANSWERS TO QUESTIONS FOR HIM AND HIS WORKS],
ATHENS**

Nearchos Georgiadis was a prominent author who wrote several prose works and critical studies. In his book *Kostas Karyotakis: Answers to Questions for him and his Works* (Athens, 2014), Georgiadis deals with the well-known Modern Greek poet Kostas Karyotakis (1896-1928) and more specifically with the assumption that his poetry is a reflection of his life. While other critics saw this identification between life and poetry in Karyotakis' poetry before, Georgiadis makes it clear that Karyotakis' poems cannot be read without a focus on the poet's biography. In the past, some attempts have been made to analyse Karyotakis' poems as independent entities². By isolating the poems from their biographical, social and political background, the goal was to show that Karyotakis' poems can be interpreted as independent bodies³. However, through his analysis Georgiadis shows that such an approach does not denote the meaning of the poems.

As Georgiadis writes in the introduction of his book, life and poetry are inseparable in Karyotakis' poetry and his verses cannot be interpreted without his biography. Thus, the poet's works on syphilis and suicide can only be read properly with a

¹ PhD student at King's College London.

² For example through semiotics (Μπενάτσης, Α. (2004). «Τι νέοι που φθάσαμεν εδώ...»: Κώστας Καρυωτάκης από τα πρώτα ως τα τελευταία ποιήματα [Apostolos Benatsis, 'So young we landed here...' Kostas Karyotakis from the First to the Last Poems], Athens).

³ In a previous article following the basic principles of New Historicism, I discussed extensively how such a formalistic approach gives only one dimension of the poems (Menelaou, I. (2017). 'My Verses Are the Children of My Blood': Autobiography in the Poetry of Kostas Karyotakis', *International Journal of Comparative Literature and Translation Studies*, Vol.5, No.3:5-17).

parallel focus on his personal experience. When Karyotakis writes poetry, he expresses his feelings, thoughts and experiences of the time. Although he mocks suicide, he is one of the suicides of his poem ('Imagined suicides'), while similarly to Michalios (the hero of 'Michalios'), he sought a permanent discharge from the army.

Georgiadis declares that while in some poems Karyotakis possibly uses imagination, in the poems 'Do you remember' and 'The dance' the poet refers to his relationship with Anna Skordyli. Generally speaking, Karyotakis' first poetic collection (*The Suffering of People and Things*, 1919) is not based on random inspiration, but on his relationship with and separation from Skordyli. Georgiadis sees this relationship as an integral part of the poet's first poetic collection, since the experience of a previous love permeates the whole of the work.

Focusing on Karyotakis' second collection, *Nepenthe* (1921), Georgiadis refers to the poem 'My verses' as a clear biographical statement; 'a part of his heart and body'. Similarly, the poem 'Ballad for the unknown poets of the ages' is characterised by a confessional tone and character. In this poem, the poet reveals his personal experiences and events from his everyday life. This is an element, as Georgiadis says, which led to the realism that describes his poetry overall.

While the first and second collection are discussed from page 1 to page 88, in the rest of the book (pages 89-270) Georgiadis focuses on Karyotakis' last poetic collection: *Elegies and Satires* (1927). According to Georgiadis, *Elegies and Satires* is not just a poetic collection, but a 'life scenario'; it alludes to Karyotakis' past and future. When the poet writes 'my flesh and blood I'll put in the folio form of a book'⁴ is not a just a metaphor, but a 'summary' of his life as he refers to his syphilis, some political events he was involved in, death and suicide. Georgiadis even characterises Karyotakis' poetry as a 'curriculum vitae'. Especially in those poems revolving around his career as government clerk, poet, soldier and lover, one sees the poet's personal voice. In 'Michalios', what we see is Karyotakis' destiny if he was forced to serve in the army.

⁴ Using the translation from Karyotakis, K. (2006). *Battered Guitars: Poems and Prose*, tr. W. W. Reader and K. Taylor, Birmingham.

Especially the poet's satires are presented as a plan of life and death. It is his own story; he invented, staged and played it. Even his death-suicide alludes to the 'imagined suicides' of his poetry. In the poem 'Spirochaeta pallida' he sees himself suffering together with those people who had the disease (syphilis). A mistake of former critics is that they did not see syphilis as an important component of Karyotakis' poetry. Certain critics misunderstood his poems and some of his confessions, like syphilis, remained encrypted. Another poem that revolves around syphilis is 'So young when we landed here...'. Georgiadis is very descriptive on the symptoms and stages of syphilis in these poems and gives a full account. Special attention is paid to the last stage of syphilis: madness. The fact that Karyotakis visited the poet Romos Philyras (1898-1942) at the psychiatric hospital shows his preoccupation with his own condition. Georgiadis also explains the 'vulgar action' Karyotakis was accused of and mentioned in his last note – before his suicide. As Georgiadis inclines to believe, this 'vulgar action' is Karyotakis' desire to watch a prostitute having intercourse with other men. As he could not have intercourse because of syphilis, he wanted to be a bystander.

Nearly at the end of the book, Georgiadis asserts that it is wrong to consider that Karyotakis' relationship with Charilaos Sakellariadis changed through the years. While former critics saw an estrangement between the two men, Georgiadis persists in the fact that they remain close friends until the poet's suicide in 1928. As Georgiadis says, Sakellariadis was waiting for Karyotakis at the pier when the latter went to Preveza.

Concluding, Georgiadis' book is an enjoyable read with a clear goal: to show the close relation between life and work in Karyotakis. Indeed, one could say that Karyotakis' poetry belongs to that literary genre in which poetry and life are interwoven and any attempt to interpret those poems outside their biographical, social and political background deprives the reader of the charm to decode certain meanings. Georgiadis is right that Karyotakis' poetry is biographical and frequently depicts his real emotions and psychological state.

Nevertheless, certain questions arise when the author refers to Karyotakis' friendship with Sakellariadis. While Georgiadis sees almost everything in Karyotakis' poetry as a realistic depiction of his life, he does not focus on poems like 'To

an old college friend', 'Life story' and 'The garden of ingratitude', which definitely show the change in their relationship. While they were really close friends once – during their student years, their different interests led them to different routes. Karyotakis was a poet who attacked the political and social system, whereas Sakellariadis was a philologist who worked for a conservative journal (Greek Letters) that criticised Karyotakis' poetry in very negative way. Besides, it seems that Georgiadis ignores totally the correspondence between the two men, which shows Karyotakis' disappointment when his friend did not support him during an argument he had with the journal⁵. While Karyotakis and Sakellariadis continued sending letters to each other, the friendly climate of their early correspondence does not appear in their later correspondence. A biographical approach can be especially enlightening when looking at other writings, like letters and personal notes. While Georgiadis sees biography as a vital element for the interpretation of the poems, some of Karyotakis' letters have not been discussed at all.


In addition, while Georgiadis' analysis is interesting and productive, sometimes he cannot avoid exaggerations. For example, when he characterises Karyotakis' poetry as a 'curriculum vitae', Georgiadis intends to stress the nature and character of Karyotakis' poetry. However, since he showed effectively the relation between poems and biography, he could steer clear of such overstatements.

Similarly, the assumption that Karyotakis wanted to watch intercourse, using as evidence poems, is another exaggeration. While Georgiadis gives a very detailed and valid description of syphilis with some medical information that sheds light on certain verses, such a surmise is rather misleading and lacks more serious arguments.

Concluding, although some overstatements, Georgiadis' book is strongly recommended to students and academics of Modern Greek Studies and Biographical Studies. Focusing on a poet that constitutes an ideal example, Georgiadis shows how personal life intervenes in writing. Georgiadis clarifies that the

⁵ I deal extensively with the way that their relationship changed in another article (Iakovos Menelaou, 'The Intervention of Biography in Poetry: The Representation of Karyotakis' Friendship with Sakellariadis', *Agathos: an International Review of the Humanities and Social Sciences*, Volume 8, Issue 2/2017).

reason for the misinterpretation of Karyotakis' poems is the fact that biographical details have been overlooked and decodes the poems with a parallel reading of the poet's life story. However, the poet's letters could make Georgiadis' argumentation even stronger and the misreading of some poems could be avoided.

The background is a solid purple color. It features three prominent lens flare effects, each consisting of a bright white-yellow center with radiating lines and a surrounding pinkish-purple circular glow. There are also several faint, semi-transparent circles of various sizes scattered across the page, some overlapping the lens flares.

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