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文学跨学科研究

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Translation Ecologies: A Beginner's Guide

Thomas Beebee, Dawn Childress & Sean Weidman

Abstract: This article applies basic concepts of ecology to the cultural environments of literary translation, arguing that the duality of source-target twin texts should be considered within contexts corresponding to the different cultural systems of increasing complexity that are nested within one another: populations, communities, ecosystems, and biomes. The ecological-systemic approach to translation combines polysystem theory with social network analysis and the possibility that a digital humanities accounting of metadata signaling the overall environment for translation in the US may provide insight. The article ends with a discussion of the authors' current project to make a Big Data approach to translation operative.

Keywords: translation studies; world literature; literary polysystems; digital humanities; social network analysis

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标题：翻译生态学：入门指南

内容摘要：本文将生态学概念运用于文学翻译的文化语境中，指出应当在语境中考虑原文与译文这对二元对立的文本，使之符合相互嵌套而愈发复杂的不同文化体系，包括：人口、群落、生态系统及生物群系。在美国，翻译的生态系统法将多元系统理论与社交网络分析相结合，同时，数字人文能够记录元数据所表示的整个翻译环境，也为这一方法提供了思路。最后，本文以笔者目前的项目为基础，探讨大数据方法如何运用于翻译工作。

关键词：翻译研究；世界文学；文学多元系统；数字人文；社交网络分析

作者简介：托马斯·比比，宾州州立大学比较文学与德文杰出教授，主要研究领域包括批评与理论，书信体小说，18 世纪文学，翻译（理论、实践与文学模仿），文学中的意境地图，以及法律与文学。近年来著作包括《德语法律与文学的结合及分离》(Continuum 2011)，《翻译模仿：走进翻译黑匣子》(Palgrave-MacMillan, 2012)，以及编著《作为世界文学的德语文学》(Bloomsbury, 2014)。比比是《比较文学研究》期刊的主编、布鲁姆伯利系列和作为世界文学的文学总编；道恩·奇尔德里斯，加州大学洛杉矶分校数字馆藏与学术图书管理员，参与洛杉矶图书馆的数字图书馆项目。她的主要研究领域包括数字图书馆；文献学、图书史及档案研究的数字与模拟法；数字学术编辑；翻译。最新论文包括《推理目录 / 关键目录建构》(DH, 2017)，《重构藏书排列：数字图书馆最小规模计算》(DLF, 2016)，以及《翻译网络》(SHARP, 2016) (dchildress@library.ucla.edu)；肖恩·韦德曼，宾州州立大学英文系在读博士，主要研究领域包括现代主义文学，并关注于 20 世纪早期好客与社交的文化和形式。在文学分析时他善于运用数字化方法，如计算风格学，主题建模及网络分析 (sgweidman@psu.edu)。

Since the 1980s there has been a ground shift in approaches to literary translation. This shift in paradigm can be characterized as a widening of critical perspective beyond the previous narrow focus on the double linguistic artifact: source (original) text; and target (translated) text. This focus was narrowed still further by a governing ideology of “fidelity” that literalized the metaphor of translation as a “carrying over,” and that restricted the task of the translation critic to that of judging the perfection of duplication of one text by its rendering in another

language. As Susan Bassnett summarizes the shift, “Theorists of translation in the 1970s, who included poet-translators such as James Holmes, firmly rejected any notion of equivalence as sameness, pointing out that not only are languages different, but literary systems with their attendant norms are also different” (Bassnett 60). Holmes himself offered the following: “No translation of a poem is ever ‘the same as’ the poem itself. It can’t be, since everything about it is different: another language, another tradition, another author, another audience” (Holmes 53). Contemporary translation scholars have come to recognize three things: 1) that the source text is only one factor in determining the specific configurations of the target text; 2) that the source text is not a fixed essence, but an impetus to various readings and a cloud of interpretative choices; and 3) that the target text intervenes in the target language and literary system — to a greater or lesser degree, depending on a variety of factors. All of these points lead one to conclude that a focus on linguistic differences between source and target texts gives a highly filtered view of the function of translation in cultural transfer. An accurate, panoptic view of literary translation should value it not only as an attempt to preserve the linguistic or literary integrity of the original, but at least equally as a new intervention in the target literary system. Moreover, we need to recognize that numerous actors collaborate in order to bring about a published translation: literary agent; translator; publisher; funding agency; reading public; distribution channel, and so forth. This system of translation is surrounded by its environment, for example by the economics of publishing, by the technological infrastructure, and by the parameters of the target literary system. “Environment” is used here in the system theory sense of the word, as everything not belonging to a system — the limits of which are the boundaries of autopoiesis, i.e. of cybernetic control — but capable of interacting with it (For a detailed explanation, see la Cour). An ecology can be thought of as a description of systems together with their environments in which the scope of system is scalable. In titling his book *An Ecology of World Literature*, Alexander Beecroft meant that his investigation focused on the relation of “world literature with its environment,” that is, largely with how closely tied the literature is to local conditions and how far its reach is. Beecroft posits six essential relations, which encompass expanding areas of cultural interaction: epichoric; panchoric; cosmopolitan; vernacular; national; and global. “Greek” tragedy began as an epichoric form in Athens, became popular in many other Greek cities and thus panchoric, was preserved in the cosmopolitan Ptolemaic empire, and is currently global, with translations and adaptations in many languages of the world. Borrowings of the term “ecology” such as Beecroft’s are entirely legitimate.

The English word was derived from the German, while for a set of French and Central European thinkers who developed what today we might call systems theory in the mid- to late-nineteenth century — Alfred Espinas, Guillaume de Greef, Ernst Haeckel, and Albert Schäffle — “organism” was a key term that could apply equally well to living beings and to social institutions (See Bauer). This slippage or shared terminology between biology and sociology continued later into the century, with comparatists such as the French scholar Ferdinand Brunetière, who in 1890 published the first of two volumes on the evolution of literary genres, *L'évolution des genres dans l'histoire de la littérature*, treating these literary abstractions as though they were living creatures fighting for survival. From the late twentieth century onward, “ecology” has been applied to a number of non-organic spheres, one monument for which is Gregory Bateson’s *Steps To an Ecology of Mind* (1972). Phrases such as “information ecology,” “ecology of conversation,” “ecology of knowledge,” and “media ecologies” have paved the way for a notion of literary ecology, as in the work of Hubert Zapf, who explores literature “as an ecological force within culture that presents “human experience as part of a shared world of bodily experiences and embodied minds” (Zapf 90). In speaking of ecology in the narrow sense, that is, as a science attempting to understand the ways that living creatures interact with each other and with their environments, there is a structure of systems nesting within environments. Beecroft projects a similar structure for world literature: epichoric or “local” literary products are nested within a panchoric system that filters some local products for wider reception, while ignoring others. Greek tragedy — which was invented in Athens as part of its civic celebration — is a famous example of an epichoric performative genre that quickly became epichoric, as Greeks from every region took an interest in the form. The largest ecological environment is Gaia, also known as the biosphere or the Earth, which is usually divided into biomes, defined as generalized habitats such as tundra, desert, or tropical forest. Within biomes are ecosystems, within ecosystems communities, within communities’ populations, which are in turn made up of individual organisms.

When we transfer the idea of ecology to translation, then the equivalent of Gaia or the biosphere is world literature, while that of biomes is the generic and formal divisions of literature that create sparse or rich opportunities for translation. Ecosystems parallel what Itamar Even-Zohar has called literary polysystems. Communities represent the particular conditions of creation and publication of translations in specific language contexts at particular historical moments, while populations are the sets of authors and books to be translated — translators, editors,

reviewers, and the like — who tend to operate under different circumstances, with different sets of goals and objectives. The parallel sets of systems can be summarized in the table below:

Ecologies	Translation Ecologies
Gaia	World Literature
Biomes	Literary Forms
Ecosystems	Literary Polysystems
Communities	Sets of relations and interactions between authors, translators, publishers, reviewers, etc.
Population	Authors, translators, publishers, reviewers as populations sharing common goals and behaviors
Individual	Individual author, translator, publisher, etc.

Figure 1: Ecologies vs. Translation Ecologies

To start with the largest area, the biosphere, translation is the lifeblood of world literature. The analogy is exact, since translation allows for the circulation of ideas and texts between cultural spheres, enriching and invigorating the repertoire of ideas and styles, especially in literature. For millennia, translators shared almost equal footing with “original” creators, and creators were in fact frequently adapters who performed or depended upon translation. Examples include Geoffrey Chaucer, William Shakespeare, Alexander Pope, and Johann Wolfgang von Goethe. World literature, to use David Damrosch’s famous phrase, consists of literary texts that overall “gain in translation” (Damrosch 281). At such a high level, we can only discern the broadest outlines of translation ecologies, such as the ubiquitous presence of the world’s most translated — in terms of frequency and/or in terms of numbers of languages — literary works: the Bible; Lao Tze; Sophocles; Cervantes; Tolstoy; Jules Verne; Agatha Christie. In Durs Grünbein’s extended metaphor,

there is a Himalayan range of literature, and its high-points are well-known. This world-mountain is dominated by a chain of seven- and eight-thousand meter high peaks, which have stood there for centuries. We are speaking of such mighty cliffs as the ever-snow-capped Peak Dante, the wide-ruling Mount Shakespeare, divided into several summit peaks, around the two broad-shouldered elephant-rounded Mons Rabelais and Monte Cervantes. In the middle, the silhouettes of the high Goethe and the sharply contoured Pushkin. [...] The particular pathways to such

greatness are invisible to us, just like roadways and bridges cannot be discerned in the famous blue-marble photo of the earth.” (Grünbein 23; my translation)

This is the panoptic, Gaia-perspective on world literature, where the canonical or currently popular authors (for the present we could add Paolo Coelho and Haruki Murakami, for example) appear as solid peaks. When we zoom in, however, we see that those peaks are in fact more like the Egyptian pyramids, enormous human-made structures, and we can discern the equipment and the transportation routes that allowed their construction. These are the routes of translation, circulation, and publication.

The sublime image of the “roof of the world” for agreed-upon or documented canonical texts of world literature presents an interesting paradox, because translations tend to fit the source text into a form or genre provided by the target system. To show this, let me compare two versions of the opening of Homer’s *Iliad* — one by Samuel Butler, and one by Christopher Logue. Obviously, I could compare many more versions, but these have been chosen for maximum contrast, and to illustrate the primacy of literary form as a large-scale environmental habitat into which a translation must fit. The scene is the famous opening dispute between Achilles and the leader of the Greek expedition against Troy, Agamemnon, who has been forced to return his bed-slave and who now seeks compensation by taking Achilles’ own female war-prize. Achilles of course resists this solution, and a fierce argument develops between the two. Butler’s version of their exchange (*Iliad* II. 1:120 ff.) goes:

And Achilles answered, “Most noble son of Atreus, covetous beyond all mankind, how shall the Achaeans find you another prize? We have no common store from which to take one. Those we took from the cities have been awarded; we cannot disallow the awards that have been made already. Give this girl, therefore, to the god, and if ever Jove grants us to sack the city of Troy we will requite you three and fourfold.” Then Agamemnon said, “Achilles, valiant though you be, you shall not thus outwit me. You shall not overreach and you shall not persuade me. Are you to keep your own prize, while I sit tamely under my loss and give up the girl at your bidding?” (Butler 4)

The same lines in the Greek original stimulated the following intervention by

Logue:

Until Achilles said:
 'Dear Sir,
 Where shall we get this she?
 There is no pool.
 We land. We fight. We kill. We load. And then —
 After your firstlings — we allot.
 That is the end of it.
 We do not ask things back. And even you
 Would not permit your helmet to go round.
 Leave her to Heaven.
 And when — and if — God lets me leap the Wall
 Greece will restock your dormitory.'

'Boy Achilleus,' Agamemnon said,
 'You will need better words
 And more than much more charm
 Before your theorizing lightens me.
 Myself unshe'd, and yours still smiling in the furs?
 Ditchmud.' (Logue 13)

Butler (1835-1902) chooses the biome of prose, and in fact more of newspaper reporting than of whatever in English literature might best correspond to epic. Jorge Luis Borges wrote that Butler had transformed the *Iliad* into an “ironic bourgeois novel” (Borges 1136) and a “sober series of news items” (1138). And indeed, Butler was known for his prose, such as the satire *Erewhon* and the novel *The Way of All Flesh*. Logue (1926-2011), on the other hand, was a lyric poet, and it is as lyric that he imports the *Iliad* into English. Neither is interested in preserving the formal markers of epic. For example, neither preserves the famous Homeric epithets. In the original Greek, Achilles literally asks where the “great-hearted Achaeans” (μεγάθυμοι Ἀχαιοί) will find Agamemnon a prize. Butler also drops the epithet “well-walled” (ἐντειχεον) from Troy, while Logue collapses it into “the Wall.” Homer’s constant use of epithets is among the many markers of epic that make the reading tedious if translated literally and consistently. Leaving them out, as here, is not a mistake, but a recognition that the form of Homeric epic in Greek does not really correspond to anything in English, and certainly not to anything in modern

literature. Conversely, there is no rhyme in Homer, whereas Alexander Pope added it to his version, in order best to convey an idea of the heroic. Our point here is that the first question to be asked about a translation concerns the choice of literary form that best corresponds to the original, the specific ecology of literary form into which it is to be translated.

The next largest unit, corresponding to an ecosystem in biology, is what Itamar Even-Zohar dubbed the literary polysystem. “Polysystem” is a hard word to define, but the term itself gives the idea of its important conceptual point, that there is not *a* literary system in a particular language, but several: canonical versus popular; performative versus written; adult vs. children’s; original versus translated, and so forth. Just as ecosystems are comprised of several interlocking communities — animals eat plants, plants need water, and so forth — as these take advantage of the physical features and affordances of their environment, so too the literary polysystem has no single center, no single periphery. “The emphasis achieved by the term *polysystem* is on the multiplicity of intersections, and hence on the greater complexity of structuredness involved. Also, it strongly stresses that in order for a system to function, uniformity need not be postulated” (Even-Zohar 291). Various institutions, such as booksellers, publishers, libraries, and universities, are the intermediary gears that allow for dynamic transfers between systems that have little or nothing to do with each other directly. A press may limit the number of works of “high literature” — especially ones in translation — that it publishes in order to concentrate on its increasingly profitable list of graphic novels or non-fiction books, for example. These literary sub-systems interact with each other only in a very limited fashion, yet changes in one may cause changes in the other, or changes in both may be caused by the environment.

Communities, on the other hand, consist of populations that do interact with each other directly. William Marling’s book *Gatekeepers: The Emergence of World Literature in the 1960s*, can be described as a set of detailed studies of translational communities. The interface between the different populations in these communities he calls “gatekeeping,” and “success in World Literature is about gatekeeping” (Marling 1). Gatekeepers can be fellow authors, agents, translators, reviewers, and academics who advertise through publication and lectures, and who determine textbook adoption. Most of the gatekeeping is, of course, not done by the authors themselves, whose major task — beyond good writing — is to curate the set of gatekeepers working on their behalf. Marling provides eight study-examples, involving four different languages. The eight examples consist of four pairs of authors, one of whom can be considered a world literature success, while the other

is less so. These pairs are: Gabriel Garcia Márquez and Rigoberta Menchú Tum; Charles Bukowski and Diane di Prima; Paul Auster and Lydia Davis; and Haruki Murakami and Banana Yoshimoto. Figure Two below is a visual representation of the ecology of gatekeepers who helped the Japanese author Haruki Murakami to world literature prominence. The different populations who worked on Murakami's behalf listed above are all present, and sort themselves into three main "blocks" or sub-communities: Waseda University; US connections; and the literary prize system. Murakami's first translator and gatekeeper, Alfred Birnbaum, an American ex-pat and fellow alum of Waseda University, was heavily involved in online forums where interested parties would read and assess others' translations. Through this activity, Birnbaum maintained a wide network in his field, while Murakami interacted little with this side of his work. Murakami, after being tutored in translation by a former professor at Waseda University post-graduation, used these skills to meet and discuss his craft with the American writers he considered influential, and he would end up translating American literature into Japanese, especially Raymond Carver and John Irving. Irving probably pointed Murakami towards the need for a literary agent. Murakami's US contacts also led him to his own main translator, Jay Rubin. Finally, Murakami's first publication came as a result of winning a literary prize, the Gunzo, and he has gone on to win numerous other ones in a widening international circle. His best-known prize has now become the one he does *not* win year after year, despite being an odds-on favorite for it: the Nobel. In contrast to Murakami's success, the flip case study of Banana Yoshimoto, who also was aided by the prize system, reveals one key difference in interest: "she acquired top-flight academic translators, but she does not curate a translation corps, nor does she translate" (Marling 140). While this is not the only difference in their writing, it does have some impact on at least the Anglophone reception of Yoshimoto's work. Translation is a two-way street for Murakami (i.e., he curates his corps of translators while also doing his own translations into Japanese), and the connections established via the translation highway are crucial to his status as a world author.

This systemic approach to translation helps make study of translation suitable to digital humanities approaches. The higher we go in terms of system reach and complexity, the more we encounter the three "Vs of Big Data": volume; velocity; and variability. Yet, while the databases of translated fiction, drama, and poetry are large enough to qualify as Big Data, in recovering the translation ecology we are working in an environment of scarcity. We are increasingly experiencing what Lawrence Venuti has called the "translator's invisibility." Translators' names

are frequently missing from library catalogs, bibliographies, dust covers, and sometimes from the title pages of books, leaving us with an incomplete record of the contributions of translation to the literary system.

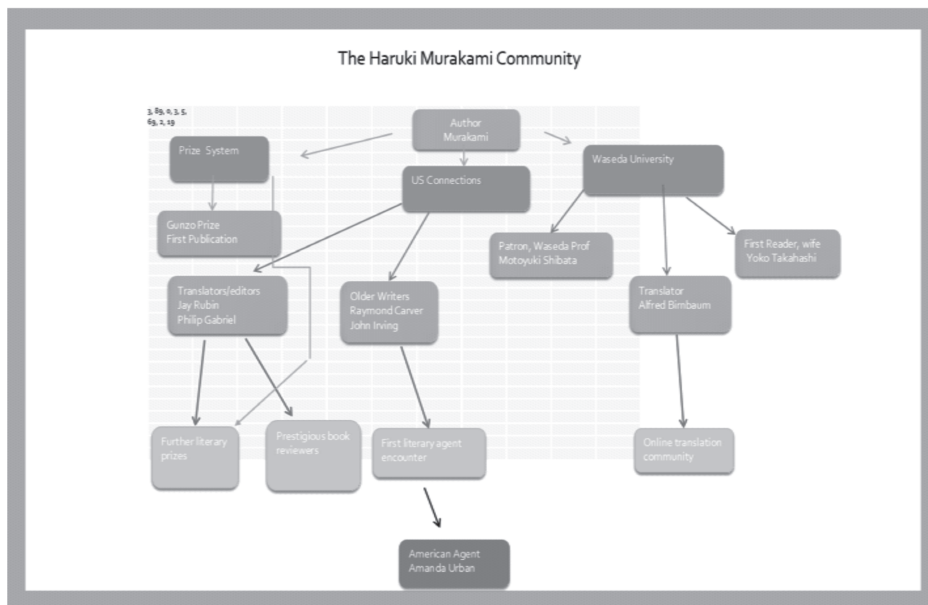


Figure 2: The Haruki Murakami Translation Community¹

One attempt at overcoming the invisibility is the translation database maintained by Three Percent Books (<http://www.rochester.edu/College/translation/threepcent/index.php?s=database>). Three Percent was named after the oft-cited statistic (first established by Bowker, a leading provider of bibliographic information) that only three percent of books published in the U.S. are translations. By collecting as many catalogs as they can and asking publishers directly, Chad Post and assistants have managed to come up with a fairly accurate record of the original translations of fiction and poetry published or distributed here in the United States since 1 January, 2008. The spreadsheet has entries for work title, language and country of first publication, author and translator names and genders, publisher, and literary form. By “original,” they are referring to titles that have never before appeared in English (at least not in the US). So new translations of classic titles aren’t included in the database, and neither are reprints of previously published books. The focus is on identifying how many new books and new voices are being made available to English-speaking readers.

1 Figure Two is based on a visualization of Marling’s discussion (115-42) by Grace Duval.

connections of the translator Anthea Bell in much the same way as we have done for the author Haruki Murakami.

Once we zoom in a little (Figure Four), we can see that most of our detected communities center around a publisher with a higher betweenness centrality, like we see here with Amazon Crossing. We're anticipating that the additional data we collect on publisher and translator types will allow us to focus in on these relationships and to discover patterns that provide further insight into the makeup and nature of translator dominated-communities vs. publisher-dominated ones. We have noticed that within some language groups there are larger numbers of individuals with high betweenness centrality, while some others tend to be dominated by publisher-defined communities. This is not necessarily surprising, but may yield further insights as we enhance the data. It's also important to note here that high betweenness centrality is a measure of the *potential* for serving as a bridge or conduit for transmission; the degree to which this position in the network is leveraged is another matter.

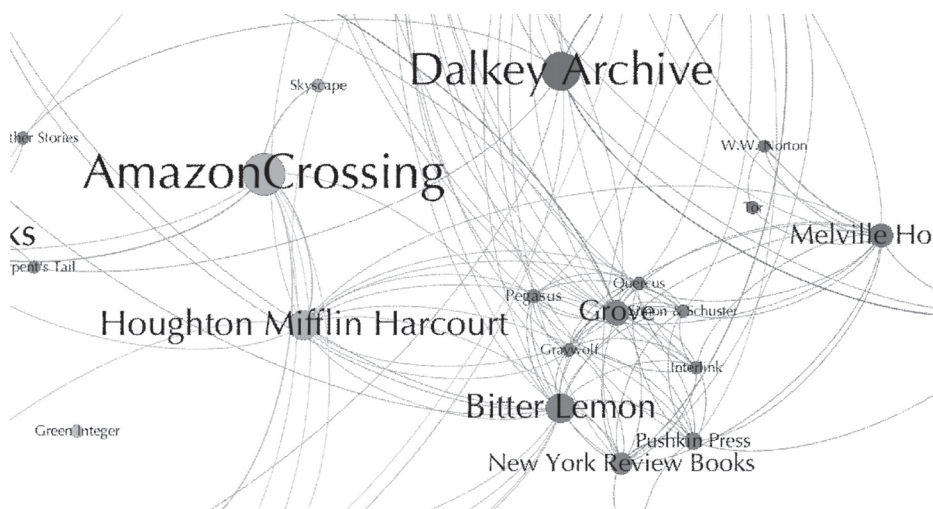


Figure 4: Reduction of Graph to Use Only Publishers as Nodes

Mirroring its ecological definition, the idea of “community detection” in network analysis is somewhat counter-intuitive in the sense that there may be little “communal spirit” between the various populations. Rather, the ties may be ones of purely material interdependence; translators who share a publisher or an author, for example, are part of a community even if they never interact directly with one another. Community hubs can be, alternately: authors who bring together translators, publishers, and agents; publishers who bring together translators,

authors, and agents, granting agencies who bring all three of the above groups together, and so forth. We are, of course, hoping to discover other agents or conditions around which a community (in the ecological sense) might coalesce. For example, what communities surrounding Latin American authors translated in the 1960s might we find, and will these communities be determined by academic departments, funding agencies, publishers, or other conditions of their creation? Do we see communities forming around the conditions of creation, the conditions of recognition the conditions of dissemination, or some other substrate?

Three Percent's Translation Database helps provide more visibility to translation communities, but the authors of this article wondered about the extent to which we could look beyond the texts and immediate actors to other elements. As Hoyt Long puts it, how might we capture data on "ideological forces, social relations and institutions, and the expanding systems of circulation, diffusion, and influence?" (Long 283) We are attempting to address this question and have begun experimenting with data points related to publisher and translator types, affiliations, literary prizes, gender, and so on. The resulting dataset will necessarily be complex and uneven and require a flexible and forgiving data model and a robust query system. It would also be beneficial for translation scholars and anyone interested in the translation ecosystem to be able to explore the breadth of the data visually to see what interesting trends and patterns emerge that merit closer inspection. The project "Six Degrees of Francis Bacon" — which might be categorized as a "correspondence ecology" surrounding the famous English philosopher-scientist — gives an idea of what this might look like. Ideally, we hope to develop a central datastore of 21st-century literary translation in English that can be open, collaborative, flexible, and functional in its design, support a variety of datasets, and be open to a wide variety of queries about translation ecologies of the English-speaking world, from the most basic such as which publishers show the greatest number of translated volumes within a particular timeframe, to the relative receptivities of biomes of US literature for different literary forms from around the globe.

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Narrating the Chinese Dream: A Cultural Interpretation of “Chinese Dream Series” in Urban Public Service Advertising

Yang Jincai

Abstract: Although many scholars have approached the Chinese Dream from various perspectives, there have been few attempts to explore how Chinese government at different levels visualizes the Chinese Dream in order to transmit its concept including its grand mission of constructing a harmonious society. From the “Three Represents” to the “Harmonious Society,” Chinese cities have long been fond of clunky political slogans which eventually turn out attractive thematic public service advertising posters around the country. As the Chinese Dream is exclusively associated with what President Xi Jinping talks about China’s mission in the 21st century to rejuvenate the great Chinese nation, it is highly political and has been largely mediated in the expression of Chinese national culture. Chinese Dream posters in series titled “The Chinese Dream, My Dream” are now spreading urban China, trying to blend both China’s glorious tradition and its present achievements of reform and development. In so doing, the government can not only reclaim a linkage with traditional Chinese wisdom of political and ideological governance but seeks a kind of consensus in dream ideology as well so as to discipline the common masses. So politically and ideologically oriented, the dream posters are unexceptionally following the government’s efforts to seek solidarity and bureaucratic social management. Since China is huge and not easy to accommodate all from the satisfaction of basic requirements to more sophisticated needs, the evolving Chinese Dream is inevitably plural embodying a belief in values that are more spiritual, and sometimes to the extent of being utopian. It is argued that the greatest challenges China now faces are those of building a set of “national” values that can progressively be considered as “universal” rather than systematically trampling them to serve selfish interests. This paper will examine closely a cluster of these dream posters to analyze not only their visuality as a role player in transmitting the government’s dream ideology but also their far-fetched and unrealistic high sounding spiritual nourishment that may give rise to ideological issues for further consideration.

Key words: The Chinese Dream; ideology; cultural interpretation

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标题: “中国梦”公益广告的文化阐释

内容摘要: 虽然已有许多学者从各种不同视角阐释“中国梦”，但鲜有研究尝试探讨中国各级政府如何构想“中国梦”以便传播该概念及该概念所蕴含的构建和谐社会的意图。从“三个代表”到“和谐社会”，中国各城市长期以来喜用沉闷的政治口号。这些政治口号最终成了全国范围内极具吸引力的主题公益广告。习近平主席讲话指出，要在21世纪完成实现中华民族伟大复兴的任务。鉴于“中国梦”完全与他的这一讲话相关，因而该概念极富政治色彩，也在很大程度上影响了中国民族文化的表达方式。以“中国梦，我的梦”为主题的“中国梦”系列公益广告如今遍布中国的城镇，它们试图将中国的光荣传统与其当前改革发展所取得的成就相融合。如此，政府不仅可以恢复与中国政治及意识形态管理方面的传统智慧间的联系，而且寻找到了梦想所具有的意识形态性方面的某种共识，并以此管理普通群众。就此而言，无论从政治角度还是从意识形态角度看，中国梦的公益广告无一例外地体现了政府力图维持团结、保持行政化社会管理模式的努力。中国人口众多，无论是满足人民的基本需求，还是满足他们较为复杂的需要，中国政府都很难迎合所有人的不同诉求。不断演变的“中国梦”不可避免地要以复数的形式存在，它所代表的是对一些价值观念的信仰，这些价值观念更加精神化，有时甚至达到了乌托邦理想的程度。可以论证的是，中国当前面临的各种巨大挑战在于确立一套能逐渐被认为具有“普世性的”、“民族的”价值观念，而不是蓄意地践踏这些价值观念。本论文将细察一组中国梦的公益广告，分析其视觉性承担传播政府所倡导的中国梦中的意识形态作用，揭示其牵强、不切实际且夸大其词的精神食粮作用，并论证这种精神食粮作用会导致一些需要进一步思考的意识形态问题。

关键词: 中国梦；意识形态；文化阐释

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The Chinese Dream is closely associated with Chinese President Xi Jinping, who is also the General Secretary of the Communist Party of China. He began promoting the phrase as a slogan in a high-profile visit to the National Museum of China in November 2012 after taking the office of general secretary. Since then,

it has become a catchphrase widely spread in official announcements and has become routine party lexicon as the embodiment of the political ideology of the leadership under Xi Jinping, known as “national rejuvenation, improvement of people’s livelihoods, prosperity, construction of a better society and a strengthened military” (Xi 38) . Although many scholars have approached the Chinese Dream from various perspectives, there have been few attempts to explore how Chinese government at different levels narrates the Chinese Dream in order to transmit its concept including its grand mission of constructing a harmonious society. From the “Three Represents”¹ to the “Harmonious Society,”² Chinese cities have long been fond of clunky political slogans which eventually turn out attractive thematic public service advertising posters around the country. As Chinese Dream is exclusively associated with President Xi Jinping’s ideas on China’s mission in the 21st century to rejuvenate China as a nation, it is highly political and has been largely mediated in the expression of Chinese national culture. Chinese Dream posters in series titled “My Dream, The Chinese Dream” are now seen in urban China, trying to blend both China’s glorious tradition and its present achievements of reform and development. In so doing, the government can not only reclaim a linkage with traditional Chinese wisdom of political and ideological governance but also reach a kind of consensus in dream ideology so as to discipline the common masses. So politically and ideologically oriented, the dream posters unexceptionally follow the government’s efforts to seek solidarity in social management. As China is huge and not easy to accommodate all from the satisfaction of basic requirements to more sophisticated needs, the evolving Chinese Dream is inevitably plural

1 The “Three Represents” theory was first raised in 2000 by then General Secretary of the Central Committee of the CPC, Jiang Zemin. He was calling for strengthening the Party in the face of new challenges and elaborated the theory fully in 2001, emphasizing the CPC that must always represent the requirements for developing China’s advanced productive forces, the orientation of China’s advanced culture and the fundamental interests of the overwhelming majority of the Chinese people. As the doctrine is built on previous socialist theories from Marxism to Deng Xiaoping’s Theory, and at the same time embodies the spirit of the time, “The Three Represents Theory” now implies the representatives of advanced social productive forces, the progressive course of China’s advanced culture and the fundamental interests of the majority. For further information, see China Today <<http://www.cctv.com/lm/124/31/86438.html>>.

2 In 2007, Chinese President Hu Jintao instructed the country’s leading officials and Party cadres to place “building a harmonious society” at the top of their agenda, which advocates an overall, coordinated and sustainable development concept, making the interests of different sectors balanced. For further detail, see Harmonious society <<http://en.people.cn/90002/92169/92211/6274603.html>>.

embodying a belief in values that are more spiritual, and sometimes to the extent of being utopian. It is argued that the greatest challenges China now faces are those of building a set of “national” values that can progressively be considered as “universal” rather than systematically trampling them to serve selfish interests. This paper will examine closely a cluster of these dream posters to analyze not only their visuality as a role player in transmitting the government’s dream ideology but also their far-fetched and unrealistic high sounding spiritual nourishment that may give rise to ideological issues for further consideration. Each poster attended in this paper narrates an aspect of ideology that directs our attention only at a memory of the past. Obviously, the designers have tried to fuse different narrative temporalities, superimposing the global on the local, and assimilating a wide range of source materials and intertextual content. Two broad responses might be discerned in respect to this particular aspect of these dream posters. The first points to modernization which China relies on to fulfill its mission of rejuvenation. The second affirms the Chinese traditional values. In each case, the central issue at stake is the relationship between the ethics of representation and the politics of remembrance.

At the beginning of the twenty-first century, China extended its reach toward modernity and globalization. Technologies such as cell phones, internet, electric lighting, automobiles, cinema, and radio; industrial materials such as glass, steel, and cement; modern building styles, air travel, high speed railways and television were disseminated to a wider proportion of society than in the preceding century. These technologies enabled flows actual and imaginary between China and the outside and extensively shaped China’s cosmopolitanism. Today, China upholds the Silk Road spirit characterized by “peace and cooperation, openness and inclusiveness, mutual learning, mutual benefit and win-win results” (Xi 290-293). It is willing to combine the experience and foundations of its own development with the development will and comparative strengths of all countries, and use the Belt and Road as an important opportunity and a cooperation platform to promote a new future-oriented international cooperation., showcasing a positive vision that the Chinese Dream is interconnected with the world dream and all countries work together to build a human community of shared destiny. As in the culture of most industrialized societies, the country’s modernity was inflected by omnipresent remnants of its ancient history and by the realities of development. Hence representations of China anchored in the cultural legacies of its past coexisted with visions of the nation as already modern. The convergence of these imaginings engendered regional and nationalistic cosmopolitanisms filtered and

enhanced by the concept of Chinese Dream, but a close look at the “Chinese Dream Series” in urban public service advertising will reveal government-controlled vernacular cosmopolitanisms that have resulted in a far different dream narrative highly associated with China’s past.

In 2013 Chinese Dream came as a slogan widely spread in the Chinese media. Following Xi’s phrase, Chinese government at various levels has tried to interpret it and thematise the concept of Chinese Dream, hoping to relate it to common people’s life. Discussions, reports and interpretive essays have flooded newspapers, magazines and TV programs. The whole nation is bombarded with dream talking. The way people experience the city is nowadays affected by a complex, dense, and reactive information landscape marked by social and political media in advertising the Chinese Dream. Chinese Dream posters in series appear everywhere in urban China in public squares and on roadside walls. The posters create potent sensual images of the Chinese Dream, presenting a world in which Chinese Dream is omnipresent, invading not only cities but also bodies and feelings; a world in which dream images have penetrated human consciousness to such an extent as to become indistinguishable. Such ideologically manipulated model of national instruction obviously carries behind various elements of sociality. Bringing this model in conjunction with Emmanuel Levinas’s analysis of the face-to-face relationship with the Other — initially put forth in *Totality and Infinity* (1961) and later revisited in his conversation with Phillipe Nemo (1982) — allows me to ground my reading of the posters’ political content in a double register, emotional and ethical, based on the premise that politics, including the cultural politics of emotion, should always be “checked and criticized starting from the ethical” (Levinas 80). What is advocated in the dream posters exhibits a powerful potential for transforming consciousness by mobilizing the Chinese people in a direction of following the Party’s political ideology.

The following poster entitled “Flying the Chinese Dream” is an artistic expression of the Chinese Dream embodying Chinese wishes (pic.1). Again, the poster turns to traditional Chinese culture for spiritual nourishment. It entrusts hope by referring to ancient Chinese farming culture that featured seasonal changes such as sowing in spring and reaping in autumn. The posture of a sculptured young pioneer carrying a bird in hands displays her fantastic dreams. She wears a red scarf and assumedly acts as a successor of Communism in Chinese political discourse. To let go of the Chinese Dream may allow Chinese people old and young to pursue their own goals and achieve prosperity. The blending of agrarian notion of harvest and contemporary Chinese political ideology renders an optimistic vision of a

future generation. In her introduction to *The Cultural Politics of Emotion*, Sara Ahmed highlights “one of the most common narratives” about asylum in the United Kingdom: the narrative of the “soft touch,” according to which one tries and gets into the nation because they can have a life with “easy comforts” (Ahmed 2) . The “soft touch” of narrative in the poster here lies in its metaphorical suggestion that one can get easily inspired to strive for what they dream about. The emotion and passion it arouses are thus no less than social and cultural practices. Also, there appears a type of discursive vertigo so intimately associated with the poster, for its narration through a red scarfed young pioneer acts as not only textual mediators, but also embodied subjects of experience in the present. Thus the dream implied in the poster becomes rather flat and dubious, for it undermines a realistic substance which Chinese should recognize today, namely a close linkage with modernization. In this stead, the poster merely voices a political biased attitude towards the Chinese Dream without creating a fair site of ethical engagement with past and present alike. What we have instead in the poster is its implicit claim that you cannot really know what the Chinese Dream is really like.



1



2

The poster above titled “Glittering Chinese Dream” is put on top of a roof so that people entering the building can see it from afar (pic.2). The purpose of such a placement reveals the government’s pervasive ideological reach. Interestingly, so high sounding a concept like Chinese Dream is brought close to the daily life of common Chinese. In this sense, the government’s propaganda succeeds in transmitting its ideas. Characteristic of such practices is their strategic mingling of a state policy or idea with individual needs of the common masses. The Chinese government is very good at associating its will with common people assuming a missionary role of taking care of them. But if perceived carefully, one can easily

find its inadequacies, for the poster only offers a scene of rural life, hovering over a romantic touch it describes as a detached and disembodied viewpoint that distends both time and space for the sake of observing general patterns rather than specific details. Instances of these patterns in the agrarian scene of the poster can be seen regularly in rural China with little particularly alluded to the traditional Chinese value or modernization. Thus it is not difficult to understand the following poster “My Dream, China’s Dream” in which the most empowered and reduced individual “I” becomes the foreground (pic.3. Take a close look at the mysterious facial expression of the child and her posture, unveiling both naivety and curiosity. Like most of Chinese children at her age, she is puzzled but hopeful, dreaming her wonderful dreams. Everyone in China should have a dream of fulfilling wishes and one’s individual aspiration should be likened to the whole nation’s rejuvenation. Thus “my dream is part of the Chinese Dream.” More interesting are the alluded boasting Kua Fu and Nv Wa who are both legendary figures in traditional Chinese culture associated with a type of dream or wish. The former runs after the sun hoping to chase it while the latter is imagined to patch up the sky. It is all dreaming and wishful thinking here when a child is seen running in fields of hope. One can hardly see the connection between the kid’s dress and hairstyle and the connotation of the Chinese Dream. The imposition of unrealistic distance through propaganda separates the poster’s narration from contemporary Chinese real experiences.



3



4

What follows is a poster in which the Chinese Dream is associated with both luck and auspiciousness. In traditional Chinese culture, a rooster is a symbol of a lucky star, for it crows at dawn marking the beginning of a new day (pic. 4). Here in the poster is a rooster standing amid flowers clapping its wings. It assumes a very conspicuous posture by turning its head and crows a bright morning. The short

Chinese poem on the left above reads: “A stage dressed in flowers/ shining with colors and beauty at dawn. / Golden roosters sing songs of luck,/ And Chinese Dream spawns sea-like springs.” Implicitly, the nation is too emotionally seduced into assuming that claims for luck and auspiciousness are narratives of truth. Not only does the Chinese Dream become attributes of collectives, but such attributes are also ideologically focused, encouraging the common Chinese to pursue their dreams.

Luck and happiness are two important themes that most common Chinese would pursue in their life. It is very common for the Chinese to sacralize both animals and plants for auspiciousness, for example,” Jin ji bao xiao” (A rooster crows at daybreak) and “niannian you yu” (having more than sufficient every year). The former implies the end of darkness and the latter is typical of a homophonic expression in which “Yu” (余) corresponds with “fish”(鱼) in sound. The next poster carries a didactic notion of thrift which means those who know how to save what owned can have more than sufficient every year (pic. 5). By associating a virtue of thrift with the Chinese Dream, the Chinese government is actually making use of its political discourse to call on its people to be thrifty when they are striving for riches.



5



6

What follows is titled “Our good days are of the Chinese Dream” (pic. 6), exhibiting a portrayal of a 3-generation traditional Chinese family in which every member is neatly and decently dressed, enjoying a harmonious family life. It challenges the orthodox ideology of family planning which advocates one couple one child. The couple in the image has two kids, not only uttering a wish that a happy family should have two kids instead of one, but also subverting the Chinese policy of family planning. It may imply that the one-child family policy won’t

generate good days nowadays. Again, it is a propaganda piece that exhibits a curious flatness reducing subtlety of the mission of the Chinese Dream.

Chinese Dream is also associated with traditional Chinese “Double Red Happiness” (pic. 7), a very auspicious sign of common Chinese life. It usually appears in Chinese weddings but in the poster here, there is an embodied message which implies that the Chinese Dream can brighten the Chinese who will live happily in sunshine. Obviously the title of the poster “Chinese Dream and Chinese Happiness” attempts to offer a view of Chinese who are aspiring for a better life. In a similar vein, the poster carries a narrative distance that superficially sings alongside propaganda and advocacy without touching on the deep side of the Chinese Dream. The values it suggests are not those that contemporary Chinese have to reclaim. We can discern here two narrative logics at odds with each other: the implied linearity and embodied basis of political history in China and the government’s intention to fulfill the Chinese Dream.



7



8

Here are three posters that deal with a theme of labor and success. The first proposes hard-earned grain resulting from hard work and perspiration. It corresponds with the old saying “One Drop of Sweat Is One Crust of Bread” that is often used to teach children to eat up the food in a bowl (pic. 8). Nowadays, its notion has been expanded carrying an idea of respecting labor. In Chinese education, the saying emphasizes a cultivation of virtue and value. In a similar vein, the poster titled “Hard Work for a Bumper Harvest” also offers instruction on the significance of labor (pic. 9), reminding us of an old proverb “No pains no gains.” Only those who work hard can reap a bumper harvest. A young couple in the poster “Hard Workers Are More Auspicious” suggests various achievements of labor, including love (pic.10). The emotionally charged scene is quite romantic, but

unrealistic, reminding us of China's agrarian life in the past. The narrative elements in the poster imply more than what is visible in it.

讲文明树新风 公益广告

中国精神 中国形象 中国风格 中国表达

讲文明树新风 公益广告

中国精神 中国形象 中国风格 中国表达

辛勤 换来五谷丰登



中国网络电视台制 广东厦门 伍国辉作

9

勤劳人 吉祥多



中国网络电视台制 广东厦门 黄伟平作

10

While transmitting the concept of Chinese Dream the government's propaganda workers have tried to secularize its high sounding ideology by turning to traditional Chinese culture and life philosophy and reinterpreting old sayings and proverbs. More often than not, they would rationalize their efforts even though they are actually imposing an idea on the people. In usual practice, they would draw close to rural life searching for an agrarian experience of peace and harmony. In doing so, they hope to connect their lofty ideals with common people's real life so that the latter would love to see and hear. What follows is again a case in point. The designer of the poster tries to highlight the continuity of Chinese civilization. Here we can see a large broken trunk and a man riding a horse towards it, both are symbolic (pic. 11). The trunk is deeply rooted at the top of a hill indicating its long tradition and culture, thick and solid. The twigs and branches growing out of the trunk imply a new life. The horse rider in the scene indicates a long journey ahead, promising and worth pursuing. It not only reminds us of China's glorious past but

讲文明树新风 公益广告

中国精神 中国形象 中国风格 中国表达

讲文明树新风 公益广告

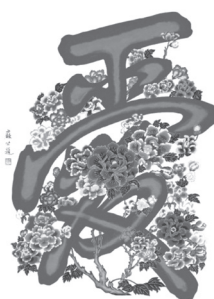
中国精神 中国形象 中国风格 中国表达

中华文明 生生不息



中国网络电视台制 上海申字田网络传媒有限公司

11



中国网络电视台制 河北蔚县 王文林剪纸

12

also warns us that this great civilization once suffered a lot and got ruined but has survived from devastation and is now thriving again. Once more, such an image is implying part of the Chinese Dream. Only realizing this, it contends, can we move ahead and fulfill our best wishes and regain glory. The trunk, emblematic of Chinese history, has survived its misery and is now putting forth new leaves.

Besides, great ancient Chinese philosophers are referred to as is indicated in the following poster which quotes from Mencius who maintains that those who love others are loved themselves (pic. 12). It decorates the word love with colorful flowers to aggrandize the notion of love, suggesting that Chinese Dream carries concerns of love.

Very natural then is the association between Chinese Dream and the so-called socialist essential views of value in 24 characters: “Wealth (Fu yu), democracy (min zhu), civilization (wen ming), harmony (he xie), liberty (zi you), equality (ping deng), fairness (gong zheng), legality (fa zhi), patriotism (ai guo), dedication (jing ye), credibility (cheng xin) and kindness (you shan).” Here are three of them (pic. 13, 14, 15). The left one is a miniature of pre-modern Chinese life in which we can see a few qualities that ancient Chinese merit highly. Listed in the poster are “hard work,” “reading books” (education), “credibility” and “orphanage care” (perhaps similar to philanthropy in Chinese culture). The vivid scenes exhibit a harmonious life that contemporary Chinese cherish of their ancestors in an agrarian society. Isn’t that nostalgic? In contrast to this is the right picture of modern Chinese life, another version of the Chinese socialist essential views of value. In it we see a touching scene in which two students are helping a granny to cross a street in rain. This is also a typical Chinese version of respecting the elderly. To respect the old will reap happiness, implies the poster. The right poster looks a bit odd in post modern China today. Unexceptionally, its designer turns to traditional Chinese



13



14



15

culture of immortals for longevity, calling for a long and better life. This Taoist view of pursuing a long life is popular among common Chinese people.

To conclude, Chinese government knows well how to express Chinese culture and its ethos. The image of China and its expression is used to explain Chinese Dream. Each carries some didactic features and renders an interpretation of dream objectives. We can read an expression of Chinese spirit and culture including its traumatic history, and images of China intended by the Chinese government. Here we also get at least partially a view of the Chinese Dream that is oriented to promote civilization and set up new ethos, to cultivate Chinese society, upgrade Chinese social behaviors to meet the needs of globalization. While we are fully dedicated to the dream fulfilling campaign, we may pause to ponder what to do next. Can we say that China's successes mean Xi's "China dream" has been achieved? The whole story is, in fact, a process, and Xi and the party face several additional dilemmas that have their roots in both the deep past and the immediate present. Think of them, Chinese style, as China's "Four Basic Questions." How the current group of leaders answers them will not be the end of the story, but may give us an indication of where China today is headed: (1) How to rule a large country with a large population from a single place; (2) How to make China great again; (3) How to transform China; (4) How to deal with the outside world.

Observed from such a perspective, these posters seem to be quite narrow-minded, for they only focus on a one-sided intention to transmit a government's propaganda ideology without attending a much more complicated and diversified context. What goes behind these posters merely follows half of Chairman Mao's principle of constructing a socialist culture: "make foreign things serve China and make the past serve the present." But none of them examine how to make foreign things serve China. Talking about Chinese Dream in the context of globalization, one cannot ignore the tendencies of rising interaction among nations. How can China rejuvenate itself alone today? What possible foreign things can contribute to the Chinese Dream should be considered. Also, China's development relies on an environment of world peace and support of other nations in both material and spiritual ways. Thus China should share its dream with the rest of the world, as it is the time-honored consensus among its 1.3 billion people that "the interests to be considered should be the interest of all, and the fame to be sought should be the kind that could go down in history." At a recent speech in Moscow, President Xi said the Chinese Dream "will not only benefit the Chinese people but will benefit the people of the whole world."

Also, amazingly naïve for the poster designers as indicated in these

propaganda ads, few of them are actually addressing contemporary Chinese activities. Perhaps they are deeply immersed in the Chinese past or emphasize too much Chairman Mao's principle of "making the past serve the present." But how can we only draw references from the past and decontextualize China's traditional rural life when we are talking about Chinese Dream at an age of hi-tech and globalization in the 21st century? It is even a bit farcical to see these images so largely dehistoricized. China has a long history of agrarian civilization but it does not mean it is perfect and contemporary Chinese have to copy when they are trying to realize their dream. There has been a huge discrepancy between an image in the poster ads and what is going on in reality in China. In reality today, China is undergoing swift urbanization but none of them have ever implied it. Isn't it an eyesore to catch sight of these remote and archaic images at roadside walls or in public squares in contemporary urban China? Obviously, the government uses poster images to explicate its dream ideology creating different dream narratives drawing on traditional Chinese culture. Thus posters serve as agents of diffusion for Chinese Dream. The underlying idea of these posters is to view the Chinese Dream as tied to the Chinese cultural tradition without referring to urban experience, generating a huge discrepancy between Chinese reality and imaginary objectives pertaining to the concept of Chinese Dream. Given the social stratification that reigns in today's China, these dream images are not emphasizing China's ongoing rapid social and economic development in process. Instead, they are too idealistic and far fetched both idealizing their agrarian tradition and hoping to turn to the past for spiritual nourishment. Unavoidably, they are blind to social realities offering a highly distorted picture of what is of actuality in contemporary China. How to face reality and capture important aspects of China today is still a more demanding task than pure description rooted in mere imagination. Although China never became an independent industrial producer, it is strongly integrated in the global marketplace in large part through contemporary technologies that facilitate actual and virtual journeys. Nowadays, air travel, urban subway system, high speed railways, automobiles, satellite dishes, television, telephones, mobile phones, and the Internet are actively performing in daily life, but disappear in the dream posters.

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Langston Hughes' s Visit to China: Its Facts and Impacts

Luo Lianggong

Abstract: This article presents a historical outline of Langston Hughes's only visit to China in 1933, re-examines some important facts including Hughes's meeting with Lu Xun, and corrects some inaccurate account in Hughes's autobiography *I Wonder as I Wander*. Furthermore, this article explores the significance of Hughes's visit to China for Chinese intellectual circles, and the impact of this visit upon Hughes himself as a writer and thinker. It is probable that Hughes's visit demonstrates his favorable views on Marxism and contributes to his using China metonymically as a strategy of political expression.

Key words: Langston Hughes; China; Lu Xun; Hughes scholarship in China; world view; political expression

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标题：兰斯顿·休斯的中国行：史实与影响

内容提要：美国非裔诗人兰斯顿·休斯于1933年访问了中国，这是他毕生唯一的一次中国之行。本文对休斯的中国之行进行了历史梳理，重新考察了鲁迅会见休斯等重要史实，纠正了休斯的自传《我漫游，我求索》中关于这次中国之行的几处不准确记述。在此基础上，本文还讨论了休斯的中国之行对中国知识界的意义以及对他本人的创作和思想的影响。本文认为，休斯的中国之行反映了他对马克思主义的积极态度，也为他后来在文学创作中将中国作为转喻进行政治表达的策略奠定了基础。

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Langston Hughes (1902-1967) was always on the move in his lifetime, from his childhood to adulthood. As a writer and thinker, Hughes traveled extensively to enlarge his spiritual and artistic growth, a fact noted by many scholars. However, there is still much space for a reevaluation of Hughes's travels such as his 1933 visit to China. Hughes visited China once in July 1933 on his journey back to San Francisco from Moscow after his one-year visit in the USSR. Though he stayed in Shanghai and Nanjing just for less than 3 weeks, the visit has great impact not only upon Langston Hughes as a social writer but also upon Chinese scholarship on Hughes himself. While some scholars focus more on Hughes's travel to the USSR, some Chinese scholars still argue over whether Hughes met Lu Xun or not during his 1933 trip to Shanghai. The argument has contributed to the popularity of Hughes in China. Thus this article is intended to clarify some historical facts concerned with Hughes's trip to China and explore the impact of his visit to Chinese scholarship and upon his own thoughts and literary creation.

1. Hughes's Trip to China

Langston Hughes's 1933 trip to China was obviously personal, or in his own words, "to circle the globe" (212) by going back the United States via the Orient. This is probably because of two reasons. First, his "wonderlust," as Amiri Baraka put it (Hughes, Back cover), drove him to choose a route of going home different from that of his coming so as to see China and its Beijing, "the ancient city I had never dreamed" (213). Hughes used funds earned by writing in Russia to pay for the trip (213). The second reason may lie in his contact with Sylvia (Si-Lan) Chen, a woman dancer Hughes acclaimed that he "was in love with" in the winter of 1932 when he stayed in Moscow. Sylvia Chen was the daughter of Eugene Chen, the former Trinidad merchant and lawyer who had given his early savings to the founding of the Republic of China and had been Minister of Foreign Relations in the Kuomintang (Nationalist) Government. He was a pro-Soviet and pro-Communist Kuomintang Leftist and in 1927, together with Madame Sun Yat-Sen (Song Qingling), openly denounced Chiang Kai-Shek for Chiang's purging

Communists, which put Eugene Chen and his family in so much danger that they fled to the Soviet Union in two groups — his two sons (Percy and Jack) together with the Soviet adviser Mikhail Markovich Borodin (1884-1951) by train via the Gobi Desert in Northwestern China to Russia, and him and his two daughters (Si-Lan and Yolanda) together with Madame Sun Yat-sen by sea to Moscow. When Hughes was in Moscow, Si-Lan usually visited him or invited him to her apartment, treating him with tea and tales about her family, as remembered by Hughes:

Si-Lan Chen [...] had been a winter's delight in Moscow, serving me tea and cakes in her lovely room overlooking the Bolshoi Square on snowy afternoon, and telling me dramatic tales of the Chinese Revolution and the family flight over the Gobi Desert into Turkestan when the counter-revolution took over. (256)

These tales, for Hughes, are not just the Chen family stories but also stories about Chinese politics, and seem to be of remarkable interest for Hughes, who turned to pro-communism in the early 1930s and began hailing the Soviet Union as a good example of social organization for other countries. This is why Hughes requested an interview with Madame Sun Yat Sen (Hughes 255) when newly arriving in Shanghai and attended gatherings with Chinese leftist writers in Shanghai.

In the last months of his one-year stay in the Soviet Union, firstly as a member of an artist group to make a movie and then a tourist after the collapse of the movie project, Hughes decided to go back to the United States via China. According to *I Wonder as I Wander*, Hughes spent three months arranging his journey back to the States via China and Japan by travelling by train via Siberia and then Beijing to Shanghai, where he would take a voyage to Japan and then to the United States. But a couple of weeks before his departure, he learned that the Japanese had cut the Chinese Eastern Railway line at the Siberian border and that he had to change his itinerary for a trip to China via Vladivostok in the USSR's Far East and then Japan (226). When it was spring in Moscow, Hughes left for the Far East by way of the *Orient Express*, the Trans-Siberian train to Vladivostok. The next day, he took a ship for Japan, via Korea, where he stayed for one day in a little town named Seishin. He arrived on an afternoon of June at Tsuruga on the western coast of Honsu, Japan's main island. In Japan he visited Kyoto and Tokyo, where he stayed for about two weeks before he boarded a ship for Shanghai on June 30, 1933, according to Rampersad (272, 273).

Hughes arrived in Shanghai at the very beginning of July 1933, getting off the

ship at the Bund and checked in at a little Chinese-owned but European-style hotel in the International Settlement, thus beginning his nearly 3-week stay in China. In one of the first days he requested an interview with Madame Sun Yat-Sen, or Song Qingling, then chief of the Chinese Civil Rights Defense League, an anti-Chiang Kai-shek left-wing organization with Lu Xun as executive director of its Shanghai Branch, and was invited to a private banquet given by the latter on July 5. During his stay in Shanghai, he visited many places in this city, such as the factories with boy slaves, relics of Chapei (Zhabei) bombed by Japanese army in the late January 1932, slums outside the International Settlement, as well as what he said he saw, "from the Bund to Bubbling Well Road and the race tracks and outlying districts, the theaters, amusement parks, and the Canidrome Gardens where the best American jazz band in the Orient was playing" (251). He met Agnes Smedley¹, though he did not mention it in his autobiography. He also declared that he met Lun Xun at a private banquet. On July 13, he had a meeting with a group of Chinese journalists and writers. In the following days, he traveled to Nanjing by train and visited Sun Yat Sen's Tomb in the Purple Mountain, the Nanjing Circumvallation or the city wall built about 500 years ago in Ming Dynasty. From Nanjing he wished to go to Beijing. That was not possible due to the Japanese armies, so he returned to Shanghai with his money running low. He bought a ticket on the *Taiyo Maru* sailing via Yokahama for San Francisco. Just after the mid-July he went onboard for his return journey, and on July 22 he arrives in Japan's Kobe and the next day Yokohama, from where he sailed off for the States on July 26. But in the interval when the ship was in port, he went to Tokyo, and was questioned by Japanese police there for his supposedly dangerous thoughts and deeds in China and Japan.

One of the cases the Japanese police questioned him about was, besides his meeting with Madame Sun Yat Sen, his meeting with Chinese writers and journalists on the afternoon of July 13. This meeting was co-hosted by the magazines of *Literature* (1933-37) and *Les Contemporains* (1932-35), Chinese News Agency and other non-governmental organizations in the office of Chinese News Agency, but actually was organized by the Chinese League of Left-Wing Writers (1930-1936), according to Huang Yuan.² *Literature* was initiated by Zheng Zhenduo and Mao Dun (Shen Yanbing), two communist party members, and thus served in some sense as the mouthpiece of the Left-Wing Writers League when its

1 Agnes Smedley, "Letter to Aino Taylor" (July 26, 1943), July 1, 2010 <<http://www.spartacus.schoolnet.co.uk/USAlangston.html>>.

2 See Huang Yuan, Chapter 6, *Huang Yuan's Memoirs (Huang Yuan Huiyi Lu)* (Hangzhou: Zhejiang People's Publishing House, 2001).

Fiction Monthly dissolved due to the 1932 Japanese bombing and Kuomintang's political pressure. *Les Contemporains* was politically neutral. Little was known about how this meeting was initiated, but it probably had much to do with Madame Sun, who was closely connected with the Chinese League of Left-Wing Writers and the pro-communist American journalist Harold Isaacs who hosted Hughes in Shanghai. Lou Shiyl of Chinese League of Left-Wing Writers was the liaison for the July 13 meeting with Hughes and chaired the meeting, and Yao Ke served as interpreter as he had the previous week at Madame Sun's banquet for Hughes. This meeting was attended by about 10 people, including Lou and Yao, Fu Donghua, Chief-Editor of *Literature*, Huang Yuan, assistant editor of *Literature*, Shi Zhecun, Chief Editor of *Les Contemporains*, Harold Robert Isaacs (1910-1986), executive director of the Chinese Civil Rights Defense League, and probably Xia Zhengnong, a member of the League of Left-Wing Writers and a contributor to *Literature*, who co-translated Hughes's first novel *Not Without Laughter* (1936) and might be the translator Hughes thought he met then in *I Wonder as I Wander* (256).

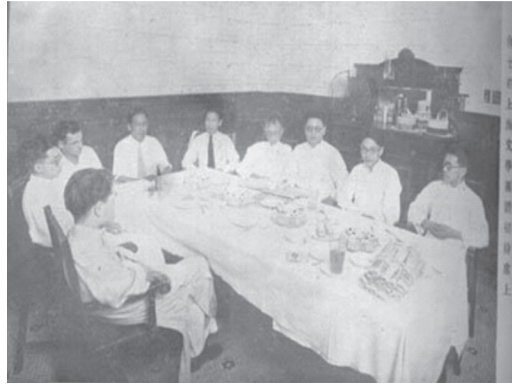
This meeting centered mainly around Hughes's literary and life experiences in the United States and the Soviet Union. There are five major questions raised on behalf of the group and Hughes gave his answer and comment one by one. The five questions are:

- (1) How do you think of the influence of the 2nd Five-year Plan of the USSR on its culture?
- (2) There are currently two literary schools — socialist realism and revolutionary romanticism — co-existing in the USSR. How do you understand their theory and practice?
- (3) What is the status quo of the USSR movie?
- (4) Please make a general introduction to American Negro Literature.
- (5) How do you think of the proletarian literature develops in the capitalist America? (Wu 257-258).

All the questions and answers are preserved in Fu Donghua's article entitled "Langston Hughes in China," which was published, in his pen name of Wu Shi, in *Literature* 1.2 (1933). The same issue of this journal carries Wu Shi's translation of Hughes's "People without Shoes," Hughes's signature and two photos, one being his portrait sitting in a chair and the other being of the group attending this meeting with Hughes sitting beside Harold Isaacs. Thus this issue makes a great documentary of Hughes's visit to China.



Pic 1 Hughes in Shanghai



Pic 2 Hughes meeting Chinese writers and journalists in Shanghai, July 13, 1933.

2. Controversy over Lu Xun's Meeting Hughes

What was unknown to Hughes when he sailed back for America is that he left behind a controversy over whether he met Lu Xun or not during his visit to China. Lu Xun was regarded as a flag of Chinese left-wing literature in the 1930s and his presence at or absence from the Hughes reception could be of great social and political significance. The controversy, unsolved until the beginning of the 21st century, was first presented by Fu Donghua's article "Langston Hughes in China" between him and Lu Xun, and then involved more writers and intellectuals of the coming generations. In this article published in *Literature*, Fu's opening paragraph compared the reception of Hughes and that of George Bernard Shaw who visited Shanghai in February 1933:

Langston Hughes, an American negro writer, came to China in early July after his trip to the Soviet Union. His reception can never match that of George Bernard Shaw, for there were no welcoming groups waiting at the wharf or any newspaper reporting his coming. The reason is simple enough. Mr. Shaw is celebrity and deserves our celebrities at the reception. Only because of the celebrity for celebrity practice did it make a rare chance of having Lu Xun and Dr. Mei Lanfang gathering together. Unfortunately, Langston Hughes is not that kind of celebrity for our celebrities, and, what is worse, there is a scruple about the color line. (254)

This really enraged Lu Xun, and he wrote a letter on July 29 to the editorial office of *Literature*, complaining sardonically that:

I was invited to attend the reception of Shaw last time. But as to the reception of Langston Hughes, I had not received any information and knew nothing about this event, so how could I attend it? Even if I had been invited, there must be some reason for my absence. It is advisable that he should make some investigation before criticizing me and [...] making a hasty judgment that I look down upon negroes. [...] I don't believe I am so mean and snobbish. (498)

Lu Xun, in this letter, confirmed his absence because of having not been invited, but neither claimed nor denied his meeting with Hughes on another occasion. This leaves the controversy in suspension, and, with the greater influence of *Literature*, it prevailed for quite a long time.

For Chinese writers in the 1930s, it was hard to ask for confirmation over such triviality from other people who might have some information, for Lu Xun, like many other leftists, was under close surveillance by Kuomintang and Japanese spies; or to request Hughes himself for help, not alone reading his autobiography *I Wonder as I Wander*, which was published until 1956. In fact, though Hughes in his autobiography did write of his meeting with Lu Xun — “At a private gathering one evening I met the elderly Lu Hsin [Lu Xun], then under a cloud for his ‘dangerous thoughts’ but nevertheless one of the most revered writers and scholars in China” (256), he did not mention its time or place or witness, so it is still hard to conclude that the two great writers met in 1933. But Hughes is historically right in his observation of Lu Xun who, as a leftist and executive director of the Chinese Civil Rights Defense League, was really under a cloud for his thoughts dangerous for Kuomintang and was faced with a serious threat when his comrade in the League, Yang Xinfo, was murdered by Kuomintang the previous month. This might also be the reason why he, as a leading writer of the League of Chinese Left-Wing Writers, was not invited to the open Hughes reception.

Some Chinese scholars, like Shen Pengnian, tend to believe Lu Xun met Hughes at Madame Sun Yat Sen's banquet for Hughes. Shen is a well-known Lu Xun scholar in China and was an important figure in preparing for the movie *The Life of Lu Xun*, a project proposed by Premiere Zhou Enlai in 1960. Doing research for the film, Shen together with his colleagues of the Lu Xun documents section interviewed over 400 people under the leadership of Ye Yiqun, who, as a member of the then underground Communist Party, worked with Lu Xun in the 1930s without knowledge about Lu Xun's meeting with Hughes. So he asked Shen to take advantage of the interview to draw a conclusion about this long-pending riddle.

So Shen tried to seek for help from Liao Mengxing, daughter of Liao Zhongkai — a founding father of Kuomintang — and assistant to Madame Sun in the 1930s, by requesting her to make a confirmation from Madame Sun Yat Sen, then Vice Chairperson of China, and Yao Yao, daughter of Yao Ke, the interpreter at Madame Sun's banquet for Hughes, hoping to get some words from her father. On April 18, 1960, Shen listened to Liao repeating Madame Sun's words in Beijing as below:

It was Harold Isaacs, the American, who took charge of hosting Langston Hughes. Hughes had requested a meeting with me and Lu Xun, and I agreed. As to Lu Xun, I asked Isaacs to contact him for they were acquainted with each other. It was not convenient to host a meeting with Hughes in a public place, since there was a white terror then with Yang Xingfo murdered shortly before. So we chose to meet at Isaacs's home — it was comparatively safe. I ordered some traditional Chinese dishes with a restaurant to be taken there for a banquet to receive Hughes. We ate and talked, largely in a polite way. I don't remember the exact date. (Shen, Web)

Half a year later, Shen also heard from Yao Yao about this banquet, which was retold by He Lu, a movie director and Yao Yao's stepfather:

Yao Ke served for twice as interpreter for Hughes. The first time took place at Harold Isaacs's home, where Song Qingling offered a banquet for Hughes. Mr. Lu Xun was there. There were five or six people altogether, including Hughes, Mr. and Mrs. Isaacs, Song Qingling, and Lu Xun. They talked little, and mostly about the translation of Chinese dishes. The second time was at Hughes's meeting with Chinese writers and journalists.... It was many year ago and he could remember little about the details. (Shen, Web)

These two pieces of information were somehow not included in the 5-volume interviews for the preparation of *The Life of Lu Xun*, and thus reliability was an issue for such scholars as Chen Shuyu and Chen Fukang. But scholars like Li Yong refuted Chen's arguments and defended Shen's arguments as well as his personality.¹

To a great extent, Shen Pengnian may be close to the truth. Firstly it was not wise to invent some lies about a nearly hallowed Lu Xun or a political figure like

1 See Li Yong, "Tang Tao: His Character in Life and Art" (*Tang Tao de Renpin yu Wenpin*), *Shanxi Literature (Shanxi Wenxue)* 12 (2006): 70-75.

Madame Sun who was then Vice Chairperson of China in China. Secondly, whether Lu Xun met Hughes would cause no harm to Lu Xun's image in Chinese culture and politics, so there is no meaning to take a political risk in inventing such details. What is most important, there are so many details in both Madame Sun's and Yao's accounts that are in conformity with each other and with Lu Xun's diary, as noticed by Shen: "July 5, 1933. Evening. Mr. Harold Isaacs invited me to his home for dinner, together with other 5 people" (qtd in Shen, Web)¹. In the short sentence, typical of Lu Xun's style and especially good for security in the treacherous 1930s, Lu Xun somehow provided evidence about when, where and who for this banquet. These facts are also in conformity with Hughes's own memory about this event. Hughes did present a detailed description of this private gathering:

Madame Sun Yat Sen [...] invited me to dinner at her home in the French Concession. A daughter of the wealthy Soong family, she had educated in the United States, and spoke beautiful English. Dinner that night was a traditional Chinese banquet with intriguing dishes from bird's nest soup to "thousand-year-old" eggs. I found Madame Sun as lovely to look at as her pictures, with jet-black hair, soft, luminous eyes and a complexion of delicate amber. She asked me for news of the Chen children in Moscow — Percy, Yolanda, Jack and Si-Lan (Sylvia) [...]. ((255-256)

There are obviously many details shared in all the sources. It was Hughes who first requested an interview with Madame Sun as both Madame Sun and Hughes mentioned; it was Chinese dishes ordered as remembered by Madame Sun and Hughes and suggested by Yao Ke by mentioning the talk about how to translate Chinese food, and served for an evening dinner as all agreed on. For the three Chinese witnesses, both Lu Xun and Hughes were at the banquet, which helps to lead to a conclusion that Hughes's meeting with Madame Sun and with Lu Xun as in his seemingly irrelevant account coincide in time and place. That is to say, Hughes met Lu Xun at Madame Sun's banquet on July 5. Then the only difference between the three Chinese witnesses and Hughes himself lies in "where." Hughes believed it was at Madame Sun's home in the French Concession while the Chinese witnesses thought it was at Isaacs's home. In fact, both their homes were in the French Concession and Hughes probably mistook Isaacs's home for Madame Sun's because of his strangeness to this city or his confusion over Madame Sun's hosting the reception at Isaacs's home.

1 See Lu Xun, *Diaries of Lu Xun* (Beijing: People's Literature Publishing House, 2006).

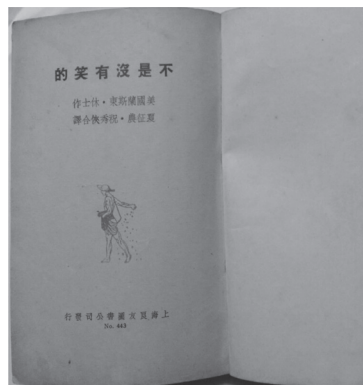
The meeting between Lu Xun and Langston Hughes is not of so much literary or historical meaning as its symbolic meaning. The controversy over the meeting between Lu Xun and Hughes has objectively contributed to the popularity of Hughes in Chinese intellectual circles. But breaking the riddle about this meeting is still helpful for clarifying the history of Hughes's only visit to China.

3. Hughes's Visit: An Impact on China

Langston Hughes's visit to China was a personal experience, but also a case of cultural and literary exchange, and thus is significant in different ways. In fact, it has remarkable impact on contemporary thinking about Chinese intellectual circles.

Firstly, Hughes's visit to China is objectively a self-demonstration, and has promoted a boom of introducing and translating Langston Hughes in China, laying a solid foundation for the research on him since the 1980s. Based on the interview with Hughes on July 13, 1933, Fu Donghua, under the pen name of Wu Shi, published in *Literature* 1.2 (1933) an article entitled "Langston Hughes in China" as part of a special column on Hughes. This article is the first devoted to a comprehensive introduction to Hughes ever published in China. This article uses more than 3 pages to introduce Hughes's literary career, works and features, believing that — (1) Hughes was almost among the first-class writers with *The Weary Blues*; (2) the publication of *Not Without Laughter* was a great event in American literature; (3) Hughes had already got rid of his idealistic dream and become a realist; (4) Hughes was a "revolutionary artist" (254-257). Some of the ideas are justified even in the 21st-century. This article provided Chinese intellectuals with a shortcut to this African American writer. In this special column, Fu Donghua's translation of Hughes's "People Without Shoes" — published also under the pen name of Wu Shi — helps to demonstrate Hughes's social engagement in his creation, while two pictures of Hughes and his signature present an immediate impression of Hughes. In the following issue of this magazine, Lu Xun's letter complaining of Fu Donghua's blaming him for absence from the July 13 reception, together with Fu's apology to Lu Xun and a reply to Lu Xun in the name of the editorial board are carried together, which, by linking together Hughes and Lu Xun, contributes a lot to expose Hughes's name to the intellectual circle. The same issue carries an article entitled "Langston Hughes in the Soviet Union," summarizing Hughes's experience in the USSR. In the following years more poems and stories by Hughes were translated into Chinese. Three poems — "Black Gal," "Sharecropper," and "October 16" — were published as part of a special column for African American poetry, entitled "Black Wreath" in *Literature* 2.5 (1934);

Shanghai Liang You (Good Friends) Press published Hughes's first novel *Not Without Laughter* co-translated by Xia Zhengnong and Zhu Xiuxia in 1936; Yang Ren published his *Selected Poems by Negro Poets* at Li Ming (Dawn) Bookstore in 1937, including several poems by Hughes; Yuan Shuipai translated and published two poems by Hughes in *Literature Monthly* 3 (1941) and 9 Hughes's poems as part of his edited book of Hughes's poetry named *A New Song*, published by Chen Guang (Morning Sunshine) Press in 1953; Zou Jiang translated and published a book entitled *Selected Poems by Negro Poets* in 1952, including some by Hughes; in 1957, another book came out entitled *Selected Poems by Negro Poets* (Writers' Publishing House) translated by Zhang Qi. In 1957, Shi Xianrong, a writer and translator who was believed to have met Hughes in Shanghai, published his two translated books: *Selected Short Stories by Negro Writers* (Shanghai: New Literature and Art Press), including Hughes's "Father and Son," "Home," and "A Friday Morning," all selected from Hughes's Moscow-based writings, *The Ways of White Folks*, (1933); *Selected Poems of Negro Poets* (Beijing: People's Literature Press), including Hughes "Brass Spittoons," "Songs to the Dark Virgin," "Let America Be America Again," "Negro Speaks of Rivers," and "I Too." All these translated works have made Hughes the best known African American writer in China, and also one of the most studied African American writers in Chinese scholarship since the 1980s.¹



Pics 3-4 *Not Without Laughter* translated by Xia Zhengnong and Zhu Xiuxia, 1936

Secondly, Hughes's visit to China also stimulated Chinese intellectuals' interest in African American literature. In the issue of *Literature* following Hughes's visit, poems by other African American poets were translated and published together with

1 See Luo Lianggong, "From Monologue to Dialogue: Langston Hughes Study in China since 1978," *World Literature Criticism* 1(2010): 93-98.

Hughes's, including Claude McKay and Frances S. Harper. In the special columns and books mentioned in the previous paragraph, more African American writers are included such as George Moses Horton, James M. Whitfield, Paul Lawrence Dunbar, Fenton Johnson, Countee Cullen, Jean Toomer, Sterling Brown, Melvin Tolson, Robert Hayden, etc. Though in all the books and special columns Hughes's works form the major part, they in total present a synopsis of African American literature and allow Chinese people to see another aspect of American literature.

Hughes's visit to China also promoted Chinese intellectuals' identification with Hughes and African American literature. Hughes visited China just at the time Chinese left-wing writers were fighting against imperialism and capitalism for liberation of the people. On the one hand, Hughes was viewed by Chinese writers as a warrior against imperialism, capitalism and racism for his people, and thus an authoritative example for Chinese leftist writers. Fu Donghua said when making a comment upon Hughes, "This warrior who is fighting for the people at the bottom of society deserves our knowing" (Wu Shi 254). Fu and other Chinese intellectuals chose to translate the poems by Hughes and other African American writers that are comparatively militant and critical against exploitation and oppression, intending to borrow strength from them to solve Chinese problems in reality. Thus the Chinese intellectuals accepted or at least shared Hughes's literary view of literature for social change. What is more, both Hughes and Chinese leftist writers viewed the Soviet Union as their example and source of power, as demonstrated in the questions the Chinese writers raised to Hughes on July 13. In this sense, Hughes and African American writers were viewed as comrades in a common cause of liberating the working people and their nation from enslavement to imperialism, capitalism and feudalism or racism.

Hughes's visit also provided a chance for Chinese intellectuals to see how to deal with European and American mainstream literature in forging a new Chinese literature. From the May 4, 1919, Movement to the 1930s, these intellectuals experienced a radical literary transformation. They learned techniques from western literature and modified classical Chinese tradition based on their understanding of and attitudes toward Chinese society. In the 1930s when China was faced with the threats of invasion and colonization, there were different tendencies in the circle of intellectuals in advocating literature of different kinds such as western-style modernism, Chinese-style modernism, National Defense literature, and genteel literature. When learning from western literature, some intellectuals concentrated on mainstream literature or elitist literature. For example, Shao Xunmei, a scholar well known in the 1930s, focused more on white American

literature while depreciating African American literature by saying that the Negro literature would never go beyond the English circle. Hughes's visit to China, which demonstrates a rhetorical compensation to George Bernard Shaw's visit just five months earlier, not only drew Chinese intellectuals' attention to his and other African American writers, a different aspect of the western literature, but also proved that these works created by him and African American writers were accepted and acceptable beyond his own nation. Their black vernacular, black poetic form and idea of literature for social change were all accepted as both artistic and social advantages by many Chinese intellectuals. Thus 15 months after his visit to China, Lu Xun wrote, by referring ironically to Shao Xunmei, that "even the negro poetry has gone beyond the English circle" (215).

4. Impact of the China Visit on Hughes

For Langston Hughes, his visit to China was not just a tour for pleasure but a journey of discovery. This experience broadened his social horizon and recast his mind, which eventually led to his further progress as a writer and thinker.

Undoubtedly Hughes's trip to China reshaped his understanding about racism. As an acknowledged spokesman of African American people, Hughes was wholly devoted to examination of and criticism against racism. Even in his only visit to the distant ancient China, he could not escape racism. Just as he observed,

At this Chinese YMCA, I might have rented a room — but I could not stay at the "white" YMCA in another section of the city. There only white Americans and Europeans could secure accommodations. And none of the leading hotels in the International Settlement accepted the Asiatic or negro guests. The British and French clubs, of course, excluded Orientals. I was constantly amazed in Shanghai at the impudence of white foreigners in drawing a color line against Chinese in *China itself*. (248-249)

It seems for Hughes that racism was everywhere, but outside the International Settlement there was no color-line at all. Obviously Hughes noticed that the color-line was drawn by no other than white foreigners and was used against Chinese and other colored people in China or outside the white countries. Hughes seemed to have found a secret of the white people — conspiracy of racism and imperialism. Racism helps distinguishing the white from the colored, and also the rich and the powerful from the poor and the powerless as suggested by the racism practiced institutionally by the leading hotels.

Furthermore, he also noticed that, “[A]s everywhere in the world, there were white people in China who did not approve of color lines. Such people included the two gentle American women on the staff of the Shanghai Y.W.C.A. who took me one day to see the children workers in a large textile factory” (249). So race or color is not necessarily what distinguishes the oppressing and the oppressed, or the noble and the humble. He made more observations in Shanghai in seeking of the answer. For example, he found that “Children were prostituted quite openly. Adult prostitution was everywhere [...]. Women of all nationalities from White Russians to Japanese, French, English, or Chinese, were easily available” (249). Here what the sexual and/or economic exploitation of women of different colors demonstrates is an issue not concerned with race or color but with social class opposition and capitalism. Hughes seemed to realize that capitalism instead of racism is the very problem that caused social class opposition in every race or every nation, and being of the same race does not mean freedom from exploitation or oppression.

This observation in China actually presents a contradiction with what he said, though more or less out of occasional politeness, at a tea ceremony in Japan together with officials from American Embassy: many black American people sympathized the Japanese nation, “the only large group of dark people in the world who are free and independent”; blacks need psychological assurance that some dark people are “not down and oppressed. So the American Negro is glad that Japan is able to enjoy her ceremonial tea without the unwelcome intrusion of the imperialist powers of the west” (Rampersad 273). This race-based theory was obviously challenged by his observation in China, where “[T]he Japanese were muscling in ever more aggressively on Shanghai’s various rackets, legitimate and illegitimate, and everyone was aware of their presence, although officially in the city itself they had not yet taken over” (247). For Hughes, Japan was carrying out its imperialist policy and joined the western imperialist powers as demonstrated in Huangpu River, “the harbor full of Chinese junks, foreign liners and warships from all over the world” (246). So when he was questioned by Japanese police at his return to Japan from Shanghai, his reply indicates a changed view of race. The police asked, “Japan is trying to make Asia free of that Jim Crow you speak of, which the white people have imported here...,” and he answered, “But for your country or any other Asiatic country to make colonies of other people’s lands in Asia, that would not be good” (264-265). In answering so, Hughes demonstrates his clearer understanding of the relationship between racism and imperialism. For Hughes, capitalism and imperialism are the very cause of opposition between social classes and between nations all over the world, and thus are the major and general contradiction the

world was faced with. This is the very sign of his accepting and using Marxism in his understanding of the world.

This also explains how he came to identify himself with Chinese. When in China, he was often warned about “the color lines in public places and unclean food in Shanghai,” and was told “not to go outside the International Settlement alone at night or wander too far even by day into Chinese districts of Shanghai..., not to trust rickshaw boys outside the settlement boundaries — they might lead the unwary stranger into traps” (250). What he did is just opposite to the warning by behaving as Chinese people did. Nothing happened, and instead he was treated kindly by the Chinese people: the rickshaw boys were reliable and served patiently, and he found no color line between him and Chinese outside the International Settlement. This led him to realize that he is different from other “Occidentals”: “perhaps these well-meant warnings given me might have some validity for white foreigners” (250). This leads Hughes to his own understanding of Chinese people, just opposed to the white’s: “I found the Chinese in Shanghai a very jolly people, much like colored folks at home” (250). For him, the white people’s warnings are just some stereotypes against Chinese invented by the white to match their military arms displayed at the harbors of the Huangpu River, and thus suggest the white people’s colonialist prejudice and imperialist ambition of keeping Chinese people down and inferior, physically, spiritually and economically. Hughes was quite aware that this was how African American people were treated back in the United States and very often outside the States. He complained, “I was more afraid of going into the world famous Cathy Hotel than I was of going into any public place in the Chinese quarters. Colored people were not welcomed at the Cathy. But beyond the gates of the International Settlement, color was no barrier” (251-252). The luxurious Cathy Hotel, for Hughes, symbolizes the institutional power of racism and the social gap between the poor him and the rich, which kept himself away from the white and rich. The capitalist system, together with its racism, was exported to China with the imperialist warships and cannons, to make China their colony, and Chinese people their negroes in China. In a sense, what caused his identification is, besides his conviction in humanity, his awareness of the same discrimination and oppression he and his black people suffered as did Chinese people by imperialism and capitalism.

Hughes’s identification with China leads to his establishment of a metonymical relation in his poetry between China and his Black America or, in a sense, all nations suffering the oppression of capitalism and imperialism.¹ As a poet, Hughes

1 See Luo Lianggong, “China and the Political Imagination in Langston Hughes’s Poetry,” in *American Modernist Poetry and the Chinese Encounter*, eds. Zhang Yuejun and Stuart Christie (New York: Palgrave Macmillan, 2012): 109-123.

was politically-committed in using “China” in about 20 poems he created since 1930. On one hand, he expressed his political ideas about China; on the other hand, he used “China” as a metonymy in his political expression about his race and the world. Hughes viewed China from political perspective from the very beginning when in 1930 he published “Merry Christmas,” his first poem about China. His use of “China” in this poem indicates the expansion of his political horizon and a radical change in his political mind. Geographically he went beyond the black zones of his nearly exclusive concern in his 1920s poetry. Ideologically, his use of “China” reflects his political turn to Marxism from moralism and humanism in the 1920s. It seems that Hughes's writing about China, before his 1933 visit to China, is a kind of political imagination led by Marxist view of world, and his three-week visit to China provides abundant physically and spiritually perceived materials to consolidate his connection with China. In politics and humanity, Hughes constructed a world of his own political concern by connecting China with the black America and the whole “Third World” — as is later called. The close connections Hughes deliberately demonstrated in his poetry produces a strong contiguity for metonymy for his more complicated but covert political expression, especially during the Cold War years and the period of McCarthyism. Hughes's metonymical use of China not only helps him survive the political harshness in reality but also endows his poetry with special aesthetic values. On one hand, this contributes to his stylistic simplicity that is usually of great ambiguity and complicated implications. On the other hand, it helps Hughes maximize his political imagination by relating the subjective to the objective, the ideal to the real, and the universal to the particular. By using China to speak about the world and his race, he succeeded in fusing his two roles into one and embodied a unity of an internationalist and a nationalist.

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Tu Cham A and the Vietnamese Translator's Ethical Choice

Dan Nguyen Anh

Abstract: In the first half of the 20th century when Vietnam's literature was undergoing modernization, there was an introduction of a phenomenon of Tu Cham A. The phenomenon brought many social influences and conversely, contributed to the establishment and development of *quoc ngu* (Vietnam national language) literature. Translations of Tu Cham A (1889-1937) can be seen as literary issues and also as an ethical matter, which put the local translator into ethical backgrounds, ethical conditions, and ethical dilemmas to make their own choices — ethical choices. In light of the theory of Ethical Literary Criticism, this paper aims to provide a new approach to the Tu Cham A study in Vietnam.

Key words: Ethical choice; modernization; Tu Cham A; translation; Vietnam

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标题: 徐枕亚与越南译者的伦理选择

内容摘要: 20 世纪上半叶, 越南文学在现代化进程中出现了“徐枕亚现象”。这一现象不仅带来许多社会影响, 也反过来为越南语文学的建立和发展作出了积极贡献。对中国鸳鸯蝴蝶派作家徐枕亚 (1889-1937) 作品的引进和翻译, 不仅可以视作文学问题, 也因越南译者的伦理背景、伦理条件及伦理选择过程中的伦理两难而成为一个伦理问题。在文学伦理学批评理论启发下, 本文旨在为越南的徐枕亚研究提供新的视角和方法。

关键词: 伦理选择; 现代化; 徐枕亚; 翻译; 越南

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Tu Cham A (Xu Zhenya, 徐枕亚, 1889-1937), who is regarded as the founder of the “School of Mandarin Duck and Butterfly (鸳鸯蝴蝶派小说),” appeared in

Vietnam nearly one century ago in the context that Vietnamese literature was in the process of modernization. Translations of overseas literature in general, translations of Tu Cham A in particular, played a significant role in the first half of the 20th century. Transformations of society, culture, and economy; the establishment of new social classes as well as the development of Vietnamese publishing industry, newspaper, and magazine are some major causes for the “phenomenon of Tu Cham A” in Vietnam. The phenomenon existed and evolved with the Vietnamese literary modernization process that brought many necessary bases to construct *quoc ngu* (Vietnam National Language) prose and had a great impact on Vietnamese readers. The Tu Cham A phenomenon was not only a literary phenomenon but also an ethical one, which brought relevant ethical matters into light for Vietnamese writers, translators and readers. In light of Ethical Literary Criticism, it can be seen that they had to face complicated ethical choices that were put in ethical backgrounds, ethical conditions, and ethical dilemmas.

“Ethical Distance” and Misreadings of Tu Cham A

Nie Zhenzhao, in his book *Introduction to Ethical Literary Criticism*, claims that “the whole history of human civilization is a constantly repetitive procedure of natural selection and ethical selection” (6), so the human life is an ethical existence that unceasingly requires choice makings. Not all published literary works are immediately translated to other languages. Therefore, the cases of Tu Cham A’s *Jade Pear Soul* (《玉梨魂》), *Tears of Snow* (《雪鴻淚史》), and his other works in the early 20th century are no exception. The first novel by Tu introduced to Vietnam was *Tears of Snow*, which was published in the local magazine *Nam Phong* (《南風雜誌》), Vol. 77, October 1923). It took more than 10 years for Tu Cham A to first appear in Vietnam since his debut in China, *Jade Pear Soul* (1912). However, *Tears of Snow* did not instantly ignite a “Tu Cham A fever.” After the translations of *Jade Pear Soul* (by two translators: Nhuong Tong and Ngo Van Trien) in the 1930s the craze for Mandarin Duck and Butterfly writings began to heat up.

In 1912, Xu Zhenya published *Jade Pear Soul* in China and began to serialize *Tears of Snow* in *Fiction Newspaper* (《小說叢報》) in 1914. However, Vietnamese translators and publishers retraced Xu’s steps by firstly translating *Tears of Snow* (launched in *Nam Phong* in 1923) and then rendering *Jade Pear Soul* (published by Van Quyen and Long Quang printing houses in 1928)¹. Nguyen Thu Hien explains the reason for this reversion in her article “Translations of the 20th

1 The first Vietnamese translation of *Jade Pear Soul* rebranded the title as *Under Flower* (“Dưới hoa” in Vietnamese).

Century Chinese Literature in Vietnam from the Historical Literary Perspective” in three aspects: 1) *Tears of Snow* “deeply contains some traditional factors of classical Chinese literature in tune with the translator’s reception aesthetics”; 2) the novel has “renovations of the literary genre (by incorporating the forms of letter and dairy into the fiction)” and 3) the combination of the two above reasons induces *Tears of Snow* “fully appropriate to Vietnamese intellectual readers’ imagination and conception about Chinese New Literature” (Web). Except for the last point, there are some flaws in her explanations. If *Tears of Snow* embodies classical elements, *Jade Pear Soul* is not a different case, so both are compatible with the reader’s “reception aesthetics.” Besides, *Jade Pear Soul*, actually, has no “renovations of the literary genre” but some new contents in the fiction. Moreover, Nguyen emphasizes that the cause for a massive Vietnamese reception of Tu Cham A’s *Tears of Snow* was “sympathy.” In fact, the publishing quantity of *Jade Pear Soul* was calculated differently in Vietnam, China, Singapore, and Hong Kong¹ and the so-called “massive Vietnamese readership” is unjustifiable. Nguyen also states that: “It is worth-noting that in the history of the 20th century Chinese literature, Xu Zhenya’s renown is often attached to *Jade Pear Soul*, whereas his reputation is often connected to *Tears of Snow* in Vietnam” (Web). However, this statement is not accurate because there is no literary survey to describe Vietnamese readers’ taste on the two novels.

It can be maintained that what caused the reversed Vietnamese translations of Tu Cham A is the Vietnamese translator’s ethical choice. As a result, the order of the translations might be interpreted by five points: 1) the random choice of M.K (Doan Tu Thuat, also called Mai Nhac), one of the translators at *Nam Phong* magazine, 2) the translator’s individual interest, 3) the translator’s ability², 4) the contingency of literary spread³ (for some random reasons the Vietnamese translator read *Tears of Snow* first and then tried to look for *Jade Pear Soul*), and 5) the local translators’ time gap in interpreting Xu Zhenya.

1 “*Jade Pear Soul* was reprinted a dozen times for hundreds of thousands of copies and sold as far as in Singapore and Hong Kong” (qtd. in Li 75-76).

2 The literary form of *Jade Pear Soul* is more difficult to translate into Vietnamese than that of *Tears of Snow*, considering the Vietnamese *quoc ngu* literature had not matured then.

3 Nguyen Nam in his article “Women Killed Themselves — Fault of the Novel? (A View on Women and Literature and Society of Vietnam in the Early 20th Century)” stresses: “Tu Cham A’s two novels were translated into Vietnamese in a reversed order: from *Tears of Snow* to *Jade Pear Soul*. The main reason was, maybe, because of random introduction of his novels into Vietnam in the early 20th century. After the serialization of *Tears of Snow* was completed in *Nam Phong*, Mai Khe wrote an “Afterword” to explain that only through reading the foreword of *Tears of Snow* had he discovered the novel was a sequel to *Jade Pear Soul* and by reading *Jade Pear Soul* he learnt He Mengxia’s final life.”

It should be noted that Vietnamese translators' choice of *Tears of Snow* over *Jade Pear Soul* despite their original publication order in China is not uncommon. However, there is a gap of more than ten years between the translations that is an "ethical distance" (倫理距離) in the case of Xu translations. Fortunately, the gap gave Vietnamese translators enough time to evaluate the Chinese writer and, also gave them an opportunity to implement their ethical choices. Actually, "ethical distances" mainly shows the gap of time but it should be placed into another notable background as ethical situations (倫理環境) or ethical contexts (倫理語境). Literature is a product of human history and in certain historical periods, there are some specific ethical situations. Therefore, it is necessary to explore a literary writing from ethical situations and ethical contexts. Tu Cham A's debut in Vietnam took place under a particular period of Vietnamese history while the local society model had been changed seriously because of French colonialists. From 1897, French began to exploit their colonies in three Indochinese countries, including Vietnam, Laos, and Cambodia. After the World War I (1914-1918), they carried out the second exploitation on a massive scale. Due to newly imported capitalist productive modality, Vietnamese economy had changed very fast: broke out economic relationships of rural areas, established new cities, set up new economic centers and new settlements. Terms of culture, French government fully executed enslaved cultural policies as well as prevented the local people from getting in touch with foreign cultures. Under strict control of colonial governments, Vietnamese literature was divided into two main streams: the public literature (also called the legal literature) and the patriotic — revolutionary literature (also called non-public literature or illegal literature). The former would not fight against the government so it had spaces to develop, whereas, the latter focused on how to demonstrate the patriotic ideas and would like to escape the contemporary colonial society, hence, the writer ought to create their works secretly. Tu Cham A's translations, in fact, did not impact the plan of French in Vietnam. Thus, many of Tu's works got introduced into the country at that time. Moreover, French's colonial exploitation strongly influenced the partition of Vietnamese class. Especially, some new classes were introduced, such as the middle-class, the lower middle-class and the worker class. Intelligentsia became the new object of literary activities both in receiving literature and creating literature. Followed by the new public of literature, the old literature (or the medieval literature) gradually lost their traditional readers because the audience paid more attention to the new literature, which was influenced or translated from foreign literatures, especially French literature. New literary readers were associated with capitalist ideology's debut in the local country. As a result, by means of co-

lonial programs and capitalist ideology, Vietnamese culture, society, economy, and particularly, ethical situations had been transformed into a new form of ideology. It showed a new situation of ethics created and which tried to occupy the highest position of the feudal ethical system in the past. Tu Cham A's novels came to Vietnam while the feudal ethical ideas still did not collapse but the new ethical context just appeared. Fortunately, some contents of "anti-feudalism (反封建)" of Tu's writings were quite conformable with the conflict of the old ethical system and the new one in Vietnam. It is prominent that there are some resemblances between Chinese culture and Vietnamese culture, the two countries had a deep relationship of culture and, therefore, there were some shared aspects of the ethical mode. These "ethical keys" of Tu Cham A's novels were as same as the ethical background of Vietnamese readers, consequently, it drew their attention almost immediately. It can be said that the Vietnamese translator's "ethical distance" were both distance of time (about ten years) and the space including cultural and literary exchanges between China and Vietnam; reception tastes among the local translator and the reader community; historical, social, and economic backgrounds; the Vietnamese literary progress itself and, especially, Vietnamese translators themselves. The gap and ethical situations made the Vietnamese translator have their own evaluation and consideration about Xu and his writings, finally, they chose one of the Chinese author's novel, *Tears of Snow*, to release in *Nam Phong* in 1923.

Additionally, in company with the "ethical distance," the ethical situations had a co-existence of the misreading of Tu Cham A in Vietnam. Nie Zhenzhao uses "misreading (誤讀)" as a basic concept of Ethical Literary Criticism. He indicates many misreading instances in the history of world literature, such as the misreading of the conception of literature and literary text, the misreading of aesthetics concept...etc. Similarly, in translations of Tu Cham A also existed the misreading phenomenon.

First of all, under Chinese "New Literature (新文學)" perspective, the Vietnamese translator misunderstood about the case of Tu Cham A. In China, the writer was listed in "popular literature (通俗文學)" and was criticised as a character of "old literature (旧文學)." Conversely, while introducing Tu Cham A in the Vietnamese *Nam Phong* magazine, the introducer said that *Tears of Snow* is a very new novel, which appeared about 15 years ago, so should be read thoroughly. The character of the story is a new intellectual of this period, so it is more worth reading (Doan 421). As a response to this introduction, Nguyen Thu Hien indicates her view as: "We particularly focus on the two words 'very new' because if they are

translated into Chinese¹, they will become equivalent to the concept of ‘new literature’ or will suggest an imagination of the ‘new literature’.” (Web) In practice, the researcher ignores Doan Hiep’s interpretation after “very new” word, “which appeared about 15 years ago,” meaning what Doan Hiep called “very new” was only to manifest about the time, it really does not contain “new literature” implication as Nguyen admitted. The freshness of Tu Cham A only viewed as he is a foreign author and this is the first time his work was translated into Vietnamese. Despite of Nguyen’s misreading of Tu Cham A, there is also a fact that: Vietnamese translators took Tu Cham A as a representative of modern Chinese literature. However, their choice led to another interesting fact that they ignored Lu Xun (鲁迅) who is one of the representative writers of May the Fourth literature (五四文學). In contrast to Xu, Lu Xun was not introduced until October 1942, volume 23 of the Vietnamese *Thanh Nghi* magazine by Dang Thai Mai. It indicates that Lu Xun’s first landmark in Vietnam was 20 years later than Tu Cham A mostly due to the Vietnamese translator’s ethical choice. Besides, it is worth noting that, Xu created a record phenomenon of print in the early Republic of China (1912-1949) and his positive market effects facilitated him to enter the Vietnamese society.

Furthermore, on account of Mandarin Duck and Butterfly writings in general and Xu Zhenya’s fame in particular, there was a common misreading of the authorship printed with “Tu Cham A.” Nguyen Nam shows that:

Two Knights Destroy Evil (《雙俠破奸》) and *My Husband* (《余之夫》) were published together under the name ‘Tu Cham A’, but the actual names for these two were *Record of Two Knights Destroy Evil* (《雙俠破奸記》) or *Strange Case of Three Lives* (《三命奇案》), a detective novel by Zhuang Binghai (莊病骸) or Zhuang Yumei (莊禹梅) (1885-1970) which were first published by the Private Library (民立圖書館) of Shanghai in 1919. *Madam Confederate Rose* (《芙蓉娘》) was actually a work by Wu Qiyuan (吳綺緣) (1899-1948), further revised by Xu Zhenya. *Tears of Yun Lan* (《芸蘭淚史》) was a work of Yu Xuelun (喻血輪) (1892-1967) [...] All the above findings show that some Chinese novels, such as Zhuang Binghai, Yu Qiyuan, and Yu Xuelun, are translated into Vietnamese with their names concealed by the forefather of the School of Mandarin Duck and Butterfly, Tu Cham A. (Web)

These are deliberate mistakes which were sourced from two sides of the transla-

1 Nguyen Thu Hien translates this sentence into Chinese as “《雪鴻淚史》是一部很新的小說。”

tor and the publisher/editors (the magazine, the printing house, and the publishing house). The former changed the author's real name, i.e., it showed that the translator's ethical choice betrayed the truth or was unethical. The consequence of their ethical choice caused the publisher and the reader to be in misapprehension. The latter would still recognize the true writer of the work but they overlooked and intentionally labeled these books to Tu Cham A. (Moreover, there was still a capacity of complicity among the two sides to give the audience a misreading). Commercial profits may be the main reason for their action because the publishers and the translators had a lot of income from making a deal either of mistake or of not reading Tu Cham A. The misreading is more for the profits than for Tu's fame. Nonetheless, the misunderstanding not only gives problems to the reader but also brings barriers in the research of Tu Cham A. For example, it is not easy to identify Tu Cham A's original text and the authorship. In 2010, Nguyen Nam made a list of Xu's novels and short stories labeled "by Tu Cham A" (translated and published from 1923 to 1931) as a noticeable part of his essay "Women Killed Themselves — Fault of the Novel? (A View on Women and Literature and Society of Vietnam in the Early 20th Century)." The Vietnamese researcher showed 23 works of Tu Cham A in total. In 2013, Yan Bao "made the list of translations published in book form" from 1922 until 1954 in his research "The Influence of Chinese Fiction on Vietnamese Literature." "The list, which comprises 316 translations (not counting re-issues), includes only the original work that had been identified." (170) Chinese scholars mentioned Xu Zhenya as the "most famous representative" of Mandarin Duck and Butterfly school and at least three of his works were translated into Vietnamese (Nos. 277, 291 and 294). (Yan 173) Based on the Yan Bao's list, Xu Zhenya's three translated novels are *Tears of Snow*, *Jade Pear Soul* and *My Concubine* (《余之妻》)¹. In the same year of 2013, Nguyen Thu Hien, another Vietnamese researcher, provided a new list that reduced the number of Tu's Vietnamese versions to 10 in total. Below is a comparative chart of the three sources mentioned above:

No.	Year of Print	Title in Chinese	Title in Vietnamese	Translator	Publisher
1	1919	Ziyou jian 自由鑑 (?)	Đa tình hận	Phan Manh Danh	(?)
	1924	Ziyou jian 自由鑑 (?)	<i>Giương tự do</i>	Dong Chau	Nam Phong, vol. 87

1 Yan Bao mistook the title "余之妻" (*My Wife*, or *Vợ tôi* in Vietnamese) as "My Concubine" ("Vợ lẽ của tôi" in Vietnamese).

2	1923	Xuehong leishi 雪鴻淚史	<i>Tuyết hồng lệ sử</i>	M.K/Doan Hiep	Nam Phong, vol. 77-84
	1928	Xuehong leishi 雪鴻淚史	<i>Tuyết hồng lệ sử</i>	M.N. Doan Tu Thuat	Hanoi: Dong Van/Quang Long
	1930	Xuehong leishi 雪鴻淚史	<i>Tuyết hồng lệ sử</i>	M.N. Doan Tu Thuat	(Reprint) Hanoi: Nam Ky
	1932*	Xuehong leishi 雪鴻淚史	<i>Tuyết hồng lệ sử</i>	Nguyen Quang Sanh	(?)
3	1925	Pianpian taohua 片片桃花 (?)	<i>Hoa đào trước gió</i>	Nguyen Khac Hanh	Hanoi: Bui Xuan Hoc
4	1925	Unidentifiable	Đông Chu liệt quốc. Liêu trai chí dị. Hồn hoa	Tran Tuan Khai, Nguyen Phan Lang	Thanh Nien Li- brary
	1934	Unidentifiable	<i>Hồn hoa</i>	Tran Tuan Khai	Tin Duc Library
5	1927	Yu zhi fu 余之夫	<i>Chồng tôi</i>	Nguyen Do Muc	Hanoi: Tan Dan
	1927	Yu zhi fu 余之夫	<i>Chồng tôi</i>	Tung Van Nguyen Don Phuc	Nam Phong, vol. 119-30
6	1927	Yu zhi fu, Shuangxia pojian 余之夫，雙俠破奸	<i>Chồng tôi, Hai chàng nghĩa hiệp</i>	Nguyen Do Muc, Nghiem Xuan Lam	Hanoi: Tan Dan
7	1927	Yu zhi qi 余之妻	<i>Vợ tôi</i>	Nguyen Do Muc	Hanoi: Tan Dan
	1939*	Yu zhi qi 余之妻	<i>Vợ lẽ của tôi*</i>	Nguyen Nam Thong	(?)
8	1927	Yunlan leishi 芸蘭淚史	<i>Giọt lệ phòng văn</i>	Lam Kieu	Hanoi: Hung Phu Publisher
	1930	Yunlan leishi 芸蘭淚史	<i>Giọt lệ phòng văn</i>	Lam Kieu	(Reprint) Dong Tay Publisher
9	1927	Qinghai fengbo 情海風波	<i>Bể tình nổi sóng — Trung Hoa luân lý tiểu thuyết</i>	Nguyen Tu Sieu	Hanoi: Nhat Nam
	1928	Qinghai fengbo 情海風波	<i>Bể tình nổi sóng — Trung Hoa luân lý tiểu thuyết</i>	Nguyen Tu Sieu	(Reprint) Hanoi: Nhat Nam
	1929	Qinghai fengbo 情海風波	<i>Bể tình nổi sóng — Trung Hoa luân lý tiểu thuyết</i>	Nguyen Tu Sieu	(Reprint) Hanoi: Nhat Nam
10	1928	Unidentifiable	<i>Hai vợ</i>	Ky Vien	Hanoi: Tan Dan
11	1928	Furong niang 芙蓉娘	<i>Bóng hiệp hồn hoa — Hiếu liệt tiểu thuyết</i>	Nguyen Tu Sieu	Hanoi: Nhat Nam
12	1928	Yu Li Hun 玉梨魂	<i>Dưới hoa</i>	Nhuong Tong	Hanoi: Dong Van/ Quang Long
	1930	Yu Li Hun 玉梨魂	<i>Ngọc lệ hồn</i>	Ngo Van Trien	Hanoi: Tan Dan
	2016	Yu Li Hun 玉梨魂	<i>Ngọc lệ hồn</i>	Nhuong Tong, Du- ong Minh	Literature Publish- ing House

13	1928	Liyun leishi 梨筠淚史 (?)	<i>Giấc mộng nàng Lê</i>	Truc Khe	Hanoi: Nhat Nam
	1929	Liyun leishi 梨筠淚史 (?)	<i>Giấc mộng nàng Lê: Ái tình, hiệp tình tiểu thuyết</i>	Truc Khe	(Reprint) Hanoi: Nhat Nam
14	1929 (?)	Unidentifiable	<i>Nhân duyên mộng</i>	Nguyen Tu Sieu	Hanoi: Nhat Nam
15	1929 (?)	Unidentifiable	<i>Người trong gương</i>	Nguyen Tu Sieu	Hanoi: Nhat Nam
16	1931	Unidentifiable	<i>Đống xương vô định</i>	Mai Khe	Women Times, 29/7-2/8/1931

Notes: (?) = Unidentifiable; * = Yan Bao's mistake

In the above table, there are 16 translated works claimed to be originally written by Tu Cham A, but 5 among them (Nos. 4, 10, 14, 15, and 16) are untitled and the original titles of 3 are unidentifiable (Nos. 1, 3, and 13). Vietnamese title of Tu's work was translated into the local language and are not similar to the cases of *Ziyou jian* and *Yu Li Hun*. Some publishers also combine singletons for publication like works no. 4 and no. 6. The former printed *Spirit of Flower* (Chinese title unidentifiable), *Dongzhou lieguo* (《東周列國》) and *Liaozhai zhiyi* (《聊齋誌異》) together, while the latter was combined with *Yu zhi fu* and *Shuangxia pojian* into one version. The identification of Tu's original writings later became a bottleneck because of the unclear titles in Chinese and some other reasons (as analyzed above).

Choosing Tu Cham A: the Vietnamese Translator's Ethical Dilemma

In the first half of the 20th century while selecting Xu Zhenya's novels (for Vietnamese translation), the local translator was trapped in what Nie Zhenzhao calls "ethical dilemma" (倫理困境)¹. Literary translation was actively involved in the modernization while Vietnamese literature was ready to exchange with other cultures and literatures, especially French. In this period, the literary translation was associated with the propagation and spread of *quoc ngu* (Latin language-based system). We should notice that using *quoc ngu* to translate foreign writings is destructive to *chu Nom* (字喃)², which is a symbol for nationalism and traditional culture of Vietnam just like Chinese character (漢字) for Chinese culture.

1 An ethical dilemma is an inextricable, insolvable or insoluble condition or situation which impacts to people's ethical choices.

2 Chữ Nôm (字喃) also called "Chữ Nam" (字南) or "Quốc âm" (國音) literally "Southern characters" or "Characters of Vietnamese" is a pictographic writing system that created by based on Chinese characters.

Since the Roman alphabet was far better suited for rendering Vietnamese than the previous *chu nom* system, it quickly replaced the latter. Hundreds of Chinese novels were rendered into Vietnamese in *quoc ngu* for the first time and published from the turn of the century (through the 1930s). There is thus a poignant irony in the fact that the new script based on the Roman alphabet was decidedly more effective for translating Chinese novels into Vietnamese than the old script modeled on the sinographs. (Emanuel 1102-3)

In fact, while taking *quoc ngu* as a translative instrument, the translator is faced with ethical choices. This is a battle between the old and the new cultures, development and stagnancy, Western and Eastern civilizations, and individually, between contemporary translators and their predecessors. The incessantly inextricable struggle that was formed by various ethical positions, conditions, identities inside the local translators created the ethical dilemma. They were hard to escape the ethical plight. If they embrace the new it shows that from a specific point of view they gave up on their own cultural roots. However, if they support the old ones then they will be lagging behind in time. At last we see that the Vietnamese translator's ethical choice was to enter into the era with a new ethical approach: taking advantage of *quoc ngu* to strengthen the country and nation. Their ethical choice was placed in modernist demands where many patriotic revolutions, including Dong Kinh Nghia Thuc (東京義塾), Dong Du (東遊) and Duy Tan (維新), were expected in the movements.

One of the common points of innovative movement of Vietnam in the first half of the 20th century was appealing people to renounce the bookishness learning-style, which was influenced by the Chinese traditional academic style of teaching *quoc ngu* — by means of adopting the new script to improve intellectual standards of the people and simultaneously serving the revolutionary goals. Although the existence of Dong Kinh Nghia Thuc was short, merely for 11 months from March 1907 to November 1907 but the movement brought many outstanding effects to renovation achievements of Vietnam in the early 20th century. Some advanced characters of the organization like Phan Boi Chau, Luong Van Can, Nguyen Quyen... hoped to remove the traditional learning method. Their aim was to introduce some new ideals from China, for instance — Liang Qichao (梁啟超), Kang Youwei (康有為), and Japan as Fukuzawa Yukichi (福澤諭吉) which expanded *quoc ngu* and developed the press, etc. One of the most essential activities of the organization

was translations. One of the first books translated into Vietnamese was the Chinese book “New Book (新書).” Nguyen Don Phuc, one of the translators of Tu Cham A, was a member of Dong Kinh Nghia Thuc, owing to the working period in translation part of the organization, became a keen writer of *Nam Phong* magazine as well as translated the Chinese author’s *My Husband* into the local language. Additionally, expanding *quoc ngu* to enhance cultural and intellectual level of people was an important purpose of Duy Tan movement which was initiated by Phan Chau Trinh from 1906 to 1908. This result of the Vietnamese translator’s ethical choice can be viewed as an answer to the modernist’s appeal at that time. French colonials would like to apply *quoc ngu* to rule Vietnam, nevertheless, Vietnamese people make corrupt use of French policies to build their own local culture. It is displayed that the new ethical condition, which based on the new script development, was widely supported by the colonialist even though their aim was very different. For this reason, this situation also led to another ethical issue: French authority hoped to use *quoc ngu* as an administrative instrument to Vietnamese, however, the local translator or even Vietnamese intellectuals wished to utilize the new text system to strengthen their own country. By means of “public literature”¹ at that time, the Vietnamese intellectuals and writers were both spreading *quoc ngu* (as French government requested) and growing their own local culture. Fortunately, after making their ethical choice, they contributed to *quoc ngu* propagation and prose literature as well as the literary modernization of Vietnam in the first half of the 20th century.

Along with the translator’s ethical choice some local researchers would like to explain “Why there was a reversion in the order of Xu’s publication?” This is a question which local scholars such as Nguyen Nam and Nguyen Thi Hien focused on, but they ignored the other part of the question: Why did the translator choose Tu Cham A? Additionally, while analyzing Doan Hiep’s preface they skipped the ethical comment that might be the most remarkable reason to induce the reviewer to make an introduction of Xu’s *Tears of Snow*: “*Tears of Snow* is a very new novel which appeared about 15 years ago and the protagonist of the story is a new intellectual of this period, so it is a novel worth reading. Although some characters are not really moral but the writing is good and the story is very interesting. The people in the story are very similar [to Vietnamese people], the narrative is also very new;

1 Because of a colonized country, Vietnamese literature in the early 20th century to August 1945 Revolution existed in two literary parts: “public literature” and “non-public literature.” The former was a legal literature that had permission of French colonist government. In contrast, the latter was harshly censored by the official, as a result, the non-public literature must circulate secretly.

seeing good sentences, they are being praised; seeing the unethical ones, they admonish themselves. Therefore, it is a valuable novel" (Doan 421). The critic believed that what made it "a valuable novel" are some characteristics that belong to the ethical realm. Therefore, the most important factor that made the local translator choose Tu Cham A is the ethical reason and below are possible causes:

1) Xu Zhenya publishing phenomenon in China and some other Chinese communities (such as Singapore and Hong Kong) would be the most remarkable reason. Particularly, at the era Vietnamese publisher and the press were attempting to satisfy some necessary changes in the social life in the 1920s.

2) Fascination of Mandarin Duck and Butterfly fiction and Xu Zhenya novel was appropriate to the translator's aesthetic reception as well as responded to some new appeared classes' reading taste — especially the lower middle class (small trader, small shopkeeper, craftsman, official, intelligentsia, pupil, student... etc.) in some big cities including Hanoi, Nam Dinh, Hai Phong...

3) Vietnamese translators found out some new aspects in the content that Xu Zhenya expressed in his novels including the matter of feudal ethical behaviour, the ideal of age, love freedom, marriage issue, revolutionary spirit... etc.

Nguyen Nam asserts: "The intellectual and moral conflicts between the East/Old and the West/New described in his novel are very similar to some issues in the contemporary Vietnamese society. In other words, the translator may sympathize with the social problems mentioned by Tu Cham A in his various writings. Therefore, they attempt to spread what makes them favourable and create some social effects and aesthetic interests among the reader" (Web). The translator's idea met the new aspect inside Tu Cham A's fictions and afterwards they wished to let through the Chinese novelist's writings to represent their thought on changing the society. It cannot be denied that in 1920s, there were some resemblances between Shanghai, where the School of Mandarin Duck and Butterfly was founded, and Vietnam. Moreover, there was a similar "writer-journalist model" between Xu Zhenya and his Vietnamese translators i.e. a meeting point between Xu's characters and Vietnamese receptioners. These elements were a very important catalysis for Vietnamese translator collecting Xu Zhenya's fiction to render into *quoc ngu* versions.

Nhuong Tong, for instance, had some similar meeting places with others while taking *Jade Pear Soul* to be his translation: "Tu Cham A was a journalist, Nhuong Tong was also a journalist, Mengxia embraced revolutionary dream and Nhuong Tong was really a revolutionist" (Tu 7). Despite Nhuong Tong being a writer and a revolutionist, he met the Chinese company: "Cultivated in traditional culture, Xu Zhenya on the one hand had the temperament of a typical man of letters, who was

gifted at creating verses, observant and sentimental, and on the other hand, as a member of the South Society (南社) having feelings for modern revolutions and a sense of mission in the social transformation” (Qian 78). Xu Zhenya’s revolutionary and changed social spirit reflected him as a member of South Society in reality and in *Jade Pear Soul*. He also let his protagonist He Mengxia (何夢霞) come back to China from Japan to take part in Wuchang Uprising (武昌起義). Meanwhile, Nhuong Tong also had feelings for modern revolutions which further made him a revolutionist. Also because of which he went to prison on Con Dao Island¹. Although they possessed two different ethical identities but there was a rise of emotions amongst them called “people of a kind fall into the same group (同聲相應, 同氣相求).” Nhuong Tong being a Vietnamese translator, a pressman, a writer, a revolutionist and especially a citizen of a colonized country saw the models of “love and revolution” in *Jade Pear Soul* and then further on translating it into *quoc ngu*. “It might be the most dazzling radiance of Classical Chinese in China. More importantly it was a story of ‘love and revolution’ — therefore, it was highly relevant to many confusions and hopes of the contemporary young men and women. It turned from the private narrative to the grand narrative and the national revolution has greatly expanded to the narrative space of love fiction since the late Qing Dynasty” (Li 140). In 1928, when the Vietnamese version (namely *Under Flower*) of *Jade Pear Soul* was published, Nhuong Tong was only 25 years old and in 1927 he and his comrades founded the Vietnam Nationalist Party (越南國民黨) in Hanoi². As a young man Nhuong Tong was a bit different from “contemporary young men and women” of China: he put his “hopes” more than “confusions” to Tu Cham A’s novel. Actually, Nhuong Tong was not only rendering the Chinese fiction but also commenting it by his footnotes. These footnotes partly showed his view on *Jade Pear Soul* in general and contemporary Vietnamese society in particular.

4) Tu Cham A’s writings were a “social fight” tool for Vietnamese people and for women & feminism: “Translating Tu Cham A was an opportunity for the Viet-

1 Con Dao Islands (Côn Đảo) are an archipelago in the Southeast region of Vietnam, located in Baria-Vungtau Province. In the period of French domination (1884-1945), a horrible prison system was built in the island to detain Vietnamese patriots or Communists who fought against the colonial rule.

2 From 1926, Nhuong Tong joined in Nam Dong Printing House which dedicatedly prints books to propaganda patriotism. In 1929, according to Vietnam Nationalist Party’s plan, Nhuong Tong came to Hue City to have a meeting with Phan Boi Chau, who is a great revolutionary leader. Unfortunately, when he came back to the North, he was arrested by French officials and was sentenced to 10 years’ imprisonment, banished to Con Dao Island until 1936 when he has released.

namese translator's to express the 'social fight' and show their ideas about social issues, notably women and feminism" (Web).

Nguyen Nam's above statement is similar to that of the author of *History of Modern Chinese Literature*: "*Jade Pear Soul* is popular with the readers mainly because it mentions the freedom of marriage [...] *Jade Pear Soul* employs the tragic love story of Bai Liying, Jun Qian and He Mengxia to reflect the youth's desires for the freedom of love and awakening of personal consciousness after the 1911 Revolution. To a certain level it revealed and criticized the feudal ethics system which was harmful to the youth's love and also had a certain significance in fighting against the feudal ethics system" (Zhu 39). By reading the Chinese novel the younger generation could be impacted by the changes happening in their neighbouring countries and start their own social activism. Although Xu Zhenya's attitude to protest the feudal system was a "certain level" and could not have a strong stand, Vietnamese translators at least discovered the necessary tool to subvert the feudal ethics mode in Vietnamese society at that era. Consequently, Vietnamese translators and Mandarin Duck and Butterfly writings have a same aim as Ray Chow manifests: "But through them we see a very different kind of subversion — a subversion that works by perverse dimensions, exaggeration, repetition; a subversion that is melodramatic, not tragic, in nature" (6). The natural subversion became a "social fight" tool for both the Vietnamese translators and the readers in the first half of the 20th century.

5) From the perspective of written language, Xu Zhenya's Chinese written fictions were suitable for Vietnamese translators who were descended from *Han hoc* or *Nho hoc* (Sinology, 漢學). Doan Tu Thuat (also called Mai Nhac, 1886-1928), who translated *Tears of Snow* into Vietnamese, was born into a family with *Han hoc* tradition. He learned Chinese in his childhood. Nguyen Do Muc (1882-1951) grew up in a traditional sinology family, his father was Nguyen Dinh Duong, who acquired high positions in the feudal government system through national exams. Nguyen Do Muc also went through the competition and gained the title of "Xiucai" (秀才) — an honorable traditional academic title — in 1909. In 1927 the writer also translated *My Husband* and *My Wife* into *quoc ngu*. Nguyen Don Phuc (also called Tung Van) (?-1954) learned Chinese very early and obtained the "Xiucai" title in 1906. He translated *My Husband* and released it in *Nam Phong* in 1927. Nhuong Tong (also called Hoang Pham Tran, 1904-1949) was descended from a *Nho hoc* family. He studied Chinese when he was a little boy and is also translator of *Jade Pear Soul* (titled *Under Flower* in Vietnamese version). Despite Truc Khe (real name Ngo Van Trien, 1901-1947) did not come from a sinology family, however,

at the age of six he began to learn Chinese with a village scholar. He translated *Jade Pear Soul* after two years in comparison with Nhuong Tong. His translation got the same title as the Chinese version. By inheriting the tradition of the Chinese learning style, the local translator had a necessary language tool: Chinese. Actually, Vietnamese translators had a deep interaction with the Chinese culture and literature which could be seen in their personal origins. Due to this connection, they had sympathetic feelings with the Chinese writing and it impelled to the collecting of Xu Zhenya fiction into a translation object.

6) From reception aesthetics perspective, Xu Zhenya's deep root in Chinese classical literature as well as the Vietnamese translators' profound connection to the literature brought the favourable condition amongst the local translator's literary reception activity.

7) The appearance of new classes at the same time shaped up the new readers class, especially the young lady in some big cities who were a prominent element to the literary consumption. Besides, the development of printing technology and the press was a huge motivation to translators. From this side the translator and the press played a vital part in using *quốc ngữ* to compose literature but it was a difficult issue and hence, translations took its pioneer role.

At the same time it should be remembered that there were as yet not many works composed in *quốc ngữ*. The press initially launched through the efforts of the French which played a vital role during the period of transition. Numerous translations from the French and the Chinese first appeared in newspapers. This also meant that Vietnamese journalists generally assumed the role of translators while the newspapers became the forum of the new Vietnamese literature. (Yan 170-1)

The translator's ethical choice had the active support of the press and other printing tools that gave a consumed environment to literary books which satisfied the newly established bourgeoisie's material and spiritual demands. As a comparison, the relationship between Vietnamese translators and the publishing industry was fairly the same as the interactions between the Mandarin Duck and Butterfly fiction and the printing industry in China in the early Republic period. "The interaction between the School of Mandarin Duck, Butterfly and early Chinese publishing industry fully implied budding of early Chinese culture and creative industry and provided experiences and enlightenments such as paying attention to content providing, actively adjusting the model of content publishing, mining creativity adapting to needs of

mental and psychosocial of people” (Li 8:169). The bourgeoisie’s needs of enjoying literature kept growing and more literary books including translations were published. Fortunately, the Vietnamese translator noticed Tu Cham A and the local printing and the press industry together created the Tu Cham A fever.

8) Last but not least, translations of Xu Zhenya in general and translations of overseas literature in private were a response to the appeal of translation, the spread of *quoc ngu*, and the *quoc ngu* literary development. Phan Khoi, a *Han hoc* scholar and renowned translator, once claimed: “As for translations, in my opinion, if we can translate something, we should do it despite the type of books because there are not many books in our own language. For this reason, we should translate contemporary works, Chinese classics (both historical and literary), Buddhist sutras and Taoist canons into Vietnamese” (Web). Therefore, translations of Tu Cham A provided a great contribution to the development of the Latinized Vietnamese as the national language of Vietnam¹.

Conclusion

Xu Zhenya was rendered into Vietnamese in the context of 1920s when the local literature was in the process of modernization. One of the effective activities of the process was translation. The translator’s ethical choice played a significant role in building and spreading the *quoc ngu* literary prose of Vietnam on the one hand and Vietnamese literature on the other. At the time of the Tu Cham A fever in Vietnam, there was a “suicidal phenomenon” mainly amongst women due to the impact of his novels (Nguyen Nam). This is one of the most evident social influences of the Chinese writer in Vietnam. After nearly one century in 2016, the Literature Publishing House reprinted *Jade Pear Soul* in a new edition based on Nhung Tong’s and Duong Minh’s translations. Apart from commercial purposes the action might be a reasonable evaluation of Tu Cham A and his *Jade Pear Soul*. Undoubtedly, Vietnam in the early 21st century was not the same as the period of Xu’s first appearance in the country. This is the internet and high-tech era which basically changed countenance of literature. Tu Cham A appears timeless to different generations of Vietnamese readers who have various ethical conditions and make differing ethical

1 *Quoc ngu* characters (chữ quốc ngữ) was initiated by Western missionaries in the 16th century. French priest Alexandre de Rhodes was regarded as the greatest contributor to the construction of *quoc ngu* for his dictionary *Dictionarium Annamiticum Lusitanum et Latinum* compiled in 1651. In 1869, French colonist government forced Vietnamese people using *quoc ngu* to replace Chinese characters in administrative documents in South Vietnam, and from 1910 on, the policy was expanded to the North.

choices. No matter what fate Xu Zhenya and his novels have, Vietnamese translators have made their ethical choices and the rest is up to the readers who in turn will constantly perform their own ethical choices.

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普希金《别尔金小说集》的文学伦理学批评 审视

Ethical Critical Approach to *The Belkin Tales* by Alexander Pushkin

吴 笛 (Wu Di)

内容摘要：本文从文学伦理学批评的视野审视俄国著名作家普希金后期的重要作品《别尔金小说集》。全文主要从两个方面展开。一是审视爱好决斗的主人公西尔维奥在决斗过程中所体现的正直与英勇，以及对生命意义的尊崇。二是审视在这部小说集中具有突出意义的“独生女儿”形象，探究三个来自不同阶层的“独生女儿”因为家庭教育而引发的悲剧事件以及所涉及到的伦理教诲等命题。

关键词：普希金；文学伦理学批评；《别尔金小说集》

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Title: Ethical Critical Approach to *The Belkin Tales* by Alexander Pushkin

Abstract: The aim of the article is to research *The Belkin Tales* — the important collection of short novels by the great Russian writer Alexander Pushkin from the perspective of ethical literary criticism. It is discussed from two aspects. Firstly, it focuses on the Silvio's duels, that reflect his honest and braveness, and his worship to the significance of life. Secondly, the article analyses the “only daughter” characters from different families in order to discuss such topics as family education and ethical instruction.

Key words: Alexander Pushkin; ethical literary criticism; *The Belkin Tales*

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俄国作家普希金不仅创作了抒情诗、长诗、诗剧和诗体长篇小说《叶甫

盖尼·奥涅金》等诗体作品，而且创作了中短篇小说《上尉的女儿》、《杜勃罗夫斯基》、《彼得大帝的黑教子》、《黑桃皇后》、《别尔金小说集》等许多散文体作品。普希金的中短篇小说，是俄国现实主义散文创作的良好开端。普希金的散文体作品，风格简洁、清新。他在《论散文》一文中曾经写道：“准确和简练——这就是散文的首要特点。散文要求有思想，思想，——没有思想的华丽词藻是什么用处也没有的”（普希金“论散文”10）。中短篇小说集《别尔金小说集》典型地体现了普希金的这一特征。本文就《别尔金小说集》中所体现的独到的伦理思想作一探究。

一、西尔维奥决斗的伦理观照

普希金《别尔金小说集》（«Повести покойного Ивана Петрович Белкина», 1830）以质朴的美学原则为特色。这部小说集是属于普希金“波尔金诺的秋天”的丰硕成果，共由五个中篇小说组成，包括《一枪》（«Выстрел»）、《暴风雪》（«Метель»）、《棺材店老板》（«Гробовщик»）、《驿站长》（«Станционный смотритель»）、《小姐扮村姑》（«Барышня-крестьянка»）。小说集从各个不同的角度展现了19世纪20年代俄罗斯广阔的社会生活场景，洋溢着浓郁的人道主义精神，并且富有重要的艺术价值。小说情节内容集中凝练，仿佛是长篇小说的缩写本，人物形象也都显得栩栩如生。《别尔金小说集》采用了多种不同的艺术手法与创作倾向，《一枪》所采用的是现实主义的手法，《暴风雪》和《驿站长》具有一定的感伤主义的情调，《小姐扮村姑》具有轻松的喜剧风格，而《棺材店老板》则蕴涵着哥特小说的结构要素。

在普希金时代，决斗是俄罗斯人解决许多矛盾冲突的一种方法。“19世纪的头30多年，在俄国文化记忆中，是俄国决斗史上决斗数量最多的一个时期”（Irina Reyfman 26）。普希金的小说《一枪》以现实主义的笔触描写了决斗。小说的叙述者是位军人，小说的两个部分中叙述了主人公西尔维奥（Сильвио）和一位伯爵的两次决斗。小说的第一部分描写的是第一次决斗。西尔维奥枪法娴熟，而且在爱好争斗的部队中享有极高的地位。然而，这一地位不久便受到了威胁。他所在的部队里来了一位富家出身的年轻浪子，英俊，聪明，胆大。于是，西尔维奥的威望受到了挑战。在病态的嫉妒心的驱使下，他故意制造事端，挑起决斗。通过拈阄，英俊的年轻浪子拈到了第一号，先开枪，但没有打中西尔维奥。轮到西尔维奥开枪了，但是他发现，对方根本无动于衷，在面临死亡威胁的时候，居然满不在乎地挑着樱桃吃，并且把樱桃核吐向对方的脚下，面对西尔维奥的枪口，没有一丝一毫慌张的表情，根本没有将生死当回事儿。西尔维奥意识到，在这种情况下，立刻打死他没有任何意义，于是保留了这一枪的权利，结束了决斗。小说的第二部分描写的是第二次决斗。六年之后，那个年轻的浪子成了一名尊贵的伯爵，娶

了一名美若天仙的妻子，过着十分美满的生活。西尔维奥认为报复的时机已到，于是找到了伯爵的住处，来到了书房，将枪口对准了伯爵，声明了自己拥有“一枪”的权利。然而，他不愿开枪打死不拿武器的人，于是，再次拈阄，与过去的浪子、现在的伯爵举行了第二次决斗。伯爵先开枪，由于生活幸福，荒废了枪法，只是打中了西尔维奥身后墙上的一幅油画。轮到枪法娴熟的西尔维奥开枪的时候，他发现此刻的伯爵已是今非昔比，对生命和幸福无比眷恋，面对即将降临的死亡感到无比惊慌和胆怯，于是，西尔维奥获得了应有的满足，移动枪口，对准了墙上的同一幅油画开了一枪，然后坐上马车离去。而且，在放弃开枪而离去之前，说了一句：“我把你交给你的良心吧”（普希金《别尔金小说集》82）。¹这句话极为重要，它充分说明，在主人公看来，在伦理选择中，比生命更为重要的东西是良心。当然，还有荣誉，西尔维奥为什么在能够实现决斗胜利的时候，依然放弃？他为什么要将即将获胜的“一枪”向后推延？他为什么自动退伍，告别辉煌的近卫军的军官生活，来到偏僻的乡下，练习枪法？这一切，都说明了良心和荣誉的价值所在。普希金在19世纪初期独特的社会语境中探讨良心、荣誉、复仇，以及生命与死亡等命题。

从爱好决斗的西尔维奥这一形象中，我们也看到了他对生命的尊崇以及对生命意义的眷恋。当年轻浪子的生命掌握在他手中的时候，他觉得对方轻视生命的意义而不愿对他开枪射击。既然对方连自己的生命都毫不在乎，开枪把他打死又有什么意义？同样，在第二次决斗中，他觉得对方已经对生命无比眷恋而再次放过了他。小说结尾一段交代了西尔维奥的最后结局，他在了结了那场决斗之后，又回到军队。后来，西尔维奥在希腊民族独立运动中，率领一支民族独立运动部队，在斯库列尼战役中牺牲了。短短的几句更是突出了这一形象的英勇色彩，以及作者对生命意义的探索。

这篇小说尽管篇幅不长，但具有一定的自传色彩，这一点，被很多学者所认可。尤其1822年6月普希金在基什尼奥夫与名叫茹波夫的军官决斗的经历，在这篇小说的叙述中具有明显的体现。普希金在那场决斗中，就是拿着装满了樱桃的帽子，边吃边等着对手开枪的。

普希金的《一枪》，还突出体现了伦理困境在小说艺术结构方面的功能。“伦理困境指文学文本中由于伦理混乱而给人物带来的难以解决的矛盾与冲突”（聂珍钊258）。普希金善于在小说创作中利用伦理困境来营造悬念。在《一枪》中，自始至终充满了悬念，充满着伦理困境。在作品的开头，有一个新来的蛮横军官在酒后无端欺辱西尔维奥，还用铜烛台砸了西尔维奥，在这种情况下，西尔维奥却忍气吞声，没有与他决斗，从而严重损害了他在青年人心中的威望。那么，他为什么不向蛮不讲理的醉鬼提出决斗？他真的缺乏勇气吗？作者在开篇的悬念激起了人们极大的好奇心。随着作品情节的展

1 本文中的相关作品引文均出自普希金：《别尔金小说集》，力冈译，沈念驹、吴笛主编《普希金全集·第5卷》（杭州：浙江文艺出版社，2012年）。以下标出页码，不再一一说明。

开,人们才逐渐明白,西尔维奥没有权利让自己去冒死亡的威胁,因为他有另一场决斗尚未了结。于是作品转向了六年前的一场决斗。而六年前的决斗同样充满了悬念:西尔维奥为什么在能够获胜的时候却终止决斗,留下一枪?于是,一个悬念又导出一个新的悬念,一个困境又导出一个新的困境,环环相扣。作品正是在一个接一个的伦理困境和悬念中展现西尔维奥独特的内心感受和精神境界。所有这些困境和悬念直到作品的最后方才一一解开。

可见,《一枪》的情节发展过程,就是普希金剖析西尔维奥伦理选择的过程,并且“揭示不同选择给我们带来的道德启示”(聂珍钊 6)。尽管“西尔维奥生命的全部内容在于复仇”(Коровин 410),但是,他所达到的复仇目的,不是索取对手的生命,而是“索取”比生命更为重要的对生命的尊严感以及对生命存在的荣誉感。

二、“独生女儿”形象及其伦理教诲命题

在普希金时代,关于教育问题,尤其是子女教育问题,是很受关注的话题,当时的《欧罗巴通报》等杂志也颇为关注这一话题,发表过一系列论述教育的文章。如《两性离子》(Амфион)当时发表过题为《论少女教育》(«О воспитании девиц»)的评论。《欧罗巴通报》(Вестник Европы)当时发表过《论初始教育的必要性》(«О необходимости первоначального воспитания»)等论文。

这一话题,也没有被文学家所忽略。“在文学中,并没有对这一话题漠不关心:正确的与并非正确的教育历史以及所产生的后果,在俄国受到普遍的关注”(Китанина 99)。《别尔金小说集》中的三个独生女儿的形象塑造,在一定的意义上表现了普希金对教育主题以及文学伦理教诲问题的关注。

普希金《别尔金小说集》的五篇小说中,有三篇小说的主要人物是“独生女儿”的形象。作者不仅由此塑造了性格各异的女性形象,而且通过这类“独生女儿”形象,涉及到了教育、伦理等命题。这些形象包括《驿站长》中维林的独生女儿杜尼娅,《暴风雪》中加夫里洛维奇的独生女儿玛丽亚,以及《小姐扮村姑》中的俄国贵族穆罗姆斯基的独生女儿丽莎。

(一)《驿站长》中的平民独生女儿杜尼娅

《别尔金小说集》中,最具特色的是中篇小说《驿站长》,该小说以作者虚构的叙述人的三次访问驿站,向读者讲述了一个完整的故事,描写了十四等文官驿站长维林的悲惨遭遇。维林在艰辛的生活中,因为自己美丽的女儿杜尼娅而感到安慰。杜尼娅不仅给小小的驿站增添了活力,同时也为父亲减轻了许多负担。在驿站,因为有时不能及时换到马儿,常常有客人对维林大发脾气。这时,客人只要一见到杜尼娅出面,气也就消了。有一天,一个年轻英俊的骠骑兵路过驿站,没有及时换到马匹,于是破口大骂,正要要对维林大打出手时,杜尼娅从里屋走了出来,于是,像往常一样,一场风波顷

刻消解了。这位名叫明斯基的骠骑兵上尉不仅不再发火，反而在有马可换的时候，却躺在长凳上，昏迷不醒了。上尉病倒了，通过几天与杜尼娅的交往，装病的上尉觉得康复了，于是就在礼拜天离开驿站，可怜的维林答应了客人让杜尼娅送他一程的请求，就这样，杜尼娅没有被留在下一个驿站，而是被上尉拐走了。驿站长经受不住这一打击，大病一场，稍有康复，便四处寻找女儿，终于知道杜尼娅被带到了圣彼得堡。在圣彼得堡，维林找到了明斯基，但是没有要回女儿，他气愤地将明斯基所塞的几张钞票揉成一团扔到了地上。随后，为了能够见上女儿一面，维林又经过艰辛的努力，维林终于认出了乘坐豪华四轮马车的明斯基，停在一座豪华的三层楼房前面。可是，当他走进了屋子，却被明斯基推了出来。维林只得离开圣彼得堡，回到了自己的驿站，后来孤苦伶仃地离开了人世。

在《驿站长》中，十四品文官维林的命运无疑是值得人们深深同情的，而以明斯基为代表的贵族阶层对下层百姓的肆意欺辱也是十分可恶的。但是，“面对荣华富贵的诱惑，女主人公没能守住自己的精神防线，杜尼娅在普希金的心中成了传统美德落败的可悲象征。诗人对这种现象极为痛心。实际上，在普希金看来，贵族欺压下层小人物的现象固然可恶，应该抨击，但亲情的丧失和美德的埋没，却让人更感心痛”（吴晓都 162）。

可见，普希金的《驿站长》不仅充满了深深的人道主义的同情和关怀，而且在伦理教诲和道德批判方面具有震撼人心的力量。由于作者以满腔的同情描写了一个处于社会底层的小人物的遭遇，从而开创了俄国文学史上描写“小人物”形象之河，直接影响了其后的果戈理、陀思妥耶夫斯基、契诃夫等许多俄国著名作家的创作。

俄罗斯作家高尔基在《论普希金》一文中讲道：“他的《黑桃皇后》……《驿站长》和其他几篇短篇小说为近代俄国散文奠定了基础，大胆地把新的形式运用到文学中去，并将俄国的语言从法国和德国语言的影响下解放出来，也把文学从普希金的前辈们所热心的那种甜得腻人的感伤主义中解放出来”（高尔基《论文学·续集》210）。同时高尔基还讲：“我们有充分理由说：俄国文学的现实主义始于普希金，就是由他的《驿站长》开始的”（高尔基《俄国文学史》219）。更有学者认为：《驿站长》“预示着别林斯基时代一个文学流派的诞生，它仿如自然学派的一个宣言，宣告社会—心理现实主义在俄国古典小说中已经获得前所未见的发展”（格罗斯曼 427）。

普希金对伦理教诲的关注还体现在文学作品中的画家技巧以及画家视野。如在《驿站长》开头部分，叙述者到达驿站后，所欣赏和着力描述的是简陋的屋子里有关“浪子回头”故事的四幅画。这四幅画不仅折射了维林的道德伦理观以及他的理想与期冀，同时也为作品结局时叙述者所期盼的杜尼娅的返乡埋下了伏笔。

在《驿站长》中，维林作为父亲，在“简陋而整洁”的家中，尽管他力

所能及地对他可爱的女儿进行了必要的教育，但是，他对她过于宠爱，尤其是在别人面前当着孩子的面，他会得意忘形地对她进行夸耀：“这孩子很聪明，很灵巧，完全像她去世的妈妈”（105）。

维林家中有关“浪子回头”故事的四幅图画，实际上就是具有伦理教诲意义的旨在培养杜尼娅四个方面基本素质的图画。在每幅画的下面，还附有非常得体的德文诗。然而，令人遗憾的是，小说中并没有标出这四首德文诗的内容。但是，作品中对这四幅画的简要说明也给我们提供了必要的线索，使得我们能够了解到维林的目的所在。图画是出自《圣经·路加福音》中的故事。第一幅画是“一位头戴睡帽、身穿晨衣的慈祥老人在送一个不安分的青年，那青年急不可耐地在接受老人的祝福和钱袋”（105）。这其中的道理是极其明晰的，就是在处理子女与父母的关系方面，子女要学会孝顺，学会照顾父母，不要像这个不安分的青年，只知道接受父母的钱袋。第二幅画“用鲜明的笔法画出青年的放荡行为：他坐在桌旁，周围是一些不三不四的朋友和无耻的女人”（105）。这幅画的寓意十分明晰：生活应俭朴，不应花天酒地。第三幅画所画的是该青年穷困潦倒、与猪争食的画面，脸上露出深沉的悲哀和悔恨。在《圣经》中，对犹太人而言，猪是不洁净的动物，“与猪争食”象征着他的堕落，所以，这幅画的启示是虔诚。第四幅画则是回头的浪子跪在地上受到父亲迎接的画面。远景中是一名厨师正在宰杀一头肥牛犊。这幅画不仅蕴涵着父母对浪子回头的期待，也预示着“回头”之后对家庭责任的担当。

尽管“浪子回头”的故事“在普希金的艺术世界中占据异乎寻常的重要地位”（Турбин 66），但是，有限的教育难以取代必要的看管。维林对女儿正是缺乏必要的看管，而且放松警惕，过于轻信。于是，当人们送她手帕、耳环等礼物时，他听之任之；别人要求他女儿送上一程时，他也毫无戒心。当客人大发雷霆，杜尼娅一旦出面，一场风暴顷刻歇息的时候，他也没有一丝深入的思考，只是感到不合时宜的由衷的骄傲。

由于生活贫困，再加上没有得到应有的良好教育，所以，杜尼娅缺乏正确的伦理观和人生观。她不仅随便接受别人的礼物，而且也随便接受别人的亲吻。到头来，她做出了错误的伦理选择。“自愿地”跟着明斯基离开了视她为全部生命意义所在的父亲，不顾亲情，到圣彼得堡享受荣华富贵。而且，维林历尽艰难，终于在圣彼得堡找到她的时候，她也只是因为父亲的突然出现打扰了她与明斯基的“含情脉脉”的场面，从而“大叫一声，倒在地毯上”（111）。

（二）《暴风雪》中的贵族独生女儿玛丽亚

不顾亲情，只愿满足自身欲望而作出错误的伦理选择的不只是平民的女儿杜尼娅，还有《暴风雪》中贵族独生女儿玛丽亚。与杜尼娅与明斯基私奔一样，玛丽亚与人私奔的冲动，也是缺乏应有的教育而形成的。这位富有的

贵族小姐，不同于贫寒人家的杜尼娅，她有必要的条件接受应有的教育，可她过分接受的是法国浪漫主义小说的影响。小说的开篇部分，就点明了这一后果：“玛丽亚·加夫里洛芙娜受法国小说影响很深，所以容易怀春”（84）。她不顾自己的行为对父母造成的伤害，只愿满足自己的“浪漫遐想”，充当“感情俘虏”的角色。她的身上还有着“游戏爱情”的成分，“她乘车去与一个人结婚，却在教堂里与另一个人举行婚礼；她想嫁给一个人，实际上却又嫁给了另一个人”（Коровин 412）。

如果说她对陆军准尉弗拉基米尔忠贞不渝，那么，在小说结局部分中，普希金以她与布尔明的意外婚姻打破了那个忠贞不渝的神话。

普希金《暴风雪》的故事发生 1812 年反抗拿破仑的卫国战争期间。整部作品充满了感伤的情调，尤其是在开篇部分。这部小说讲述了一个凄凉但又巧合的爱情故事。作品的女主人公玛丽亚小姐与一位前来度假的贫寒的陆军准尉弗拉基米尔深深相爱，但是遭到玛丽亚家庭的强烈反对。两人只能秘密幽会，互通情书。他们坚贞不渝，山盟海誓，同时悲叹命运的不幸。最后他们决定私下秘密结婚，然后一起私奔。弗拉基米尔请了神父，定好了教堂，玛丽亚私自离开父母，径直奔向教堂。但是，弗拉基米尔遭遇了暴风雪，马车也驶错了方向，错过了秘密婚礼。玛丽亚没有等到自己的恋人，回到父母家中，一病不起，万分悲痛。父母出于对女儿的关系，只得同意他们的婚事。然而，弗拉基米尔已经奔赴前线，参加反抗拿破仑的卫国战争，并且受了重伤，几个星期后不幸死亡。故事的结尾部分安排了玛丽亚与从战场活着归来的布尔明上校的离奇而巧合的婚姻，使得凄凉的爱情故事有了些许暖色。

（三）《小姐扮村姑》中贵族独生女儿丽莎

在《小姐扮村姑》这篇小说中，俄国贵族穆罗姆斯基的独生女儿丽莎，尽管也是一个娇生惯养的贵族小姐，但是她在家庭中受到过良好的教育，很有主见，很有个性，而且也很讨人喜欢：

她今年十七岁。一双乌溜溜的眼睛使她那一张黑黑的、讨人喜欢的脸儿更加艳丽动人。她是独生女儿，因而也是一个娇生惯养的孩子。她活泼好动，常常淘气，使父亲很喜欢，却使杰克逊小姐伤透了脑筋。（117）

丽莎所接受的是英国式的家庭教育，她的父亲为她请了英国女教师杰克逊小姐，由于受到英国文化的熏陶，丽莎成了一个地地道道的英国迷。正是由于受到了良好的英国文化的教育，所以，丽莎小姐通情达理，她与邻村的贵族别列斯托夫的儿子阿列克塞相爱了，但是，她顾及自己父亲与阿列克塞父亲之间的怨仇关系，不愿让父亲受到伤害。即使与阿列克塞交往，也是以自己所能想到的独特的方式，装扮成村姑，冒充贫苦人家的姑娘阿库莉娜的名义与对方交往。在村姑的假面具下，她更能看清阿列克塞的真实面目，由

于普遍存在的阶级偏见和社会不公，她在这样的面具下更能看出阿列克塞对爱情的理解，以便走出金钱婚姻的樊篱，寻找到值得信赖的心灵的伴侣。所以，正是她所受的良好教育，使得她避免了《暴风雪》和《驿站长》中的对长辈的伤害。她最终不仅化解了父辈之间的怨仇，而且她也与倾心相爱的阿列克塞结为眷属。丽莎正是因为有了良好的家庭教育，所以，才不会被命运所捉弄，也不会被动地受人欺骗。而是主动地按照心灵的呼唤选择理想的伴侣。“有别于《暴风雪》中的被命运捉弄的玛丽亚，丽莎不是命运的戏弄者，她自己创造机缘，利用偶然，设法与贵族青年相识，将他诱入自己的爱情之网”（Коровин 423）。

从《小姐扮村姑》这篇小说中有关丽莎美丽聪颖的描述中，以及最后有情人终成眷属的喜剧结尾中，我们不难看出普希金对英国文化的积极态度，也是他的《上尉的女儿》、《叶甫盖尼·奥涅金》等作品的创作之所以受到瓦尔特·司各特和乔治·拜伦创作影响的一个明晰的注脚。

综上所述，普希金的《别尔金小说集》不仅以审美价值影响了俄罗斯小说的进程，而且也具有鲜明的认知价值。“就文学认知而言，有些虚构文学作品是知识的潜在的渊源”（Hagberg 286）。因而，我们从普希金的这部小说集中，可以清楚地看到普希金在对待决斗问题上的伦理选择和荣誉理念，这也为他 1837 年的最终解决自身的伦理困境提供了参照。而且，普希金通过对三个独生女儿的形象所作的对文学的伦理教诲功能审视，对于今天的人们来说，同样具有伦理启示价值。

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从《曼斯菲尔德庄园》看奥斯汀的幸福伦理观

Jane Austen's Views on the Ethics of Eudemonia as Reflected in *Mansfield Park*

殷企平 (Yin Qiping)

内容摘要: 温赖特博士揭示了《曼斯菲尔德庄园》的幸福伦理维度,但是她得出的具体结论却令人困惑——她认为女主人公范妮不配做伦理楷模。事实上,范妮的婚姻选择,恰恰体现了奥斯汀所提倡的幸福伦理观。责任、吃苦、自省和自知之明构成了奥斯汀幸福伦理观的要素,它们体现于《曼斯菲尔德庄园》的整体结构,以及它的故事情节和人物形象。奥斯汀通过小说叙事的形式介入了针对“幸福话语”的文化批评语境,用诗性语言阐发了她的幸福伦理思想。

关键词: 幸福伦理; 启蒙现代性; 责任; 自省; 奥斯汀; 曼斯菲尔德庄园

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Title: Jane Austen's Views on the Ethics of Eudemonia as Reflected in *Mansfield Park*

Abstract: For all her merits in shedding light on the ethics of eudemonia in *Mansfield Park*, Dr. Wainwright has come up with a puzzling conclusion, namely that Fanny the heroine is not qualified to be an ethical model. In fact, Fanny's marital choice exactly embodies the ethics of eudemonia advocated by Jane Austen. The elements that constitute Austen's views regarding the ethics of eudemonia are duty, suffering, self-examination and self-knowledge, which find precise expression in the overall structure of *Mansfield Park*, and in its plot and characterization. Through her particular narrative form, Austen contributes to the context of cultural criticism centering round the “discourse on happiness”. Her poetic language brings into full play her thoughts on the ethics of eudemonia.

Key words: ethics of eudemonia; Enlightenment modernity; duty; self-examination; Jane Austen; *Mansfield Park*

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关于简·奥斯汀 (Jane Austen, 1775-1817) 的小说《曼斯菲尔德庄园》(Mansfield Park, 1814), 学术界的争论一直围绕着一个话题, 即女主人公范妮为何始终拒绝嫁给亨利·克劳福德? 与此相关的是另一个热点话题: 范妮配做楷模吗? 在众多解释中, 最具影响力的出自瓦莱丽·温赖特 (Valerie Wainwright) 博士 (意大利佛罗伦萨大学讲师)。瓦莱丽的影响力与其说得益于她的具体解释, 毋宁说得益于她用以解释上述问题的关键词, 即“幸福”和“伦理”。换言之, 她揭示了《曼斯菲尔德庄园》(以下简称《曼》) 的幸福伦理 (ethics of eudaimonia) 维度, 并且指出在该书中“奥斯汀围绕‘通情达理’这一概念, 从正反两方面梳理了幸福伦理的内涵”, 而“作为概念, 通情达理是启蒙道德观——尽管它有多层含义——的核心部分”(Wainwright 61-62)。瓦莱丽所选择的研究角度让人耳目一新, 但是她得出的具体结论却令人困惑——她认为“她(范妮)的推理深为好恶所左右”(Wainwright 62), “倾向于夸大并扭曲”他人的优缺点(夸大埃德蒙的优点, 却贬低亨利的优点); 就亨利而言, 范妮对他有很深的偏见, 因此后者“品格的任何善良迹象, 都会被她打折扣或贬低”(Wainwright 74)。言下之意, 范妮不配做楷模。这样的结论, 笔者很难苟同。我们可以同样从幸福伦理角度入手, 却得出与瓦莱丽相反的解释。正是出于这一理由, 本文拟从同样的角度出发, 探究范妮婚姻选择的原因, 进而揭示其文化意义。

一、对启蒙现代性的回应

熟悉《曼》的读者都有这样一种感觉: “幸福”(happiness/felicity)一词会高频率地扑面而来。不仅平均每一页上都会出现, 而且常常在某一页出现多次。例如, 第48章(或第3卷第17章)倒数第5-6段(刚好一页的篇幅)里, 就出现了6次。频率之高, 强烈地烘托了《曼》的幸福主题: 男女主人公埃德蒙和范妮历经坎坷, 终成眷属, 演绎了一个追求幸福的故事。在范妮和埃德蒙追求幸福的故事背后, 是奥斯汀对启蒙现代性的回应。

事实上, 瓦莱丽注意到了奥斯汀对启蒙现代性的回应。虽然她没有直接使用“启蒙现代性”(Enlightenment modernity)这样的词组搭配, 但是她的如下阐述表明她在关注同一个问题: “启蒙思想最吸引人的特征之一与确认幸福有关”, 而“简·奥斯汀回应的就是启蒙思想家一味顺从理性的心态”(Wainwright 3-10)。此处所说的“幸福”, 显然是指“世俗幸福”, 这可以在美国加州州立大学的诺顿 (Brian Michael Norton) 博士那里得到印证: “对世俗幸福的确认, 长期以来被视作启蒙运动的标志性胜利之一”(Norton 1)。在启蒙运动之前, 西方人的幸福观大都以天堂为旨归, 只有上帝/神才掌握

着人类幸福的钥匙,而随着启蒙运动的胜利,“世俗幸福逐渐被认作基本人权;在此之前,作为神学遗产的幸福观认为,人世间的一切只是预示了‘天堂的极乐’,而如今这一思想已经被彻底颠倒过来了”(Jones 288)。这种从神圣到世俗的过程,可以被看作启蒙现代性的过程,就如汪民安所说的那样:“从16世纪开始,欧洲社会生活开始从神圣的超验领域退却了,它们越来越转向世俗的事务。纵向的天国逐渐被铲平,人们开始在地上横向地彼此观望。这种向俗务的实践性退却,同时伴随着观念领域的世俗化退却。这个从神圣到世俗的过程,一般被看作是启蒙现代性的过程,也就是说,欧洲从16-18世纪展开了启蒙现代性的叙事”(汪民安 54)。启蒙现代性作为一种现代哲学体系,固然有其积极元素,如科学、理性、主体和人本主义等,然而它“主要依赖科学理性,更贴切的说法是工具理性(instrumental rationality),指那种可计算性的逻辑推理。工具性把思想转化为物质、效率,为现代社会青睐,助长重物质实效和实证的现代价值。然而,对工具理性的依赖不能提供生命的意义,甚至会……排斥人类生存所需要的更深远的智慧”(童明 6)。作为启蒙现代性——即一种现代哲学体系——的核心命题,“幸福”被启蒙思想家们从“天堂”里拯救了出来,接上了地气,这本来具有十分积极的意义,可是由于启蒙思想家过度依赖工具理性,过分倚重体系化的思想,因此现代幸福观演变成了一种个人主观模式。用诺顿的话说,“启蒙运动热衷于个人对福祉的主观感受,切切实实地把幸福变成了一种规范性理想”(Norton 10)。问题也就随之而来了:强调主观感受的幸福模式隐含着一种危险,即幸福观念的认知维度和伦理维度开始分道扬镳——在传统幸福观中,两者是交融的。麦金泰尔对此曾经有过论述:在上述模式中,“责任和幸福的纽带逐渐被撕裂了……原先幸福定义中的满足感,要根据主导社会生活形态的标准来衡量,而如今幸福不再根据那种满足感来界定了,而是仅仅从个人的心理感受层面来界定”(MacIntyre 167)。责任是伦理的核心要素,它一旦游离了幸福观念,后者的伦理维度也就不复存在了,这就是启蒙现代性的症候之一。

也就是说,在奥斯汀之前,就已经流行着一种有悖于传统的“幸福话语”,它重视个人感受,轻视乃至无视个人对社会的责任。到了奥斯汀年代,这种情况愈演愈烈。出于对社会的高度责任感,奥斯汀在她所有小说中都对上述情况进行了反思。如马科维茨(Stefanie Markovits)所说,“在奥斯汀的小说中,幸福观的道德维度受到了威胁”;反过来说,“幸福形式在奥斯汀的所有小说中都得到了审视”(Markovits 782-783)。须要指出,在奥斯汀之前,针对“幸福话语”的文化批评语境已经形成。根据诺顿的研究,18世纪的优秀小说——如约翰逊(Samuel Johnson, 1709-1784)的《阿比西尼亚王子拉塞拉斯》(*History of Rasselas, Prince of Abissinia*, 1759)等——“无情地批判了同时代的幸福话语”(Norton 12),也就是形成了对于后者的批评语境。奥

斯汀的贡献，在于她介入了这一语境，并呈现了独特的批评话语，《曼》就是一例。一言以蔽之，对“幸福话语”的批判，就是对启蒙现代性的回应。离开了这一点，就无从理解《曼》的深意。

让我们回到瓦莱丽的质疑：范妮配做楷模吗？此一问，即伦理之问。《曼》中范妮、埃德蒙、亨利、玛丽和马丽亚都追求幸福，尤其是幸福的婚姻，但是他们衡量幸福的标准不同，追求幸福的方式也不同，这里面就有伦理问题。他们的结局也不同：范妮和埃德蒙终成眷属，获得了幸福，而亨利追求范妮未果，转而引诱马丽亚私奔，最后陷入痛苦的泥潭。瓦莱丽从幸福伦理的角度出发，发现亨利本来也应该获得幸福，其理由是“他（对范妮）的爱……含有获得拯救的希望”（Wainwright 69），可是范妮偏偏不够通情达理（参见本文引言），不给亨利任何机会，致使他以沉沦告终。前文提到，瓦莱丽曾强调通情达理是启蒙道德观的核心，而且“通情达理是良性参与所有人类福祉的基本前提”（Wainwright 68）。至此，瓦莱丽的推论已经相当清楚：既然范妮不够通情达理，也就未能满足幸福伦理的前提，因此她称不上楷模。然而，依笔者之见，范妮选择埃德蒙，而不选择亨利，恰恰是因为她通情达理；她的婚姻选择，恰恰体现了奥斯汀所提倡的幸福伦理观。为说明这一点，我们还得从瓦莱丽的发问谈起，即“为什么范妮·普赖斯连一刻都不考虑跟亨利·克劳福德的联姻”（Wainwright 55）？

二、责任是幸福伦理的内核

范妮为何连一刻都未想要嫁给亨利？答案其实很简单：他俩的幸福伦理观不同。更具体地说，范妮的幸福伦理观伴随着一份责任感，一份对他人/社会的责任感，而亨利从来就没有这种责任感。

在他们相识的初期，亨利就给范妮留下了极坏的印象：他跟马丽亚（埃德蒙的妹妹）暗中调情，挑逗后者动了真情，却又不负责任地甩了她；范妮看在眼里，心生厌恶，这在书中写得明明白白（以她后来的回忆形式叙述）：“克劳福德先生追求马丽亚·伯特伦时偷偷摸摸，阴险狡诈，背信弃义，这让她感到厌恶……”（302）¹不仅是对马丽亚，几乎是对所有的姑娘，亨利都带着玩世不恭的态度，这连他妹妹玛丽也不否认：“他时常打情卖俏，这很可悲。他把年轻女士们的感情世界搅得天翻地覆，可是他几乎一点儿也不在乎。我经常为此责备他，不过这可是他唯一的弱点”（336）。玛丽是在劝说范妮接受亨利时说那番话的。在她看来，玩弄别人感情只是小小的瑕疵，可是在范妮看来，却是不负责任的品德问题。关于这一点，范妮在与埃德蒙的一次交谈中说得清清楚楚：“我认为他完全不适合我，并非是出于性情方面的考虑……我不赞同他的人品。从排练（笔者按：范妮和亨利相识的初期，曾经跟埃德

1 本文相关引文均出自 Jane Austen, *Mansfield Park* (London: Penguin Books, 2014)。下文只标注页码，不再一一说明。

蒙、马丽亚和玛丽等人一起排戏,自娱自乐)的那段时光起,我就不看好他了”(324)。就是在那次排练期间,亨利玩弄了马丽亚的感情,从此也就封堵了范妮对他产生好感的可能性。换言之,如果亨利的幸福取决于范妮的认可,那么他一开始就已自毁前程——他那不负责任的行为,及其背后的幸福伦理观,与范妮的相去不啻天渊。

那么,范妮的幸福伦理观又是怎样的呢?她从小寄人篱下,在姨妈家长大,虽常常遭受委屈,却从小愿意担当。姨妈和姨夫对自己的四个孩子明显地偏爱,但是范妮从未有过怨言,而是始终不忘姨妈、姨夫的养育之恩,是家里承担家务最多的一个。她很早暗恋上了表哥埃德蒙,但是由于后者起先爱的是玛丽,因此她很好地隐藏了自己的感情,所做所言都为埃德蒙的幸福着想。直到埃德蒙和玛丽因价值观不同而分手之后,范妮才向埃德蒙吐露了心曲。也就是说,范妮的爱情观始终带有伦理成分;她深爱埃德蒙,却丝毫不去妨碍他和玛丽接近,因为她怀有对他人的责任感。特别值得一提的是,当她在(因埃德蒙爱上了玛丽而)极端痛苦时,她还能对私心保持警觉,努力防止让爱情变得自私,并把这种努力视为责任:“她意欲克服所有过度的负面情绪,防止自己对埃德蒙的爱跟自私搭边,并觉得这是自己的责任”(244)。当她终于和埃德蒙牵手时,她考虑的也不仅仅是个人的幸福,而是周到地安排妹妹苏珊接替自己照顾姨妈(后者此时已经变得十分依赖范妮)。事实上,她从懂事那天起就一直善于为他人着想,即便是在拒绝亨利这件事情上,她也多半是为对方的幸福考虑——在姨夫要她嫁给亨利时,她给出的首要理由是:“我永远不可能使他幸福”(295)。也就是说,在范妮的爱情观和婚姻观中,责任和幸福的纽带是牢不可破的。更透彻地说,范妮的责任感是她获得幸福的基本保证,她的故事正好演绎了奥斯汀的幸福伦理观,或者说演绎了“责任”如何作为“最基本的伦理规则”(聂珍钊 14),而正因为范妮遵循了这一规则,才获得了真正的幸福。

与范妮相反,亨利的情形则如麦金泰尔所说(参见本文第一节第二段),责任和幸福的纽带全被撕裂了。当他跟妹妹玛丽谈论自己追求范妮一事时,就曾一语泄露天机:“要完成我的幸福”(274)。确实,他心里只想着自己的幸福。然而,他在范妮面前却显得只关心后者的幸福:“我不会谈我的幸福……因为我心里只想着你的幸福。跟你相比,谁还会更有幸福的权利呢”(276)?从上下文来看,这番表白完全是言不由衷。类似的例子还有许多,如下面的描写:跟范妮交谈时,亨利会“滔滔不绝,表达爱心,索求回报”(278),并坚信“只要坚持,就能确保回报”(302)。这种以回报为前提的爱情/幸福观已经失去了伦理维度。前文提到,瓦莱丽曾强调亨利本应从对范妮的爱中获得拯救;言下之意,因为范妮不通情理,不给亨利丝毫机会,因而导致后者自暴自弃。然而,我们要问:亨利给范妮的是真爱吗?诚然,亨利确实为范妮付出了许多,尤其是为她的哥哥威廉谋到了一个理想的职位,但是如

上文所说，他这样做是为了索取回报。从表面上看，他在跟范妮交往期间，似乎比先前规矩多了——先前他走马灯似地换着女朋友，而这次却表现出空前的耐心。也许正因为如此，瓦莱丽认为范妮若能投桃报李，就能帮助亨利改邪归正，从而获得拯救。如此推理，范妮似乎真不够通情达理，但是瓦莱丽未能追问一个更重要的问题：亨利的“爱”含有获得拯救的种子吗？假如范妮接受了他，他就会真的变好吗？要回答这个问题，就要看他追求范妮是出于什么动机。假如他的爱是真诚的，那么瓦莱丽的立论或许还能成立，然而情形并非如此。如书中所示，亨利追求范妮只是为了获取一种新奇的快感：“他一想到很快就能迫使她爱上自己，就从中获得了莫大的快感……先前他博取女人的欢心太容易了，而这次却有新鲜感，让他欢欣鼓舞”（302）。可见，亨利追求范妮，只是博取快感而已，或者说是为了寻求新的刺激——原文中“欢欣鼓舞”（animating）一语实为委婉词，无异于“感到刺激”。范妮看穿了这一点，故而不为所动，这恰恰说明她是通情达理的，而这跟她幸福观中的责任/伦理成分有关。

三、善于自省：幸福前提之前提

让我们再回到瓦莱丽的“通情达理”一说。如前文所示，瓦莱丽认为通情达理是良性参与所有人类福祉的基本前提。那么，怎样才能做到通情达理呢？奥斯汀又会有什么样的看法呢？瓦莱丽对此也有解答：“奥斯汀的读者必须直面一个问题，即人究竟能否获得自知之明，而自知之明则是通情达理的必要前提”（Wainwright 25）。换言之，自知之明是人类幸福前提之前提。

根据上述标准，瓦莱丽断定范妮缺乏自知之明：“奥斯汀不可能欣赏‘不跟自己作斗争’的心智”，而范妮的心态深受（对于玛丽的）嫉妒、（对于亨利的）偏见和（对埃德蒙的）偏爱的干扰，因此不可能“赢得能使自己思想完好无损的内心斗争”（Wainwright 26）。言下之意，范妮不善于自省，即便有自省，也会受到嫉妒等情绪的干扰，因而达不到自知之明。事实果真如此吗？

首先，我们必须承认：就奥斯汀的主张而言，瓦莱丽是对的——奥斯汀确实主张人要不断自省，否则就不能自我成长。这一主张几乎体现于她的所有作品。例如，在《傲慢与偏见》中，达西和伊丽莎白都经历了一个自我怀疑、自我反省、自我改造的过程，而且其中夹杂着痛苦的磨练。换言之，通往幸福之路，必须是以自省为前提的自我成长之路。奥斯汀并非这一思想的首创者，而是从伯克（Edmund Burke, 1729-1797）等先辈那里继承了这一思想。我们至少可以说，从伯克以降，自我怀疑的精神构成了“英国文学乃至任何文学中最优秀的品质之一”（陆建德 191-192）。作为英国文学中最优秀的作品之一，《曼》也具备了上述品质。然而，按照瓦莱丽的观点，这一品质至少未能体现在范妮身上。依笔者之见，范妮跟伊丽莎白和达西一样，也

具有善于自省的优秀品质。也就是说，瓦莱丽的工作只完成了一半：她敏感地捕捉到了奥斯汀的重要文化/伦理思想，并抓住了“通情达理”和“自知之明”这两个关键词，然而她百密一疏，竟对范妮的上述品质视而不见。我们若细读文本，就不难发现：范妮恰恰是不断自省、自我成长的楷模。伊格尔顿(Terry Eagleton, 1943-)就曾注意到范妮善于反思，尤其善于使用“得体”(the decorous)这一尺度，即在为人处世方面力求“每个人的情感都得以照顾”(Eagleton 110)。鉴于伊格尔顿未能提供具体的例证，我们有必要在下文举例说明。

我们前面其实已经给出了一个例子：范妮即使在暗恋埃德蒙而陷入极端痛苦时，也能努力“克服所有过度的负面情绪，防止自己对埃德蒙的爱跟自私搭边，并觉得这是自己的责任”(详见本文第二节第三段)。这类例子并不在少数。在小说第二卷第十九章中，范妮就有过一段深刻反省并自责的经历：姨夫托马斯爵士从安提瓜岛回家之后，见到范妮格外亲切，问寒嘘暖，这使她立即陷入了深思——她先前总觉得姨夫过于严肃，甚至希望他不要回家(即便是在阔别之后)，而此时她发现“他原来是那么善良，而她却几乎没为他付出过爱心，为此她深感自责”(166)。实际上，反思和自省是范妮的生活常态。上文的第一例已经表明，她即便在极度痛苦时也会自省。我们还能找到她在极度快乐时反省的例子：范妮回朴茨茅斯探望亲生父母期间，突然收到埃德蒙的来信，信中思念之情溢于言表，这使“范妮从未像现在这样想要喝一杯烈性浓酒，以此平复自己的兴奋”(411)；然而，她随即想到此时的曼斯菲尔德庄园正遭受着打击(小女儿朱丽娅跟人私奔，全家人陷入痛苦)，不由得审视起自己的情感及其合适程度。下面的这段反思意味深长：“她觉察到自己极其快乐，然而许多人却还在痛苦中，这可是莫大的危险。朱丽娅出走，这本是不幸，却给她带来这么大的好处(笔者按：埃德蒙一家在痛苦中更想念范妮，更依赖她的安慰和帮助，所以有“好处”一说)！她真害怕自己会变得麻木不仁起来……她居然未能合适地分担家里人的痛苦。朱丽娅私奔了，给家里人带来了痛苦；相比之下，她感受到的痛苦却那么小，这让她错愕，让她震惊……”(411)这难道不是深刻的自我剖析吗？正因为范妮善于自省，奥斯汀才让她最终走向幸福，可谓深意藏焉！

同样的意蕴还体现于其他几位人物的形象。更具体地说，在奥斯汀笔下，善于自省的人物能走向幸福，反之不然。先以托马斯爵士为例。他是一个典型的圆形人物，即品格、人生观经历重大变化的人物。刚接纳范妮时，他虽然声称“不会允许我的女儿们对表妹有丝毫傲慢”，却马上又强调“她们的地位、财富、权利和前程将永远不同”(12)。由于这种深藏于内心的优越感，他在教育子女方面只注意表面修为，而忽视了内在品质的培养，以致孩

子们（除埃德蒙之外）“完全缺乏自知之明、慷慨和谦卑等品质”（20），因而接二连三地出事：大儿子汤姆奢靡成癖，经常惹祸，女儿朱丽娅和马丽亚先后与人私奔，酿成丑闻。好在托马斯爵士最后学会了自省，“意识到了自己行为上的错误”（428），尤其是“深信自己在教育两个女儿方面的错误……他养育了女儿，却未教她们懂得自己有哪些首要责任，而他自己并不懂她们的品格和习性”（429-430）。得益于这些反省，托马斯爵士渐渐改掉了自身的毛病，变得不那么傲慢（他开始对范妮、子女们一视同仁，而不再像先前那样暗含歧视），对子女们的教育也有所改善，从而家庭比以前和睦，他自己也比以前幸福了。

再以托马斯爵士的子女们为例。汤姆的生活作风曾经使他一事无成，屡屡受挫，还大病了一场。好在他吃苦以后能痛定思痛：“他经历了痛苦，终于学会了思考，而吃苦和反思这两种经历的益处，以前跟他是无缘的”，他还“从不幸事件中学会了自责……变得本分起来，成了父亲的帮手，变得沉稳淡定，不再只为自己活着”（429）。此处，“经历了痛苦”以及“吃苦和反思这两种经历的益处”这两句含义深刻，暗示着（奥斯汀心目中）幸福的必由之路。这一思想还体现于两个女儿的不同结局：朱丽娅修补了给家人造成的损失（她跟情人正式成婚，并重新融入了曼斯菲尔德庄园），找回了些许幸福，而马丽亚却以沉沦告终。书中给出了这样的解释：朱丽娅比马丽亚“从小娇惯较少，受宠较少……从小所受教育还未让她变得无比自大，而自大则是十分有害的”（432-433）。换言之，马丽亚比朱丽娅吃苦更少，因而更没有自知之明，这便是她跟幸福绝缘的根本原因。异样的结局，昭示了同样的幸福伦理观：幸福须有自知之明，而未经痛苦，人难有自知之明。奥斯汀专家萨瑟兰（Kathryn Sutherland）有过如下评论：范妮贵有自知之明，而“自知之明要吃苦后才能获得”（Sutherland xvii）。这一评论可谓切中肯綮。

结 语

责任、吃苦、自省和自知之明构成了奥斯汀幸福伦理观的要素。它们体现于《曼》的整体结构，以及它的故事情节和人物形象。奥斯汀通过小说叙事的形式，介入了针对“幸福话语”的文化批评语境，用诗性语言阐发了她的幸福伦理思想。美国哲学家罗蒂（Richard Rorty, 1931-2007）在表达伦理诉求时曾经呼吁“转离理论，转向叙事”（Rorty xvi），这一观点不无道理，因为小说叙事——尤其是《曼》那样的诗性叙事——往往比纯理论更能促进人类的伦理自觉，尤其能“重新描述我们自己，包括被传统的自我描述所掩盖的品质……”（Larson 8）就这一意义而言，奥斯汀早已走在了罗蒂等哲学家之前。

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偶像的黄昏：论《神箭》中伊祖鲁的身份危机与伦理选择

Twilight of the Idol: The Identity Crisis and Ethical Choice of Ezeulu in *Arrow of God*

黄 晖 (Huang Hui)

内容摘要：阿契贝的小说创作记录了 20 世纪非洲部族社会的“秘史”。作家侧重于从人物的伦理身份出发，通过展现其被疏离的过程，考察部族社会的变迁尤其是乡村伦理的衰微，进而折射出部族政治和社会机制的变化。本文拟将《神箭》与非洲处于殖民主义时期的伦理、宗教、法律互为参照，通过文本细读和对文本历史语境的考察，以“身份危机”切入，分析伊祖鲁的伦理悲剧，以期阐明该作品所隐含的非洲部族社会的伦理机制。

关键词：《神箭》；身份危机；伦理选择；伦理悲剧

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Title: The Identity Crisis and Ethical Choice of Ezeulu in *Arrow of God*

Abstract: The novels of Chinua Achebe keep a record of secret history of African clan in the 20th century. He investigates the changes of the clan especially the decline of rural ethics through the protagonists' ethical identity, thus reflects the changes of the clan politics and social mechanism. This article reads Achebe's novel against the social background of ethics, religion and law when Africa was under the colonial force. Through the close reading and the historical context of text, the article analyzes Ezeulu's ethical tragedy from the perspective of identity crisis, thus illuminates the ethical mechanism of African clan.

Key words: *Arrow of God*; identity crisis; ethical choice; ethical tragedy

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尼日利亚作家钦努阿·阿契贝（Chinua Achebe, 1930–2013）是尼日利亚乃至非洲最著名的作家之一，被誉为“非洲文学之父”。《神箭》是阿契贝“尼日利亚四部曲”中的第三部，自1964年出版后深受学术界的好评，有批评家认为它是“最具有神秘色彩、最富有文化内涵的非洲小说”（Wren105），小说讲述优鲁神大祭司伊祖鲁因无法协调与殖民者、与族人以及与自我之间的矛盾冲突而走向疯癫的故事。以往的研究主要集中在后殖民批评方面，从殖民矛盾、种族意识和宗教文化的视角解读文本，这些研究成果对于我们理解《神箭》具有重要的参考价值。但迄今为止，国内外评论界还没有学者从文学伦理学批评的视角来解读和剖析该文本，故笔者尝试运用文学伦理学批评方法，深入分析男主人公伊祖鲁所处的伦理环境，通过对他的伦理身份和伦理选择的辨析和考量，来阐释该作品所隐含的非洲社会的伦理机制。

一、半神半人：伊祖鲁的身份危机

巴尔扎克认为小说是一个民族的秘史。在阿契贝那里，所谓的“秘史”不是村庄史或地域史，而是一个时代之中的人的伦理身份的裂变与重塑。也就是说，从人的身份变迁来折射社会的变迁，聚焦于人物的“文化心理结构”（李泽厚82）而淡化具体的历史事件。文学伦理学批评重视对人物伦理身份的分析，聂珍钊教授指出：“所有伦理问题的产生往往都同伦理身份相关”（263），“伦理身份是评价道德行为的前提。在现实中，伦理要求身份同道德行为相符合，即身份与行为在道德规范上相一致”（265）。人物的伦理身份是维系其与他人、与社会、与自然之间关系的纽带，彰显出人物对道德规范的遵守。《神箭》的精彩之处就在于阿契贝对社会文化结构和人物心理的认识超越了单纯的政治层面，从而能够以错综复杂的伦理身份来把握人物的精神面相。

小说的主人公伊祖鲁是乌姆阿若部族最高神优鲁神的大祭司，具有神和人的双重伦理身份：作为神的那一半，在重要的节庆日要主持六个村子的祭祀活动，负责替村民和神灵沟通，为神灵献祭，为村民祈福；作为人的那一半则有普通人的七情六欲，要娶妻生子，要耕耘劳作。这种神性和人性的双重身份导致他很难区分自己所行使的权利是他作为人所具有的，还是他作为神所具有的。他有时也会感觉到自己的权利可能是虚幻的，他只不过是神和部族之间的一个中介和调解人而已，其实并不具备绝对的权威，“是的，他为南瓜叶节和新木薯节命名；然而他无法选择日子。他不过是守护人而已。他的权力和一个孩子对山羊的所谓权力没有什么不同”（4）¹。然而他固执高傲的性格又不允许他这样来怀疑自己，“不！优鲁神的大祭司不只如此，绝不应该只是如此。假如他拒绝为那天命名，便不会有节日——没有种植，

1 本文相关引文均出自阿契贝《神箭》（重庆：重庆出版社，2011年）。下文只标注页码，不再一一说明。

没有收获”（4）。伊祖鲁一心想把个人的愿望和神的意志统一起来，借助神谕的力量，维护自己在村民心目中的权威地位。

然而有一年，发生了土地纠纷这个一个具有现代性意义的事件，并引发乌姆阿若要与另一个部族奥克帕瑞发动战争。之所以说这一事件具有现代性意义，是因为两点：第一，它把外来入侵者白人殖民当局牵涉进来；第二，它严重挑战了优鲁神的权威。起初，伊祖鲁告诫村民不要发动这次战争，但大家没有听从他的劝告，执意挑起来战争，伊祖鲁认为这是对自己权威的蔑视，对村民的违抗行为极为不满。结果战争持续了五天，双方相持不下，殖民当局出面干涉并收缴了双方的武器。在殖民当局调查这土地纠纷的过程中，伊祖鲁提供了不利于自己部族的证词，说那块具有纠纷的土地本来就是奥克帕瑞送给乌姆阿若的，结果那块地被判给了奥克帕瑞，并由此导致了伊祖鲁的身份危机，“一场现代意义的土地纠纷事件在乌姆阿若导致了对优鲁神的怀疑，并动摇了部族的历史久远的宗教根基”（蒋晖 65）。

之所以这样说，是因为在伊博族人传统的社会运作机制中，大祭司的意见具有非常高的权威性，他的话在一定程度上可以视为部族的法律。一旦大祭司抬出祖训，许多事情往往就会一锤定音、毋庸置疑。伊博族人有个不成文的规定，那就是父亲绝对不会对儿子撒谎，这是伊博族人的社会机制赖以运行的伦理基础，“说‘我父亲告诉我’，这可是最重的发誓”（117），因此伊祖鲁深信如果乌姆阿若人拒绝听从自己的劝告，优鲁神不会帮他们“打一场非正义的战争”（20）。村子里的财主诺瓦卡是伊祖鲁的政治对手，他引用另一句谚语来反对伊祖鲁，“智慧就像山羊皮袋，每一个男人都有他自己的皮袋。对这片土地的知识也是如此”（21）。这片土地的历史比乌姆阿若的历史还要古老，换句话说，它在优鲁神出现之前就已经存在了，因此如何来保证优鲁神的祭司所说的话就是真实的呢？诺瓦卡同样是以父亲的名义提供了土地历史的另外一个版本，这块土地原本就属于乌姆阿若，直到白人入侵以后，奥克帕瑞人才敢宣示对这块土地的所有权。诺瓦卡最后认为伊祖鲁之所以不赞成开战，是因为他的母亲来自于奥克帕瑞，“混血的男人往往失去了一颗战斗的心”（22），这可谓是给予伊祖鲁的最致命一击。

二、解构神权：伊祖鲁的伦理困境

聂珍钊教授在《文学伦理学批评：基本理论与术语》一文中认为文学伦理学批评应重视对文学的伦理环境的分析，强调文学批评应该回到历史的伦理现场，“站在当时的伦理立场上解读和阐释文学作品，寻找文学产生的客观伦理原因并解释其何以成立，分析作品中导致社会事件和影响人物命运的伦理因素，用伦理的观点对事件、人物、文学问题等给以解释”（14）。《神箭》这部小说在某种程度上可以视为一部深刻揭示非洲乡村伦理日趋衰微的小说。返回男主人公伊祖鲁所处的伦理现场，辨析他的思想发展过程中众多

的遭遇和面临的困境，我们可以发现其中对伊祖鲁影响最深的莫过于正在走向衰落的部族运行机制。

我们从上文的分析不难看出，传统的伊博族土地纠纷并不通过司法程序裁定，而是以宗教的方式解决。理斯曼认为在传统导向型的社会，“生活的重要关系受到周密而严格的礼仪的控制……文化的一部分为社会的统治和支配提供了礼仪、惯例和宗教”（大卫·理斯曼 244）。在这次纠纷中，伊祖鲁还是想当然地认为只要他传递了上任大祭司的口训，问题就可以迎刃而解。但出乎意料的是，这一次，宗教裁定再也没有人愿意听了。诺瓦卡一直在和伊祖鲁作对并拒绝承认大祭司的权威，认为应该对大祭司举行两个重要节庆仪式的权力加以严格限制。他对伊祖鲁的权威进行了公开的挑战，“带着神灵的人并不是国王。他只是执行他的神的仪轨，向他献祭。我观察这个伊祖鲁多年了。他是一个有野心的人；他想成为国王、祭司和预言者……我实在看不下去了，优鲁神的祭司把自己当成主人一样凌驾于我们之上。……不管是谁想用优鲁神的名字吓唬我们，我们都不要去理会他”（36-37）。诺瓦卡提出了否定大祭司指令的动议，动摇了伊祖鲁在人们心目中的神圣地位。

大祭司的意见都是至高无上的，为什么在土地纠纷事件中遭到否决呢？一直以来，在伊祖鲁的内心深处都有一个巨大的担忧，即优鲁仅仅是一个人为的神，其地位远不如自然神，在噩梦中他曾听见诺瓦卡煽动一大群乌姆阿若的长者，“现在的优鲁神有什么能力呢？……让我们把优鲁神赶走吧，就像阿尼塔人那样！”（197）诺瓦卡的话是极具颠覆性的：既然神是人们制造出来的，那么当神不能实现人类的愿望时，为什么不能被摧毁呢？既然人们自己也可以看见月亮和季节的变化，那么还有必要让神和祭司来做这项工作吗？为了回答这些问题，就必须探究优鲁神的来源和功能。原来在很久以前，构成乌姆阿若的六个村子是独立的，为了抵御外族的入侵而被迫建立了联盟，“他们雇佣了一群强大的药师，为他们请来共同的神灵。六个村子的先辈制造的这个神就叫做优鲁”（20）。优鲁神是联盟的象征，祭司可以传达神的法力，但一切都是人们赋予他的，“代表着团体的精神和权力”（Innes 78）。

随着威胁其生存的其他部族被白人殖民者征服，乌姆阿若失去了维护联盟的动力。特别是在土地纠纷之后，乌姆阿若的实力也被内部的分裂所削弱。温特波特姆上尉收缴了他们的武器，乌姆阿若没有了自卫的能力。更为糟糕的是，他们的祭司站在白人的一方来对抗自己的族人，从而破坏了乌姆阿若的团结。当诺瓦卡意识到大祭司无法团结族人为土地而战，他作为乌姆阿若的第一个政治领袖要求人们改变对优鲁神的信仰。对此，曾有学者指出，在伊博人的文化习俗中，“当人们对自己所供奉的神不再满意时，他们就会抛弃神”（Kortenaar 1）。

由是观之，伊祖鲁的思想和行为都不符合现代社会以法制为核心内容的

伦理机制对大祭司的伦理道德规范和要求,因此他无法融入现代社会,也难以界定自我的伦理身份,由此陷入了在两种运行机制的边缘徘徊不定的伦理困境,伦理困境指的是“由于伦理混乱而给人物带来的难以解决的矛盾与冲突”(2)。《神箭》以一场突如其来的土地纠纷为中心,描写了宗法制世界与外来者所代表的破坏这种伦理机制的现代文明之间的剧烈冲突,阿契贝清醒地意识到来自民间的古老宗法制传统将不可避免地走向衰落。在他看来,同资本主义现代文明相比,宗法制部族社会的习俗、精神风貌、思想道德已经失去了生命力和优越性,从而无法抵御外部世界的影响。

三、神之箭:伊祖鲁的伦理选择

《神箭》的叙事横轴是各方势力为土地和声誉而展开的明争暗斗,纵轴是身份认同剧变时期代际间的激烈冲突。正是通过伦理冲突与政治斗争的复杂纠葛,《神箭》真实反映了非洲部族社会的历史变迁,记录了一种正在消逝的古老生活方式——乡村宗法制传统。现代文明的入侵打破了传统的社会文化结构,极大地改变了人的伦理环境,同时也改变了人们原先固有的伦理身份和伦理观念。在阿契贝看来,这一艰难的社会机制转型是以人的自我身份的失落为代价的。人们在失去物质和精神意义上的家园——土地和信仰之后,很容易变得进退无据、无所适从。如果人物不知如何确定自己的伦理身份,便容易使自身陷入伦理困境之中。因此,人物在伦理身份发生变化时,必须作出相应的伦理选择。伦理选择是文学伦理学批评的核心术语之一,“在文学作品中,伦理选择往往同解决伦理困境联系在一起,因此伦理选择需要解决伦理两难的问题”(268)。在特定的伦理环境中,人的伦理选择有时是主动的,有时却是被动的,人从出生开始,直至生命结束都在经历着种种伦理选择。对伊祖鲁而言,在因土地纠纷而引发的内部矛盾尚没有解决之际,一个偶发事件导致的外部矛盾接踵而至。

先从小说的背景来看,《神箭》的故事发生在英国殖民政府推行“卢加德间接统治制度”以巩固其在尼日利亚殖民统治地位的历史时期。20世纪20年代,英国加快了在尼日利亚的殖民扩张步伐,殖民当局深感管理人员之不足,于是采纳了卢加德殖民总督提出的间接统治的策略,就是利用当地的部族上层人物作为代理人来实现殖民统治。这种做法不仅可以得到部族上层的支持,同时也可以缓解与土著居民的对立情绪。在解决土地纠纷的过程中,殖民当局的行政长官温特波特姆上尉发现伊祖鲁居然能够站在族人的对立面说出真相,从而留下深刻的印象。现在面对必须要执行的政策,他盘算着把伊祖鲁请来,要他接受委任。没有想到的是,派去通知的北方人要威风,把邀请变成了命令,被伊祖鲁断然拒绝。打发信使后,伊祖鲁知道殖民当局不会善罢甘休,于是召集族人商议对策。因为害怕白人报复,族人们面面相觑一言不发,失去公众支持的大祭司最终身陷囹圄。

在被白人关押了 32 天后，伊祖鲁回到了乌姆阿若，决心和族人进行一场决定性的较量，以此来捍卫自己作为大祭司的伦理身份。但当他回到村子的时候，收到了热烈的欢迎，他的报复心动摇了，希望能和部族和解，即使做不到，也要缩小冲突的范围。当他坐在自己的神庙里，苦思冥想的时候，基督教堂的钟声敲响了，其他村子的祭司们用他们的神蛇向他的优鲁神进攻。他不能让自己的权威就这样轻易失去，优鲁神也通过梦幻向他发出旨意，说这不是他个人的战斗，而是优鲁神和神蛇的战斗。他再一次成为神的代理人，成为优鲁神弓上的一支箭，向乌姆阿若发起反击。他把报复的时间节点选在了部族最关键的节日——新木薯节，拒绝宣布收获季节的到来。伊祖鲁告诉大家这是按照优鲁神的旨意来规训不服从教规的族人，“毁掉这些人，不是我的意思，让乌姆阿若最小的男人受苦，更不是我的意思，这不是我能控制的。有时候神灵们把我们当做鞭子一样使用”（257）。

尽管众人一再请求，伊祖鲁仍然拒绝屈服。伊祖鲁的一意孤行使整个部族陷入巨大的混乱状态，因为在伊博族传统中，如果大祭司在节日到来时不宣布，就意味着这个节日没有真正到来。自然的时序更迭没有意义，节日必须通过宗教命名活动才能进入世俗世界系统。在他们看来，伊祖鲁是在滥用他的宗教功能，他的举动不仅没有让民众团结在他的周围，反而导致乌姆阿若人心涣散、分崩离析。尽管民众如此愤怒，却没有人胆敢挑战优鲁神的权威。一向敢说敢言的诺瓦卡也被要求闭口不言，因为大家担心引发优鲁神更严厉的报复。他们别无选择，只要眼睁睁地看着木薯烂在地里。最终，这种僵局被白人利用了，他们发现村民们急切地需要获得准许以便收获成熟的木薯，于是传教士创立了一个新的收获季节来取代由大祭司掌管的新木薯节。不再臣服于优鲁神的权威，乌姆阿若人有了新的选择，“不管是谁，只要是不愿意干等着眼巴巴看着庄稼被毁的，就可以带着贡品去找基督徒的神，它会有能力保护他们，而不必担心优鲁神的愤怒”（267）。

由此可见，《神箭》的文本其实包含了一个巨大的创伤性的情感结构，那就是西方殖民统治所造成的极度扭曲的人与人的关系，这个创伤并不是书中每个人物都能体会到的，被殖民者大都对此习以为常或曰麻木不仁。只有伊祖鲁与众不同，他是书中唯一一个企图与周围的人建立情感交流而又每每失败的人。作为部族的大祭司，伊祖鲁的伦理身份必然要求他在战胜个人创伤经验的同时，还要建构对于传统宗法文化的认同，使传统导向不断内化。然而世风日下、人心不古，他最终发现人与人形成的社会共同体不再建立在亲密的、相互了解的、可以对话的关系之上，而是建立在工具理性意义上的各种实用的现实考量之上。部族从传统的宗教仪式的束缚中解脱出来，传统信仰失去了它的号召力，白人的上帝成为部族新的保护者，伊祖鲁本人反而成为一个孤独的被遗弃者。

结 语

《神箭》是对一位与不可逆转的命运抗争、虽败犹荣的“英雄的礼赞”（Lindfors 45），被评论家称之为“阿契贝最好的小说”（Wren 8），阿契贝不仅是深刻的思想家，也是卓越的社会矛盾观察者和研究者，他注意到白人官僚机构的膨胀破坏了旧的部族社会结构。随着白人权力向乡村的逐步渗透，原先由首领、祭司维持的乡村秩序让位于代理人所代表的文化心理结构、伦理变迁与部族政治权力，部族由德治、自治转向政治统治，“村社准则、乡规、共享的观念，退出了公共话语空间，甚或不复存在”（李怀印 315）。伊祖鲁固然睿智，但他却无法真正洞悉到部族社会的伦理失序。阿契贝赋予了伊祖鲁悲剧英雄的伟大形象，他用伊祖鲁的疯癫，来震撼那些麻木的被统治的族人，同时也告诫殖民者，自己的民族中依然有着清醒的人，用一己的微薄之力在奋力抗争。正是在这个意义上，我们才意识到非洲文学的整体写实性，阿契贝对社会矛盾的政治、伦理分析源于他对非洲部族文化习俗的洞察，他采用现实主义方法为我们勾勒出一幅非洲历史现实的生动画卷。

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责任编辑：杨革新

卡丽尔·丘吉尔剧作《优秀女子》中玛琳的身份选择

Marlene's Choice and Her Dual Identity in Caryl Churchill's *Top Girls*

刘红卫 (Liu Hongwei)

内容摘要：英国当代女剧作家卡丽尔·丘吉尔于 1979 年创作的《优秀女子》应时性展现了二十世纪七八十年代英国职业女性工作和生活的伦理图景，被奉为西方女性主义戏剧的经典之作。剧中主要人物玛琳兼有职场“女强人”和未婚母亲的双重伦理身份，是其在不同的伦理环境之下选择的结果。一方面，职场中的玛琳积极进取、理性果断，成为勇于争取女性主体独立和通过自身努力寻求自身价值的励志形象；另一方面，事业上的功成名就并不能消减其未婚生女的难言之隐。玛琳极力隐瞒未婚母亲身份是其面对职场中残酷竞争所做出的权宜之计，也体现出作家对于职场女性“男性化”倾向造成亲人疏离不良后果的关注。丘吉尔在该剧中采用清一色女性角色和虚实场景并置的戏剧策略，起到了强化职场“女强人”形象的作用。同时，借由玛琳双重身份选择的设置，也表达出对女性主义戏剧以解构性别男女二元项的方式达成建构一个“反男性中心”戏剧场域的激进艺术主张质疑。丘吉尔指出有必要认识到男女两性差异性的客观存在，警惕从“男性中心主义”的极端滑向“女性中心主义”的另一个极端的倾向。

关键词：卡丽尔·丘吉尔；《优秀女子》；伦理身份；伦理选择；伦理环境

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Title: Marlene's Choice and Her Dual Identity in Caryl Churchill's *Top Girls*

Abstract: Caryl Churchill's *Top Girls* (1979) is considered as one of the most celebrated feminist dramas, which ethically demonstrates the contemporary overview of the life and career of British professional women in 1970s-1980s. In *Top Girls*, Marlene's dual identity has been chosen in different ethical situations. Being career-minded, determined and ambitious, she has managed to get a promotion in “Top

Girls” employment agency and become the inspiring female image for other professional women. On the other hand, confronting the cruel and fierce competition, she chooses to conceal the fact of her own motherhood. For herself, to keep it secret is an expedient choice but implies her cutting off the mother-daughter relationship and refusal to acknowledge the responsibility of motherhood and her family. In the feminist dramas, feminist playwrights attempted to deconstruct the traditional gender binary by constructing an anti-male-dominated-center theatre. The all-female roles and cast in *Top Girls* could be considered as an important dramatic technique of feminist drama, effectively strengthening Marlene’s “Superwoman” image. Nevertheless, Churchill breaks the norm of feminist drama by presenting Marlene’s choice of dual identity and the mixture of fictional and contemporary world of professional women to question about the radical dramaturgy in the feminist drama. Accordingly, this play virtually shows Churchill’s ethical stance that claims it is necessary to recognize the sexual differences and alert the extreme tendency from “Androcentrism” to “Gynocentrism.”

Key words: Caryl Churchill; *Top Girls*; ethical identity; ethical choice; ethical situation

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在当今英国剧坛，女剧作家卡丽尔·丘吉尔（Caryl Churchill, 1938-）有着极高的声望及其影响力，被戏剧界誉为“21 世纪首屈一指的”、“战后最具革新精神的”剧作家¹。长达 40 多年的创作生涯中，丘吉尔坚持认为，当代戏剧艺术理应成为现实世界与艺术世界之间有效对接的途径，其作品中有着极强的问题意识。创作于 1979 年剧作《优秀女子》就是“对当下时代的反思与一针见血的回应”（Churchill, *Top Girls* xxviii）。通过对二十世纪七八十年代英国职业女性的工作和生活的应时性展现，丘吉尔在这部剧作里反映出该时期的特殊伦理环境下职场女性真实的生活状态，表现出她对于时事极其敏锐的观察力。1982 年，该剧由马克斯·斯塔夫-克拉克导演，在英国皇家宫廷剧院首演，好评如潮，获奖无数。2013 年，《泰晤士报》将其列入英国戏剧史上最有影响的 20 部戏剧之一²。

已有的评论对剧中以玛琳为代表的职场“新女性”争取女性主体独立的

1 参见 John Peter, *Sunday Times*, 6 Oct. 2002 以及 Ben Brantley, *New York Times*, 8 Dec. 2004。

2 参见 Benedict Nightingale, *The Times*, 18 August 2013.

诉求给予了充分肯定,更将玛琳视作是勇于争取女性主体独立和实现个人价值的“优秀女性”代言人,这部剧作也因此被奉为女性主义戏剧的“经典”剧本(Thomason 313)。然而,对于玛琳另一个身份选择,即其对未婚母亲身份的回避态度,评论界却争议不断。文学伦理学批评认为“人的身份是一个人在社会中存在的标识”(聂珍钊,《文学伦理学批评导论》263),而文学作品中人物特有的伦理身份是在特殊的伦理环境中进行伦理选择的结果。因此,对剧中玛琳双重身份选择设置的原因以及其他戏剧策略背后的伦理意蕴的分析解读就显得尤为重要。

一、玛琳的职场志向:成为“天之骄女”

《优秀女子》中玛琳是伦敦一家名为“优秀女子”职业介绍所的经理,自立自强、理性果断、“进取心”十足,是英国20世纪80年代一位典型的职场“女强人”,其伦理身份有着十分突出的社会属性。“不同历史时期的文学有其固定的属于特定历史的伦理环境和伦理语境”(聂珍钊,《文学伦理学批评导论》265)，“职业女性”这一伦理身份正是玛琳在英国二十世纪七八十年代的伦理环境下主动选择的结果,与当代英国女性身处的特殊伦理环境有着密切关系。

20世纪80年代,英国女性所处的伦理环境发生了巨大的变化。活跃的女性主义者在争取妇女权益和唤醒妇女女性意识方面做了大量工作,英国女性社会地位得到前所未有的提高。在立法层面上,《同酬法案》(1970)、《反性别歧视法案》(1975)、《就业保障法》(1976)(Churchill, *Top Girls* xxvii)等一系列法案的颁布在很大程度上维护和保障了英国职业女性的权益。据调查,至20世纪80年代,英国女性劳动力占全国总劳动力的40%,20-64岁的女性当中,有超过60%的女性参加了工作(Thomason 321)。女性高就业率的数据充分表明,当时许多英国妇女已经不再甘心做“家里的天使”,而是努力改变生活方式,选择走出家庭外出工作,认为自己也有能力通过外出工作实现经济上的独立,因此,职业女性逐渐成为一个非常普遍的现象。

由于经济上获得了独立,职场女性在精神和人格上表现得更加自由。她们的生活方式、价值取向以及对待传统性别角色的态度都发生了很大变化。职业女性“中性化”或“男性化”甚至成为一种风尚。许多女性极力隐去自己的女性特质(如温柔善良,贤妻良母,具有自我牺牲的精神等等),主动选择“不婚不孕”,工作之余谈论的话题也不再局限于家务、丈夫和孩子的话题。英国的结婚率在维持多年稳定之后,出现了明显的下降(Thomason 321)。这些变化在《优秀女子》的情节设置和人物对话中均有所体现。第二幕第三场“优秀女子”职业介绍所的办公室中,职业介绍所职员内尔和温在办公室内聊天,内尔说德里克再次向她求了婚,而她告诉德里克,自己是不

会去玩过家家的，温建议她可以跟他结婚并且继续工作，内尔则说“我可以继续工作并且不跟他结婚”（50）¹。从内尔的回答，我们可以看出她无意结婚，甚至对婚姻有些蔑视。与内尔不同，温则陷入了一场婚外情，并在周末与情人在苏塞克斯郡会面，内尔开玩笑说“我想我会去告诉他妻子”，“她可能会离开他”，（他家里的）“玫瑰园就是你的了”（51），温则无所谓的说如果这段婚外情曝光，她就马上抽身而出。内尔对温的行为表示不解，温则称这样做“有意思”（52）。从这段对话可以看出80年代职业女性家庭观的淡化，在她们看来，工作显然比家庭和婚姻更重要。

这些职场女性在工作中表现出极大的热情和积极性，渴望能够在男性主导的工作领域取得一席之地，甚至希望比男性做得更好。成为一名“优秀女子”是大多数女性的职场志向。在“优秀女子”职业介绍所里，工作时的玛琳率性干练，具有超强的职业敏感性及独立意识，为人处世都严格遵循职场的规则。经过多年打拼，因工作出色业绩，玛琳获得了晋升为经理的机会，跻身职场高级管理层，成为职场中的“女强人”和通过自身努力寻求自身价值的励志形象。

在《优秀女子》中丘吉尔还通过清一色的女性角色和演员出演的戏剧策略强化和突显玛琳“女强人”形象，同时也弱化了男性社会地位的主导性。在晋升经理职位的竞争中，玛琳有一位重要对手，即“优秀女子”职业介绍所的前任经理霍华德。霍华德在剧中并未露面，只在人物的交谈当中出现过。由于在与玛琳的职场较量失败后一蹶不振，拿自己的妻子“出气”，并需要妻子出面来为其争取职位。此外，在《优秀女子》中，另有两位男性人物出现在人物对话中，分别是玛琳姐妹的父亲和姐姐乔伊斯的丈夫。通过第三幕中姐妹俩交谈的内容，我们发现，这两位男性也都是失败者和恶劣品质的代表。玛琳的父亲酗酒成性，一事无成，并且“经常殴打”妻子，遭到玛琳极端厌恶，称其为“杂种”。乔伊斯的丈夫对家庭毫无责任感，出轨离家，多年不曾回家探望妻女，且从未给乔伊斯寄送女儿安吉的赡养费。安吉的祖父和养父如此不堪，其亲生父亲又是怎样的人呢？交谈当中，姐姐乔伊斯提到玛琳未婚怀孕产女，但二人均对使其怀孕的男性只字未提，这样一个本十分重要人物的缺席毫无疑问也是对男性主导性的极度弱化。一旦男性优势和强势的可能性逐渐丧失，其结果就是被淘汰出局。由此可见，在两性拼争的职场中，男性神话屡屡被破除，女性则越来越优秀，成为社会与家庭的领导者，充分展现她们独当一面的能力。丘吉尔对男性人物弱化策略正是对玛琳职业身份的反衬强化。

二、玛琳的权宜之计：隐瞒未婚母亲身份

然而，职场如“战场”，面对职场里的残酷竞争和生存压力，女性职

1 本文相关引文均出自 Caryl Churchill, *Top Girls*. London: Bloomsbury Methuen Drama, 2013. 下文只标注页码，不再一一说明。文中引用的文本均为笔者翻译。

业者仍然不得不遵循男性主导的职场规则。正是由于“顶级职位的道路对那些家庭负担较少或者没有负担的女性来说更加容易”（Churchill, *Top Girls* xxxiii），由此玛琳做出了另一个选择——隐瞒其未婚母亲身份。

在最后一幕第三幕玛琳与姐姐乔伊斯的交谈中，我们得知，早在17岁时，玛琳就未婚产下了女儿安吉，拥有了母亲身份。然而，玛琳并没有养育这个孩子，而是交给了姐姐乔伊斯照顾，之后独自一人离开家乡前往美国闯荡。数年后，她回到英国，但并没有返乡，而是选择留在伦敦继续打拼。安吉在乔伊斯的照顾下长到16岁，玛琳却只在她九岁的时候回去看望过一次。之后，玛琳不仅没有主动探望，即便在安吉追随到伦敦的情况下，仍然拒绝接受自己已为人母的事实。

从古至今，无论时代如何变化，伦理环境如何改变，母亲这一身份都是女性独一无二的伦理身份。丘吉尔通过第一幕“庆功宴”虚拟场景的设置表达了这一看法。玛琳为庆祝自己晋升，在一家餐馆举办了一场“庆功宴”。然而，被邀请的5位女性却都不是现实中的女性，而是来自不同时代不同国家的“优秀女子”。其中，伊莎贝拉·伯德是维多利亚时期的旅行家，在40-70岁之间游历了世界各国；尼鸠是13世纪的日本皇妃，失宠之后出家为尼；道尔·格莱特是勃鲁盖尔画中的人物，她身着围裙，带领妇女冲入地狱与魔鬼大战；琼曾经为了宗教信仰而女扮男装，在公元854年担任教皇；格里·塞尔达是乔叟《坎特伯雷故事集》中一位顺从的妻子。这五位女性应玛琳的邀请，参加其升职的庆功宴。客人们在席间热烈交谈，一场“优秀女子”的谈话本应谈论自己的“成功事迹”，然而，她们的谈话主题却始终没有离开家庭和孩子。因此，看似毫无关联的五位女性却被“家庭”和“孩子”的话题联系在了一起。尼鸠谈起父亲的嘱托，天皇的宠爱与两个不能相见的孩子；琼的女性身份暴露正是因为怀孕而当街产子，最后被乱石砸死；格里·塞尔达嫁给侯爵，两个孩子都被人抱走；道尔·格莱特的大儿子夭折了，小女儿被一个士兵用剑刺穿。孩子的夭折，母子的不得相见牵动了这些女人的内心，这场庆祝晚宴最后以尼鸠疯傻哭笑，琼酩酊大醉而结束。

戏剧场景的虚拟化展现出不同时代、不同国家的女性所面临的困惑，所产生的“间离效果”促使观众的思考和判断更加理性。更重要的是，这些历史上或文艺作品中的“优秀女子”们对家庭与孩子的关切表现了女性自身拥有的母性，母亲这一伦理身份无法掩盖，亦无法抹去。

面对职场里残酷的竞争，玛琳一味追求自己的职业志向，忽视甚至逃避作为母亲的伦理身份。第二幕第三场中，女儿安吉独自一人来到伦敦，满怀欣喜地找到了玛琳的事务所，玛琳的态度却极其冷淡。认出安吉之后，她并没有表现出任何热情，而是立刻责问“你是怎么过了接待员那一关的？桌子旁边那位小姐，她没有拦住你吗”（59）？交谈片刻之后，她又反复多次询问安吉何时回家。不难看出，女儿安吉的到来没有给她任何惊喜，反倒令她

十分尴尬为难。她极力在办公室的同事面前掩饰自己的母亲身份，因为已为人之母的事实是她隐藏多年的秘密。

虽然玛琳极力隐瞒未婚母亲身份是其面对职场中残酷竞争所做出的权宜之计，但却对女儿安吉的成长带来了非常不利的影响。安吉在姐姐乔伊斯的照顾下长大，与同龄人相比有些异样。她跟同龄人无法交往，只愿与年龄较小的孩子交朋友。第二幕第二场，在乔伊斯后院的对话中，邻居小女孩吉蒂说“我妈妈说你跟我这么大的孩子玩肯定有毛病。她问我你怎么没有同龄的朋友。跟你一样大的孩子知道你有问题……”（40）安吉听完粗暴地拧吉蒂的胳膊，拧得她哭了起来。16岁安吉的心智与12岁吉蒂相差无几，被养母视为“无可救药”，注定“一事无成”。她身心的异样在很大程度上正是玛琳逃避抚养责任所造成的后果。

玛琳一味追求功成名就还造成了与亲人之间关系疏离的不良后果。丘吉尔将第一幕庆功宴会设置成虚拟场景也暗示了玛琳与亲人关系疏离。玛琳的事业如此成功，却没有家人或朋友为她的成功高兴庆祝。这些虚拟人物的设置，暗示了玛琳的社会身份不像母亲身份那样真切实在，有女儿安吉作为证明，而是充满了可变性，随时都有可能失去。第一幕的虚拟场景与第二幕、第三幕中的现实场景形成很大的反差，更加虚化了玛琳的成功。晚宴上，历史上的“优秀女子”们纷纷讲述了自己的故事，聊到兴起，伊莎贝拉举杯祝贺：“为玛琳干杯”，玛琳则纠正她说，“为我们所有人”，“我们都经历了很多。为我们的勇气和我们对自己生活的改变以及我们的非凡成就干杯”（14）。但随着谈话的继续，观众发现这些成功女子都曾经为自己的成功付出代价：尼鸠失去了孩子，伊拉贝拉晚年孤独，琼因暴露身份而被投石致死……听完这些叙述之后，玛琳发出了一句感慨：“为什么我们都如此悲惨？”（20）看来，玛琳的生活并不像表面那样志满意得，而是包含了各种心酸。事业上的功成名就也没能消减玛琳未婚生女的难言之隐。

在全剧的结尾，睡着的安吉醒来，走进房间，无意识地呼喊妈妈，这样温情的场景下，玛琳仍没有回心转意，而是回答“她去睡了，我是玛琳阿姨”。这一回答表明玛琳对自己母亲身份的再一次回避。玛琳不仅对自己的女儿如此冷漠，在第一幕的交谈中，教皇琼说起自己女扮男装却怀孕之事，她也两次提出要“做掉这个婴儿”（16）。由此可见，玛琳虽然有女儿，却没有任何做母亲的意识，在她看来，教皇的地位和工作等社会身份远远比孩子和母亲身份重要。在工作和孩子之间，她早已做出了选择。

三、卡丽尔·丘吉尔的艺术伦理选择

通过塑造以玛琳为代表的职业女性群体形象及其身份选择，《优秀女子》从现代角度展现了一个女性身份主体经验的戏剧世界。与此同时，在现实世界里，女性主动选择外出工作以实现自身价值的现象也出现在同一时期的英

国戏剧创作领域,因此,我们才得以看到上世纪 60-70 年代英国当代戏剧界里女性剧作家群体及女性主义戏剧这一独特的“风景线”。卡丽尔·丘吉尔等女性剧作家们从自身的职业身份出发,在创作主题、作品选材、人物塑造、戏剧手段、表现方式、剧团管理等不同方面展现出具有鲜明时代特征的艺术伦理选择。

英国当代女性剧作家群体及女性主义戏剧的出现与西方第二次女权主义运动以及英国整个戏剧环境的变化有着密切的关系。19 世纪不断高涨的西方妇女解放运动并没有给女性带来积极的精神生活和完全的身体自由。因此,20 世纪 60 年代末在西方国家掀起的第二次女性主义运动将实现女性主体性诉求再次作为重要目标,注重女性不同于男性的心理体验、象征表征及内在情思,强调性别差异和女性的独特性。女性剧作家试图在英国剧坛“拥有一席之地”的愿望终于得以实现。

这期间,西方女性主义理论迅速发展,为女性主义戏剧创作提供了充分的理论支撑。1970 年,激进自由主义女性主义者凯特·米列特和舒拉米斯·费尔斯通分别出版了《性的政治》(*Sexual Politics*)和《性的辩证法》(*Dialectic of Sex*),这两部著作对女性受压迫的根源进行了探索,成为当时的畅销书目,极大地影响了英国妇女的女性意识。米列特认为,“女性受压迫的根源深深潜伏于父权制的性/社会性别制度里”,“妇女要得到解放,必须根除男性统治”,“要铲除男性控制,男女必须消除社会性别,即男女特定的性地位、性角色和气质禀赋,因为这些都是在父权制下建构出来的”。因此,米列特盼望的是一个雌雄同体的未来,能够将男性气质(如勇敢刚毅)和女性气质(如同情悲悯)结合起来,体现在每一个人的身上,两种气质相辅相成,让个体更好地生活在自己的群体里(罗斯玛丽·帕特南·童 72,75)。另一位激进自由主义女性主义者费尔斯通则要求“在性/社会性别方面进行更有力的变革”,她主张“发动生物学革命和社会革命来促成人类的解放”:“人工(子宫外)繁殖代替自然(子宫内)繁殖”,志愿(无血缘关系,互相选择组成)家庭代替生物学意义(通过基因彼此联接)的家庭,如此一来,男人和女人“能够真正自由地从事多种样态的、反常态的性活动”,不必展示传统的纯属于男人或者女人的气质来“推动人类繁殖的车轮向前旋转”,他们“可以按照自己所喜欢的任何方式去融合、配搭女性气质的和男性气质的行为和特征”,这样一来,“不仅人类可以进化成雌雄同体的人,所有的文化也会成为雌雄同体的”(罗斯玛丽·帕特南·童 77)。

激进自由主义女性主义提出的“雌雄同体”理想对英国女性剧作者在作品主题、创作题材、表现手段和表演风格等方面的选择产生了很大的影响。如果说 20 世纪初伍尔夫的女性主义是温和的、传统的,希望男女平等与合作,以一种先天性存在的“雌雄同体”来消减男权,劝导男性对于女性的认同,放弃男性专制,那么,20 世纪中叶的第二次女权主义者的主张要激进的多。

在当时很多女性剧团和女剧作家的作品中,“雌雄同体”已是女性的“雌雄同体”,也就是说,女性可以“同体”了男性,所以男性可以被替代。

评论家珍妮特·布朗曾对女性主义戏剧的四个常见特征总结为:性别角色反转;以历史上有代表性的人物为剧中角色塑造的模板;对传统性别角色的讽刺;对女性受压迫现状的正面呈现(Trevor R. Griffiths & Margaret Llewellyn-Jones 31)。在女性主义戏剧创作中,许多戏剧都是专门为女性演职人员而作,因此包括演员、导演、工作人员等所有工作人员均为女性。女性角色占据全剧的绝对主导地位,有些剧作中甚至完全没有男性角色。女性剧作家还立誓要将所有老旧的传统女性角色搬离舞台。女性剧作家的创作意图致力于抗争厌女症,要在舞台上真实地展现女性及两性关系,而非仅仅囿于男性不切实际的幻想。在导演和监制等男权至上的领域里,始终要求女性应该能够享有平等的权利。在薪资方面,要求所有女性职员应该享有同工同酬的待遇。女性主义戏剧创作由最初的一个抗议行为开始,转变成了充满活力的先锋艺术运动,所产生的影响不仅仅限于女性剧场,并逐步转变为舞台上性别或者性别政治的普通性代表。

成立于1976年的“蒙斯特斯剧团”是当时英国非常知名的女性主义剧团之一。丘吉尔在一次反对堕胎游行中结识了这个团体。在与这个剧团合作期间,《醋汤姆》就是为这个剧团量身定做的,丘吉尔将自己对于女性主义的看法融入其中,获得很好的评价。“蒙斯特斯剧团”是在“莱斯特文化节”期间由两位女演员吉莉安·汉纳和玛丽·麦克卡斯柯创建的。剧团成立的初衷是为主张和维护女性拥有的各种权益为创作目标,同时,也为女性作家、演员和导演提供更多机会,丰富和推广女性作家创作在英国戏剧界的受众度。剧团的管理层和艺术决定层都是女性担任,这种以女性担负重要岗位管理方式明显区别于传统的男性至上的团队组织管理级序。改变女性命运的理念在“蒙斯特斯剧团”制定的目标中清晰可见。剧团制定的目标包括,“要制作高质量的演出;发掘并鼓励女性作家;要通过探寻女性主义文化理论,构建女性主义戏剧;要复兴‘被隐藏’的女性历史;要为女性提供工作机会,特别是那些过去只有男性涉足的技术型领域;要将真正的而不再是刻板的女性形象呈现在舞台上”(Smart 43)。

尽管《优秀女子》不是丘吉尔与“蒙斯特斯剧团”直接合作的作品,但是不难看出,该剧仍然延用了一些女性主义戏剧的策略。其中,清一色的女性角色和演员出演是一个重要的戏剧策略。这一戏剧策略通过对男女性别二元项的解构,转而建构了一个“反男性中心”的戏剧场域,是女性主义戏剧用以消解和颠覆男性中心的重要戏剧创作手段。

但是,值得关注的是,丘吉尔在《优秀女子》中通过玛琳双重身份选择的设置,表达出对这种以解构性别男女二元项的方式达成建构一个“反男性中心”激进的艺术主张的质疑。由此可见丘吉尔在《优秀女子》中对社会

上那些男性化“女强人”现象的反思。在激进女性主义占据主流的时代中，丘吉尔并没有被激进女性主义思潮所裹挟。通过洞察社会现状，深刻思考，她对女性争取主体性的诉求表现出相当的前瞻性。在一次采访中，丘吉尔对此质疑道：“如果女权主义只是将聪明的女性变成掠夺者，而对那些心智不够、脆弱而又无助的女性毫无帮助？”那么，“妇女解放有什么用呢？”（Thomason 322）的确，功成名就的职场女性并没有能够改变男性主宰的职场体制，也并没有能够真正挑翻男性威权，“适者生存”、“明哲保身”成为职场女性的处世原则。

反观丘吉尔对《优秀女子》的情节以及对话的设计，我们也可以看出丘吉尔对女性双重身份选择的重视与后现代女性主义“在差异中追求平等”，“女人要像女人”等两性关系的伦理立场不谋而合。后现代女性主义“否定了传统女性主义的‘男女平等’的概念”，认为“‘平等’就意味着‘相同’，而生活中相同是相对的，差异是绝对的”（鲍晓兰 4）。传统女性主义的男女平等观念本身就是“男权观念的产物”，这一观念要求“女性应当向男性靠拢，而且其自身是抽象的，无法实现的乌托邦”。因此，后现代女性主义“以性别为基础，把‘男女平等’看成是在承认个性独特性的前提下女性与男性的具体的平等”，而且“这种平等不是女性进入男性领域，用男性标准来要求女性的权益和衡量女性的解放，而是女性以其自身为标准努力做好女人”（李霞 91）。

20 世纪 80 年代，一些女性过于看重工作的重要性而忽视了对于家庭和婚姻应担的责任，这些现象引起了丘吉尔的担心和思考。家庭伦理的失衡，无论是对女性还是男性，甚至对整个英国社会来说，都是无益的。丘吉尔对女性一味模仿男性，遵循男性的一套行事作风以及价值观是十分反对的。在她看来，作为不同的主体，男女差异是必然的。因此，她所倡导的是建立相互尊重的两性文化，相爱却不与对方融合从而不失去自我。

结 语

从文学伦理学批评视角解读《优秀女子》，玛琳的伦理身份双重性很大程度上是其在不同伦理环境之下做出不同伦理选择的结果。玛琳兼有职场“女强人”和“未婚母亲”的双重身份，承载着两种不同的伦理内涵。卡丽尔·丘吉尔戏剧作品中经常论及到各类社会热点问题，但却从来不会让人感觉到是在说教。在她看来，艺术家的作用应该是提供多种看待世界的视角，“剧作家不提供答案，他们只提出问题。真正伟大的文学作品的作用在于为现代世界提供一个有意义的范例”（Churchill, “Not Ordinary, Not Safe: A Direction for Drama?” 446）。她的这些创作思想表明“教诲是文学的基本功能，文学正是借助教诲的功能发挥自己的作用，实现文学的伦理价值”（聂珍钊，《外国文学研究》10）。丘吉尔对玛琳双重身份并置的戏剧呈现并不是抨击或者

批判这一社会现象,更多的是提请对西方激进女权主义者解构逻格斯中心主义下一系列的二元对立结构的重视,呼吁更为包容更为开放的伦理环境,给予女性伦理身份选择更大的空间和自由。

由此,《优秀女子》或许对于如何理解女性主体身份选择的内涵提供了一个新的视角,即在争取女性主体自由的同时不要陷入逆反而同构的思维模式,应该警惕两性关系异化,防止从“男性中心主义”滑向“女性中心主义”的另一个极端。在性别关系中,女性主义的目标不能仅仅停留在简单地进行反转,“女性中心主义”和“男性中心主义”都是不正常的。因此,采取“去中心”的同时,理应尊重两性差异的思维方式,对于建立全新的不排除差异性而又消解了性别压迫的女性文化是至关重要的。

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《我们如今的生活方式》与英国文化流变中的伦理重构

The Way We Live Now: An Ethical Landscape Refactored

陈敏 (Chen Min)

内容摘要：安东尼·特罗洛普以其特色鲜明的“道德现实主义”白描手法在长篇小说《我们如今的生活方式》中呈现了19世纪英国所经历的伦理维度嬗变。该作品诞生于英国文化转型语境中，对19世纪晚期英国文化观念流变中的伦理重构产生了积极的影响：特氏通过对伦理主体的细微观察，透露英国文化共同体中难以确定的群体共同性；通过对冒险投机与理性投资的对比性描摹来揭示经济伦理语境的历史流变；揭示婚恋性爱的伦理模式，告诫19世纪末年轻一代（也是即将进入20世纪的未来一代）在追求人生幸福时要洁身自好。本文在这幅“伦理风景”长卷中选择题眼中的“我们”的指代变化、人们对投机的态度转变、婚姻与性爱的道德危机等三个方面进行阐释，旨在揭示小说所体现的社会转型期中的伦理主体和经济伦理语境的重构、以及小说如何对年轻一代产生教诲作用。

关键词：特罗洛普；共同体；伦理主体；伦理语境；教诲

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Title: *The Way We Live Now: An Ethical Landscape Refactored*

Abstract: Victorian author Anthony Trollope's novel *The Way We Live Now* (1874-1875) is hailed as an "ethical landscape painting" created with distinctive "moral realism" during the cultural transition, and with a wide readership, it had a positive impact on the ethical refactoring in England in late 19th century. By discussing changes in three main ethical aspects, i.e., the ethical subject, the socio-economic ethical discourse and the ethical crisis in relationships, specifically through the analyses of the signified "we" in the destabilized community, the re-vision of speculation distinguished from gambling, and marital/sexual transactions, this paper aims to reassess the value of this novel in moral revelation and ethical teaching.

Key words: Anthony Trollope; community; ethical subject; ethical discourse; ethical teaching

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引言

文学家介入社会公共空间的文化批评语境有尺度和方式的问题，C. P. 斯诺曾在其影响深远的《两种文化》（*The Two Cultures*, 1963）序言¹一开头便对包括自己在内的“公仆作家”的文学创作做了一番说明：“从特罗洛普时代以前很久直到今天，公仆们发表小说、诗歌、剧本，没有一个人想到反对现实”；因为他们受到所任“公职的义务和惯例的约束：不要直接涉及政治”，这在他看来“是一种令人满意的道德溶解剂”（1-2）。笔者认为，斯诺所说的“不反对现实”，并非回避现实，而恰如美国小说伦理批评家韦恩·布斯（Wayne C. Booth）所说，体现了小说家的“客观性”，即以“中立、公平及无动于衷（*impassibilité*）”的“技巧”再现现实（67）。这里提到的特罗洛普就是堪与狄更斯比肩的英国小说家安东尼·特罗洛普（Anthony Trollope, 1815-1882），他在邮政部门担任公职的同时，每天坚持写作，以47部长篇小说的出版量跻身维多利亚时期最勤奋多产的作家之列。如果说斯诺的诉求（也是19世纪中叶曾被反复提及的问题）是寻求一种“共同文化（*common culture*）”，那么特氏的旨趣在于通过现实主义白描手法揭示某种民族的“共同性（*commonality*）”，描摹出一幅幅“伦理风景（*ethical landscape*）”（Wulick 23）。诚如詹姆逊（Frederic Jameson）所言，“现实主义本质上是构建在审美维度之中的认识论体系”（261），因此尽管同为小说家的亨利·詹姆斯对特氏叙事美学颇有微词²，他也不能否定特氏对英国特性的准确认知和再现；而在另一位美国作家霍桑的眼中，特氏的小说“就好像是一个巨人从地球上劈下来一大块地来，把它置放在一个玻璃匣子下……是地道的英国货”（qtd. in 陆建德，“特罗洛普和政治”73）。此言正中肯綮，《我们如今的生

1 “两种文化”是英国科学家、小说家C. P. 斯诺（C. P. Snow, 1905-1980）于1959年5月在剑桥大学做里德讲座（Rede Lecture）时第一部分的标题，并于当年出版（*The Two Cultures and the Scientific Revolution*, 1959），其中心论点是整个西方社会知识分子的生活被分裂为科学和人文（或文学）两种文化，这一现状业已成为解决重大问题的障碍。随后他在哈佛大学的演讲及与利维斯（F. R. Leavis）的论战中扩充了这一观点并结集出版（*The Two Cultures: And a Second Look*, 1963）。此处所引序言出自后者的中译本。

2 关于詹姆斯对特罗洛普的评价，具体参见Henry James, “Anthony Trollope” in *Partial Portraits* (London: Macmillan, 1899) 116.

活方式》(The Way We Live Now, 1874-1875) 就是一个典型的例子——该小说犹如精巧的玻璃匣子, 呈现了 19 世纪英国经历的社会转型, 以及该时期文化观念(尤其是伦理维度)的嬗变。

值得注意的是, 同样是在社会转型期以文学之笔记录文化观念的嬗变, 特氏不同于狄更斯, 而是对卡莱尔、罗斯金及其追随者的过度悲观和忧虑提出了批评。特氏认为, 卡莱尔没有认识到“在这个世界上, 没有一件善良的事是完美无疵的, 也没有多少邪恶的事里绝对没有一点儿善良的种子”——即特里林(Lionel Trilling)所阐释的“道德现实主义(moral realism)”(qtd. in 陆建德, “特罗洛普和政治”71)。言下之意, 人间善恶交织共生。特氏正是怀着对这种复杂性的深刻体认(也许得益于他在世界各地的履职和旅行经验), 进行了新闻报道式的(journalistic)小说创作。然而, 学界对此的认识一直存在盲点。例如, 不少学者都会做出以下简单化的判断: “特罗洛普全面批判了维多利亚社会对物质、金钱的崇拜和追求以及人品道德的破坏。”(钱青 310)有鉴于此, 我们有必要重新审视《我们如今的生活方式》(以下简称《方式》), 进而对其中展现的伦理风景有更深层次的认识¹。下面将以“伦理”为关键词, 从小说体现的伦理主体、社会经济伦理语境的转变、小说如何产生教诲作用等三个方面加以阐释。

《方式》中的“我们”是谁?

1872 年 12 月, 特氏结束了在澳洲和新西兰一年半的探亲旅行, 经由美国返英, 但甫一回到伦敦“就发现一股令人无法忍受的道德恶臭(moral stench)”(Sutherland 1999:vii)。正是怀着对社会不良风气的愤慨和纠正意愿(corrective fury), 特氏开始构思并以极快的速度完成了他一生中篇幅最长的小说(100 章, 共计 42.5 万字)。这一作品正是作家本人伦理选择的结果: 19 世纪 70 年代资本主义经济的快速发展导致财富与价值观念急剧变化, 当时“功利主义盛行, 在激励世人积极进取, 为实现个人利益获得幸福, 并为社会创造财富的同时, 也带来了过于强调个人利益而走向极端利己的倾向”(聂珍钊 504), 进而“人与人之间除了私利和现金支付关系之外, 再无其他纽带——人的尊严也降到了金钱交易的水平”(殷企平, 《推敲“进步”话语》246)。有学者指出, 特氏作为虔诚的基督教徒“意识到他所遵循的基督教伦理道德传统受到了功利主义和过于注重理性等思潮的冲击”(承华 139), 因此选择了对功利主义的副产品——欺诈和颓废的社会现象——进行讽刺, 通过荒诞而现实的情节向读者揭示这一时代的真谛——“我们现在的生活方式”即没有办法再生活下去(no way to live)。特氏在故事中为我们展示了欺诈

1 关于特罗洛普立场的暧昧性, 可进一步参考左晓岚博士基于对特罗洛普后期派里塞小说(the Palliser cycle)研究形成的专著《特罗洛普: 动态社会与小说世界》, 上海: 上海交通大学出版社, 2010 年版。

者群像：“业余作家”卡伯里夫人（Lady Carbury）以出卖色相换取虚假的好评；她那游手好闲的儿子费里克斯·卡伯里爵士（Sir Felix）则成天在赌博俱乐部“熊园”（Beargarden）鬼混，跟其他成员一起为赌债打无法兑现的欠条（IOU），并虚情假意追求富商奥古斯都·梅尔莫特（Augustus Melmotte）的女儿玛丽（Mary），而这个梅尔莫特则是小说中最大骗局的策划者。

在《方式》第7章中，小说中代表完美绅士形象的罗杰·卡伯里（Roger Carbury）责怪表妹（未来的妻子）赫塔（Hetta）要去参加梅尔莫特举办的舞会。赫塔令人回味的回答颇具象征意义——“现在大家（everybody）都去拜访他们这家人，罗杰。”（67）¹实际上，赫塔的回答机械复制了几分钟前她母亲卡伯里夫人对罗杰所做的回应，这一重复²提示了“大家/每个人”的重要性，同时也揭示了它不攻自破的脆弱性——并非“每个人”都去（比如罗杰就不去）。这个缺乏明确指代对象的模糊代词，表明那些去参加舞会的人缺乏实质性理由，或者进一步讲，缺乏独立的信念，这似乎再次回答了小说标题所隐含的问题：我们现在的的生活方式空虚且荒唐。殷企平曾采用雷蒙德·威廉斯的“情感结构（structures of feelings）”理论分析《方式》中贵族人物的此类虚言妄行，并得出以下结论：上述“情形都暴露了处于农业文明向工业文明转型时期的贵族阶层的典型心态”（殷企平，“论《我们如今的生活方式》中的情感结构”87）。实际上，在这种矛盾心态的背后，除了新旧社会价值观的更替，还有更为复杂的现实，即社会伦理的失序。

至小说结尾，我们清楚地知道：守住道德底线的罗杰是正确的，但不具有普遍性；而“大家/每个人”是错误的，却具有普遍性。如果我们细察罗杰与他表弟（费里克斯爵士）表妹（赫塔）之间的分歧，我们就会明白，在这样的社会伦理环境中，梅尔莫特是否是大骗子已无关紧要，紧要的是人们（即社会伦理主体）是否关心他是不是骗子（即是否承认伦理失序）。特氏寥寥数笔，勾勒出时代人群的共性，不愧为维多利亚时期小说中共同特性生成（communal formation）的典例：“大家/每个人”取代具体人物，成为故事各个方面的施动者（actor）、动因（motivator）和对象（object）。而《方式》的标题似乎也可以据此从“the way we live now”，推演为“Who are ‘we’ when ‘we’ live in this way?（如此生活的我们是谁？）”，亦即提出了如何追寻伦理主体共同性（commonality）的问题。本·雅沙（Ayelet Ben-Yishai）就文化中的共同体和共同性（community vs. commonality）作了区分：前者相对稳定，范围有限，其内部成员有自我身份认知；后者具有无限延展性、不确

1 本文中所引《我们如今的生活方式》及所标页码均出自牛津版本（*The Way We Live Now*. Oxford: Oxford University Press, 1999），中文译文参考了嵇佩的译本：《如今世道》，兰州：敦煌文艺出版社，1995年版。

2 《方式》中“大家都去他们（梅尔莫特）家”多次出于不同人物之口，第21章的标题索性就是“人人都到他们家里去（Everybody Goes to Them）”。

定性和发散性，或者说是一种认识论意义上的共同体（166）。因此，尽管小说中的罗杰与家族中的其他成员同属于英国贵族阶层的文化共同体，但由于对社会戾气的立场和态度不同，他们之间丧失了伦理共性。小说第10章（在讨论了维拉克鲁斯大铁路项目之后）就有一处可以检验这种共同性：“梅尔莫特先生的确是个伟大的实际力量（a reality），是伦敦商界伟大的现实力量（a fact）。”（84）被名词化的商业巨头梅尔莫特正是大家（everybody's）所敬畏和幻想的对象，而大家的共同想象也成就了梅尔莫特及其投机工程的真实形象。类似的荒诞情形也可以在马克·吐温的《百万英镑》中找到。

具有共性的人们正是在社交过程中构建并强化了“我们（we）”，小说通过“我们”这一伦理主体的变化（从特定的社会经济共同体到兼具包容性和排他性的民族共同体）来反映历史文化的流变和社会价值观的变更。具体到维多利亚时期的小说，如果细察“我们”的所指（signified），我们会发现从封建贵族阶层到资产阶级（中产阶级）阶层的转化和固化过程。历史学家普遍认为，19世纪80年代（即《方式》出版之后）是一个分水岭，此后的英国贵族阶层快速衰落（Cannadine 25），而这一社会伦理主体的变化势必会在同时代各类文学作品中有所体现。

投机与投资：社会经济伦理语境的转变

W. H. 奥登（W. H. Auden）认为，特氏比任何其他小说家都更了解钱（Skilton 211）。的确，尽管特氏也担忧金融资本和投机心理给社会带来的冲击，而且在作品中借人物之口予以谴责，但他不否认对财富的追求，也不讳言他和母亲¹的写作掺杂了的金钱动机，并在《自传》（An Autobiography, 1883）中多次谈及稿费 and 版税收入。他深谙资产阶级的社会经济学和日常生活政治，以及个人伦理选择的过程，因此他的小说（尤其是19世纪70年代的作品）成为维多利亚人了解股票市场基本运作的主要渠道，这也就毫不奇怪了。比如，在《方式》中，拥有纸上金融帝国的梅尔莫特主持了一场疯狂的投机活动；他以修建从美国盐湖城一直通到墨西哥维拉克鲁斯港的大铁路项目为名义，大肆发行股票。而在铺陈这一投机活动的发展过程中，特氏不仅揭示造就梅尔莫特的世道，即堕落腐朽的公众道德和政治伦理，而且担心盲目个人崇拜所带来的社会危机。借用殷企平的话说，梅尔莫特的发迹“一靠欺诈，二靠助长欺诈之风的社会土壤”（“麦尔墨特的败因”63），而这正是特氏所焦虑的。

维多利亚时期的经济伦理语境并非一成不变，而是有一个变迁过程。人们曾普遍认为投机（speculation）与赌博（gambling）没有区别，比如卡莱尔（Thomas Carlyle）在《往昔与今日》（Past and Present, 1843）中曾经痛斥“赌博式的投机活动”，并把充斥这类投机活动的时期称为“泡沫时期”（232）。

1 安东尼·特罗洛普的母亲弗朗西斯·特罗洛普（Frances Trollope, 1779-1863）也是一位成功的作家，并依靠她的出版收入养家。

罗斯金 (John Ruskin) 则在《经济学释义》(Munera Pulveris, 1872) 中将金融投机定义为商业彩票 (277)。然而, 随着投机被“驯化”, 人们意识到投机更像是投资, 而非赌博。换言之, 投机成了一种合法的风险行为。19 世纪中叶, 英国法律在对赌博逐渐采取严控的同时, 开始对投机逐渐放宽约束。这一对于投机行为的认知变化, 我们也可从著名银行家卡塞尔爵士 (Sir Ernest Cassel) 写给英王爱德华七世 (King Edward VII) 的信件中略窥一二: “我年轻时, 人们叫我赌徒。随着我业务规模的增加, 我被称为投机者。现在我叫银行家。然而我所做的一直是同样的事情。” (Franklin 635-53)¹ 这种视结果 (盈利抑或亏本) 比行为操守更重要的伦理含混令特氏担忧, 因此在他的作品中, 他有意将负责任的投资行为和冒风险的投机行为区分开来。特氏反对投机的态度, 鲜明地体现在《方式》和《首相》(The Prime Minister, 1876) 等小说中², 他尤其警惕以梅尔莫特为代表的骗子开发的海外投资产品和项目, 以及散布假消息引诱无知投资者上钩的股票销售者。特氏对投机近乎倒退式的伦理认知, 有一个鲜为人知的原因——英国首相迪斯累里 (Benjamin Disraeli, 1804-1881) 曾在年轻时投资一项空中楼阁的墨西哥铁路项目, 蒙受巨大损失, 但他仍怂恿他人购买这一亏本股票。特氏曾因此表达对迪斯累里的憎恶, 所以《方式》中的北美大铁路项目极有可能脱胎于此。

不过, 将小说中的这一投机项目设置于美国并引入美国人物 (如赫特尔夫夫人), 也许是特氏的一种文化语境策略, 以期与变化中的经济伦理语境相适应, 并暗示美国这一大前方才是投机的真正家园, 那些与英国人毫不相同的美国人才是真正的冒险家和投机家。梅尔莫特的纽约父亲也让他成了半个“美国人”。对于英国人来说, “美国人 (American)” 一词总是带有轻微的贬义——动词“美国化 (Americanize)” 则有道德上变得可疑这样的含义。即使是令人满意的美国人, 在《方式》中也只能得到这样的评价: “尽管完全不像英国人, 但算不上半个坏家伙” (95)。

性与爱: 特氏小说的伦理教诲

与维多利亚同时代作家相比, 特氏更像是历史学家或人类学家, 他更关注自己所处的转型社会中滋生弥漫于中上阶层的道德危机。学者承华对他所反映的婚恋观和家庭观有所研究, 认为《方式》中适婚女性的情感都遭遇了“金钱与爱情的伦理道德冲突” (137)。例如, 玛丽的追求者都希望通过与她缔结婚姻而发一笔横财, 也正因为看中财产的分割, 她的父亲梅尔莫特

1 下划线为笔者所加。

2 狄更斯的小说《小杜丽》(Little Dorrit, 1857) 和《我们共同的朋友》(Our Mutual Friends, 1865) 也是将投机行为描绘成道德败坏的著名例子。关于投机行为在维多利亚时期文学中的表现, 可参阅 John R. Reed, “A Friend to Mammon: Speculation in Victorian Literature,” *Victorian Studies* 27. 2 (1984): 179-202.

则牢牢控制择婿权，而玛丽自己也希望通过手中的资产赢得心上人，从而摆脱父亲的控制获得幸福；与之形成比照，没落贵族子弟乔治娅娜则希望把自己投放到婚姻市场，把婚姻视作获利的营生，而不考虑其中的情感因素，甚至为了抓住最后的机会而不惜放弃门当户对的择偶标准，以嫁给年老貌丑的犹太商人而换取在伦敦市区和郊外的两栋房子，在最终没有得到物质兑现时候无情地撕毁了婚约。特氏通过对“财产交易式婚姻”的刻画，揭示在拜金主义大肆入侵精神领域的社会转型期，维多利亚人的传统婚姻家庭伦理都遭到了不同程度的颠覆破坏，并期望自己的小说发挥教诲和启示作用，使青年读者在面临伦理困境的时候有正确的选择。具体而言，特氏通过在作品中关注年轻人的成长，向读者提示选择职业和婚姻伴侣时的核心问题是诚实与否，而职业选择（choice of a profession）应当包括（对男性来说）遗产的继承管理和（对女性而言）相夫教子的家庭管理（Skilton 212）。¹

我们不妨再以费利克斯爵士为例。后者是在错误的伦理选择中坠入深渊的。特氏为该人物着墨数百页，为他设计的名字 Felix 也别有深意²，其拉丁文词根（fēlix, felicitas）的含义为“幸福；幸运”，然而实际生活中的费利克斯一点也不快乐，面临失去财富和生命的危险。《方式》的引人入胜之处在于，费利克斯的堕落并不像莎士比亚笔下的泰门³，而是从一开始就是一个有着众多缺陷的非典型贵族：他没有能与其贵族头衔相匹配的财富，也缺乏 19 世纪典型“绅士”所具有的优雅和同情心，更欠缺中产阶级男性气概中的勤勉、节俭和清醒。因此，叙述者在小说一开始就宣布：“他在生活的各个方面都糟透了”（18）。不过，他有着帅气迷人的外表，其背后的残酷现实则是：正像乔治娅娜企图用贵族头衔来换取金钱和爱情一样，外表（色相）正是无情无义的费利克斯用来博取物质利益的资本和工具。

特氏将费利克斯的性癖好（sexual habits）作为对这个时代年轻读者的最大警示。小说叙述者和其他人物多次将费利克斯称为“邪恶（vice）”（21, 132, 540）。玛格丽特马克维克指出，特氏以费利克斯的“邪恶性（viciousness）”指代“肉欲和性暴力”，与其命运相联系（Markwick 95），旨在昭示放荡生活对伦理秩序的破坏。学者刘建军认为，“19 世纪新建立的资本主义制度和生产方式，从本质上说，是和基督教所主张的禁欲主义和蒙昧主义格格不入的。自由竞争阶段的资本主义，是以人的物质欲望的无限释放为基本特征的”

1 斯基尔顿（David Skilton）同时指出，特罗洛普较狄更斯更受女性读者的欢迎，因此，笔者认为特罗洛普的小说教诲受众面也更广，效果也更好。

2 世界文学史上另一个著名的 Felix 是德国小说家托马斯·曼未完成的伟大作品《骗子费利克斯·克鲁尔的自白》（*Bekenntnisse des Hochstaplers Felix Krull*）中的主人公，其名字同样具有反讽意味。

3 在莎士比亚悲剧《雅典的泰门》（*Timon of Athens*）中，主人公泰门面对财富的变化经历了急剧的堕落。

(222)。因此，费利克斯在笃信“清心寡欲”这一传统价值观的特氏笔下，从出身贵族的单身绅士逐步堕落为污染社会的小混混：他最终浪迹街头的身影不免让人想起维多利亚时期典型的堕落女性（fallen women）形象；美貌不再，形容枯槁，就像饱受梅毒蹂躏之人；直到最后不仅不容于自己的共同体，甚至被国家所驱逐。

特氏“毁灭”费利克斯，貌似简单的正义之举，实际上是一场“在特定历史时刻照亮文学和文化交汇点的复杂事件”（Bleicher 545）。学界对特氏为费利克斯安排的宿命有不同的解释：金凯德（James Kincaid）将费利克斯遭受驱逐视为常见的流放恶徒的皆大欢喜结局（165）；沃尔（Stephen Wall）则认为费利克斯的结局是该小说的一大败笔，理由是这种维多利亚式的道德化书写（Victorian moralizing）削弱了特氏的讽刺文风（60）。基于伦理批评的原则，笔者倾向于认同布莱希尔（Elizabeth Bleicher）的观点，即如果我们考虑特氏通过现实主义小说教诲年轻读者的初衷、特氏对性堕落的鲜明立场，以及《方式》发表同期英国社会舆论对性病控制的公开讨论，那么费利克斯的命运是完全合乎逻辑的。通过引入疾病话语，特氏以隐喻的方式借用费利克斯的命运劝导年轻男性读者：如果行为失当，男子也会像女性一样容易堕落（546）。这一警示的社会伦理意义在于，特氏以女性的情爱伦理标准审视男子，从而把焦点从传统的男权经济标记转移到个人责任身上，这一伦理调整符合社会转型期对新兴中产阶级的重新定义。

需要说明的是，特氏在《方式》中并未明确描述疾病，他所使用的疾病话语是一种比拟，如将一些人害怕与梅尔莫特接触形容为对社会“污染（contamination）”的恐惧。他用这样的象征性语言将费利克斯与梅尔莫特相提并论，有效地增强了警示作用和伦理教诲效果——我们仿佛听到了这样的画外音：一味追求价值交换的文明进程，犹如重病缠身，人们（尤其是年轻人）应格外珍视并保持自身的传统道德价值（譬如真、善、美、仁慈和怜悯）。这一警示跟特氏在《自传》中的肺腑之言并行不悖：“爱情这个东西引起所有人的兴趣……如果小说家处理这一主题得法、有益，就爱情提出健康的教诲，那么他带来的益处则非同寻常”（160）。显然，特罗洛普不失为一位“润物细无声”的大众导师。

结 语

综上所述，以伦理之镜管窥特氏对他那个时代精准的全景式记录，我们发现特氏的道德现实主义并不是对善与恶的简单划分和批判，也不是给社会伦理失序开道德药方，而是如加拿大特罗洛普研究专家阿普罗伯茨（Ruth apRoberts）所说，在作品中倾注了一种“道德的审视”（52）。对于《方式》的写作动机和成书过程，特氏在《自传》最后一章中做了详述，尽管他说“这个时代商业中的种种不检行为（commercial profligacy of the age）”促成他创

作该小说，但他也对人类与世界的发展表示了怀疑——

世界究竟是不是变得越来越邪恶，这是困扰了有史以来一切思想家的问题。人已变得不那么残酷，不那么喜欢暴力，不那么自私，不那么野蛮了，这是毫无疑问的。——但是他们也变得不那么诚实了吗？如果这样的话，一个在诚实方面一天不如一天的世界能被认为处于进步状态吗？（353-4）

克拉彭（J. H. Clapham）认为，1870-1874年（即《方式》成书前后）是英国资本主义经济发展的关键时期（115）。处于这一经济繁荣时期的“市侩价值观”已然上升到一定高度，并渗透到社会的各个角落（陆建德，《破碎思想体系的残编》41），深刻影响着社会伦理的演变。特氏最后的巨著《方式》正是在这样的文化转型语境中诞生的，并对19世纪晚期英国文化观念流变中的伦理重构产生了积极的影响：特氏通过对伦理主体的细微观察，透露英国文化共同体中难以确定的群体共同性；通过对冒险投机与理性投资的对比性描摹来揭示经济伦理语境的历史流变；揭示婚恋性爱的伦理模式，告诫19世纪末年轻一代（也是即将进入20世纪的未来一代）在追求人生幸福时要洁身自好，避免被污染。对于如何解决物质追求与精神追求的伦理困境，特氏并未给出明确的答案，但在《方式》中，乔治娅娜最后选择了和一个牧师私奔，这或许暗示了特氏所倡导的道德回归方向，即从对金钱财富的膜拜转回到基督教传统道德观。我们不妨重温一下特罗洛普研究权威萨瑟兰（John Sutherland）在英国全国上下争论“脱欧”时发表于《泰晤士报》社论中的一席话：“我们总在‘英国特性（Englishness）’处于危机（比如第二次世界大战时，比如现在）时重新发现特罗洛普和他所代表的精神内核，然后我们像抓救生圈一样牢牢地抓住他”（2016）。显然，萨瑟兰一语道破了特氏对于英国文化共同体永恒的伦理价值。

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卡夫卡《变形记》中的身份困境、伦理悲剧与空间书写

The Identity Dilemma, Ethical Tragedy and Spatial Writing in Kafka's *The Metamorphosis*

方 英 (Fang Ying)

内容摘要：卡夫卡的一生受到伦理（身份）困境的折磨，其代表作《变形记》以精妙的情节编织和空间书写展现了他对伦理问题的深刻思考。变形后的格里高尔由于身体外形的巨变、语言表达的能力的丧失和理性思维的逐渐衰弱而陷入无法解决的身份困境，并导致了家庭内部的伦理混乱。面对此困境，格里高尔与家人做出了不同的伦理选择，这些选择既是对当时伦理语境的不同反应，也是出于格里高尔与家人之间完全冲突的伦理观念。这些无法调和的伦理冲突最终导致家人将格里高尔视为“非人”，排除出人的伦理范围。而“非人”并非格里高尔的身份认同，因而他只能选择死亡以解决变形带来的伦理混乱。小说以格里高尔的身份困境为伦理结，以他和家人的不同伦理选择为伦理线，展现了一场无法避免的伦理悲剧。同时，小说中的身份困境、伦理选择、伦理观念的对立、格里高尔与伦理语境的冲突等，都是在详细的空间书写（对空间知觉、空间对比、边界空间、边界跨越的书写）中展现的，从而揭示了人的伦理存在、社会中的伦理问题与空间的紧密关联。

关键词：《变形记》；身份困境；伦理选择；伦理语境；空间书写

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Title: The Identity Dilemma, Ethical Tragedy and Spatial Writing in Kafka's *The Metamorphosis*

Abstract: Kafka has been tortured by his ethical (identity) predicaments for the major part of his life, and *The Metamorphosis* embodies his profound reflections on ethical issues through its exquisite plot knitting and spatial writing. Gregory, after his metamorphosis, with his dramatic corporeal transformation, loss of linguistic expression and ever-weakening reason, is confronted with an identity dilemma, which causes the ethical confusion in his family. Different ethical choices are made by Gregory and his family, which not only are their different reactions to their

ethical context, but also originate from their contradictory ethical views. These irreconcilable ethical conflicts eventually lead to his family's choice of seeing him as "nonhuman" and excluding him of human ethic. But nonhuman is not Gregory's choice of identity, so he can only choose death to resolve the ethical confusion brought about by his metamorphosis. Thus, the novella discloses an inevitable ethical tragedy, employing Gregory's identity dilemma as the ethical knot, and his and his family's different ethical choices as the ethical lines. In the meanwhile, the identity dilemma, the ethical choices, the conflicts between different ethical views and those between Gregory and the ethical context, are represented in the detailed spatial writing, namely, the writing of spatial perceptions, spatial contrasts, the border space and border-crossing, thus revealing the close association between space and human ethical existence and social ethical issues.

Key words: *The Metamorphosis*; identity dilemma; ethical choice; ethical context; spatial writing

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卡夫卡的一生受到伦理（身份）困境与空间焦虑的折磨。在身份认同上，他始终处于难以界定的尴尬境地。“他到底属于哪里呢？作为一个犹太人，他不属于基督徒世界；作为一个不入帮会的犹太人……他在犹太人当中不算自己人。作为一个说德语的捷克人，却不属于捷克人；作为一个说德语的犹太人，却不属于波西米亚德国人。作为一个波西米亚人，他不属于奥地利人……”（Anders 18）。他似乎属于各种身份，却又什么都不属于。像许多犹太人那样，他始终是个流浪者，外来者，他者，一个“无家可归的异乡人”（Brod 179-180）。尽管他是犹太裔，却“生于布拉格，葬于布拉格，一生中大部分时间生活在布拉格，……却不属于布拉格，更不属于捷克”（曾艳兵 40）。布拉格原先属于奥匈帝国，后来又由于帝国崩溃而被划归捷克斯洛伐克。和大多数在世界各地漂泊的犹太人一样，空间上的归属也是卡夫卡一生的困境。

身份问题是卡夫卡作品中最重要主题（Golomb 273），伦理问题在其作品中具有首要地位（281）。卡夫卡的作品为许多伦理问题提供了思考和洞见，如道德距离和伦理暴力（Huber），官僚主义、权力、权威、理性和异化（Warner）。其作品也表达了作者深刻的空间意识，为 20 世纪的空间理论研究提供了洞见和绝妙的解读文本，如其作品中关于异托邦和全景敞视空间的建构（Shah）、关于空间书写与身份的关系（Nicolae）。他的大多数作品表现了他的伦理困境和伦理反思，而且将伦理问题与空间书写紧密结合在一起，如《城堡》、《诉讼》、《美国》、《在流刑营》、《地洞》等。其代表作

《变形记》则通过精妙的情节编织和空间书写,探讨了身份困境、伦理选择、伦理冲突、伦理悲剧等问题。

一、身份困境

“《变形记》是一个关于伦理的故事”(Rhodes 236)。故事的核心伦理问题产生于格里高尔变形后的身份困境——难以界定他的身份,他本人身份认同的两难处境,以及他与他人关于他身份的矛盾态度。

格里高尔的变形出现在故事的开端,他一觉醒来发现自己变成了一只巨大的甲虫,背是铠甲式的硬壳,肚子高高隆起,长着无数细小的腿。在身体外形上,他显然变成了“非人”的虫子。但他同时具有人的记忆、感知能力和思考能力。他能辨认自己的卧室和家具,能记得过去的经历,拥有人的各种思想和情感——厌恶工作,担忧迟到,以及对职业、早起、家庭责任等问题的理性思考。就思想和精神层面,他显然具有人的特征。约翰·洛克认为,人“是一种具有思维能力的思考着的存在,具有理智和思想,能在不同时间不同地点将自己看作同一个思维存在……正是意识使得每个人成为他所称的‘自我’……只要这种意识能到达过去的任何行动和思想,该意识也就能到达此人的身份……”(Locke 448-49)由此可见,意识,尤其是对过去的意识,是界定人的自我和身份的关键。对过去的意识,即人的记忆。也就是说,一个人的记忆对于他/她的身份确认是关键因素。安东尼·奎因顿指出,洛克显然赞成笛卡尔的二元论,即自我有可能独立于最初的身体而存在(Quinton 396-397)。格里高尔在变形之初,拥有人的记忆和各种思想情感。从洛克的理论来看,格里高尔此时具有人的身份,他的自我“寄居”在变形后的身体中。他本人也将自己看作原先的格里高尔,还思考着如何挣扎着起床去赶火车,如何行使作为公司职员和家庭成员的各种责任。

然而,他身体外形的变化的确导致了他的身份困境。伊丽莎白·格罗斯指出,身体作为一个物质性肉体整体,通过对其表面的心理书写和社会书写逐渐形成“人的身体”(human body),这既需要家庭所规范的性欲对身体的书写和编码,也需要社会的规范和长期管理,将一系列社会编码的意义刻写在身体上,使身体成为社会网络的一部分(Grosz 104)。由此可见,身体的巨变必然影响人的存在方式乃至人在社会网络中的角色和身份。格里高尔身体变化中最关键的是,他的运动姿势从直立(行走)变成了平卧(爬行)。段义孚指出,直立和平卧生产出两个相反的世界:直立意味着对抗重力和其他自然力量,创造并维持一个有序的人类世界;而平卧则意味着向自然力屈服并离开我们所创造的世界(Tuan 36)。可见,直立是人的身体姿势的关键特征,对于人建构所处世界的秩序、维持人的身份至关重要。格里高尔从直立到平卧,是从人的姿势退化成动物的姿势,这意味着他难以再经验人类世界的秩序,难以再维持人的身份。

身体外形的变化还导致他空间知觉的变化,以及与此相关的身份危机。首先是肌肉运动知觉的变化。变形之始,他难以控制自己的身体,难以完成翻身、站立、开门等普通人日常生活中的简单动作。他始终无法照料自己的生活起居,更不必说劳动这样的复杂生产行为。这意味着他远离了人类社会秩序,不再属于人类社会空间,丧失了劳动者、家庭支柱乃至正常人的身份。其次,他的视知觉日益衰弱。他变形没过几天,“那些离他稍微远一点的东西,已一天比一天模糊了”;他所见到的窗外,“一切都是灰蒙蒙的,天和地混成一团”(卡夫卡 19)。视力的变化改变了他所能感知到的世界,也改变了他与世界的关系。段义孚指出,肌肉运动知觉、视知觉和触觉是空间知觉中至关重要的知觉力,决定着个体对空间和空间特征的感知和体验,以及空间意识的建立(Tuan 12)。这两种空间知觉的巨变必然导致他很大程度上丧失了原先作为人的空间体验,因而也一定程度上导致他的身份困境。

更重要的是,他的甲虫外形令他难以被家人接受,难以被其他社会成员认同为“人”。他与家人的身体差异令家人难以将他看作同类,其中最重要的差异是他没有人脸。列维纳斯(Levinas)认为,拥有人脸是伦理的核心。拥有人脸,是身份和同一性的来源(Rhodes 243)。而格里高尔变形后却失去了人脸,失去了与他人的同一性。当他出现在众人面前,立即引起一场混乱,母亲晕厥,协理大叫一声捂嘴后退,父亲握紧拳头满脸敌意。显然,他们难以将眼前的“怪物”当作一个“人”来看待。他的自我身份认同和家人对他的认同产生了矛盾。

此外,笛卡尔认为,有目的的行动和对语言的理性使用是理性意识的标志(Sweeney 25)。也就是说,“人”的身份取决于理性的行动和语言表达。格里高尔的困境恰恰在于很快丧失了人的语言能力——确切地说,用于交际的口头表达能力。他能用语言思考,但他所说出的只是虫子的声音,他人完全无法理解他的“语言”。“您二位听懂他哪怕一句话了吗?”……“这是动物的声音!”(卡夫卡 8)公司协理指出他发出的不是人的语言。语言能力的丧失动摇了他人对于他“人的身份”的接受。

最重要的是,即便在思维方面,他也越来越远离人的特征。他的理性意识越来越弱,渐渐丧失记忆,逐渐难以真正理解自己的行为模式变化的意义。比如,在第二部分的开头,他向卧室的门爬去。“但到了门旁他才发觉,把他吸引到那里去的究竟是什么了,那是某种吃的东西的味道”(卡夫卡 13)。他的这一行为,与其说是出于清醒的自我意识,不如说是出于本能。又如,当妹妹和母亲来搬走家具时,他一开始并不十分清楚这些意味着什么,自己应该如何反应,因为“两个月来他没有跟人直接交谈……他肯定被这种状况搞糊涂了……他现在真的快要把过去的一切忘光了”(22)。

“人是一种斯芬克斯因子的存在”(聂珍钊,“文学伦理学批评:人性概念的阐释和考辨”14)。“斯芬克斯因子”由人性因子和兽性因子有机组合

在一起。“人性因子即伦理意识”，“伦理意识最重要的特征就是分辨善恶的能力”；“兽性因子是人在进化过程中的动物本能的残留，是人身上存在的非理性因素”（聂珍钊，“文学伦理学批评：伦理选择与斯芬克斯因子”6）。“其中人性因子是高级因子，兽性因子是低级因子，因此前者能够控制后者，从而使人成为有伦理意识的人”（5）。也就是说，人的本质特征在于：理性能控制非理性，并因此具有伦理意识。而格里高尔的身份困境在于：他身上的理性因素越来越少，非理性因素越来越多，却依然具有一定的伦理意识，保持着对家人的爱和关怀；他自我认同为人，家人与其他人却难以接受他作为人的身份。

二、伦理选择

从文学伦理学批评的体系来看，格里高尔的身份困境构成了小说的伦理结，小说中的所有矛盾冲突都围绕这个伦理结展开，并构成小说的数条伦理线。“伦理结是文学作品结构中矛盾与冲突的集中体现。”（聂珍钊，《文学伦理学批评导论》258）伦理线是将伦理结串联起来的“文学文本的线形结构”，是“贯穿在整个文学作品中的主导性伦理问题（leading ethical track）”（265）。伦理结与伦理线结合在一起，共同构成作品的伦理结构。《变形记》的伦理结构由格里高尔的身份困境、他和家人的不同伦理选择、以及由此引发的矛盾冲突编织而成，而其中的伦理主线则是格里高尔与家人的伦理选择过程。

格里高尔的变形，本身就是一次伦理选择。变形是一种逃避，逃避他所憎恨的工作。变形也是一种试探，试探众人的态度和伦理底线。当他挣扎着想要打开卧室的门，他“确实想让人看见并和协理说话，他好奇地想知道，那些现在想见他的人见到他时会说些什么”（卡夫卡8）。变形也是他内心愿望和欲望的表达。一方面，甲虫喻指他对妹妹的乱伦冲动（Ryan 148），或者说爱情的欲望。在小说中“卡夫卡正是把妹妹当成格里高尔的情人来加以描写和处理的”（李军94）。另一方面，这喻指格里高尔想要放弃工作，像甲虫那样，在经济和生活上都由家人照料，从而追求自己喜欢的事情——艺术。格里高尔爱好艺术：他喜欢音乐，喜欢自己制作相框。文中三次提及墙上那个由他制作的美丽相框，而故事的高潮则是音乐对他的吸引。格里高尔的变形是放弃之前的伦理身份，追求内心的欲望和爱好，选择与此相符的伦理身份。

然而，格里高尔的变形，不仅导致其身份困境，而且导致整个家庭的伦理混乱。原有的伦理秩序改变了：格里高尔无法再履行哥哥、儿子、家庭经济支柱的伦理义务，反而在经济上与生活上变成了家人的拖累。这些问题必然要求全家人做出新的伦理选择，以重构处于混乱状态的伦理秩序。然而，对其身份界定的困境却决定了重构家庭伦理秩序的困境，也导致了一场艰难

的、充满矛盾冲突的伦理选择。

当格里高尔发现自己的变形令全家和公司协理都深感惊恐,尤其是发现自己的新身份受到父亲手杖的驱赶和攻击,他意识到无法彻底做那个内心欲求的“自我”,也无法回避变形后的伦理与责任问题。于是,他试图选择另一个伦理身份,试图重新建立与他人(主要是家人)的关系,重构自己作为家庭和社会成员的身份。

起初,他的选择是消极地忍耐、躲避和等待,并一如既往地暴露真实的(作为“虫子”的)潜意识:他钻到沙发底下,安静地躺着,告诉自己要“用耐心和最大的体谅来减轻家人由于他目前的状况而引起的倒霉和难受心情”(卡夫卡 15);当妹妹开窗惊吓到他,他只是被动地“躲在沙发底下瑟瑟发抖”(19);对于妹妹态度的变化,他无法做出理性的分析和思考,反而一厢情愿地认为,“只要妹妹有可能,她一定……乐于在关好窗门的情况下照料他的”(19)——这种一厢情愿折射出他的乱伦欲望和物质上依赖家人的愿望;当他发现他的样子仍然让妹妹受不了,他选择了“自我隔离”——把一块床单驮到沙发上,“使它完全能够遮住自己”(20)。后来,当妹妹决定搬走他房间的家具,而母亲表示搬走了家具就表明大家放弃他病情好转的希望,他突然意识到必须令房间保持原样,以保持他对过去的记忆。但他却无法表达自己的思想,也无法采取理性而有效的应对措施,只是做出本能的选择:他爬到一副女士画像上(相框是他自己制作的),“把身体紧贴在玻璃上,玻璃吸附住他发热的肚皮,使他感到舒服”(性欲的暗示),甚至不惜与妹妹对峙,“宁可跳到她的脸上也不让他的画被拿走”(23);当母亲昏厥,他又爬到隔壁房间,“好像他还能一如往昔给妹妹出个什么主意似的”(24)。最后,妹妹的琴声吸引他爬进客厅,他希望妹妹带着小提琴到他的房间,并且不愿让她离开,“至少他活多久,就让她在这里待多久”,而且准备守卫房间的各个房门,“对着入侵者们吼叫”(32)。这象征着他为本能驱使——既有对艺术的热爱,也有对妹妹的欲望——忘记了自己应该安守的被隔离的伦理身份,并准备彻底以非理性的欲望示人,以社会所无法接受的“本我”对抗当时的社会伦理秩序。

他的这些选择是自相矛盾的:他一方面坚持过去的记忆,继续将自己认同为人,尤其在情感上继续坚持家庭成员和经济支柱的身份;另一方面,他无法摆脱虫子的身份——内心对妹妹和艺术的欲望,以及摆脱推销工作的欲望——而且任凭这一欲望逐渐主宰自己,逐渐击退理性思维。因此,他不可能建立一个统一而连贯的新身份。此外,这些选择既无法建立交流和沟通,也无法承担责任和义务,反而加剧了他与家人之间的隔阂与误解。显然,他的选择注定无法得到家人的理解和认同。根据社会建构主义的观点,自我由各种社会角色的联系所建构,由特定的社会交流形式产生,因此,个人身份是通过建构社会关系得以维持的,无法建构社会关系,即便具备心理或物理

层面的连续性，个人身份也遭到破坏（Sweeney 29）。在社会环境中，没有得到他人——尤其是家人的承认，他的身份重构是失败的，他的伦理选择也无法得到认可。

格里高尔在矛盾与困境中做出伦理选择的同时，他的家人也在做出艰难的选择。起初，他们并没有马上将他认定为“异类”，却也难以把他看作原先的那个身份。他们仍然把他看作格里高尔，一个严重病态、令他们厌恶和恐惧的格里高尔，并期待他康复，变成原来的“自我”。因此，家人将他驱赶并禁闭在他的卧室。此时，家人的选择是隔离、（暂时的）照料和等待。当妹妹发现他饮食习惯的变化，给他带来各种食物供他挑选，这实际上是他选择身份。他对过期食物的选择让家人意识到他对虫子身份（本我）的坚持，因而日渐失望。当妹妹决定搬空他卧室的家具，实则是彻底否定他过去的身份。显然，家人的选择是一个动态变化的过程：由隔离和等待到失望和圈禁，再到放弃并否定他作为人的身份。

这一艰难而具悲剧色彩的伦理选择过程在小说的空间书写中得到了精彩而深刻的展示，尤其是对格里高尔卧室空间的书写。小说将这个卧室书写成一个圈禁、监控和异化的“他者”空间，在此空间展示格里高尔与家人的不同伦理选择。卧室本来是家的一部分，给人以温馨和庇护。在哺乳动物中，只有人类将家看作供病人和伤者在他人照料下康复的地方（Tuan 137）。在巴什拉看来，家宅是庇护所，藏身处，充满安定感、幸福感与儿时的梦幻（巴什拉 1-16）；家宅既是回忆，又是展望，既是休息的地方，又是腾飞的地方（39-71）。然而，格里高尔变形后，卧室失去了家的一切美好意义，被家人变成囚禁动物的他者空间。家人不允许他随意进出卧室，常常用关门的方式实现对他的圈禁。家人经常在卧室门外听门内的动静，或者随意开门对其观察。后来，家人逐渐忽视对房间的打扫，任其变得肮脏凌乱；搬走卧室的所有家具和他的个人物品，将这彻底变成动物的巢穴；有了租客之后，又将这变成堆放杂物的储物间，将他等同于堆放于一室的杂物。家人将卧室逐步异化和他者化的过程，也是将格里高尔逐步物化、他者化、非人化的过程，也是他们的伦理选择变化的过程。

三、伦理冲突

格里高尔与家人做出了不同的伦理选择，他们的选择过程呈现出动态的矛盾对立性。这些对立植根于他们不同伦理观念的对立，并导致了小说中一系列伦理冲突。小说中的身份困境、伦理选择和伦理冲突都是处于特定伦理语境中的。因此，理解该语境是解析小说伦理冲突与伦理悲剧的关键。

伦理语境是“文学作品中人物的意识、思考、观念和语言交流的伦理环境”（聂珍钊，《文学伦理学批评导论》270）。当时的伦理语境，有两点与小说中的伦理冲突密切相关。其一，从人类文明之初，乱伦禁忌就被确立为

最重要的两大伦理禁忌之一（261-62），因而，当时的伦理语境绝对不容许兄妹之间的乱伦关系，也不允许兄长公开显露对妹妹的乱伦欲望。其二，在19世纪末、20世纪初的北欧，尤其是在卡夫卡所在的欧洲犹太人移民居住区，家庭责任和对父母的孝道是其社会文化的基础（Rhodes 241）。成年男性应当赚钱养家，孝顺父母，照顾弟妹，这是当时北欧犹太族群的伦理语境。在解读当时伦理语境的基础上，我们发现，《变形记》中具有两种无法调和的伦理冲突。一是格里高尔的伦理身份、伦理选择与伦理语境之间的冲突；二是格里高尔与家人伦理观之间的冲突。

先看第一种伦理冲突。如前文所述，格里高尔变形后，丧失了劳动者、家庭支柱乃至正常人的身份。他的变形，在本质上，是选择完全依赖家人——尤其是依赖于妹妹的照顾，是显示自己对妹妹的情欲。在后来的选择中，他虽然坚持自己作为人的身份，却不愿放弃内心的欲望，也无法承担应尽的家庭责任。因此，他的伦理选择和新的伦理身份不仅违背了乱伦禁忌，而且放弃了“建立在替父还债义务基础上的社会身份”（Preece 37），违背了欧洲犹太族群的伦理规范，是与当时伦理语境的根本性冲突。

再看第二种伦理冲突，即格里高尔与家人伦理观之间的冲突。格里高尔的“个人”伦理观基于身体-意识二分法和对个人意志、情感因素的强调。他的伦理选择表明：他认为伦理身份在于人的意识和情感可以独立于身体的物质状态，家庭伦理关系的核心是心中无条件的爱和包容——他自己对家人始终坚持这一原则，并期盼家人以这样的原则对待自己。而以家人、公司协调和租客为代表的社会伦理观（也是当时伦理语境的基础）则主张伦理关系的社会-建构性和犹太文化特征，即伦理处于人与人之间的互动关系中，每个人的伦理身份都对应着相应的义务，尤其是对家庭的责任和对父母的孝道。显然，这两种伦理观念是根本冲突的。

这些伦理冲突，被深深地镌刻在小说的空间书写中。小说中卧室内、外的空间对比，以及由边界异化、边界跨越引发的“空间性”冲突，揭示了两种伦理观念、两种伦理秩序的根本对立，以及由此导致的种种伦理冲突。

首先，卧室内与窗外的空间形成了鲜明的对比。如果说卧室是困境、圈禁、他者空间；窗外则是自由、希望、常规空间。卧室是私密的个人空间，代表着格里高尔个人的伦理观念；窗外是公开的社会空间，是公共伦理规范、伦理秩序与伦理体系所处的空间。变形后的格里高尔无法走出自己居住的公寓，无法再走进窗外这片广阔的空间。本来窗户是连接并沟通室内与窗外空间的通道，是“将外面的世界带到近处的途径”（Nicolae 146）。但格里高尔衰退的视力令他无法再看见窗外的景象。窗因此变成了“伪沟通”和“归属幻觉”的象征（146）。这些都象征着他无法再融入人类社会空间，无法再进入社会伦理秩序，无法在这个伦理体系中保持或获得一个伦理身份。两种空间的对比和窗户功能的失效，深刻地揭示了两种伦理观念、伦理秩序的对立，以及

沟通、妥协的不可能性。

其次，是卧室与客厅之间的空间对比。客厅是家人活动的公共空间，是家庭内部的社交空间，比卧室具有更多的关系性和互动性。格里高尔作为家庭一员，本来也有权进入这个空间，享有这个空间里亲人间的相聚与交流。但，变形后的他被排除在这个空间之外。客厅与卧室变成了相互对立的矛盾关系。如果说卧室属于怪物和他者的空间，是伦理关系的异化，那么，客厅才是正常人的空间，遵循人类社会的伦理秩序。这两个空间，代表着两种对立的伦理秩序，也象征着格里高尔与家人伦理观念的对立。两种空间的对立将格里高尔的伦理困境、他与家人之间的伦理冲突空间化，结构化，物质化。

再次，空间跨越引起的伦理冲突。客厅与卧室虽然是家庭空间中公共空间与私密空间的两级，但可以通过门互相跨越与沟通。门是这两个空间的边界，既分隔出两种空间功能，又为家人之间的空间跨越、身份转换与情感交流提供了通道。苏贾通过讨论混血身份、混血艺术、对领土的穿越、对族裔的跨越等问题，将边界空间视为第三空间的一种，并援引纪勒莫·格梅兹帕、斯皮瓦克、霍米·巴巴等的思想，揭示出：边界既是边缘，又是重叠与混合；既是裂缝，又是中间和结合部；是穿越、变数、对立与共生，是超越与解方向性；边界作为第三化的他者而永远开放，永远具有无限可能（Soja 125-144）。然而，格里高尔变形后，门这个边界的功能与意义发生了巨变。变形之初，他卧室的锁着的门是一个重要的空间象征。这道门，家人无法从外面打开，他也难以从里面打开。锁着的门造成了他与家人之间物理空间的分离，也是两个不同世界的分离，两种伦理观念和伦理秩序的对立。此后卧室的门，主要发挥着禁闭与隔离的功能，变成了维持秩序和禁止跨越的森严边界。门的开和关由家人和帮佣控制。即使门没有锁上，开门和出门对格里高尔而言也是困难的。而且，当家人有意开着门，门也已经失去了沟通和跨越的意义，“格里高尔依然是门外面的人，观察着门的另一边的生活”（Nicolae 148）。而且，他几乎每次进门或出门都会受伤，每次跨越边界都引起混乱，并遭到父亲的驱赶甚至攻击。他最后一次跨越边界直接导致妹妹消灭他的坚定决心。这一方面是家人已濒临绝望，而更重要的是他这次不仅跨越了家庭内部的空间边界，而且跨越了更具结构性、矛盾性和意识形态性的社会空间的边界——租客代表着更大范围的社会秩序和伦理语境。这次边界跨越跨过了社会伦理规范的极限，是对人类基本伦理秩序的威胁和破坏，因而直接导致家人否定了他在家庭中（也是人类社会中的）伦理身份和伦理地位。

总之，卧室内、外之间的空间对立象征着不同伦理选择、伦理观念和伦理秩序的根本冲突。而门和窗的边界功能的异化，以及每次边界跨越必然导致混乱乃至暴力冲突，都表明这两种伦理观念无法共存和妥协。

四、伦理悲剧

格里高尔的伦理身份、伦理选择与当时伦理语境的根本冲突，他与家人不同伦理选择之间的冲突，是无法解决的两难困境。因而，伦理悲剧的发生是不可避免的。

在激烈的伦理冲突中，最不能为大家容忍的是格里高尔离开卧室的行为，这被看作对他自己伦理身份（疯子或怪物）的僭越。对此，家人选择了以暴力对待他的非理性、极度“非正常性”和“越界”行为。其中最典型的是他父亲对他的苹果攻击，而嵌入他背部并逐渐腐烂的苹果是导致他死亡的原因之一。最后，当他的出现引发房客恐慌和愤怒，并威胁到家庭经济收入，家人则视他为敌人，并否定他作为人的身份。一直照顾他的妹妹在家人中做出了最坚定的决定：“一定得把它弄走。……你只需设法摆脱这是格里高尔的念头就行了。……假如它是格里高尔，那它早就该明白，人和这样的动物是无法生活在一起的，早就自动跑掉了。……可你看这头怪物，它紧随我们不放，它在害我们……”（卡夫卡 35）显然，在家人最终的伦理选择中，格里高尔已经被视为“非人”。而“非人身份”乃伦理的极限（Rhodes 243）。也就是说，他已经被排除出人的伦理范围，不再拥有以人的身份存在的资格。但“非人”并非他自己的身份认同和伦理选择。因而，最终他只能选择死亡，通过死亡摆脱自己无法确定伦理身份的困境，解决他的变形带给家人的伦理尴尬，以恢复家庭的、也是整个社会的正常伦理秩序。

在现代社会中，无论是自己选择死亡（选择饿死，病死，或者放弃生的希望），还是家人对其“人”的身份的否定，或者家人的暴力攻击导致其死亡，都是令人震惊的伦理悲剧。悲剧的根源是无法解决的身份困境，是不同伦理观念的根本性冲突。

格里高尔变形之后的身份困境在于：在身体上，他既不具备人的外形特征，也无法从事人的活动，因而危及其作为人的身份；在社会关系上，他既无法建立与他人的有效交流，无法获得他人对自己伦理身份的认可，也无法再承担家庭伦理责任，因而最终无法维持与他人的伦理关系。因此，他必然被家人（以及所有人）他者化，非人化，最终被排斥于人的伦理之外。

格里高尔的伦理观念、伦理选择不仅与家人的观念和选择存在根本性冲突，而且是对当时伦理语境的背离，是对构成伦理语境的伦理规范的违背和破坏。然而，伦理毕竟是关于社会中人与人之间的关系，个人伦理观念必须服从社会伦理观念，必须符合社会伦理语境。格里高尔不愿放弃自己的伦理观念，在身份选择中也无法符合家人的期望和社会伦理规范的要求，就只能选择死亡，只能以悲剧解决这一伦理困境。而由于这一悲剧发生于亲人之间，在家这个亲密空间中上演，由许多空间书写的细节构成，其悲剧性则更为令人痛心，更为发人深省，也更具有普遍性意义。

格里高尔的伦理悲剧显然书写了卡夫卡本人的身份困境，也“不由得使读者想起几千年来犹太人的不幸遭遇和悲苦命运”（曾艳兵 190）。而从象征的层面看，这又折射出现代社会中人与人之间的隔阂，人之自我的分裂与异化，以及普遍存在的现代人的身份困境。而小说中的空间书写则深刻地揭示了这一伦理悲剧与空间的关联，伦理问题在空间中的投射，以及人的伦理存在如何为空间所形塑，如何依靠空间得以言说。正如存在不可能在空间之外，伦理问题也必然与空间相关。在本质上，现代人的伦理困境也是存在困境，是一种空间性焦虑，是“在世界中存在”（being-in-the-world）的必然焦虑。

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曼德尔施塔姆诗集《石头》的“世界文化”网络

The Network of “World Culture” in O. Mandelshtam’s *Stone*

王永 (Wang Yong)

内容摘要：“对世界文化的眷恋”是俄罗斯诗人曼德尔施塔姆提出的阿克梅派的创作理念之一。这一理念充分体现在其第一部诗集《石头》中。本文从俄罗斯国家语料库提取该诗集相关词汇的数据，以此为线索，揭示出其“世界文化”网络构成的三大特征：1) 诗集的“世界文化”网络，是一个涵盖了上下数千年、纵横几万里的巨大网络，其中体现欧洲文化的节点最为密集；2) 在诗集的“世界文化”网络中，古希腊罗马文化占有独特地位，其中罗马构成了“世界文化”的核心；3) 在“世界文化”网络中，文学艺术构成其中至关重要的节点。这些特征既同诗人的生活经历有关，又反映出诗人对人类文明及俄罗斯文化的深层思考。

关键词：曼德尔施塔姆；《石头》；统计分析；“世界文化”；网络

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Title: The Network of “World Culture” in O. Mandelshtam’s *Stone*

Abstract: Russian poet O. Mandelshtam defined the movement of Acmeism as “a yearning for world culture.” This concept is fully embodied in the first collection of poems, *Stone*. The article, on the analysis of vocabularies from the poetry anthology by searching Russian National Corpus, makes a conclusion that the network of “world culture” consists of three major characteristics: 1) the network of “world culture” is a space-time domain that covers thousands of years in time and tens of thousands of miles in space, among which Europe has the most overwhelming cultural nodes; 2) in the network of the anthology, the ancient Greek and Roman culture occupies a unique position, and Rome is the core of “world culture”; 3) in the network, literature and art form are the most important nodes of the network. These characteristics are related to the poet’s life experience and meanwhile, reflect

the poet’s deep thinking about human civilization and Russian culture.

Key words: O.Mandelstam; *Stone*; statistical analysis; world culture; network

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引言

奥西普·埃米尔耶维奇·曼德尔施塔姆（Осип Эмильевич Мандельштам, 1891-1938）是俄罗斯白银时代阿克梅派诗人，被誉为“20世纪俄罗斯第一诗人，堪比黄金时代的三大巨擘：普希金、丘特切夫和莱蒙托夫”（Мандельштам, T.I LXI），与阿赫玛托娃、帕斯捷尔纳克、茨维塔耶娃并称为“俄罗斯白银时代诗人四巨匠”。文艺批评家什克洛夫斯基称其为“天才”诗人¹。在诺贝尔文学奖获得者布罗茨基的眼中，曼德尔施塔姆“以其本质上全新的内容而独树一帜”（曼德尔施塔姆，《曼德尔施塔姆随笔选》代序13）。德语诗人、翻译家保罗·策兰甚为推崇曼德尔施塔姆的诗歌，翻译并出版了曼氏诗集。他在1960年2月29日致斯特卢威的信中说：“曼德尔施塔姆：我很少再有像读他的诗时的那种感受，就好像在走一条路——这条路的旁边是无可辩驳的真实，为此我感谢他”（Ralph Dutli 15）。曼德尔施塔姆在俄罗斯诗歌中的地位是毋庸置疑的，正因如此，他才成为俄罗斯白银时代诗歌研究中的一个热点。

在阐述阿克梅派的创作理念时，曼德尔施塔姆明确指出，阿克梅派诗学的一大特征是“对世界文化的眷恋”（阿格诺索夫234）。那么，曼德尔施塔姆作为“阿克梅派的信徒”（Роговер 334）是如何践行这一诗学原则的？他在创作中“对世界文化的眷恋”又有哪些具体表现？原因何在？他的第一部诗集《石头》可以回答这些问题。

一、用节点和坐标建构世界文化网络

诗集《石头》“‘浓缩’了诗人艺术世界几乎所有的特点，这些特点在其生活和创作历程的不同时期，虽然在表现方式上有所差异，但却始终保持着内在的统一性和完整性”（阿格诺索夫236）。而《石头》的这种统一性和完整性，体现为诗人笔下“世界文化”网络的特征。上至古希腊罗马，下至诗人所处时代，他的“世界文化”网络是一个以欧洲为中心，辐射到美洲、亚洲和非洲的时空域。在这个巨大的网络中，诗集中的人物、建筑、国家、山川、河流等构成了一个个相互联系的网络节点。

从时间轴上看，《石头》描写的始自古希腊罗马并一直延续到诗人所处时代的各类人物，都是不同文化的代表性符号。例如古希腊罗马时期的苏格

1 <http://www.mandelstam.velchel.ru/>. 2017.01.23.

拉底、恺撒、西塞罗、奥古斯都、奥维德、查士丁尼等，他们是西方古典文明的符号；近代时期的马丁·路德、彼得大帝、波拿巴、巴赫、贝多芬等，他们是宗教、政治、艺术的文化符号；工业革命时期的狄更斯、福楼拜、仲马、左拉等，他们是文学与社会文化符号；而与诗人同时代的魏尔伦、Г.伊万诺夫、阿赫玛托娃、古米廖夫等，则是同诗人自己紧密相连的诗歌的文化符号。

在《石头》构建的文化网络中，“圣索菲亚大教堂”、“Notre Dame”和“海军部大厦”这三首诗构成了“世界文化”时间轴上的三个坐标。这三个坐标以建筑标志，代表了古罗马帝国、中世纪及现代这三个历史时期的文化。它们把世界文化节点中的历史人物作为不同时期的文化符号串联在一起，编织出一张承载厚重历史文化的欧洲文化史网络。“圣索菲亚大教堂”是古典文化的符号。这座位于伊斯坦布尔的有“一百零七根绿色大理石柱”的东正教教堂，是“在尘世漂游的庙宇”。“光”透过穹顶的“四十个窗洞”照射进教堂内部，赋予了教堂以“庄严”的感觉。同时，诗歌在对教堂的建筑构造进行描写时，也揭示出这座建筑蕴含的历史文化。自公元6世纪东罗马帝国皇帝查士丁尼一世下令修建以来，这座教堂见证了拜占庭帝国的兴衰以及奥斯曼帝国曾经的辉煌：

圣索菲亚——上帝判定
所有的民族和国王在此停留！
须知，据目击者声称，你的圆顶
仿佛用铁链系挂于天庭。¹（35）

“上帝判定”，希腊人、罗马人、土耳其等民族，以及查士丁尼、穆罕默德等国王“在此停留”。这一个个由人物体现的文化符号，在圣索菲亚大教堂里成为固化的历史，见证了时代更替、帝国兴衰的真理，那就是“智慧的球形建筑 / 比民族和世纪活得更长久”。

巴黎圣母院（Notre Dame）是另一个文化坐标。这座依据“神秘的平面图”建成的“巴西利卡式教堂”，有着“轻便的十字穹顶”。它那“马鞍形的拱门将力量凝聚在这里，/ 为的是让负重不去压垮墙壁”。同样，这首诗在描绘教堂建筑的同时，也揭示了蕴含于其中的历史文化：

在罗马法官审判异族人的地方，
矗立着一座巴西利卡式教堂
.....

自然力的迷宫，不可思议的森林

1 本文所引诗歌译文基本出自：曼德尔施塔姆：《黄金在天空中舞蹈》，汪剑钊译。上海：上海文艺出版社，2015年。译文后仅标出页码。

哥特式灵魂那理智的深渊，
埃及的强力和基督教的胆怯，
橡树挨着小树，垂直线是准绳。（37）

巴黎圣母院的前身是巴黎第一座基督教教堂——圣斯蒂芬巴西利卡式教堂，自12世纪开始建造，至14世纪最后建成，业已成为中世纪哥特式教堂的典范。教堂顶部耸立着多座尖塔，最高的一座有96米，为“橡树”材质。与此相比，其他细瘦的尖塔犹如“小树”。教堂内庞大的肋骨状构架和垂直线条，宛若“自然力的迷宫，不可思议的森林”。置身于这座集宗教建筑艺术与历史文化于一体的教堂中，仿佛落入了“哥特式灵魂那理智的深渊”，能感受到“埃及的强力和基督教的胆怯”。

“慵懒地伫立”在“北方的首都”的“海军部大厦”，同样是一个文化坐标。作为圣彼得堡的地标建筑，海军部大厦占据着中心位置，从远处就可以看见那“透明的刻度盘”，那“空中的帆船和高不可攀的桅杆 / 是彼得历代继任者的量尺”。显然，海军部大厦不仅是这座城市地理意义上的中心，而且在俄罗斯历史文化中占有显著地位，象征着彼得大帝时期俄国的崛起和文化的繁荣。诗中描写道：

上帝友善地赋予我们四种自然力，
但自由的人却创造了第五种。
……
任性的水母愤怒地吸附着，
铁锚在生锈，就像被扔弃的犁铧；
镣铐的三个维度就这样被砸断，
于是，全世界的海洋都敞开！（46）

“四种自然力”、“水母”、“铁锚”，都是大厦塔楼上的雕塑。在塔楼第二层的28根廊柱上，有28尊雕像，其中有火、水、土、空气“四种自然力”。塔楼正面的檐上墙，雕刻着“建立俄国海军”的浮雕，描绘了海神波塞冬把象征海洋权力的三叉戟交给彼得大帝的场景，位于浮雕正中心位置的是彼得大帝。“自由的人”彼得大帝建立的俄国海军，创造了“第五种”力量，成为俄国海军荣耀与实力的象征。自此，“全世界的海洋都敞开”，船舶由海军部大厦进入涅瓦河，由此通过芬兰湾入波罗的海，打开了“通向欧洲的窗口”，建立起俄国与欧洲沟通的桥梁，使俄国文化逐渐融入欧洲文化。

在世界文化的空间轴上，诗集中出现的遍布亚洲、美洲、欧洲和非洲的国家、城市、河流、山川等，都同样是处于世界文化网络不同节点上的文化符号。国家如意大利、波兰、西班牙、俄罗斯、美国、埃及等，是代表世界

不同民族文化的象征性符号。城市如雅典、比雷埃夫斯、特洛伊、罗马、热那亚、伦敦等，是代表不同历史文化的象征性符号；河流山川如阿索斯圣山、阿芬丁山、卡皮托利山、阿尔卑斯山、涅瓦河、泰晤士河等，是不同地域文化的符号。在这个网络空间里，欧洲的文化节点多达 28 个，在整个网络节点中占到 87.5%。由此可以看出，这张世界文化的网络通过三大坐标把众多节点连结在一起，实际上构建的是一张以欧洲为中心而辐射至其他地域的世界文化网络。

作为空间网络中心节点的欧洲，通过浩淼的海洋连接至亚洲和美洲：“习惯了辽阔的亚洲和美洲，/ 大西洋冲刷欧洲时不再汹涌”。在诗人的笔下，欧洲是“被海水抛出的最后一块大陆”：

生动的海岸蜿蜒曲折，
半岛如轻盈的雕像；
港湾的轮廓女性般柔美：
比斯开湾，热那亚湾，一条慵懒的弧线……（63）

在这首诗中，诗人用俯瞰的视角勾勒出欧洲大陆的版图。她有曲折的海岸线，有鬼斧神工雕琢出来的巴尔干半岛、亚平宁半岛、伊比利亚半岛、斯堪的纳维亚半岛。比斯开湾、热那亚湾不仅本身的弧度柔和温顺，而且其俄文名称的词法属性为阴性，令人联想起女性的温柔。同时，这片大陆又是“专制君主的欧洲”、“新的爱拉多”：

一片征服者古老的土地
欧洲穿着神圣同盟的破衣烂衫；
西班牙的脚踵，意大利的水母，
没有国王的温柔波兰。（63）

显然，诗人的主旨并不在于单纯描绘欧洲的形状，还在于揭示这片土地走过的历史。在欧洲大陆上，19 世纪初结成的神圣同盟，先后镇压了意大利革命和西班牙革命。而如今，第一次世界大战的炮声又将她撕裂，致使“神秘的版图发生变化”。

综上所述，《石头》借助一个又一个节点，构筑了一个上下几千年、纵横数万里，以欧洲为中心，延伸至美洲、亚洲及非洲，涵盖各个时期欧洲文明的“世界文化”网络。

二、俄罗斯的古希腊罗马文化底色

在《石头》建构的世界文化网络中，古希腊罗马文化是这张网络的底色。

从数据统计中可以看出,同古希腊罗马文化相关的人物多达 16 人,占到所有人物总数的 31.37%。除了现实中的人物君主帝王查士丁尼大帝、哲学家苏格拉底、政治活动家西塞罗、文学家荷马和奥维德外,还有神话中的人物阿佛罗狄忒、狄奥尼索斯、海伦、缪斯、俄耳甫斯、狄安娜等。这些人物作为特色鲜明的古典文化符号分布在不同的国家和地域中,并同国家和地域融合在一起,变成新的文化符号。人物同国家、城市、山川等相融合演变成新的文化符号,爱拉多(古希腊)、特洛伊城、罗马(罗慕·洛, Romulus)、阿芬丁山、卡皮托利山、阿索斯圣山、萨拉米斯岛等。这些词汇表现出欧洲古典文化是由不同文化融合而来的特征。也正是这种融合,构成了古希腊罗马文化不同于其它文化的基本特色。

诗人借助这些从不同文化融合而来的文化词语的本义和隐喻,构筑起一个独特的“古希腊罗马文化”的语义空间。罗马、阿芬丁山、卡皮托利山、埃及、荷马、特洛伊、爱拉多等词,不仅表达本义,而且可以引起关于古希腊罗马文化的联想。诗人如此看重古希腊罗马文化,是同俄罗斯文化的构成特征分不开的。

首先,俄罗斯文化带有深刻的古希腊文化烙印。在“词的本质”一文中,曼德尔施塔姆指出了俄罗斯文化同希腊文化的天然联系:“俄语是一种希腊化的语言。……希腊文化的有生力量在西方让位于拉丁文化的影响,并在后继无人的拜占庭文化中短暂逗留后,一头扑进俄罗斯言语的怀抱”(Мандельштам, T.2 245)。

这段文字表明,俄语文字有很深的希腊渊源。俄语字母为西里尔字母,脱胎于希腊字母的格拉哥里字母。由拜占庭帝国的基督教传教士西里尔和梅福季在 9 世纪为在斯拉夫民族传播基督教而创造的俄语,在“罗斯受洗”后成为东正教教会的官方语言,因此希腊字母构成了斯拉夫文化之源。在曼德尔施塔姆看来,俄罗斯是希腊文化传统的继承者。因此,作为古希腊文学基本精神的生命意识、人本意识和自由观念,自然而然地融入了他的诗歌创作中,成为他获得诗歌创作动力的重要来源。

在诗人的笔下,自由既是他本人所感受到的“恬静的”、“透明的”“自由”,也是他眼中具有自由本质的人或物体。那是“建立第五种自然力”的“自由的人”彼得大帝,拥有“我的权杖,我的自由”的恰达耶夫,在一战期间致力于和平、反对战争的罗马教皇本笃十五世。那座“廊柱圈成一个半圆”的喀山大教堂,就是自由圣殿。在诗人看来,自由具有与法律同等的崇高地位:

我要把自己的王冠
庄严地敬献给你,
希望你由衷地服从自由,
恰似服从法律……(73)

其次,在俄罗斯文化中,“罗马”是“世界文化”的中心。《石头》中的“罗马”,既是古罗马时期的罗马,如诗歌“他们委屈地走向山冈”;也是天主教的罗马,如诗歌“写给本笃十五世教皇通谕”。俄罗斯文化怎样继承古罗马文化,第三罗马”概念似乎是一条把二者连接起来的罗马文化通道。布罗茨基在“逃离拜占庭”一文中有一段形象的精彩文字,描述他如何“在波斯普鲁斯岸边”“观看‘第三罗马’¹的航空母舰慢慢穿过‘第二罗马’的闸门,驶向‘第一罗马’”(布罗茨基 386)。

但是诗人也看到,俄罗斯的罗马文化之根并不牢固。天主教的罗马要在俄罗斯文化与西方文化之间筑起一道屏障,使“俄罗斯文化和历史”“永远在四面八方漂浮”(曼德尔施塔姆,《曼德尔施塔姆随笔选》48)。诗人说:“即使在今天,我们的文化也仍然在漫游,仍未找到它的墙”(同上:55)。这就是说,俄罗斯文化植根于古希腊罗马文化之中,但是当罗马帝国灭亡罗马成为拉丁文化中心之后,俄罗斯文化同西方文化之间就产生出更多的疏离。正是这种疏离,引发了诗人对俄罗斯历史文化的深层思考;“让我们来谈谈罗马——神奇的城市! / 它用胜利确立圆顶”。

在诗人心目中,罗马是一座神奇的城市。作为欧洲的中心,欧洲文明的发源地,罗马集中体现了欧洲的历史命运与社会变革。历史上,这座城市的庶民们“在阿芬丁山上永远等待国王”,“我们这些铁人们被判定 / 去保卫安全的卡皮托利山”。从王政时期到共和时期,公民充分显示出其力量。“在无数世纪中生存的并非罗马 / 而是人在整个宇宙的位置”。诗人这样说:

自然就是罗马,罗马倒映着自然。
在透明的空气中,我们看到了
公民力量的形象。仿佛在蓝色的杂技场,
在空旷的田野,在林立的柱廊间。(60)

凭借一次又一次的胜利,罗马成为天主教中心,成为西方文化中心,“圆顶”的圣彼得大教堂成为其见证。

这个神圣的罗马是俄罗斯文化的源泉,构成了诗人思考历史的载体。

庙堂那小小的躯体
比巨人更多一百倍的生气,

1 1453年,东罗马帝国为奥斯曼帝国所灭,此后,拜占庭帝国末代皇帝君士坦丁十一世的侄女索菲娅·帕列奥罗科嫁给了莫斯科公国大公伊凡三世,使其成为拜占庭帝国的继承者,莫斯科成为东正教中心,从而在俄国形成了“第三罗马”的概念。简言之,罗马帝国时期的罗马为第一罗马;罗马帝国分裂后的东罗马(拜占庭)帝国首都君士坦丁堡为第二罗马;东罗马帝国灭亡后的莫斯科为“第三罗马”。

那巨人靠着整块岩石
无助地贴紧着大地！（58）

望着眼前这座由“罗马的俄罗斯人”设计建造的喀山大教堂，诗人联想起矗立在十二月党人广场上的“巨人”。这巨人是骑在马上彼得大帝——青铜骑士雕像，受到普希金的颂扬。这座雕像的底座是重达40吨的整块花岗岩，与此相比，喀山大教堂虽然有96根围成半圆形的柱廊，但“庙堂”本身只有“小小的躯体”。然而，这“小小的躯体”却比腾空而起的巨人“更多一百倍的生气”。这不仅是因为这座教堂以罗马的圣彼得大教堂为原本而建，具有同罗马的天然联系，而且也因为这里供奉着俄罗斯军队的保护神——喀山圣母像，保佑伊凡雷帝打败了蒙古军队，并使库图佐夫元帅打败了拿破仑。在教堂里，安放着俄法战争期间库图佐夫元帅的灵柩。

在另一首诗“权杖”（1914）中，诗人通过恰达耶夫的形象表达出个人的历史观。

我拿起权杖，心情舒展，
向遥远的罗马出发。
……
积雪逐渐消融在悬崖上——
被真理的太阳所烤化……
人民是对的，他们给我权杖，
因为我亲眼见过罗马！（64-65）

罗马同真理和权力相关，是恰达耶夫前往找寻道德与理性统一的目的地。在诗人眼中，恰达耶夫是彻底拥有内心自由的人。“恰达耶夫在俄罗斯找到了唯一一种馈赠：道德自由，选择的自由……恰达耶夫接受了自由，把它当作权杖，出发去了罗马。”去亲眼目睹“自己的西方，历史和伟大的王国，凝固于教堂和建筑中的精神家园”（Мандельштам, Т.2 287）。恰达耶夫意识到，“在西方存在着统一！”而俄国“同统一的世界割裂，同历史脱离”，因此，他遥望着“一个点，那里，统一构成了被悉心保护、代代相传的肉体”（同上：286）。

在这一点上，曼德尔施塔姆赞同恰达耶夫的观点，把罗马视为西方文化的中心。因此，“坚信西方文化密不可分的完整性”，“构成了曼德尔施塔姆诗歌的典型特征”（Терпач 27）。不过，诗人同时认为，“恰达耶夫在发表他有关俄罗斯的意见，认为俄罗斯没有历史，也即俄罗斯属于没有组织的、非历史的文化现象的世界时，忽略了一个因素——俄罗斯的语言。这种如此高度组织、如此有机的语言，不只是进入历史之门，而且其本身就是历史”（曼

德尔施塔姆,《曼德尔施塔姆随笔选》50)。这或许就是古希腊罗马文化之所以在这部诗集中占据如此重要地位的原因,诗人试图借此构建起联系俄罗斯与西方文化的桥梁。

三、世界文化网络的文学艺术载体

在《石头》集的“世界文化”网络中,文学艺术构成其最为重要的载体。据统计,在诗集的人名中,文学家、艺术家以及文艺作品中的人物有40个,占人物总词数的78.43%。这些人物几乎涵盖了欧洲文学与艺术史的主要阶段及流派:古希腊罗马神话、《圣经》故事、巴洛克风格(巴赫)、古典主义(作曲家贝多芬;文学家拉辛、苏马罗科夫、奥泽罗夫等)、浪漫主义(爱伦·坡)、现实主义(狄更斯、福楼拜)、自然主义(左拉)、现代主义(魏尔伦、阿赫玛托娃)。如此高的比例,如此全面的呈现,充分说明曼德尔施塔姆对文学艺术情有独钟。此外,人物的另一个特点是在这些文学艺术家中以诗人、戏剧家和音乐家居多,而且绝大多数集中在俄国、法国、德国这三个国家。

将这些特点与曼德尔施塔姆的生平相联系,可以发现,《石头》对文学艺术的书写带有诗人自己的生活烙印。

曼德尔施塔姆出生于华沙(时为俄国领土),他的母亲是一位音乐家。1897年,他跟随父母迁居彼得堡,后进入捷尼舍夫学校学习,其语文老师为诗人弗拉基米尔·吉皮乌斯¹;该校还时常举办“当代诗歌与音乐”晚会。母亲的音乐素养、吉皮乌斯的诗歌创作、学校的文艺活动,无疑对曼德尔施塔姆的兴趣爱好起到了指引的作用。此外,彼得堡浓厚的文学艺术氛围也熏陶着未来诗人的情趣。他可以“从带刺的栅栏后捕捉到了柴科夫斯基那宽广、平稳、纯小提琴的作品”(曼德尔施塔姆,《曼德尔施塔姆随笔选》180),也可以在科米萨尔热夫斯卡娅的小剧院里“呼吸着一种戏剧奇迹的荒诞的、不现实的氧气”(同上:213)。此时,他对诗歌和音乐热爱已完全确立。1908年,他在巴黎写信给吉皮乌斯说:“我这里的生活颇为孤寂,几乎完全专注于诗歌和音乐”(同上:363)。

1908-1910,曼德尔施塔姆在法国巴黎大学和德国海德堡大学游学,尤其喜爱诗人波德莱尔和魏尔伦的作品。在这期间,他认识了阿克梅派诗人古米廖夫,常常回到彼得堡到“塔楼”听象征主义诗人伊万诺夫的诗学讲座。1911年,他进入彼得堡大学历史语文系罗曼日耳曼语专业,学习古法语及文学。次年,他加入“诗人车间”,成为古米廖夫和阿赫玛托娃的好友。1915年6月底,与诗人茨维塔耶娃相识。9月回到彼得堡,开始翻译法国剧作家

1 俄罗斯文学史上有三位姓吉皮乌斯的诗人。弗拉基米尔·吉皮乌斯(1876-1941)和瓦西里·吉皮乌斯(1892-1942)是兄弟,写诗时通常使用笔名。前者用弗拉基米尔·别斯图舍夫或弗拉基米尔·涅列金斯基,后者用瓦西里·加拉霍夫。我国读者较为熟悉的是两兄弟的亲戚,女诗人济娜伊达·吉皮乌斯(1869-1945)。

拉辛的作品《费德拉》。

从这段履历不难发现，曼德尔施塔姆之所以偏爱诗歌、戏剧、音乐，钟情于俄国、法国、德国的文学艺术家，同他的成长经历密不可分。对诗人而言，这些诗人、戏剧家、音乐家，以及他们的作品，已然成为他生活中不可或缺的部分，甚至彻底溶于其血液中。

正因如此，在《石头》中，生活于不同国度、不同时期的文学家、艺术家，可以穿越国界，抚平时间的落差，共存于现实中。在“我们无法忍受紧张的沉默”时，“一个可怖的人诵读‘尤娜路姆’”，而“竖琴在吟唱埃德加的《厄舍府》”。“当我听到英语的时候，……我看见了奥利佛·退斯特”，以及狄更斯笔下的“董贝事务所”。作家和诗人们或他们笔下的主人公时常来到曼德尔施塔姆面前：

晶亮的刻度盘照耀着我
……
巴丘什科夫的傲慢令我厌恶，
“几点钟？”这时有人问道，
可他老练地回答：“永恒”。（28）

甚至跟他对话：

福楼拜和左拉的神父——
……他点头示意，
姿态是那么彬彬有礼，
在与我交谈时指出：
“您将像一名天主教徒那样死去！”（71-72）

当然，这些文学艺术作品不只是滋养诗人生活的养分，更是世界文化的载体。如巴赫的音乐是巴洛克音乐的代表，令人联想到教堂的肃穆与神圣：

在喧闹的酒馆，在教堂里，
音调嘈杂，七嘴八舌，
而你在欢呼，就像赞美诗，
哦，最有理智的巴赫！（42）

而“半侧身子”，“那一条伪古典主义的披肩 / 从肩膀滑落，变成石头”的阿赫玛托娃，酷似“——愤怒的费德拉——拉莎丽 / 曾经就这样站立”。

可以说，将彼时此时、彼处此处的文化历史事件同现发挥到极致的，当

属“彼得堡诗篇”。尽管曼德尔施塔姆是一个“到处流浪的诗人”，但他居住时间最长，最为亲近的城市无疑是彼得堡，对这座城市，他“熟悉到泪水/熟悉到筋脉，熟悉到微肿的儿童淋巴腺”。这座城市见证了俄罗斯文学艺术的辉煌，普希金等文学家和艺术家的灵魂深入其骨髓。因此，彼得堡的文化痕迹俯拾皆是：

北方假绅士的包袱沉重——

奥涅金长久的忧伤；

元老院广场白雪皑皑，

篝火的青烟和刺刀的寒光。

.....

一辆辆汽车飞进迷雾；

自尊、谦虚的徒步旅人——

怪人叶夫根尼——羞于贫穷，

呼吸汽油，诅咒命运。（40-41）

在“诗篇”中同现的有果戈理笔下的“北方假绅士”、普希金诗体小说中的“奥涅金”、别雷小说中的“怪人叶夫根尼”。奥涅金的忧伤同元老院广场的刺刀相伴，提醒着现代人十二月党人的命运。怪人叶夫根尼的贫穷令人联想到俄国当时的现状。关于普希金、果戈理的记忆，更是黄金时代俄罗斯文学的见证。这首诗以古喻今，打破时间的阻隔，打破真实人物与艺术形象的界限，体现出诗人对俄国历史文化的焦虑与思考。

由此可见，在《石头》中，文学艺术是曼德尔施塔姆用于表达世界文化的载体。从那些优美的诗行里，我们能够感受到世界文化就蕴涵在文学作品里，流淌在音乐的乐符中，凝固在建筑符号中。

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再现、跨界、拟态与整合: 跨学科视域中的“电影风景”

Cinematic Landscape from an Interdisciplinary Perspective

陈涛 (Chen Tao)

内容摘要: 针对“电影风景”的概念与研究范式, 本文从四个方面进行跨学科梳理与整合, 并提炼和解析重要的问题意识。“再现”指明电影风景的实质, 从本体的角度说明电影风景表现为一种客观现实风景的“再现”而非“反映”, 并不断建构观众的身份认同。“跨界”归纳电影风景在叙事上的表现与功能, 它不仅同电影的风格与剧作法密切相关, 而且风景的跨界打破了叙事结构的惯例。“拟态”阐述电影风景在文本之外的构成方式, 证明电影风景的“参考物”特征, 并指出其背后是电影制作的资本逻辑。“整合”则探讨后现代社会中电影风景对于现实的改造作用, 令其变为一种混杂性的空间, 这同当代电影产业与旅游产业的交织与互动息息相关。

关键词: 电影风景; 再现; 认同; 景观; 跨界

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Title: Representation, Crossing of Borders, Pseudo-environment and Integration: Cinematic Landscape from an Interdisciplinary Perspective

Abstract: This paper summarizes important viewpoints of western “cinematic landscape” researches, refining the relevant theories and contexts from four perspectives. First, cinematic landscape is essentially a kind of representation instead of reflection, constantly constructing identities of audience. Second, cinematic landscape is changed for a crossing of borders in narrative, which is not only related to film style or devices but also breaking the norm of narrative structure. Third, cinematic landscape is developed in a pseudo-environment beyond texts, which confirmed its feature of “reference” within the context of capital logic in film production. Last, cinematic landscape plays a role of hybrid space in postmodern society, transforming illusion to integral reality and proving the interaction between contemporary tourism and movie industry.

Key words: cinematic landscape; representation; identity; spectacle; crossing of borders

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关于“风景”（landscape）的论述，在早期电影理论中便已存在。1924年，匈牙利电影理论家贝拉·巴拉兹（Bela Balazs）曾撰文分析当时电影中的风景，发现其中只有小部分同自然或现实生活有关，更多则被用来传达剧作（dramaturgical）目的或者表现诗意（poetic）效果，是一种艺术化的加工与处理（47）。1932年，鲁道夫·爱因汉姆（Rudolf Arnheim）在《电影作为艺术》一书中谈及电影区域（cinematic area）和时空连续性的观念，成为电影风景研究中另一个重要的奠基性论述（25）。在这两位电影理论家的影响下，西方电影研究开始关注影像文本中的场所、空间和环境，尤其是风景的再现。上世纪五六十年代，尤金·沃斯（Eugen Wirth）、维斯·拉科斯特（Yves Lacoste）等学者开始从空间与社会的角度，针对“电影风景”（cinematic landscape）进行了理论探讨并提出了重要的观点。

总体上来说，学界对于“电影风景”的探索是空间研究介入电影（作为一种媒介）的讨论，其角度是多元化、多样性的。从方法上来说，随着时间的发展，不断有新的路径加入进来，于是文化研究、产业模型、传播理论等视角和范式为电影研究注入了新的血液和活力。然而，正如安东·艾哲（Anton Escher）所说，关于“风景”的论述在理论方面更多呈现为不同学科各自为政的局面，需要被整合性的归纳与互融；与此同时媒体研究中往往表现出一种“自我指涉的实体论”，这种趋势是需要被反思和解构的（Escher 308）。正因如此，本文在梳理和综述前辈学者在“电影风景”研究上重要观点的基础上，从四个角度——“再现”、“跨界”、“拟态”、“整合”进行整合、提炼与反思，一方面试图理清其发展脉络，另一方面对于“电影风景”研究中重要的问题意识进行解析与探讨。

一、再现：文化、认同与想象的共同体

“风景”这一概念最早在荷兰语“landschap”中指的是视野中的田野或土地。1925年，卡尔·索尔（Carl O. Sauer）在《风景的形态学》一文中将“自然风景”和“文化风景”的概念加以区别，认为我们应当通过景观的多样性来研究空间的区域性特征，并强调这种研究应在自然和文化风景结合的基础上侧重历史学与发生学的分析（Leighley 317）。于是，风景作为一种视觉对象，具有了物质性和观念性两个维度，前者强调“自然、物质的形态，完全

通过劳动或其他关系产生”，后者强调“社会关系的代表，由各种媒介所表达”（邵培仁 125）。由此，对于“风景”的探讨更多进入“文化风景”的层面，正如英国历史学家西蒙·沙玛（Simon Schama）在《风景与记忆》一书中所说“风景为记忆的深层……它首先是文化的，其次才是自然的”（6）。

电影中的风景，可以被认为是“自然风景”和“文化风景”在电影中的再现。之所以用“再现”（representation）而非“反映”（reflection），是因为电影经过了一定主观筛选、加工和重构的，并不能如镜子一般，客观无差地反映出现实风景中的原貌。马丁·列斐伏尔（Martin Lefebvre）在《风景与电影》一书中称“风景被视觉装置（例如摄影机、取景框以及其他视觉文化相关的技术）所渗透和操控……通过框取和拍摄，自然转为文化，大地成为风景”（61）；而尼尔·波茨曼（Neil Postman）也认为“我们无法拍摄出‘整体大自然’的照片，也难以用电影呈现‘完整的海洋’，而只能拍出某个特定时刻的山脉或海洋——例如某种光线下某形状的悬崖，或某时刻中某角度的海浪”（5-6）。所以，电影风景在本质上是一种“再现”，是客观风景的一个片段或切面，是经过选择、取舍、改变和加工的产物。因此，电影中的风景绝非一种“物质复原”，更多表现为一种主观化的建构。

经由电影的“再现”，风景也成为主体的叙述之物。日本学者柄谷行人（Kojin Karatani）将艺术作品中的风景视为“认识装置”，是主体对客体的观察，尤其是人们“以全新的范式将自我投射到客观风景中的结果”（25）。从这个意义上来说，电影风景成为折射和叙述主体内心世界的载体，其意义也在观众欣赏和认识银幕风景的过程中得以不断生产和循环。而由于国家、民族、性别、阶级、意识形态等各种力量的介入，这一“认识装置”成为建构主体认同的工具。因此，风景虽然自身并不产生意义，但由于被政治、文化和意识形态所共同塑造，也成为社会历史环境的微观表现。温蒂·达比（Wendy Darby）曾指出：“风景与认同具有重要的关系……风景同政治具有密切的关联，风景的再现深植于权力与知识的关系之中”（9）。因此，电影风景作为一种“再现系统”（system of representations），一方面，其创造者不可避免地受到权力、知识和意识形态的影响，有意无意地对文字或图像进行选择，令再现具有明显的指涉功能（Mitchell 13）；另一方面，电影文本作为一种商业产品，在一定程度上需服从资本市场、审查、传播方式等一系列因素的制约。

从“再现”的方式来看，电影中的风景往往作为故事的场景、环境或背景出现。相对而言，戏剧舞台中的布景，通常具有一种使人物和故事得以进行的框架性功能，然而电影风景却不止如此。一方面，电影风景在观影中起到塑造地方感（sense of place）的作用：它对应和调动了观众的感觉结构，因此观众会在认知中辨认出电影中的风景，从而获得一种归属感或认同感（Steele 13）。观众要么（在现实性题材的电影中）辨认出风景是一个真实的空间从而具有熟悉感；要么（在幻想性题材的电影中）以理性判断出风景

属于一个虚构的空间,但因为它呼应了观众的经验且能支撑叙事逻辑,所以观众也会沉浸于这一虚构的风景当中。另一方面,电影风景往往具有历史、文化、道德甚至伦理的意义,并同主人公的身份建构密切相关。奥利弗·舒特(Oliver Schutte)认为,电影风景作为“主人公发生故事和社会交往的空间”,常常“影响着人物形象的塑造”,且能体现“强烈的历史、文化和伦理意义”(Escher 311)。电影风景作为重要的视觉元素,具有一种符号化和意义化的功能,能够强化国家、民族、阶级、性别、伦理、道德等方面的深层意涵和文化认同。例如,《马耳他之鹰》《双重赔偿》等好莱坞经典黑色电影中阴暗潮湿的街道风景指涉了二战前后美国充满犯罪、疏离感和不稳定性的社会现实;而《上甘岭》《英雄儿女》等战争题材电影中雄壮优美的山河风景表达了新中国独立自强的骄傲与英雄主义的情怀;《黄土地》《红高粱》等第五代导演的电影中色彩浓烈的自然风景则具有民族化象征与认同的功能。

在这一符号化再现和认同的过程中,风景的独特性、美观性和艺术性都是非常重要的考量因素。维斯·拉科斯特(Yves Lacoste)将风景的运用和设置视为电影在场景设计上的独特功能之一,并指出风景的操控是导演或布景师表达艺术技巧的重要手段(216-17)。电影风景也常常被用来支持人物的情绪表达,或建立人物与空间的社会文化关系。托马斯·科博纳(Thomas Koebner)表明,特定的电影风景往往同特定的主题、冲突、过程、情感和人物相关,而其中的具体元素往往是形成人物伦理关系、提供叙事动力和呈现主题思想的重要因素;某些电影风景甚至具有价值观、宗教观、道德观和伦理观的象征作用(2)。尤其从伦理的角度来说,电影风景借由视听再现,呼应了人物的“伦理身份”,从而起到塑造伦理认同的作用。根据聂珍钊教授的观点,“伦理身份”是“伦理选择”的结果,文学或艺术作品正是通过描写自我选择来解决伦理选择问题(265-66);而在电影当中,风景正是塑造“伦理身份”的重要途径。例如“岛屿和丛林”(Island and Jungle)相关的电影风景,往往象征和突显一些特定的伦理主题——欲望与理性的纠葛、原始激情与现代文明的张力、兽性因子与人性因子的对抗等。类似于《荒岛余生》、《金刚》、《人猿泰山》、《鲁宾逊漂流记》等电影中的“岛屿与丛林”,对于主人公来说,便从一种自然风景变成“伦理身份”的文化再现,而主人公在自然和文明、个人和集体、自然属性和社会关系之间所经历的“伦理选择”也成为风景“主体化”的集中表现,并推动人物实现从“自然身份”到“伦理身份”的转变。于是,电影风景便参与了人物“伦理身份”的塑造。

安东·艾哲则认为,电影风景在某程度上成为一种被建构的“想象的共同体”,不断形塑着观众的认同,甚至具有一种集体意识的询唤力量(Escher and Zimmermann 233)。例如在美国的西部片中,风景往往都具有“西部狂野世界”的风格,象征了一种原始而传统、男性化、父权制的文化;为了配合这样一种集体性文化特征,好莱坞的导演们往往选择壮阔而荒凉的风

以烘托一种孤独、贫瘠、狂野的男性气质。在这个意义上来说，好莱坞或其他国家地区的电影借由各种手法和技巧，创造出独特的风景，不断形塑着人们的空间、文化和伦理感知。

二、跨界：叙事、流动与惯例的突破

电影中的风景，不仅同“再现”和“认同”有关，而且和“叙事”密不可分。无论在强调虚构性的剧情片还是突显真实性的纪录片中，风景的选择对于电影叙事来说都功不可没。斯特凡·齐默曼（Stefan Zimmermann）认为，电影中的风景在叙事方面往往表现出一种场景和人物情绪之间的关系，这种关系可以相互融合彼此促进，也可以构成张力或对比；因此，风景在某种程度上就是将场景和人物情绪的关系视觉化（322）。按照这种观点来看，不同类型和风格的电影在处理风景的情绪化特征时表现出差异化的特质，例如在法国新浪潮电影中，巴黎的街道和建筑等都市风景一方面为故事提供了场景并表现出浪漫的色彩，另一方面又同主人公存在主义式的疏离感或冷漠感（例如《筋疲力尽》或《四百击》）格格不入，形成一种情绪上的张力；而在二战后苏联的“诗电影”（如《士兵之歌》或《雁南飞》）中，白桦成林、晴空白云或大雁南飞等诗意的战争风景烘托了主人公真挚的友谊或爱情及其对美好生活的向往。

正如巴拉兹认为电影中的风景大都是一艺术化的加工，为了表现诗意效果或剧作目的；对于编剧、导演、场景师、特效师等电影人来说，影片中的风景不仅能够起到表达（正面或反面）情绪的作用，而且同情节、事件、动作等叙事性元素密切相关。武侠片或功夫片中的风景往往是出于武打或动作设计方面重要的考量，例如《卧虎藏龙》中的竹林打斗、《新龙门客栈》中的流沙剑影、《英雄》中的棋馆对弈等场景，不仅利用竹海丛林、荒漠流沙、飞檐雨滴等风景营造出别具一格的武侠氛围，而且将风景中的元素也融入武打设计中，飘飞的竹叶、弥漫的黄沙和零星的棋子充当了重要的介质与道具，推动了武打动作、故事情节和悬念的推进与展开。而对于各类商业影片中常见的追逐场景，无论《速度与激情》中的峡谷追车、《甜蜜蜜》中纽约街头的狂奔还是《星球大战》中外星飞船战斗，太空、峡谷或街道的风景不仅提供了故事发生的空间，而且为人物的追逐动作制造了重要的叙事元素与契机。

此外，电影中的风景是不断变换的，因此“跨界”（即跨越边界，crossing of borders）成为电影叙事上重要的手法与特征。朱瑞·劳特曼（Juri Lotman）致力于以文化的拓扑模型（topological model）来研究电影，他认为“边界”（borders）是电影区别于文学（包括口头语言和书写文本）的重要特征，它表现在国家、民族、种族、性别、阶级等多种层面，是一种等级区分式的“语义空间”（semantic space）（134-38）。跨界则是打破语义空间的行为或过程，是通过电影叙事来实现的。根据劳特曼的观点，电影中每一个“动作”（action）

都可被视为对于既定语义空间的偏离，具有跨越边界的意义。跨越边界和扩展范围令电影中的行动拥有了原因和动机，而电影主人公的跨界往往代表了电影作者的观点以及观众的需求。跨越边界令电影产生了多样化的意义，令特定语境中结构性的文化传统、宗教信仰、伦理身份等因素得以松动、僭越和调整。斯特凡·齐默曼也表明，构成电影叙事的基本元素是国家、民族、语言、文化或伦理上的惯例（norm），而一部电影的主人公应当“持续不断地沿着观众可预计与不可预计这两个世界的分界线移动”，从而突破文化惯例、重塑观众认同（320）。因此，电影中的主人公在不同风景中的变动，也带动了国族、语言、性别、文化、阶级、伦理等方面的跨界，在推动情节与开展故事的同时，不断打破各个层面的惯例，建构新的人物身份，由此影响和形塑观众的认同。

电影空间和风景，正是由于不断跨界而得以创造的。我们很难清晰地区分电影中的每一个场景或每一处风景，因为故事的空间经常会重复和交叠，而且电影场景（尤其是摄影棚搭景）也会重组或再利用以适应不同镜头或场面调度的需求。对于空间或风景的严格区分，只能发生在现实世界当中。为了确保电影场景的清晰明了、避免观众陷入迷惘混乱的局面，电影往往依靠剪辑——镜头的排列组接来实现叙事和表现的需求。因此，连续性或跳跃性剪辑对于电影风景的构成法则来说非常重要。卡尔·莱纳（Karl Nikolaus Renner）提出电影叙事上的“极值点原则”（the extreme point rule），认为商业电影中几乎所有时间和动作都围绕一个叙事上的“极值点”进行和展开；这个极值点可以是社会的、政治的，也可以是文化的、伦理的，它确保了所有的跨界行为都有规则可依。根据“极值点原则”，一个好的导演或剪辑师能够不断利用“连续性原则”来匹配镜头和场景，并不断造成跨界，从而唤起观众的感觉和认同；而影片结尾处，“极值点”往往会在屡次跨界后被解决或颠覆，主人公的跨界行为与“语义空间”之间的张力或对立也就得以消除（Escher 309）。根据这样的说法，连续不断的跨界加上连续性原则，就构成了大多数商业电影的叙事模式，好莱坞尤为典型。

正是从跨界这一角度，电影叙事区别于文学等其他虚构性艺术的叙事方式。我们可以想象，一部电影中如果没有任何跨界行为，电影中的风景便非常虚假而不可信。边界的跨越，造成了风景的流动性。邵培仁教授曾以公路片为例探讨电影中风景的流动性，认为公路片中的“政治、性别和道德等想象空间同现实风景一样具有吸引力”，而“汽车、公路、音乐等媒介的运用”突显了这种想象性风景的艺术性特质（99）。因此，公路片所呈现的风景，不仅是物质上的空间流动，更是文化和精神层面上的超越、突破与跨界。其实不只是公路片，在其他类型（如武侠片、西部片、警匪片、恐怖片）的商业电影或艺术化的作者电影中，电影风景的流动性与跨界同样无处不在。电影中复杂的流动性、跨界性风景，指涉了复杂的社会和权力关系，在政治、

社会、性别、阶级等层面交织成更为立体化、多元性的文化风景。

三、拟态：布景、参照物与资本的逻辑

“跨界”所指涉的主要是电影风景在文本内部的构成机制与叙事技巧，然而电影风景的相关论述并不止于此。从电影的生产、流通和消费的逻辑来看，不同电影之间在制片、发行、放映等方面的相互关系，对于电影风景的再现与建构也具有重要影响。此外，从电影风景和现实风景的关系来看，作为虚构性或建构性的电影风景，不仅再现了现实世界，而且正逐渐改变着现实世界的面貌。电影所创造的风景世界，需要在电影制作、传播和接受的社会语境中被分析、阐释和理解。

从本质上来说，电影风景既非完全虚构，又非完全真实，是介于现实和想象之间的一种“再现”。传播学理论家瓦尔特·李普曼（Walter Lippmann）认为，在信息高度发达的社会，人们的行为同三种“现实”发生密切联系：一种是客观存在、不以人的意志为转移的“客观现实”；一种是“主观现实”，即人在脑中所描绘的“关于外部世界的图像”；还有一种是“象征性现实”，是传播媒介经过选择后所揭示的“拟态环境”（pseudo-environment）（213）。按照这种思路，风景也可以被分成三类：客观风景、主观风景和拟态风景。电影中的风景更多属于一种“拟态风景”，是电影这一媒介经过选择后所再现和建构的风景，在某种程度上是客观风景和主观风景的交融，性质上类似于亨利·列斐伏尔（Henri Lefebvre）所说的“再现空间”（representational space）或爱德华·索亚（Edward Soja）所说的“第三空间”（thirdspace）。“拟态”强调了风景所受到的电影等媒介的作用，尤其表现在各种媒介文本之间相互勾连与融合所共同建构的风景世界，并对人们的认知与感受产生深远的影响。

从“拟态”的角度来说，人们所熟知的很多电影风景，或许在布景、设计或选择时并非参考现实，而是参考其他电影文本。于是不同电影的风景之间构成了彼此勾连、互为文本的指涉关系，织就出一张介于客观与主观之间的拟态风景网络，并影响和改变着人们对于风景的感知与接受。根据电影史学家戈尔·维达（Gore Vidal）的研究，古罗马时期战争题材的电影《宾虚》对于很多观众来说已经成为追溯古罗马历史的经典影像资料，然而导演威廉·惠勒（William Wyler）在准备和设计这部作品的场景时并没有仔细研究过古罗马的历史，而仅仅看了一些古罗马题材的电影而已（16）。再如，格里菲斯（D. W. Griffith）在《党同伐异》中所建造的气势磅礴的虚构性巴比伦城，早已成为后来众多巴比伦题材电影的布景参考依据（4）。可以说，当一部成功的电影表现了某个特定历史时期的国家、民族、文化或风景时，后继出现的相似题材的作品往往会使用类似的空间元素，于是这一“拟态”的风景就会逐渐获得人们的认同，并形塑大家对于特定自然和文化空间的认知，甚至进一步调整和改变真实的空间。不同电影之间的理念、场景、服装和故事具

有彼此纠缠、相互影响、互为文本的复杂性，这种情形加速了现实世界电影化的进程。对于这种情形，约瑟夫·里德（Joseph W. Reed）提出：“电影从其他电影（而非现实）中来，任何一部电影都重复之前上百部电影中的事物和风景”（5）。

这样一种寻找“参考物”（reference）的做法，不仅存在于不同电影的风景再现之间，也可以被拿来界定和思考电影与其他艺术门类的关系。根据汤姆·甘宁（Tom Gunning）的观点，电影在19世纪末20世纪初的诞生伊始诉诸于“吸引力”（attractions）的特质——人们被这一新奇的艺术样式所打动，尤其陶醉于它的运动性和现代感（73-74）。而这一基于反映现实世界、具有索引性特征的现代艺术，被认为与动画、绘画等门类不同，并不擅长讲述故事。然而，到了1906年左右，纯粹的“吸引力”开始无法满足观众的需求，因此电影人开始想尽办法来利用电影讲故事，于是世界电影进入了“叙事性”的阶段。在这一过程中，很多电影人希望以其他艺术样式为参考，寻求电影叙事的可能性。例如其中一些人从19世纪的绘画艺术中探索灵感，因此他们发明了图像打印和遮罩绘景的技巧来表现具有众多人口的电影风景。这种技巧，在表现古希腊或古罗马题材的电影中被广泛应用；这些电影中的战争风景——包括士兵、队列、武器、服装等都参考了19世纪的绘画（Junkelmann 42-55）。另一些电影人则从明信片中寻找新的叙事灵感。法国学者皮埃尔·波兰厄（Pierre Boulanger）指出，电影在20世纪初的迅速普及和发展，同明信片之间具有密切的关系——明信片能够帮助人们辨认和掌握遥远的、不熟悉的异国或异地的风景，于是电影人在设计故事场景时时常会参考明信片，根据明信片上的风景来搭建场景。电影导演和摄影师们在成功的电影中展示这些地点的风景，并在海报和广告中大肆宣传；久而久之，世界上最流行的风景图像，不再来源于绘画或摄影，而来源于电影及其广告（137-42）。对于当时的观众来说，他们在电影院中辨认出特定的空间和风景，殊不知这些电影风景所参考的来源可能并非真实的空间，而是明信片或其他电影。

时至今日，多媒体的环境加速了各个电影文本之间、各种艺术门类之间、各类媒体之间的相互交融与彼此影响，电影中的风景也正在不断形塑和改变着人们的真实生活空间。只有很小一部分电影风景是在客观反映或呈现真实世界，而绝大多数是在建构“拟态”（半真半假）的世界。在这种情况下，我们应当注意，电影生产、流通和消费的逻辑其实并非参考现实生活的逻辑；相反地，电影的资本逻辑正影响和改变着人们的现实生活逻辑。从电影中的古罗马和古巴比伦到电影对明信片的参考可以看出，电影风景的取舍与选择，是同电影制作与传播的需求密不可分的。电影毕竟是一种大众媒介与商品，风景的再现也不可避免地受到资本逻辑的影响。

四、整合：景观、超真实与消费的全球化

电影产业和资本的逻辑，不仅体现在电影风景的拟态性和互文性方面，

也令影像世界与真实世界愈发紧密地交融与互浸。尤其在后现代社会中,所有的现实空间都被无所不在的影像介入,令后现代的真实空间越来越“影像化”。现实空间也成为一种混杂性的“整合空间”,它打破了真实与想象、客观与主观的二元对立。于是,现实中的风景也越来越受到电影的加持、改造与融合。从电影产业的角度来说,很多现实中的风景成为电影的故事发生地或取景地,以一种艺术化或传奇化的姿态成为一种电影再现;另一方面,很多现实空间因为电影的传播而更具有知名度,甚至进行了“电影化”的更新、改造与重建,从而更符合电影观众所“期待”的样子。影像对现实的这种“介入”,令现实中的风景越来越突显出一种非真实或者“超真实”(hyper-real)的性质。大卫·克劳奇(David Crouch)援引波德里亚(Jean Baudrillard)关于“类象”和“超真实”的说法,认为现代电影的产业逻辑令场所和风景的安排成为一种流通的媒介,越发表现出“超真实”的特征;而后现代社会中的人们所经历的风光,基本上都是人为建构或设计的(31-34)。越来越多的场所、设施和风景,都是来自于电影中的虚构世界,它们帮助观众更好地体验电影的魅力空间。另外还有一些过渡性的空间,是半真半假的,它们衍生出一种其他的杂交式(hybrid)空间。

尤其是当代电影产业与旅游产业的相互交织和发展,令“游客”与“观众”逐渐融合而变得难分彼此。从影视取景地到影视城(或影视基地),从主题公园到主题旅游,众多空间成为影视、旅游、文化和城市建设相结合的产物,并逐渐发展为一种“产业链”的模式,融合了影视、旅游、房地产、餐饮、体育、教育等多种产业。类似于横店影视城、迪士尼乐园、环球影城等空间,在现实的场所中建构了大量虚构的风景,为观众提供了另一种欣赏电影文化或感受电影空间的方式,且特别强调“身临其境”的审美体验,令其真正“沉浸”在梦幻或传奇的电影世界中,这种享受既是电影院的延伸,又是电影世界在现实生活的延伸。约翰·乌瑞(John Urry)指出,影视旅游风景和场所的选择,往往是以其成本和产值为依据的,并不会完全遵从电影的风景(可能成本太高),也不会完全按照现实的样子(没有吸引力),而是在电影风景和现实风景中寻求一个折衷与适度的平衡(46-48)。这种情况所造成的一个后果,是旅游胜地并不会完全依据电影的拍摄地选取,而往往成为一种重新建构或半虚构性的场所,其中的风景也往往是杂糅的。从新西兰霍比顿的“中土世界”到英国伦敦的哈利·波特工作室,从意大利的罗马影视城到中国银川的镇北堡西部影视基地,这些影视城并非完全依据现实资源或者电影取景地而创建,而是为了旅游需要而形成的“半电影化”的旅游空间。

电影城作为一种影视体验公园,同电影文本之间具有相互促进的关系。《哈利·波特》、《指环王》等系列电影极大地促进了相关主题电影公园的火爆,也拉动了当地的旅游产业;与此类似,韩国的电视剧《大长今》、《蓝色生死恋》等也具有文化品牌的作用,致使众多韩剧迷到韩国必游影视场景和体验剧情。

很多国家,例如英国和美国等很早就推出了电影地图和电影旅游手册。贝特·斯坦顿(Bette L. Stanton)、威廉·戈顿(William A. Gordon)等学者都针对旅游景点的宣传手册进行了研究,认为这些广告或手册中的风景都受到了影视作品的“加持”,不仅对于旅游经济造成了影响,而且正在改变着人们对于各个空间与场所的认知和接受。除了宣传手册之外,报刊、电视、网络等大众媒介都参与了这样一种“整合”性风景的建构,并往往形成一种整合式的营销。很多风景因为某部电影的上映而一炮而红,从而成为炙手可热的旅游景点,甚至带动了整个地区的经济发展;也正因如此,越来越多的电影不断以植入式广告的形式来宣传某个地区的自然风光、人文资源和城市形象,为当地的旅游产业推波助澜。

然而,当电影观众或粉丝来到电影取景地或影视旅游景点时,可能面临失望的风险——例如因为喜爱《阿凡达》而来到张家界的游客,会发现真实的风景有种既陌生又熟悉的感觉,且并不能找到电影中的“哈利路亚山”。电影虽然拍摄了张家界群山尤其是“乾坤柱”的原貌,但CGI技术(包括三维模型、数字合成技术等)的应用,令原来的空间样貌在银幕上发生了很大的变化,于是观众所看到的“哈利路亚山”风景已然改头换面。然而,这样一种改变或差异,也被旅游产业加以利用——来到乾坤柱的游客不仅能够和阿凡达的雕塑模型一起合影(骑着外星坐骑或穿上戏服),而且能够将眼前的实景同放置于旁的大幅照片进行对比,增加了游戏互动的乐趣。

而这种影像化空间及其旅游导向的风景,突显了风景的“消费化”倾向。凯文·米特安(Kevin Meethan)认为,这种消费一方面是“多元选择的媒介社会”的发展产物,另一方面也突显了旅游产业对于媒体实践的适应与迎合(102-104)。黄凤贞(Lisa Wong)和林勇(Adam Lam)曾对《指环王》和《霍比特人》系列电影所催生的旅游产业(主题公园、主题旅游等)进行分析,认为从全世界“飞往中土的航班”不仅令观众和游客分不清真实风景与虚构风景的区别,而且正悄然地为新西兰建构了一个新的“后现代身份”。两位学者质疑道:通过《指环王》主题公园所认识的新西兰、通过《钢琴家》拍摄基地所认识的德国和波兰、抑或通过《冬日恋歌》所认识的韩国能代表观众或游客“真的游访过这些地方”(117)吗?因此,人们所认知的地方、风景甚至国家,都在经历着变化。或者如波德里亚(Jean Baudrillard)所说的那样,类似于迪士尼乐园的电影城借由符号所建构的世界成为人们心中“好生活的样子”,一个中产阶级的天堂;它作为“类象”并不模拟现实,反而能够“操控”人们的消费观念和行为,引导现实对其进行模拟。因此,影视工业、旅游业和电子媒体等多种后工业所合力打造的电影城或主题公园,正在对我们所认知的现实产生广泛而深远的影响;通过电影和电影城,各个国家和地区正在不断建构新的、全球化语境中的文化身份,而这一身份在逐渐与现实脱节的同时,却又“天衣无缝地融入真实体系之中”(Wong and Lam 111)。

此外,这些经由资本化运作的“类象”或“风景”,具有一种“景观化”的趋势。“奇观”或“景观”(spectacle)这一概念被居伊·德波(Guy Debord)用来描述后现代社会的表象特征,认为人类对于视觉的偏执性依赖令历史逐渐被散失和遗忘,媒介正是“景观”社会的创造者,其背后的逻辑是商业资本的消费逻辑。尤其在数字时代,无处不在的CGI令电影的客观纪实功能越发暗淡,电影中的风景也逐渐表现出被建构的奇观化特征,似乎离“现实”越来越远。周宪曾论述“奇观电影”的概念,认为它表明电影“从话语中心范式向图像中心范式转变”,其重要特征是“电影叙事的弱化”(19-20),而汤姆·甘宁也认为当代电影强调视觉和运动的“吸引力”,这是同“叙事性”电影相对立的(73)。也正是在“景观”这个层面上,亨利·列斐伏尔才将电影视为“有罪的媒体”(incriminated media),具有“透明幻象”(transparent illusion)的作用,令我们的空间变得更为抽象化和虚假化(96-97)。

风景或景观的消费,在当代也逐渐具有全球化的趋势。一方面,电影制作、发行、放映和接受的流动性大大促进了风景的全球化旅程,于是诸如《阿凡达》等好莱坞电影在中国取景和《北京遇上西雅图》等中国电影在美国取景的例子比比皆是;另一方面,全球旅游产业的兴盛和各种跨国流动性因素加速了电影风景的全球化进程,因此类似于“飞往中土的航班”、上海迪士尼乐园等杂糅性的整合空间正在不断改变我们的生活。而伴随着电影制作和消费的全球化,电影中的跨国风景的再现与建构也变得越来越普遍。

余论:从“电影风景”到“媒介风景”

本文综述了国外学界对于“电影风景”研究的重要观点,并从四个角度对这些概念和理论进行了归纳、提炼与整合。“再现”点明了电影风景的实质,从本体的角度说明电影风景表现为一种客观现实风景的“再现”而非“反映”,并不断建构观众的身份认同,甚至在一定程度上建立起“想象的共同体”。“跨界”归纳了电影风景在叙事上的表现与功能,一方面风景的选择同电影的风格与剧作法密切相关,另一方面风景的跨界打破了叙事结构的惯例,突显了对于流动性的强调。“拟态”阐述了电影风景在文本之外的构成方式,无论是不同电影之间的互文指涉,还是电影同其他艺术门类的相互影响,都证明电影风景的“参考物”特征,其背后是电影制作的资本逻辑。“整合”则探讨了后现代社会中电影风景对于现实的改造作用,令其变为一种混杂性的空间,这同当代电影产业与旅游产业的交织与互动息息相关;而风景的景观化和消费性也正在朝着全球化的趋势不断发展。

随着后现代社会的多媒体化或跨媒体化发展,电影已无法作为一种完全独立的媒体发生影响或产生功能,而是同报刊、广播、电视、网络等其他媒介形式一起整合、立体、网状地渗入日常生活的方方面面,形塑观众的意识

形态，建构消费者的身份认同。风景的再现与作用，也不仅体现在电影方面，而是以多种媒介为平台和载体进行呈现。因此，对于“电影风景”的研究也正在逐渐朝向一种更为综合和多元的“媒介风景学”发展，并在性别、阶级、族裔等方面表现出多元文化政治层面的症候。无处不在的电影或媒介风景，正在悄然改变着我们日常生活的经验与认知。

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“我讲述的并非其真实所为”：论《大伟人江奈生·魏尔德传》对罪犯传记的改写

“My Narrative Is [Not]... What He Really Did”: Fielding’s Parody of Criminal Biography in *The Life and Death of Jonathan Wild the Great*

贾彦艳 陈后亮 (Jia Yanyan Chen Houliang)

内容摘要：犯罪问题是菲尔丁小说中的一个常见主题。与一般罪犯传记作家不同，拥有法律知识背景的菲尔丁对犯罪问题的关注更深刻。在其代表作《大伟人江奈生·魏尔德传》中，他对以往的罪犯传记进行了改写。他既没有用现实主义的手法还原魏尔德的犯罪人生，也没有把他魅化成传奇英雄，而是运用强烈的夸张和讽刺手法，把魏尔德的犯罪过程当成反射整个英国社会罪恶的一面镜子，进而揭示犯罪的社会根源及其危害，使其成为最有社会批判意义的罪犯传记题材小说。

关键词：亨利·菲尔丁；罪犯传记；江奈生·魏尔德；改写；讽刺

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Title: “My Narrative Is [Not]... What He Really Did”: Fielding’s Parody of Criminal Biography in *The Life and Death of Jonathan Wild the Great*

Abstract: Henry Fielding’s fictions often revolve around the theme of crimes. Different from traditional criminal biography writers, Fielding ponders more deeply into the issue of social crimes, owing to his background of education in the field of law. With his *The Life and Death of Jonathan Wild the Great*, he tries to make a parody of the traditional criminal biography. In this novel, he does not make a true account of what Jonathan Wild really did, nor does he romanticize his deeds; rather, he uses irony and makes the villain a mirror to reflect the corruption and evil of the English society, to reveal the root cause of social crimes, hence to make the book a criminal biography with very much critical significance.

Key Words: Henry Fielding; criminal biography; Jonathan Wild; parody; irony

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引言

亨利·菲尔丁 (Henry Fielding, 1707-1754) 素有“英国小说之父”的美誉, 被视为英国现实主义小说最重要的奠基人。与比他稍早一些的丹尼尔·笛福 (Daniel Defoe, 1660-1731) 一样, 菲尔丁在作品中也经常描写犯罪活动。原因主要有两方面。首先, 菲尔丁所生活的年代是英国历史上最黑暗的时期之一。在罗伯特·华尔普 (Robert Walpole) 担任英国首相期间 (1721-1742), 政治极度腐败, 法律形同虚设, 政府的社会治理能力非常糟糕, 导致各种犯罪活动猖獗。就像普拉姆在《十八世纪的英国》一书中所写的那样, “华尔普的时代粗俗、野蛮、下流, 那是一个属于恃强凌弱者和奸佞之徒的时代” (Plumb 33)。其次, 菲尔丁拥有司法知识背景, 对犯罪问题有某种职业上的敏感。菲尔丁的外祖父是一名法官, 他从小就在外祖父那里接触过不少法律书籍。长大后他又到伦敦法学院和荷兰莱顿大学学习法律, 并于 1740 年获得律师资格。后来还担任了伦敦密德萨斯区的治安官。这样的司法学习和工作背景使他对犯罪问题有更强烈的兴趣, 自然也影响到了他的文学创作。

从菲尔丁最初的政治讽刺剧《咖啡店政客》(1730), 到后来的长篇小说代表作《汤姆·琼斯》(1749) 和《阿美丽亚》(1751), 我们从中都可以看到他对于犯罪问题的关注以及对英国腐朽的司法制度的抨击。不过与当时流行的犯罪题材小说相比, 菲尔丁所侧重的对象不是市井生活中的那些鸡鸣狗盗之辈, 也不是有传奇色彩的江洋大盗, 而是披着合法外衣却干着罪恶勾当的伪君子, 特别是那些官员和贵族。菲尔丁在其早年的政治讽刺剧——特别是《堂吉珂德在英国》(1734) 和《1736 年英国纪实》(1737)——中曾辛辣嘲讽过英国上层社会的丑恶, 并因此而得罪华尔普首相。后者旋即颁布《戏剧审查法》, 禁止任何未经审查的剧目上演, 最终迫使菲尔丁放弃戏剧舞台, 转向小说创作。

在菲尔丁所有小说作品中, 没有哪一部比《大伟人江奈生·魏尔德传》(*The Life and Death of Jonathan Wild the Great*, 以下简称《魏尔德传》) 更淋漓尽致地表达了作者对英国社会的抨击。小说标题显示这是一部关于英国著名罪犯魏尔德的传记, 但实际上菲尔丁不过是以此为托辞, 借机表达他对整个英国社会从上到下各种犯罪行径的强烈讽刺。这部小说最初发表于 1743 年, 收录在他的《杂文集》第三卷。由于华尔普首相此时已经下台, 菲尔丁可以毫无顾忌地在小说中影射英国政府的种种腐败政治。

一、传统罪犯传记及《魏尔德传》的人物原型

自17世纪以来,罪犯传记(criminal biography)就成为一种十分流行的通俗文学题材。作家依据官方披露的犯罪档案,添加适量文学虚构,为读者勾勒出一个人如何逐渐堕落成罪犯、直至被处决的过程。其文学水准一般不高,主要的功能是寓教于乐,既满足读者——主要是收入有限的下层民众——对犯罪人生的窥视欲,又警示人们吸取教训,不要步其后尘。可以说,这样的罪犯传记虽然质量粗糙,模式化严重,难登大雅之堂,却对社会稳定起到一定的缓释阀的作用,因为它们既缓解了下层读者在剥削制度下的犯罪焦虑,同时又劝导他们做遵纪守法的安善良民。

十八世纪初期的英国仍处于资本主义发展的不发达阶段。残酷的阶级剥削是资本积累的实质来源。大量的失地农民、无产者被强行纳入资本主义工厂生产体系,他们失去了时间和空间上的自由,却只换来非常微不足道的收入。这种剥削制度对他们来说是非常不正义的。相比之下,挑战社会制度的犯罪活动反倒值得羡慕。所以在读到罪犯传记中的那些传奇化的虚构故事时,人们感受到的并非犯罪活动对正义秩序的践踏,反倒是对非正义秩序的反抗。况且早期的罪犯传记都有不少侠义色彩,描写的人物往往并非奸诈邪恶的暴徒,反倒是像罗宾汉那样劫富(未必)济贫的人,其犯罪手段相对比较“光明磊落”,喜欢在大路上拦劫过往富人。只要受害人愿意交出财物,一般不会受到为难。因此早期的罪犯大多都被称为“劫匪”(highwayman)。最典型的代表莫过于约翰·盖伊(John Gay, 1685-1732)在其代表作《乞丐的歌剧》(*The Beggar's Opera*, 1729)中刻画的麦克西斯上尉。

虽然早期罪犯传记偶尔也会表达一些对英国社会腐败和不公正状况的不满,但这都是次要的,其重点还是为读者提供娱乐,外加稍许劝人向善的教化功能。几乎从未有哪部罪犯传记把社会批判作为主要目的。这可能也正是华尔普政府的审查法只针对菲尔丁的那些社会政治讽刺剧,却不针对罪犯传记的原因。正如我们在前面所分析的,罪犯传记虽然质量粗糙,对社会来说却没有太大威胁,甚至还有一些好处。

与之前的罪犯传记相比,菲尔丁在《魏尔德传》中所要表达的东西却有很大不同。他的重点不再是还原魏尔德的人生经历,而是把他的犯罪过程当成反射整个英国社会罪恶的一面镜子。魏尔德在历史上确有其人。他是英国历史上最臭名昭著的罪犯之一,为人奸诈,诡计多端,对正邪两道都十分熟络,善于操纵各方力量为己所用。在公众面前,他是威震全国的捕贼高手,惩恶扬善,维护正义。但实际上,他却串通政府和犯罪团伙,构建起一个庞大的犯罪组织,把形形色色的扒手、强盗、贼人都网罗到自己手下,通过软硬兼施的手段,让他们为自己服务。如果有手下对他不忠或不听差遣,就会被他用计交给法庭惩处,最终成就自己“大不列颠及爱尔兰总捕头”的美誉。

所有赃物都由他处理，在获得一定酬劳后返回失主以便从中获利。因此，他常被很形象地戏称为“劫匪、入户盗窃犯、拦路贼和小偷联合会总经理”¹。

以今天的眼光来看，魏尔德的成功很难理解。一个人怎么可能如此长期控制黑白两道而不被揭穿？但在十八世纪初的英国却并非不可能。一来，魏尔德为人极其狡猾，善用手段拉拢官员和控制手下。二来，当时英国的司法制度又十分不健全，没有建立完整的执法体系。窃贼如果不是被当场人赃俱获，受害人便拿他没办法。即使抓住了嫌犯，受害人还得自己向法庭支付一笔不菲的诉讼费用，才有可能让坏人得到惩处。再加上当时的法庭十分腐败，法官受贿、犯人串供的现象十分普遍。贼人很有可能反咬一口，让受害人陷入更大的麻烦。这在《魏尔德传》中也有所体现。善良的珠宝商人哈特弗利原本被魏尔德一伙害得倾家荡产、妻离子散，在法庭上却又被魏尔德等人串通一气，差点陷害致死，实在是黑暗至极。由于诉讼成本太高，又不一定能获得正义的判决，很多受害人便转而求助于像魏尔德这样的民间抓贼人。他们表面上是在抓贼，实际上往往是在窃贼与受害人之间进行赃物返售交易的中介。正如摩尔所指出的那样，“这些收售失物和赃物的人熟悉犯罪世界，有特殊渠道联络贼人。到1710年，抓贼已经成为一门很复杂的行当，涉及敲诈、勒索、行贿、告密和有组织行窃等”（Moore 60）。

也就是说，魏尔德事实上同时干了两桩生意。一是表面上抓贼除恶，二是背地里销赃获利，可谓名利双收。1720年前后，魏尔德的声誉达到顶峰。60多名贼人被他送上绞架，报纸上大肆宣传他的丰功伟绩，连枢密院也要向他征求治贼方略。但从1724年开始，魏尔德从自己的人生顶峰上迅速跌落。他先是在抓捕传奇大盗约翰·谢泼德（John Sheppard）的过程中屡遭戏耍，狼狈不堪，受到公众质疑和奚落，后又因策划手下越狱而东窗事发遭到逮捕。此后他又被众人背叛落井下石，他所犯下的各种罪行也被陆续揭发出来。恶贯满盈的魏尔德于1725年被判处绞刑。行刑当日可谓万人空巷，人们都想一睹为快，亲眼见证这位有史以来最大的伪君子的下场。魏尔德被绞死后，他的尸体还被送往英国皇家学院用于医学解剖，头颅则被展览数日，足见当时的人们对他的愤恨。

二、“我讲述的并非其真实所为”

作为名震一时的人物，魏尔德死后立即成为街谈巷议的对象，报纸上纷纷刊载与魏尔德案件有关的报道，罪犯传记作家们自然也不会放过如此近在眼前的话题人物。在魏尔德被处决后不到一个月，笛福就率先出版了《江奈生·魏尔德的生平及所为实录》（*True and Genuine Account of the Life and Ac-*

1 参见“The Life of the Famous Jonathan Wild,” http://www.pascalbonenfant.com/18c/new-gate-calendar/lives_jonathan_wild.html. Accessed Jul. 20, 2016.

tion of the Late Jonathan Wild)。¹ 笛福的作品基本沿用了一般罪犯传记的形式，用现实主义的手法记述了魏尔德的一生，它的虚构成分较少，但文学价值也有限，只不过在叙述手法上更连贯、娴熟一些。相比之下，菲尔丁的《魏尔德传》显示出与以往的罪犯传记很多不同的地方。

在《杂文集》的前言部分，菲尔丁表明了自己的写作意图：

我不打算进入那些杰出的历史学家的行列，他们依据真实的档案记载，早已写出了让人满意的有关这位大人物的生平所为。对于这段历史的真实客观性，我毫无贬低之意。……坦率地说，我所讲述的并非他的真实所为，而是他应该做过、或者可以做的事情，并且对现实中的其他类似的伟大人物来说，这些事情也是适合他们干的。（Fielding “Preface”）

很明显，菲尔丁在这里借用了亚里士多德在诗和史之间所作的区分：“历史学家和诗人的区别不在于是否用格律文写作，而在于前者记述已经发生的事情，而后者描述可能发生的事”（亚里士多德 81）。也就是说，菲尔丁的目的不是还原魏尔德的罪行，而是以他为典型，去再现和揭露普遍存在于英国、乃至任何人类社会的犯罪行为。他说：“我想提醒读者的另一点是，既然它并非对魏尔德本人的真实记述，同样它也不是为了再现任何一位别的什么人的特征。无耻的行为——而非某个无耻之徒——才是我想要表达的主题”（Fielding “Preface”）。虽然小说题目传达的信息是人物传记，但实际上它是为一切表面伟大、实则无耻之极的伪君子刻画的群像。正如法瑞尔所指出的，小说真正的讽刺对象“不是魏尔德，而是文明世界的同道中人”（Farrell 216）。

如果说在菲尔丁之前，罪犯传记更关注日常随处可见的“窃钩者”的话，那么菲尔丁则把目光更多投向了那些躲藏在历史阴暗处的“窃国者”身上。以前一种人相比，“窃国者”的手段更卑劣，对社会的危害也更大。但由于其隐蔽性强，而且人们往往又很幼稚地认为那些了不起的大人物也必定都是道德上的楷模，这就使得那些做了坏事的伟人们非但逃避了惩处，反倒欺世盗名，被人们冠以各种伟大称号，甚至名垂青史，这实在是讽刺至极。菲尔丁说：

很多非常无耻的作家常把新门监狱视为人性被去掉面具的地方，我对此实在不敢苟同。相反，我倒觉得我们有理由把那些伟人所居的豪华宫殿看作不过是戴了面具的新门监狱。同样的行径，在一个地方换来

1 直至 21 世纪，仍然有以魏尔德为主要人物的新作品出现，比如英国作家大卫·里斯（David Liss）的小说《商业票据的阴谋》（*A Conspiracy of Paper*, 2000）。

的是不堪想象的痛苦和耻辱，在另一个地方换来的却是无上的荣耀和奢华，很难想象还有什么能比这个更让一个诚实的人感到愤慨。（Fielding “Preface”）

借助魏尔德的故事，菲尔丁正是要揭露隐藏在伟人形象背后的“凶残、贪婪、掠夺、粗野、伪善和背叛”（Fielding “Preface”）。

在小说中，菲尔丁也不断在“窃国者”与“窃钩者”之间进行类比。魏尔德在亨利三世时代的祖先朗方格因盗窃罪被处绞刑，他的墓碑上镌刻着这样的诗句：“法官老爷真无耻，

魏尔德扒了个衣袋就绞死；胡伯特跟他的同党盗窃国家物资，倒落得个逍遥自在，太平无事”（5）。在第一卷第五章，拉·鲁斯伯爵与魏尔德争论做官与做贼的区别。伯爵认为“做个大官总比当个小偷强”（15），劝魏尔德应把才能用在谋官上。魏尔德却不以为然，在他看来，两者之间没有什么差别：“上流社会和下流社会生活中的共同之点是远多于一般人所想像的”（15）。相比之下，魏尔德认为做贼甚至强过做官，因为贼匪不过是从别人身上偷些钱财，至多只是对受害者个人造成伤害，而腐败官员却是辜负了公众的信任，破坏整个社会正义秩序。菲尔丁显然是借魏尔德之口，表达他对腐败上层社会的强烈批判。

三、对魏尔德人物形象的反传奇化塑造

为了强化小说对“伟人”的讽刺效果，菲尔丁在下说中故意丑化魏尔德的形象，而非像一般罪犯传记那样对罪犯进行传奇化处理。如前所述，在早期罪犯传记中，窃贼往往被塑造成有狭义色彩的人，是讲究“盗亦有道”的豪杰之士，即便像笛福笔下的女贼摩尔·弗兰德斯，在作案过程中也屡屡展现出机智果敢的形象。这样的犯罪人物容易唤起读者的同情和代入感。反观菲尔丁笔下的魏尔德，他不是聪明，而是奸诈；不是果敢，而是狠毒；他做人两面三刀，出尔反尔，诡计多端，越是对他有恩、和他关系近的人，越容易成为他下手的目标。拉·鲁斯伯爵和白格沙特原本都是他的亲密同伙，多次合谋作案，却也免不了被他所害。他最擅长的手段便是“先用一个爪牙去骗人，然后再骗行骗的爪牙的双料骗局”（47）。哈特弗利是魏尔德的同学好友，对他多有恩惠，魏尔德却恩将仇报，用卑劣手段对恩人一再施害，差点让其送命。

早期罪犯传记经常会设置富有传奇色彩的情节，以便增加犯罪人物的魅力。比如让一个人单枪匹马的完成惊天大案，或是机智勇敢的逃脱追捕，化险为夷等。菲尔丁原本也为魏尔德设计了类似的桥段。比如在小说第二卷第十至第十三章，魏尔德在拐骗哈特弗利太太去往海外的途中，被人识破诡计后遭到放逐。当他独自在海上漂流的时候，并没有展现出任何属于英雄人

物的品质，只知道诅咒和谩骂，甚至连自杀的勇气也没有。侥幸被过往船只搭救后，他反过来立马又盘算起如何劫夺这只船上的财物。其卑鄙无耻的程度简直无以复加。

与以往罪犯传记的主角相比，魏尔德最大的特点还在于，他是第一位真正的有组织犯罪领导者。按照盖里奥提的定义，所谓“有组织犯罪”（organized crime）指的是“在传统的合法社会结构之外运作的一种持续性犯罪活动，成员按照一定的等级制度相互合作，通过犯罪行为为个人谋取权力和利益”（Galeotti 6）。当然，很多犯罪活动都不是一个人完成的，经常需要多人联手作案。笛福笔下的弗兰德斯就经常在作案过程中寻找帮手，特别是与她的保姆一起合作了好多年，她们可以相互掩护，或者协助销赃等。但这种合作还算不上是有组织犯罪，而是一种相互有利的结盟；她们之间只有合作关系，没有等级关系。有组织犯罪的两个最重要特点就是等级严格和成员众多，就像电影《教父》中所描绘的黑社会一样。虽然魏尔德本人作案手法也十分娴熟，但他最擅长的还是操纵别人为自己谋取利益。他说：

想做伟人只消结成一个帮，叫这帮里的人都听我使唤。帮里的人抢来的东西全都得归我，任凭我随便给他们一点点酬劳。在帮里，我提拔胆量最大、心肠最狠的那些人，其余的遇到机会我就随便叫他们去充军，或者送上绞刑架。这样，本来是保护并裨益社会的法律就为我一个人利用了。这就是一个贼匪最大的优点。（40）

如前文所述，这种组织化犯罪的形成与当时腐败的社会环境有很大关系，也是整个社会腐化的缩影。魏尔德就是他所建立的犯罪王国的最高统治者，“纠合了一大帮喽罗，里面有败落的赌棍、破产的衙吏、亏空的买卖人、游手好闲的学徒、律师的助手和一些胡作非为的浪荡少年”（59）。诱骗和恐吓是魏尔德最主要的控制手段。虽然手下人对他的剥削多有不满，但也不敢背叛他，因为稍有不忠便会被他遭到清洗。

魏尔德的犯罪组织之所以能长期存在，除了他在内外控制上很有手腕之外，另一个更重要的原因是当时英国腐败、混乱的司法状况。一方面，由于还没有建立专门的警察执法队伍，没有人能对他这种庞大的犯罪网络进行调查或打击。其次，有组织犯罪在当时还是新出现的犯罪形式，当时的法律在应对这种犯罪方面还没有明确规定，所以当魏尔德最终被布留斯金的盗窃案牵连归案后，法官们竟然一时拿他没办法。直到后来议会专门通过一项法案，规定“凡利用别人的手去盗窃的贼，应处以死刑”（124），魏尔德才算得到应有惩罚。

早期罪犯传记在结尾处有两个常见套路。一是让罪犯在临刑前接受牧师劝导，表达一段真诚的忏悔，以便告诫他人不要步其后尘。二是描述罪犯在

临刑前的无畏，以显示其豪杰气概。这两个套路在《魏尔德传》中都有体现，不过菲尔丁有意对它们进行了改写。面对牧师的劝导，魏尔德充耳不闻，毫无悔意。面对即将到来的绞刑，他也尽量显示出一副无所谓的样子。然而这不过是一种伪装。其实外强中干的他内心非常惧怕死亡，甚至想通过吞食鸦片自尽免于绞刑。更滑稽的是，他最终被绞死的时候，还顺手从身边的牧师身上偷走一只开瓶塞的钻子。这一毫无意义的举动为我们留下的是一个非常猥琐、卑劣、可笑的人物形象。

结 语

法瑞尔曾认为：“菲尔丁的这部传记在技巧上更接近传统的伟人传记，而非当时的罪犯传记”（Farrell 216）。他之所以会有这种看法，就是因为菲尔丁对传统罪犯传记做了很多改写。他的《魏尔德传》不是一部单纯的罪犯传记，而是通过对这种流行题材的改写，实现了对英国社会腐败状况的深刻揭露。虽然有不少人认为这部小说的主要意图是用魏尔德的无耻来讽刺一切伟人的虚伪本质，但我们也应当承认小说的另一重要价值就在于，菲尔丁通过魏尔德的故事，为读者揭示了组织化犯罪的根源及其危害。普通读者从罪犯传记中看到是传奇，而拥有法律知识背景的菲尔丁更关心的却是犯罪与社会腐败之间的关系。在这部小说发表7年之后，菲尔丁被正式任命为伦敦密德萨斯区治安官。他在任期内（1748-1754）设立了英国最早的全职警察队伍，成为后来著名的弓街侦探的前身。此外在1751和1753年，菲尔丁还先后出版了两本小册子¹，专门探讨犯罪预防和社会治理问题，使其成为犯罪预防学的先驱。正是由于这些功绩，鲍艾尔才称赞说：“作为治安官的菲尔丁对英国法律的改造，和作为小说家的菲尔丁对英国小说的改造同样彻底”（Boyer 206）。至少在二十世纪以前，我们很少见到还有谁能像菲尔丁这样，把司法实践和犯罪主题文学创作结合的如此紧密有效。

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1 这两本小册子分别是《针对近来劫匪增多的原因的调查及抑制恶势力增长的几条补救措施》（*An Enquiry into the Causes of the Late Increase of Robbers &c. with Some Proposals for Remedying the Growing Evil, etc.*）以及《关于有效救济穷人，改善其道德状况，使其成为有益社会成员的建议》（*A Proposal for Making an Effectual Provision for the Poor; for Amending their Morals, and Rendering them useful Members of the Society, etc.*）。

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翟里斯《中国文学史》的东方学阐释

An Orientalism Interpretation of Giles's *History of Chinese Literature*

李 群 (Li Qun)

内容摘要：对于翟里斯的《中国文学史》，学界多从国别之学（汉学或中国学）的角度加以认识和研究，实际上该书超越了汉学研究的范畴，作者主要从亚洲区域文学或东方学的角度把握中国文学，并引入欧洲早期东方学的比较语言学和比较宗教学的研究方法，来认识中国古代文明和汉民族的历史起源；同时，体现在《中国文学史》中的大量的中国文学作品的归化式英译，也体现了早期中国文学英译中的西方主义文化强势。因而，突破以往作为国别研究的汉学视角，从东方学的角度对翟氏《中国文学史》加以观照和阐释，有助于全面认识和客观评价其研究特色与学术价值。

关键词：翟里斯；区域文学史；东方学；“东方 - 西方”观

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Title: An Orientalism Interpretation of Giles's *History of Chinese Literature*

Abstract: The scholars mostly studied Giles's *History of Chinese Literature* from the perspective of Sinology or Chinese Studies. In fact the book goes beyond the scope of Sinology research, and Giles grasps Chinese literature mainly from the perspective of Asian regional literature or Orientalism, and introduces comparative linguistics and Comparative studies of religion in early Europe Oriental to understand the historical origins of ancient Chinese civilization and Han nationality. At the same time, a large number of Chinese literary works are translated into English, which is embodied in *Chinese literature history*. It also embodies the strong Western culture in the translation of early Chinese literature in English, thus, breaking through the traditional sinology perspective as a country study. From the Perspective of Orientalism, the paper is helpful to comprehensively understand and objectively evaluate the research characteristics and academic value of *History of Chinese Literature*.

Key words: Giles; History of Chinese literature; Orientalism; the “East-West”

outlook

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翟里斯 (Herbert A.Giles, 1840-1934) 撰写了世界第一本英文版《中国文学史》¹, 奠定了他在世界汉学研究史上的地位。因而一直以来, 国内外学者主要从汉学角度对此加以看待和研究, 而少有学者从东方学的角度对翟氏《中国文学史》加以观照和阐释。我们考察翟氏《中国文学史》, 无论是其采用欧洲“总体文学”观治理中国文学史, 还是运用早期东方学的比较语言学和比较宗教学的方法研究中国文学, 以及他在《中国文学史》中对入选的文学作品采取的翻译策略, 都属于东方学的范畴并可以从东方学的角度进行阐释。

一、作为东方区域文学史的翟里斯《中国文学史》

翟里斯《中国文学史》的出现, 标志着西方汉学研究走向成熟, 并为西方汉学的学科化奠定了坚实的基础。因此, 研究者很容易从汉学角度对翟氏《中国文学史》进行认识和评价。但是, 研究者们忽视了翟里斯《中国文学史》的一个极其重要特征: 它是一部超越了国别文学、属于区域性研究的文学史, 同时具有跨学科、跨文化研究的属性。

翟氏《中国文学史》是在欧洲“总体文学”²观影响下撰写的一部超越国别范畴的区域文学史。早在 18 世纪末, 德国学者便开始使用“总体文学”这一概念。1883 年, 英国的蒙哥马利发表《关于总体文学、诗歌等的讲演》。同年, 伦敦还成立了总体文学与科学系。汉学家翟里斯不可避免地受到同期欧洲学术风气的影响, 自觉以“总体文学”观来观照中国文学。而且, 在翟氏《中国文学史》问世之前, 欧洲就已经有乔治·勃兰兑斯《十九世纪文学主流》、卡尔·施莱格尔《古代与现代文学史》等著作问世。这些著作超越国别范畴, 将欧洲文学视为一个整体并采用整体的、区域的方式进行把握。从一定意义上, 其对欧洲文学的总体研究属于“欧洲文学史”的范畴, 这些著作属于区域文学史。翟氏《中国文学史》沿袭欧洲“总体文学”观, 书中多次出现“总

1 本文相关引文均出自 Herbert A. Giles, *A History of Chinese Literature* (New York and London: D. Appleton and Company, 1927)。下文只标注页码, 不再一一说明。

2 “总体文学”: 又名一般文学。梵·第根在他的《比较文学论》(戴望舒译, 商务印书馆, 1937 年, 第 206-12 页)中最早赋予这个术语以新的与“比较文学”相对的特殊概念。他认为, 民族文学、比较文学和总体文学代表三个联结的层次。民族文学的研究限于一国文学之内的问题; 比较文学通常探讨两个国家的文学问题; 总体文学则专门研究许多国家中共同发展的问題, 这些国家往往由于文化传统的关系而自成一体, 如欧洲、欧美、东方等等。

体文学”的概念，更重要的是他将欧洲学者视欧洲文学为一个整体并采用整体的、区域的方式进行把握的思路，移植到中国文学史的研究中。他在论述中国戏剧和小说的起源时，将视野扩展到整个亚洲论述其诞生背景。他在论述《玉娇梨》为何受到国外读者青睐时说：“部分是因为它的故事相对不那么冗长。普通的中国人喜欢长一点的小说，并不介意小说像荷马的小说一样，荷马小说因为多是先口述流传然后再经过后世文人加工而成，重复冗长。（它受国外读者喜欢）也可能与前面表述的观点相关，就是中国的小说最初起源于中亚”（134）。翟里斯是将中国文学放在亚洲或东方区域内进行整体考察的，他的《中国文学史》是一部超越国别文学、属于东方区域文学史，这是区别大多数文学史家局限于中国范围对中国文学进行研究的一个重要特征。由此可见“总体文学”观对翟氏撰写《中国文学史》的影响程度。

“总体文学”观影响下的翟氏《中国文学史》不仅采用了区域性的、跨国别的研究方法，还运用了跨学科和跨文化的比较文学研究方法。翟里斯专门就佛教对中国文学的影响，以及佛教与中国文学，如佛教与唐诗、佛教与《红楼梦》等，之间的关系进行分析说明。翟里斯留意到文学媒介的演变对文学的影响，他在《木板印刷术》《报刊文学》等文中细述了传统文学媒介的发展及其对中国文学的影响。因此，郑振铎批评翟氏《中国文学史》“滥收”，和“详略不均”，“一方面把许多应该叙及的人，都删去不讲，一方面滥收了许多非文学作品的东西，如法律条文，博物学书之类，而且叙述的很详细”（郑振铎 51-52）。翟氏《中国文学史》不仅研究中国的诗歌、小说、戏曲等内容，还将医学、天文、科技、园艺、饮食等作家作品纳入其中，更像一部文化史。翟氏《中国文学史》在认识和评价中国文学时，不是简单的就文学论文学，而是把中国文学放置在文化范畴里进行考察和阐述，对中国文学与宗教学、媒介学等进行跨学科的比较研究。

翟氏《中国文学史》为了说明中国文学特征还进行了跨文化研究。欧洲学者习惯将中国当作亚洲的一部分、将中国当作东方，将东方文学与西方文学进行整体比较，说明中国文学和世界文学的关系以及东方文学、西方文学的差异性。翟氏沿袭欧洲学术传统，将中国视为东方，进行东西方文学比较研究。翟氏评价《红楼梦》说：“至少 400 多位重要人物形象出现在书中，故事情节的设计完全可以与菲尔丁的小说相媲美。故事中的人物谱系复杂——如此众多的人物形象，让人联想起西方最伟大的小说家竭尽全力完成的作品”（152）。翟氏将《红楼梦》放置在世界文学的高度予以评价，认为其采用文学的方式写出了人类共通的情感，妄图将人的精神世界和现实世界联系起来，展现出超自然的特征。由此，翟氏《中国文学史》不仅是表现了中国文学的特点，还具有世界文学的特征。翟里斯为说明中国诗歌、小说和戏剧等的特征，从而进行中西方文学比较，翟氏《中国文学史》不仅是一部简单的国别文学史，还是一部比较文学史和东西方文学史。因为文学研究属于

文化研究的范畴, 东方文学和西方文学隶属于不同文化范畴, 使得该著具有跨文化研究的属性。

翟氏《中国文学史》属于汉学研究成果, 但同样属于西方的东方学的重要研究成果。仅仅从国别文学史、汉学的角度对其展开研究是不够的、是有缺陷的, 研究视野的狭窄会影响到对翟氏及其《中国文学史》的正确认识和客观评价。我们对其研究要从汉学视角转向东方学的视角。但要理解这一研究视角上的转变并不容易, 首先需要对东方学、汉学两个概念加以区别和明晰, 才能明白和理解我们将翟氏《中国文学史》纳入东方学的视野进行阐释的意义和价值所在。东方学、汉学是两个很不一样的概念。东方学是欧洲人站在东方区域的角度研究东方的学问, 在这个问题上, 欧洲人的立场、观念太凸显了就会造成所谓的东方主义。汉学则是欧洲人站在欧洲人的角度研究中国的学问, 在研究进程中过于凸显欧洲的角度就形成了汉学主义。因此, 东方学与汉学是不一样的两个概念, 东方学是区域研究而汉学则是国别研究, 两者因研究者立足点的不一样, 而形成了差异。但两者既有区别又有联系, 两者都是以中国为研究中心的学问。近代东方学诞生于 18 世纪, 而汉学晚于东方学诞生并作为东方学的一个分支出现, 换言之, 先有了东方学家, 再才有汉学家, 由此汉学家的学术规范、学术理念和研究方法带上了浓厚的东方学印记。

翟氏《中国文学史》的研究视野、学术习惯和研究方法, 带有早期欧洲东方学的烙印。相较于欧洲人进行国别研究的汉学, 东方学是欧洲学者对东方进行的区域性、总体性研究的学问。东方学家研究中国文学史或研究中国其他问题时, 多数情况下, 他们是把中国当作东方的一个组成部分, 习惯从亚洲或东方总体的角度把握中国, 形成了把中国放在东方区域去观照、研究的学术习惯和学术方法。这种研究视角从欧洲近代时期到 20 世纪是一以贯之的传统。最早从伏尔泰始一直到 19 世纪东方学家威廉·琼斯都是如此。翟氏《中国文学史》展现了东方学家从东方总体、东方区域把握中国的学术习惯和方法。他在《中国文学史》中将中国的小说、戏曲等放在整个亚洲范围内进行整体考察, 将中国放在东方区域内进行观照和考察, 使得这部文学史著作就不再是一部单纯的国别文学史, 而是一部具有世界文学背景的区域文学史。比较文学的方法是东方学的重要研究方法, 同样是作为东方学组成部分的东方文学史研究的重要途径和研究方法。一定意义上, 翟氏《中国文学史》属于东方学的东方文学史研究的范畴, 比较文学的视野和方法是其重要手段和方式。翟氏在《中国文学史》中为说明中国诗歌、小说和戏剧等的特征, 将其与拉丁诗歌、欧美小说和古希腊戏剧进行对比说明, 使得翟氏《中国文学史》带有比较文学史、东西方文学史的属性和特征。东方学不仅是对东方文学进行区域性、总体性的比较研究, 还是跨学科、跨文化的研究, 换言之, 跨学科和跨文化是东方学研究的重要方法和研究途径。翟氏《中国文学史》

跨越了文学、宗教等多个学科，对东方文学进行文化学意义上的研究，而非单一的文学史研究。翟氏《中国文学史》区域文学的研究特征、比较文学的研究方法，与近代欧洲东方学的研究视野、学术习惯和研究方法高度一致，从而使该著具有近代东方学的浓厚色彩。所以，我们有必要突破汉学的、国别的或语种的限制，从汉学的视角转向东方学的视角，这样对翟氏《中国文学史》的认识和评价就会较以前的视野扩大许多，在方法上也会有所更新突破，也才能全面认识和客观评价翟氏《中国文学史》。

二、翟里斯《中国文学史》与东方学的学术方法

要全面认识和评价《中国文学史》，还需要理解和熟悉翟里斯撰写《中国文学史》采用的学术研究方法。翟里斯《中国文学史》的撰写与近代欧洲东方学有着密不可分的学术渊源关系。

早期东方学家通过比较印度梵文和欧洲语言中一部分词汇在词根、语法上的相似性，进而确定了印欧语言的关系。18世纪下半叶，有“东方学之父”美誉的威廉·琼斯通过研究欧洲语言和梵文词根的相似性，提出了著名的“印欧语假说”¹，即梵语与欧洲语同源的说法。1833年至1852年，德国东方学家弗朗兹·波普关注印欧语言语法上的一致性，并撰写三卷本《梵语、古波斯语、希腊语、拉丁语、立陶宛语、哥特语、日耳曼语、斯拉夫语的比较语法》，论证了印欧语系的存在，标志着近代比较语言学研究走向深入和成熟。威廉·琼斯和弗朗兹·波普一道，推动了历史比较语言学的发展，反之也促进了东方学的进步和发展。东方学家对两种不同语系文字关系的确定，这对重新勾勒欧洲文明的起源和印度的历史、审视印度文明与西方文明之间的关联，提供了坚实的证据。长期任教于英国牛津大学的德国东方学巨擘弗雷德里希·马克思·穆勒则将比较语言学的方法延伸至宗教领域研究，通过宗教信仰、语言的相似性确立不同民族之间在起源上和在历史文化上的联系性，这对认识不同民族之间的文化关联性，具有不可忽视的作用。当然，早期东方学家运用比较语言学和比较宗教学的方法，主要还在于论证《圣经》内容的权威性，无论是威廉·琼斯的印欧语言研究还是马克思·穆勒比较宗教学研究，他们主要目的还在于维护《圣经》的神圣性。他们通过对印欧语言和宗教的比较研究，论证印欧语言的相似性、宗教信仰的同源性，在重构印度上古史的同时，进而将印度文明纳入西方基督教知识体系。简言之，近代欧洲东方学家意图通过语言、宗教和文化的广泛比较，重新认知和解读东方古代文明及东方民族的历史起源，进而重新整理出人类早期文明史。

1 “印欧语假说”：威廉·琼斯在1786年的亚洲学会上的年度演讲中提出梵语、希腊语和拉丁语在动词词根和语法形式上极为相似，三种语言同出一源的观点。1813年，英国语言学家阿瑟·杨正式将琼斯提出的概念命名为 In-European，并最终形成印欧语系（Indo-European Family）的概念。

汉学作为早期东方学的一个分支,稍晚于东方学诞生。欧洲汉学研究受到早期东方学研究方法和思维方式的深刻影响。欧洲东方学的比较语言学和比较宗教学研究方法是欧洲汉学家们广泛采用。他们将东方学的比较语言学的方法引入到汉语的研究中,将汉语和世界语言联系起来,进而将中国历史与世界历史联系起来。早期东方学家十分关注印度文明与世界文明的关系,汉学家们也想弄清楚中国文明与世界文明的关系及其在整个世界文明中的地位。他们注意到中国文字与埃及象形文字、巴比伦楔形文字在语音和字形上巨大的相似性,进而将中国文明的源头与巴比伦、埃及文明联系起来。汉学家翟里斯深受此期东方学研究方法的影响,他从汉语与埃及象形文字和巴比伦文字字形和语音之间的相似性出发,探索 and 发现中国文明与西方文明之间的关联性。既然人类的起源是《圣经》的创世纪,那么中国人从哪来也成为汉学家们普遍关注的问题。对这个问题,翟里斯支持“中国人种西来说”。他在《中国文学史》中认为“没有人知道中国来自哪里?”(4)但是,随后他引用了两种西方学术界的观点:“有理论认为,他们是从古巴比伦王国阿卡迪亚迁移过来的;其他人则是消失的以色列部落。”理由是,“从人种学的理论来说,每个种族都是来自本领土以外的地方”(4)。不难看出,翟里斯的“中国人种西来说”观点的提出受到了早期东方学的影响,并有可能直接受到同时期的法国东方学家拉克伯里学说的影响。拉克伯里在英国伦敦大学东方语言学院任教期间出版了《中国上古文明的西方起源》等著作,他从人种学、民族学等角度出发,论证了中国的语言文字、历史传说等皆与巴比伦相似,进而提出中国文明和汉族人均由巴比伦而来。此观点发表后一时轰动学界并在世界范围内产生影响。翟里斯与拉克伯里生活在同一个城市,他注意到其学说并接受他的观点,这是很自然的事情。

“从神话中过滤出历史是当时东方学研究的重要方法。东方学家对印度早期历史的重构,依靠的便是《吠陀》”(陈喆 114)。东方学家认为《吠陀》记载的不是真实的历史而是神话,《吠陀》内容的真实性令人怀疑,因而对印度的历史必须进行重新勾勒。欧洲汉学家将东方学家研究印度上古史的方法运用到汉学研究上,怀疑和批判中国古代典籍和文献并质疑其真实性。1901年,翟里斯在《中国文学史》的《道教—道德经》一节中指出《道德经》并非老子所写,而是后来伪造的。他认为我们对老子知之甚少,“没有任何蛛丝马迹表明老子写过这样一本书”,甚至朱熹等人都质疑《道德经》的真实性(57-58)。此论一出,立马引发了西方汉学界关于《道德经》真伪问题的激烈争论。不难看出,翟里斯自觉地将早期东方学者研究印度文明的方法运用到汉学研究中,对中国文献典籍的真实性提出批判和质疑。既然中国古代的文献和典籍的真实性都令人存疑,那么这些文献典籍记载的历史就颇令人怀疑了,西方汉学家由此对中国文明的悠久性和中国文化的真实性提出质疑。

翟里斯对中国五千年的悠久历史存在怀疑,认为中国历史很大一部分存在虚构。在《中国文学史》第一章即“传奇时代—中国早期文明—书写的起源”中,他认为中国的学者是人为的在创造一段与祖先相关的历史,而且,中国历史学家将本国历史的开端认定在一个充满神话和传奇故事的皇帝身上,令人充满疑惑(3-4)。翟里斯并非是第一个对中国历史的真实性提出质疑的人。早在17世纪,欧洲就围绕这一问题展开过激烈讨论。当时传教士卫匡国在《中国上古史》一书中说中国历史开端于诺亚洪水前2952年,推算起来,中国历史已有近五千年。这惊动了信奉基督教的欧洲,因为中国历史悠久,便否定了《圣经》中创世纪的真实性,《圣经》的权威性随之受到威胁。欧洲人为维护《圣经》的权威,只能否认中国历史的真实性,极力缩短中国历史长度(张国刚107-108)。英国另一位汉学家理雅各沿用早期东方学的方法,论证《圣经》记载内容为导向,竭力维护其权威,将中国典籍中具有神话性质的上古人物纳入基督教体系进行解释,他在其《中国经典》的序论部分中提出大多关于尧、舜及其相关文献都是传说大于历史。翟里斯在《中国文学史》序言中明确提到他引用了理雅各的观点,表明翟里斯认可和借鉴了理雅各的学说。由此可见,以翟里斯为代表的汉学家们对早期东方学学术传统的认同和接受程度。

19世纪末,汉学家对中国人种的由来、对《道德经》真实性的怀疑,进而对中国文明的悠久性提出质疑,根本目的还在于宣扬和维护“纯正的宗教”——基督教。换言之,早期汉学家沿袭了早期东方学的操作方法和思维方式,来认识和处理中国文明和中国宗教。翟里斯在《中国文学史》中频频使用基督、救世主及其衍生词来比附表达类似意蕴的汉语词汇,将儒家的“天”翻译为“基督”,采用穿凿附会的方法任意诠释中国经典,力图从中找出天主创造世界、灵魂不灭、天堂和地狱的存在并非虚构的依据,以此来证明中国早就有了基督教(马祖毅、任荣珍35)。翟里斯的想法和研究思路具有代表性,他在此无疑沿袭了早期东方学的操作方法,他认为上古中国人同样信仰上帝,只是受到迷信的影响走向堕落并迷失了方向。很明显,翟里斯对中国人宗教信仰迷失的原因与马克思·穆勒对雅利安文明在印度次大陆的衰落的论断如出一辙。穆勒认为尽管文明的雅利安人征服了印度,但因与被征服者的通婚却逐渐丧失了其自身文明的光芒。以马克思·穆勒为代表的早期东方学家力图通过语言和宗教上的比较,证明上古时期的印度和中国与其他人类族群在语言和宗教信仰上的一致性,为将中国文明纳入到西方基督教文明体系中提供有力证据。翟里斯沿袭早期东方学家的学术传统,并将其运用于《中国文学史》的研究中。

不难发现,18世纪末出现的早期东方学的研究方法和学术传统对汉学家翟里斯的学术方法和研究论断,都产生了极其深刻的影响,并体现在他的中国文学史研究中。一定意义上,翟氏《中国文学史》是19世纪英国汉学研究的重要成果,亦是19世纪东方学研究的代表性成果之一。翟氏《中国文学史》

的诞生与东方学研究息息相关，这是以往我们忽视的地方，但却是我们全面认识和了解其《中国文学史》的诞生及其写作特点的一个极其重要途径。

三、翟里斯的“东方－西方”观与《中国文学史》的译介策略

东方观是东方学的重要组成部分，它是东方学家发表的对东方问题的评论观点和看法。翟里斯的“东方－西方”观指的是其基于西方中心的立场发表的有关东方问题的言论，同样属于东方学的范畴。翟里斯的“东方－西方”观促使其在《中国文学史》中对中国文学作品采用归化式英译策略，同时体现了早期中国文学英译中的西方主义文化强势。

翟氏《中国文学史》在作家作品的选择上主要以其早期翻译的中国文学作品为主。他在《中国文学史》的序言里说“我已经将翻译作为这本书的大部分”（2）。据统计，《中国文学史》中涉及的两百余名作家及其作品，有59位来自其早期翻译著作《古文选珍》，101位来自《古今诗选》。《二十四品》《聊斋志异》《红楼梦》等都是其翻译并在报刊上发表过，因此，我们视《中国文学史》为一部翻译中国文学史也毫不为过。一定意义上，翟里斯是一位东方学家兼文学翻译家。翟里斯认为“汉学家首要的、最根本的任务在于忠实、正确地翻译中国文本”（Giles, *The Civilization of China* 356），他在《中国文学史》中实践着他的翻译理念。波乃耶在《中国评论》上撰文对翟氏《中国文学史》大加赞赏，指出以往的英译汉籍虽然数量众多，但因翻译不到位反而加深了英国读者对汉籍的偏见，而只有翟氏的译文“使汉籍‘英语化’（Englishes）了”，“中国文学之精神经过他的提炼，以欧洲语言的‘肉身’展现在我们面前”（Ball 208）。《中国文学史》出版后多次再版，其译作受追捧程度及其译文水平高低可窥见一斑。

翟里斯翻译中国文学作品是为了改变西方人对中国文明的歧视和偏见，但如果介绍的中国文学过于“中国味”就很难让英国读者看明白和接受。为了迎合读者，翟里斯将作品进行了“英语化”的处理，即在《中国文学史》中对入选作家作品主要采用了归化的翻译策略。他在《聊斋志异》和《红楼梦》中，他将“道士”译为“Taoist priest”，将“方士”则译为“magician”，还将方士的法术译为“magical skill”。翟里斯不但采用英文词汇去翻译中国文学作品中富有文化色彩的词语，还用西方的人物和文化典故去代替中国人物形象和文化典故。他将指称美人的“倾国之姝”翻译为“绝色海伦”（a perfect Helen for beauty），在翻译明代高濂的《玉簪记》中“潘郎与妙常”的典故时，将其译为西方人家喻户晓的“Abelard”（阿伯拉尔）和“Eloisa”（爱洛依丝）。

翟里斯归化的翻译策略还表现在其依据当时英国小说创作观念和道德观念，对中国的诗歌和小说进行增减、删节、改写和随意发挥。中国的古典散文、小说等具有“评注”传统，如《史记》结尾处多有“太史公云”，《诗经》

每一诗篇前附有《诗序》，而《聊斋志异》的故事后多以“异史氏曰”结尾，这些构成了中国古典文学作品的重要组成部分和鲜明特征。翟里斯受当时英国小说创作观念的影响，为满足英语读者的阅读需要，对这些中国古典小说的特殊组成部分采用删节、改写或全部予以删除不译。如他在《中国文学史》中翻译《聊斋志异》的《种梨》和《崂山道士》，原文中的“异史氏曰”全部删除不译。正如有研究者所说：“他对《聊斋志异》各篇故事末尾处的‘异史氏曰’部分的删除，是为了使译文符合当时英国小说的主流叙事模式”（余苏凌 470）。另外，翟里斯为了使中国古典小说作品符合维多利亚时代的道德风尚，还对《聊斋志异》中的《画壁》、《画皮》等故事进行了大胆的改写。为符合当时英国人清教徒身份的需要，他将作品中的男女青年关系大多改写为正常的夫妻关系，并对小说中的男女情色部分、性爱场面进行了大幅度的改写和删节。

翟氏《中国文学史》采用归化的翻译方法，还表现在其翻译中国文学作品时采用了大量的注释。为了方便英语读者理解和接受中文译本的内容，他在翻译时采用注释对涉及中国习俗、礼仪等内容部分进行详尽的说明。如他在翻译《聊斋志异》时加入了大量的注释，全部 164 篇故事中有 159 篇采用了注释的方式。他为了让英国读者明白清蒲松龄的叙事风格，就将其与英国作家卡莱尔相提并论，借此说明蒲松龄的叙事特征。在《画壁》中，为了让英语读者理解男主人公穿越画壁的情形，他列举英语文学作品《爱丽丝奇遇》中女主人公穿越镜子的情形对比说明。翟里斯采用了大量注释的方式，这与其迎合读者的阅读心理和接受习惯，方便读者接受他的译本的思想有很大关系。

翟里斯说撰写《中国文学史》的目的在于让西方读者了解中国的文化、习俗和信仰等，消除西方世界对中国文化的偏见和误解。我们赞扬翟里斯传播中国文化的善意举动，肯定其克服语言障碍进行跨文化交流的勇敢之举。但我们审视翟里斯极力将《中国文学史》“英语化（Englishes）”的处理，关注的不是其文学翻译策略，而是要揭示翻译文本中所彰显的译者的“东方－西方”观，以及翻译策略背后的西方主义文化强势心理。

东方主义是欧洲学者站在西方人的立场看待东方文明的文化心理，西方主义是西方人基于西方文明中心的意识看待世界文明的心态，而翟里斯的“东方－西方”观是其站在西方中心的立场看待东方文明的优越意识。翟里斯采用归化的翻译方法，表明其对本国文学和文明的高度自信和优越意识，认为英语文学和英国文明相比中国文学和中国文明有着更大的优势。长期以来，西方人认为欧洲民族和西方文明要优越于那些非欧洲民族和其他文明形态，西方文明是衡量文明的价值尺度和判断依据，享有支配东方文明的权力。西方许多学者对欧洲的文化和思维方式赞不绝口，对东方及东方文明则持不屑的态度。翟里斯虽然对中国文化和中国文学充满了好奇和研究热忱，但他对

中国文明和中国文学的看法似乎也很难摆脱西方学者对中国认识的窠臼。翟里斯在《中国文学史》的《诗经》一节中，认为中国学者刻板保守，“中国学者总囿于传统的评论，但欧洲的学生却会去寻找诗歌本身的意义”（14）。他还在《论语》一节中将孔子的“己所不欲，勿施于人”思想与西方的基督比较之后说：“我们应该知道，这句消极形式的格言是不能与我们基督提出的那些积极形式的格言相提并论的”（32）。在这种中国观的支配下，翟里斯在翻译和处理中国文学作品时，欧洲总是处于中心地位，喜欢用西方同类事物来比喻中国文化，如将传说中将腓尼基字母传入希腊的希腊英雄卡德摩斯比作仓颉，将具有毁灭性的诺亚大洪水比作大禹时期的洪灾。正是在优越的文化心理主导之下，翟里斯不顾文化差异，随意采用英语词汇替换中国诗歌中具有特定内涵的文化意象、依据英国文化道德观念对中国小说肆意删节、改写。翟里斯归化翻译策略的背后，潜藏着欧洲中心论和欧洲文明先进性、优越性的心理意识。

翟里斯对中国文学作品采用归化的翻译方式，满足了英国民众对中国的期待视野和西方人对中国固有的乌托邦想象模式。这与其所处的时代背景，以及此期西方人对以中国为代表的东方观有着密不可分的关系。相较于17世纪英国人对中国文化的普遍好感，至18世纪末，英国人的中国观为之一变，抨击嘲讽中国人的声浪不断攀升。1792年英王派遣马戛尔尼率团访华，该使团成员回国后相继出版《英使谒见乾隆纪实》等旅行日记和报告。这些日记和报告提供了大量中国社会的阴暗面和不利信息，似乎印证了此前英国人对华不良印象，让英国人的中国观急转而下。“此书打破了传教士苦心经营的中国神话。……欧洲人好像大梦初醒，批判贬低中国成为一种报复”（葛桂录 69-70）。结果是“1840年以来描写中国的文学大量涌现，这些作品给人的印象是无休止地和过去的文学作品进行清算：因为它们不断有意无意地对照耶稣会士和启蒙哲学家塑造的理想的中国人形象，建立一个完全相反的新形象。对中国事物的态度由喜好到厌恶，由崇敬到诋毁，由好奇到蔑视”（米利耶·德特利 248-251）。

翟里斯的“东方-西方”观是19世纪西方人对以中国为代表的东方世界的代表性认识，并与众多西方思想家的中国认识有着一脉相承的关系。黑格尔在《历史哲学》中视东方和西方为二元对立的世界，西方世界充满了自由、理性和人文关怀，东方世界则充满野蛮、落后、动荡。如东方的印度充满了迷信、残暴、野蛮，巴比伦和叙利亚等东方国家是充斥着“最粗野的肉欲、最放肆的骚乱”的国度。黑格尔由此认为东方的命运是“被战胜、被征服”，就像现在印度被欧洲的英国人控制一样，将来的中国也难逃此种命运（黑格尔 132）。黑格尔的东方观对西方人的东方观产生了广泛而深远影响。仔细比较，不难发现翟里斯“东方-西方”观对黑格尔的东西方文明二元对立论的认同和沿袭。由此可以理解，翟里斯对中国文学作品采取归化的翻译

策略背后，有着复杂深刻的历史背景和文化心理动机。“很大程度上是因为译者在注释时赖以运作的文化框架建立在他的教育和个人经验之上，会自觉或不自觉地把他所处的时代的价值观投射其上，这也解释了为何译作会吸引同时代的读者群”（孔慧怡 97）。翟里斯在《中国文学史》中采用归化的翻译策略，面对中国文化意向随意发挥，这一行为背后深层的文化心理和古罗马时代的翻译家面对东方典籍时的心理是一致的，“在西方，古罗马时代的翻译家以战胜者、征服者的姿态来翻译古希腊的作品，强调‘与原作竞争’而不惜对希腊原作肆意加以改动，以显示罗马人‘在知识方面的成就’”（王向远 139）。翟里斯沿袭了早期西方文学翻译家面对东方文明和文学典籍的处理方式，凸显了其文学翻译中的西方主义文化强势心理和优越的文化心态。英语读者群对翟里斯翻译的中国文学作品及《中国文学史》的追捧和认同，则代表着此期“日不落帝国”的霸主地位深入人心以及英国人文化心理的一种潜在诉求。

翟里斯花费大量心血翻译中国文学作品，他对中国文学的译介为其个人的汉学研究奠定了坚实基础，也使中国的古典作品突破语言障碍进入英语语境，进入了更大的“东方学”学术平台。他对中国文学作品的翻译，构成了西方的东方学学科的重要组成部分。但是，翟里斯是站在自身文化立场上去理解、探究、阐释中国文学的，我们要结合其“东方－西方”观对其文学翻译进行认识，这是我们全面理解和客观评价作为西方东方学重要组成部分的翟氏《中国文学史》的重要一环。

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责任编辑：陈晞

伦理批评新动向：评《美国伦理批评研究》

A New Direction of Ethical Criticism: A Review of *American Ethical Criticism: A Survey*

苏 坤 (Su Kun)

内容摘要：即使从其肇始于 20 世纪 80 年代的伦理转向算起，美国的伦理批评也已走过了近四十年的历程，然而在中国却未见一本专著介绍并分析美国的伦理批评，直至 2016 年杨革新教授出版《美国伦理批评研究》一书，才进一步丰富了该领域的研究。该书不仅清晰地描述了美国伦理批评的历史，而且还精辟地分析了美国伦理批评的对话与论战的形态和性质，以及美国伦理批评在中国语境化中的重构与完善。对于在其幽暗迷宫中探索伦理批评的中国读者来说，《美国伦理批评研究》就像一个光芒四射的火炬，为他们照亮了未来研究的道路。

关键词：伦理批评；伦理转向；文学伦理学批评；《美国伦理批评研究》

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Abstract: American ethical criticism has enjoyed a long history of about forty years since the ethical turn in the 1980s, but there was no Chinese monograph addressing the topic. This situation had not changed until Professor Yang Gexin published his *American Ethical Criticism: A Survey* in 2016, filling in the gap. The *Survey* not only presents a lucid narrative of the evolution of American ethical criticism but also provides incisive analyses of the forms and nature of the dialogues and debates among the critics in American ethical criticism, and of the reconstruction and improvement of American ethical criticism in the Chinese context. The *Survey* is really the first torch shining brightly for the Chinese readers who are in the dark labyrinth of their investigations of ethical criticism.

Key Words: ethical criticism; ethical turn; ethical literary criticism; *American Ethical Criticism: A Survey*

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There was no monograph in China tracing the evolution of American ethical

criticism before 2016 when Professor Yang Gexin published his *American Ethical Criticism: A Survey*. The first study in this regard both locally and internationally¹, the *Survey* was applauded warmly when it appeared in the academic circle, and received rapt attention from all sides, which testifies the widespread influence of ethical literary criticism and the hankering for clarifications in this field.

The *Survey* has four chapters, plus the “Introduction” and “Conclusion.” In the “Introduction,” with his profound theoretical attainment and intensive research work, Yang starts off with “ethical criticism” as a term of literary criticism by charting the changes of the terms of “ethical criticism,” and diachronically analyzing the relationship between literature and ethics. Yang also talks about the origins of American ethical criticism, of which he traces back to ancient Greece, particularly in regard to the relationship between literature and ethics. Yang’s historical textual study aided by etymological inquiry nails down the cultural, literary and philosophical origins of ethical criticism, ascertains or even justifies the bond between literature and ethics, and validates the theoretical premise of ethical criticism based on the origins and nature of literature. From Yang’s point of view, American ethical criticism originates from the age-old feud between literature and ethics, which, in its turn, can be recovered in ancient Greece as can be witnessed through the different doctrines of Plato and Aristotle. Aristotle’s practical ethics, in stark contrast to Plato’s ethical concepts and practices, laid the theoretical foundation of ethical criticism and paved the way for the development of ethical criticism. From Plato, Aristotle, and even down to Horace, literature and ethics have been endowed with different meanings, functions, and purposes. Though the connections between the two are treated differently, one common point is that ethic judgment is indispensable to the literary value of the literary work. Moral approach predominated in ancient literary theory. It is true that moral approach can’t be taken as ethical criticism, but the two share much affinity. Since ancient Greece and Rome, both orthodox religious literature and secular cavalier literature had depended heavily on moral education for literary works. Yang reasons that the prevalence of moral criticism in fit time triggered the robust growth of ethical criticism since the middle of the nineteenth century. At that time, the concept of “ethical criticism” was loosely and widely applied. But a salient feature of it is that it concerns itself no longer with the singular relationship between literature and morality, and that it shows clear signs of influence from other disciplines such as ethics, philosophy, theology, politics, and so on.

1 See Nie Zhengzhao, “Preface” to *American Ethical Criticism: A Survey* (Wuhan: Central China Normal UP, 2016) 7.

After the diachronic treatment of the metamorphosis of ethical criticism, Yang launches out into ethical criticism in the twentieth century in the first chapter. Despite the long tradition of moral approach to literary criticism and the real emergence of ethical criticism in the nineteenth century, ethical criticism, entering the twentieth century, met with onslaughts from various camps. For one, with the rise-to-the-fore of aestheticism claiming “art for art’s sake” which directs the reader’s attention to form instead of content, ethical criticism which is based on extra-textual moral principles was on wane and lost its luster. For another, the two consecutive turns in western literary study accelerated the exit of ethical criticism into the background. The first turn came when the focus was redirected away from the author toward literary text (e.g., formalism and New Criticism); the second was an adjustment from literary text to reader reception (e.g., reception theory [or reception aesthetics] and reader-response criticism). Either way, the eclipse of ethical criticism testifies the defiance against traditional literary study moulded since the time of Plato and Aristotle upon the template of moral consideration, and reflects radical changes in literary concepts and cognitive methods. The relegation of ethical criticism arrests the apprehension of many philosophers and literary critics in that they fear that moral standards in ethical criticism might take precedence over literary values in the judgment of literary works, and that literary criticism might metamorphose into a type of censorship.¹

The waning situation of ethical criticism, beginning in the late nineteen century, had not changed until the 1980s. At the beginning of Chapter 2, Yang points out that it is in the 1980s that the “ethical turn” took place (32). In fact, Yang put forth this view three year earlier in his article “Ethical Turn in Literary Studies and the Revival of American Ethical Criticism.” He takes *New Literary History*’s pioneering special issue “Literature and/as Moral Philosophy” (1983) and J. Hillis Miller’s *The Ethics of Reading: Kant, de Man, Eliot, Trollope, James, and Benjamin* as evidence of the reviving of ethical criticism.²

1 Yang Gexin, *American Ethical Criticism: A Survey* (Wuhan: Central China Normal University, 2016) 29. Citations from this edition hereafter will be just marked with page numbers.

2 However, one needs to notice that Herbert Grabes thinks that “critical anthologies like *The Moral Turn of Postmodernism* (1996) [ed. Gerhard Hoffmann, Alfred Hornung] or *The Ethics in Literature* (1999) [ed. Andrew Hadfield, Dominic Rainsford, Tim Woods] as well as Andrew Gibson’s *Postmodernity, Ethics and the Novel: From Leavis to Levinas* (1999) document that in the later nineteen-nineties the so-called “ethical turn” had definitely taken place” (Grabes 39). Yet, this notice doesn’t mean that Yang is false; on the contrary he may be sounder as the 1980s really witnessed much writing on ethical criticism, and, in addition, Yang’s list of evidence includes those works published in the 1990s (see Yang *Survey* 38).

In Yang's account, the ethical turn is, in a way, a counterblow towards formalism and New Criticism since the "linguistic turn" and influenced by feminist criticism, postcolonial theory, multiculturalism, gay criticism, etc. Even philosophers such as Martha Nussbaum and Richard Rorty swerved to literary study, while Jacques Derrida and Paul Foucault in their reappraisal of the ethics of deconstruction helped turning the tide. And to complement the picture, the narrative turn came upon the stage. Martha Nussbaum, with her *Love's Knowledge: Essays on Philosophy and Literature*, and Wayne Booth, with his *The Company We Keep: An Ethics of Fiction*, called academia's attention to narrative ethics, and fuelled narrative ethic study. In Yang's reflection, the ethical turn is a historical necessity given the on-flow of different currents of modern thought and the consequential crosscurrents among them. The ethical turn, as was witnessed in 1980s, is more than a revival, a recovery, or a recall of the nineteenth century traditional literary study; it is simply a recapitulation, a replacement, and a re-contextualization, of ethical criticism in literature. Among the most salient and compelling features of this turn, Yang lays emphasis on the restoration of author's subject status, on reader's responsibility, and on the revelation of mores or ethical purpose through formal structures of the text and due weight given to social politics. He argues that the laudable points about this turn are interpersonal, social responsibility and self-correction absent in the earlier period of ethical criticism.

In the rest of Chapter 2, Yang devotes much space to the revival of the ethical criticism. First, he introduces three key figures of the old humanism tradition – F. R. Leavis, Lionel Trilling, and Northrop Frye — to point out their influence and status in the development of ethical criticism, lay bare the problems of the old humanism tradition, and prepare for the rise of neo-humanism ethical criticism (41-42). Then he lists Wayne Booth and Martha Nussbaum as two key figures of neo-humanism ethical criticism. Other contributors to the revival of ethical criticism include J. Hillis Miller, a deconstructionist, and Adam Zachary Newton, "a narratologist to be more exact" (98). Much influenced by Aristotle, Booth seems never to tear himself away from ethics in his writing. His neologism "conduction," revolutionary concept of "implied author," and acknowledgement of pluralism in ethical creation make up much of contemporary ethical criticism. Nussbaum is also much influenced by Aristotle. But she is more a philosopher than a rhetorician, basing her concepts of ethical criticism on moral philosophy (65). Although she marries literature to philosophy, and criticizes such sort ethical criticism that separates literature from philosophy, Nussbaum thinks that literature is never superior to philosophy (71), and maintains that "the values that are constitutive of

a good human life are plural and incommensurable” (71). “For Nussbaum, with the help of literature, one might be better able to be engaged in life and practice more ethically” (Yang “The Revival” 21).

While Booth and Nussbaum are the representatives of neo-humanism ethical criticism, J. Hillis Miller and Adam Zachary Newton are the representatives of deconstructionism ethical criticism. Miller’s ethics of reading, which is based on Kantian ethics, is deeply concerned with the “ethical moment” in the act of reading. He thinks that this “ethical moment” is “necessary,” and that it is “neither cognitive, nor political, nor social, nor interpersonal, but properly and independently ethical” (88). However, Miller’s ethical criticism goes beyond Kant’s for he thinks that the key elements of ethical criticism are “language theory, narrative theory, and a theory of personification” (89).

Newton, as mentioned above, is more a narratologist than a deconstructionist. In his *Narrative Ethics*, Newton makes the distinction between “between moral propositionality or the realm of the ‘Said’ and ethical performance, the domain of ‘Saying’” (99). He argues narrative is ethics by pointing out that “Narrators, listeners, and witnesses assume the responsibilities of ethical relation.... Fiction does not demarcate art from life” (100). The focus of his ethical criticism is on how and why we respond to different ethical voices. “My proposal of a narrative ethics implies simply narrative as ethics,” he says, “the ethical consequences of narrating a story and fictionalizing person, and the reciprocal claims binding teller, listener, witness, and reader in that process” (100). On the basis of Booth’s and Louise Rosenblatt’s theories, he develops a transactive theory of reading where texts shape reader and reader shapes text. “Each text, finally, analogizes aesthetic looking and human relation, showing the close relation between aesthetic perception and an ethics of Saying and Said” (101).

If Chapter 1 and Chapter 2 are a lucid narrative of the evolution of, and different schools or types of, American ethical criticism, then Chapter 3 and Chapter 4 constitute an analysis of them. In Chapter 2 Yang argues that the different types of American ethical criticism form a dialogue and debates among themselves in the form of autonomism vs anti-autonomism, cognitivism vs anti-cognitivism, consequentialism vs anti-consequentialism. Yang lists some of the participants in the dialogue or debates: Richard Posner as radical against ethical criticism, and Nussbaum and Booth as defenders. Yang finally points out the nature of the debates, arguing that the participants’ differences are not literary but political (148, 150, 153), and that as both sides stick fast to their political views, each will not give up to the other. However, the debates will not hinder the development of

American ethical criticism; on the contrary, they will draw more attention to ethical criticism from critics both American and foreign, which is evidenced by much more publications in the 21st century.

To be more exact, Chapter 4 is a chapter on the Chinese-contextualized American ethical criticism. As the title indicates, American ethical criticism is reconstructed and improved in the Chinese context.

Before the 1980s when there was an ethical turn in the United States, critics in China paid little attention to American ethical criticism (154), and few had published articles on ethical criticism, let alone monograph. However, entering the new century, there came a boom of ethical criticism in China. The boom is believed to be triggered off by Nie Zhenzhao (158), “the founder of ethical literary criticism in Eastern academy” (Yang “The Revival” 25), when he delivered his influential keynote address entitled “Ethical Approach to Literary Studies: A New Perspective” at the academic conference held in Jiangxi Normal University in 2004, with the influential concept of “ethical literary criticism.” The speech was published in the same year in *Foreign Literature Studies*. According to Shang Biwu, Nie’s “ethical literary criticism” is “different both from traditional Chinese moral criticism and from its Western counterparts” (qtd. in Yang “The Revival” 25). Since then Nie has published a series of articles illustrating his “ethical literary criticism,” which are crystallized into his monograph *Introduction to Ethical Literary Criticism* published in 2014. In Yang’s reading, Nie distinguishes three pairs of relationships: first, the relationship between ethical criticism and ethics; second, the relationship between ethical criticism and moral criticism; and third, the relationship between ethical criticism and aesthetics (163). In a sense, this monograph of his is one piece of evidence of the contextualization of American ethical criticism in China which sets in motion the search, sorting, founding and systematization of a series of theoretical frameworks, concepts and terms. In Yang’s view, the contextualization of ethical criticism in China is a reconstruction and improvement of American ethical criticism whether in terms of theory or method (172).

In the “Conclusion,” Yang, reviewing the existing ethical criticism, suggests that we need to make further distinction between the nature of “ethics” in ethical criticism and the nature of “ethics” and “morals” in ethics, develop a proper relationship between the limitedness of ethical criticism and the non-limitedness of textual interpretation, and improve the definition and use of basic terms of ethical criticism. (173-77). At the same time, bearing the Chinese context in mind, and seeing that any theory or method of criticism must work through ups and downs, Yang proposes that ethical criticism should first keep criticism practice-oriented

and further construct paradigms for interpreting different texts in ethical literary criticism, second, strive for a multiple criticism by combining other types of criticism, and third, adopt an interdisciplinary perspective (178-80).

The Chinese boom of ethical criticism was triggered off more than a decade ago. To fuel it means to redouble efforts. As one of such attempts, Yang's *American Ethical Criticism* is the first torch shining brightly for the Chinese readers who are in the dark labyrinth of their investigations of ethical criticism.

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表意的儿童：评《被窃的儿童：1851–2000 年间美国文学中的美国身份和童年表征》

The Signifying Child: A Review of *The Purloined Child: American Identity and Representations of Childhood in American Literature 1851-2000*

楼育萍 (Lou Yuping) 黎会华 (Li Huihua)

内容摘要：《被窃的儿童：1851-2000 年间美国文学中的美国身份和童年表征》是波兰学者索菲娅·科尔巴思夫丝卡研究美国文学的专著。该书紧跟当下童年研究的热潮，从文学中的儿童人物出发探讨了美国文学中的美国身份和童年表征。科尔巴思夫丝卡认为美国的身份叙事离不开童年表述；每当国家陷入文化危机或处于文化转折关头，文学中的儿童人物就会凸显。她认为美国文学中的儿童在巩固美国天真、纯洁和平等的国家叙事的同时把美国身份中那个黑暗的自我给暴露了出来。

关键词：儿童；美国身份；国家叙事；童年表征

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Title: *The Signifying Child: A Review of The Purloined Child: American Identity and Representations of Childhood in American Literature 1851-2000*

Abstract: *The Purloined Child: American Identity and Representations of Childhood in American Literature 1851-2000* is a scholarly work on American literature written by Polish scholar Zofia Kolbuszewska. Following the trend of childhood studies, the book explores American identity and childhood representations from child figures in American literary texts. Kolbuszewska's argument is that the narratives of American identity are closely related to childhood representations in literature. When the nation is in cultural crisis or at the critical moment of cultural change, literary child characters will come into prominence. She holds that the fictional child not only serves to confirm American national narratives of innocence, purity and equality, but also brings out the dark double of American identity.

Key words: child; American identity; national narrative; childhood representation

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童年作为人生一个神秘而又奇特的阶段一直受到作家们青睐，古今中外关于童年的书写数不胜数，以儿童为主人公的作品更是不胜枚举。不少知名作家如狄更斯和马克·吐温，他们笔下的儿童早已是读者耳熟能详的人物。文学中的儿童形象各异，有的天真无邪，有的邪恶堕落，有的忧虑早熟，有的能干果敢。儿童多变的形象与儿童的社会地位休戚相关，更与人们对童年这一概念的理解紧密相连。近年来，随着童年研究的兴起，文学中的儿童人物和童年表征被重新发现，儿童与文化之间的关系也被进一步挖掘。波兰学者索菲娅·科尔巴思夫丝卡的《被窃的儿童：1851-2000年间美国文学中的美国身份和童年表征》正是这样一部作品。立足于菲利普·阿利耶斯关于童年是社会文化历史建构的观点，作者坚信儿童及其特性是成人的创造物，是成人欲望的投射。通过分析美国近150年间多部作品中的儿童人物，她认为文学中的儿童形象是美国文化危机和社会发生重大变化的晴雨表。美国的国家身份叙事离不开童年表述，美国文学中的儿童一方面巩固了美国关于天真、纯洁和平等的国家叙事，另一方面又把美国身份中那个受压制的自我给暴露了出来。

作为能指的儿童与美国身份

文学中的儿童人物与文化危机的关联是科尔巴思夫丝卡此著作的立论基础，这使儿童具有符号学上的意义，成为表意实践中一个不稳定的能指，这个不稳定的能指对美国身份的形成起到了举足轻重的作用。

作者首先分析了霍桑《红字》中的儿童人物与美国身份之间的关系。在这部描写清教徒历史的小说中，霍桑把女童珠儿和字母A联系在一起，珠儿成为一个有生命的符号。霍桑把儿童与文本交叉重叠的做法在作者看来是极具深意的，这种重叠提出了创伤过往是否塑造了美国身份，以及利用这种文学形式进行身份传播是否可以恰如其分地体现美国独特处境的问题。她认为，儿童和字母之间的关联把霍桑与殖民时期的美国以及当时新兴的一种传播方式联系在一起。刚建立的共和国需要大量具有读写能力的公民，随着印刷技术的进步，这已成为可能。他们通过字母教育 (alphabetization) 给美国儿童提供基础的读写练习，从而使儿童适应社会，并在这个过程中，把儿童、文字和新共和国都纳入了身份制造的网络。

珠儿是字母教育的产物，由于母亲胸前佩戴红字，她在说话之前就能认

识该字。但珠儿并不是一个字母教育所能规训的孩子，相反，她是母亲内心困境的化身，是母亲激情与堕落的体现，同时也预示着惩罚和救赎。字母 A 意义含混，它与珠儿二合为一更增加了表意的不确定性。共和国意图借助字母教育培养未来公民，但这个计划有可能被海斯特这样的母亲破坏。海斯特偷走孩子，进而窃走了这个字母的含义。正是借助《红字》中被窃的孩子这一比喻，霍桑把萌芽的美国身份和当时的历史危机联系在一起。

科尔巴思夫丝卡认为儿童人物是文化危机的一个文学表征，在危机或文化转折关头，他们就会异军突起，“撬开文化矛盾，显现文化困惑，挖掘出压制性的力量” (22)，他们像是一块屏幕等着文化欲望的投射。儿童人物虽是文化想象的结果，但也能颠覆这种想象。美国文学中的儿童人物参与了美国的国家叙事，是国家叙事的产物，但他们同时质疑了叙事的统一性和一致性。作者认为美国文学中的儿童就像是拉康所分析的被窃的信一样，成为一种能指符号，它的移置对美国主体的生成产生了重要影响。

儿童与美国式纯真

儿童人物参与了美国式纯真的构建，纯真是美国身份不可或缺的一部分。由于美国“山中之城”的信仰，一直以来美国文学中关于纯真和反纯真的叙事就长盛不衰。被赋予纯真特质的儿童自然而然参与了此叙事。美国文学中充斥各式各样的儿童形象，这些或天真无邪或邪恶狡诈的儿童体现了美国文学对美国纯真神话的书写和反书写。通过对文学作品中各类儿童形象的分析，作者表明不同历史时期作家笔下的儿童形象各不相同：浪漫主义以来，卢梭式完美纯真的儿童备受作家青睐；而在 20 世纪之初至 20 世纪中期，儿童在文学作品中逐渐丧失纯真；但在后现代小说中，浪漫主义的儿童形象又重新崛起。

19 世纪末以降美国文学中有很多关于儿童丧失纯真的书写。在“童贞被盜、‘无懈可击’和地下墓穴：《螺丝在拧紧》和《被诅咒的比莱庄园居民》中的儿童、鬼魂和时空体”这一章节，科尔巴思夫丝卡借助于巴赫金的时空体理论，对亨利·詹姆斯和乔伊斯·卡洛·欧茨的作品进行了互文分析，揭示了儿童观的变化及其隐含的文化焦虑。作者认为詹姆斯的小说质疑了天真无邪的孩子在世纪之交被腐蚀的观点，而欧茨的短篇故事更是直接批判了维多利亚时期的儿童观。作者把故事中的比莱庄园看成是一个“禁地”，指涉了妇女和儿童边缘的社会地位以及他们被父权制压抑的欲望。在詹姆斯作品中，新女教师低微的社会身份和自小缺乏父爱的家庭环境，令她渴慕庄园主人，进而把自己欲望投射到孩子身上。孩子们的邪恶、丑陋和堕落正是她内心欲望被压抑的体现。不同于詹姆斯，欧茨在其故事中把前任女教师和男仆对孩子的诱奸明晰化，借助两人的鬼魂叙事审视了他们虐童的心理和社会动机。维多利亚的社会礼仪扭曲了人际关系，而伯伯对孩子的漠不关心、冷酷无情

造成了他们爱的缺失和渴望，促使他们把情感投射到男仆和女教师身上。与其说成人诱奸了孩子，不如说是孩子引诱了成人。通过对两部作品的互文分析，作者认为儿童的童真只是成人欲望的投射，是压制身体和性欲的结果。

儿童远离纯真并与性欲关联的形象在 20 世纪中期的作品中变得更为常见。纳博科夫笔下的洛丽塔就是一个失去纯真和被性化的孩子。在“让（受毁的）童年阿卡迪亚永存：美国郊区生活和打乱的家庭生活叙事”中，作者分析了雪莉·杰克逊的哥特故事和纳博科夫《洛丽塔》中的儿童形象。在两位作家笔下，天真无邪的儿童不复存在，取而代之的是阴险暴力、富有心计与充满性欲的儿童。作者认为对儿童纯真的剥夺解构了建立在纯真童年基础上的美国郊区家庭的理想生活，揭示了其内部矛盾，表现了一种焦虑。杰克逊笔下的儿童改变了中产阶级核心家庭的结构，颠覆了家庭秩序，放弃了与资本主义事业不断进取的同谋关系。纳博科夫则刻画了一个永恒的童年阿卡迪亚，但赋予儿童性欲的作法把儿童从美国田园家庭生活中移出，令其成为一个漂浮的能指，他在摧毁郊区家庭生活理想的同时，质疑了美国神话的一成不变。

与上述丑化儿童的作品不同，后现代小说又重新给儿童镶上浪漫光环。儿童的纯真、接近真理的能力、救赎者的角色以及成人与儿童之间的关系在约瑟夫·海勒、唐·德里罗、托马斯·品钦的作品中都有不同程度的体现。通过分析三位作家的作品《出事了》、《白噪音》和《梅森和迪克逊》，科尔巴思夫丝卡探讨了浪漫主义儿童这一形象对小说情节构建的意义，指出儿童成为一个隐喻，驱动了叙事的欲望。如在海勒的《出事了》中，故事情节围绕内在的孩子 (inner child) 这个隐喻展开。每个成人的心中都有个孩子，内在的孩子是成人真正的自我。小说中，主人公斯洛克姆最喜欢的残疾儿子是他内在孩子的化身，孩子的残疾意味着自我的脆弱。可当这个脆弱的自我威胁到他的职业追求，成为他融进美国社会的障碍时，他毁灭了它。除去内心的异质声音后，他重获对生活和外部世界的掌控，认同了企业美国的身份。

纵观 19 至 20 世纪不同阶段的文学，儿童形象呈现两极化。这种纯真和反纯真的交替书写，揭示了美国对纯真持有的复杂态度。批评家埃默里·埃利奥特对此有言，“美国多次丧失纯真，只是为了重新找回纯真”（13），纯真一直是美国身份的一部分。

儿童与美国的性别、种族身份

美国的国家身份复杂多维，除了上述提到一如既往的美国式纯真外，美国还有极具代表性的性别和种族身份。文学中的儿童人物也参与了美国性别和种族身份的构建，儿童的身体成为了美国性别和种族身份的建构和解构之所。作者分析了一系列作品中的死婴、被绑架和被谋害的儿童、有色儿童等形象来说明美国民主、自由、平等的国家叙事中被压抑的美国身份。

在“家中有鬼：夏洛特·伯金斯·吉尔曼、玛丽·威尔金斯·弗里曼和艾伦·格拉斯哥故事中的死孩子”一章中，作者着重分析了三位作家四个短篇故事里的“死孩子”这一形象，探究了看似无足轻重的人物在文本表意中发挥的重要功能，表明三位作家都借助死孩子这一形象来揭露女性在家庭中被压迫的状况。《巨藤》描写了在一个种了巨大紫藤的哥特式房屋内发现了一对母子尸骨的故事，从而把 100 多年前清教徒父亲对女儿的迫害暴露在阳光下。女儿非婚生子，父亲决定将其带回英国许配表哥以遮家丑，但女儿拒绝服从，结果落得母子两命的下场。作者借助阿甘本关于幼年与历史关系的观点，阐述了自然（紫藤）对历史（死婴）的错置。弗里曼和格拉斯哥两人则刻画了鬼孩子这一人物，前者表达了对传统女性身份和母职的质疑，后者则揭露了父权社会借助医学为代表的科学对女性进行剥削和迫害的事实。三位女作家都借助哥特式写作触及了美国家庭的内部冲突，揭露了 19 世纪末期父权制的美国对女性和儿童的压迫。

在分析美国的性别身份的同时，作者还着重探究了美国的种族身份。在“儿童、镜像和冒充；凯特·肖邦《德茜蕾的孩子》和马克·吐温《傻瓜威尔逊》中‘荧光白’¹的困惑和作为表演的‘种族’”这一章节，作者分析了凯特·肖邦的短篇故事和马克·吐温小说中混血儿的形象，触及了种族认识论的问题，揭露了种族成为一种形而上的颜色范畴后，它不可见的运作原则。两个故事中的儿童人物都揭示了这种形而上的分类只是由表演维持的一种社会建构，同时表达了对立足于此分类的法律（奴隶制）和习俗（黑人低劣）的一种困惑。一个新生的婴儿就能使这种小心防卫的种族制度瓦解。

两个文本的主人公都涉及了种族“冒充”，由于当事人对自己的混血身份毫不知情，这种冒充是一种无意识行为。在肖邦的故事中，南方种植园主阿尔芒的妻子德茜蕾生了个肤色浅黑的孩子，因为夫妇皆是白人，这令人震惊。德茜蕾曾是流浪女的身份自然而然使她成为怀疑对象。受不了丈夫的冷暴力，她带着孩子消失在长沼湖。然而故事的反转在于，在处理妻子的物品中，阿尔芒发现了他母亲写给父亲的信，里面揭露了母亲的混血身份以及他才是混血种的事实。同样，在马克·吐温的故事中，女仆实施的一场调婴阴谋使奴隶汤姆与主人钱伯斯的身份进行了互换。拥有三十二分之一黑人血统的汤姆继承了白人主人的头衔和财产，白人主人的儿子钱伯斯却按奴隶的方式养育成人。作者借助拉康的镜像理论分析了这些混血儿认同白人身份的过程，同时又借用盖茨的意指理论，分析了混血儿母亲让自己孩子认同白人身份的意指行为。这两个故事表明了白人可能拥有黑人血统，种族差异只是一种表演，黑白之间并无本质区别。故事中，混血儿童的身体成了 19 世纪末各种偏见、

1 “荧光白 (optic white)”这个词出自于拉尔夫·埃里森的小说《看不见的人》。小说中提到一种“荧光白”的白色油漆，它的制作需加黑色材料才能完成。这里用它来指涉那些冒充白人的黑人混血儿，也喻指黑人在白人身份形成中不可或缺的作用。

信仰和法律制度争论的场所，正是这些因素或隐或显地把美国定义成为一个白人国家。

白人美国在 20 世纪中后期受到了挑战，受民权运动和外来移民的影响，美国的国家身份发生了改变，白人美国正在被多种族的美国所取代。尽管一直以来美国朝着种族平等的方向努力，但是奴隶制的残毒和种族主义的幽灵尚在美国社会中徘徊。种族平等、种族融合、真正民主仍是乌托邦式的幻想。作者在“不存在的小男孩，恶魔儿童，儿童绑架：托马斯·品钦、托妮·莫里森和托妮·凯德·班巴拉笔下的暗恐、卑贱和废物话语”一章中详细分析了这种状况。品钦的短篇小说《秘密融合》描写了三个叛逆期的男孩在一对黑人夫妇搬进白人社区后突然发现的种族秘密：美国社会的权力分布立足于种族仇恨，美国人的身份认同依赖于对种族、族裔他者的一种排斥。他们试图与成人社会对抗，于是虚构了一个黑人小孩卡尔加入他们的秘密组织，但是这个虚构的黑人男孩最终被白人儿童驱逐，这种驱逐意味着白人儿童自我认同中对他者的抛弃。作者还详细分析了托妮·凯德·班巴拉作品《那不是我孩子的尸骨》中被白人极端主义者杀害的 28 个孩子的尸体，通过对那些无法辨认尸体的客观描述，以及白人警察和法医对孩子尸骨胡乱随意的处理，来揭示对于黑人家庭而言是无价之宝的黑人孩子，却成了白人文化的垃圾。但正是通过对孩子尸体的描写，班巴拉把原本处在边缘的黑人中心化，从而把美国种族的紧张关系显现出来。尽管对于黑人而言真正平等尚未实现，但借助动态垃圾理论，作者相信这些被抛弃的黑人小孩总有一天会转换成有价值的东西，因为废物还是珍宝取决于社会的判断。

通过对 1851-2000 年间美国文学中儿童人物的分析，作者揭示了美国一个半世纪以来的性别和种族身份以及这些身份的嬗变过程，即美国如何从一个父权制的白人国家变成为男女平等、多种族融合的国家。

在科尔巴思夫丝卡笔下，儿童和童年成为了解美国身份的一个窗口。借助美国文学中的儿童人物和童年表述，我们看到了美国身份形成过程中各种涌动的暗流以及持续生成的美国身份。作者认为美国文学中的儿童一方面参与了美国关于纯真、平等、民主的国家叙事，但另一方面也暗含了许多反叙事。科尔巴思夫丝卡的论著主要围绕美国式纯真以及性别、种族、阶级身份展开，揭示了儿童在美国主体构建中的作用；从儿童视角探讨主体性正是本书的一大特色。此外，颇值得一提的是本书的每一章节都可独立成篇，每一篇都是理论和文本分析结合的典范。作者借助欧美诸多炙手可热的理论家的观点，如阿甘本的语言哲学思想、吉拉尔的欲望模仿理论等，让不同学科的思想在文学中交汇，碰撞出新的火花。本书拓宽了美国文学的研究路径，给文学研究提供了一个新方向。

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