

**A FUNCTIONAL APPROACH  
TO ENGLISH LITERARY DISCOURSE**

A dissertation presented by

**Shigeo Kikuchi**

Hiroshima University  
Hiroshima  
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## ABSTRACT

This dissertation takes a functional view of language and applies its perspective to literary discourse, both poetry and prose. Following the performative hypothesis by Ross (1970), which argues that a declarative sentence consists of the performative part and the proposition, I assume that a literary discourse also has these two parts: the performative level which consists of the author–reader level (speech act of narration) and the textual proposition. First, I argue that the propositional text is made of what I term ‘discourse theme’, ‘discourse rheme’ and ‘the mediating function’, which transforms the first into the second one in a communicative dynamic way. The propositional content of this variety of discourse is best viewed in terms of the extended Halliday’s concept of the ‘text-forming’ functional-semantic component based on the Functional Sentence Perspective (FSP) of the Prague School linguists—the concepts of theme, rheme, transition, and Communicative Dynamism —, or, what I term ‘discourse theme’, ‘discourse rheme’ and ‘the mediating function’. Secondly, as for the aspect of the message form, there also are manifested the authorial voice in the formation of the text. The coherence scope of Jakobson’s (1960: 358) ‘equivalence’ in the micro-structural arrangements of verbal elements in a literary text, whether sound or sense, sentence or episode, depends upon this aspect of the performative framework. Thirdly, in the performative level, the authorial viewpoint is reflected. The literary texts discussed range from a short poem to a long prose work like that of Kazuo Ishiguro. Occasional examples from other English literature are also included.

## ACKNOWLEDGEMENT

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**PART ONE**  
**GENERAL FRAMEWORK**

## Chapter 1: INTRODUCTION

### 1.1 INTRODUCTION TO THE PROBLEM

The importance of the functional view of literary style features has already been suggested by some leading stylistics scholars.

Early in the 20th century, in his *La language et la vie*, Charles Bally outlined what areas 'stylistics' covers, saying:

En résumé: la stylistique d'une langue doit opérer sur une période bien déterminée de son évolution, en s'interdisant de chercher des matériaux ou des preuves dans les périodes antérieures ou subséquentes; elle doit s'attacher à toutes les manifestations de la vie linguistique de l'idiome (vocabulaire, syntaxe, sons, etc.), en prenant pour base le langage spontané, naturel, parlé, émanation de la vie réelle;...

(In short: the stylistics of a language must deal with one well defined period of its evolution, avoiding seeking materials or evidence in the time before or after the period; it must examine all the manifestations of the linguistic life of the language (vocabulary, syntax, sounds, etc), by taking for its base spontaneous, natural, spoken language, the emanation of the real life...)

(Bally 1935: 109)

In Japan, in 1938, Tadao Yamamoto suggested the same linguistic items as above to be dealt with in stylistics in his *Buntairon Kenkyu* [Studies in Stylistics], saying that one stylistic factor of a writer could be realized in various grammatical aspects of his language (Yamamoto 1938: 69); and in 1940 he expressly showed the same areas to be studied in his *Buntairon* [Stylistics], arguing that

The linguistic method to study style is stylistics... What stylistics deals with coextends with what linguistics covers; that is, stylistics also covers phonetic shapes and all semantic matters, not only a small grammatical area. What makes stylistics different from grammar is only its method, not the area it deals with.

(Yamamoto 1940: 41–42)

In 1981, in his *Eigo-no Style* [Style in English] Masanori Toyota emphasized the necessity of stylistic studies to cover the same field as Bally proposed.

Yamamoto (1938: 103), emphasizing the importance of studying all these levels of language in the study of stylistics, further suggested the necessity of discussing these linguistic levels in relation with Bühler's (1965) four functional elements (addresser, addressee, message, context), a functional view which discourse analysis later includes in its scope of language study. Yamamoto's suggestion foreran the functional study of stylistics in Japan.

In this dissertation, I also take this functional approach to English literary discourse within the framework of Ross's (1970) performative hypothesis.

### **Background of the Study**

In the years of philology, language and literature were not yet separate. With the beginning of the 20th century, these two fields were separated with the development of 'scientific approaches of modern linguistics'. On the other hand, in recent years, we witnessed the re-amalgamation of language studies and literary studies. Scholars have explored the role of various discourse elements in the various contexts like classroom discourse, telephone conversation, advertisements, and literature. It is generally acknowledged that each of these texts in actual contexts has different discourse features; however, the issue of what and how literary discourse communicates and

how literary communication is different from spontaneous exchange has never been fully explored.

### **Statement of the Problem**

What is needed now is a new approach to the old problem: what is conveyed by literature and how? Most of the linguistic approaches so far have concentrated on the collection of surface 'unique' verbal features in a literary text. Others have focused their attention on an environment in which literary language is used (register) just as they did to study telephone conversation, classroom exchanges, and the language used in the register called 'literature' has been thought to have nothing different from other ordinary uses of language. While the previous research on the language of literature is often stimulating and comprehensive in their collection of unique literary usages, it is clear that this research does not pay attention to the literature-specific functional framework in which these collected usages are used. The problem lies with their lack of insight into the function of literary communication which is carried out between the author and the reader.

### **Purpose of the Study**

In this dissertation, I propose a method of analyzing several aspects of the framework of literary communicative function based on the theoretical postulate of performative framework.

### **Significance of the Study**

This research contributes in a significant way to the overall understanding of three aspects of literary discourse within the framework of Ross's performative hypothesis.

The first area consists of identifying the thematic and the rhematic elements that work in literary language as well as in natural discourse. The author, by interpreting the world around him or her in the fictional text in a way more favourable to the author, finds himself or herself better adjusted in the reality. I. A. Richards' concept of catharsis (Richards 1926: 113, 245), or the purging of these emotions, is related with this function of literary thematization.

The second area is placing the message-form, which Jakobson (1960) particularly emphasized in his analyses of poetic texts, within Ross's performative framework.

The third area where this research will contribute is to help replace arguments on 'viewpoints', author's or narrator's, within Ross's framework.

### **Research Questions**

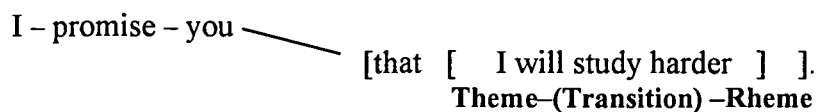
Following the above three aspects of literary communication, there will be three research questions:

- (1) What are the regularities of the linear development of the main content of a literary text?

- (2) How unique are linguistic forms and functions in literature from the functional standpoint?
- (3) How do the viewpoints of discourse participants work in the multi-facetedness of literary discourse.

## Hypothesis

The issue that needs to be resolved is whether literary language has a unique function of its own. For this purpose I will employ the concepts of Performative Hypothesis proposed in Ross (1970) and Halliday's (1967) text-forming function <sup>1</sup> which organizes the utterance communicative-dynamic way. <sup>2</sup> The former performative analysis could be outlined as in the following:



*Figure 1*  
 Performative framework of a sentence

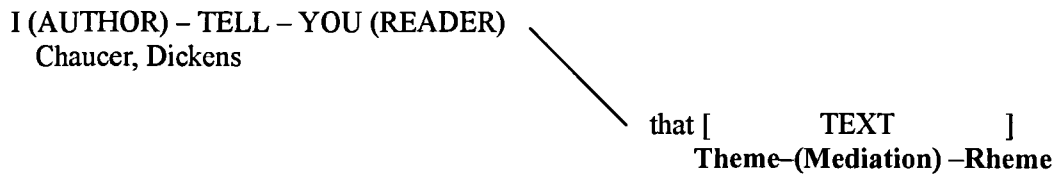
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[1] According to Fowler (1996: 31), Halliday's text-forming function is defined as follows:  
 According to Halliday's linguistic theory, language has three functions... He calls these the textual, the interpersonal, and the ideational (or 'experiential').  
 Brown & Yule (1983: 127) defines it as follows:  
 The theme, then, is what speakers / writers use as what Halliday calls a 'point of departure' (1967: 212). In many cases (often considered to be the unmarked or neutral cases) the theme of declarative sentences will be a noun phrase (the grammatical subject),...

[2] See Firbas (1975). Crystal (1997 : 73-74) defines Communicative Dynamism as follows:  
 Communicative dynamism (or CD) is a fundamental concept of the modern PRAGUE SCHOOL theory of LINGUISTICS (cf. FUNCTIONAL SENTENCE PERSPECTIVE), whereby an UTTERANCE is seen as a process of gradually unfolding MEANING, each part of the utterance contributing variously ('dynamically') to the total communicative effect. Some parts of an utterance will contribute little to the meaning, because they reflect only what has already been communicated: these 'thematic' aspects would be considered to have the lowest degree of CD. By contrast, 'rhematic' aspects have the highest degree of CD, containing new information which advances the communicative process.



This approach sheds light on the fact that literary discourse is after all a communicative event between author (addresser) and reader (addressee). The functionalist view clarifies the fact that a whole literary text is like one propositional clause in which the ‘sequence of elements in the clause tends to represent thematic ordering’ (Halliday 1967: 205), which could be represented as follows:



*Figure 2*  
Performative framework of a literary text

Based on these assumptions, this study is specially aimed at exploring a unique zone of ‘mediation’ that combines the theme and rheme at the literary discourse level, an equivalent of what Prague linguists call ‘transition’ (Firbas 1992: 70–73, 89–93).<sup>3</sup> I will argue that a literary text is basically a composite of three discourse constituents I label ‘discourse theme’, ‘discourse rheme’, and ‘mediating function’. The first two are, at the clausal level, analogous to the ideas of theme and rheme. The third links these two in a mediating section (what anthropologists call the ‘liminal zone’)<sup>4</sup> where the

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[3] ‘Transition’, according to Firbas (1992: 70–72), is:

Whereas the notional component of the verb shows a strong tendency to serve as mediator or transition between two types of elements, the categorical exponents of the verb do so invariably. They do so especially through the indications of tense and mood...

The categorical exponents of the verb conveys systemic information like person, number, tense, etc.).

[4] ‘The betwixt and between area of liminality’ (Leach 1982: 158) is the interface between human and spiritual beings, through which the attributes of one world are inverted in the other world. And one who is able to cross from one world to the other, or ‘the mediating hero’ (Leach 1973: 52), is given both attributes. According to Leach, the mediating hero is, ‘in all religious systems, a being of the middle zone’, just as Jesus Christ and John the Baptist. Their roles are reversed in the Bible, argues Leach. For example, ‘Jesus starts out as a being of this world; he belongs initially to the city not the desert; his royal status is emphasized from the

‘mediating function’ that transforms the discourse theme into the discourse rheme. In mathematics, figures that share the same descriptive name must have the same shape, but do not have to be of the same size. Just as similar figures are identical in shape, but not in size, so the literary discourse that has the tripartite structure is an enlargement of the sentence. The lengths of discourse increase many times, but the relation of the linguistic units remains similar.

I need to clarify the author-centeredness I take in this thesis. If we follow the diagram of Jakobson (1960), Hymes (1968), and Cook (1989, 1994), communication consists of the following seven macro-components: addresser, addressee, message form, topic, channel, code, and setting. It is as natural to focus on addressee when discussing communication as an addresser. Following the rise of post-structuralism as advanced by Barthes’ (1988b), among others, first message and then addressee have been the center of discussions. In natural discourse, the role of the addressee in the interaction between speaker and listener has been emphasized. However, in the discussion of functional components in an utterance (that is, information structure of a sentence), no reference has been made concerning the addressee’s participation in the communication except for the consideration for the addressee on the addresser’s side (like the addresser’s placing the informationally given element at the head of the utterance, etc.). In this dissertation I examine only this side of information structure of a text.

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start but he becomes filled with the Holy Ghost only when he is baptized by John; he then immediately goes out into the wilderness, but when he does so he is in communication not with God but with Satan; nevertheless Jesus ends up as a being of the Other World. John is a prophet, a spokesman of God, who becomes a murdered king; Jesus is a king who becomes a murdered prophet’ (Leach 1973: 54–55). They both mediate between this world and the other world. These reversal uses of attributes in someone / something of the middle zone are the same devices as a graphological inversion in Poe’s ‘The Haunted Palace’, for example: III-2 (Wanderers...) *saw* – (III-8 (The ruler of the realm) *was seen*) – IV-2 (...glowing) *Was* (the fair palace-door)...<sub>6</sub> (whose sweet duty) *Was* (but to sing,);

As for the author / implied author, throughout this thesis my concern is only with author as addresser. Actually it is not necessary to distinguish between author and implied author because of the following reason. As for the difference of ‘author’ and ‘implied author’ (Booth 1961: 71–76), Leech & Short (2007: 210) argue as follows:

‘We usually do not know the opinion of the real author except by inference from what he writes; and there will often be no practical need for us to distinguish between the reader and the implied reader because we, as readers, happen to have the requisite knowledge, beliefs and preconceptions. Because of this, and for terminological ease, we refer normally to *author* and *reader*. But it should always be borne in mind that *author* means *implied author* and *reader* means *implied reader*.’

(original italics)<sup>5</sup>

A second reason why I use addresser or author and avoid the use of implied author is that this dissertation attempts to access the addresser’s, or author’s, speech intention as theoretically constructed on the basis of the ‘discourse theme–mediatio–discourse rheme structure’, and referring to the real author’s information obtainable from the text and his or her actual life. The author is not accessible only through the text as Leech & Short (2007) argue. As in the case of Shakespeare, if there is less information concerning the actual author, I discuss him as more implied in his text. If there is more information about the author obtainable as in the case of Ishiguro, I discuss him as less implied. So there is a scale of ‘impliedness’ about any author. There is no clear-cut distinction between author and implied author. My approach in this dissertation shows that an author’s actual life and his or her historical background are also essential for constructing a hypothetical author’s mind as reflected in the functional structure of discourse-theme, discourse rheme and mediation.

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[5] If we place more emphasis on the reader’s position, the ‘author’ is called an inferred author. The figure the reader infers from the evidence to be the author is the inferred author.

## **Definition of Terms**

**Message-internal Context:** The fictional world the text creates. This fictional text-world will be discussed within the context of the message-external, social, or speech-act approaches to literary discourse. The ‘macro-structural’ approaches deal only with this world without considering the performative level of discourse or the structure of the fictional world as placed within the communicative framework. In this dissertation, I assume that this part is thematized.

**Message-external Context:** The real world outside the text. The message-external context surrounds the text. This is the concept that should be separated from the concept of the message-internal world the text creates. This is where the role of author–reader is expected. This is discussed in the two sections of the thesis.

**Message form:** One of the seven communicative elements in Jakobson (1960: 357), Hymes (1968: 117), and Cook (1989: 24–26, 1994: 37–40). In this dissertation, two sections are allocated for the discussion of message form in literary discourse.

**Discourse theme:** Discourse theme can be defined as representing what the literary text is about at the author – reader level. Its default position is text-initial, but it can appear later in the text depending on the author’s style. Also in a literary text, information moves through communicative-dynamically. In

communicative dynamism, the rheme of a sentence was thought to have the greatest significance, while the theme, the lowest.<sup>6</sup>

**Discourse rheme:** Discourse rheme refers to the author's comments about the discourse theme at the author–reader level. Discourse rheme is significant in terms of its semantic burden for the addresser. In discourse rheme, the author provides a psychological solution to the problem presented in discourse theme.

**Mediation:** Mediation is a function unique to a fictional text, which mediates and transforms the author's psychological burden presented in the discourse theme into something less troublesome, or more favourable, in the discourse rheme. In literature, this liquidation progresses in the disguise of literary fiction. This concept of mediation is the same as what some anthropologists call 'a liminal zone'. Mediation is also an equivalent concept to Firbas's (1992: 70–73, 89–93) 'transition'. His transitional elements are a kind of bridge between theme and rheme in the Prague linguists' concept 'Functional Sentence Perspective' (Vachek 1972, Daneš 1974, Mathesius 1975, Firbas 1992).

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[6] In the concept of Communicative Dynamism, the speaker-oriented theme-rheme structure and the listener-oriented information structure were not separated. Halliday (1967) separated the two concepts. In this dissertation, I argue the former structure.

## 1.2 OVERVIEW

Chapter 2 reviews past approaches to literary discourse and discusses how these approaches have failed to see the unique function of literary discourse. In this Chapter, on the basis of assumption that literary discourse is composed of three layers, I will review representative theories (See Figure 4 in 2.3, Chapter 2). The three layers of literary discourse are: what is equivalent of Ross's performative clause (the message-external context), a top layer of this communicative event (author — reader level); a propositional text (the message-internal context, or a story world); and the text itself (the message form). I also assume that these three layers correspond to the three categories respectively, (A) style based on the message form, (B) two varieties of style based on the message context, which are (B)-1: message-internal context (= story world) and (B)-2: message-external context (= real world). I criticize the past approaches based on the message form (Category A) because they assumed that literary language is only one variety of register and overlooked its integrated communicative nature. The second approaches I criticize (Category (B)-1) are narratological approaches which have considered only the story world separated from the real communication setting. The third approaches (Category (B)-2) are based on a sociolinguistic standpoint and that do not consider differences between natural narrative — in natural narrative, addresser (or author in the case of literary discourse) and narrator are not separated; on the other hand, in literary narrative, they are different.

Chapter 3 is separated into three parts. In 3.2, I will review 'parallelism' in detail, one of cohesive devices, and criticize a mere collection of this sort of stylistic features

because mere parallelism does not lead us to an integrated understanding of a literary text. Towards the end of the section, I will suggest that Ross's performative part is also essential in literary discourse.

In 3.3, I discuss how discourse coherence with literary significance is attained. Here I will argue that the source of literary significance lies in the performative structure of a literary text and its propositional text which is a sort of mathematical figure similar to a clause and, therefore, consists of the thematic and the rhematic. In 3.4, I will discuss the Communicative Dynamism and the thematization in a literary text, which corresponds to the proposition in the performative sentence. I also examine the system of discourse theme from which discourse theme and discourse rheme are chosen. These two parallel parts are linked by 'discourse mediation', the mediating function that neutralizes the demarcation between the two functionally opposite terms and promotes the transformation of the former into the latter. I also argue that the 'liquidation of oppositions', which is widely discussed in mythology and studies in folk tales in anthropology, has a great relevance to this mediating function. I assume that, within the framework of literary performative hypothesis, the mediating function is where the author's stylistic technique is best realized.

Chapter 4 investigates how the proposed performative structure takes specific forms in an individual literary work. The works discussed include Shakespeare's Sonnet 129, Geoffrey Chaucer's *Troilus and Criseyde* and several works from his *Canterbury Tales*, Shakespeare's *Othello* and *Hamlet*, Kazuo Ishiguro's five novels from *A Pale View of Hills* to *When We Were Orphans*, Edgar Allan Poe's 'Haunted Palace', Hemingway's 'Cat in the Rain', and false effects of literary speech.

The conclusion of the research described in Chapter 5 is that the functional and the performative approaches at the level of discourse shed light upon the communicative aspects of literary discourse.



## **Chapter 2 REVIEW OF RELATED LITERATURE AND RESEARCH APPROACHES TO LITERARY DISCOURSE**

### **2.1 INTRODUCTION**

In this chapter I will begin with critiques of past approaches to literary discourse employed in the fields of linguistics, literary criticism and anthropology, and I will conclude that the Prague linguists' and Halliday's text-functional view of language, especially his theme-rheme structure of the clause, shed a new light upon the analysis of literary discourse in communication.

Traditional linguistic approaches to literary discourse have viewed it as a mere collection of surface verbal characteristics, treating a literary text as one of the varieties of language. Likewise, much literary research into literary language has explored it only as a medium to convey the thought of literary character, and consequently it has concentrated more upon the use of language in a specific situation of a story or in a specific text than upon the general nature of the language in the context of literature. Among these approaches, however, Richards' (1926) insight into the literary use of language as a psychological problem-solving medium should be more positively evaluated. The corollary of this view is that a literary discourse is the description of the world viewed from the specific perspective of an author who is attempting to present a psychological solution to his present world through the text. The trouble with this approach is that there has been little systematic discussion of how the language user encodes language in accordance with his or her view of the world. Richards' view of literary language would be best described within the framework of the extended use of the functionalists' theme-rheme structure, which

governs Jakobson's (1960) equivalent units at micro-structural levels. The development of text analysis has turned our attention to a stretch of language beyond the sentence, and Hoey's (2001) problem-solution approach or Labov & Waletzky's (1967) narrative analysis would seem applicable to the analysis of literary discourse. However, these approaches are mostly for natural discourse and their application to literary discourse has not been very persuasive due to the complex nature of literary discourse. Much anthropological research into this variety of language use, though illuminating in that it provides a general viewpoint of the symbolic use of language, has failed to place the literary use of language within the entire system of language itself or even within a specific literary text, such as those by Chaucer or Ishiguro. Moreover, these approaches have not been very effective in dealing with a specific mind style (Fowler 1977)<sup>1</sup> of a specific author. Some of the approaches taken by structural anthropologists, especially those of Propp (1968) and Lévi-Strauss (1972), to folk tales and myths, however, should be positively evaluated, since they provide us with a useful insight into the nature of literary discourse which is in accordance with Richards' insight into literature.

## 2.2 HOW STYLISTICS DEALS WITH LITERARY DISCOURSE

In dealing with the language in literature from a linguistic point of view, we cannot

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[1] 'Mind style' is defined in Fowler (1977: 2) as follows:

The study of mind style therefore involves the identification of linguistic patterns that accounts for the perception of a distinct world view during the reading of a text. The notion of 'patterns' is particularly important here. Mind style arises from the frequent and consistent occurrence of particular linguistic choices and structures within a text'.

Fowler's idea of 'mind style' is a very roughly defined concept and it covers a wide area of similar ideas including mine. If his mind style can be understood as 'a particular point of view of things' created by language (Leech & Short 2007: 28), we may call the discourse theme-mediation-discourse rheme structure a general mind style, and a particular world view realized in the stylistic devices specific to a particular author, a specific mind style.

avoid the concepts of 'style' or 'stylistics'.<sup>2</sup>

According to Fowler (1987) and Wales (2001), 'style' is, whether literary or not, a mode of expression at which linguistic forms and non-linguistic conditions meet. Therefore, the study of 'style' deals with all modes of linguistic expressions, literary or not. On the other hand, 'stylistics', often seen as a branch of linguistics, is chiefly concerned with the study of literary style and deals with modes of literary expressions, employing analytical methods developed in modern linguistics from the early 20th century.

The purpose of stylistics lies not only in describing formal features of a text, but also in showing what functional significance the formal features have for the interpretation of the text. In other words, the role of stylistics is to relate literary effects to linguistic features.

For this, stylistics uses a linguistics model and its terms, and, by doing so, stylistics is close to the study of usage. This is where stylistics differs from criticism based on an impressionistic judgment. On the other hand, stylistics overlaps with criticism in that the object of both approaches is a literary text, while it is close to usage studies in that it takes a linguistic approach.

In 2.2.1, I will review of the history of stylistics, beginning with ancient Greek and Latin. Up to the present time, there has been no clear demarcation between literary language and non-literary language in the concept of style and stylistics. Therefore, the stylistics discussed in this section all deal with both modes of language. In 2.2.2, following Fowler (1987) and Wales (2001), I will define the areas that stylistics covers in comparison with usage studies. This classification is necessary for the basis

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[2] The concept of 'style' shares common elements with 'usage', 'register', and 'speech level' (Otsuka & Konishi 1973: vii). Also note that the study of style and stylistics do not cover the same areas; the former has a wider range of application. (See also [3] below.)

of discussion in 2.2.3 *Definition of two style-related concepts: source of literary significance — ‘message form’ and ‘message context’* and 2.3 THE THREE CATEGORIES FOR STYLISTIC ANALYSES based on the concepts of style in Fowler (1987) and Wales (2001).<sup>3</sup> This discussion leads to that in Chapter 3.

### 2.2.1 *A diachronic review of stylistics*

Stylistics as an independent discipline was established in the 19th century. According to *OED*, the word ‘stylistics’ was first recorded in the 19th century:

**Stylistic B.** *sb.* The science of literary style; the study of stylistic features. Also (more commonly) **Stylistics** [see -ICS].  
 ...1882–3 SCHAFF *Encycl. Rel. Knowl.* II. 965 Giving proper place to New Testament stylistics and rhetoric.

Before discussing stylistics from the 19th century up to today, we should look back to ancient Greece and Rome for the original ideas of stylistics. The word ‘style’ itself is derived from the Latin word ‘*stilus*’ which meant ‘a stake or pale, pointed instrument for writing, style of speaking or writing’ (*OED*). It is a particularly polysemous term, whose meanings and values enormously varied between the 17th and the 19th century. And these are still changing.

Since the beginning of the 20th century the word ‘style’ has been so widely used that it has become ambiguous: ‘*Stil = individueller geistiger Ausdruck*’ (‘style = individual mental expression’) (Vossler 1904: 16); ‘...le style est l’homme même’ (‘...style is the man himself’) (Buffon 1922: 24); ‘...le choix, c’est-à-dire le style’

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[3] The mode of language that stylistics in a narrow sense deals with and the mode of language which ‘style’ refers to are different. According to Wales (2001), the latter is more extensive in reference than the former, for the former is concerned only with the language of literature.

(‘...the choice, that is style’) (Marouzeau 1946: 10); ‘The style of a text is the aggregate of the contextual probabilities of its linguistic items’ (Enkvist 1964: 28); ‘A set of conscious or unconscious choices of expression, inspired or induced by a particular context’ (Verdonk 2002: 121). However, generally, the definition of style could be grouped into two categories depending on its focus of attention. One category is the addresser’s attitude; the other, a specific realization of language. For the former, one representative is Marouzeau. For him, style is, as reflected in the choice, ‘l’attitude que prend l’usager, écrivant ou parlant, vis-à-vis du matériel que la langue lui fournit’ (‘the attitude which the user takes, writing or speaking, with respect to the material that the language provides him’). Marouzeau (1946: 14) German linguist Spitzer (1948: 158) represents the other category: ‘...la mise en œuvre méthodique des éléments fournis par la langue’ (‘the methodical implementation of elements provided by the language’). However, Fowler’s (1987) and Wales’ (2001) concept of

‘style’, as a mode of expression at which linguistic forms and non-linguistic conditions meet,

as I quoted above, is an intermediate definition for this long-used term. ‘A mode of expression’ signifies a linguistic form in which the user’s attitude is reflected, thus this is a combination of Marouzeau’s and Spitzer’s definitions. For the study of ‘style’, we should start our discussion from the classical era.

Among the people of ancient Greece, stylistic strategies were all the object of rhetoric. According to Guiraud (1955: 10)

‘L’ensemble des procédés de style était chez les Anciens l’objet d’une étude spéciale, la rhétorique qui est un art du langage, une technique du langage considéré comme un art’.

(The set of stylistic processes were for the Ancient people the subject of the special field of study, rhetoric, which is the art of language and a technique of treating language as an art’.)

Guiraud (1955: 10)

The first theoretician of stylistics was Aristotle (384–322 BC)<sup>4</sup> and for him there was another stylistics-related discipline, poetics. Considering the fact that today’s stylistics deals mainly with the language of literature, poetics should also be called one origin of stylistics:

Rhetoric: The art of using language ‘in such a manner as to impress the hearers and influence them for or against a certain course of action’ (*Aristotle: Art of Rhetoric*, ‘Introduction’, xi)

Poetics: ‘...attempt to scrutinize poetry in a systematic and analytic manner — beginning, ... from what are taken to be the most fundamental propositions about the field of enquiry ...; developing an argument whose main stages are carefully signaled...; and striving, ... to make the connections between its basic tenets and its individual judgements as tight as possible’.

(*Aristotle: Poetics*, ‘Introduction’, 6–7)

At the time of the Middle Ages, according to Guiraud (1955: 11), rhetoric, together with grammar and dialectics, became one of the three liberal arts subjects (the *trivium* of grammar, logic and rhetoric) of higher education.

The 19th and 20th centuries saw a rise of stylistic theories based on the science of language, or modern linguistics. Two major lines of stylistics starting from Humboldt are the Croce (Italian) – Vossler (German) and the Saussure (Swiss) – Bally (French). Later formalist (Sklovskij) and structuralist (Jakobson) theories arose. English and American stylistics also flourished, including Halliday’s Cohesion theory in English,

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[4] In this section, to give a glimpse of a period of history, some key philosophers and linguists are given their life span.

to be followed by Semino and Short's computer-assisted corpus stylistics.

In the following, I will examine major scholars of stylistics from the 19th century on in more detail.

At the beginning of the 19th century a German linguist and philosopher, Wilhelm von Humboldt described functional stylistics in his book *Über die Verschiedenheit des menschlichen Sprachbaues*, published in 1876. And it was Humboldt who must be credited with identifying the two facets of language, *ergon* (a finished product) and *energeia* (a creating process) ('Sie (=the language) selbst ist kein Werk (*Ergon*), sondern eine Thätichkeit (sic) (*Energeia*)' ('It is no work (*Ergon*), but an activity (*Energeia*')) (Humboldt 1876: 56)). According to him, language was not a static product but rather a productive activity. Humboldt also held that the structure of a language parallels the folk culture of its speaker.

From this dichotomy, *ergon* and *energeia*, two major lines of stylistics were developed: one is the Saussure–Bally line and the other is Vossler–Spitzer line in the first half of the 20th century. The former takes the course of analysis as follows:

general → collective (→ individual)

Bally did not include the individual into his stylistics. On the other hand, the latter takes a different course of analysis:

individual → collective (→general)

In these two tendencies of stylistic studies, we should keep in mind that there is no distinction between the literary and non-literary. (As I stated above, this distinction becomes important for later discussion in 2.2.2, 2.3 and in Chapter 3.)

Ferdinand de Saussure, who developed Humboldt's theory in the direction of structuralism, distinguished *langue* (the system of rules and conventions) from *parole* (its use in particular instances) and Charles Bally, working under the supervision of de Saussure, developed his own descriptive stylistics. In Bally's view, stylistics should describe relationships between events and their verbal expressions in one language, and examine rules that the language should obey to express thoughts and feelings in all the forms. Thus, his stylistics is also called expressive stylistics.

Bally conceived stylistics as an extension of Saussure's linguistics applied to the field of the expressive stylistic facts. Thus when he studies styles, he extends the concept of *langue* down to the utmost bottom level of the scale, but never goes into the level of *parole*. He stops analysis before getting down into that level. At the last level of *langue* comes literary language; however, Bally's stylistics only describes the verbal facts and does not go into the sphere of individual psychology that produced the facts. Bally's descriptive stylistics thus deals with such phenomena in language as present in a system, or with the facts that are not confined to individual use. One example from Bally (1952: 59–60):

— Une lettre, père Azan?

— Oui, Monsieur, ça vient de Paris.

Il était tout fier que ça vînt de Paris, ce brave père Azan; moi pas, etc.

On sent que l'interlocuteur de père Azan a été frappé, comme le lecteur, de la forme *ça vîent* et qu'il veut lui en laisser la responsabilité (il était tout fier que *ça vînt*); c'est que cette syntaxe est le symbole d'une culture imparfaite; en l'entendant, on s'aperçoit que celui qui l'emploie doit être un homme du peuple ou un paysan, et elle provoque un sentiment ou un jugement de valeur portant, non sur les choses dites, mais sur celui qui les dit.

...celle-ci (=la stylistique) ne s'y attache que si l'expression entendue symbolise un milieu social (par exemple le peuple), ou une forme déterminée ou générale de la vie, ainsi un âge (par exemple l'enfance), ou une forme spéciale de pensée (par exemple la pensée scientifique).



( - a letter, Azan father?)

- Yes, Sir, it came from Paris.

He was very proud that it came from Paris, this honest Father Azan; me not, etc.

One feels that the interlocutor of Father Azan was struck, like the reader, by the form 'ça vient de Paris' and that he wants to leave Father Azan the responsibility for it (he was very proud that 'ça vînt'); this syntax is a symbol of unlearnedness; by hearing it, one feels that the user must be a man of lower classes or a peasant, and the phrase causes a value judgment relating, not on the things said, but to the one who says it.

... stylistics concerns this expression only when it symbolizes a social background (for example, the people), or a given or general form of life, thus an age (for example, childhood), or a special form of thought (for example, the scientific thought)).

Bally (1952: 59–60)

Bally's stylistics is thus also called the stylistics of *langue*.

Bally's students, Jules Marouzeau and Marcel Cressot, followed him by expanding Bally's narrow concept for stylistics. These two successors of Bally analyzed the written styles of literature as Bally did for the spoken language. Bally (1963: 29) had argued that only spoken language is the reliable manifestation of the language:

Quant à la *langue parlée*, dans le sens restreint du mot, c. à d. la *langue de la conversation* ou *expression familière*, il faut se garder d'y voir un mode d'expression idéal, une langue déduite par abstraction des tendances générales du langage; c'est au contraire une *réalisation* concrète de ces tendances, c'est la seule langue réelle et vivante qui existe.

(As for the spoken language, in the restricted sense of the word, namely, the language of conversation or familiar expression, it is necessary to be careful not to see there a mode of ideal expression, a language deduced by abstraction of the general tendencies of the language; it is on the contrary a concrete realization of these tendencies, it is the only real and living language that exists.)

Bally (1963: 29) (original italics)

Expanding Bally's concept, Marouzeau (1969) and Cressot (1947) completed the stylistics of one written language, that is, the stylistics of written French.

Heymann Steinthal, German philologist and philosopher, and Wilhelm Wundt, German psychologist and physiologist, both, following Humboldt's theory, developed a psychological study of language, implying parallelism between ideas

and the language. The former developed his stylistics in his *Eineleitung in die Psychologie und Sprachwissenschaft*, 1881, on the assumption that style as personal and artificial forms appeared in literature depending on logical forms of thought (Steinthal 1881: 450). In his *Sprachgeschichte und Sprachpsychologie*, 1901, Wundt argued for the parallel relations between language and folk psyche from the standpoint of folk psychology, and for the two types of linguistic structures, that is, 'attributiv' and 'pradikativ', respectively based on 'gegenständliches Denken' ('objective, relational thinking') and 'zuständliches Denken' ('stational thinking') (Wundt 1901: 447). He claims that in Homer many paratactic sentences are used, which is best suited for describing events objectively and relationally and indicates the Greek psyche (Wundt 1901: 312).

Another philologist influenced by Humboldt was Karl Vossler. Vossler, under the influence of aesthetics of Croce, established his linguistic aesthetics. He developed his stylistics of aesthetics on the basis of an idealism that linguistic expressions are assumed pure creations by an individual.

So, as I stated above, there were two lines of stylistic tradition: the Humboldt–Saussure–Bally line (general → collective (→ individual)) and the Humboldt–Croce–Vossler line (individual → collective (→general)).

Against the positivists who deal with language like an object, Vossler based his theory of language on Croce's aesthetics. Language, he thought, was the mental act and recognized work of aesthetic creation at all the levels of sound, form, and syntax.

The Latin synthetic forms (cases, the passive, the future), for example, are supplanted by Romance analytic forms because of expressive necessity, Vossler maintains (1925: 66). Vossler argues for 'man nach stärkeren, eindeutigen Ausdrücken des Wollens, des Sollens, des Müssens trachtete' (people began to seek

stronger, clear expressions of the Wollens, the Sollens, the Müssens). He stresses what is now called grammaticalization as a result of individual stylistic changes leading to convention.

Den Sprachgebrauch, insofern er individuelle Schöpfung ist, betrachtet die Stilistik. Der inductive Weg aber führt vom Individuellen zum Allgemeinen, vom Einzelfall zur Konvention. Nicht umgekehrt. Also erst Stilistik, dann Syntax!

(The stylistics regards the linguistic usage, if it is individual creation. The inductive way, however, leads from the individual one to the general one, from the individual case to the convention. Not in reverse. Thus only stylistics, then syntax!)

(Vossler 1904: 16)

For Vossler, style is 'individueller geistiger Ausdruck' (individual mental expressions) (Vossler 1904: 16) which trigger historical grammatical changes.

Though Léo Spitzer is grouped together with Vossler ('la linguistique idéaliste de l'école Vossler-Spitzer' (the idealistic linguistics of the Vossler-Spitzer school) (Guiraud 1955: 64)), this linguist tried to harmonize the two tendencies in stylistics, Bally's positivism and Vossler's idealism, in his studies of literary texts, saying 'möchte ich einen positiven Idealismus oder idealistischen Positivismus verfechten' (I wish to defend a positive idealism or a idealistic positivism) (Spitzer 1961: XI). Spitzer stresses the inductive-deductive nature of the steps to be taken for the stylistic analysis that consists in carrying out to and from between the philological details and the text under consideration as a whole. Flaubert, for example, often uses phrases like the following: a neologism *apalir* ('to fade gradually'), instead of usual *pâlir* ('to fade') because '*apalir* mit seinem Präfix *a-* drückt Annäherung an einen Zustand aus' ('*apalir* with its prefix *a-* expresses approach to a condition') (Spitzer 1961: 8), *ir*-verbs like *pourrir* 'to rot', *pâlir* 'to fade') because 'die *ir*-Verba drücken ein Werden aus' ('the *ir*-verbs express a gradual change'), and *s'irradier* ('to irradiate

themselves'), a neologism made after *s'échapper* 'escape' (Spitzer 1961: 9). Spitzer asks himself: What artistic intention made one to use these grammatically specific phrases. His answer is:

...im Dienste des »faire du réel écrit«, wie Flaubert selbst sagte, im Dienste desselben »Dynamismus« oder der »description en mouvement«, ..., der Wiedergabe der dynamischen Intensitäten durch den Stil, einer Art abgeleiteten Lautmalerei, die den Vorgang der Außenwelt sprachlich porträtiert: ein ähnlicher Effekt wie das Partizip in *il vit la carriole s'éloignant* zum Ausdruck für allmähliches Entschwinden! Flaubert hat sich sprachliche Mittel geschaffen, um Dämpfung der Realität, ein Decrescendo zu malen, wobei er nur Keime, die in der Volkssprache bereit lagen, zu entwickeln brauchte.

('in the service of the »fair you réel écrit« ('to make writing real'), as Flaubert said himself, in the service of the same »Dynamismus« ('dynamism') or the »description en mouvement« ('description moving'), ... , the reproduction of the dynamic intensities by the style, a kind of derived onomatopoeia which portrays linguistically the process of the outside world: a similar effect like the participle in *il vit la carriole s'éloignant* ('he sees the cart moving away') to the expression for gradual disappearing! Flaubert has created linguistic means to paint the damping of the reality, a Decrescendo, when he needed only the buds ready in the people's language to develop.')

(Spitzer 1961: 9)

These Flaubertian verbs that Spitzer discussed (*apalir*, *pourrir* and *s'irradier*) all have a gradual change as their core meaning. Spitzer goes so far as to claim that Flaubert's use of these verbs is motivated by a desire to illustrate the mode of change actually taking place in the story. In this case, one stylistic effect is realized by three grammatical uses of the verb, on the basis of the stylistic and the grammatical interactions.

One who refused to take a psychological method in his studies of romance languages was Eugen Lerch, a Vossler student. In Lerch (1930: 22), instead, did a 'historische' ('historical'), as well as 'ästhetische' ('aesthetical') and / 'soziale' ('social'), explanation in his style studies. According to him, the form of *er frug* in German, for example, did not go out of use because 'die starken Präterita altertümlicher und daher edler klingen als die schwachen' ('the strong preterits sound

more ancient and therefore nobler than the weak (*er fragte*’). (Lerch 1930: 22)

On the basis of Wundt’s theory, those who attempted style studies of one language are Fritz Strohmeier, Max Deutschbein and Philipp Aronstein.

Strohmeier devotes himself to the stylistic study of epithets. According to Strohmeier (1924: 91–97), the emotion is expressed in only one word or in only one word group solidified, while the proposal is the expression of a reflection. Thus Strohmeier saw a single idea in the pre-posed adjective and its modified noun, while, to the post-posed adjective, he saw the value of a proposal. He collects examples in French, whether formal or informal, comparing them with German counterparts and attempts to obtain a *Gesamtbild* (‘an overall view’) of the language.

Unlike Lerch who took a historical, as well as an aesthetic, approach to styles, the stylistics of Deutschbein is psychological in his approach. For example,

Um also der Eigenheit eines sprachlichen Phänomens einen besonderen sprachlichen Ausdruck zu geben (meist herbeigeführt durch starke Gefühlserregung), wählt die Sprache die stilistisch wertvollere Form, z. B. das Abstraktum oder das substantivierte Adjektivum. Man vgl. z. B.:

- a) in der dunklen Nacht verlor er den Weg
- b) in der Dunkelheit der Nacht...
- c) im Dunkel der Nacht...

(To give a special linguistic expression to the peculiarity of a linguistic phenomenon (mostly caused by strong feeling of excitement), the language chooses the stylistically more valuable form, e.g. the abstract substantive or the substantivized adjective. Compare the following:

- a) in der dunklen Nacht verlor er den Weg (in the dark night he lost the way)
- b) in der Dunkelheit der Nacht...(in the darkness of the night...)
- c) im Dunkel der Nacht... (in the dark of the night...)

Deutschbein (1932: 108)

According to Deutschbein, through this process abstract substantives like ‘choice’, ‘dainty’, ‘commonplace’, and ‘cheap’ became adjectives. They lost their stylistic value because their use became stereotyped.

Aronstein (1926) claims that, to examine characters of the English language, it is

necessary to observe its individual peculiarities, and this is most successful by comparing English with other languages. He, therefore, does a comparative study of English and German. He argues that personification is less often used in English than in German, which is caused by English people's character that prefers objective of view of things. Look at the following extract from Aronstein (1926: 11):

Der Satz 'Ein prächtiger Buchenwald nahm ihn auf' (Hauff, 'Das Bild des Kaisers') könnte English sehr wohl übersetzt werden: *A forest of magnificent beeches received him*. Ein solcher Ausdruck würde aber nicht wie im Deutschen sachlich sein, sondern poetisch, 'flowery', wie der Engländer klingen. Der englische Übersetzer (M.A. Faber, Tauchnitz Collection of German Authors, vol. 11, p. 160) sagt deshalb prosaisch: *He entered a forest of magnificent beeches*. Die englische Sprache, nicht der einzelne sprechende Engländer, ist weniger poetisch als die deutsche; sie neigt weniger zur Belebung des Leblosen, zur Personifikation, sie stützt sich weniger als diese auf Anschauung und Phantasie und mehr auf die kühle reflektierende Betrachtung.

('The sentence 'Ein prächtiger Buchenwald nahm ihn auf' (Hauff, 'Das Bild des Kaisers') could very probably be translated into English: *A forest of magnificent beeches received him*. However, such an expression would be not as poetic as in German essentially, but it sounds 'flowery' to Englishmen. The English translator (M.A. Faber, Tauchnitz Collection of German Authors, vol. 11, p. 160) says, therefore, prosaically: *He entered a forest of magnificent beeches*. The English language, not the individual speaking Englishman, is less poetic than the German; she inclines less to the stimulation of the lifeless, to the personification, it relies less on opinion and fantasy than on the cool reflecting view'.)

Aronstein (1926: 11)

Aronstein (1926: 4) defines stylistics as follows:

Die Stilistik in diesem Sinne betrachtet also die Sprache als Organ und Ausdruck der Geistesorganisation eines Volkes und umfaßt alle ihre Erscheinungen, soweit sie diese widerspiegeln.

('The stylistics in this sense looks at the language as an organ and expression of the mind organization of a people and covers all its phenomena, as far as they reflect this'.)

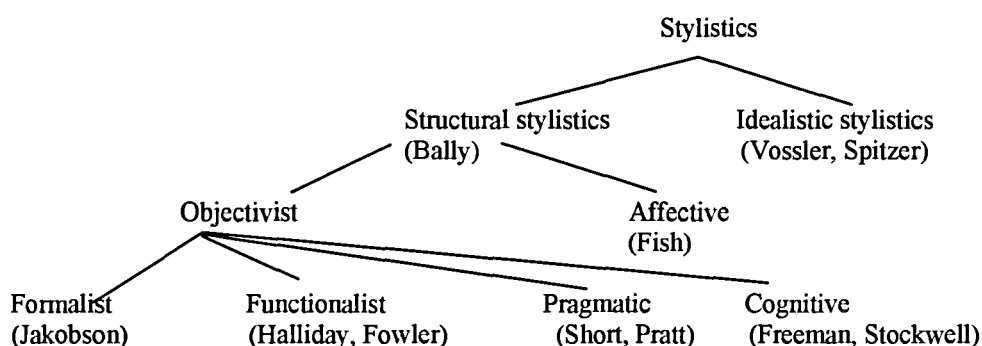
Aronstein (1926: 4)

While the Romance countries were mainly influenced by Bally's descriptive

stylistics and Germany by Vossler-Spitzer's idealistic and individual stylistics, a new literary movement known as formalism developed in Russia at the beginning of the 20th century.

The trends of stylistics in the 19th century could be grouped into the two main streams as I stated above: (1) from the grammatical, through the collective, down to the individual; (2) from the individual, through the collective up to the grammatical.

Adding the Idealistic stylistics, as well as several other recent trends in stylistics, to Weber's (1996: 88) tree diagram of the history of stylistics, we obtain an overall view of the history of stylistics from the point when this term became widely used:



*Figure 1*  
Brief history of stylistics

At the turn of the 20th century, with the development of linguistics, stylistics started to show a systematic development from rhetoric, especially, 'elocutio' (Wales 2001: 372). Fowler argues that stylistics was established as an academic field with the development of linguistics in the 20th century.

The development of stylistics in the 20th century falls roughly into two periods. In the first half of the 20th century, it developed in continental Europe, in the latter half, in Britain and America.

As stated above, in the first half of the century, the representative traditions of stylistics were Bally's and Vossler–Spitzer's. The latter half of the century began with the rise of descriptive linguistics in America and the subsequent rise of stylistics there. This period is within the scope of our contemporary stylistics and I will discuss it in contrast with usage studies (style studies in a wider sense) in the next sub-section (2.2.2) because I will distinguish the two fields in the discussion of methodological framework in Chapter 3.

The rise and the outline of the varieties of the contemporary stylistics are as follows. In 1959, T.A. Sebeok opened a conference on style studies at Indiana University and the results were published in T. A. Sebeok (ed.) *Style in Language* in 1960. Weber (1996) includes several representative stylistic approaches that developed after this Indiana conference. An epoch-making article included in Sebeok's *Style in Language* above is Jakobson's 'Poetics and Linguistics', the retrospect of the 1959 conference. In the 1960s, a leading linguistic theory was generative grammar, in the 1970s and the 1980s, discourse analysis and pragmatics offered effective methods for stylistic analysis. Stylistics in the 1970s was also influenced by a literary theory that placed emphasis more upon the reader than on the text (e.g. Fish's (1980) affective stylistics and Iser's (1974) reception theory). In more recent years, cognitive linguistics has developed and this branch of linguistics along with relevance theory, a part of the former, has contributed greatly to stylistics (Werth 1999, Pilkington 2000, Sperber & Wilson 1995). In 1997, the 17th annual conference of an association for stylistics named the Poetics and Linguistics Association (PALA) was held at Nottingham Trent University, UK.<sup>5</sup> The conference title was 'New Rhetoric'. At the conference, Ronald Carter emphasized the cognitive aspect in stylistic studies, and summarized recent

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[5] The Poetics and Linguistics Association (PALA), as the name shows, aims at combining literary and linguistic approaches to style.



developments as: ‘PAST 20 years — sociolinguistic-driven (discourse grammar) vs. PRESENT — psychologically-driven (poetics of mind)’.

In the following, I will examine the position of stylistics at the present time comparing usage studies, a stylistics in the wider sense.

### 2.2.2 *A synchronic review of stylistics: in comparison with usage studies*

As the sources of natural usage become more available with the coming of the computer age, the literary texts are being given a position of single register distinct from natural verbal sources like newspaper, letters or telephone conversation. What field does stylistics cover now? Though Bally emphasized the importance of spoken texts, these source differences have not been considered so much until now. Below I will discuss the difference between stylistics and studies of natural usage.

Wales defines usage studies as follows:

As a singular noun, usage is the general linguistic practice at any period of time in speech and writing of a speech-community.

(Wales 2001: 401)

In a word, the goal of usage studies is to describe formal features in a verbal text as part of the linguistic custom of a certain language community. For instance, it is rare for several adjectives to come ahead of a noun (‘the *cold grey* water’) and such a usage is characteristic of advertisements, brochures, and fashion journalism (Wales 2001: 8). In stylistics, such fronting (‘the *cold grey* water’) or postpositioning (‘the water *cold and grey*’) of adjectives is a question of stylistics as long as this appears in

a literary text, that is, as long as it has literary significance in the text, and it is discussed from the standpoint of the author's style and the style of the text as part of a certain literary group. If the linguistic feature in the text is viewed as the reflection of a community or a time in society, then those linguistic features are a subject for usage studies, not stylistics. In Milton's *Paradise Lost* or *Paradise Regained*, there appears a phrase 'battle proud' (*Paradise Lost*, Book I, 43),<sup>6</sup> a case of postpositioning of an adjective. This is a phrase influenced by Latin. The title of these books has a formula of NP + Past Participle. The 'Lost' and 'Regained' are placed after the noun not as a participial adjective, or rather, syntactically, they are the same usage as 'Kennedy Shot; Condition Critical' used in a newspaper headline in modern English. That is, like 'Shot' in 'Kennedy Shot', 'Lost' and 'Regained' are of predicative use. But either form took a different development process. The form of 'Paradise Lost' reflects the style called neoclassical style based on the participle of classical Latin and Greece that became popular during the Renaissance. Other examples of this kind are Shelly's 'Prometheus Unbound' in the 19th century or 'Batman Unmasked' in present-day usage. In present-day usage, the adjective is usually placed before the noun as in 'The Lost World', though the meaning of 'Lost' is different from that of 'Paradise Lost'. As to the example of the postposed participial adjective, in Milton's work, 'armed' in 'And to the fierce contention brought along / Innumerable force of spirits *armed* / That durst dislike his reign ... (italics mine) (*Paradise Lost*, Book I, 100–103). 'Lost' in 'Paradise Lost' and 'Regained' in 'Paradise Regained' are different from the use of 'armed'. In Milton, the participial adjective would be preposed due to the metrical reasons as in '... has regained *lost* Paradise (*Paradise Regained*, Book IV, 608)

The question of such preposition or postposition of an adjective is of stylistics as

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[6] The text used is J. Milton (2003 [1667]) *John Milton: the major books* (Oxford world classics) (Oxford: Oxford University Press).

long as it occurs in a literary text — therefore, the usage is related to literary evaluation —, and it is discussed in terms of the author's style, the style of the text, the style of the group to which the text belongs. The usage will be discussed in the field of usage studies if it is treated as a reflection of a linguistic feature specific to a certain group in society or to a certain period. However, there is no room for either stylistics and usage studies when it comes to the agreement of subject and verb because there occurs no questions of choice. Such a matter is treated in grammar.

Thus, there can be three combinations as to the field in which a certain expression is treated. They are: (1) an expression is treated only in stylistics, (2) an expression that has been treated in the field of stylistics is also discussed in the field of usage studies, and (3) an expression is examined only as a feature of social usage.

The following is one of Leopold Bloom's lines in James Joyce's *Ulysses*. The italicized part needs attention. In this passage, Leopold Bloom is feeling that the way of eating of a hungry man is like that of an angry man:

'Chump chop from the grill. Bolting to get it over. Sad booser's eyes. Bitten off more than he can chew. Am I like that? See ourselves as others see us. *Hungry man is an angry man*. Working tooth and jaw. Don't! O! A bone!'  
(Joyce *Ulysses*, 169) (italics mine)<sup>7</sup>

According to Staten (1997), *Ulysses* is a work where physical and verbal 'decomposition' is described.

...the digestive process is a form of decomposition, and in one sense *Ulysses* is a stomach or tomb in which language breaks down into its constituent units---...mimesis as the isomorphism between two decompositional series, one involving language and the other the body.

(Staten 1997: 380–392)

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[7] The citation is from J. Joyce (1992 [1934]) *Ulysses* (New York: The Modern Library).

The passage, 'Hungry man is an angry man', is where both types of decomposition are manifested. First of all, 'hungry' is a word that is related with 'digestion / decomposition' in the act of eating. How about the verbal aspect? 'Hungry man is an angry man' is originally from a proverb 'A hungry man is an angry man'. In *Ulysses*, the first indefinite article 'a' is omitted. Or we should say that the article is not realized, because, in Joyce's stream of consciousness, the language in the state prior to the governing of the language rules is described, and the uncertain state of body and language is expressed. In this passage from *Ulysses*, the noun phrase does not have an article as in a telegram or in a newspaper headline.

This passage of 'Hungry man is an angry man' seems to be following the style of an inner monologue of Leopold Bloom. This is an expression which is stylistically significant in Joyce's context. Such a stylistic feature that is only significant to a certain author — here the feature is zero article that expresses decomposition and / or uncertain state of body and language before its definite shape — can be an object of stylistics, but not of usage studies. However, if zero article is discussed in relation with the register like telegraph or a newspaper headline, this verbal feature is treated in usage studies. In addition, in the case in which the expression of zero article is more widely accepted beyond *Ulysses* and gives birth to a similar expression, the verbal feature becomes more the subject of usage studies. This is just as in the case in which with analogy of a proverb of 'No pain, no gain', 'No organs and no music' and 'No ID and no way' are created. These phrases are all discussed in usage studies.

An expression used in a literary text like Charles Dickens' 'in short' (Kawai 1984: 62–69) is significant in the literary work as well as in usage studies. In this case, the approach from both sides, that is, stylistics and usage studies, become possible. In

stylistics, when Micawber in *David Copperfield* hesitates to say something and only says this idiomatic phrase, for instance, and this hesitation, as a result, shows that this person cannot understand the situation accurately. To approach this sort of literary significance, it is necessary to exceed the definition of ‘in short’ in *OED* as ‘A summary statement’. On the other hand, in usage studies, this phrase will be examined in relation with other similar phrases like ‘briefly’ and ‘concisely’:

short B....1. With prepositions, forming adverbial phrases. a. in short....: briefly, concisely. From the 18th c. onwards used only as parenthetical phrase, introducing or accompanying a summary statement of what has been previously said.

(*OED* short B.1.)

How about the ‘after’ in the following? This is a phrase of a tabloid newspaper discussed by Walter Nash, former Professor, Nottingham University, in the 17th annual conference of the above-mentioned Poetics and Linguistics Association (PALA), 1997. Here, a preposition ‘after’ is used, which shows development in time, instead of the preposition for cause and result. He argued that this is a feature of the tabloid newspaper:

A young tennis star has been zapped *after* developing ‘Nintendo elbow’ from playing too many computer games.

Nash (1997) (italics mine)

In this passage, a preposition ‘after’ that shows a time order instead of the prepositional phrase (for instance, ‘due to’ and ‘because of’) that shows the causal relation is used in order to describe that the player has been defeated at tennis by playing too much Nintendo Wii Sports Tennis. According to Nash, this is one of the ‘stylistic’ features of a tabloid newspaper. However, if we follow the definition that, in a narrow sense, ‘stylistics’ covers distinct expressions in a literary text, the case of

'after' is not one that is to be discussed in the field of stylistics, but in usage studies, or 'stylistics' in the wider sense.

As the last example above shows, the term stylistics is sometimes so widely used as to cover the area of usage studies, causing an overlap of the two fields. (Crystal & Davy 1969; Bex 1996) In this case, a term 'general stylistics' is appropriate as a term to cover the whole repertoire of language varieties in a context. Stylistics in this sense treats so wide a range that it becomes more like sociolinguistics.

Formal stylistics as advanced by those such as Jakobson (1960) who regard 'style as an inherent property of the text' (Weber 1996: 2) does not assume that this feature is inherent only in a literary text:

The poetic function is not the sole function of verbal art but only its dominant, determining function, whereas in all other verbal activities it acts as a subsidiary, accessory constituent.

(Jakobson 1960: )

Thus their formal stylistics deals with both categories, literary and non-literary. For the aesthetics of the Prague linguists, I will examine in detail in the discussion of the bottom-up approaches in 2.3.1.

From the latter half of the 1970s to the first half of the 1980s, the trend of stylistics has changed from the extraction of the language form in the work objectively (e.g. formalist stylistics by Roman Jakobson) to stylistic analyses which take into consideration the context (e.g. functional stylistics, affective stylistics, pragmatic stylistics, critical linguistics, cognitive stylistics).

The major advocator of functionalist stylistics is, of course, Halliday (1996). Fowler (1981), who uses the framework of Halliday's systemic-functional grammar for his linguistic criticism can be said also to be a functionalist (Taylor & Toolan

1996: 89). As an example of stylistic analysis, Halliday (1996: 71) claimed that William Golding's *The Inheritors* effectively uses 'clauses of action, location or mental process', the last of which 'is expressed by a finite verb in simple past tense' and almost 'all of the action clauses describe simple movements (*turn, rise, hold, reach, throw forward, etc.*)', creating a Neanderthal worldview that dominates the novel. Halliday's systemic stylistics for the analysis of both highly valued literary and everyday texts belongs to the second group whose method can be applied to both literary and non-literary languages. According to Fowler (1996: 200), who advocates critical stylistics, we understand reality through the language. And the language that mediates between reality and our experience is not neutral but it has its own values, that is, it is ideologically coloured; therefore, it is possible to discern the ideology by analysing the language. Thus he analyzes both literary language like that of George Orwell and non-literary language like the language in the news (Fowler 1991).<sup>8</sup>

Other functional stylisticians are Hausenblas (1993) and Chloupek (1993). Hausenblas (1993: 52–53) sees the structure of communication in which 'conveyance and exchange of information' is achieved in a literary text and argues that 'thematic means' are "'carried" by linguistic means, [and] constitute a higher level of the semantic structure of communication'. Hausenblas is different from Halliday and Fowler, neither of whom posits the higher level of semantic structure. This sort of higher level of structure is essential in my functional approach to literature and I will discuss my version in detail in Chapter 3. As Chloupek (1993: 113) defines

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[8] According to Fowler (1987), the object area of stylistics co-extends with that of literary criticism and mostly deals with a literary text:

The term 'stylistics' or 'linguistic stylistics' has come to designate any analytic study of literature which uses the concepts and techniques of modern linguistics,...

(Fowler 1987: 238)

This does not mean Fowler limits his style studies to literature, because he uses his method for the analysis of new language. Thus his stylistics deals with both the literary and the non-literary language.

'functional styles' as 'relatively established sets of means of expression intended for the basic function of communication', Hausenblas claims that 'the motive of sharing grief which is an essential component of a letter or telegram of condolence', for example, could be expressed by various linguistic means and some of them are established. If we may call this type of functional styles as conventional, we need to examine non-conventional, or author-specific, functional styles, too. This is my discussion in Chapter 3.

A branch of stylistics closely related with the concept of 'functional' is literary pragmatics, for the concept of politeness, for example, cannot be achieved without the expression's function in a certain context, used for different purposes on different occasions (Sell 1991a: 223). Thus, Sell examines Tennyson's poems and claims that they are written in excessive deference to his contemporaries. Pagnini's (1987) approach considers both formal semiotics like Eco's and the extra-textual context. Therefore, he discusses both 'the "subject" of semiotics' and 'the real subject' (Pagnini 1987: 9).

One of the affective stylisticians is, according to Weber (1996), Fish. Affective stylistics is part of literary criticism called 'reader-response criticism'. For affective stylisticians, the literary text that is formally self-sufficient doesn't exist. It only becomes a text when it is read. (Fish assumes that the reading experience is identical for all readers. But Iser (1974), an exponent of 'the theory of aesthetic response', departs from Fish's affective stylistics in that different readers fill the gaps in a text in different ways.)

In computational stylistics, the researchers count the frequency of distinct, ordinary or rare words to detect a certain author's writing style. This stylistics includes such researches as 'The distribution of the *-ly* adverb in Dickens: prolegomena to



computational stylistics' (Tabata 2003), *Investigating Dickens' style : a collocational analysis* (Hori 2004), which is an excellent integration of the philological approach (such as Yamamoto 2003) and computational stylistics (such as Tabata 2003). To this we should add the corpus stylistics of Semino & Short 2004.

As to cognitive stylistics based on cognitive linguistics, the first that should be cited are Fowler (1986), who that discussed the pioneering idea of 'mind style' prior to the cognitive approach, Semino & Culpeper (2002), Stockwell (2002), and Boase-Beier (2003, 2004a, b, c). These are all stylistics in the narrow sense that deals with literary style. In the field of the cognitive usage studies, Sperber & Wilson (1995) and Carston (2002), the advocates of relevant theory, are making a great contribution to the examination of natural language. In pedagogical stylistics, Widdowson (1975) defines stylistics as one that bridges literary education and linguistics. Toyota (2001) also emphasizes the educational effect of stylistics for literary education, saying that stylistics enhances our sensitivity to the language. Saito's (2000) creative stylistics also emphasizes this effect of stylistics. Hughes (1996) and Carter (2004) discuss a combination of colloquial style, literary style and style education. This area is a field where the stylistics in the wider sense and usage education meet.

Toyota (1981) argues that style can be examined at each linguistic level, not only at the level of word or sentence, and discusses various styles from the level of phonology to that of sentence. He places a special emphasis on the style of sound, and one chapter of this book is devoted to the stylistic examination of this area. He examines how actual class and regional dialects are reflected in literary works. He thus focuses both on literary and non-literary styles. This approach is part of phonostylistics.

A similar term 'register' is defined in Wales (2001: 337–338) as the area that deals

with systematic linguistic variations for non-literary situations such as advertisements, legal language, etc. The study of register covers the linguistic areas that the stylistics in the narrow sense (stylistics for literary studies) does not cover. Crystal & Davy (1969) use the word 'stylistics' for the analysis of linguistic areas that 'register' also covers. Thus, for Crystal & Davy, stylistics is used in the wide sense.

How then is stylistics different from criticism in literary studies that also deals with similar areas? According to Wales (2001), the object area of stylistics co-extends with that of literary criticism:

In many respects, however, stylistics is close to literary criticism and practical criticism.

(Wales 2001: 372)

In summary, stylistics overlaps with usage studies in that it uses devices in linguistics to analyze various style techniques; while, it is different from usage studies in that the object of analysis is literary texts. Stylistics overlaps with literary criticism in that it deals with literature; while it is different from literary criticism in that it takes linguistic approaches.

### *2.2.3 Definition of two style-related concepts: source of literary significance—'message form' and 'message context'*

In the previous section, we have seen that the word 'style' has a wider application than 'stylistics'. The former covers almost all linguistic features; while the latter deals mostly with linguistic features with literary significance in a literary text. In this section, I will reorganize the various ideas of 'style' discussed in Fowler (1987) and

Wales (2001) in order to examine what aspect of style past stylistic studies shed light upon and, at the same time, what aspect they did not discuss.

Definitions of 'style' in Wales (2001: 370–372) are grouped into the following six types:

- (1) (I) Style as a MANNER OF EXPRESSION: this category is used for a style of writing or a style of speaking: ornate style, comic style, good style, and bad style, etc.
- (II) Style viewed from a SITUATION or
  - (a) a REGISTER: in this category, style refers to a systematic variation common to a specific non-literary situation, for instance, common to a verbal genre named advertising, legal language, and sports commentary; or
  - (b) a MEDIUM, a GENRE or a PERIOD: style of Augustan poetry, etc. belong to this class.
- (III) Style as a SET OF LINGUISTIC FEATURES at the text level: this category deals with stylistic features appearing at the text level: the 'Style of Keats's Ode to a Nightingale' and the 'Style of Jane Austen's Emma'; and an author's linguistic style at the language level: Miltonic style and Johnsonese style, etc.
- (IV) Style viewed from CHOICE: the following are two variations of the same concept:
  - (i) Pater passed away last summer
  - (ii) My Dad kicked the bucket last summer
- (V) Style viewed as DEVIATION from a certain verbal norm. In other words, this sense of style refers to a text or a language against the common core of a certain age or a whole language. In a different text, different dominant features are foregrounded, creating a poetic dialect such as that of Hopkins, of Dylan Thomas, and of e.e. Cummings.
- (VI) Style viewed as commodity: style is market-valued discourse.

It seems that the classification of the six styles above can be re-grouped into the two major categories following the framework of macro-functions in communication (Jakobson 1960: 357, Hymes 1968: 117, and Cook 1989: 24–26, 1994: 37–40). One is to describe individual linguistic features based on a message form. The other is to view style from the message context (for instance, channel, context, participants, etc.) in which the message form is placed. Of the six variants of style, I, III, IV and V, which focus on 'linguistic features' themselves, belong to the message-form category, while II belongs to the message-context category ((a) REGISTER is a sort of context; (b) MEDIUM refers to a sort of context named 'channel'; and (c) GENRE is also a

context; PERIOD is a context in time, or a historical context).<sup>9</sup>

Thus, it seems possible to classify roughly the first five variations of style into the two categories:

- (2) (A) Style based on the message form ((III) is typical of this category)
- (B) Two varieties of style based on the message context ((II) are representative of this type):
  - (B)-1: message-internal context (= story world)
  - (B)-2: message-external context (= real world)

### 2.3 THE THREE CATEGORIES FOR STYLISTIC ANALYSES

In the following three sections, 2.3.1, 2.3.2, and 2.3.3, I will examine the above three style categories, and in 2.4, I will present a brief view of an integrated approach which combines all these three categories, a detailed discussion of which will be shown in Chapter 3.

#### 2.3.1 *Message form-centered, bottom-up approaches (Category A)*

Not many traditional approaches to literary discourse have attempted to integrate pieces of linguistic evidence found in a literary text for the systematic understanding of the entire text. Most of the approaches are descriptive and constructed upon a mere collection of characteristic verbal devices found in a literary work.

The Formalists' view of literature is representative of this approach, which is well

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[9] The last VI, 'style viewed as commodity', which was a new addition in the second edition of Wales (2001), is a sort of metaphor and this 'style' does not belong to either category of mine.

manifested in their analysis of a literary work. It is to look at a literary text as a set of devices employed in it, that is, a set of literary techniques ‘laid bare’, like a self-valuable sound pattern, such devices as placing the preface in the middle of a book, the deliberate omission of several chapters and the addition of long digressions as in Sterne’s *Tristram Shandy*. In other words, they view literature as having a characteristic use of language that enhances the reader’s awareness of form as form, or as particular uses of language that are concerned with the medium of language. They thought of the medium-oriented use of language as the *differentia* of literature. In his *Theory of Prose*, the formalist Viktor Shklovsky discusses ‘estrangement’ (*ostranenie*) or ‘de-familiarization’ as the main device in modernism and in art in general (Shklovsky 1990: xviii–xix, 6–12). Estrangement is the de-automatization and aggravation of perception. In art our attention is long fixed on the work itself because it is something unusual. This is also an important device in advertising, in which a phrase like ‘MasterCard’ or ‘Timotei’, for example, is repeated in a normal linguistic environment more often than we usually encounter it in our everyday life. The second key concept of Formalist criticism is ‘motivation...for the threading device’ (Shklovsky 1990: 69). Shklovsky (1990: 147–170) asserts that, although Sterne’s *Tristram Shandy* is not accepted as an ordinary novel, it is a typical novel because the author was keenly aware of the novel’s literary forms and filled the work with parody and mockery of conventional narrative schemes.

In Shklovsky’s words, a literary work is ‘the sum of its devices’ (Shklovsky 1990: 190) with the function of making ‘perception long and “laborious”’ (Shklovsky 1990: 6). The sum of its stylistic devices is only a surface collection of artistic devices. Beyond this approach, however, as Toyota (1981: 186) suggested, we need to go further into the system which governs these artistic elements, or which ‘motivates’

these surface elements, something beneath the fictional ‘story’<sup>10</sup>, an idea opposed to ‘plot’ (Tomashevsky 1965: 66–78).

Tynjaov developed the Formalist view of literature from a mere collection of literary devices into one dynamic system. Though his main concern was with surface stylistic features, he proposed examining the interrelations of stylistic ‘devices’, arguing that

...it must be agreed that a literary work is a system, as is literature itself...the separate elements of a work, such as the composition, style, rhythm, and syntax in prose, and the rhythm and semantics in poetry...are interrelated and interacting.

(Tynjanov 1978: 67)

Fowler (1986: 72) cites two theorists in the tradition of Russian Formalism, Jan Mukařovský as a representative of the Prague School poetic theory, and Roman Jakobson as ‘the founder of modern linguistic poetics’. They both present, to use Fowler’s phrase, ‘the Mukařovský – Jakobson theory’. Mukařovský argues,

In poetic language foregrounding achieves maximum intensity to the extent of pushing communication into the background as the objective of expression and of being used for its own sake; it is not used in the services of communication, but in order to place in the foreground the act of expression, the act of speech itself.

(Mukařovský 1964: 19)

Jakobson’s concept of poetic language shares much with Mukařovský’s. The following is Jakobson’s view of the literary, or poetic, language that he re-conceptualizes based on Bühler’s (1965: 28) Organon-Modell and the communication theory of language in the 1960s:

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[10] I have added the epithet ‘fictional’ because we should define Tomashevsky’s ‘story’ as something that did not really happen but fictionally occurred in the text.

The set (*Einstellung*) toward the MESSAGE as such, focus on the message for its own sake, is the POETIC function of language...This function, by promoting the palpability of signs, deepens the fundamental dichotomy of signs and objects.

(Jakobson 1960: 356, Jakobson's italics and capitalization)

Though they could be grouped together because they share the same idea as to the characteristics of literary language, Mukařovský and Jakobson differ subtly in their emphasis. Mukařovský's central idea is 'foregrounding'; Jakobson's is 'parallelism'. Fowler (1986: 74) terms the central idea of Jakobson's poetics 'parallelism and equivalence'.

Returning to the discussion of Mukařovský, his aesthetic function covers too much to get to the core question of what linguistically makes a verbal work a work of art. His work in poetics is, like Jakobson's, rooted in a functionalist conception of language. His definition of the aesthetic function of language thus resembles Jakobson's definition of the poetic function: 'concentration on the linguistic sign itself'. Like Jakobson, Mukařovský also sees the aesthetic as distinct from all the other communicative functions. But the major difference in his poetic theory is that the aesthetic function organizes the other linguistic functions within a poem. This conception of poetry as incorporating the totality of communicative purposes seems to come closer to grasping the ways in which a poem, as a fusion of linguistic functions, functions as a human communication medium.

In short, their view of poetic language is that foregrounded linguistic signs are repeatedly arranged in parallel with each other in a text. In spite of Werth's (1976) Chomskyan criticism of Jakobson's idea of repeated, paralleled use of linguistic signs in poetry<sup>11</sup>, my intuition still supports the Mukařovský–Jakobson theory. Criticism of

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[11] Werth (1976: 54) argues:

...a telephone directory, for example, will display the most remarkable patterns of repetition in syntax, lexical items and phonology). Obviously the mere existence of such patterns guarantees neither their effectiveness nor their meaningfulness... Such language selects

their view of literary language should be directed not to the repeated use of foregrounded linguistic signs as an innate characteristic of literary language, but to the fact that they did not see any difference in function in their foregrounded, paralleled verbal elements in the text in which they occur. One realization of paralleled elements could be different in the way they function if, for example, they appear in a different part of the text, that is, in a different fictional context.

When Leech (1981: 36) criticized ‘the search for the *mot juste*’ for good prose, saying it is only an attempt to restore ‘language to its full semantic value’, thus ‘recreative’, not ‘creative’, he based his criticism upon Chomsky’s syntactic creativity. Leech argues that even the right word or words for good prose are within the scope of syntactic, rule-governed creativity. When he argues that real creativity should be looked for outside this sort of syntactic creativity such as in ‘conceptual fusion’ like *Odi et amo* (‘I hate and I love’) or *mere-steed* (‘sea horse’), a metaphor for ship, his discussion is still at or below the level of syntax. Biber et al’s *Longman Grammar of Spoken and Written English*, of which Leech is a co-author, is in this tradition and is syntax-based, though a rough category of ‘fiction’ (one of the four core registers) is given in this grammar book as a context in which literary expressions occur. I assume that literary language should rather be seen as ‘pragmatic’ conditioned across ‘message form’ (A) and ‘message-internal context’ ((B)-1) and ‘message-external context’ ((B)-2), and Leech’s view of literary language also lacked this aspect.

Criticizing Jakobson’s approach to literary language, Kiparsky (1987: 185) argued that linguistic communication is manifested in two ways: one is that the grammatical

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from a finite (or at least denumerable) inventory of signs at any given level, repetition is a fundamental linguistic principle.

He argues that a telephone book is not a work of poetry because it has repetitions of verbal items. Then we can ask, following Werth, whether a telephone book with repetitive items is a language activity. It is not. The telephone book is not meant to communicate something through its repetitiveness.



structure is generative, as Chomsky (1972) shows, which denies the reduction of linguistic systems, syntactic or phonological, into similarity and contiguity relations; the other is that communication is inferential as developed by Grice (1975) and Sperber & Wilson (1995). As I understand it, however, literary discourse cannot be reduced to these two positions.

It is less promising to approach literary discourse just by applying a sentence grammar such as generative grammar or an inference theory such as Grice's Cooperative Principle and Relevance Theory based on natural discourse. These are the two linguistic theories that Kiparsky (1987)<sup>12</sup> argues for in his discussion of figurative aspects of language; however, they have intrinsic limitations in their application to literary language. The way to identify what the author hopes to convey to the reader resembles the way a physician detects the affected part in a patient. The physician examines the part using an X-ray film. When detecting the focus, he will never consult the structure of C-3PO, the humanoid robot in *Star Wars*, because a robot is, after all, a robot; and a model of human language is, after all, only a model. The model does not necessarily reflect the reality of language. It is an algorithm that keeps both the number of rules and conditions per rule as small as possible. The principle that the number of rules that explains one verbal phenomenon should be as small as possible is a pillar of algorithms used in mathematics and computing, but not necessarily a principle of 'human language'. When examining the nature of literary discourse, we cannot expect the Chomskyan model of language to be an ideal tool, because what we gain through the examination of such a model is just the nature of mechanical rules of logic. Neither can the physician rely only upon the outer complexion of the patient to infer the existence of the focus. He can infer what is

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[12] Among other theorists who use Relevance Theory for their analysis of poetry are Papafragou (1996) and Pilkington (2000).

going on inside the patient, but the patient's outer mien will seldom precisely indicate the affected part within. In many cases, the outer features lack sufficient information for a physician to pinpoint the affected part. The reddish face of a patient only allows the physician to infer that the patient has a high temperature or allergic reaction in the body, together with numerous possible causes behind this. But how can he go on to tell whether the problem is that the patient has a small lung cancer cell in the upper part of his or her left lung? What the doctor needs is not the knowledge of an internal physician, but that of a surgeon. He should have a surer method to depend upon. Though the picture is not distinct, he can identify the affected part as 'a reality' in the patient's organ on an X-ray film.

Transformational approaches, Thorne's, for example, have only added new grammatical terms to the reservoir of English grammar thus far used for the analysis of literary language. The transformational analysis of Raymond Chandler's *The Lady in the Lake* by Thorne (1970: 190–191) discusses the highly repetitive style of the novel in which the pattern of 'I...and...(I)...' repeats itself, deleting the second first person pronoun. This repetition, Thorne argues, creates 'the mood of aimless, nervous agitation the passage conveys'. However, deletion of the second first person pronoun is a common grammatical operation and this alone is insufficient to connect the deletion with 'the mood of aimless, nervous agitation' the passage creates. We should connect this mood with the higher level of verbal operation exercised in the text.

A simple application of pragmatic rules to literary language also belongs to these message form-centered, bottom-up approaches. Whether Grice's Maxims or the cost-based relevance approach, pragmatic inferences do not lead us to the authorial intention.

Many of the pragmatic analyses of literary discourse have tried to show that

everyday language and literary language use the same linguistic mechanisms (Pratt 1977: 27). If some principles of Grice are extended, Pratt argues, they are applicable to a literary text as a communication medium between the reader and the author. According to her, even if the writing violates Grice's Cooperative Principle, 'this includes writing according to the genre rules', the reader tends to assume that the rules are broken on purpose for some effect, and tries to find the appropriate interpretation. According to Pratt (1977: 215), in literary communications it is very rare that the reader thinks of the CP being broken.

Because a world created in literature is closed, that is, it requires interaction outside the world created, pragmatics, which is originally a tool for the analysis of natural language, is not a sufficient means to analyze this world. For instance, we can easily find relevant relations between the utterances in the following, an exchange I created for the discussion here in the style of Soseki Natsume's *I am a Cat*<sup>13</sup>:

- (3) 'My master said that it was cold there'.  
'How miserable he was!' says Lickshaw's Black Cat.

The proposition developed with the help of pragmatic inference on the basis of the incomplete proposition uttered by the Cat could be 'enriched' as in (4) below:

**enrichment**

- (4) 'My master, Mr Atishoo, told the housemaid that it was cold in the room'.

From the proposition expressed in (4) and the contextual assumption (5), we can draw out implicature (6):

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[13] *I am a Cat* is a novel which satirized Meiji-Era Japan (the reign of Emperor Meiji) and has not lost its popularity since its first publication in Japan in 1906. It was written by Soseki Natsume, first Japanese lecturer of English Literature at Tokyo Imperial University and later a novelist. The story begins with a famous sentence: 'I am a cat; but as yet I have no name'.

**contextual assumption**

(5) Man who does not have a natural coat of fur feels cold and is miserable.

**implicature**

(6) Mr Atishoo is a man, and he does not have fur; therefore, Mr Atishoo feels cold and miserable.

We, however, should not be unaware of where we can obtain the contextual assumption (5). It is from the personal view of life of Soseki Natsume, the creator of the text-internal world in the novel (a text-world). He brings into the text-world dichotomies like ‘one who DOES have fur by nature vs. one who DOES NOT have fur by nature’ or ‘miserable vs. NOT miserable’. We should then consider the fact that the text-world reflects the author’s view of the current world. If Ogai Mori, another major writer of 19th century Japan, had created the exchange, it is very probable that some other dichotomous concept would have been significant. To obtain coherence factors that are more specific to a particular author, we should describe organizing elements that create a literary world in an author-specific significant way.

An inference-based language analysis, or a bottom-up approach, is not enough without probing into the organization of the message-context, external and internal, or without a top-down approach somewhere half way from the bottom.

Another message-form centered, bottom-up, approach to literary discourse is a cohesion approach. This approach is a view that a stretch of language shows unity due to its surface-linking formal devices, like referring expressions or repetitions and the latter groups categorically similar verbal elements and examines their formations in a text.

The trouble with the cohesion approach is that it lacks integration of cohesive items

at a higher order. Cohesion is an idea most developed by Halliday and Hasan (1976), according to whom consecutive sentences create a unitary stretch of language due to formal linking devices like repetitions, referring expressions, ellipses, etc. In the passage below from George Eliot's *Silas Marner*, for example, there are several uses of cohesion:

(7) 'Why, hasn't he been home yet?' said Bryce.

'Home? no. What has happened? Be quick. What has he done with my horse?'

(*Silas Marner*, p. 116)

'Home? no' and Bryce's preceding words 'Why, hasn't he been home yet?' are cohesively linked: lexically, because they share the same lexical item 'home', and grammatically because this 'no' is an elliptical form of the sentence 'no, he hasn't been home yet'. So far this is a normal exchange. In the following sentence 'What has happened?', however, the readers face some ambiguity. On the first reading the readers infer that this sentence is about Godfrey's brother Dunstan because Bryce's question was about this profligate brother and this question and Godfrey's response to it are cohesively linked. Being a shared topic, the reference to Dunstan could naturally be deleted from 'What has happened?' The *wh*-question of 'What has happened?' without the prepositional phrase 'to Dunstan' is transmitting sufficient and adequate information, and so quite appropriate here. However, the sentence that follows urges us to cancel the first assumption that he is referring to Dunstan. A closer reading of the text reveals that 'What has happened?' is about this 'horse' and the complete form of the question would be 'What has happened *to my horse?*' (italics mine) If it were not for Godfrey adding, 'Be quick', it would be possible to read 'What has happened?' as a neutral question regarding the imagined misfortune. Godfrey's 'Be quick' is, however, a phrase urging Bryce to give him more information about his horse. As his

horse was already uppermost in his mind, informationally ‘given’, Godfrey used an elliptical structure and ‘to my horse’ was naturally deleted from his question ‘What has happened?’ Only cohesive devices can create a subtle stylistic effect such as above. However, if we consider the textual information that Dunstan is decaying in the pit after falling from the horse and, in parallel with this event, pretty Eppie appears and grows, we will see that the above quotation is not describing a simple fact of ‘horse’. Finding a cohesion device in this way, however, does not mean we are reading this text with literary coherence specific to this author. At that time, Eliot was called ‘great horse-faced blue-stocking’ (Haight 1968: 417). Without considering this fact and how Eliot felt about her nickname, it would not be possible to feel subtle shades of meaning this passage has in the author–reader level of literary communication.

Jakobson’s parallelism based on the poetic function is one of the cohesive devices. This sort of approach to a literary text lacks an integrated textual interpretation.

### *2.3.2 Approaches to the message-internal context, or a macro-structural story world (Category (B)-1)*

#### *2.3.2.1 Cognitive, anthropological and semiotic analyses*

An insight into a mental process through metaphor is fruitful in understanding literary language, though this approach can often be labelled ‘bottom-up’. George Lakoff and Mark Turner have discussed metaphor as a cognitive process, not only playing an active part in poetry, but also as a way of thinking. Metaphors are used automatically by the members of a culture. They are intersubjective and yet unconscious. In their

discussion of Shakespeare's Sonnet 73, they argue that the 'first four lines evoke the PEOPLE ARE PLANTS metaphor' (Lakoff & Turner 1989: 27):

- (8) That time of year thou mayst in me behold  
 When yellow leaves, or none, or few, do hang  
 Upon those boughs which shake against the cold,  
 Bare ruined choirs, where late the sweet birds sang.

The metaphor PEOPLE ARE PLANTS is, according to them, a mapping of the structure of the PLANT schema onto the domain of MAN that sets up the appropriate correspondences between the stages of the plant life cycle and those of the human life cycle, like yellow leaves and old age, for example. Semino & Swindlehurst (1996) analyzed how metaphorization and what Fowler (1977) called, 'mind style' work in Ken Kesey's *One Flew Over the Cuckoo's Nest* to show the development of the first person narrator's mind style, arguing,

The development of Bromden's world view is marked in part by a rejection of the machinery metaphor and in part by the expression, through metaphor, of his new belief that the machines can be beaten.

(Semino & Swindlehurst 1996: 21)

Werth (1999) offers a text-world model for analyzing how readers see the worlds created by texts (or a conceptual space in discourse), or what I call 'the message context' within a literary, fictional world, and how they interact with the texts. It is a fruitful approach to grasp an author's fictional conceptual world as one that maps itself upon his or her surrounding real world. What Semino and Swindlehurst's or Werth's cognitive approaches shows us is, however, a static mental collection of pictures of events in literary discourse in which events occur, not a communicatively dynamic pattern. Semino and Swindlehurst's cognitive approach certainly presents a metaphorical development along the axis of thematic change; however, their approach

is not based upon the assumption of text as a communicative event and presents no basis for the interpretation of the machines-can-be-beaten metaphor over the initial, machines-are-powerful metaphor. The world we create in our fictional mind is communicatively dynamic and this communicative dynamism that works between the speaker / writer and the listener / reader influences the organization of the events in the text world, or in my 'fictional, message-context'. If the conceptual world in a fictional literary discourse is static, then it does not serve for the 'problem-solving' purpose (Leech 1983: x), a *raison d'être* of communication in society.

Many of the issues of literature are directly relevant to questions pursued within the anthropology of folklore or myths, as is well reflected in Finnegan (1992: 1): 'The study of verbal arts and oral traditions has long seemed a Cinderella subject within British social anthropology, in the past often treated as more a matter for folklorists, oral historians or linguists rather than mainstream anthropology. But this position is changing'.

Myth criticism, which attempts to probe into mental patternings in the literary work of art, appeared as a counter-criticism of Eliot's (1964) or Richard's (1926) New Criticism (from 1930s to 1960s) which posits that every text is autonomous. Frye (1957), attempted to classify literature into four categories (comic, tragic, romantic, ironic), which parallel what he calls four mythoi (spring, summer, autumn, winter). This representative theorist of myth criticism owed his inspiration to Frazer's (1994 [1890]: 587–590) scapegoat theory of rituals, in which Frazer argues that a scapegoat is 'a vehicle' (Frazer 1994: 587) that expels an evil, or something that stands between a good and an evil. Here I wish to focus more on the two non-Anglican theorists: Vladimir Propp and Claude Lévi-Strauss.

Propp, a Russian folklorist and author of the botany-based *Morphology of the*



*Folktale*, first published in English in 1958, concerned himself with the syntax of fairy tales, that is, the sequence of what he calls ‘functions’ extracted as invariables or ‘constants’ based on the ‘actions’ of *dramatis personae* (Propp 1968). In this historically important work, he seeks the syntactic patterns common in Russian fairy tales. His findings are something like the grammatical subject, or object, or complement in sentence grammar. The grammatical subject may have, say, the functional meaning of ‘actor’, but not more than that.

To show Propp’s approach briefly, the sequence of functional categories he found in 100 Russian fairy tales are one initial situation ( $\alpha$ ) plus 30 functions ( $\beta \sim W$ ):  $\alpha \beta \gamma \delta \varepsilon \zeta \eta \theta \text{ ABC } \uparrow \text{ DEFGJK } \downarrow \text{ PrRsOLMNQExTUW}$ . The first symbol  $\beta$  designating the first function stands for ONE OF THE MEMBERS OF A FAMILY ABSENTS HIMSELF FROM HOME (absentation). Any event of these functions has the same role across the tales as in the following set: (1) A tsar gives an eagle to a hero. The eagle carries the hero away to another kingdom / (2) An old man gives Súčenko a horse. The horse carries Súčenko away to another kingdom / (3) A sorcerer gives Iván a little boat. The boat takes Iván to another kingdom / (4) A princess gives Iván a ring. Young men appearing from out of the ring carry Iván away into another kingdom. Propp gives a tale named ‘Swan-Geese’ the following scheme:

$$\gamma^1 \beta^1 \delta^1 A^1 C^1 \uparrow \left\{ \begin{array}{l} [DE^1 \text{neg.Fneg.}] \\ d^7 E^7 F^9 \end{array} \right\} G^4 K^1 \downarrow [Pr^1 D^1 E^1 F^9 = Rs^4]^3$$

Figure 2

The fundamental scheme the Swan-Geese tale

Propp’s ‘syntactic’ approach to narrative texts is a typical example of this sort; the other is a ‘semantic’ approach, of which Lévi-Strauss’s analysis of myth is

representative.

Lévi-Strauss's works can be divided into two parts: kinship and mythology. Of these two categories of work, my present thesis owes much to the latter. He first learned primitive logic, or more generally speaking man's mental processes, from Durkheim's (1982: 40) model of society as 'collective representations', a society of which 'is constituted differently from the individual'. He further learned from Mauss (1990: 3–4) a theory of exchange; that is, a rule of 'reciprocity', an obligatory rule that every social gift must be returned, a concept that Leach (1976: 83) also espoused. And he married it with other intellectual perspectives such as Roman Jakobson's structural linguistics and Boas's (1997) view of cultural relativism against biological determinism, which he encountered during his American exile in the 1940s. The former two approaches, Durkheim's and Mauss's theories, took the form of kinship studies. On the other hand, the latter structural linguistic approaches appreciably influenced his mythological studies. In the mythological studies, he insists that the most general mode of human thought is analogy, and by classifying the objects in the natural and social environment, man imposes a pattern on his world. Or in other words, he thinks through a series of basic oppositions, each having a concrete reference, and then relates these oppositions.

In his studies of man's mental processes, as in the mythological studies, as well as in his kinship studies, Lévi-Strauss finds the common feature of unconsciousness.

In anthropology as in linguistics..., it is not comparison that supports generalization, but the other way around. If, as we believe to be the case, the unconscious activity of the mind consists in imposing forms upon content, and if these forms are fundamentally the same for all minds — ancient and modern, primitive and civilized (as the study of the symbolic function, expressed in language, so strikingly indicates) — it is necessary and sufficient to grasp the unconscious structure underlying each institution and each custom, in order to obtain a principle of interpretation valid for other institutions and other customs, provided of course that the analysis is carried far enough.

(Lévi-Strauss 1963: 21)

Lévi-Strauss resorts to two parallel theories of the unconscious: one is from linguistics; the other he owes to an Austrian psychoanalyst, Sigmund Freud. First he found an orientational inspiration in Boas (1997). Lévi-Strauss (1963: 19) quotes the following:

[T]he essential difference between linguistic phenomena and other ethnological phenomena is, that the linguistic classifications never rise to consciousness, while in other ethnological phenomena, although the same unconscious origin prevails, these often rise into consciousness, and thus give rise to secondary reasoning and to re-interpretations.

(Boas 1997: 67)

For Freud (1976), the unconscious is created by an original repression. This theory supposes that human institutions result from a compromise between violent urges and a necessity for organization that brings about the order of law. This is the Freudian origin of the social. And this is also Lévi-Strauss's understanding of the primitive thought reflected in myths. To him, the unconscious is defined in terms of energies (conflicts, refusals) and has a structure of opposite terms. And in his mythology, these conflicts are resolved through the repetitive description of parallel events. The mythical logic includes this conflict-reducing function—what Propp calls 'the liquidation of misfortune' (Propp 1968: 92)—through operations such as permutation, substitution, inversion, symmetry, and so on. The mythical narrative is a dramatization of these logical operations.

I should mention several major narratologists who elaborated Propp's syntactic approach to narrative.

Narratology, a subcategory of semiotics, is the science of narrative and the structuralist approach to narrative was popular in 1970s. After the emphasis on the narrated in 1970s, in contemporary narratology, more emphasis has been placed on

‘narration’ (Ohori 2004a: 250–255). In the following I will focus on classical structuralist narratology in 1970s and its major six theorists, criticizing them and proposing a new approach that includes both aspects of narrative, that is, the narrated and narration.

Many narrative theories are based on syntax, a field of linguistics; and the basic structure of narrative consists of the subject and predicate verb that represents ‘someone does something’. The subject corresponds to *dramatis personae* and the predicate their act. Therefore, in narrative analysis, there are two major areas: one in which the chain of acts is examined; and the other in which the agent of the act is discussed. The problem is that in linguistics the following two syntactic layers are treated differently, while in narrative theories, the distinction is not so clear-cut

I	opened	the door.	
GRAMMATICAL SUBJECT	PREDICATE VERB	OBJECT	(1)grammatical role of the elements
AGENTIVE		AFFECTED	(2)semantic role of the participants

*Table 1*

Layered grammatical and semantic roles in clause

Propp (1968) developed a method of studying the tale according to the functions of its *dramatis personae*. His classification is based on their semantic roles in narrative. He argued that although different tales may feature different characters, these characters can be grouped into seven types of dramatic personae. Moreover, he argued, despite the surface differences, the actions of these personae served identical purposes (Propp 1968: 79–80):

(1) Villain (fights with hero), (2) Donor (transmit a magical agent to hero), (3) Helper (helps hero), (4) Princess (sought-for person) and her father (assigns difficult tasks), (5) Dispatcher (dispatches hero on mission), (6) Hero (departs on a search), and (7) False Hero (pretends to be hero).

The purpose of Todorov's (1969: 10) analysis of Decameron is: 'Notre objet est constitué par les actions telles que les organise un certain discours, appelé le récit' ('Our object consists of the actions such as organizes them a certain discourse called 'the récit'). His approach could be called 'narrative syntax'. In his analysis, he focussed more on syntactic aspects of narrative, which, he argues, consists of 'proposition' and a series of propositions called 'séquence' (1969: 19–20), saying

(i) L'unité syntaxique de base sera appelée PROPOSITION. Elle correspond à une action <<indecomposable>>, p. ex. <<Jean vole de l'argent>>, <<Le roi tue son petit-fils>>, etc.

(ii) Une certaine suite de propositions sera appelée SÉQUENCE.

('(i) The syntactic basic unit will be called PROPOSITION. It corresponds to an action <<Indecomposable>>, e.g. <<Jean steals money>>, <<The king kills his grandson>>, etc.

(ii) A certain suite of propositions will be called SEQUENCE.)

Todorov (1969: 19–20)

Proposition takes a form of 'X leaves Y' or 'X arrives at Z'. They are a minimal actional unit of his syntax of narrative. Sequence, on the other hand, is a set to which a series of propositions belongs.

Todorov argues that Peronella's tale of hiding her lover in a barrel in one of the tales in the *Decameron*, for example, consists of the following sequence:

X commits a misdeed --> (socially required consequence) Y should punish X --> X desires to avoid punishment and therefore acts to modify the situation --> X is not punished

(Culler 1975: 216)

And Todorov concluded that the *Decameron*, describing how a lost equilibrium is

replaced with a new equilibrium by avoiding punishment, illustrated the superiority of the individual over the social.

One of the critical comments on this approach from Culler (1975: 217) is:

...our cultural models make “ruse” or “deception” a basic structural device in narration...

In the analyses of myths in Lévi-Strauss (1969), he showed the reduction of the degree of opposition between terms as the source of what he calls ‘reciprocity’ or ‘modification’ in Todorov’s terms. Another criticism by Culler (1975: 217) is:

...anything that modifies a situation will receive the same structural description,...

This should be looked at differently. What Todorov attempted to show was a sort of kernel structural description and different tales by different authors should derive from this in different fashions.

Chatman (1978: 92) also criticizes Todorov’s approach, saying

But to transfer Propp’s and Todorov’s method to any narrative macrostructure whatsoever is questionable. Most do not have the necessary overarching recurrences. The worlds of modern fiction and cinema are not two-valued, black and white, as are the Russian fairy tales and the *Decameron*.

As my analyses in PART TWO show, different manifestations of ‘modification’ constitute a writer’s specific discourse style.

Greimas’s (1983) actantial model is a compressed version of Propp’s concept of *dramatis personae*, which originally had three pairs of six ‘actants’: (1) Subject / Object; (2) Sender / Receiver; and (3) Helper / Opponent. According to his ‘structural semantics’, narrative can be grasped in terms of the structural relations between these actants. As with both Propp and Lévi-Strauss, Greimas argued that in narrative there

is a frame in which after a given order of things is disturbed, the initial disturbance (or misfortune or lack) is liquidated, and a new order becomes restored.

The trouble with Greimas's model is that in case of 'X dispatched Y', X is Sender and Subject of the dispatching act; while Y is the experiencer of the dispatching act and Subject being dispatched at the same time. The clause-initial unit 'The key' in 'The key opened the door' is not an AGENTIVE unlike 'Bill' in 'Bill opened the door with the key'. In the former sentence, 'The key' is a GRAMMATICAL SUBJECT, or semantically, an INSTRUMENTAL (Filmore 1968). In Greimas's model, a formal syntactic unit is not distinguished from a semantic unit on the surface, which is usually done in linguistics. The two criteria, syntactic and semantic, are discussed as being together at the same level. Thus his description of actants is confusing.

Bremond (1975a, 1975b), a French structuralist narratologist, offers a sort of systemic narrative model which allows choices at some nodes in Propp's linear chain of narrative units. Bremond sought the possibilities of story development following Propp's linear-arranged, syntactic model of folk tales. The framework of Bremond (1975a, 1975b) does not describe the making of a story itself, but it shows the possibility of two or more possible stories when an author writes a story. Using the same concept of 'function', 'actions' or 'events' that combine sequentially to produce narrative, Bremond modified Propp by making possible systemic sub-categorized sequences, instead of one ideal sequence of functions like Propp's model. Similarly, Greimas (1983) refined Propp's notion of *dramatis personae* and arrived at an actantial model which consists of six actants: (1) Subject / Object; (2) Sender / Receiver; and (3) Helper / Opponent. He regarded narrative as a system of relations between these six actants. In the analysis of Boccaccio's *Decameron*, Todorov (1969) also focussed on the narrated and developed a grammar to account for it.

Their analyses are all devoted to the structure of the story world, or the message-internal context, rather than to its discourse structure and they all regarded narrative as a device to restore order once lost. After a given order of things is disturbed, the hero goes on a quest for the lost order and, as a result, fulfills the initial aim of restoration of order.

After initial works on the narrated, there occurred a shift to the narrating, as I pointed out above (Ohori 2004a: 250–255), together with the rise of discourse analysis in linguistics. Genette is one of the representative narratologists who emphasized this aspect of literary language. In Genette (1980, 1988), he analyzed the time relations between the narrating text and the story it narrated.

Just as in linguistics it has been revealed that the description of the grammar of language alone is not sufficient to account for human communication and the necessity of the description of discourse has been insisted on, so in narratology, the grammar of narrative should be supplemented with its discursual aspects. In this dissertation, I therefore attempt to examine what I call ‘discourse theme’, ‘discourse rheme’ and ‘mediation’ which are manifested inside the story world of the text within the communicative framework between the author and the reader. Before a detailed discussion of this approach, I will focus on the other major field of style studies in the following section, which also emphasizes the message-internal world, or the story world.

#### 2.3.2.2 *Literary approaches*

There is a rich tradition in literary criticism which has explored the authorial voice



manifested in the text world. I will start my discussion with two major literary critics: I.A. Richards and C.S. Lewis. The former deals with the effect that a literary work has on us and the latter suggests the source of this effect. Though New Criticism shifted the object of analysis from 'author' to 'text', the discussion of textual effects upon readers that these two critics pointed to should also be discussed with reference to the author. After these two critics, I will touch upon E.D. Hirsch, a hermeneutic critic, whose criticism centered round the important role of 'author' as reflected in the text.

Richards's (1926) theory that we attain relaxation and peace of mind when finishing a great work goes far back to Aristotle's principle of 'catharsis' (Aristotle 1995: 49). According to Richards, at the imaginative level, we resolve a conflict between the desire to do and the desire not to do. A psychological solution reached at the end of a great tragedy is, thus, according to him, good for our nervous system. Richards's 'catharsis' (Richards 1929: 113, 245) is close to the anthropological ideas of 'liquidation' and 'mediation' that I will discuss in detail in Chapter 3. As I pointed out in the introduction, my understanding of the effects of literary discourse is close to this view, in that I believe a literary discourse is an attempt to solve the present problem the author (and therefore the reader) is facing in its linear development. After all, 'communication is problem-solving' (Leech 1983: x).

New Criticism has been criticized as being an approach to a literary text isolated from historical and biographical considerations. However, Richards's 'catharsis' theory pinned down one essential feature of literature in our lives, namely if a literary work does not give some psychological solution to a problem that a reader (and an author) has, then the work would not achieve wide readership.

Lewis (1961: 135) shows a view slightly different from both Richards's and Aristotle's doctrines, saying that literature, at the incipient level, becomes just a place

where the reader can be 'generous without expense', for example, when he reads Dickens. He thinks that a work of literature should be composed of two elements: Logos (something said) and Poiema (something made). According with the former, the work of art 'tells a story, or expresses an emotion', while, with the latter, Poiema, it is 'an *objet d'art*, a thing shaped so as to give great satisfaction' (Lewis 1961: 132; original italics) which comes from 'the pattern' or the 'thoughts in an order, and at a tempo, prescribed by the poet' (Lewis 1961: 133). 'Great satisfaction' from literary patterns, however, cannot be attained without the problem-solving effects that literature provides.

As was discussed earlier in 2.3.2.1, the concept of 'plot' in terms of 'function' or a message-internal, macro-structure, was a central concern in Propp's *Morphology of the Folktale*, 1968 [1928]. Also in literary approaches, there were attempts to pursue this aspect of a literary text: two of them are Forster's *Aspects of the Novel*, 1961 [1927], and Friedman's 'Forms of the plot', 1955. These attempts were pre-structuralist and they dealt with the functions and the types of plot.

When New Criticism emerged, it shifted the object of criticism from 'author' at discourse level to 'work' at text level. More lucidly, Barthes (1988b: 171) 'removed' the author from a text. Though structuralism replaced the humanistic concept of literature as an organic whole with an inorganic idea of text, it still believed in the text's autonomous objectivity. Before long, the text, the structuralist concept of which was a closed space, became assumed to be open to other texts and to the reader. In reading, however, is not our major concern with the author? When reading a literary work, we attend to the author, hoping that we may have access to the true intention of the work. If we are interested in other readers' reading, it is only as a reference to approach the work. In this sense, I am attempting to pursue something close to what

Hirsch (1988: 259) calls 'meaning' or 'textual meaning', not Hirsch's 'significance'.

He argues:

Marxist critics and formalist critics may be equally able to understand what a text means. What they usually differ in is the significance they give to that meaning... Meaning is an object that exists only by virtue of a single, privileged, precritical approach. No matter how much critics may differ in critical approach, they must understand a text through the same precritical approach if they are to understand it at all'.

(Hirsch 1988: 259-260)

His 'meaning' is, after all, what the text represents on the page. Hirsch's approach is, therefore, rather text-centered. Unlike Hirsch, Eagleton's view of literary language is, on the other hand, society-centered and should be classified into style category (B)-2, style in the message-external context. According to him, the definition of 'literary' is the ideological use of language:

What we have uncovered so far, then, is "that these value-judgements themselves have a close relation to social ideologies".

(Eagleton 1983: 16)

The approach I take here is author-centered, which does not mean I deny other manners of our relations with a literary text. I just assume that the author's mental process at the time of writing can be, albeit roughly, restored by referring to, and only by referring to, the text placed in the communication framework. It has been argued that we are not concerned with the author, but this thesis takes the view that the purpose of reading literature is a concern with the author. The reader can only reconstruct from the evidence what he or she takes to be the author's intention, and so this is the implied author. If the reader uses the evidence in the text carefully, then the implied author in the text, the inferred author (that the reader infers) and the real author will all be the same. We are able to read the evidence properly so that there

indeed is no difference, ideally, between what we as reader reconstruct as the author's intention and the real author's intention.

Though complying with the communication framework, some critics went so far as to value the addressee more.

Benveniste argued that language is the system whose meaning is articulated around two dimensions, the addresser 'I' and the addressee 'you', or in the I-you polarity. (Benveniste 1966: 260) For him, this polarity is the basis for the process of communication.

Bakhtin, being influenced by Benveniste's concept of communication, placed more emphasis on the addressee over the addresser 'I'. He introduces the position of the addressee even in what usually concerns the narrated world in which characters are placed. He argues that in Tolstoy's work, the author's discourse is about the hero (Bakhtin 1984: 56); on the other hand, in Dostoevsky's authorial discourse, the author speaks not *about* a character, but *with* him. (Bakhtin 1984: 63, original italics) But as Figure 4 illustrates, reading a fictional story, we enjoy a mock communication event in the dotted area as if it is real. Thus Dostoevsky's writing is, however 'dialogic' it sounds, no different from Tolstoy's. If we feel the author is speaking *with* the character, it is after all, illusionary.

Again starting with Benveniste's idea of an I-you communication framework, Barthes' post-structural approach to literature goes farther than Bakhtin and he bases it on the death of the addresser. Therefore, for this approach, the author's biographical details were of no importance. He claims that the signifier belongs to everybody and meanings in a text are multiple, making varying readings possible. Even codes in a text are varying. In *S/Z*, for example, there are five codes (hermeneutic, semic, symbolic, proairetic, and cultural) when it was first published in 1970. Using these

codes, he analyzed the first sentence of the story *Sarrasine*:

I was deep in one of those daydreams which overtake even the shallowest of men, in the midst of the most tumultuous parties.

By the title, we recognize it as a person's name. This is the hermeneutic code, or presentation of an enigma, as it raises a question 'What is this?' As the name ends with *e*, an instance of the semic code of connotation, we can tell that the title is a woman's name. The symbolic code concerns the binary oppositions and the 'daydreams' is in contrast with 'reality'. Identifying these five codes in the text, Barthes thus attributes meanings to *Sarrasine*, which might be different from what Balzac had originally in mind. Barthes claims that the plurality of meaning is inherent in every discourse. He showed us the freedom of the reader to read various sorts of signification so far hidden in the semiotic clues in a text, or to find pleasure reading a text; yet this work on the part of the reader still should be called 'reading instances of signification', not 'production of meanings'. When we detect one's class origin hearing his or her accents in 'It is cold here', for example, what is revealed is different from the semantic meaning or the pragmatic meaning of the utterance.

According to Jauss (1982), there have been three sorts of relationships between the work of literature, the author, and the reader. The first one is positivism in literary studies, which, in the 19th century, produced many nuanced accounts of the relationships between the work and the author's biography and the history in which the author lived. In this approach, the relationships between the author, his or her biographical facts and the work were considered, but the reader was not accounted. In the era of new criticism and structuralism (plus post-structuralism), the author and the biographical facts, were not considered, but solely the work, or text, directed to the

reader was considered. After that, in the era of reception theory and reader response criticism, the reader directed to the text became the center of attention. We may call this line of three sorts of approaches the production-oriented, the message-oriented and the reception-oriented. And according to Jauss, the approach that does 'take part in the process of continuous mediation of past and present art' is only the third approach of reader-text-interaction (1982: 62), which explains why a literary work has been long accepted across different periods.

Jauss's aesthetic reception theory was postulated as an answer to Marx's dilemma on classical art, that is, why literary works of art, having a long history of being received during different periods, did 'survive the conditions under which it originated' (Jauss 1982: 15). Jauss considered literature in terms of constant interactions of the work of literature and its reader, and for him, classical way of seeing literature as one between the author and the text is wrong.

What Iser (1978) is suggesting is that there are two components in a literary text. One is the textual structure and the other the process of supplying the reader with cues to which the reader makes his or her own responses. For Iser, the text creates blanks and indeterminacies that the reader fills. This is certainly the way we enjoy a literary text. The readers fill blanks differently, so we enjoy one text in a different way. However, we have to make this clear: the addressee cannot create meaning; the addressee can contribute for the successful communication of the meaning created by the addresser. If the addressee finds some meaning that is not intended by the addresser, it is misinterpretation on the part of the addressee and a failure of communication. The meaning of language is composed of semantic meaning (A) and pragmatic meaning (B). These two sorts of meaning encoded / implied by the addresser is communicated to the addressee and he or she encodes and / or infers them,

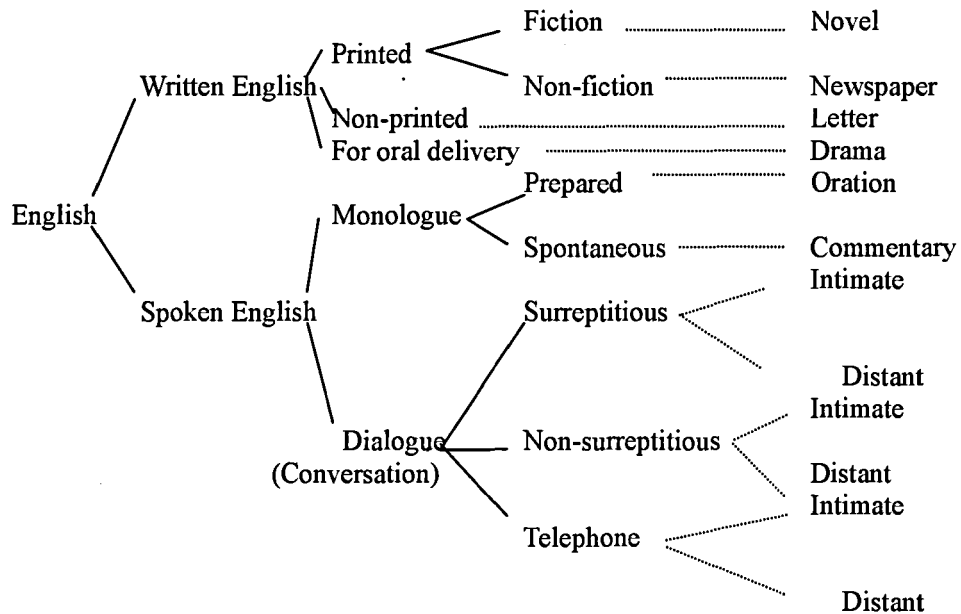
and sometimes the addressee's own interpretation of the message is added (addition of meaning (C)). But if this meaning is intended by the addresser from the beginning, then it is meaning B, not C. If one not intended by the addresser, then this is a failure of communication. However, in reading literature, miss-reading or over-reading is a part of enjoyment.

It is as a matter of course that in a communication event, as Jakobson's macro-structures of communication show, the addressee is given a role of his or her own. This, however, does not mean that the role of the author has diminished, which structuralists, post-structuralists and reader-response theorists have emphasized. Also it must be made clear that the reader never creates a meaning of a text; the reader can add a meaning to a text in his or her own context.

### 2.3.3 *Style based on message-external context (Category (B)-2)*

In contemporary Britain, approaches based on (B)-2 are being more and more widely adopted with influences from corpus-based English studies. However, these registers like Novel, Newspaper, Letters and the like as in the following Figure 2 are all categories of message-external context. In this dissertation, following Leech & Short (1981) and Short (1996), in order to see what is significant (literary significance) and what is not, I propose that the description of the message-internal context ((B)-1), or the fictional text-world, should be re-viewed within the context of the message-external, social, or speech-act approaches to literary discourse ((B)-2) (See Fowler 1981). In the following, the style categories I will examine are based only on the message-external context.

According to Svartvik & Quirk (1980), style based on (B)-2 can be categorized as follows:



(Svartvik & Quirk 1980: 12–13)

Figure 3

Message-external categories of style

Out of the above categories, ‘Novel’, a major object of stylistics, and ‘Drama’ are the categories that deal with a fictional world, in which a participant’s speech does not belong to the person, but to the author or playwright.

As I discussed in 2.2.2, ‘Hungry man is an angry man’ in James Joyce’s *Ulysses* the article in the first word ‘Hungry’ is not realized, because, in Joyce’s stream of consciousness, the state before it is governed by the rules of language is expressed. Such stylistic features as above cannot be fully appreciated only by consulting a dictionary. In order to appreciate the significance of the passage, we need to know the world of James Joyce.

On the other hand, the words such as ‘Haggadah’ and ‘Hair’ below have a stable



meaning, or a less context-dependent meaning, that the *OED*<sup>1</sup> can provide:

(10) Cf.1 **haggadah**. Add: 2. The Jewish ritual for the first two nights of the Passover. Also the book containing the text of the service.

...1922 JOYCE *Ulysses* 708 An ancient hagadah book.

Cf.2 **hair**. *Sb.* Add: 8...s. *to lose one's hair* (or *to get one's hair off*): to lose one's temper.

C 1920 D.H.LAWRENCE *Phoenix II* (1968) 120 'Nay—nay,' said Lewis testily. 'Don't get your hair off, Mrs. Goddard.'

(*OED Supplement* Volume II H–N)

The reason why for James Joyce a 'hungry–angry' combination is significant cannot be understood just by checking the sociolinguistic usage of the words in a dictionary. This is not only because the meaning the pair ('hungry–angry') bears is temporary, but because we need to know the communicative organization of *Ulysses*, and only when we place the word combination 'hungry–angry' in this organization can we fully appreciate the significance of the words. The following approaches, mainly socio-linguistic, attempt to apply what is found in natural discourse to a fictional discourse in literature.

### 2.3.3.1 *Labov & Waletzky's framework and the membership categorization device of natural discourse*

Labov & Waletzky (1967) examined oral narratives of personal experience. The structure of these speech events has the following temporal organization:

(11) Orientation–Complication–Evaluation–Resolution–Coda

Labov & Waletzky (1967: 32–41)

Labov<sup>14</sup> examines ‘a narrative told by a 73 year old man from South Lyons, Michigan, recorded quite a while ago by Claire Galed at the 1973 Linguistic Institute’. This is a narrative of a man killed by a car in the town. This narrative is preceded by the **Abstract** of the speaker (‘Shall I tell you about the first man got kilt–killed by a car here. . . Well, I can tell you that’) which does not necessarily accompany a narrative:

(12) **Orientation**

- a He–eh–‘fore–‘fore they really had cars in town
- b I think it was a judge–Sawyer–it was a judge in–uh–c
- I understand he was a judge in Ann Arbor
- d and he had a son that was a lawyer.

**Complicating action**

- e And this son–I guess he must’ve got drunk  
because he drove through town with a chauffeur  
with one of those old touring cars without, you know–  
open tops and everything, *big* cars, first ones–
- f and they–they come thr–through town in a–late in the night.
- g And they went pretty fast, I guess,
- h and they come out here to the end of a–  
where–uh–Pontiac Trail turns right or left in the road
- i and they couldn’t make the turn
- j and they turned left
- k and they tipped over in the ditch,
- l steerin’ wheel hit this fellow in the heart, this chauffeur,
- m killed him.

**Evaluation**

- n And–uh–the other fellow just broke his thumb–  
the lawyer who [hh] was drunk.
- o They–they say a drunk man [laughs] never gets it [laugh].
- p Maybe I shouldn’t say that,
- q I might get in trouble.

Here **Resolution** that is for terminating the narrative is not expressed. The last unit of a narrative is normally a **Coda**, ‘which is a functional device for returning the verbal perspective to the present time’ (Labov & Waletzky 1967: 39). The Coda ‘is accomplished by a variety of means’ (39), but a very simple tag line would be ‘And

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[14] For this, see ‘Uncovering the event structure of narrative’ on Labov’s Web Page:  
(URL: <http://www.ling.upenn.edu/~wlabov/home.html>).

they lived happily ever after' (40). In the case of the above example, the Coda is omitted because it is not necessary.

A discourse with initial Resolution or Evaluation is also acceptable in literature. For example, the description of the arrest of a criminal could be placed before his crime in the criminal's recollection. Kazuo Ishiguro's *The Remains of the Day*, Faber and Faber, 1989, for example, begins with a new master's advice to the hero butler, Stevens, to take a break and go for a drive, representing the fronting of the 'evaluation – *pre-resolution*' to the early part of the text. The butler's acceptance of this offer implies his return after his drive and his stay in the Manor. Actually he says he will 'undertake the expedition', and he returns. This is 'evaluation' that the narrator/butler applied to the course of his life in that he placed more value upon the above choice of his life course; this is also *pre-resolution* in that Stevens's temporary departure from the Manor to bring back Miss Kenton, Stevens's co-worker at the Manor, is the beginning of the end of *The Remains of the Day*. *A Pale View of Hills*, Faber and Faber, 1982, also begins with the fronting of 'evaluation – *pre-resolution*' when Niki chooses not to leave her new place in London and returns there, admonishing her mother, Etsuko, that it would be a shame for Etsuko to sell the house and move to a new house.

A problem with this approach is that we cannot access the 'evaluation' because it is not the narrator who evaluates, not the one who narrates the story, but the one who makes the narrator tell the story. To access the authorial voice, we need a device that can handle this complexity.

The idea of 'categorical devices' in socio-linguistics do not serve for the solution of this complexity, either. To read a medieval text, Chaucer's *Troilus and Criseyde*, for example, through its surface 'topical coherence' (Coulthard 1985: 85–88) networks,

an approach to grasp a literary text as ‘process’, is not enough if we aim to explore the overall function of literary discourse.

The micro-structural network of unifying devices of natural language is expected to be quite different from that of a literary text. The discourse of natural language can be seen as a simple succession of discursual units, or utterances, each of which is topically coherent. And the topics of utterances are subject to change from one utterance to another; these topic changes are not controlled, and their direction is unpredictable. This is because natural discourse is ‘open’ in nature. But in a completed text, a literary text for instance, some ‘integrating’ unit is indispensable, which will integrate the discursual units into one unified whole. This means that a text with mere surface coherence formed between the topically grouped utterances has no claim to the name of a unitary, completed literary text. In the construction of a literary text, the establishment of integration is a necessary and sufficient condition.

Here I will discuss micro-structural relations in stanzas 14 and 15, *Troilus and Criseyde*, Book 1, using what Sacks (1972: 333) calls ‘membership categorization devices’, a category collection or a semantic domain (Gumperz: 1972: 328), like FAMILY, for example. The relations in this work are not like Sacks’s relation of ‘baby–crying’, in which case we apprehend a semantic tie between the baby and the act of crying (Sacks 1972, Gumperz 1972 and Coulthard 1985). In analyzing a sentence sequence like ‘(1) The baby cried. (2) The mommy picked it up’, Sacks notes that we will automatically recognize the ‘mommy’ in sentence 2 as the mother of the infant in sentence 1, that is, it is topically coherent, though there is no overt linguistic device, such as ‘his’ or ‘her’, in either sentence which provides for this identification. According to Sacks, items like ‘mommy’ and ‘baby’ are regarded as ‘membership categorization devices’ which assign actors to some kind of social category and

endow them with specific features expected in the category. In this child's case, the baby is crying and this is an activity bound to the category 'baby' in the collection (baby – child – adult), the 'stage of life' device. Sacks sees background expectations as important in communication and these expectations are derived from a social structure 'constraining behavior in somewhat the same way that syntax constrains the encoding of sounds' (Gumperz 1972: 217). This activity enables us to set up FAMILY relationships (mommy – daddy – baby) but not (baby – child – adult), which is confirmed firstly by the fact that 'mommy' in the sentence (2) forms part of this collectivity and secondly by the fact that the two terms are not isolated but occur successively. If we apply the membership categorization rule to a literary work, it will be as follows. The text is Chaucer's *Troilus and Criseyde*. In the following, I will discuss the very early part of the story, which runs as follows:

Now fel it so, that in the town ther was Dwellynge a lord of gret auctorite,	65
A gret devyn, that clepid was Calkas, That in science so expert was that he Knew wel that Troie sholde destroyed be, By answeere of his god, that highte thus: Daun Phebus or Apollo Delphicus.	70

So whan this Calkas knew by kalkulynge, And ek by answer of this Appollo, That Grekes sholden swich a peple brynge, Thorough which that Troie moste ben fordo, He caste anon out of the town to go;	75
---	----

Gret rumour gan, whan it was first aspied Thorough al the town, and generally was spoken, That Calkas traitor fled was and allied With hem of Grece, and casten to be wroken On hym that falsly hadde his feith so broken, And seyden he and al his kyn at-ones Ben worthi for to brennen, fel and bones.	90
---	----

Now hadde Calkas left, in this meschaunce,  
 Al unwist of this false and wikked dede,  
 His doughter, which that was in gret penaunce,  
 For of hir lyf she was ful sore in drede, 95  
 As she that niste what was best to rede;  
 For bothe a widowe was she, and allone  
 Of any freend to whom she dorste hir mone. <sup>15</sup>

The semantic tie of ‘Calkas / lord – fled was’ in *Troilus* is not a natural one, that is, treason is an activity unbecoming to the social category LORD, and thus this violation of a social semantic code caused him to be re-membershiped as TRAITOR, which parallels the change of textual topic to <treason>. For this we need to posit a membership categorization device NATION, wherein Calkas’s conduct is labeled treason. Although the topic coherence is maintained for some stanzas, the device NATION overlaps a new device FAMILY: unlike Sacks’s ‘baby – mommy’, ‘Calkas – His doughter’ is tied by virtue of a possessive pronoun ‘His’, and the two form a collection (father – daughter), the device FAMILY <sup>16</sup>. However, to give an integrated interpretation to the collection of these devices, we need to discuss the necessity of establishing a communicative-functional framework of fiction above these devices.

### 2.3.3.2 *Van Dijk’s and text-linguists’ macro-structures*

Van Dijk belonged to ‘text linguists’, as the title of van Dijk (1972) shows. By extending generative sentence grammar to text production, in Germany and Holland,

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[15] The citations are from G. Chaucer (1987) *The Riverside Chaucer* (3rd edn.), edited by Larry D. Benson (Boston: Houghton Mifflin Company).

[16] Other devices from line 55 to 117 in BOOK 1 are, for example: LORD (lord–devyn–Calkas–he–his–Calkas–He) and TRAITOR (He–he–wise–He–Hym–he–Calkas, traitour–hym, his–he, his–His). These two devices are sub-categories of a larger device NATION. For detailed analysis, see Kikuchi (1981).

text linguists like Petöfi (1973), Rieser (1973), Ihwe (1973) and van Dijk (1972, 1973), influenced by generative linguistics, proposed in the early 1970s the analysis of text beyond sentence boundaries. The description of a text becoming complicated, they finally gave up their attempts to describe 'formal systems' (Ihwe 1973: 302) of a text grammar which could generate only a well-formed text. Among the text linguists, van Dijk is unique in that he has shown interest in macro-structural and social aspects of literary discourse. Van Dijk, who led this trend with his macro-structure hypothesis in van Dijk (1972), later incorporated in this view of text a pragmatic concept such as a speech act framework advocated in philosophical works such as Austin (1962) and Searle (1969). Though paying more attention to the language in context which two participants positively and cooperatively create, van Dijk has been one of the few to consider both the social (style category (B)-2) and the macro-structural aspect (style category (B)-1) of literary discourse. He argues

...our cognitive mechanisms will simply not allow us to understand discourse or information in a fundamentally different way. In this respect we should emphasize that literary discourse and literary communication generally will follow the principles holding for any kind of discourse and communication,...

(van Dijk 1978: Section 3)

...the interpretation of sentences and sentence connections will seldom be partial: at the local level we mostly know what the story is about. The complexity of (literary) narrative, however, requires that semantic processing also take place at the global level: the formation of macro-structures is necessary, otherwise we do not know what the story is about. In principle the same macro-rules operate as for other kinds of discourse'.

(van Dijk 1978: Section 3)

Van Dijk's concept of 'macro-structures' here only refers to schematic (super-)structures like Labov & Waletzky's (1967) Setting and Complication at the beginning of a narrative text with the Resolution later in the same text. Van Dijk does not go beyond the Labovian 'natural' narrative analysis. In natural narrative, the

narrator, whether there is a sub-narrator in a 'sub-world' (Werth 1999: 210–216) or not, is a real and autonomous being, and the narrator and the sub-narrator both belong to the same world of reference; while in a fictional story, the author and the narrator belong to a different world, one is real, the other not real, but fictional, and the narrator in the fictional world has no autonomy as an independent being.

### 2.3.3.3 *Other top-down approaches—text as 'product' in the Birmingham School of discourse analysis*<sup>17</sup>

Other top-down linguistic approaches developed to analyze natural language discourse provide us with an effective tool for the analysis of literary discourse. Linguists of the Birmingham School of conversation analysis, among others, have analyzed a classroom exchange between the teacher and the students (Coulthard 1985, 1992). This approach looks fruitful in that a classroom exchange is also a problem-solving activity, ensuring context-specific significant coherence between the utterances.

The Birmingham School of discourse analysis is characterized by a top-down approach to natural conversation, in contrast to conversation analysis (e.g. Sacks et al. 1974) developed mostly in America. The aim of Birmingham linguists is to elucidate the utterances made in a classroom in close connection with the structure of the classroom context. This is from the understanding of difference in meaning in form

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[17] Eggins (1994: 87–89) argues that there are two kinds of context in the systemic model of language. One is 'context of culture', namely, genre, and the other 'context of situation', that is, register. Each category of context has its own coherence type. One is 'generic coherence' which relates to the context of culture, and the other 'situational / registerial coherence'. The former is a genre-specific coherence, while the latter is a kind of coherence that can be identified in one context in which all clauses of a given text can occur. In this dissertation, to make discussion simple, I will use Cook's definitions.



and function. A mere combination of syntactic and lexical information sometimes cannot reveal the real meaning of an utterance. For example, one functional meaning of a reply (right-hand side) to the question (the left side) could take the following four forms, illustrating the difference between form and function (Coulthard 1985: 121):

(13)		
	Int.	Is it in the cupboard?
Where's the typewriter?	Decl.	It's in the cupboard.
	Imp.	Look in the cupboard.
	Moodless	In the cupboard.

Also in a classroom interaction, the following five ranks have been assumed (Sinclair & Coulthard 1992: 5):

- (14) Lesson  
 Transaction  
 Exchange  
 Move  
 Act

At the level of 'exchange', a minimum unit between a teacher and the students is claimed to be composed of three 'moves': Initiation + Response + Follow-up (Coulthard 1985: 125). In the Initiation move, for example, if a teacher says 'Well', the utterance could be a speech act that marks a boundary at which a new exchange begins:

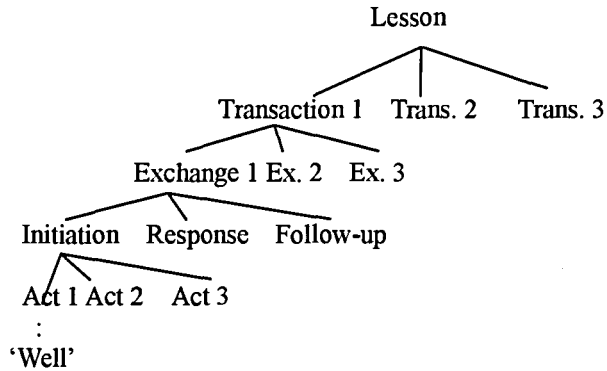


Figure 4

## Classroom discourse strata

Literary discourse is comparable in the sense that it is also a multi-layered problem-solving act of communication. But a literary discourse is not an exchange but a sort of very long single ‘turn’ by one participant, that is, the author.

## 2.4 AN INTEGRATED VIEW OF LITERARY DISCOURSE

So far, while reviewing past literature on literary language, I have emphasized the importance of ‘message context’ both text-internal (that is, within the fictional text world) and text-external (that is, in the real world outside the text), for evaluation of the literary significance of a linguistic feature in a literary text. Not only a single linguistic feature (message form), but also the context in which the feature occurs (message context), both message-external and message-internal, are important in evaluating the real significance of the item.

The importance of a functional view of literary style has already been suggested by some leading stylistics scholars. Early in the 20th century, in his *La language et la vie*, 1952 [1935], Charles Bally outlined what areas ‘stylistics’ covers, saying:

En résumé: la stylistique d'une langue doit opérer sur une période bien déterminée de son évolution, en s'interdisant de chercher des matériaux ou des preuves dans les périodes antérieures ou subséquentes; elle doit s'attacher à toutes les manifestations de la vie linguistique de l'idiome (vocabulaire, syntaxe, sons, etc.), en prenant pour base le langage spontané, naturel, parlé, émanation de la vie réelle;...

(In short: the stylistics of a language must deal with one well defined period of its evolution, avoiding seeking materials or evidence in the time before or after the period; it must examine all the manifestations of the linguistic life of the language (vocabulary, syntax, sounds, etc), by taking for its base spontaneous, natural, spoken language, the emanation of the real life;...)

(Bally 1952 [1935]: 109)

In Japan, in 1938, Tadao Yamamoto suggested the same linguistic items as above to be dealt with in stylistics in his *Buntairon Kenkyu* [Studies in stylistics], saying that one stylistic factor of a writer could be realized in various grammatical aspects of his language (Yamamoto 1938: 69); and in 1940 he expressly showed the same areas to be studied in his *Buntairon* [Stylistics], arguing that

The linguistic method to study style is stylistics...What stylistics deals with coextends with what linguistics covers; that is, stylistics also covers phonetic shapes and all semantic matters, not only a small grammatical area. What makes stylistics different from grammar is only its method, not the area it deals with.

(Yamamoto 1940: 41–42)

In 1981, in his *Eigo-no Style* [Style in English] Toyota Masanori emphasized the necessity of stylistic studies to cover the same field as Bally proposed. At the time of publication, these scholars all included 'sentence', and not 'discourse', a level above sentence, in their scope of study. This is because until quite recently the sentence was 'the last entity dealt with by linguistics'; however, there were some who found discourse 'beyond the sentence' (Ricoeur 1984: 30).<sup>18</sup> However, Yamamoto (1938: 103) suggested the importance of Bühler's (1965) four functional elements (addresser,

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[18] 'For a long time it was one of the tasks of classical rhetoric to deal with this ordered aspect of discourse' (=a succession of sentences) (Ricoeur 1984: 30).

addressee, message, context),<sup>19</sup> a functional view which discourse analysis later includes in its scope, particularly in Halliday's interpersonal component; and Toyota (1981: 186) stated the importance of something that integrates a bundle of stylistic features, the idea of which is close to the multi-layered literary communication system (Leech & Short 1981 and Short 1996) and the 'supra-sentential structure and meaning' (van Peer 1991: 4). Their ideas of message-external context surrounding the text should be separated from the concept of 'message context' within the text (message-internal), or the fictional world the text creates. As I have examined in Section 2.3.2, the structural analyses of the 1970s were concerned only with the narrated (the story world) (the dotted part that resembles the framework of natural discourse) and did not consider the discourse level above the fictional world.

The literary text presents the story as if it is real. The readers, knowing that the narrated story is not real and yet sometimes forgetting that it is not real, enjoy the mock reality represented on the pages. This multi-layered communication framework of literary discourse will be represented as below:

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[19] The I-you polarity is also Benveniste's important suggestion for human discourse. He argues that on this polarity the process of communication is based:

*La polarité des personnes, telle est dans le langage la condition fondamentale, dont le procès de communication, dont nous sommes parti, n'est qu'une conséquence toute pragmatique.*

(The polarity of the persons is the fundamental condition in the language, whose process of communication, which is our starting point of discussion, is only one very pragmatic consequence.)

Benveniste (1966: 260)

Paul Ricoeur's position concerning language is also communicative. Following Benveniste, Ricoeur's discourse consists of communication elements like addresser, addressee, setting, topic, etc. (Ricoeur 1991: 77-78).

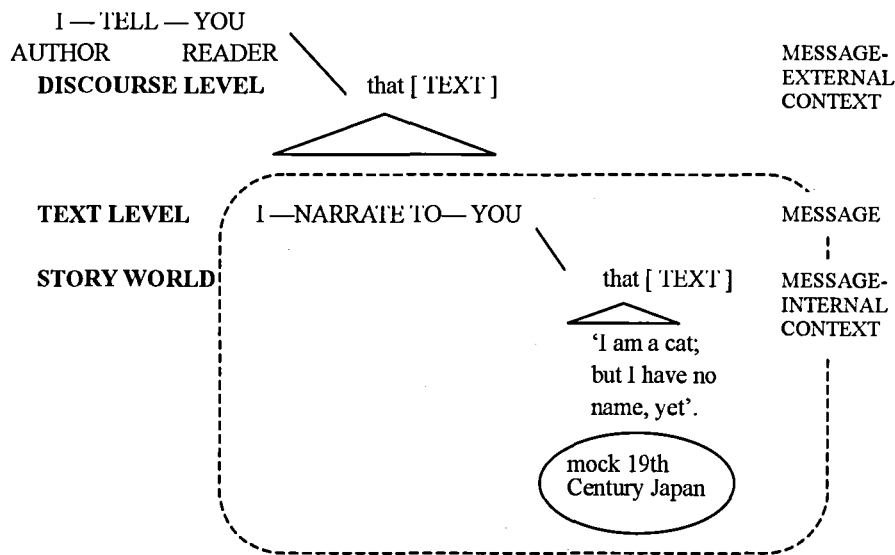


Figure 5

Communication framework of literary discourse

As a narrator belongs to the story world, he or she cannot govern and condition the story world, or the story world cannot be the ultimate and single source of information that is necessary for the understanding of the text, because the text world in a fictional text is, as Figure 5 show, only a sub-world within the overall framework of literary communication. We need to resort to the overall framework for the functional interpretation of the text. The presence of the discourse level as described in Figure 5 above ensures the presence of the source of textual significance.<sup>20</sup>

If the discussion I have presented so far is correct, those narrative theories that do not distinguish literary discourse from natural discourse and assume that they both have the same communication framework with the same number of levels will have to

[20] Lanser's (1981: 151) 'extrafictional voice' is similar to the discourse level in Figure 5. Among her hierarchical voices in a narrative text, what she calls 'extrafictional' voice is, according to her, the ultimate source of authority which governs all the other voices that the text creates, and this is equated with the voice of the implied author as Lanser (1981: 151) argues:

...the narrating voice is equated with the textual author (the extrafictional voice or «implied author») unless a different case is marked — signaled —by the text.

What is important here is that from the extrafictional voice provides the information to formulate an 'implied' author. (For the discussion of 'implied author', see 2.3.2.2.)

accept modification.

Among the major linguistic approaches to literary language which regard as important both the message-external and the message-internal contexts (the real world and the story world), in addition to the message form, the one that should be mentioned first is Fowler's approach (1986, 1996). In his linguistic criticism, Fowler showed a more socio-linguistic tendency in his study of literary language, emphasizing the importance of the text-external message context, and said that "poetic language" is not an objective, distinct entity, but an imaginary concept produced by the business of letters by way of publishing, reviewing, criticizing, theorizing and teaching' (Fowler 1986: 72). Preceding his emphasis of socio-linguistic aspects of literary language, Fowler's earlier interest was in text linguistics and structural analysis of myth and narrative as was widely done in France in the 1960s and 1970s, emphasizing some sort of macro-structures over a collection of sentences created text-internally. In Fowler (1977), he claimed:

Describing plot structure and theme, and the roles of protagonists, in ways which relate these structures to potential universals, seem to me valid and important enterprises in the theory and history of the novel.

(Fowler 1977: xi)

Fowler's suggestion of a message-internally created story world of macro-structures is almost coextensive with Widdowson's (1984), who argues:

Literature...represents realities other than those conventionally referred to by creating unique schemata which confer upon signs *an additional dimension of meaning*.

(Widdowson 1984: 158, italics mine)

Widdowson's 'additional dimension of meaning' refers to a new scheme created in language with a conventional reference system. This is the feature of literature and the

result of what Guy Cook calls ‘schema refreshing’, or world-view changing (Cook 1994: 10–11), which is one of the three major functions of schema.<sup>21</sup> Cook further argues:

Discourse of the last type [i.e., schema refreshing] will deviate from schematic expectations. Linguistic deviation and structural deviation may be side-effects or causes of schematic deviation, but are not enough to disrupt schemata on their own. Discourse which is acclaimed as ‘literary’ is often of this ‘schema refreshing’ type, and it is this that accounts for the high value placed upon it.

(Cook 1994: 10–11)

Or Bex (1996: 183) calls this message-internal, text world ‘an alternative world’:

It [i.e. literature] offers us *an alternative world* against which we can judge the phenomenal world. This possibility seems to be confirmed by the application of relevance theory. If readers initially approach written texts using the same cognitive interpretive processes, when they are faced with a text that clearly does not refer to the real world they will assign some relevance to the cognitive world they have created.

(Bex 1996: 183, italics mine)

Their notions, ‘plot structure’, ‘the additional dimension of meaning’, refreshed ‘schema’, and offered ‘alternative world’, all refer to the message-internally created world. Their notions, however, should be ‘refreshed’ or supplemented by Fowler’s socio-linguistic dimension of communication framework on the basis of the actual framework of literary discourse as Figure 5 illustrates.

## 2.5 CONCLUSION OF CHAPTER 2

I began this Chapter with the review of literature with stylistics, a major branch of

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[21] ‘Schema refreshing’ is one of the three major functions of schema. The other two are ‘schema reinforcing’ and ‘schema preserving’.

language studies for literary language from two standpoints: (A) Style based on the message context ((A)-1: message-external context (= real world), (A)-2: message-internal context (= story world), and (B) Style based on the message form. This classification of style is to show that more emphasis should be placed on the message-context, whether text internal or text external, for an author's specific literary significance does not lie in individual message forms alone. I also reviewed Roger Fowler's viewpoint of literary language, which is both 'macro-structural' and 'social'. This duality is the source of both literariness and literature as discourse, which underlies Fowler's 'mind style'. I also examined other linguistic approaches which lay emphasis on the literary dimension of meaning: R. Jakobson's and M.A.K. Halliday's. Jakobson's 'parallelism', I assume, should be re-interpreted in a dynamic dimension of communication like Halliday's functionalism. This dynamism in communication also characterizes literary language placed in society as a communication setting. Cognitive patterns in a text world should also be understood in this dynamic framework. This approach, functional as well as textual, gives us a far better tool for the understanding of literary language than just thinking of this variety of language as a mere collection of specific linguistic features like a social or a regional dialect.



## Chapter 3 METHODOLOGICAL FRAMEWORK

### 3.1 INTRODUCTION

In Chapter 2, I outlined some existing approaches to literary discourse and argued that not many of them consider the functional and communicative aspect of literary discourse, which involves the message forms (the micro-structural), the message-internal context (the macro-structural story world), and the message-external context (the real world). In this Chapter, I will examine in detail this integrated, functional and communicative nature of literary discourse, especially focusing on its mediating function.

In Section 3.2, I will start my discussion with two varieties of functionalism: the functionalism of Mukařovský–Jakobson, on the one hand, and that of Prague linguists like Mathesius and Halliday, on the other. There will be more freedom of verbal units in longer literary discourse and, in a longer work, the scope of parallelism is decided by a superordinate, functional structure at the discourse level. In a longer poem, for example, the levels on which verbal items function go up along the Rank scale, and as they go up, the verbal items resort to higher-level parallelisms for their artistic effects. In prose, higher-level structures like the episode become more important and almost no verbal items at lower linguistic levels form parallel correspondences for literary effects except for the occasional use of lower-level items such as lexical repetitions or alliterations.

This is followed by the discussion of the necessity of functional parallelism governing the micro-structural parallelisms. For the super-structure discourse

framework, I will examine Ross's (1970) declarative sentence theory based on Austin's speech act theory. I will claim that at the playwright /author — audience / reader level of Leech & Short (1981: 255–287) and Short (1996: 168–194), Ross's superordinate performative clause forms the communicative superstructure. The super-structure discourse framework does not require explicit structural representation, but is a necessary condition for every literary discourse.

In Section 3.3, I will argue that the source of coherence with literary significance is derived from thematization based on Ross's superordinate performative structure at the level of text. As I mentioned in Chapter 2, the literary coherence in a text comes from the communicative setting between author and reader, playwright and audience. In this Section, Brown & Yule's two effects of thematization (a starting point marking effect and a chunking effect), varieties of theme, and topic development will also be discussed.

In Section 3.4, I will focus on the thematic structure in literary discourse. In the prepositional part of Ross's performative structure, there is communicative dynamism working, which consists of theme, rheme, and mediation. I will also attempt to present the conditions for the definition of these three key concepts: that is, what I term discourse theme, discourse rheme and mediation. In addition, I will discuss the problem-solving function that thematization holds in literary discourse. In literary discourse, theme, or 'discourse theme' to use my terminology, transforms itself or becomes 'mediated' into rheme, or 'discourse rheme', in a literature-specific fashion. In the unmarked case, the literary text unfolds from prominence as discourse theme to a new-information-oriented prominence as discourse rheme. By scrutinizing this thematic structure in literary discourse and the way it becomes mediated, we can gain access to what the author consciously or subconsciously hopes to convey to the reader

in a coherent way. Finally, I will attempt a sample analysis of Kazuo Ishiguro's works using the ideas discussed in this section.

### 3.2 FUNCTIONAL PARALLELISM OVER MICRO-STRUCTURAL PARALLELISM IN LITERARY DISCOURSE

Literary language uses a functional aspect of language for coherence of its message-forms in the message-internal story world. Without any functional support for the coherence interpretation of the text, parallelism, one of the cohesive devices in a unified text, is only a collection of seemingly recurrent items. What sort of coherent meaning in the text do they serve? What function do they have in the text? Functionalism seems to provide us with a relevant point of view for these questions. Below I will discuss two sorts of functionalism: one is Mukařovský–Jakobson's and the other is the Prague linguists', like Mathesius's, and Halliday's. In the discussion, I will offer an overview of Mukařovský–Jakobson's parallelism, the central idea of their functionalism that, they argue, characterizes literature. Then I will examine the Prague linguists' and Halliday's approach, in which an information structure governs a number of parallel correspondences in the message form, or the text. In the discussion of the former, I will examine:

- (1) how an English literary work has come to owe much of its beauty to parallelism at higher linguistic levels such as episode, at which level the Prague linguists' and Halliday's text-forming function comes in; and
- (2) how parallelisms that play a central role in a short poem work in a long poetic work of, say, thousands of lines, and in prose, in which the Prague linguists' and Halliday's information structure provides coherence to the text.

In the examination of the Prague linguists' and Halliday's functionalism, which, I assume, can provide the highest-level framework for the coherence of a literary text, I will discuss:

- (3) how a literary text can be coherently interpreted within the communicative framework between author and reader in a specific context.

### 3.2.1 *Two varieties of functionalism*

Functional linguistics, as opposed to formal linguistics, regards a language as a communication system that has been formed by fulfilling specific historical and cultural needs, not as a system of rules that combine one constituent with another. Halliday, the founder of functional linguistics in Britain, or the Systemic Functional Theory as it is widely termed, outlines the history of this approach as follows:

Systemic, or Systemic-Functional, theory has its origins in the main intellectual tradition of European linguistics that developed following the work of Saussure. Like other such theories, both those from the mid-20th century (e.g. Prague school, French functionalism) and more recent work in the same tradition (e.g. that of Hagège), it is functional and semantic rather than formal and syntactic in orientation, takes the text rather than the sentence as its object, and defines its scope by reference to usage rather than grammaticality. Its primary source was the work of J.R. Firth and his colleagues in London; as well as other schools of thought in Europe such as glossematics it also draws on American anthropological linguistics, and on traditional and modern linguistics as developed in China.

(Halliday 1994b: 4505)

Functional linguistics originated in East Europe, especially at two major schools: the Moscow School of Functionalism that Propp, Voloshinov, Bakhtin and Jakobson represented, and the Prague School of Functional Linguistics of which the representative scholars are Mathesius, Mukařovský, Daneš and Jakobson.

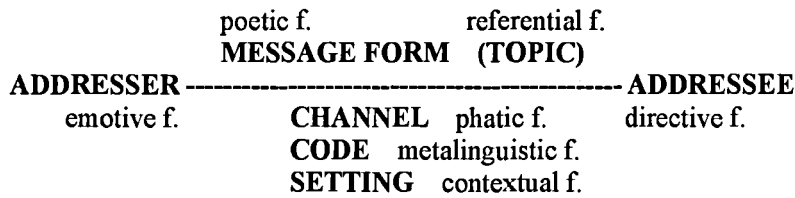
Functionalism itself was brought to Britain through Malinovsky, and it was developed into the British style of functionalism by Firth, Halliday, and Sinclair.

East European functional linguistics has contributed to an understanding of the characteristics of literary language. As I have outlined in Chapter 2, Mukařovský and Jakobson's aesthetics of verbal art have shed more light upon literary language than other theories before them. The Mukařovský–Jakobson approach to literariness, however, confined its focus within the text, or the message form, in spite of their communication model shown in Figure 1 below. In this dissertation, I claim that a literary text should be placed in the communicative framework as Mathesius (1975), Halliday (1994a), and others in Prague and London (e.g. Firbas 1964a, Firth 1957), claimed for natural discourse.

I will first examine 'parallelism', a central idea of literary aesthetics, in Jakobson (1960: 368–369) and Cook (1989: 15–16, 1994: 29–30); and then I will examine Prague linguists' and Halliday's functionalism in Section 3.3, especially their text-forming function that will complement the Mukařovský–Jakobson aesthetics.

### *3.2.2 Roman Jakobson's poetic function: seven components and seven macro-functions*

Language used in communication is assumed to be composed of the following seven elements, each equipped with a macro-function:



*Figure 1*

Seven Macro-components and Seven Macro-functions of Language <sup>1</sup>

The ADDRESSER is one who sends a MESSAGE, that is, the writer or the speaker; while the ADDRESSEE is the receiver of the MESSAGE, the reader or the listener. The CHANNEL is the medium through which the message passes. A speaker's voice, a writer's letters or characters, a telephone line, a computer screen, etc. are media in communication. MESSAGE FORM refers to the specific grammatical and lexical selection of the message. The poetic function is realized here. The TOPIC refers to the content of the MESSAGE. The CODE means a specific language like English or German, or a dialect of a language. The SETTING indicates the social or physical context in which the communication takes place. Each element is associated with one macro-function.

According to Jakobson (1960: 356), Hymes (1968: 117), and Cook (1989: 24–26, 1994: 153–154), a message focussed upon the MESSAGE FORM is poetic in its function. According to Jakobson's poetics, so named after the major advocate of this view, a poetic work is a collection of self-focussed equivalent units that correspond with each other. In other words, poetry is a text involving parallelism of linguistic units, from those of lower levels (phonological, morphological, lexical, etc.) to higher levels (text, episode, etc.). <sup>2</sup>

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[1] And it is as natural to focus on addressee when discussing communication as on addresser. In this dissertation, I will focus just on the addresser's role in the thematization of the text.

[2] 'Repetition, however, does not just involve recurrence of sounds. It may also rest on an equivalence of syntactic structure or of the semantic content of individual words'.

### 3.2.3 *More freedom of verbal units in longer literary discourse*

Considering the fact that English has taken the ‘analytic’ course, simplifying paradigmatic systems and fixing word order, the planes on which parallelisms are realized seem to have a specific shape of their own after Early Modern English. Modern English does not have a rich system of paradigmatic elements, especially in the lower linguistic units like morphemes; and the decreased flexibility of word order does not help because in a limited space such as a short poem (e.g. an 8-line poem, a sonnet, etc.), there is little room for a higher unit like a clause or a sentence to be used for paradigmatic variation.<sup>3</sup> Therefore, it is necessary to probe into parallelism at higher linguistic levels of a poetic work in Modern English even if it is short. A short poem should show salient parallel correspondences of verbal items closely juxtaposed, but it cannot show its effective parallelism if it is written in Modern English without higher level parallelism. In this section, I will examine a longer text, verse or prose, and discuss why it is necessary to go beyond Jakobson’s parallelism, which is mainly focused upon short works of poetry.

Why is it then that Jakobson restricts himself to the analysis of short poetic texts?

He argues:

The only restriction that I have allowed myself to place on the selection of texts regards their length.... The simultaneous synthesis accomplished by the immediate memory of a short poem plainly determines its structural laws and distinguishes them from those which underlie the network of lengthy poems. Such poems, similar in some principles of their construction to long musical compositions with leitmotifs running through the work, offer a separate theme that I try to outline in examining diverse specimens of epic genre...

(Jakobson 1981b: 770)

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(Boase-Beier 1994: 405)

[3] For the historical discussion of parallelism in English poetic texts, from Old to Modern, see Kikuchi (2003b).

In composing a long literary text like narrative poetry or prose, the author should face this problem of limitations in memory. His or her compositional work cannot be done at the level of phonology, because the longer a text, the more difficult it becomes for the lower linguistic units to correspond to each other. As I examine Chaucer's end rhymes in 3.2.4, closely juxtaposed rhymes correspond to each other; however, if these rhyme words are placed hundreds of lines apart, it becomes almost impossible to find correspondences if the text does not have some superordinate structure that semantically governs these rhyme words. This is also the case for metre and rhythm, which are also phonological devices with which to create textual unity. At such lower linguistic levels as phonology or morphology, numerous correspondences of verbal items exceed our 'memory'; namely, the freedom of arrangement increases. In a longer text, therefore, we have to appeal to some higher levels, which govern the lower units from above.

The following is an example of the poetic function in a short prose extract in which corresponding units, a series of bilabial /m/ consonant and lexical units which contain this sound, are closely juxtaposed. The text is from Ruth Rendell's *Master of the Moor* (*Master* in quotation). The prose text below is used as an example that does not depend so much upon phonological correspondences for its literary coherence:

- (1) Stephen...had found Marianne's body and then had found Ann Morgan's car. (p. 80)...There was no time since the departure of his mother, when the moor had not been to him a refuge, a domain,...the murderer of those girls, this man who had usurped Vangmoor and made himself a greater master of it than he....(p. 84) Malm launched into a spate of questions. This time they were all concerned with the geography of the moor and Manciple,...(p. 87) So there was a Minotaur here, after all, a monster, half-man, half-animal, who inhabited this maze. (p. 109)

Rendell (*Master*, p. 84, p. 87, p. 109)<sup>4</sup>

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[4] The text used is R. Rendell (1982) *Master of the moor* (London: Arrow Books).



From the extract above, I deliberately excluded the words which do not have the /m/ sound at their head except Vangmoor and half-man. This succession of the sound /m/ (Marianne's (victim) body ... Morgan's (victim) car ... mother ... moor ... murderer ... man ... Vangmoor ... master ... Malm (detective) ... moor ... Manciple (detective) ... Minotaur ... monster ... half-man ... maze) converges upon one key word 'mother'.

In an extracted 'short' portion of a text such as the above, it is rather easy to see these poetic textures, the linear display of equivalent units on the chain axis. In such a 'short' text as above, in which one linguistic unit is put close to the other units with the same feature, there is no difficulty in reading repetitive self-objective verbal patterns. However, if there is more distance between the units, that is, if equivalent linguistic units are projected on the combination axis as far apart as several hundreds of lines away, then it becomes difficult to pinpoint their relationships.

In his analyses of poetry, Jakobson showed us various correlations of elements at different linguistic levels (phonological, morphological, lexical). However, we cannot view all these levels as equally pertinent or available in any analysis. Rendell's prose discourse above shows this inequality in the status of linguistic elements. We do not need to cite Dupin's theory in Edgar Allan Poe's *Gold-Bug* to assert that a certain alphabetical letter, however frequently used in an ordinary English passage, does not play a correspondence-forming role.<sup>5</sup>

We can see this inequality in the status of linguistic data in Rendell's text. In it, the poetic function reduces its operation on a lower level such as that of phonemes or morphemes, though in some parts they are effectively employed; they may be recognized only within the scope of some other superordinate patternings ruling over

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[5] In the *Gold-Bug*, Dupin, a detective, assumes that 8, which is most often used in the letter in cryptograph, corresponds to an alphabetical letter *e* because this letter is most frequently used in English.

the lower, subordinate phonological and morphological patterns. Without it, we cannot give a satisfactory explanation which covers the configuration of /m/ above and other series of items.<sup>6</sup>

In Rendell's novel, the phoneme /f/ is also repeated many times. All through the novel, the /f/ sound appears in the word *Foin*, and it shows a particularly dense assemblage in the latter part of the novel:

- (7) There were probably flowers growing in the border here. He saw them as a grey mass, a fuzzy fungoid growth, and he stabbed the spade in among them haphazardly. His fancy was playing tricks with him, for when he looked up he thought for a moment a face had looked back at him out of the gloom behind the kitchen window. (p. 205)...He fastened the rope to the lip of rock and clambered down Apsley Sough. The sides of the shaft were moist and slippery but not running with water and there was no water lying in the chamber at its foot. Stephen felt relief. There had been times in the past days when he feared a flooding of the mine. (p. 209)

Rendell (*Master*, pp. 205–209)

Without understanding some higher thematic structures over these lower linguistic correspondences, which is suggested in the phrase “female principle” and “a kind of opposite of the phallic” (Rendell 1982: 112) it would be difficult to see that the phoneme /m/ represents ‘mother’; while, /f/ stands for ‘father’. They are two key words in this novel. They represent a sort of power conflict, one attempting to overwhelm the other. Quirk (1968: 5–6) pointed out that prior to the appearance of the monster, Grendel, in *Beowulf*, there is also this sort of special constellation of a key sound. Quirk argues:

It can be shown that in a good deal of Old English poetry, too, words ‘interanimate’ each other, to use Donne’s admirable expression. The name *Grendel*, for instance, is alliteratively linked in more than half its two score occurrences with words congruently

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[6] The ‘superordinate patternings’ for *The Master of the Moor* are just posited as a theoretically possible construct which would take the thematic–mediation–the rhematic as well. Getting down into and out of the pit would possibly be significant correlating with /f/ and /m/ sounds here, but it remains to be analyzed.

indicative of fierceness, especially *gud* and *gryre*: and it is surely unnecessary to point out that there is no question of the poet's being obliged to make such selections by reason of a scarcity of words which will alliterative.

grimre guðe, gif þu Grendles dearst  
niht-longne fyrst nean bidan. (525 ff.)

The grammatical connexion of *grimre guðe* here is with Beowulf's skill in the past, but its equally potent lexical connexion is with Grendel and his present threat. Similar relationships appear in lines 819, 1538, and elsewhere.

Just as 'the setting up of lexical expectations is basic in the composition and enjoyment of the early poetry' (Quirk 1968: 4), an assemblage of specific sounds around a word or words plays a role of getting the reader to expect the appearance of something. With this in mind, we can easily see the two key sounds /m/ and /f/, converge upon a third victim's book entitled

(2) 'Muse of Fire'.

This reading is not possible until we posit a superordinate structure over the phonological items placed far apart from each other. In the case of *Beowulf*, we need to know the role of this monster in the story to appreciate the phonological congruence of /g/.

In Hemingway's *The Old Man and the Sea*, the same third person pronoun, one being the nominative case and the other the objective case, is used effectively to blur the demarcation between the two different referents in the old man's fight with a shark:

(3) The shark came in a rush and the old man hit him as he shut his jaws. *He hit him* solidly and from as high up as he could raise the club. This time he felt the bone at the base of the brain and *he hit him* again in the same place while the shark tore the meat loose sluggishly and slid down from the fish.

Hemingway (*Old Man*, p. 114)(italics mine) <sup>7</sup>

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[7] The text used is E. Hemingway (1980) *The old man and the sea* (New York: Scribner).

In the first sentence, the shark and the old man take the subject position in turn in the three connected clauses: The shark came...the old man hit...he (that is, shark) shut. The first subject refers to the shark and, in the second clause, the old man takes the subject position and in the third clause it is taken by the shark again. In thematic terms, the highlighted clause in this first sentence is 'He hit him'. We may call this a thematic key clause. This key clause appears twice. The other one is in the third sentence. In the first sentence, this clause takes an imperfect form sharing the predicate part with the other two, '...the old man hit him'. All through the three examples, the subject and the object never change. They are 'the old man' and 'the shark' respectively. Syntactically there is no ambiguity. However, due to the sound similarity and being the same pronominal item, 'he' in a nominative case, the one that attacks and the one that is attacked become ambiguous indicating the fierce fight between the two. Considering the fact that the novel begins with 'He' as 'He was an old man who fished alone in a skiff in the Gulf Stream and...', and the special density in appearance of this third person pronoun up to this fighting scene, we may say that, as in the case of Ruth Rendell's *Master of the Moor* above, Hemingway also used the repetitive sound as his prose technique.

Lodge (1992: 89–93) points out that these sound repetitions also appear in a work of a writer whose writing style is thought to be most foreign to repetitions, and says that in Hemingway's 'In Another Country', this prose writer's superordinate literary theme is 'death'. This short story, which begins with 'In the fall the war was always there', centres round, according to Lodge (1992: 91), the unspoken key word 'death':

The American word for autumn, *fall*, carries in it a reminder of the death of vegetation, and echoes the conventional phrase for those who die in battle, "the fallen". Its juxtaposition with *cold* and *dark* in the second sentence strengthens these associations.

Even for Hemingway, who rejected traditional elegant variation as falsifying when he conveys experience, his writing style cannot go without centring on the words associated with his literary theme, death. Other texts that are discussed in Lodge (1992) are D.H. Lawrence's *The Rainbow*, the Old Testament, Charles Dickens's *Bleak House*, and Martin Amis's *Money*.

In PART II, considering the overall structure over the six stanzas, I will discuss how the author's name, E. A. Poe, is anagrammatically echoed in the key word 'Porphyrogene', in the form Po-p-o-e-e, in the semantic textures over the six stanzas. And with a similar overall system in mind, I will also discuss how we can identify the one who put his signature on 'The Purloined Letter' (*Purloined letters*), Poe's detective story. Chaucer's *Canterbury Tales*, which is considered metonymical in style (Brewer 1974: 1–20), actually has a metaphorical semantic structure supporting correlations such as of rhymes at the morpho-phonemic level. Regarding each tale as a variant of others, and therefore equivalent on the vertical axis of language, we can extract common features from each tale. For example, *The Canterbury Tales* consists of a repetition of EVENTS like <Miller steals flour from student>/<Student gets back flour from miller>, or <Old carpenter has young wife>/<Young student steals young wife> forming a pair of semantic units of FAIRNESS in POSSESSION, ending in false 'FAIR' to preach to the listeners of the tales: 'Such is the world and we should be careful'. 'The whole of *The Canterbury Tales* may be symbolic of the pilgrimage of the human life' (Masui 1988: 110) and this macro-structural semantic system supported by the functional superordinate layer determines the major correlations of its rhymes. This is because the author constructs a text following the functional theme-rheme structure which governs the correlations of the rhymes. In discussing a long tale like *The Canterbury Tales*, we should seek the 'principle of equivalence' at a

higher linguistic level and determine the correspondences of equivalent rhymes on which the author's conscious and unconscious paradigms are reflected.

Prose, a sub-genre of literature, relies far less upon phonological correspondences for its textual structure. This is because prose is such a genre that depends less upon rhymes or metres for its artistic effects than a narrative poem like *The Canterbury Tales*; and also because, if prose uses phonological devices for its effects like Ruth Rendell's *Master of the Moor*, it is not easy for the rhymes or alliterations used to correspond each other over a long stretch of text. Alliterations can be used between words closely placed, but if the text is long enough, then the alliterative words cannot correspond with each other over the numerous number of language units. If the text is short, then it becomes like a short poem and phonological units can play their important role.

#### 3.2.4 *The scope of parallelism is decided by a superordinate, functional structure at discourse level*

The scope of Jakobson's parallelism, one of the text-level cohesive devices, should be determined according to the sort of discourse-level functional super-structure.

According to Jakobson (1960: 353–357), Hymes (1968: 115–124), and Cook (1989: 24–26, 1994: 37–40, 153–154), the seven communication elements such as addresser, addressee, and the others correspond to the seven macro-functions. Among them a message focussed upon message-form is poetic in its function. According to Jakobson's poetics, a poetic work is a collection of self-focussed equivalent units corresponding to each other. In other words, poetry is a text involving parallelism of linguistic units, from those of lower levels to higher levels. His poetics focussed

mainly upon short poetic texts. However, in a longer poetic text that contains some episode development, that is, a narrative poetic text, like an epic, or in a prose text, in which only parallelism of equivalent units at the level of episodes appears, there seems to exist a superordinate parallelism that is deeply rooted in the functional discourse structures discussed above.<sup>8</sup>

Now I will briefly discuss Jakobson's parallelism in rhyme words, taking examples from Chaucer's *Canterbury Tales*.<sup>9</sup> It is almost impossible to find phonological correspondences in Jakobson's way due to the work's great length. If we adopt the idea of superordinate government of the scope of equivalence, Jakobson's idea becomes effective even when applied to a long poem. In the Miller's Tale, for example, *flood* appears three times together with *wood* ('mad, angry'):

(4) Shal falle a reyn, and that so wilde and *wood*,  
That half so greet was nevere Noes *flood*.  
(3517–3518)

(5) This carpenter out of his slomber sterte,  
And herde oon crien "water" as he were *wood*,  
And thoughte, "Alias, now comth Nowelis *flood*!"  
(3816–3818)

(6) They tolden every man that he was *wood*,  
He was agast so of Nowelis *flood* Thurgh fantasie, .....  
(3833–3835)

All the three instances of *flood* in the Tale (Masui 1964) are a lexical realization of 'FAIR' (=deceitful) POSSESSION (a thematic idea in Chaucer that I will discuss in

[8] For the definition of 'narrative', see Labov & Waletzky (1967: 20–32) who emphasize the sequence of narrated events, and Toolan (1988: 7) who adds 'the role of the perceiver' to an event sequence.

[9] All the citations of Chaucer's works are from G. Chaucer (1987) *The Riverside Chaucer* (3rd edn.), edited by Larry D. Benson (Boston: Houghton Mifflin Company).

PART TWO, Chapter 4.5), and they are all made what Jakobson calls ‘equivalent’. Not only are these two words similar in sound (*wood-flood*), but as they are placed side by side, they are made to be grouped into the same category. *Wood* is related to the meaning of hustling and bustling, and finally things ending in a ‘good’ state. *Wood*, therefore, expresses an environment in which *flood* takes place, placing *flood* in a metonymical relation with *wood*, to use Jakobson’s term, or cognitively speaking, placing them in the same schematic category. In addition, *flood* also stands in an equivalent relation with *showres* (‘showers’) in that the two words are associated with ‘rain, water’, foretelling the coming of *flood*.<sup>10</sup>

- (7) If that men asked hym in certein houres  
 Whan that men sholde have droghte or elles *showres*,  
(3195–3196)

*Wood* also appears twice ((8) and (9)) prior to the above (4)–(6), as if to foretell the equivalent relation of ‘flood–wood’:

- (8) And at the chambre dore whil that he stood,  
 He cride and knocked as that he were *wood*,  
(3435–3436)

- (9) That if thou wreye me, thou shalt be *wood*,”  
 “Nay, Crist forbede it, for his hooly blood !”  
(3507–3508)

These rhyme words are made phonologically ‘equivalent’ because they are all related with the structures behind the words.

All the instances of rhyme word *nyght* in Chaucer’s Reeve’s Tale are lexically

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[10] Boase-Beier (1994: 405) argues:

In general, such repetitions involve words which share elements of meaning, usually words from the same semantic field, words with some shared associations, or even words which contrast in meaning.



related to the same thematic idea of deceitful 'FAIR' POSSESSION that realizes itself at night. The word *nyght* is used here just as an example which corresponds over a long stretch of lines. It is of course that other rhyme words have their correspondence patterns. Here I mean phonological correspondences between one rhyme word *nyght* with other examples of *nyght*:

(10) But shortly, til that it was verray *nyght*,  
 They koude nat, though they dide al hir myght,  
 Hir capul cacche,.....  
 (4103–4105)

(11) Aleyn wax wery in the dawenyng,  
 For he had swonken al the longe *nyght*,  
 And seyde, "Fare weel, Malyne, sweete wight!"  
 (4235–4236)

(12) Myn heed is toty of my swynk to-*nyght*,  
 That makes me that I ga nat aright.  
 (4253–4254)

(13) As I have thries in this shorte *nyght*  
 Swyved the milleres doghter bolt upright,  
 (4265–4266)

(14) For she was falle aslepe a lite wight  
 With John the clerk, that waked hadde al *nyght*,  
 (4283–4284)

All the events in this Tale that are related to 'FAIR' (=deceitful) POSSESSION, whether intentional or unintentional, take place in the black of night. All the instances of 'nyght' are not only identical as rhyme words, but also provide the same environment in which the thematic idea appears. In the Wife of Bath's Tale, as well, this word is correlated with the same theme-rheme higher structure above it:

(15) Thou shalt it do, if it lye in thy myght,

And I wol telle it yow er it be *nyght*.”  
(1011–1012)

(16) And, certes, yet ne dide I yow nevere unright  
Why fare ye thus with me this firste *nyght*?  
(1093–1094)

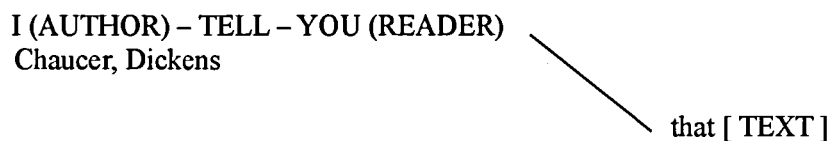
As these instances show, Jakobson’s ‘principle of equivalence’ or ‘parallelism’ is effective only when related with some superordinate structures that determine its scope.

So far I have discussed how important it is to consider a thematic structure at the higher linguistic levels of discourse when we decide the scope of micro-structural parallelisms. Dependence upon this layer of discourse holds more true for a longer poetic text or a piece of prose in which almost no phonetic level parallelisms are realized for literary effects.

I have illustrated how necessary it is for parallelisms, one of the cohesive devices, to be coherently integrated by resorting to something at a level above these cohesive devices within the formal framework of language. Without this integration, surface parallelisms just lie there randomly. These surface parallelisms may evoke many strong or weak implicatures (for ‘poetic effects’, see Pilkington 2000), but we never know which effects are relevant and which are not. In a literary discourse, as I discuss in Section 3.3 below, the communicatively dynamic, higher structure governs the verbal units below it, though the literary discourse depends more upon the arrangements of these lower level linguistic units such as phonemes, morphemes or words for its artistic effectiveness or for their literary pragmatic integration. Some higher structure governing a longer poetic work is essential when we decide the scope of Jakobson’s ‘equivalence’. In a long poem like that of Chaucer, as exemplified above, equivalent units must be based on this narrative super-structure over the given

text for other lower linguistic units to be relevantly correlated.

In the next section, I will look for the integrating, functional discourse structure in a communication framework of a literary text employing the multi-layered communicative structure which I examined briefly in Chapter 2. The framework must involve both the addresser and the addressee, or the author and the reader. The declarative sentence theory based on Austin's speech act theory is an example of the multi-layered communication system (Ross 1970)<sup>11</sup>, and the upper layer in this framework corresponds to the playwright /author — audience / reader level in Leech & Short (1981) and Short (1996):



*Figure 2*

Top layer of literary discourse framework

I assume that inside the square brackets the literary message (text) — Jakobson's parallelisms, as well as narratologists' units, are examined only within these square brackets — is also organized following the same theme-rheme principle as at the level of a clause. This will be detailed in the next section.

### 3.3 THE SOURCE OF COHERENCE WITH LITERARY SIGNIFICANCE

This section deals with the communicative characteristics of a literary text, which is

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[11] According to the 'Performative Hypothesis' of Ross (1970: 259), 'the deep structures of declaratives in all languages resemble each other in having a performative clause containing a verb of saying as their highest clause ...'.

the source of coherence of literary significance. I assume that a message conveyed to the reader, or a fictional story told to the reader, has the same organization as a clause, in which, if unmarked, a theme presented in the early part of the unit is commented upon in the latter part of the unit. And I also argue that the theme in discourse, or 'discourse theme' to use my terminology, to be commented upon later transforms itself or becomes mediated into the rheme in discourse, or 'discourse rheme' again my terminology, in a literature-specific fashion (See Figure 7 below (which is the same as Figure 5 in Chapter 2)). By scrutinizing this thematic structure in literary discourse and the way it becomes mediated, we can gain access to what the author consciously or subconsciously hopes to convey to the reader in a coherent way. For this, first I will examine how coherence is maintained in a literary text by resorting to the three-layered structure in Figure 7. Next I will discuss the theme-rheme structure of a literary message in the three-layered structure, concluding that what the author wishes to communicate to the reader is represented well in this literary theme-rheme structure and the function of mediation.

As I outlined in Chapter 2, there are three major approaches that have been used for the analysis of literary discourse: micro-structural, macro-structural and functional. In the micro-structural approach, discourse is viewed as process. The message-form-centred approaches as in Jakobson (1960), which I discussed in Chapter 2, belong to this micro-structural approach. This approach can be called a bottom-up approach. On the other hand, in the second, story-world-centred, macro-structural approach (e.g. Todorov's), the text is viewed as an independent product organized irrespectively of the communicative framework. The third, social discourse approaches like Labov & Waletzky's (1967) were designed to be applied to the examination of natural narrative. As I discussed in Chapter 2, in some cases, the

latter two have not been clearly distinguished and the third approach has been applied to fictional narrative as if there were no difference in nature between the two sorts of discourse. One example of this approach is that in Fabb (1997). The integrated functional aspect as the source of literary significance and as a means of communication is what I assumed necessary and sufficient conditions in 2.4.

To approach literary discourse functionally is to consider the literary discourse as a unified whole and to posit a super-structural, communicative layer of function like Ross's framework in Figure 2, which covers and rules the whole stretch of language by the author. This sort of approach could be called a top-down approach.<sup>12</sup>

In Section 3.3.1 below, I will examine how literary coherence in the communication framework of literary discourse differs from coherence in natural discourse.

### 3.3.1 *Cohesion vs. coherence in literary discourse*

It is of course clear that surface 'cohesion' is not enough for the establishment of literary significance. Then is the idea 'coherence' sufficient enough for this? No, it is not, because the sources of coherence are different between natural discourse and fictional discourse.

When we discuss features at a level above the sentence such as text or discourse, cohesion and coherence (two sorts of unity over a stretch of language) are often a central topic of discussion. The first sample dialogue in (17)-a is an example of cohesion, and (17)-b is that of coherence. Both examples are from Widdowson (1979:

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[12] 'The promise of literary pragmatics ... lies in its inclusion of a "top-down" perspective from the very start' (Sell 1991: xiv).

96):

- (17) a A Can you go to Edinburgh tomorrow?  
 B Yes, I can.  
 b A Can you go to Edinburgh tomorrow?  
 B B.E.A. pilots are on strike.

Both of these samples for the discussion of natural language can serve to identify unity in fictional discourse. In (17)-a, a formal, cohesive device called ellipsis is used when B says, 'Yes, I can', omitting the latter part of the sentence, 'go to Edinburgh tomorrow', connecting B with A. Unity realized between these two utterances is called 'cohesion' when there is a formal connecting device like a pronoun, a repetition, an ellipsis, etc., and a group of utterances in which 'cohesion' exists is called 'text'.<sup>13</sup> In the case of (17)-b, B creates 'coherence' between B's utterance and A's, by using contextual information, 'An airplane does not fly when there is a strike going on', knowledge of the world outside the text concerned.<sup>14</sup> When unity is achieved with the help of contextual information as in (17)-b, the unity is called 'coherence'. In a stretch of language, or a text, in which coherence is realized with the help of the contextual information, the text is called 'discourse'.<sup>15</sup> In discourse as in case (17)-b, information from the context helps realize unity called 'coherence' within the stretch of language. Common knowledge that we share in our world, or information which

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[13] Following Cook (1994: 24), the 'text' is defined as 'The linguistic forms in a stretch of language and those interpretations of them which do not vary with context'.

[14] Also following Cook (1994: 24), here I use the definition of 'context' as '(knowledge of) factors outside the text under consideration' and 'knowledge of relevant features of the world'. 'Knowledge' can be further subdivided into: (1) non-linguistic knowledge related with a given utterance (when and where was it uttered and who uttered it); and (2) cultural background knowledge. In the present article, 'context' is defined as the combination of one that these two, i.e., I use 'pragmatic knowledge' in the sense of 'knowledge of the context'.

[15] Cook (1994: 25) defines 'discourse' as 'a coherent stretch of language' which, as opposed to text, is a stretch of language in use, taking one meaning in context for its users, and perceived by them as purposeful, meaningful, and connected'.

comes from 'schema', works together with the propositional information of the sentence(s) to guarantee coherence.

The relations between 'text', 'context', and 'discourse' can be diagrammed as follows:

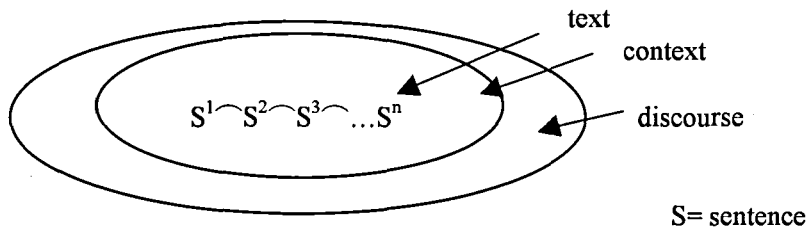


Figure 3

What constitutes discourse of natural language

In natural language, the information from the context plays a key role in guaranteeing coherence. Is this also the case for literary discourse? When we represent the relations between the three terms above, text, context and discourse, in literature, taking samples from Soseki Natsume's *I am a Cat*, they are as follows:<sup>16</sup>

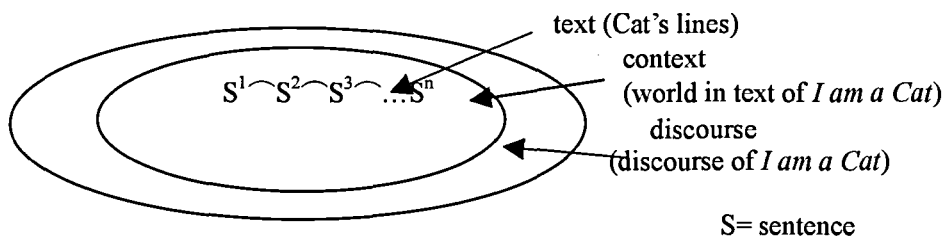


Figure 4

What constitutes literary discourse: a brief sketch

The two Figures, 3 and 4, look alike. However, actually in literature the tripartite relations of text, context and discourse are more complex, because, as Figure 7 below shows, there is no such context within which the text occurs for literary

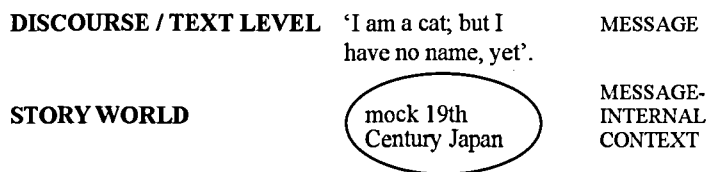
[16] For *I am a Cat*, see note [11] in Chapter 2.

communication. In natural communication, a text is placed in a context, or a message-external context (= a real world). And this context and the story world that the text creates are referentially continuous. In literary communication, on the other hand, the context (=the message-external context) in which the text (=message) occurs and the story world (=the message-internal context) are not referentially continuous. The former is real, the latter fictional.

I will examine the literary discourse in more detail. Keen (2003: 109) argues:

All narrative fiction has a discourse or textual level and a story world.

And her framework of literary discourse will be illustrated as below:

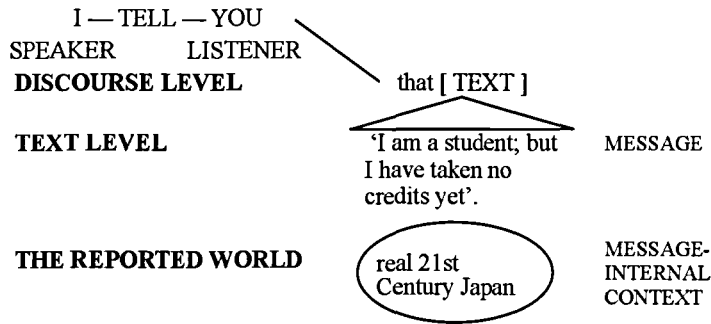


*Figure 5*

Communication framework of literary discourse in Keen (2003)

By supplying this structure with Ross’s framework for the declarative sentence on the basis of Austin’s speech act theory (Ross 1970; See Figure 2), we can obtain the following Figure 6, which is closer to actual literary discourse:





*Figure 6*

Communication framework of natural discourse

Ross claims that all declarative sentences 'derive from deep structures containing one and only one superordinate performative clause whose main verb is a verb of saying' (Ross 1970: 259). By replacing the verb of saying with 'narrate to' which has different performative features, we obtain Figure 6. An author creates a fictional world which consists of 'text' and the 'message-internal world' or the world created by the 'text' (the 'macro-structural' level of literary discourse) within the framework of communication, the 'social' aspect of literary discourse.

Does Figure 6 then sufficiently represent the literary discourse framework? The answer is negative. In actuality, literary communication is more like Figure 7 below. A literary text presents a fictional story as if it is real. The readers, knowing that the story is not real, enjoy the mock reality represented on the pages. And this is where the delight of reading literature lies. The readers take the box of broken dots below for the framework of natural discourse in Figure 6, though actually the boxed part is only a fictional world the author created:

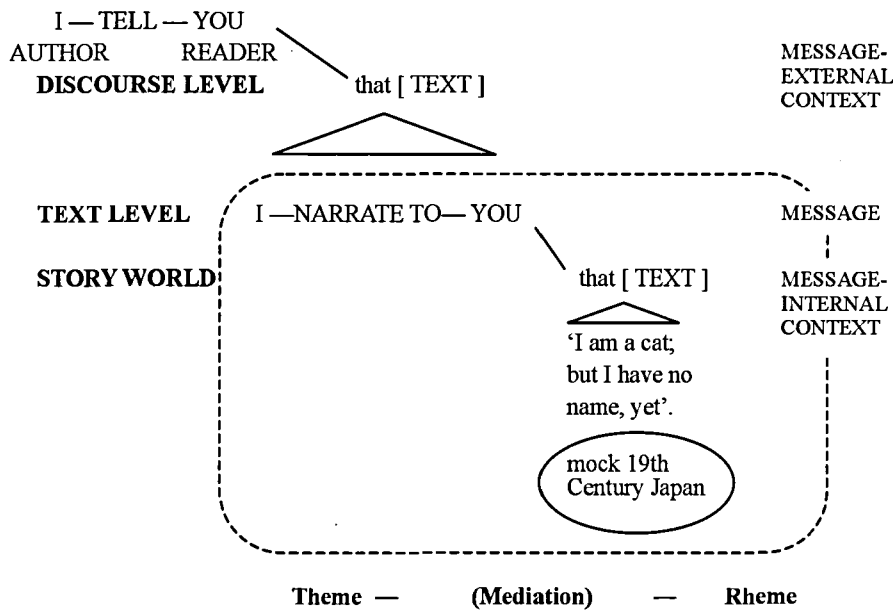


Figure 7

Communication framework of literary discourse

In literature, the text pretends as if it is occurring in an 'actual' context. The context in which the literary text occurs is a mock context. The literary text is like a picture in which a mountain and people are drawn. The characters and their lines in a literary text are like these mountains and people. A real mountain is placed in an actual context of situation, but the painted mountain is not. It may look so, but it is illusory. Figure 6 and the dotted part in Figure 7 (Chapter 3) are alike, but different. The readers enjoy this illusion, but some critics and linguists get confused. It is of course true that the picture is placed in the actual context of situation between the painter/audience framework. Those theorists who attempt to apply the Labovian narrative analysis to a fictional text are misled into identifying the text as Figure 6. Labov & Waletzky (1967)'s speaker, a 73-year-old man from South Lyons, is different from Hemingway's elderly speaker in his 'Old Man at the Bridge', who tells that he fled from his home because of approaching artillery bombardment. These two elderly men tell a story of their own, but they are not in the same communication

framework. We need to posit Hemingway's voice behind the old man who tells of his escape at the bridge.

We need to examine the following exchange again:

- (18) 'My master said that it was cold there'.  
 'How miserable he was!', says Lickshaw's Black Cat.

When we are faced with (18), we should consider three types of voices. First of all, one of the main characters, Mr Kushami, or Mr Atishoo, a high school teacher of English, utters the reported clause 'It is cold here'. Secondly, the Cat, the narrator, utters the first utterance in (18), which consists of the reporting clause ('My master said that...') and the reported clause ('it was cold there'). And, finally, it is the author, Soseki Natsume, who composes this exchange to be communicated to readers. By piling the three participants' worlds one on top of another, we can obtain Figure 7 above.

A literary discourse differs from a spontaneous exchange. The former is, as it were, one very long turn of conversation, in which exchanges occur pretending to be natural ones. But the participants in the big turn, or at the text level, cannot create any meaning unlike participants in natural conversation. It is only the participant at the highest level, that is, the participant outside the fictional exchange, who can create meaning and meaningful coherence. That person is the author.<sup>17</sup>

A secondary meaning, or an implication, if any, at each layer of voices is shown in parentheses in (19) below. (What the author intends to imply, which is shown as ?? (two question marks), could be one of the major objects of study for scholars of Natsume.) Only by understanding one possible implication by the Cat, 'This is

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[17] As for the reader's creation of meaning, this dissertation is focussed only upon the information structure of a literary text within the framework of Ross (1970) and Halliday (1967). The reader's 'creation' of meaning is not discussed.

because man does not have natural fur', Lickshaw's Black Cat can coherently utter 'How miserable he was!' This exchange between the two cats occurs in the message-internal context within the text, or the text-created world, which exists only as the product of their exchange, with no direct and actual referential continuity with the message-external, or 19th century Japan:

- (19) Natsume wrote to us [that the cat told us [that his master said, 'It's cold here']]. Author's World  
 Soseki Natsume (??)
- |   |                   |
|---|-------------------|
| Cat (He said so because man does not wear natural fur.) | Narrator's World  |
| Master Atishoo (Please close the window.)               | Character's World |

What then is the real context (= message-external context) in which the literary context (= message-internal context) and the literary text (= message) are placed? It is the context of reality, that is, 19th century Japan, in which the author lived. How then is the message-external real world context different from the fictional, literary world? For one thing, the message-internal, fictional context is a closed, finished world—here I disregard the creative participation of a reader at different times and different places in the interpretation of the work; or by 'closed, finished' I do not mean the world is a perfect world or a world in which all the necessary information is supplied. On the other hand, a natural discourse occurs in a developing, unfinished world. A story world in the message-internal context is a product finished by the author, addressed to the reader, though it looks like a developing process interactively created between its participants.

The discourse of *I am a Cat* consists of the discourse level which functions in the author-specific frame of reference in 19th century Japan, the language used, and the text world created by the language (text), the existence of the first of which provides a

literary discourse with coherence.

### 3.3.2 *Thematization in a fictional text*

One of the major achievements of the Prague School of Functionalism is that they added a communicative structure of ‘theme—(transitional zone)—rheme’ to the traditional grammatical division of ‘subject—predicator—complement’. In their notion of theme–rheme, however, there was no clear distinction between the speaker’s viewpoint (what the speaker wishes to communicate) and the listener’s point of view (‘what is known’ and ‘what is unknown’ to the listener). Halliday (1985: 36) clearly locates theme and rheme as the communicative aspect from the speaker’s viewpoint:

The Theme is a function in the CLAUSE AS A MESSAGE. It is what the message is concerned with: the point of departure for what the speaker is going to say.

In the following, I will briefly examine the concept of theme and rheme applied to a text of natural language; and then how the theme and rheme are different when put in a communication system of higher order, that is, in a literary discourse.

#### 3.3.2.1 *Varieties of theme*

According to Wales (2001: 393–394), there are three varieties of theme:

- (22) (i) In the field of LITERARY CRITICISM, theme stands for ‘a central idea’ of the literary work. And in anthropology, Lévi-Strauss’s mythology, for example, attempts to see thematic oppositions (like life vs. death), in myths and folk tales. This variety

corresponds to TEXTUAL THEME (Refer to Jones (1977: Chapter 1) and Brown & Yule (1983: Chapter 4));

- (ii) In LINGUISTICS, there are three sub-classes: (a) Prague School of Linguistics: communicative dynamism, functional sentence perspective, and Halliday's theme-rheme; (b) theme - focus in Quirk et al. (1985). I (THEME) am a cat (FOCUS); I (THEME) like every animal except a cat (FOCUS).
- (iii) In ORAL-FORMULAIC THEORY, a fixed, recurrent element in narration is called 'theme' (or, in other words, 'type-scene'), which depicts a hero putting on armour or making a voyage. This element is larger than a formula in a poetic line. This is the same concept as 'topos' in literature, which is a subject repeatedly appearing in literature.

(my underline)

Of these three varieties of theme, (i) and (ii) are relevant to the discussion here. It is these two categories on which I base my theory of discourse theme and discourse rheme, but we have to keep in mind the fact that they are applied to discourse analysis of natural language use in which the addresser is directly responsible for the message addressed to the addressee. Before discussing literary discourse, I will first focus on thematization and topicalization in the discourse analysis of natural language.

### 3.3.2.2 *Thematization and topicalization: Katz, Perfetti & Goldman*

From the discussion here, I will exclude Katz's 'discourse topic' because the thematized is not necessarily 'an entity'.

Katz (1980: 26) defines his 'discourse topic' as follows:

The notion of a discourse topic is that of the common theme of the previous sentences in the discourse, the topic carried from sentence to sentence as the subject of their predication.

His 'discourse topic' does not stand for a grammatical constituent, but for what the constituent refers to (a referent); and thematization means foregrounding of the referent. The concept of a foregrounded and backgrounded referent in Perfetti &

Goldman (1974) and Chafe (1972) stands for the same. According to Perfetti & Goldman (1974: 71), by the repetition of a main character as in the following, the referent is thematized:

(23) Dr Jones ... the doctor ... the surgeon ... he ... Dr Jones

In this example, a grammatical constituent like 'Dr Jones' or 'he' is not thematized; however, by the recurrent appearances of the referent, the person is thematized and foregrounded. In a story for children as in the following, a thematized referent and a grammatical subject often share the same syntactically initial position, because it is the position that remains easiest in memory.

(24) *Jack* goes up the beanstalk again. *He* comes to the giant's house and *he* sees the giant's wife.

To avoid confusion, Brown & Yule (1983: 135) argue that a recurrent, thematized referent (Jack ... He ... he) should be called 'a topic entity'.

### 3.3.2.3 *Effects of thematization: a starting point marking effect and a chunking effect: Brown & Yule*

Brown & Yule (1983: 139) argue that the title of a chapter and the topic sentence of a paragraph are devices of thematization; they are not only (1) the starting point of discourse, but also they have (2) a chunking effect, creating 'a topic area'. They argue that the speaker's topic area becomes clear by collecting themes at the sentence level. If they are correct, we should be able to identify the author's main concern from the

collection of sentence themes in the following passage from Kazuo Ishiguro's *The Remains of the Day*:

(25) It seems increasingly likely that I really will undertake the expedition that has been preoccupying my imagination now for some days. An expedition, I should say, which I will undertake alone, in the comfort of Mr Farraday's Ford; an expedition which, as I foresee it, will take me through much of the finest countryside of England to the West Country, and may keep me away from Darlington Hall for as much as five or six days. The idea of such a journey came about, I should point out, from a most kind suggestion put to me by Mr Farraday himself one afternoon almost a fortnight ago, when I had been dusting the portraits in the library.

This is the first passage from Kazuo Ishiguro's *The Remains of the Day*, and a succession of sentence themes here is as follows:

(26) It ... I ... the expedition that ... An expedition, ... I ... I ... an expedition ... I ... The idea of such a journey ... I ... I

This set consists of two chunks, 'I' and 'expedition / journey'. Because this is a first-person novel, it is natural that 'I' is used so often. The other expressions that stand for 'a journey', occupying the thematic position at the clause level, constitute a group, or the narrator's 'topic area'.

However, it is doubtful that a chain of thematized elements like this leads to the 'main intention' (Brown & Yule 1983: 143) of the addresser, or the author. After all, this is another type of bottom-up approach, and these groups of clause themes should be authorized by an overall, super-frame if the clause themes are worthy the name 'main intention' of the author.

Brown & Yule (1983: 133–134) argue that thematization also occurs at the levels above sentence:

The process of linear organisation which we have been examining, largely at a sentential



level in 4.2, produces the same sort of problem for the speaker / writer in organising units larger than the sentence. We may talk in general of thematisation as a discoursal rather than simply a sentential process. What the speaker or writer puts first will influence the interpretation of everything that follows. Thus a title will influence the interpretation of the text which follows it. The first sentence of the first paragraph will constrain the interpretation not only of the paragraph, but also of the rest of the text. That is, we assume that every sentence forms part of a developing, cumulative instruction which tells us how to construct a coherent representation.

Thematization occurs not only at the sentence level, but also at the level of a paragraph and a text, they assume. In the paragraph, it is at the topic sentence, and in the latter, in the title of the text, where thematization occurs. With the initial element and the rest, the three divisions of the unit at the clause level are equal to those of the unit at the paragraph and the text level. Smaller theme – rheme figures, according to Brown and Yule, fit together to form a larger similar figure and the largest figure is the text or the discourse.

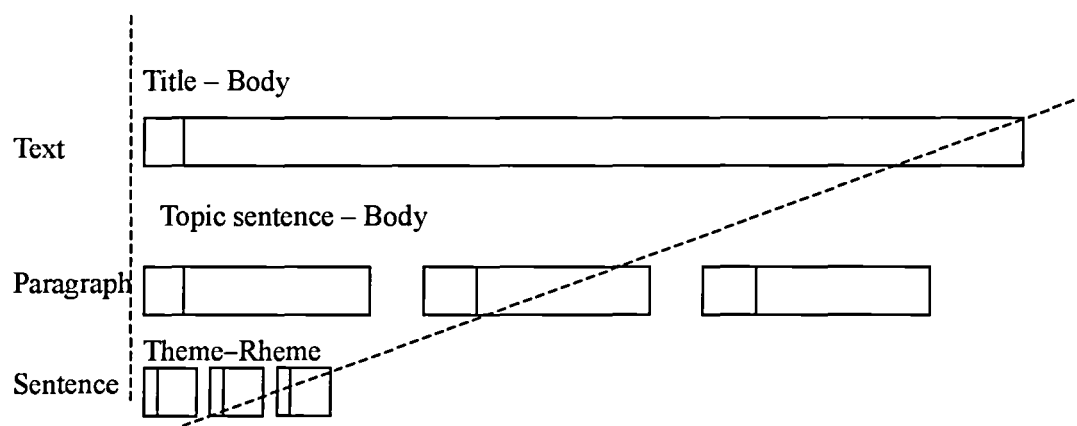


Figure 8

Thematization at various linguistic levels

Here all the cases of thematization above sentence (Brown & Yule 1983: 133–134) occur at a linguistic constituent that has some form, like at a topic sentence or a title of the text. If this concept is applied to a literary text, the title ‘The Remains of the Day’ becomes the theme of the text, *The Remains of the Day*.

This approach is not sufficient to get to the 'intention' that the author wants to communicate to the reader. If 'The Remains of the Day' is the theme of the text and, then, how about 'A Pale View of Hills' by the same author? And how about 'The Artist of the Floating World'? A title of these works represents something that is significant only in a specific text world, and even if such titles are put together, it is difficult to access the author's main intention beyond each work.

Then how about topicalization discussed in Brown & Yule (1983)?

#### 3.3.2.4 *Topics develop; on the other hand, theme is followed by rheme: Brown & Yule*

According to Brown & Yule (1983: 84), topics develop within the flow of discourse, as in the following conversation, where three topics develop along the time axis:

- (27) E: I went to Yosemite National Park  
F: did you  
E: Yeah — it's beautiful there right throughout the year +  
F: I have relations in California and that's their favourite Park because they + enjoy camping a lot  
E: Oh yeah  
F: they go round camping +  
E: I must admit I hate camping

**Yosemite Park → relations who like Yosemite Park and camping → camping**

Discourse theme / discourse rheme which I discuss in this dissertation is not a chain of such topics. These natural exchanges as above are something that the participants jointly create as a developing process, while a literary text is, as I said before, a finished product, or a sort of long 'turn' by one speaker at a super-structure above the text. Van Dijk (1985a: 116) rightly argues that 'Sentences might be connected

appropriately according to the given local coherence criteria, but the sequence would simply go astray without some constraint on what it should be about globally'.<sup>18</sup> In the case of literary discourse, this superordinate structure, however, should be sought at the top layer of the communication framework in Figure 7.

### 3.4 THEME AND RHEME IN THE LITERARY TEXT LEVEL

#### 3.4.1 *Communicative dynamism in the text*

Functional linguistics has examined the third layer below in the clause from the standpoint of information structure:

I	opened	the door.	
GRAMMATICAL SUBJECT	PREDICATE VERB	OBJECT	(1) grammatical role of the elements
AGENTIVE		AFFECTED	(2) semantic role of the participants
THEME	RHEME		(3) textual role of the information units 1 (addresser's point of view)
OLD INFORMATION	NEW INFORMATION		textual role of the information units 2 (addressee's point of view)

*Table 1*

Layered grammatical, semantic and textual roles in a clause

[18] Dijk's macro-structure is the semantic information that provides this overall unity to a natural discourse as the following sentence succession:

This morning I had a toothache.

I went to the dentist.

The dentist has a big car.

The car was bought in New York.

New York has had serious financial troubles.

And I assume that his overall, macro-structure is only a text component below the top level of literary discourse.

Jakobson, as well as Shklovsky, argued that a poem is a text in which what he calls 'poetic function' (one of his six linguistic functions) becomes dominant or foregrounded over the other functions through rhythm, rhymes or other poetically licensed figures of speech. Consequently our attention is drawn to the manner in which these features deviate from the normal mode of expression in everyday language. Therefore Jakobson (1960: 356) assumed that in self-referential literary language the practical functions which everyday language has become backgrounded. Eikhenbaum (1982 [1927]: 247–249) and Tynjanov (1985[1924]: 73–201) later became aware that attention should also be directed to other elements than sounds, such as lexis, syntax, and semantics, because they together with self-referential sounds form a poetic text. In addition to this, we also need to consider the following point: In a literary text at discourse level, a level where the author communicates something to the reader, the way the elements work together is communicatively dynamic, along the lines of theme-rheme development at a text level below the superordinate author-reader structure, as words and phrases do in a clause. The original text-functional unfolding of utterance the Prague School of Linguistics calls 'Communicative Dynamism' (CD).

Michael A. Halliday has discussed the clause in language as being built up by a relation between 'theme' and 'rheme' where theme means what is talked about and rheme means what is said about it (Halliday 1985: 39ff). At the sentence level, Mathesius as early as the 1930s gave 'new sense to the traditional distinction of grammatical and psychological subject (and to the analogous distinction of the two kinds of predicate)' (Vachek 1972: 19) by introducing new functional terms viewed in terms of the information conveyed by them: 'theme' and 'rheme'. The 'element about which something is stated may be said to be the basis of the utterance or the theme,

and what is stated about the basis is the nucleus of the utterance or the rheme' (Mathesius 1975: 81). From the study of the above Functional Sentence Perspective (FSP), Firbas (1964a, 1966, 1972) developed a concept called Communicative Dynamism (CD), which is based on 'the fact that linguistic communication is not a static, but a dynamic phenomenon' (Firbas 1972: 78) and which 'pushes the communication forward' (Firbas 1972: 78). According to him, in the sentence 'He was cross', 'the lowest degree of CD is carried by 'He', the highest by 'cross', the degree carried by 'was' ranking between them' (Firbas 1972: 78). The CD is defined as follows:

...a process of gradually unfolding meaning, each part of the utterance contributing variously ('dynamically') to the total communicative effect. Some parts of an utterance will contribute little to the meaning, because they reflect only what has already been communicated: these 'thematic' aspects would be considered to have the lowest degree of CD. By contrast, 'rhematic' aspects have the highest degree of CD, containing new information which advances the communicative process.

(Crystal 1997: 72)

This sort of information structure is also called 'functional sentence perspective' (FSP) (Daneš 1974: 106–128, Mathesius 1975: 82), the 'focus of contrast' (Chafe 1976: 38) or 'packaging', a concept introduced by Chafe (1976: 28).<sup>19</sup> The CD was

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[19] Hendriks (1997) defines 'information packaging' as follows:

The basic idea of "information packaging" (Chafe 1976) is that speakers do not present information in an unstructured way, but that they provide a hearer with detailed instructions on how to manipulate and integrate the information according to their beliefs about the hearer's knowledge and attentional state.

According to ('Glossary of Systemic Functional terms' by Christian Matthiessen, URL: <http://minerva.ling.mq.edu.au/resource/VirtuallLibrary/Glossary/sysglossary.htm>), 'It is roughly equivalent to the textual metafunction of systemic theory, although it may include other considerations as well'.

Chafe (1976: 28) argues that 'the packaging phenomena relevant to nouns include the following: (a) the noun may be either given or new; (b) it may be a focus of contrast; (c) it may be definite or indefinite; (d) it may be the subject of its sentence; (e) it may be the topic of its sentence; and (f) it may represent the individual whose point of view the speaker is taking, or with whom the speaker empathizes'. (Chafe's underline) Chafe is dealing with similar linguistic phenomena as discussed for FSP by suggesting that 'a particular noun in a sentence — or more properly the idea expressed by that noun — in addition to occupying some "case" status, may occupy various "packaging" statuses selected by the speaker on the basis of his

thought to be operating at a clause level, but actually, as Figure 8 showed, it is also an essential part of a text (Brown & Yule 1983). Thematization, they argue, occurs not only at the sentence level, but also at the levels of a paragraph and a text. Halliday redefined FSP as ‘the “textual” component in the grammar of the sentence’ (Halliday 1976: 28).

In literary discourse, the same sort of dynamism holds true. The theme-rheme dichotomy is also a fundamental, text-creating function of literary discourse. An event introduced in the former part of the story is given a solution in the latter part.

Given the discourse level and the text level as represented in Figure 7 above, we can get value  $y$  by giving  $x$  a function  $f$ , then how can we identify the theme and rheme at discourse level? This all depends upon what the author-specific literary significance is in a literary text. Figure 9 below shows parallelism of literary significance between the way Ishiguro or Natsume looks at the surrounding world ( $x$ ) and the world views within his text world ( $y$ ):

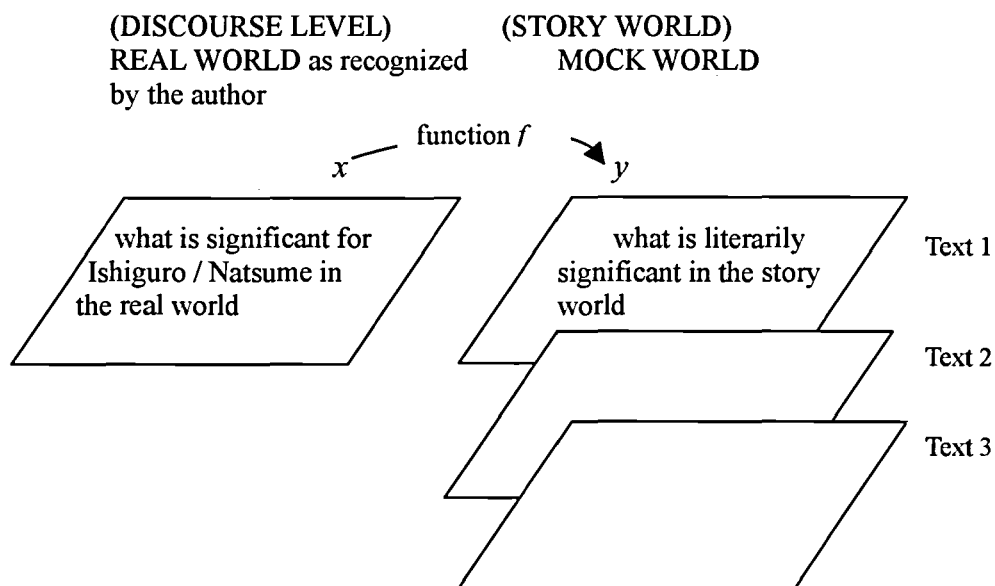


Figure 9

Text-external and Inter-textual parallelism

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assessment of what the addressee's mind is capable of at the time' (Chafe 1976: 54).

The texts, 1, 2 and 3, inter-textually resemble each other in terms of an author-specific literary significance; or, in other words, these texts are created on the basis of the authorial discourse above them. The discourse here is the ultimate source of literary significance of each text. In a text in which the aesthetic function as defined by Jakobson is dominant, the selection of verbal materials is not only determined by the exigencies of their paradigms within the text, but also by the functional factor at the discourse level. Choice of elements is done to fulfil the textual demand, that is, by placing the most known, or the element that should be assumed most known, or the discourse thematic, at the start of text, towards the syntagmatically most prominent, or the discourse rhematic, through mediation.

Following Brown and Yule's Figure 8 above, I argue that in literary discourse there also occurs thematization dividing a literary text into two parts with the transitional zone between them. Though at different levels, they are mathematically called 'similar figures' at different levels:

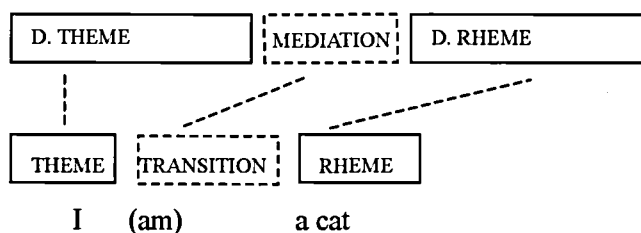
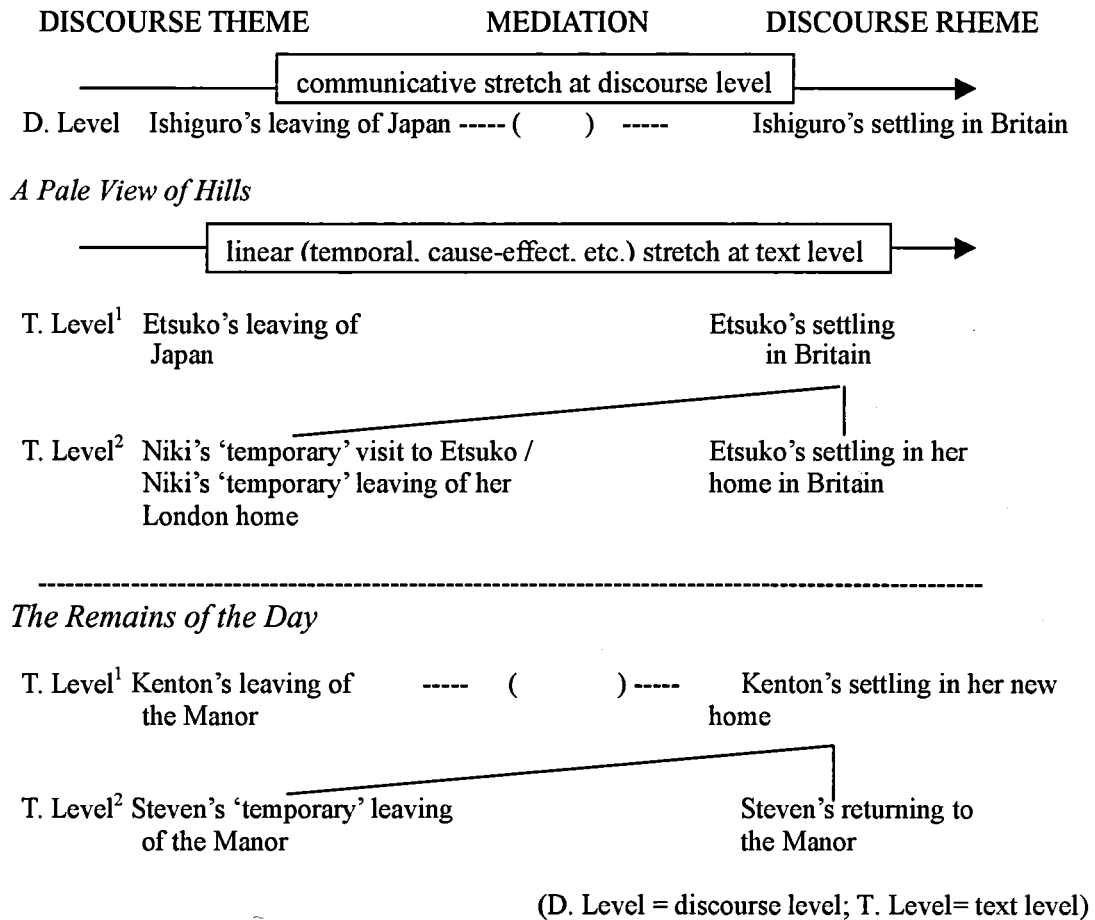


Figure 10

Sentence thematization and discourse thematization

Thus, Ishiguro's two novels, *A Pale View of Hills* and *The Remains of the Day*, could be analyzed communicative-functionally as follows:



*Figure 11*

Discourse thematization in two of Kazuo Ishiguro's two works

<Niki's temporary visit to Etsuko> / <Niki's temporary leaving of her London home> at T. Level<sup>2</sup> and <Steven's temporary leaving of the Manor> at T. Level<sup>2</sup> both fulfil the same functional demand at the D. Level though they are placed at an initial position in the text. This sort of postpositioning or fronting of an event that does not follow a natural course of events often occurs in detective stories. For example, the description of the arrest of a criminal could be placed before his crime is committed in the story as the criminal's recollection. In theme, the author presents his or her own problem to which the author wishes to give an imaginary solution; then the solution to the problem is provided in rheme in the form of an author's comment on the theme. In literary discourse, the addresser or the author raises an issue in the form of the



discourse theme, as if it were an informationally ‘given’ already-known common ground between the communication participants (that is, author and reader), to be followed by the author’s comment upon it, or the author’s psychological solution to it.

In the above theme-rheme, LEAVING (discourse theme) is transformed, or mediated, into SETTling (discourse rheme) through mediation stages of opposition-weakening process. We may term this ‘the mediating function’ of literary discourse following the Prague linguists’ ‘transitional zone’. The utterances that appear in these stages are given a functional meaning of mediation.

#### 3.4.2 *The representation of literary discourse structure: theme, rheme and mediation*

What we may term the system of discourse theme is placed high above along the axis of Rank scale. In this System of Theme, discourse theme and discourse rheme are paradigmatically stored in ‘the set of substitutable paradigms’ of ‘*significant others*’ (Currie 2004: 27, Currie’s italics), and each of them realizes itself linearly along the syntagmatic axis. Figure 12 below shows that theme at an abstract level as the starting point (problem presentation) is followed by rheme (the solution of the problem presented). When this default order appears in the text, it is unmarked; when reversed, it is marked (like Niki’s temporary visit to Etsuko or Steven’s temporary leaving of the Manor in Figure 11):

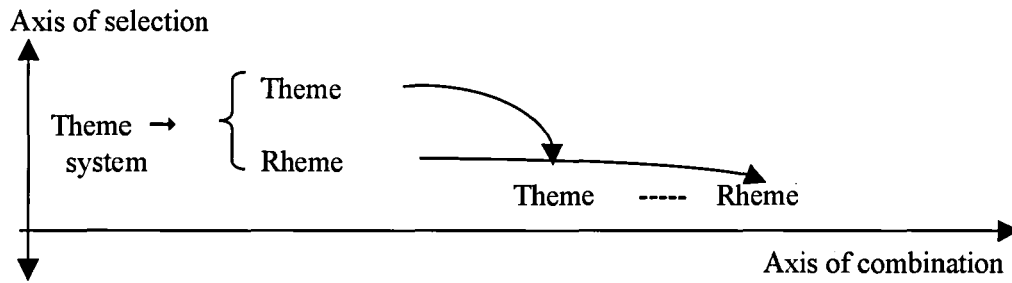


Figure 12

## System of discourse theme

Fowler (1977: 76) puts it:

Cumulatively, consistent structural options, agreeing in cutting the presented world to one pattern or another, give rise to an impression of a world-view, what I shall call a 'mind style'.

The diagram above represents the essential structure of a fictional story, or a source of, what I term, 'general mind style'. In a particular literary text, there should be, what I call, an 'author-specific mind style' depending upon the author's linguistic concern and the genre and length of the text he or she is dealing with.

In the actual realization of the above theme-rheme structure (source of general, or global, mind style) in Ishiguro's discourse, LEAVING (discourse theme) is transformed, or mediated, into SETTLING (discourse rheme) through several stages of an opposition-weakening process (Ishiguro-specific mind style).

In a literary text, there is no independent, natural outer world surrounding an exchange of the characters that is an important element for coherence in the actual conversation. Mr Farrady, new master of the Manor in *the Remains of the Day*, advises the butler to go for a drive, but we should not seek something like the motivation for the advice on the part of the new owner of the Manor. It is possible that a character's utterance may carry a certain implication as the Cat's line in (18) does.

But the character's utterances do not depend upon the independent world outside the person (or the animal) because the speaker himself is not an independent real being. In a fictional, artificial dialogue, some features are different from those in spontaneous exchange, because in fictional discourse, actual interactivity does not occur at the Characters level, but at the Writer-Reader, or the Playwright-Audience level (See Figure 7 again). If we overlook this characteristic of literary discourse, we would misunderstand, for example, the motivations that Iago in Shakespeare's *Othello* attributed to himself for his bad intention towards Othello. If we mistake the multiplicity of motivations Iago raises for real one that we have in our own world, we would look for his real motivation and be surprised as Coleridge was. Coleridge (1836: 260) says 'Iago's soliloquy—the motive-hunting of a motiveless malignity—how awful it is!' I would say that Iago's multiple reasons for his hostility towards Othello are each directed to the actual audience, each of whom could embrace similar feelings toward his or her superior in their own life. Iago's multiplicity of motivations for criticizing Othello was just to attract a wider audience. Or in the case of Ishiguro's example, Niki, a daughter of Etsuko, a heroine, is not informative enough, and not co-operative with Etsuko because the reason why selling a house is 'a shame' is not transmitted to Etsuko, but to the reader. Here again a character, Niki, is created to be co-operative with, and informative to, the reader. We should seek real coherence in the independent outer world surrounding Othello like the audience, a stage environment, the social situations in which Shakespeare was located when he wrote *Othello*; or Ishiguro's personal experiences, his life up to then. It is not sufficient to seek coherence within the text.

To these abstract schematic structures or frame structures at literary discourse level that govern a genre named 'narrative' and guarantee 'generic coherence' should be

added a basic, psychological tendency underlying the human mind. Now I will discuss this tendency as the basis for 'the mediating function'. The mediating function is the verbal function that realizes 'problem solution'.

#### 3.4.2.1 *The mediating function that transforms discourse theme into discourse rheme*

In this section, I will detail specific features of literary language, which I have only briefly referred to so far. A literary discourse inherently possesses a neutral and intermediary zone which has a mediating function between two parallel, but contradictory, terms. Or, following the discussion so far, a literary discourse has an intermediary zone which transforms the theme presented early in the discourse structure into a sort of what Halliday calls the theme of the discourse.

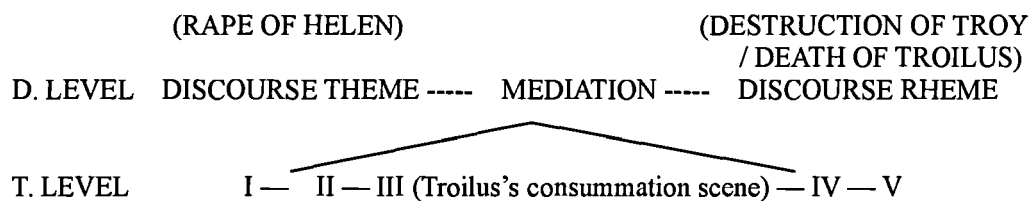
The mediating function in literary discourse mediates the topic (discourse theme) presented in the early part of discourse structure, changing it into the comment on it (discourse rheme), presented later. As was discussed first in the works of the Prague linguists who advocated Functional Sentence Perspective (Mathesius 1975; Firbas 1964a, 1964b, 1966, 1972; Vachek 1972) and later by Halliday (1985) and others (Eggins 1994), the communicative structure of a clause was divided into three parts (theme – transitional zone – rheme) or into two (theme – rheme). Depending on how it relates to the discourse, or on how it uses the information already known to the listener, a clause organizes various sorts of information in context. In literary discourse, the theme must be mediated and changed into the rheme through what some anthropologists call 'a liminal zone' (Leach 1976: 82), or 'interface' (Leach 1982: 158) where this thematic transformation takes place.

In a short poem, say, Shakespeare's Sonnets or Edgar Allan Poe's poems, parallelism and theme-transformation operate at the lower linguistic levels such as phonology or morphology owing to the shortness of the text. In short poetry there is not much room for sentences or stanzas to play a central role in creating cohesive parallelism and in mediating the discourse theme into the discourse rheme. In Poe's 'The Haunted Palace', a poem in *The Fall of the House of Usher*, for example, mediation is realized by means of a gradual change of lexical items (e.g. a graphological and voice inversion like III-2 *saw* – (III-8 *was seen*) – IV-2 *Was*....<sub>6</sub> *Was*). If Poe's 'The Raven' consists of only one sentence, 'Quoth the Raven, "Nevermore"', the devices for mediation is so limited, for example, as in 'Raven–never' (/r.v.n/ – /n.v.r/), a mere juxtaposition of two inverted successions of phonemes. In a long text, this is not so. In Chaucer's long narrative poem, *Troilus and Criseyde*, for instance, the parallelism and the thematic transformation are realized through a series of false reciprocal exchanges of semantic units, or what can be termed ETHICAL DEBT and ETHICAL CREDIT at the levels of episode. These Chaucer-specific mind style of false DEBT / CREDIT relations can be formulated as follows:

$$(28) \begin{array}{l} A \rightarrow B / A \leftarrow B \\ (x) \qquad (x+1) \text{ (} l = \text{'interest' or 'tax'}) \end{array}$$

This formula shows: 'x' in the first Cycle on the left loses some of its value in the second Cycle on the right due to the 'interest' or 'tax' imposed on the transaction. In *Troilus and Criseyde*, Book I which begins with the abduction of Helen (*The ravysshyng to wreken of Eleyne, / By Paris don* (62–63)) is paired with Book V, the last section of the story (*And whan that he was slayn in this manere, / His lighte goost ful blissfully is went / Up to the holughnesse of the eighth spered*,... (= destruction of

Troy) (1807–1809)), enclosing Book III. In this core section, Book III, Criseyde's winning Troilus's heart (that is,  $x$ ) is never equivalent to Troilus's gaining Criseyde (that is,  $x+1$ ), because Troilus, who exchanges love terms with Criseyde, is a public figure who represents the state of Troy, while Criseyde is only a private figure whose role is related to the fate of Troy only through Troilus. Criseyde's taking Troilus's heart is falsely balanced by the latter's gaining the former in the consummation scene. Through these false exchanges, 'interest' or 'debt' increases, leading to the destruction of Troy. Through a series of deceptive equations like these, the Rape of Helen in Book 1 is finally unfairly paired with the Destruction of Troy. If we illustrate these stages, they will be represented as in Figure 10:

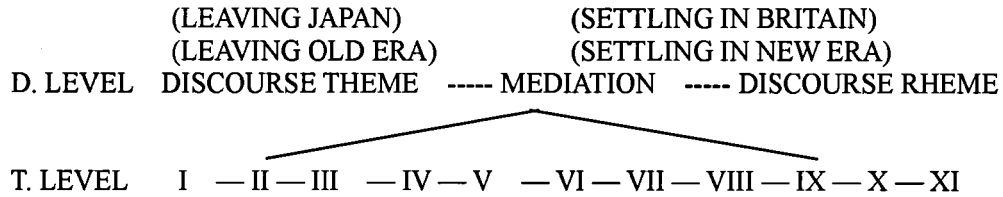


*Figure 13*

Mediating function in literary discourse:  
Longer poetry (phonology- / semantics-based mediation)

Due to the increased freedom of arrangement of verbal items in the text, these relations occur at higher levels of language like clause, sentence, stanza, book, or episode, as well as at lower verbal levels of phonology like rhyme.

We can thus reasonably assume that a prose text utilizes verbal items at higher linguistic levels, mostly at the level of episode. In the case of Kazuo Ishiguro, the weakening geographical MOVING / SETTLING dichotomy will be represented as follows:



*Figure 14*

Mediating function in literary discourse:  
Prose (semantics- / narratology-based mediation)

As discussed earlier, also with Ishiguro, his view of the world that the discourse theme–discourse rheme structure represents does not necessarily follow this succession when realized in the text scheme. What is regarded as the solution of a problem (that is, discourse rheme) can be placed in the early part of the text. In Steven’s leaving of the Manor placed at the beginning of the story, ‘temporariness’ is implied because he was advised by the new owner of the Manor to take a drive for a change of air.<sup>20</sup>

### 3.4.3 *One tendency in literature discourse: what the author hopes for intentionally and unintentionally*

When we give some judgement (categorical judgement, or in equation form, S—P) or interpretation about an event in the external world as in (29), some general psychological tendency that we all have is reflected in the judgement or the interpretation. It is as in (30):

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[20] The above-mentioned function of theme-rheme in a literary discourse — a function to present some problem and give a solution to the problem as a form of comment — should be sought not at the level of *sjuzet*, to use a terminology of the Prague School of Aesthetical, at which there is a surface development of events, but at that of *fabula*, a deep, abstract level.

(29) I am a cat.

THEME — RHEME

(30) Each individual desires to locate him- or herself better in the environment around him- or herself.

In other words, by narrating a fictional story, that is, by creating a mock reality, we attempt to locate ourselves in the world we belong to in a way that is preferable for ourselves, as Kawai (1993: 3) argues for each human individual's innate psychological tendency towards self-realization in the world. Soseki Natsume pitied Mr Kushami, or Mr Atishoo, for not having natural fur like the cat and his friends; that is, the author pitied man who was not leading a natural way of life. For Natsume Soseki, who wished to lead a natural way of life, the life of the cat with nothing on it except for its natural fur, like the simple life of a Zen priest, was the author's ideal life and therefore the simple life of the cat was significant for Natsume. Such being his philosophy towards life, Natsume would never have written a work entitled *I am a Doctor of Literature*, because a doctor of literature is one who proudly wears a badge of knowledge on his chest, and that was why he did not accept the offer of endowment of a doctoral degree by the Ministry of Education.

In communication theories, there are two major principles: efficiency and politeness. The Cooperative Principle of Grice (1975) and Relevance Theory of Sperber & Wilson (1995) are both efficiency models. The latter assumes that 'Human beings are efficient information-processing devices' and 'Man is an efficient information processor' (46). Human beings are assumed to be 'Problem-solving devices (46) in ostensive, or intentional, communication who attempt to achieve the maximum effect, 'with the smallest possible expenditure of whatever resources (time, money, energy...)' (46) or with minimum energy consumption at 'the minimal cost'



(47). However, communication participants attempt an ostensive communication, not only with maximum effect in mind, but also with politeness effects in mind in order to maintain good relations with others in society. The Politeness Principles by Brown & Levinson (1987) and Leech (1983) represent this approach to communication.

In addition to Grice's or Relevance Theory's principles of efficiency and Brown & Levinson's or Leech's politeness principles, another aspect of human communication should be considered in dealing with narrative texts like literature, myths or folk tales. It is the above-mentioned tendency we have, that is, man tends to narrate about a world that has his favourite shape. In other words, our minds are designed to process information in a way that is desirable to us. A fictional story, as well as a non-fiction story, or a narrative in general, is governed by a general tendency such as (30) above. It is desirable for a human being to keep his internal/external conditions in a state that is as stable as possible. If we use the concept of entropy as gleaned from thermodynamics to define this tendency, a state of minimum entropy—an increase in entropy corresponds to an increase in disorder —, or a maximum orderly state, inside/outside him or her is desired. A maximum orderly state on the part of an addresser is, as it were, an innate feature programmed in man as a social being. The addresser's communicative 'intention' or 'inference' are for communication efficiency; 'politeness principles' are part of social requirements to keep good relationships with other people. What I call 'man's stability seeking tendency' is psychological, but it is also social and is close to the politeness principles in that it is for placing him-/herself in society in the most stable fashion possible.

Yamaguchi (2001: 117) argues:

A narrative is an interpretative act that connects the events surrounding the narrator and the narrator's experiences. It interprets and reconstructs the past and locates the narrator

in an appropriate place. By the present act of narration of the past, the past in turn shows the narrator a correct direction leading to a more certain future, creating inside the narrator a positive expectation for a bright future.

Yamaguchi's appropriate observation of the nature of narrative reveals that underlying the act of narration, there lies a tendency towards homeostasis—biological organisms maintain homeostasis and many biological processes depend on an equilibrium of some sort—, that is, a tendency that directs the narrator in a psychologically more stable direction. Organisms are able to regulate their internal environment in a beneficial way. This autonomous working in us that attempts to keep its own internal environment constant is correlated to the narrative act, attempting to locate the self in the world in a more stable manner. Baerger & McAdams (1999) argue that there is psychological well-being in the person when he or she can talk about a consistent story of himself. What narrative psychology above is dealing with is our psychological desires to locate ourselves in the world more stably. This also holds true for a fictitious narrative.

We wish our world to be like such and such. When the world is not in a favourable state, we wish to decrease the negative state of the world as much as possible. A literary text is also a problem-solving device with which the author solves his or her own psychological problems, and by reducing the internal negative energy, the text helps the author restore a psychological balance, a more desirable environment for the author. The idea is that a literary text has a problem-solving function and brings about 'catharsis' of conflicting emotions through it. Or so is art in general. The idea of 'catharsis', originates with Aristotle, and the idea was handed down to new critics like Richards and Lewis. For more refined theoretical tools, we can look to linguistics or anthropology which have dealt with the functions and structures of myths and folk tales.

### 3.4.3.1 *How problems are solved, and stability is regained*

In examining how discourse theme is transformed and mediated into discourse rheme in literary discourse, we cannot dispense with the notion discussed by Lévi-Strauss (1963) that, in mythology, initial conflicts are gradually mediated into opposite terms that are easier to overcome in mind. His approach is that the unsurmountable difference perceived in a pair of two opposite items is gradually replaced with less opposite pairs, reducing unsurmountableness of the first two objects. In the transformation of discourse theme into discourse rheme that I propose here, however, something unsurmountable is presented at first and it is reduced in its unsurmountableness into something surmountable, attaining psychological stability.

It seems to be possible to posit various analogies between the static type of multi-dual primitive society and the literary texts. For example, at the level of distinctive features, we can discuss the marked/unmarked system of equivalence between two oppositional pairs such as /b/ vs. /p/. At the morphological level, a singular/plural opposition is realized in a pair like 'book/book-s or man/men', for example; or lexically, a 'male/female' opposition is realized in a pair like '*boy/girl*'. Although the structure of oppositions differs from one linguistic level to another, we have to recognize some sort of system of differences and similarities. For example, the opposition in /b/ vs. /p/ is unifacted, that is, the presence or absence of voice; on the other hand, the opposition in lexical items is multifaceted. However, whether it is unifacted or multifaceted, as we see in phonemes, morphemes, lexical items, or word order, 'the notion of opposition underlies and defines PHONOLOGY and GRAMMAR' (Waugh 1976: 64).

There are also oppositional pairs in long poetic works with a motif development

and in prose. At the level of motifs which develop on the time axis, however, the oppositional pairs in those texts need a different perspective. In Edgar Allan Poe's story *The Fall of the House of Usher*, for example, the narrator goes into Usher's Palace and, in the latter part of the story, he runs out of it. In another story by the same author, the hero becomes caught up in a big whirlpool and, towards the end of the story, he escapes from it. In these two cases, we can easily find a literary significant oppositional pair, IN / OUT. This equivalence system is at the episode or motif level. Just as the contrastive terms in a linguistic system are stored in a static way and combined with each other on the axis of combination, so are the contrastive episode units combined and developed on the linear axis of story. The principle of 'reciprocity' inheres in the episode structure.

As I pointed out at the head of this section, the idea of mythological solution that French anthropologist Lévi-Strauss (1963) presents in his study of myths is also effective in the discourse of literature. He argues, following Freud, that a myth is like something that comes up to the level of consciousness in the guise of a dream at night, when the restrictions of reason become lax:

First, the question has often been raised why myths, and more generally oral literature, are so much addicted to duplication, triplication, or quadruplication of the same sequence. If our hypotheses are accepted, the answer is obvious: The function of repetition is to render the structure of the myth apparent. For we have seen that the synchronic-diachronic structure of the myth permits us to organize it into diachronic sequences (the rows in our tables) which should be read synchronically (the columns). Thus, a myth exhibits a "slated" structure, which comes to the surface, so to speak, through the process of repetition. However, the slates are not absolutely identical. And since the purpose of myth is to provide a logical model capable of overcoming a contradiction (an impossible achievement if, as it happens, the contradiction is real), a theoretically infinite number of slates will be generated, each one slightly different from the others. Thus, myth grows spiral-wise until the intellectual impulse which has produced it is exhausted.

(Lévi-Strauss 1963: 229)

And, as a device to solve the contradiction, he introduces the concept of 'mediation':

INITIAL PAIR	FIRST TRIAD	SECOND TRIAD
Life	Agriculture	Herbivorous animals Carrion-eating animals (raven; coyote)
Death	Hunting War	Beasts of prey

*Figure 12*  
Process of mediation <sup>21</sup>

It is assumed that 'mythical thought' starts with the recognition of conflicts, and, by mediating them, it gradually reduces the barriers to their resolution. What Lévi-Strauss (1963: 224) shows in the box diagram above is as follows. To mediate Life and Death, Death is first replaced with War, because War is like Death in that it causes many deaths. Life is metaphorically compared to Agriculture. War is like Hunting in that the former causes animals' death; while Hunting resembles Agriculture in that the former 'harvests' animals like crops. At this stage, Hunting mediates War and Agriculture. And at the stage of a pair with smaller difference and another mediation, Hunting is metaphorically replaced with Beasts of prey, and Agriculture with Herbivorous animals. Both are mediated by the mediating term Carrion-eating animals. That is, Carrion-eating animals are similar to Beasts of prey in that the former exploit animals; at the same time, they are like Agriculture and Herbivorous animals in that they do not kill what they eat. The coyote feeds on carrion; in this respect, the animal is assumed to mediate life and death.

[21] Lévi-Strauss's mythology is a combination of Marxist dialectics and Freudian psychoanalysis, from which comes the interpretation of a myth as dialectically develops, mediates the oppositions into less oppositive, and psychologically resolves the problems the tribe is faced with.

Let us return to the discussion of Kazuo Ishiguro. Such a structural analysis of his works as exemplified above reveals that the author implicitly expresses the author-specific pragmatic meaning of ‘an international moving must be denied’. Although this author implicitly expresses his intention, the expression does not take place in a simple, linear way as ‘A is B’ on the surface, because the story must develop along the long time axis. A is converted into B for the first time after some stages of ‘mediation’. Something that was presented at the very beginning of a story — in the case of Ishiguro, it is INTERNATIONAL MOVING, or discourse theme to extend the use of the term of functional grammar at the discourse level — is, through several replacements with less opposite pairs, in the end commented upon in something that denies the original state, or in discourse rheme.

According to Leach (1970), Lévi-Strauss assumed that primitive people thought with things round them in their daily life until the sufficient development of their language system:

Primitive man, before he had any writing, perhaps even before he had developed his spoken language to a point where it could be used as a refined instrument of logic, was already using things ‘out there’ as instruments with which to think. This is the essence of Lévi-Strauss’s arguments about totemic-species categories and food-preparation categories. They are categories which refer to things ‘out there’ in the human environment and they are things good for thinking, not just things good to eat.

(Leach 1970: 124)

In the works of Ishiguro, the author is attempting to cancel his inside conflicts by using ‘instruments’ in his text world — a traditional butler who tries to hold out in the old Manor in a new situation; a Japanese woman who marries a foreigner; a house and a car.<sup>22</sup>

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[22] In van Dijk (1978), he argues, ‘we may take literary texts, in pragmatics, as a kind of ritual’. If a literary text acts like a myth in its meditation of author’s emotions, for which I argue in this dissertation, the author uses the instruments like a butler, a car, or marriage in the text

#### 3.4.4 Definition of equivalence, discourse theme, discourse rheme and mediation

In this section, I will define 'equivalence' in general and then go on to define discourse theme and discourse rheme, which are stored as equivalent units in a discourse theme system. Discourse mediation, on the other hand, functions on the syntagmatic axis to liquidate the opposite quality of discourse theme and discourse rheme.

In Systemic-Functional Linguistics, or SFL, there are three basic strata for the description of language: the semantic, lexicogrammatical, and phonological; however, the number of strata one should consider in an analysis depends on the purpose of the analysis. In the analysis of a literary text, another level should be added to the above three: the textual, in the sense that the textual provides a context in which the units below the text occur. The textual, in turn, serves as a constituent in the environment above it. The unit of analysis for SFL is the text because the functional meaning potential of language is realized in text. Though text is the largest message unit expressed by the addresser in SFL, in a literary language, text is not exchanged in an actual context, only in a mock-world. If language as a communication tool can be formulated in a natural narrative as follows,

(a) L.COM ( text )	(L.COM = function 1 (language as communication))
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the narrating text 1 and the narrated text 2 belong to the same reference world to which the same functional rules are applicable. The formula would be,

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world as in the ritual. See Lévi-Strauss (1987: 201), for the close relations between the 'myth, considered as a thought ritual' and the 'ritual considered as acted myth'.

(b) L.COM 1 text 1(L.COM2 ( text 2 )) (L.COM 1, 2 = function 1 (language as communication))

On the other hand, literary language is formulated as follows:

(c) L.COM text 1 (L.CR ( text 2 )) (L.CR = function 2 (language as mental creation))

Formula (a) shows that after text is created to function to the user's advantage, the communicative rules such as cooperation, truth and relevance come into play to adjust the text to suit the exchange with the other language user. This holds true for (b). This is the case in which a narrator narrates a narrative. In this case, text 1 and text 2 have the same reference world; that is, the narrator's world and the narrated world belong to the same reference world. Literature, represented as Formula (c), is, on the other hand, a language form in which the restrictions required for the natural exchange with other communication participants are not fully applied. In a literary text, the author's world and the narrator's world (and the narrated world) do not belong to the same reference world, because the former is a world surrounding the author and the latter is the author's mental creation; it is the author who governs consciously or unconsciously the exchanges of texts.

Considering this, conditions to be satisfied for 'equivalence', 'discourse theme and rheme' and 'mediation' are as follows:

**CONDITION 0 (conditions for 'literariness')**

If the author's world includes the world that the narrator narrates; and  
If the following CONDITIONS (1-3) are applicable only to the Text World that the narrator narrates in Figure 7, and not to the Discourse World that surrounds the author,

then the following CONDITIONS (1-3) are the rules that govern in a literary text.



## CONDITION 1 (condition for 'equivalence')

## (1) (same environment)

If Unit A and Unit B are in parallel in a text or in a part of the text; or

AYZ + BYZ

(e.g. <sub>1</sub>Whose woods these are I think I *know*, .../ <sub>4</sub>To watch his woods fill up with *snow*.)<sup>23</sup>

## (2) (same constituent)

When Unit A and B share a feature or features at the level below Unit A and Unit B.

A + B

[a, b, c] [a, d, e]

(e.g. <sub>1</sub>Whose *woods* these are I think I *know*, .../ <sub>4</sub>To watch his *woods* fill up with *snow*.)

then Unit A and B are equivalent.

If (1), then (1) is necessarily (2); however, if (2), (2) is not necessarily (1).

(e.g. Line 1 and Line 4 share /*nou*/ at a rhyme position (thus (1)), and they are equivalent; in

addition, these two rhyme words are the same constituent of the two lines in that they are rhyme

fellows (thus (2)). From the standpoint of *woods*, these two lines are equivalent because they both

have the same constituent (*woods*); however, these two *woods* are not in a parallel position, so not

(1).)

In a text with a limited space for arrangement of units, like a short poem, a haiku, etc., the units to form a text with are only those at lower linguistic levels. In a longer text such as Chaucer's narrative poem, Ishiguro's prose, etc., the lower level units have only limited significance in terms of their overall relations with each other in the entire text. These low-level units should be viewed from the perspective of their contribution to the content expressed by the total text in the context within and outside the text world. Though phonological aspects do not disappear as in Ruth Rendell's mystery novel, *The Master of the Moor*, more significant parallelisms tend to be realized at upper linguistic levels. Even in a limited-space-text like a short poem, due to the structural characteristics that the English language has (they have lost linguistic inflections in the evolution of the language), parallelism tends to be realized at higher

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[23] See Frost's 'Stopping By Woods on a Snowy Evening', in Section 4.4 in PART 2.

levels compared with other poetry in more synthetic languages like German, Russian or French. <sup>24</sup>

CONDITION 2 (condition for ‘discourse theme’ and ‘discourse rheme’)

If two parallel units, A and B, are to be in such semantic contrast as to be significant in the fictional world; or

If two linguistic units satisfy CONDITION 1 and the two units are in contrast in value (equivalent in contrast, and one is favourable in content to either a human being in general, or to the author,

then the favourable unit is discourse rheme (B); while the other with the unfavourable value is discourse theme (A).

CONDITION 3 (condition for ‘mediation’)

If two parallel linguistic units are oppositive in terms of one feature or more; and

If these linguistic units are followed by those of smaller opposition in scale; and

If these regressive differences lead to the denial of one ore more features in discourse theme,

then the linguistic units in smaller opposition can mediate discourse theme into discourse rheme.

Firth (1957) originally defined ‘system’ as the abstract, theoretical representation of paradigmatic relations, in contrast with ‘structure’ for syntagmatic relations in which paradigmatic features become realized. What I term ‘discourse theme’ and ‘discourse rheme’ are new additions to the systemic functional terms in paradigmatic relations. And just as SFL is a theory that views language as a social semiotic, a resource people use to accomplish their purposes by expressing something in context, so my theory here views a fictional text as a social semiotic, that is, a resource the author resorts to when expressing something with it implicitly in his or her literary disguise. By ‘implicitly’, I mean the author is organizing his or her discourse through the mock

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[24] As Figure 13 shows, parallelism is explicit realization of equivalent terms (whether (+)A + (+)A or (+)A + (-)A or (-)A + (+)A or (-)A + (-)A) on the chain axis. Discourse theme and discourse rheme are realized in parallel fashion.

reality on pages, not as we do in natural discourse. Therefore, I am not discussing this from the reader's standpoint or arguing that it is the reader's task to work out what is implied. I am attempting to show Hallidayan information structure hidden on pages as a hypothetically constructed structure. And the information structure is of course what is constructed by the addresser or the author.

By using the surface clues as defined as CONDITIONS above, we can hypothetically construct the thematization structure in a literary text. In a modern methodology of science, the arbitrariness of the hypothesis is used. When a certain hypothesis is posited and can derive an explanation system compatible enough for many phenomena, the hypothesis is assumed acceptable.<sup>25</sup>

Using the CONDITIONS and the hypothetical assumptions, we can access Shakespeare's grand design of *Hamlet*, for example, as reflected in the thematization structure. If the hypothesis that I present explains the observed phenomena, then Ishiguro's or Shakespeare's thematization structure posited as a hypothetical construct is accepted as true.

This is the procedure I took to construct my performative hypothesis of literary discourse. For the reader to access what the author intended to convey, he or she can take similar procedures. After all what I call 'what the author intended to convey' is a hypothetical construct. It is of course possible to develop discussion to argue that the intention of the author is neither available as in Wimsatt & Beardsley (1946). My

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[25] Euclid, for example, attempted to define point, line, and plane. Euclid defined, for example, a line as 'length without breadth.' While attempting to define these terms, he ran into the problem of needing to define a term with another term. This process led to circular definitions. Hilbert, a mathematician in Germany, attempted alternative hypotheses in his *Foundations of Geometry*. His hypothesis says that the axiom 'There is only one line between two different points' is sufficient as a working hypothesis. Thus

- (I) There are various phenomena and facts.
- (II) A certain hypothesis can explain these phenomena and facts if the hypothesis is accepted true.
- (III) Then, there is a good reason to assume the hypothesis as true.

starting postulate is that there is the author's intention for thematization and which is accessible though it is a hypothetical construct.

Given (or old) information in natural exchanges is that knowledge which the speaker assumes to be shared with the addressee at the time of the utterance and it is placed at the head of the utterance. Unmarked pattern of information flow coincides with the theme of the utterance. In literature the author develops the story as if it is a real exchange with the reader, and raises an issue in the discourse theme, as an informationally given, already-known common ground between author and reader. The informationally given discourse theme is then followed by the author's comment upon it, which is the author's psychological solution to the issue. By adding the problem-solution character to theme-rheme relation, we obtain the following:

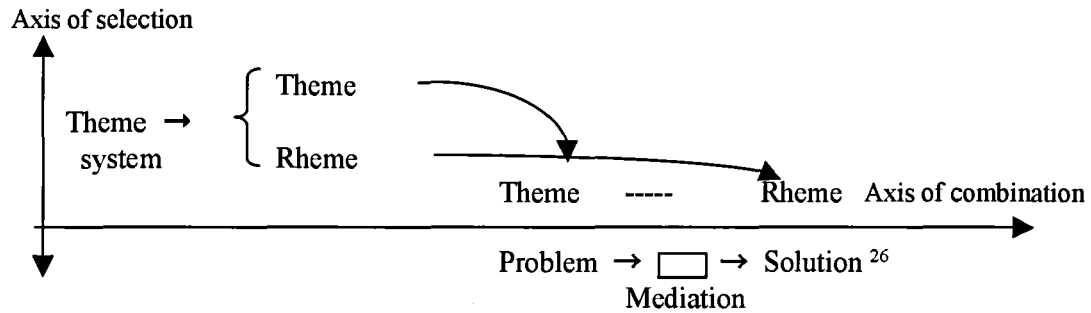


Figure 16

System of discourse theme

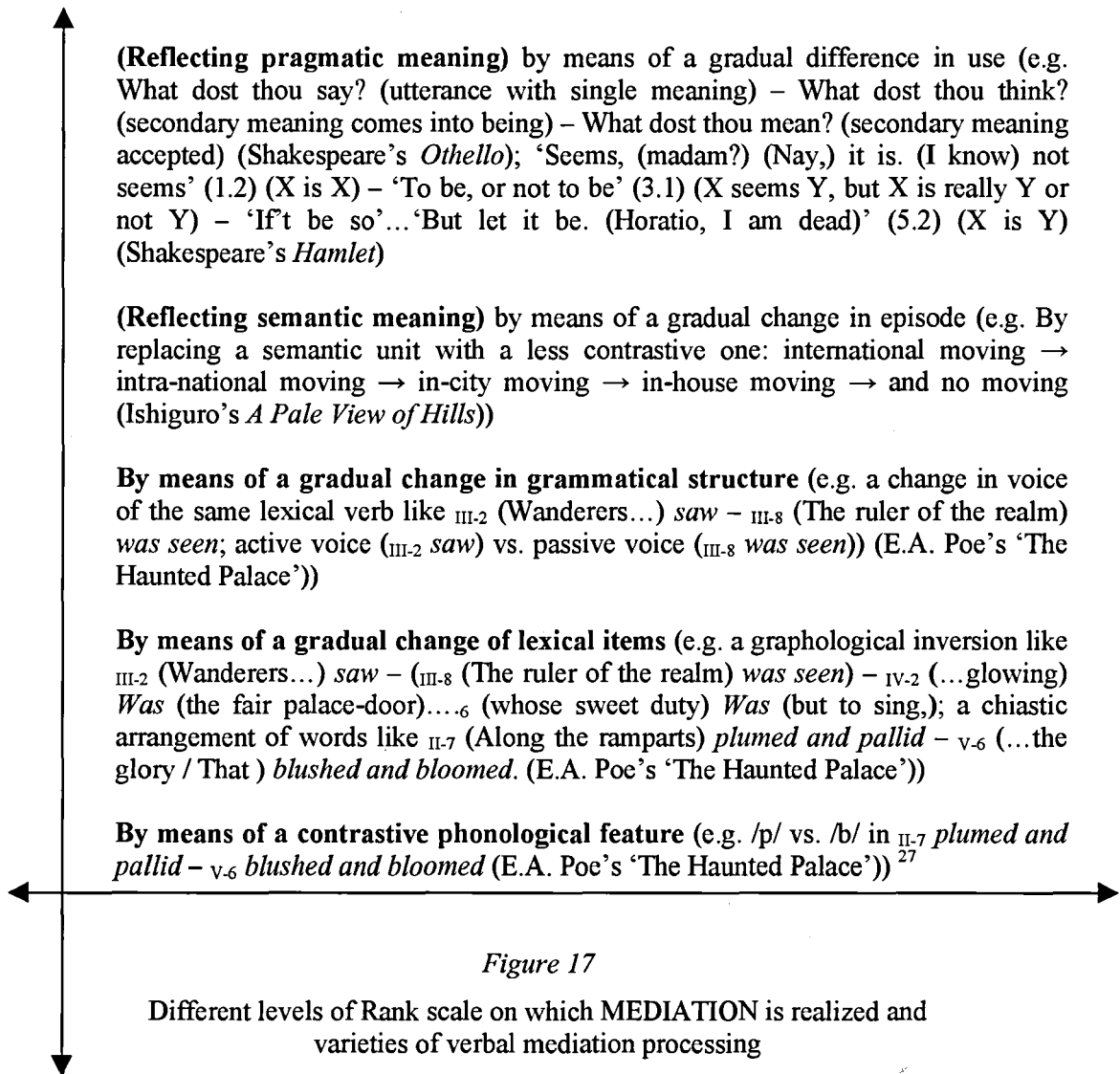
The graphic representation above shows the theme system is also a system from which one is to be chosen. Just as we look at the system to consider the choices that are available for a certain type of clause, ‘imperative’ or ‘subjunctive’, for example, so we choose theme / rheme at the discourse level from the theme system. Stylistic characteristics each author has are realized, phonologically, morphologically or lexically, at the level below the theme system.

The liquidation of systemic contrasts at mediation are achieved in various ways, reflecting the author’s mind style, or verbal concern, and the length of the text:

[26] Aristotle (1995: 55) argues that all the narrative has a structure of Beginning – Middle – Ending. Herman (2003: 2) views events as a time- and space-transition from Source State S to Target State S. In the discussion of ‘aboutness’ in a scientific paper, Hutchins (1977: 9) represents this form as follows:

the ‘problem’	{	statement of ‘current’ hypothesis
		tests of hypothesis
		disproof of hypothesis
		statement of ‘problem’
the ‘solution’	{	statement of ‘new’ hypothesis
		tests of hypothesis
		proof of hypothesis
		statement of ‘solution’

In other words, a problem-solving thematic structure of a narrative takes the following form: ISSUE → X → SOLUTION. These analyses of textual structures of natural discourse, scientific or not, helps in understanding a literary text, because the communication framework in Figure 7 for literary language is, after all, a sub-category of that in Figure 6. This I will not discuss in detail in this thesis.



As the lower part of the Rank scale in Figure 17 shows, in a short poem, there is no room for higher level items to be used for thematization; instead, lower level units like morphemes or phonemes are used. Robert Frost's or Edgar Allan Poe's short poems, for example, are mostly organized at these lower levels. On the other hand, longer works like Chaucer's, Shakespeare's or Ishiguro's are thematized at higher levels of the Rank scale.

[27] At the level of phonology, it is difficult to show a gradual change in theme. Usually a change comes suddenly by juxtaposing two different phonemes such as /p/ vs. /b/, or these phonological changes just support a gradual change in discourse theme manifested at other levels.

3.4.5 *A brief case studies of the analysis of literary discourse: thematization, parallelism, the authorial point of view*

3.4.5.1 *The text-forming function in literary discourse: the case of Kazuo Ishiguro*

Now I will give a brief analysis of two of Kazuo Ishiguro's novels, *A Pale View of Hills* and *The Remains of the Day*, and show how the author overcomes his inner conflicts using his 'tools' in his text world. While attempting to better adjust himself or herself to the world round — in this sense, the author is a social being — the author uses a device to solve the problem. Like a myth, a literary text is a fictional device with which the author, consciously or subconsciously, seeks for his or her better adjustment in society by solving the problem in imagination. Literature is an imaginary solution for tensions, conflicts, and contradictions that cannot be resolved in reality. The reason I discuss these two works is that they reveal a problem (DISCOURSE THEME)–solution (DISCOURSE RHEME) pattern more clearly than other works by the same author. First, we can examine these works from the two codes of CHANGE. They are CHANGE IN LOCUS and CHANGE IN TIME. We can term MOVING and SETTLING the two abstract types of event (EVENT types) that manifest these CHANGES. In the following, I will examine only the code of CHANGE IN LOCUS in the two works:

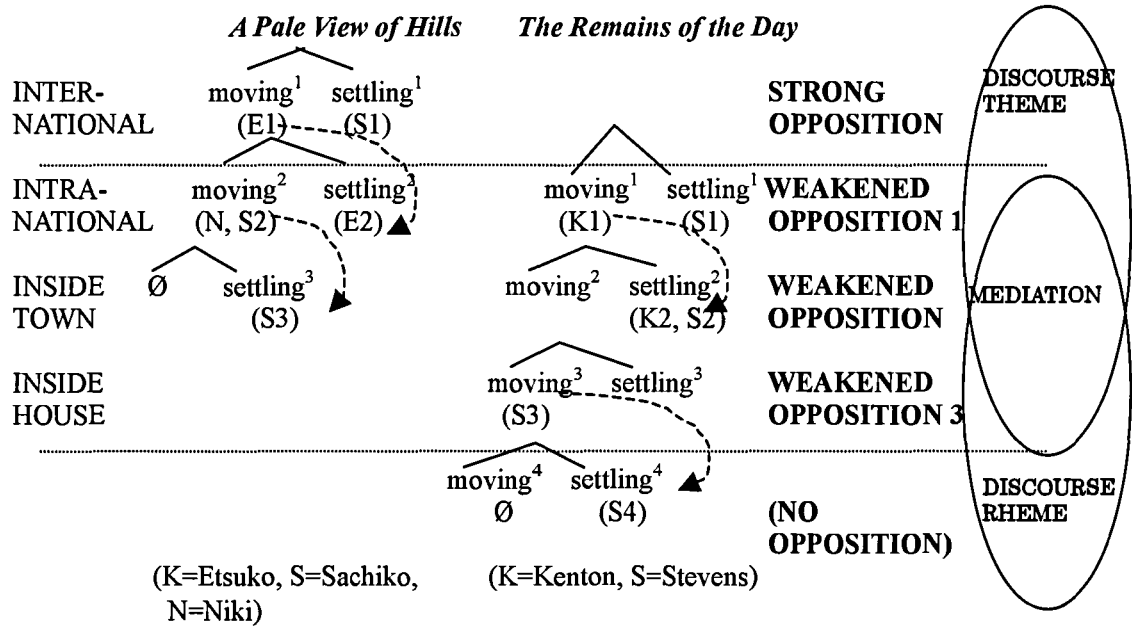


Figure 18

Mediating Function  
in *A Pale View of Hills* and *The Remains of the Day*

By using the code, CHANGE IN LOCUS in these two works, Ishiguro clearly shows his ‘affirmative tendency’, which generally lies beneath his works. Though at the text level, *A Pale View of Hills* begins with Niki’s ‘temporary’ visit to her mother, Etsuko, — which implies Niki’s not leaving her new home in London—, at the more abstract level of the story, Ishiguro replaces the first most oppositionive MOVING, that is, the international moving from Japan to Britain by Etsuko, a heroine, with smaller movings, finally denying the first most oppositionive one, INTERNATIONAL MOVING. In this work, a woman named Etsuko is the first heroine, who deserts a Japanese husband and starts on a journey to Britain with her new British husband and her daughter by her Japanese husband, though this tragic daughter hangs herself in Britain, helping Etsuko eliminate one of her ties with Japan, making it easier for her to gain Englishness in her new life in Britain. The second heroine is Sachiko, and her original hope was to emigrate to America with her American husband and her Japanese



daughter Mariko, a picture paralleling that of Etsuko. However, Sachiko's hope never comes to fruition and she has to stay in Japan (affirmation of staying in Japan and denial of international moving). Instead of emigrating to the United States (denial of international moving), Sachiko moves to her relatives in Kobe, central Japan, from Nagasaki, western Japan, with her daughter Mariko (affirmation of domestic moving).

What both tree diagrams in Figure 18 show is a gradual weakening of 'difference'. Only by assuming the text-world structures like this can we find significant coherence of the words of Stevens' new American master who encourages Stevens to drive in his car for a change of air. What is thematically important here is that Stevens never moves out of the Manor. Miss Kenton, Stevens's former colleague, refuses to leave her new home (DENIAL OF INTRA-NATIONAL MOVING). After his 'break', he returns and remains in the Manor (DENIAL OF INTRA-NATIONAL MOVING), though not in completely the same environment.

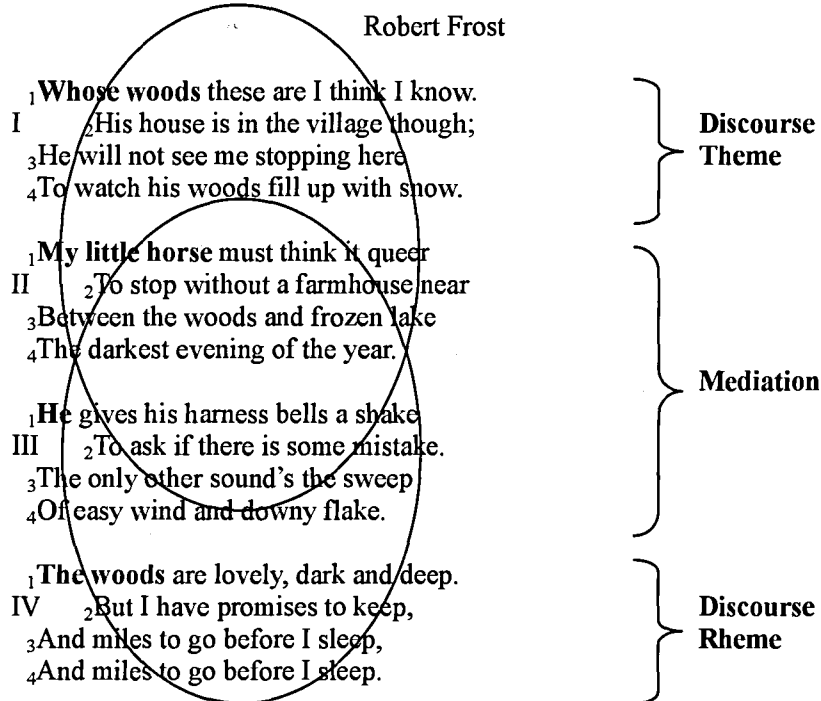
As this brief analysis of his text world shows, the works of Ishiguro reflect the author's attitude towards the world surrounding him: international moving should be denied. And, this attitudinal framework underlies Ishiguro's fictional, textual world in which texts are exchanged between characters. Only by putting his actual discourse world over his structured fictional texts we can appreciate the 'coherence' realized in his fictional texts.

#### *3.4.5.2 Parallelisms arranged following the scheme of thematization: the case of Robert Frost*

In Robert Frost's four-stanza poem entitled 'Stopping by Woods on a Snowy Evening', the four opening phrases at each stanza show a significant parallelism which reflects

the thematization structure.

Stopping by Woods on a Snowy Evening <sup>28</sup>



The state of possessorship, in which the two key referents ('woods' and 'horse') are situated, determines the main thematic trend of the text: the process of something eternal engulfing the possessed, and then the possessor. These two referents are linguistically realized in the four stanza-opening items. In the peripheral stanzas, I and IV, the first key word *woods* opens the stanzas; on the other hand, a grammatical subject co-referring to the same *horse* starts the central two stanzas, II and III which, I assume, hold the role of mediation.

The order of these stanza-opening thematic words (*woods – horse : horse – woods*) reverses the semantic drift of the whole poem. The phrases which open the first two stanzas, I and II, are all accompanied by some possessive pronoun (*Whose woods ;*

[28] The poetry is quoted from R. Frost (1923) *New Hampshire* (New York: Henry Holt). I followed the punctuation of this first edition.

*My little horse*) as if to give them a general notion of POSSESSION; whereas, the opening phrases in the last two stanzas, III and IV, lack such a pronoun, creating in the second half of the poem a scene in which the possessor retreats into the background (*He (=horse)* ; *The woods*). This disappearance of possessive pronouns looks superficial because as long as factual coherence, as well as grammatical cohesion, remains, it is linguistically quite natural that the second co-referential term should be pronominalized or referred to with a definite article. In poetry, however, every single choice of phrasing is made purposefully. In this work too, the disappearance of possessive expressions iconically reflects this work's rhematic idea that all the relationships based on possession from outside and the possessor of them are after all destined to be lost; therefore, people should live on with words of future 'promises' with fellow humans in mind, for people internally possess them and never lose them. Depending upon whether the phrase has a binary feature of [+POSSESSIVE PRN] (PRN=pronoun) or [-POSSESSIVE PRN], the semantic relationships holding between these discourse structure-reflecting items would be thus diagrammed as in

Figure 7:

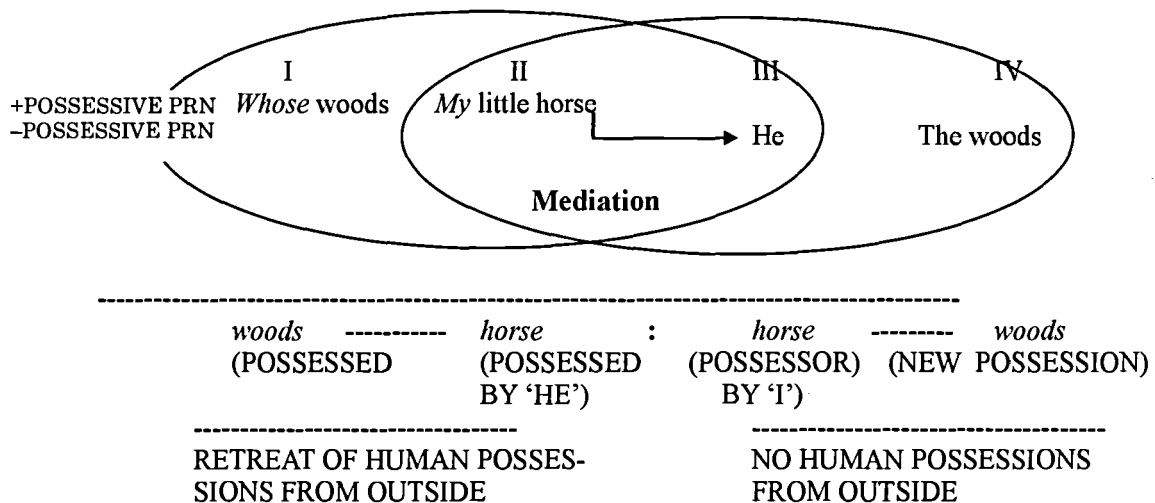


Figure 7

A change of possessorship: from POSSESSED to POSSESSOR

Paralleling the two contrastive flows of thematic meaning (*woods – horse : horse – woods*), the arrangement of end rhymes is neatly divided into two types. The first half of the text exhibits rhymes ending with diphthongs (/ou/ and /ɪə/) with no consonant following (one exception is the odd-rhyme *lake*): *know–though–here–snow*; *queer–near–(lake)–year*. By contrast, all the rhyme words in the second half end with consonants (/eɪk/ and /i:p/): *shake–mistake–sweep–flake*; *deep–keep–sleep–sleep*. This vowel / consonant distribution corresponds to the thematic opposition that I discussed above. In this poem, each third-line rhyme becomes the source for the major rhyme in the stanza following, linking them together in a chain (a variation of *terza rima*): I-1*know*, 2*though*, (3*here*), 4*snow*; II-1*queer*, 2*near*, (3*lake*), 4*year*; III-1*shake*, 2*mistake*, (3*sweep*), 4*flake*; IV-1*deep*, 2*keep*, 3*sleep*, 4*sleep*. (Note that only the fourth stanza has the same rhyme /i:/ for all the four lines.) The first end rhyme /ou/ and the last end rhyme /i:p/ are in sharp contrast in terms of ‘back’ or ‘front’ in vowel articulation. This distribution accords with the arrangements of other verbal items to support the thematic mediation realized in the text. The rhyme scheme thus parallels the thematization framework of ANTERIOR (I, II) and POSTERIOR (III, IV), the same parallelsim as realized in the stanza-opening phrases.

As this brief analysis shows, this poem is organized according to the patterning of ‘discourse theme – mediation – discourse rheme’, manifesting its patterns at the lower linguistic level in items such as end rhymes and grammatical subjects occurring at the head of each stanza.



shared topic, the reference to Dunstan could naturally be deleted from ‘What has happened?’ The *wh*-question of ‘What has happened?’ without the prepositional phrase ‘to Dunstan’ is transmitting sufficient and adequate information, and so quite appropriate here. However, the sentence which follows urges us to cancel the first assumption that the is referring to Dunstan. A closer reading of the text reveals that ‘What has happened?’ is about his *horse* and the complete form of the question would be ‘What has happened *to my horse*?’ If it were not for Godfrey adding, ‘Be quick’, it would be possible to read ‘What has happened?’ as a neutral question regarding the imagined misfortune. Godfrey’s ‘Be quick’ is, however, a phrase urging Bryce to give him more information about his horse. As his horse was already uppermost in his mind, informationally ‘given’, Godfrey used an elliptical structure and ‘to my horse’ was naturally deleted from his question ‘What has happened?’

By making her voice coincide with Godfrey’s, the author is able to release her repressed feelings against Dunstan without directly criticizing him and evade possible negative reactions by her readers. In line 23 on page 116, the author makes Godfrey rather uncooperative or not sufficiently information in the interaction with Bryce. Through this irrelevant discursal exchange, Godfrey violates the Maxim of Relation (Be relevant). In discourse, a character cannot violate a maxim to the reader, i.e., characters can only violate a maxim to each other. If the discourse is structured carefully, the author can pretend that she is just reporting Godfrey’s speech and therefore have no maxim violation on her part to the reader. This kind of two-layered discourse is often used in detective stories where the end of the story reveals that a second reading of some speech is a more probable interpretation than the first reading.

The second example below illustrates the author’s habitual use of the two-layered message to persuade her readers.

We can trace back the author's habitual practice of assuming Godfrey's 'passive' point of view to the passage which precedes (1). In passage (2), Godfrey's point of view, and behind it the author's, is synchronized with the description of factual occurrences:

...and when he heard a horse approaching at a trot, and saw (I.11, p. 116) a hat rising above a hedge beyond an angle of the lane, he felt as if his conjuration had succeeded. But no sooner did the horse come within sight, that his heart sank again. It was not Wildfire; and in a few moments more he discerned that the rider was not Dunstan, but Bryce, who pulled up to speak, with a face that implied something disagreeable.

*(Silas Marner I.11, p. 116)*

Passage (2), supported by the expression preceding it, ('The possibility that Dunstan had played him the ugly trick of riding away with Wildfire, ... was a fear that urged itself upon him more, even, than the thought of an accidental injury' (1.38, p.115–1.5, p.116) and passage (1), contain Godfrey's undercurrent of negative emotion towards Dunstan beneath its apparently factual report. The author cleverly hides these negative feelings by using the natural setting of the hedge where the horse's appearance must precede the identification of the rider. However, it is Godfrey's anxiety about his 'horse' rather than his concern about his brother which is being emphasized. This priority of concern in Godfrey's mind is cleverly made to coincide with the chronological appearance of the horse and then the rider. Godfrey's point of view could have been stated in a more explicit way. However, the author made it latent and hard to perceive. Here we can see that, by concealing Godfrey's negative feelings, Godfrey escapes the reader's accusation of his indifference to his brother. The author herself further avoids the accusation that she is not giving sufficient information regarding the character's priority of concern, and her concern, by using the Maxim of Quantity in conversation. This very practice of making Godfrey's point of view

coincide with factual occurrences convinces us of the author's unconscious strategy to vent her negative feelings towards Dunstan as in (1).

To sum up, in both cases we have seen how the author's voice is linked to Godfrey's: in the first case (1), through Godfrey's verbally expressed speech, and in (2), more subtly, through Godfrey's implicit point of view. It is clear that under the surface of the quiet flow of 'natural' discourse, there runs a repressed current of negative feelings. We would call the author's technique the 'let-it-be strategy' after the phrase Godfrey used. With this strategy the author increases our expectation about Dunstan's fall and indirectly through Godfrey, justifies his ruin.

### 3.5 CONCLUSION OF CHAPTER 3

In this Chapter, modifying Ross's performative hypothesis, I examined how literary discourse works. I contended that every literary discourse consists of the functional super-structure that is equivalent of the performative sentence (in which author narrates to reader; one which I called the message-external context in Chapter 2), and the proposition (or text, or the message-internal context / the story world) that the performative super-structure expresses. I also proposed that inside the proposition the Hallidayan thematization works, dividing this part into what I term 'discourse theme', 'discourse rheme' and 'mediation'.

I have demonstrated that the information structure which works communicative-dynamically in the text proposition has a problem-solving nature, by which the author attempts to reduce an inner conflict or conflicts, consciously or subconsciously, and thus regains inner stability. In the fictional text world, the problem facing the author is



first presented in the form of a problem to be solved, and the problem is replaced with others of smaller confrontation. This work of replacement is continued until the problem ceases to be a big psychological load to the author. How the author reduces his or her inner conflict and what the problem is will be demonstrated in detail through the sample analyses of a literary work in the SECOND PART. In the case of Ishiguro, the inner problems he faced—his family's move from Japan to Britain when he was five, resulting in the hard, cultural and ethnic experiences he had to face while growing up in Britain as a Japanese—repeatedly appear in disguise in his works, gradually being replaced with smaller conflicts decreasing their psychological burden. Through these processes of replacing the characters' moving of long distance with those of smaller distance, or through these stages of meditation, Ishiguro, imaginarily solving the difference in distance between Japan and Britain, attempts to better adjust himself to the real world.<sup>30</sup> Those who attempt to reconstruct the information structure of a literary text can specify this by applying the conditions for 'equivalence', 'discourse theme and rheme' and 'mediation' discussed in 3.4.4 *Definition of equivalence, discourse theme, discourse rheme and mediation*, that is, specially by paying verbal items or episodes which recur in the text. Parallelisms are surface realizations of covert systems based on the author's mind style as in Figure 17 in Chapter 3, and by reading these parallel items, we can trace them down to the covert

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[30] Miller (1982) also discusses 'repetitions' in literature by dividing them into two categories: 'verbal elements' and 'events or scenes'. Either of the categories has, he argues, Platonic repetition as 'icon' or Nietzschean repetitions as 'phantasm', applying them to seven literary works. In this thesis, however, due to the lack of space, I do not discuss this in detail. A widely discussed reason for 'repetition' in myths or folk tales is as a means of memorization. Following this discussion, myths or folk tales were originally orally delivered and needed some device to help people remember the story. It has been argued that the device was 'repetition'. This view of 'repetition for the assistance of memory' does not apply to the repetition in a prose text because it is written to be read. In reading prose, we do not need 'repetitions' if they are just 'for the assistance of memory'. Therefore, explanations other than the assistance of memory are needed for the repetition. In this section, I regard repetitions as 'a means to gradually cancel the psychological confrontations'.

thematic systems of the literary work. If not successful, it is because surface evidences are scarce just like we reconstruct a whole dinosaur using a bit of his or her bones. In such a case, the weight of reasoning increases.

I also argued that depending on the length of the text, the linguistic devices used for the text proposition part are different. When longer, due to the freedom of arrangement of verbal items, the text depends more on semantic aspects of the text like episode, and it becomes easier to show the problem-solving nature of the text semantically. When short, the text relies more upon lower linguistic items for its development and the semantic aspects become more backgrounded.

I also discussed the conditions for the key terms; that is, equivalence, and what I term discourse theme, discourse rheme and mediation. In one of Robert Frost's poems, the two parallel lines in the first stanza ( <sub>1</sub>Whose *woods* these are I think I know, .../ <sub>4</sub>To watch his *woods* fill up with snow.) contain the same word *woods*, thus these two lines are equivalent. In the case of Ishiguro's works, 'Steven's temporary leaving of the Manor' and 'Niki's temporary leaving her London home' contain the same semantic constituent 'temporary leaving one's home', thus these two episodes are equivalent; on the other hand, 'Etsuko's leaving her home in Japan' is contrasted with 'Etsuko's not leaving her home in Britain', thus equivalent in an opposite manner.

**PART TWO**  
**CASE STUDIES**

## **Chapter 4 ASPECTS OF LITERARY COMMUNICATION: CASE STUDIES**

In the following analyses of different eight types of literary discourse, I aim to examine different aspects of literary discourse in the framework of literary performative hypothesis.

In the first five sections (4.1, 4.2, 4.3, 4.4, 4.5), I will illustrate how each author transforms, or mediates, his or her personal psychological topic (discourse theme) into the comment (discourse rheme) through the intermediary, synthetic stages, using the author's strategically different devices, depending on the length of the text and reflecting the author-specific mind styles. In 4.6, I will also show that in each text, micro-structural linguistic items, mostly recurring in the text in some form or other, are given a support by the highest layer of functional structure, discourse theme and discourse rheme. In 4.7 and 4.8, I will discuss the authorial viewpoint, as well as the characters', focusing on the message-external structure of literary discourse.

In 4.1, WHY MEDIATION TAKES PLACE ABRUPTLY IN SHAKESPEARE'S SONNET 129, I will show that the loss of inflections and genders has had an impact on the evolution of English poems, creating a tendency for poetry in (Early) Modern English to depend less upon their morpho-phonemic aspects (rhymes, for example) for creativity and to lack some of the power, beauty, expressiveness or precision of Old English poems. This tendency, in turn, leads to the text's further dependence on the linguistically upper levels such as episode that is functionally conditioned to be divided into the discourse theme – mediation – discourse rheme.

In 4.2, LOSE HEART, GAIN HEAVEN: THE FALSE RECIPROCITY OF GAIN

AND LOSS IN CHAUCER'S *TROILUS AND CRISEYDE*, I will show how Chaucer transforms the discourse theme presented at the beginning of the story, i.e., the rape of Helen, into the discourse rheme, i.e., the destruction of Troy, and how he presents this unequal equation in the story. The way he transforms a small incident (the rape of Helen) into the destruction of a state could be called a deceptive equation. As every business transaction is taxed, the rape of Helen, through many stages of deceptive equation, turns into the destruction of Troy.

In 4.3, 'IRE', A WORD OF DESTRUCTION IN *TROILUS AND CRISEYDE*, on the basis of the examples of 'ire' downloaded from the Harvard Program for the English Department and the Division of Continuing Education (<http://www.courses.fas.harvard.edu/~chaucer/tools/>), I will illustrate that the state that is triggered by a specific emotion that can be described by the use of 'ire', causes the cycle in the above chapter. Chaucer carefully used this word to describe Troilus's desperate state of mind in the key scenes, which is contrary to his acceptance of his fate in the consummation and parliament scenes, and which contrasts also with Criseyde's quiet but tactful acceptance of her fate.

In 4.4, IAGO, THE MURDERER; HAMLET, THE AVENGER, Shakespeare's *Othello* and *Hamlet* are discussed. Shakespeare created 'the perfect murderer', according to Hercule Poirot in his last case, *Curtain*. *Othello* is a story in which one physically strong and mentally well-balanced man yields to words, which deceptively suggest something that sounds 'real', like words from a ghost. In this section, I named these falsely suggestive words 'the Ghost Implicature', which is a modified version of Grice's 'implicature'. The innocent world of *Othello*— the world of 'A', for example—, in which a word has a single meaning, and is 'transparent' in meaning, transforms itself,

through the transitional stages of ‘Great Seeming’ —the world of ‘A or not A’ —, into the world of deception—the world of ‘not A’. If Iago is the perfect murderer, Hamlet can be called ‘the perfect avenger’, who violates no social codes of that time, moral, religious, or legal, and fulfill his revenge. Hamlet is partly like Othello in that his father ghost tells him to take revenge, or partly like Iago in that he drives Claudius into destruction only through deceptive suggestions. Shakespeare kept challenging the audience’s sense of morality, of religion, and of law, just like Mark Antony did in front of the Romans, gradually downgrading Brutus from a hero to a traitor. By questioning what seems to be firmly rooted in the society of his time— an honourable hero (Brutus), a formidable general (Othello), a ‘glorious’ king (Claudius) —, Shakespeare challenged the intelligence, morality, religious and legal mind of his time.

In 4.5, TO LEAVE OR TO SETTLE?: KAZUO ISHIGURO’S REMAINS OF THE SUMMER IN NAGASAKI, I will show that Kazuo Ishiguro unconsciously hopes to solve the irreducible form of psychological antitheses that can be expressed in such abstract pairs of EVENTS as MOVING vs SETTLING. Next the abstract EVENT terms MOVING vs SETTLING can be realized with such LOCATION pairs as: JAPAN vs BRITAIN, i.e., CHANGE IN LOCUS; and PAST vs PRESENT, i.e., CHANGE IN TIME. These two pairs are the more specific features he has to carry throughout his life as someone ethnically different living in Britain. At the level of his work, these abstract features take on much more specific forms such as: home town vs big city, people on the ground floor vs people on the first floor, world affairs vs family affairs, and traditional vs non-traditional. In the course of my discussion, I shall show how these two polar terms are mediated into less extreme terms which, to Ishiguro, psychologically means less.

In 4.6, THE PALACE OF POE, Edgar Allan Poe’s six stanza poem is discussed from

the standpoint of its message-form. Poe, who had a self-destructive mental trait, realizes this desire through a coffin-like zone in which we may call 'past glory' is transformed into 'present pleasurable fall' by an iconic use of parallel verbal items — mostly lexical — that change their forms through several stages of mediation.

In the rest two sections, I will focus on the message-external context. In 4.7, CAT IN THE RAIN AND GEORGE ON THE BED: HEMINGWAY'S OBSESSIVE TRUST IN REALITY, I will focus upon the different viewpoints of participants in this literary communication: characters, the narrator and the author. Hemingway keeps asking us a question of coherent identification through verbal devices (clever uses of adjectives, for example) and the way the characters move / do not move in the story. The conclusion drawn from the discussion of his stylistic and narrative technique is that Hemingway wanted to say that what is reported cannot always be identified with what should be reported.

In 4.8, PLEASE FORGIVE ME. I REALLY DIDN'T MEAN WHAT I SAID: FALSE EFFECTS OF LITERARY SPEECH, I will argue that the two false effects of literary exchange, 'over-involvement' and 'distance' in communication of literary characters, tend to create a false impression of the author's original intention to be conveyed to the reader.

## 4.1 WHY MEDIATION TAKES PLACE ABRUPTLY IN SHAKESPEARE'S SONNET 129<sup>1</sup>

### 4.1.1 INTRODUCTION

This section examines why mediation in Shakespeare's Sonnet 129 lacks gradual stages that transform discourse theme into discourse rheme. Compared with the elaborate mediation stages in E. A. Poe's poem of six stanzas discussed in the previous section, those of Sonnet 129 are very simple. The conclusion I reached is twofold. First, poetry in Early Modern English cannot resort to a rich inflection as Old English or Middle English poetry does for its mediation functions. Parallelisms are projected realizations of the covert theme system on the text, and if a poetic work has a limitation for the use of this device, it becomes hard for the poem to create gradual mediation stages on its surface text. Second, as I discussed in Section 4.1, a poem as short as this Sonnet, due to space limitations, cannot arrange verbal items as freely as a long poem like Chaucer's narrative poetry. These are the reasons why in this Sonnet its discourse theme is curtly transformed into the discourse rheme without the elegantly realized gradual meditation stages. For the first reason, I will examine the gradual loss of inflections in English during its process of evolution. For the second, I will discuss possible combinations of verbal items in a line. These two reasons are closely related.

The loss of inflections deprives the English language of effective elements for parallelisms—parallelisms are surface realizations of the latent discourse theme

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[1] This section was originally published as S. Kikuchi (2003) 'Reading parallelisms in a syntagmatic poetic text: Jakobson's poetics and Shakespeare's sonnet 129', *Studies in Modern English* (a special issue of *Studies in Modern English* to commemorate the 20th anniversary of the founding of the Japanese Association of Modern English in 1980), 411–425.



system—at the lower linguistic levels. To discuss this, I compare Sonnet 129 diachronically with poems from Beowulf and Chaucer, and synchronically with poems written in several modern inflectional languages like Russian and French.

The history of English poetry over 800 years parallels the gradual historical loss of inflections in English. How has this gradual morphological change influenced the cohesion of poetry? How has a rich signification in poetic work endorsed by a rich variety of inflection been transformed in today's poetic works, which are almost devoid of these inflections? From the viewpoint of the gradual loss of English inflections, this chapter examines why the mediation stages—which were manifested at the chain axis in the forms of repetitive linguistic properties like inflections or conjugations, and which are rich in the poems in older English and in synthetic languages such as Slavic languages—do not work in gradual changes bridging the discourse theme and the discourse rheme in Shakespeare's Sonnet 129. In the following, among other evolutionary characteristics, my discussion centres round (1) word order and (2) inflections, including grammatical genders, prepositions, articles, and verbs.

#### 4.1.2 THE POETIC TEXTURE OF SONNET 129 AND ITS INTERLACED FACETS

'Th'expense of spirit in a waste of shame' is the 129th Sonnet by William Shakespeare (1564–1616):

Sonnet 129: Th'expense of Spirit in a waste of shame <sup>2</sup>

- I   <sub>1</sub>Th'expense of spirit | in a waste of shame  
      <sub>2</sub>Is lust in action; | and, till action, lust  
      <sub>3</sub>Is perjured, murd'rous, | bloody, full of blame,  
      <sub>4</sub>Savage, extreme, rude, | cruel, not to trust;
- II   <sub>1</sub>Enjoyed no sooner | but despised straight;  
      <sub>2</sub>Past reason hunted, | and no sooner had,  
      <sub>3</sub>Past reason hated | as a swallowed bait,  
      <sub>4</sub>On purpose laid | to make the taker mad;
- III   <sub>1</sub>Mad in pursuit, | and in possession so,  
      <sub>2</sub>Had, having, and in quest | to have, extreme;  
      <sub>3</sub>A bliss in proof, | and proved, | a very woe;  
      <sub>4</sub>Before, a joy proposed; | behind, a dream.
- IV   <sub>1</sub>All this the world | well knows, | yet none knows well  
      <sub>2</sub>To shun the heaven | that leads | men to this hell.

Shakespeare's Sonnets are a collection of 154 short poems—Sonnets 127–152 are addressed to or concern a dark lady—composed in the form of what is called a Shakespearean sonnet. The Shakespearean sonnet is divided into four parts. The first three parts are each four lines long (quatrains), and they are rhymed abab. The fourth part is a couplet, and is rhymed cc. Each quatrain develops one idea or a sequence of ideas, while the couplet offers a summary or a new development of the preceding images or ideas.

This sonnet, first of all, can be divided into two parts grammatically. The first quatrain, which contains the two main clauses, is followed by the participle phrases in the second and the third quatrains. The first quarter and the couplet look placed against the inner two quatrains in terms of the distribution of clauses and participles. The distribution of clauses in the sonnet creates parallelism between the OUTER two strophes and the INNER two strophes, which contain no clauses: two coordinate

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[2] The text is from W. Shakespeare (1998) *The Arden Shakespeare complete works*, edited by R. Proudfoot, A. Thompson & D. S. Kastan (Walton-on-Thames: Nelson).

clauses in the OUTER (2+2) with two finite verbs in each outer strophe; against 11 participles in the INNER (7+4). This INNER part looks like a place where meditation occurs. However, as the INNER quatrains are grammatically part of the first quatrain, The OUTER vs. INNER grouping should be revised as follows:

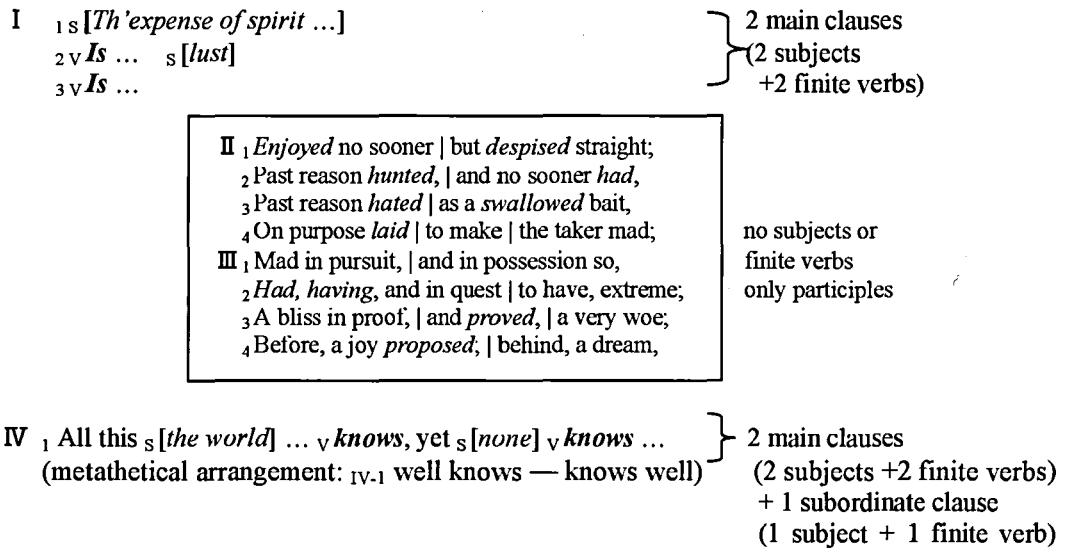


Figure 1

Clause distribution and INNER vs. OUTER

The main idea described in Sonnet 129 is lust and its attributes. Lust, or sexual attraction, is one of the Seven Deadly Sins, and has been deemed to be an irresistible sin. This sonnet begins with condemning epithets against lust before the action, during the action and after the action. Furthermore, the description of lust continues throughout the three quatrains. They describe attributes of lust in three stages, prior to the action, during the action and following the action. In the couplet, a new aspect of lust is presented.

When we focus specially on the epithets used for the situation prior to action, or 'till action', we find a subtle change from a possible resistibility to thorough

irresistibility. The initial feeling of resistibility to lust in the first quatrain—because lust is described as only ‘despicable’ and therefore it does not necessarily imply its irresistibility—changes through the possible resistibility in the mid-quatrain to the thorough irresistibility found in the couplet. This part of the three quatrains is juxtaposed with the couplet which introduces a further quality of lust: irresistibility.

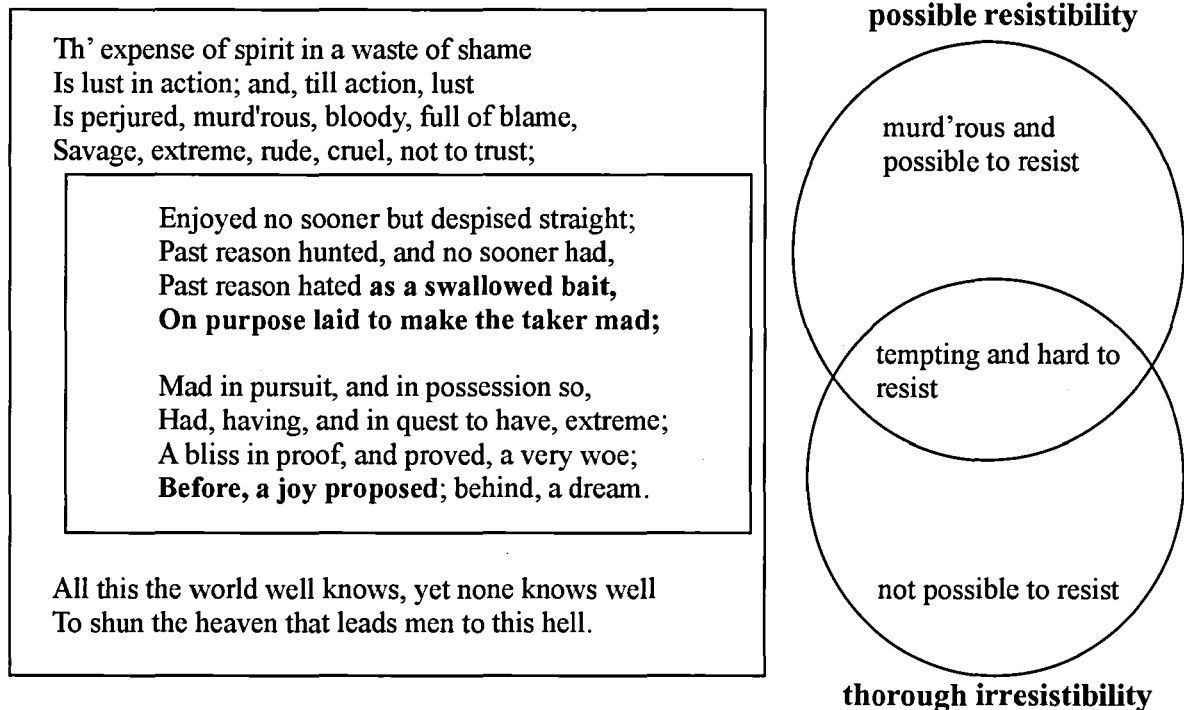


Figure 1

Thematic distribution and mediation realized as part of a clause

The poem has complex and condensed verbal structures; especially in the second and the third strophes. The lines  $\text{III-1, 2}$  *Mad in pursuit, and in possession so, / Had, having, and in quest to have, extreme* would be as follows if fully structured: ‘(The taker is) Mad in pursuing one’s lust and in possessing the object of lust; in having had it, in the having of it, and in seeking to have it, going to extremes’ However thus tightly organized, the second and the third quatrains only provide an abrupt and simple

mediation stage bridging the possible resistibility (discourse theme) and thorough irresistibility (discourse rheme). Why so? The reasons should be twofold: a gradual loss of inflections and the more fixed word orders in the evolution of English.

#### 4.1.3 PARALLELISM BASED ON RICH PARADIGMATIC SYSTEMS

In this section, two sorts of comparisons will be made: (1) Sonnet 129 and English poems of other periods (4.3.3.1); (2) Sonnet 129 and other inflectional modern languages (4.3.3.2). Among many characteristics in the evolution of English, I will examine word order and loss of grammatical inflections.

##### 4.1.3.1. *Simplification throughout the history of English and the loss of properties for parallelism*

English levelling has led to loss of its properties for parallelism at lower linguistic levels. There are two facets in this levelling. They are of two sides of the same coin: (1) the fixation of word order, as the result of (2) loss of inflections. If (1) word order becomes more rigid, then on the linear syntagmatic axis, the elements lose their flexibility in sentence or poetic line formation. Loss of inflection, (2), results in the reduction in the number of elements in the paradigmatic systems. What is implied in (1) and (2) above is a further reduction of the number of possible arrangements in one line of a fixed number of syllables. The more obligatory verbal units occur somewhere in a poetic line of a fixed number of syllables, the less combinatorial freedom there is in the other units.

In Sonnet 129, for example, there are 10 syllables in each line. If each word has two syllables, allowing five words to occur in one line, the number of possible combinations of word order is 120 (abcde,  $5 \times 4 \times 3 \times 2 \times 1 = 120$ ). However, the powerful syntactic pattern of Subject–Predicate Verb–Direct Object in Modern English, for example, allows only 20 combinations in one line ( ${}_5P_2 = 20 \Rightarrow$  SVOab, SVOba; SVaOb, SVbOa; SVabO, SVbaO; SaVOb, SbVOa; SaVbO, SbVaO; SabVO, SbaVO; aSVOb, bSVOa; aSVbO, bSVaO; aSbVO, bSaVO; abSVO, baSVO; a and b are optional adjuncts).<sup>3</sup>

This is a simple comparison of two groups in terms of the possibility of occurrence of arbitrary five-line elements at the rhyme position. If the line has a completely free word order, any of the five words can occur at the line-end position as a rhyme word. On the other hand, if the line contains a group of syntactically fixed word order, SVO, for example, then one of only three words, O, a or b (a & b = arbitrary elements), can occur at the line-end position as a rhyme word.

In Sonnet 129, there are two prepositional phrases in one line, *Th'expense of spirit* and *in a waste of shame*, abcd + efghi, and only two of these nine words can occupy the rhyme position: *spirit* and *shame*. Actually, it is grammatically possible to place the second prepositional phrase before the first one. However, if moved, the prepositional phrase, *in a waste of shame*, becomes a sentence-modifying adverbial phrase. If the meaning of the part cannot be changed, there is only one word left to occur at the line-end as a rhyme word: *shame*.

William Blake's 'Infant Sorrow', which Jakobson (1970) analyzed, also contains

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[3] It is true that some words have more syllables and others less syllables. By 'In Sonnet 129, for example, there are 10 syllables in each line. If each word has two syllables, allowing five words to occur in one line...' I mean that here in a sonnet-length poem there is a limitation in combinatory freedom of words due to both its shortness and Modern English's syntactic rigidity.

four sentences jammed in a small, confining space:

#### INFANT SORROW

- <sup>1</sup> *My mother groand! my father wept.*
- <sup>2</sup> *Into the dangerous world I leapt:*
- <sup>3</sup> *Helpless, naked, piping loud:*
- <sup>4</sup> *Like a fiend hid in a cloud.*
  
- <sup>5</sup> *Struggling in my fathers hands:*
- <sup>6</sup> *Striving against my swadling bands:*
- <sup>7</sup> *Bound and weary I thought best*
- <sup>8</sup> *To sulk upon my mothers breast.*

If a line can contain five words of which two are fixed in order (SV (*My mother groand! my father wept; I leapt; I thought*)) in a form such as SVabc, there will be more flexibility in arrangement than a line that contains three fixed elements, SVO.

Conversely, even though there may have been a preferred word order in Old English, there was in fact far more flexibility. Several major characteristics of Old English relate to the creation of parallelism. First, word order was not as rigid as in Modern English (SV, S...V, VS). Second, Old English was synthetic rather than analytic or isolating and nouns, verbs, adjectives, determiners, and pronouns were highly inflected. Third, gender (masculine, feminine, neuter) was grammatical and not natural. Finally, word-formation largely took the form of compounding (noun+noun (*sunbeam*), adjective+noun (*yfelweorc*), adverb+noun (*innefeoh*) (Mitchell & Robinson 2001).

Now I will look briefly at *Beowulf*, an alliterative, epic poem of 3,182 lines written by an unknown author or unknown authors, and probably composed in the first half of the 8th century:

(1)	Hwæt Wē Gār-Dena	in geār-dagum <sup>4</sup>
	[hwæt we: gɑ:rdena	in ja:rdawum]
	'Truly We of Spear-Danes	in yore-days'
	þēod-cyninga,	þrym gefrūnon,
	[θē̄ɔdkyninga	θrym jəfru:nɔn]
	'of people-kings	might heard of',
	hū ðā æþelingas	ellen fremedon.
	[hu: θɑ: æðəliŋgas	elə:n frɛmədɔn]
	'how those princes	valour performed!'

The first three lines consist of one sentence-equivalent grammatical unit. The unit can be linearly rearranged in Old English prose style following Mitchell & Robinson (2001: 46n):

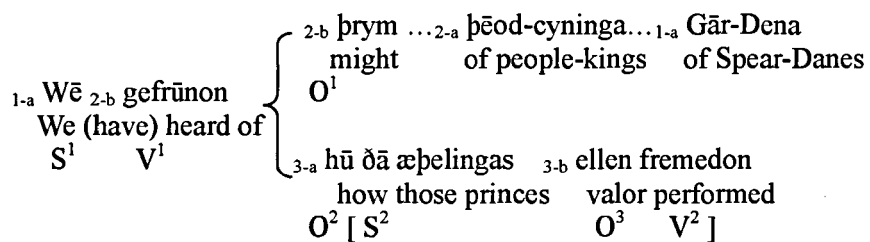


Figure 3

Prose word order scheme of the first three lines of *Beowulf*

The Old English syntax was so flexible that it could front  ${}_{1-a}$ *Gār-Dena* to the first line to form part of double-alliteration:  ${}_{1-a, b}$ *Hwæt! Wē Gār-Dena | in geār-dagum*. Also Old English could create another parallel construction in such a small space as this:  ${}_{2-b}$ *þrym gefrūnon* 'might heard of' and  ${}_{3-b}$ *ellen fremedon* 'valor performed.' I will discuss later in this section the inflexible prepositional make-up of *Th'expense of Spirit in a waste of shame*.

The levelling further deprived Modern English of most of the inflections and much of its syntactic flexibility. SVO became more fixed, though other variations

[4] The text used is Wrenn (1973). The phonetic transcriptions are from Quirk & Wrenn (1955).



were also used: *And forthy I yow putte in this degree* 'Therefore I put you both in this situation' (Knight's Tale, line 1841) (SOV) or *taughte me my dame* 'taught me my mother' (The Manciple's Tale, line 317; The Pardoner's Tale, line 684) (VOS). In the following, I will examine syntactic parallelisms in a short poem from Chaucer's *Canterbury Tales* (written c. 1386–1400):

'Adam'<sup>5</sup>

<sub>1</sub> Loo Adam, in the feeld of Damyssene,  
<sub>2</sub> With Goddes owene fynger wroght was he,  
<sub>3</sub> And nat bigeten of mannes sperme unclene,  
<sub>4</sub> And welte al paradys savyngge o tree.  
<sub>5</sub> Hadde nevere worldly man so heigh degree  
<sub>6</sub> As Adam, til he for mysgovernaunce  
<sub>7</sub> Was dryven out of hys hye prosperitee  
<sub>8</sub> To labour, and to helle, and to meschaunce.

Lo, Adam, in the garden Damascene,  
 By God Almighty's finger wrought was he,  
 And not begotten of man's sperm unclean;  
 He ruled all Paradise, except one tree.  
 Had never earthly man so high degree  
 As Adam, till he, for misgovernance,  
 Was driven from his high prosperity  
 To labour, and to Hell, and to mischance.

This short poem in the Monk's Tale is in the form of Monk's Tale stanza—eight four-stress lines rhyming ababbcbc, not rime royal (ababbcc) —, which helps the episode develop in a chiasitic way with a thematic break between the first and the second half (abab | bcbc). Adam is twice referred to in terms of governance: Adam once <sub>Q1(4)</sub>*welte al paradys savyngge of o tree* (the first half of the text (Q1=first quatrain): abab), and he was driven out of paradise 'for mysgovernaunce' or the inability of reason to govern sensuality and the body (the second half (Q2): bcbc).

[5] Chaucer's quotations are all from G. Chaucer (1987). *The Riverside Chaucer* (3rd edn.), edited by Larry D. Benson (Boston: Houghton Mifflin). The modernization attached is from a web page 'Classic Literature E-text' (URL: <http://classiclitter.about.com/library/bl-texts/gchaucer/bl-gchau-can-monk.htm>; Retrieved 1 October 2003).

As for the distribution of the only personal name in this text, *Adam*, in Q1,  $Q_1$ *Adam* and the name of the place  $Q_{1(1)}$ *Damyssene* to which he belongs occur in the same line (line 1), and the grammatical subject referring to the same person ( $Q_{1(2)}$ *he*) and its predicate ( $Q_{1(2)}$ *wroght was*) also occur in the same line (line 2); on the other hand, in Q2,  $Q_{2(6)}$ *Adam* and the nominal phrase of the place  $Q_{2(7)}$ *hys hve prosperitee* to which he belongs are separated to line 6 and line 7 respectively. The grammatical subject ( $Q_{2(6)}$ *he*) and its predicate verb ( $Q_{2(7)}$ *Was dryven*) also occur in the two successive lines (line 6 and line 7), not in the same line as their counterparts in Q1.

In the central line in the MARGINAL two strophes (line 2 and 7), the definite predicate verb and the instrumental / locative prepositional phrase are reversed, showing an antithetic distribution:

(2) 2 With Goddes owene fynger wroght was he,

<p>4 And welte al paradys savynge o tree. 5 Hadde nevere worldly man so heigh degree</p>
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( $6$  he) 7 Was dryven out of hys hve prosperitee

This reversed placement of the two groups iconically supports the thematically reversed direction: Birth INTO the paradise vs. Expulsion OUT OF the paradise.<sup>6</sup>

There exists a close semantic relationship between selections of a grammatical category and the thematic development of the text. All the passive forms in the poem are gathered in the MARGINAL lines surrounding the CENTRAL COUPLET (line 4-5). In MARGINAL 1 (line 1-3) and 2 (line 6-8), the passive voice is found ( $Q_{1(2-3)}$ *wroght*

[6] For the concept of 'icon' of C. S. Peirce, together with 'index' and 'symbol', refer to Peirce (1960) and Jakobson (1965). The function of 'icon' here is close to 'iconic mapping' of Lakoff & Turner (1989: 157): 'An iconic mapping...also relates the form of the poem as a whole to the meaning of the poem as a whole'. For the importance of icon used in poetry, see Boase-Beier (1994).

*was he, 3And nat bigeten of...; Q2(7)Was dryven out of*); while, in the CENTRAL COUPLET, the voice is active (*4welte al paradys savyng e o tree; 5Hadde nevere worldly man*). The passive voice expresses Adam's passivity at the time of his birth to the world and the time of his expulsion from paradise and stands in contrast to his active 'rule' and 'possession' expressed in active voice. This development of 'passiveness → activeness → passiveness' in the mediation stages of this poem iconically illustrates the fatal activeness on the part of Adam which caused his fall. This poem thus iconically expresses the denial of lustful activeness.

The syntax of Early Modern English clauses shows: (1) more flexibility than today; however, SVO order was regular in independent and dependent declarative clauses; (2) SOV was acceptable for pronoun objects and for emphasis; (3) VSO in questions and conditional statements; imperatives often had expressed subject (*Knowest thou?*); (4) OSV or OVS used to emphasize object. When some element is fronted, it is usually when it is thematized. In Shakespeare's Sonnet 129, there is one case of this thematization:

(3) <sub>IV-1</sub>All this the world | well knowes... (x' x' | x' | ...)

Here thematization draws the Direct Object <sub>IV-1</sub>*All this* to the sentence-initial position, summarizing in one phrase all things provided earlier as a unit of old information.

#### 4.1.3.1.1 *Prepositional phrases*

The loss of grammatical cases meant that Old English no longer enjoyed relative

freedom of word order. This, at the same time, meant a greater role for prepositions. Old English also had prepositional expressions, but in Middle English, with the diminished role of grammatical cases, prepositions became indispensable.

On the other hand, the fronting of the second genitive element  $_{1-a}$ *Gār-Dena* 'of Spear-Danes' before the first genitive  $_{2-a}$ *bēod-cyninga* 'of people-kings' would not be easy in Early Modern English, as well as in Modern English, even if it were expected by reason of rhyme, as it is here. In the first long line in *Beowulf*, the fronting takes place by reason of alliteration:  $_{1-a}$ *Hwæt! Wē Gār-Dena* |  $_{1-b}$ *in geār-dagum*. Besides, not only the second genitive element is fronted, but also  $_{1-b}$ *in geār-dagum* is inserted between the two elements. This is also for the creation of alliteration in the first line. The irregular placement of two genitive elements was possible here because Old English was a highly inflected language that allowed the fronting of what Quirk & Wrenn (1955: 62) call 'the origin of genitive' ( $_{1-a}$ *Gār-Dena*... $_{2-a}$ *bēod-cyninga*).

Shakespeare's Sonnet 129 does not allow this fronting, not because *of*-phrases are not the origin of genitive, but because of syntactic reasons:

(4) [ $_{1-1}$ Th'expense [ of spirit ] in [ a waste [ of shame ] ] ]

It is unlikely that the author could front the prepositional object like *spirit* or *shame* before the first element preceding the preposition like *Th'expense* or *a waste*, creating a prepositional phrase of less natural order *Of spirit, th'expense* or *of shame, a waste*.

Without the restrictions of rhyme, it would be purely grammatically possible to place *in a waste of shame* before  $_{1-1}$ *Th'expense of spirit*. However, the fronting of *in a waste of shame* gives the phrase the status of a thematized, sentence-modifying adverbial phrase, making the whole line different in meaning. Therefore, this sort of

fronting is impossible.

In Sonnet 129, there are two prepositional phrases in one line, *Th'expense of spirit* and *in a waste of shame* (abcd + efghi). Of the nine words in these phrases, only two can occupy the rhyme position. If fronting of *in a waste of shame* or *of spirit*, is not possible, only one word remains to occur at the line-end as a rhyme word: *shame*.

The other prepositional phrases in this sonnet are: I -1 *full of blame*, I -2 *in action, ...till action*; II -4 *On purpose*; III -1 *In pursuit...in possession*, III -2 *in quest*, 3 *in prooffe*, 4 *Before a joy*; IV -2 *to this hell*. To all of the stanzas, a prepositional phrase is allocated, inevitably depriving other verbal elements in the Sonnet of freedom in arrangement.

William Blake's 'Infant Sorrow' also contains lines jammed with space-taking prepositional phrases. This has six prepositional phrases in eight lines: 2 *Into the dangerous world*; 4 *Like a fiend...in a cloud*; 5 *...in my fathers hands*; 6 *...against my swadling bands*; 8 *... upon my mothers breast*.

If a preposition (*of*), its object (*shame*) and the phrase the prepositional phrase modifies (*a waste*) are syntactically not so flexible in order (e.g. *a waste of shame*), the prepositional phrase leaves little or no room for the other verbal elements to create varied sorts of parallelism. Jakobson's reading of parallelisms in Henri Rousseau's 'Yadwigha' that follows Blake's 'Infant Sorrow' section in Jakobson (1970) is more convincing in that, given the three fundamental line combinations in any poem (abab, aabb, abba), the elements that can appear in these sentences are supported by rich inflections and grammatical genders as parallelism creating devices.

4.1.3.1.2 *Definite and indefinite articles*

The evolution of the definite and indefinite articles help to make the word order more fixed; for example, in *Beowulf* there appears no article for a common noun (*cyning* 'king'), as in

- (5)  $_{11}$ þæt wæs     $\emptyset$     gōd            cyning!  
       [θæt wæs    go:d            kyning!]  
       'that was    a    good            king!'

The levelling evolution of English towards a simpler form of language is not the only characteristic the language has shown in its history. This levelling has been coupled with another tendency, accuracy. The evolution of the article has served to satisfy the needs for accuracy.

The tendency of accuracy can be well represented by the appearance of an indefinite article (*a/an*) (*æt toll-sceamule* (OE) → *in a tolbothe* (ME) 'in a tax-house') first, and in the period of Modern English, by the emergence of a definite article (*innan hūse* (OE) → *in the house* (ME)). This means accuracy has required complexity, providing a poetic work with new devices to realize parallelism, or a new system of deictic.

Modern English, however, while developing the complex deictic system which provides a poetic work with rich parallelism devices, has lost its inflections for gender, case, and number in demonstratives (*þæt* 'the, that' and *þis* 'this'). Modern English is impoverished English in these respects.

The nominal phrase ( $\emptyset$  *gōd cyning*) in the second half-line of the 11th line of *Beowulf* is accompanied by information about gender, case, and number (See (8)). The

phrase is also marked 'indefinite' by not including a definite demonstrative (*se* for singular nominative, *þone* for singular accusative, *þā* for plural nominative and accusative, etc.). By inflecting (nom) *gōd / se gōda cyning* ('a good / the good king'), (acc) *gōdne / þone gōdan cyning* ('a good / the good king'), (gen) *gōdes / þæs gōdan cyninges* ('a good / the good king's'), etc., Old English could provide a poetic work with wider choices for parallelism.

Of the changes that took place in Middle English, the two features below again hindered an effective formation of parallelisms in a poetic text.

First I will discuss the loss or simplification of inflections. The example of nominal phrase I have shown above illustrates the simplification. In Old English, each element of the three words in the following nominal phrase changes systematically as in *Se gōda man* ('the good man') vs. *þā gōdan menn* ('the good men'); while in Middle English, *the goode man* vs. *the goode men*; also in Modern English, 'the good man' is pluralized into 'the good men' only by replacing one phoneme /æ/ in the head word with /e/ (Ono & Ito 1993: 13).

Second, I will examine the loss of grammatical gender. In Middle English, as well as in Old English, there were three grammatical cases called gender: masculine, feminine, and neuter. However, during the period of Middle English, natural classifications based on sex replaced grammatical gender. Many of Old English genders did not accord with the categorization of nouns based on natural sex. For instance, in Old English, *wīfmann* ('woman') and *fōt* ('foot') were masculine, *hand* ('hand') was feminine, and *wīf* ('woman, wife') was grammatically neuter.

These two kinds of simplification that occurred during the period of Middle English further reduced the rich poetic possibility of parallelism, thus of elegantly gradual

stages of mediation, in English poetic works.

By the fourteenth century the Old English inflectional system had been simplified to the point where the case endings formerly distinguishing number and gender had collapsed to *-e* with a schwa sound /ə/. The plural *-s* and genitive *-es* (now 's) were regularly retained. In *the General Prologue to the Canterbury Tales*, however, Chaucer still used the final *-e* to indicate dative case as in *to the roote* /to: ðə ro:tə/, in addition to the plural adjective as in *his shoures soote* /his ju:rəs so:tə/ 'its showers sweet'.<sup>7</sup>

#### 4.1.3.1.3 Verbs

A Modern English verb only has four or five inflections. *Hear* has four inflected forms: *hear*, *hear-s*, *hear-d*, *hear-ing*. However, Old English verbs had to agree with the subject of the sentence in both present and past, and in both the indicative or subjunctive moods. The typical weak verb paradigm for Old English *hīeran* ('to hear'), for example, is as follows: *hīer-e*, *hīer-(e)st*, *hīer-(e)þ*, *hīer-aþ*, *hīer-de*, *hīer-dest*, *hīer-don*, *hīer-en*, *hīer-den*, *hīer*, *hīer-ende*, *ge-hīer-ed*. This paradigm has twelve different forms, which means a poet can choose one of these to form a parallelism. On the other hand, Modern English poetry has lost more than half its parallel cohesive forms to create parallelism. The weak verb paradigm for Middle English *hēre(n)* ('to hear') was as follows (only the southern dialect is listed here): *hēr-e*, *hēr-est*, *hēr-eþ*, *her-d(e)*, *hēr-dest*, *hēr-de(n)*, *hēr-yng(y-)*, *hēr-d*. It had altogether eight variations.

A glance at these conjugations is sufficient to see a sharp decreasing tendency in the

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[7] The phonetic transcripts of *the General Prologue* are from Gimson (1994: 73).



number of inflections. The decreasing number of weak-verb (Group II) inflections shows that, at least as far as this type of verb is concerned, the inflectional ending as a mediation-stage creating device was losing its mediating power:

(6) OE 12 > ME 8 > ModE 4

Together with other inflectional endings, the practice of using the final *-e* in rhyme began to die out in the twelfth century, though it is occasionally found throughout the period. As a result of gradual levelling, the only agreement ending in Modern English is *-s* with third person singular present as in: he hear-*s*, or as in Sonnet 129,

(7) IV-1 All this the world | well knows, | yet none knows well,

#### 4.1.3.2. *Comparison with other modern synthetic languages*

On a continuum from highly inflected to highly isolating, most modern Indo-European languages lie toward the inflected end. Italian, Spanish, French, German, Czech and Russian—they all inflect nouns and adjectives according to grammatical gender.

In Russian, for example, which distinguishes between grammatical genders (masculine, feminine, neuter) — the adjective stem *один* (*odin*) ‘one’ can be inflected as follows:

(8) *одна* *плита* (‘one plate’) (f)

The important point to remember about Russian is that adjectives must agree with the noun they modify. If a noun has feminine gender and is in the genitive case, the adjective must be feminine and in its genitive case form, too. Some languages, including Japanese and Russian, do not have articles at all, either definite or indefinite. They indicate such distinctions in other ways (use of один 'one' above or этот 'this') or not at all.

(9) Зачем отечество (m) стало людоедом (m)  
'Why fatherland became cannibal'

А родина (f) его женой (f)  
'But native land its wife'

Citing a passage from Khlebnikov's passage above, Jakobson (1973: 22) emphasizes close relations between grammatical genders and the natural sex of the image the genders create: 'Étant personnifiés, les noms du genre féminin deviennent des personnes du sexe féminin, alors que les noms masculins et neutres deviennent des personnes du sexe masculins' (Being personified, the feminine nouns become human females; whereas masculine and neuter nouns, human males).

Modern English, in lacking grammatical gender, has lost one of the creative devices for mediation stages that other synthetic modern languages have. French, and Russian as exemplified above, have retained this device and use it effectively to create rich parallel associative meanings.

- (10) I<sub>1</sub> La dépense de l'esprit dans un gaspillage de honte  
           n (f).      n (m)          n (m)      n (f)  
 2 C'est convoitise dans l'action: et jusqu'à l'action, la convoitise  
           n (f)          n (f)          n (f)      n (f)

This literal translation of the first two lines of Quatrain 1 in Sonnet 129 typically illustrates that in a language that retains grammatical genders these exert their influence upon the word to create a new image. The feminine noun turns into a woman by personification (*honte, convoitise*), and the masculine noun becomes a man (*l'esprit, un gaspillage*). In Early Modern English, a woman's 'waist' was conventionally spelled *waste*, supporting the implication of a woman's 'waist' and the punning of *waste-waist*. In French translation above, the word *gaspillage* (m) 'waste' is connected with 'the condition of consummation' in a woman's *honte* (f) 'shame' and a man's waist which does the work of consummation. This association group is further connected with what is wasted. In the preceding phrase, something wasted by a man is associated with *l'esprit* (m) 'spirit,' and the cause of *dépense* (f) is implied by the femininity of the word.

In Modern French, as well as in (Early) Modern English, the syntactic orders are not flexible. In a short French poetic text, we can expect less of its syntax to form rich parallelisms where the discourse theme system realizes itself. On the other hand, rich combination possibilities supported by its grammatical genders, for example, compensate for this rigidity of French word order and provide a French poem with wider choices than (Early) Modern English.<sup>8</sup>

[8] In this section I am arguing that in the evolution of linguistic history, English has become more analytic, which has deprived English of some sources for parallelisms (which is necessary for realization of the discourse theme system) at lower linguistic levels. As a result of this, the devices for parallelism have to go up the Rank scale for its manifestation on the chain axis. But in sonnets, there is a limitation of space for the arrangement of verbal items. This leaves little

4.1.4 WHERE THE DISCOURSE THEME SYSTEM TEND TO BE REALIZED IN (EARLY) MODERN ENGLISH POETRY

Considering the fact that Sonnet 129 is written in Early Modern English and it has only simplified paradigmatic systems and fixing word order, the planes on which the discourse theme system is realized seem to have arisen on the Rank scale after Early Modern English:

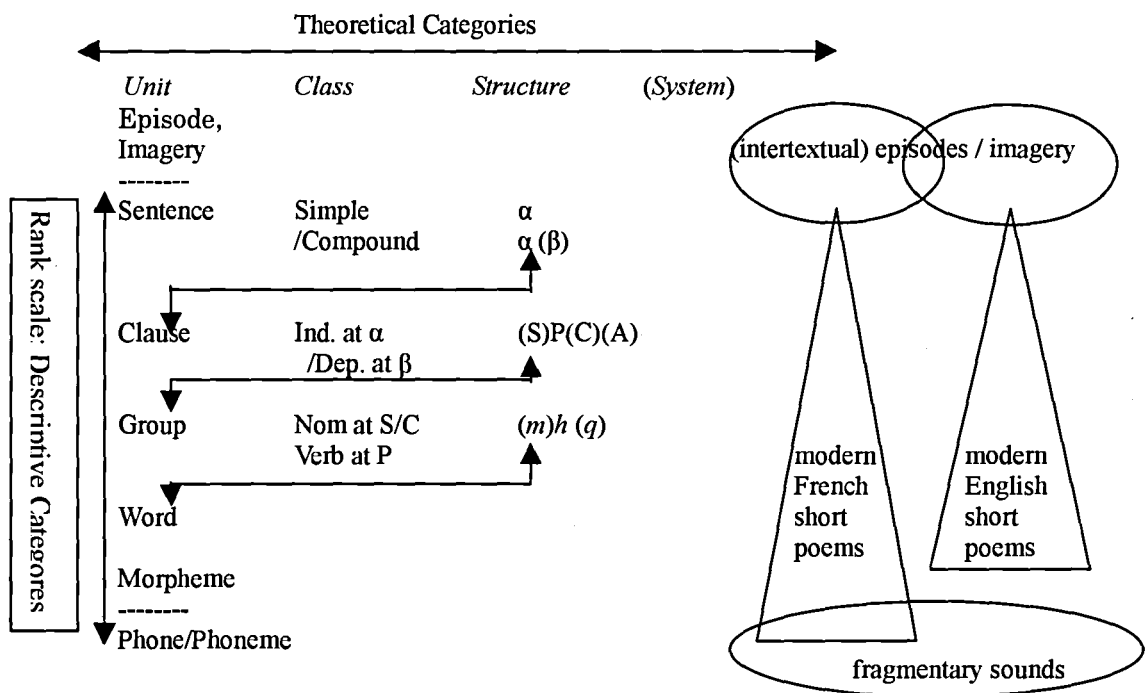


Figure 5

Where Parallelisms are Realized in Modern English Poetry

As the triangles on the right-hand side of the diagram above show, Modern English does not have a rich system of paradigmatic elements, especially in the lower linguistic units like morphemes; and the decreased flexibility of word order does not help

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room for rich 'syntactic parallelism' and hence, mediation stages become less elaborate than in the case of longer poetry.

because in a limited space as in a sonnet, there is not much room for a higher unit like a clause or a sentence to be used for the realization of mediation stages. This is represented by the narrowing of the triangle towards the apex. English still can provide complex sound parallelisms based on fragmentary sound correspondences, as complex as those in Modern French; but in (Early) Modern English, they were not so complex at the morpho-phonological level. This is why the right triangle for English is raised at the base. (Early) Modern English poetry seems to rely more upon its parallelism at semantic levels, like episode or imagery, intra-textually or inter-textually. Inter-textual parallelism created between lexical items referring to Dark Lady, for example, fulfills also an important role in (Early) Modern English poetry; Modern French poetry would also realize its parallelism on the same planes, but to a lesser degree than (Early) Modern English poetry, because the former has more devices to rely upon for parallelism at lower rank-scale levels:

#### 4.1.5. CONCLUSION 4.1

In reading (Early) Modern English poetry, which is not very rich in grammatical realization devices of mediation, we should talk more of semantic parallelism not only between two sentences, but also between groups of sentences, or between strophes:

Parallelism, which suggests a connection of meaning through an echo of form, does not have to be grammatical parallelism. It may be a *sound parallelism*: as in the rhyme, rhythm, and other sound effects of verse. One might even extend the idea and talk of *semantic parallelism* where two sentences are linked because they mean the same thing.

(Cook 1989: 16)

Due to the rigidity of word order and the poverty of morphological endings in (Early) Modern English, it was not possible for Shakespeare's Sonnet 129 to access rich inflections for gradual thematic change. We should resort to sentence, lines or semantic parallelisms for mediation; however, in the case of Sonnet 129, the space is limited for verbal items to create rich parallelisms at higher levels such as between sentences, lines and episodes. These are the reasons why in Sonnet 129, mediation is realized through simple stages.

## 4.2 THE FALSE BALANCE SHEET OF LOVE IN CHAUCER'S *TROILUS AND CRISEYDE*<sup>1</sup>

### 4.2.1 INTRODUCTION

This section explores what Chaucer hoped to convey through the functional structures of literary discourse in his *Troilus and Criseyde*. By viewing this work as a complex system of deceptive 'equivalent' episodes, which are manifested in the mediation stages of this text, it is possible for us to appreciate Chaucer's intent that a small, foolishly act to Helen in Greece is unfairly matched with the destruction of one state.

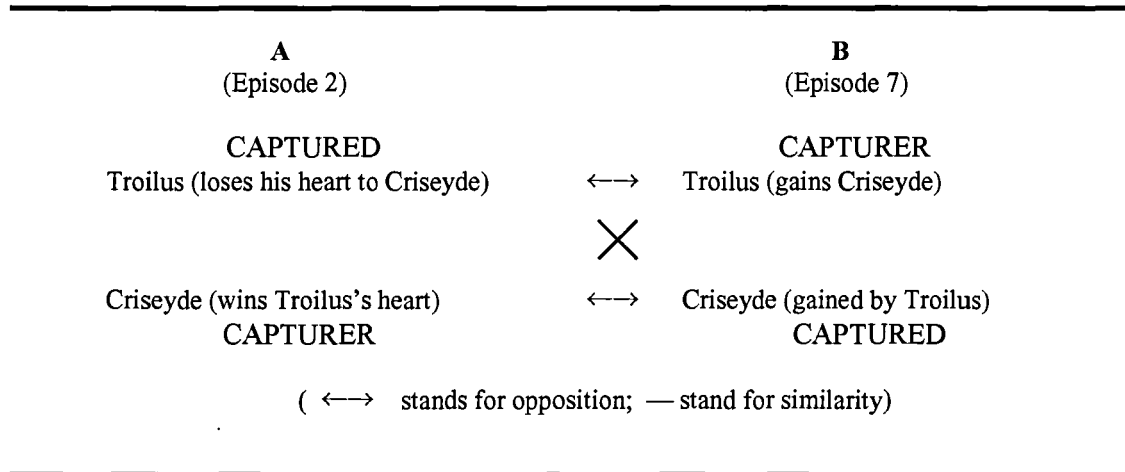
### 4.2.2 CHAUCER-SPECIFIC MEDIATION: UNEQUAL EXCHANGES

#### 4.2.2.1 *Debt must be paid with interest or all transactions must be taxed*

Paralleling the small, worldly blind passion of the Trojan Paris for Helen that lead to the Trojan War, a similar small, blind passion begins and grows within the walls of Troy. The system made of major Episodes starts the following quasi-equivalence relations. Group A is the cause of this love affair inside the Walls of Troy. And this is paired with the inverted love relation, Group B:

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[1] I would like to thank Prof. Derek Pearsall, Harvard University, for his suggestions. This section was originally published as 'Lose heart, gain heaven: the false reciprocity of gain and loss in Chaucer's *Troilus and Criseyde*' in *Neuphilologische Mitteilungen* 4.CII. 427–434, 2001. I would like to thank Prof. Derek Pearsall, Harvard University and Prof. David M. Jackson, University of Waterloo (Canada) for their suggestions. All Chaucer quotations are from G. Chaucer (1987) *The Riverside Chaucer* (3rd edn.), edited by Larry D. Benson (Boston: Houghton Mifflin).



*Figure 1*

Basic Pattern of Deceptive Reciprocity

If this diagram showed the real equivalence relations between the two episodes, the story would end then and there, when Criseyde gains Troilus's heart. By returning what is owed to the other, the text should regain the original equilibrium. However, considering the public status of Troilus, who is responsible for Troy's future, we cannot say that Troilus and Criseyde exchange love on an equal basis. Group B in the diagram above, or Episode 7 in Table 2 below, is, therefore, in spite of its apparent equivalence, not an 'equivalent' episode of Group A (Episode 2) in the true sense of the word. This sort of system of imbalanced exchanges underlies *Troilus*.

Before discussing the exchange system in *Troilus*, I would like to take the Reeve's Tale in the *Canterbury Tales* as an example of Chaucer's quasi-reciprocity system. The reason why I examine the Reeve's Tale is that the reciprocal structure of this tale provides us with a clue to access a much longer and more complex text of *Troilus and Criseyde*. The reciprocal Episodes in the Reeve's Tale can be tabulated as follows:



RT 1. Sly proud miller steals half a bushel of flour from two students	2. Students take his wife and daughter in revenge	3. The truth is revealed	4. Miller is surprised
5. Miller delivers student a blow in revenge		6. Wife is surprised	7. Wife mistakenly harms her husband and students retrieve their loaf and flour
<b>UNFAIR POSSESSION</b>	<b>'FAIR' POSSESSION 1</b>	<b>(Divine Providence and Resistance to / Acceptance of it)</b>	<b>'FAIR' POSSESSION 2</b>

*Table 1*

Deceptive Exchanges in the Reeve's Tale

Each Episode is numbered according to its temporal order of occurrence (1–7) and all the Episode units are bundled into the more abstract narrative category of either 'FAIR' (=deceitful) or UNFAIR POSSESSION. (FAIR is placed in quotation marks because it is not really 'fair'.) 'FAIR' POSSESSION 1, which consists of only Episode 2 in this tale, is usually accompanied by either a positive or a negative reaction by the participants. If the participant is satisfied with 'FAIR' POSSESSION 1, the story ends there; but if not, it repeats the Episode cycle from UNFAIR POSSESSION (Episode 5). If 'FAIR' POSSESSION 1 causes a negative reaction, like 'anger', on the side of the participant, it triggers the repetition of the cycle and, after UNFAIR POSSESSION comes 'FAIR' POSSESSION 2, and the story ends there.

The Reeve's Tale presents us with simple and clear exchanges of 'a blow' and 'a counter-blow' between the characters. If we can tentatively posit that Character A, who unfairly GETS a blow from Character B, is IN ETHICAL CREDIT WITH Character B, or Character B is IN ETHICAL DEBT TO Character A; or in other words, Character A unfairly receives 'a blow' which should not be with the character, then in the Reeve's

Tale the miller is IN ETHICAL DEBT TO the students because the miller GIVES an unfair blow to the students (the miller steals flour from the students; as a result, he unfairly possesses the flour which should not belong to him). By contrast, the students are IN ETHICAL CREDIT WITH the miller. This unfair state of possession must be adjusted. In Episode 2, the students use up their CREDIT with the miller by taking revenge, by TAKING his wife and daughter at night. The account is then 'balanced'. When the miller learns the truth in Episode 3, that the students TOOK his wife and daughter's chastity, the story would end if he did not become 'angry' but accepted the situation quietly. As the miller becomes 'angry', however, and revenges himself on the students by DELIVERING one student a new blow, the cycle returns to the unfair state. And since in this state the miller is IN ETHICAL DEBT TO the students, he must repay his DEBT to the students. The second counter-blow, however, does not come from the students but from the miller's wife. She mistakenly deals her husband a blow, and the 'fair' state of possession is restored in the textual world.

This reciprocity is, however, deceptive. It is not a true reciprocity, because 'GETTING flour' is not equal to 'GETTING wife and daughter'. The flour could be returned to the original owner. On the contrary, what is lost in the second event (i.e., chastity) cannot be returned. Thus every time 'blows' are exchanged, they are, as it were, 'taxed', or the DEBT increases as interest is added. The miller ultimately has to repay a DEBT made heavy with a great deal of 'interest' or 'tax', which grew from his minor transgression. If we follow the pattern in Table 1, 'Miller steals flour from the students' can be said to be paired with 'Miller loses the flour he stole (and the chastity of his wife and daughter)'. The part in the parentheses is the 'interest' or 'tax' the miller has to pay.

*Troilus* also accords with this narrative pattern. The following table shows a reciprocal network of exchanges in *Troilus*, which consists of four full cycles of Episodes (① 2 – 7; ② 8 – 11; ③ 12 – 15; ④ 16 – 18) and one imperfect cycle (1) that will be paired later with (18) and become a full cycle which is not told in the tale. Each full cycle consists of a pair of episodes of 'FAIR' POSSESSION and UNFAIR POSSESSION. The 'FAIR' POSSESSION presented to compensate the UNFAIR triggers a participant's reaction to it, which is either for or against Providence.

These major divisions can be further grouped into the three worlds: the Private world of Troilus and Criseyde (Episodes 2–7), the Public world surrounding them (Episodes 1, 8–15) and the Celestial world (Episodes 16–18) outside the Public surrounding the worldly affairs like Paris's and Troilus's love affairs or the warfare on earth as appeared in Episodes 1, 8-15. (In the Table, I have assigned to the terms to be exchanged the symbols T for Trojan and G for Greek, depending on which military camp the participants belong to.) The Private world starts after the initial imbalance caused by Paris's kidnapping of Helen from the Greeks (the Greeks being IN ETHICAL CREDIT WITH the Trojans and the Trojans IN ETHICAL DEBT TO the Greeks), without the imbalanced state being corrected. The UNFAIR POSSESSION is paired with the 'FAIR' POSSESSION 1 that accompanies the revelation of a truth and a participant's surprise at the revelation. Only in the last cycle does the story end, when the UNFAIR POSSESSION is paired with the 'FAIR' POSSESSION 2:

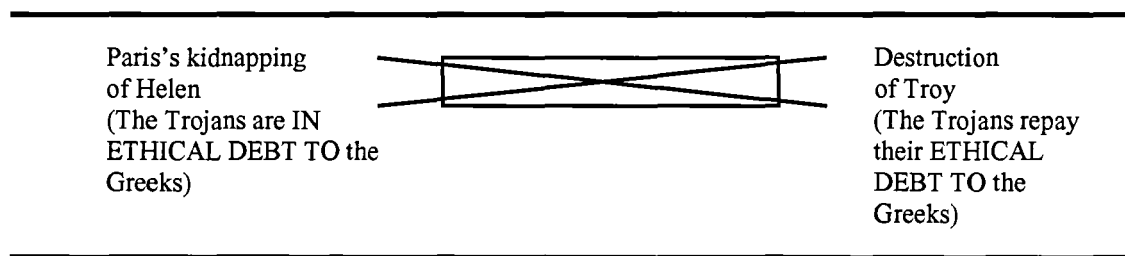
Tr1. Paris (T) kidnaps Helen (G) from Greeks			
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2. <i>Criseyde (T) wins Troilus (T)'s heart</i>		3. <i>The truth (Cr's presence) is revealed</i>	4. <i>Troilus is surprised ('astoned')</i>
		5. <i>The truth (Tr's secret presence) is revealed</i>	6. <i>Criseyde is surprised</i>
7. <i>Troilus (T) gains Criseyde (T)</i>			
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8. Trojans assault Greeks and Greeks (G) capture Antenor (T)		9. The truth (exchange) is revealed	10. Troilus is surprised ('no word')
11. Greeks (G) gain Criseyde (T) (and Antenor (T) returns to Troy) (G take Cr (T) and T regain Antenor (T))			
-----			
12. Criseyde (T) wins Diomedes's (G) heart	13. Diomedes (G) gains Criseyde (T)	14. The truth (infidelity) is revealed	15. Troilus is surprised ('ire')
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16. <b>Troilus (T) rages in the battle and Greeks (G) take Troilus's life (T)</b>		17. <b>Narrator is surprised ('Swich fyn')</b>	18. <b>Troilus (T) gains heaven in exchange for his life and love</b>  (Troy loses Troilus and suffers destruction)
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<b>UNFAIR POSSESSION</b>	<b>'FAIR' POSSESSION 1</b>	<b>(Divine Providence and Resistance to / Acceptance of it)</b>	<b>'FAIR' POSSESSION 2</b>

(The italic type stands for the Private world, the Roman for the Public, and the bold for the Celestial)

Table 2

A Balance Sheet of Love in *Troilus*

The major part of the Table represents a network of mediations between the two polar events: 'Paris's kidnapping of Helen (breakout of the Trojan War)' (the Trojans IN ETHICAL DEBT TO the Greeks) (Episode 1) and 'Destruction of Troy (end of the War)' (the Trojans repay their ETHICAL DEBT to the Greeks) (Episode 18). Between these two paired events, there lies a series of mediating exchanges:



*Figure 2*

The Two Unfairly Mediated Events

Figure 2 illustrates the two polar functional meaning of the text-mediated stages of unfairly paired events. Paris's (T) kidnapping Helen (G) from the Greeks is unfairly equated with the destruction of one state, Troy.

Troilus and Criseyde is essentially a story about the love between the two Trojans, since the narrator says that 'how this town com to destruccion / Ne falleth naught to purpos me to telle' (Tr 1.141–142). However, by telling of their love, and by having their love story mediate the cause and effect of the Trojan War, Chaucer tells us at the same time how Troy came to its destruction through the series of mediating exchanges.<sup>2</sup>

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[3] See Patterson (1991). He finds no connection between Troilus's love story and the Trojan War: 'Chaucer's narrative persistently resists the equation of the erotic and the martial, even at the level of analogy or synecdoche — as Troilus, so Troy' (Patterson 1991: 112). However, by looking at the story as a continuing exchange of 'debt', we gain access to Chaucer's idea of the two parallel episodes, Troilus's love story and the Trojan history. In the succession of imbalanced, namely, not 'fair', exchanges, we can read the author's intent to show how a very small 'cause' can grow into a big catastrophe.

There are three major deceptive equations in the table. The first one is Episode 7, in which Troilus's GETTING Criseyde is deceptively equated with Criseyde's GETTING Troilus's heart (Episode 2). After the first imbalanced cycle (2–6), to text-schematically compensate for the disequilibrium, Episode 7 (the consummation scene) takes place in the second Private cycle. This scene is iconically accompanied by their exchange of rings ('And pleyinge entrechaungen hire rynges' (Tr 3.1368)). As Table 2 above shows, we should keep in mind that Troilus's gaining Criseyde should not be equally paired with Criseyde's gaining Troilus's heart ('His eye percede, and so depe it wente, / Til on Criseyde it smot, and ther it stente' (Tr 1.272–273)), because Troilus is a Public figure as his status property as well as a Private one. On the other hand, Criseyde is only a Private person.

The second equation is Episode 11, in which the exchange of Criseyde with Antenor is also, for two reasons, neither equal nor fair. First, Antenor only returns to where he originally belonged, while—this is Chaucer's clever narrative technique—the Trojan Criseyde is sent to the Greek camp. It is not only the exchange of Criseyde and Antenor that makes the situation less favourable. From Troilus's perspective, because Criseyde, who belongs to the same Private world ('my Criseyde' (Tr 4.378)), is seen as equal to Troilus himself in exchange value, the exchange of Criseyde for Antenor is equal to discarding Troilus for Antenor. The second reason is as follows. The exchange value of Troilus is, socially speaking, not equal to that of Criseyde or Antenor. Troilus is socially more valuable than Criseyde because he is a son of King Priam and symbolically represents the Trojan future (he belongs to what I call the Public world as

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Whether this reflects an actual rape scandal in which Chaucer was involved or not is clear, but Chaucer's rhematic idea through this work is that a rape case and a destruction of a state are unfairly equated. 'On May 1, 1380, a certain Cecily Champaigne released Chaucer of every sort of action "tam de raptu meo, tam de alia re vel causa". It has sometimes been supposed that this referred to an act of physical rape,...' (Chaucer 1957 xxiii). the woman who threatened him

well as to the Private one). The exchange of Criseyde with Antenor thus becomes equated with the exchange of Troy's future for Antenor. This lamentable situation is implied in the following lines:

- (1) O Juvenal, lord, trewe is thy sentence,  
That litel wyten folk what is to yerne,  
That they ne fynde in hire desir offence;

(Tr 4.197–199)

In this passage, the narrator laments the short-sightedness of the Trojan Parliament, saying that they do not see the impending catastrophe which their short-sighted decision will cause. The narrator's lament seems to come from the fact that Antenor later betrays Troy ('For he was after traitour to the town / Of Troye' (Tr 4.204–205)). But at the text-structural level, his lament comes from his anticipation of the unequal exchange and the tragedy that comes from it.

After the deceptive 'fair' exchange of Criseyde (the Private) with Antenor (the Public) comes another ill-balanced exchange. This is the third equation (13), in which Diomedes is unfairly equated with Criseyde. As I explained above, for Troilus, Criseyde is equated with himself, and her exchanging love with Diomedes means to Troilus that he himself is to be replaced by Diomedes and therefore erased from the world.

Of these three deceptive exchanges, the third one proves fatal, because Troilus reacts to it with 'ire' (rage) and triggers the fourth, fatal Episode cycle.

#### 4.2.2.2 *What sets the episode cycles in motion*

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with charges of rape a charge such as rape filed against him.

I have so far discussed the hypothesis that Troilus's anger at his fate prevented the third cycle from closing at the 'fair' Episode (13) and motivated the fourth, fatal cycle. What then prompted the second and the third full cycles to occur? They also are caused by 'folissh wilfulness'. From the author's point of view, the textual motivation is to give a greater DEBT-CREDIT imbalance to Episodes 7 and 11. As a natural trend, the text dynamic usually reduces the disequilibrium generated between the opposite episodes. Unlike the miller in the Reeve's Tale, in which it was only the miller's 'rage' that ultimately caused the great damage done to him, Troilus accepts his fate actively ((4), (6) and (7)) or passively ((10) and (11)). And unlike the miller, Troilus is affected by the several worlds that surround him. In the Reeve's Tale, the miller's reaction to his fate is the only factor that develops the story. In *Troilus* it is not only Troilus's reaction to his fate that unfolds the story: several other factors in the surrounding worlds also contribute. Specifically, the second cycle is motivated by the aggressive assault of the Trojans on the Greeks (8), and the third cycle by the excessive glamour of Criseyde that attracts Diomedes (12) and leads to his gaining her. Without these two factors, each cycle would have closed at the 'fair' Episode unit of the previous cycle. What propels these three full cycles is, therefore, the people who foolishly and excessively involve each other.<sup>3</sup> Of their sins, 'ire', the final cycle teaches us, is the worst.

One who reacts foolishly to the fate gains nothing good. On the other hand, as Criseyde's wish shows, if one accepts fate and waits, one at least avoids the worst result.

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[4] Pearsall (1985) emphasizes the foolish aspect of people who act only to fulfill their desire, here as in the case of Episode 8, in which the Trojans recklessly assault the Greek camp only to satisfy their appetite for war, a sort of 'ire', and he argues: 'It must be stressed that these agreements made by author and reader do not constitute a narrative theme or purpose. Comic tales of this type do not exist in order to "celebrate life" any more than they exist to warn us how terribly badly people behave who consult only their appetite' (Pearsall 1985: 167).



Chaucer in some tales of his *Canterbury Tales* also makes use of the concept of these deceptive DEBT–CREDIT exchanges in the world and the people's reactions, negative or positive, to them.

#### 4.2.2.3 *Unequal exchanges in the Canterbury Tales*

The functionally identical structures of *Troilus* and the *Canterbury Tales* allows and encourages the kind of interpretations of *Troilus* that I made above. *Troilus* predates and prefigures the *Canterbury Tales*. The narrative technique of 'deceptive reciprocity of gain and loss' repeatedly appears later in several tales in his *Canterbury Tales*.

In the Reeve's Tale, as I discussed above, the miller paid some interest to the students. This thematic structure is also found in the Miller's Tale, though this tale has a twist in the reciprocity, or in the direction of the 'blow'. In this tale, a rich, old carpenter possesses a young wife, who does not match him in age (the carpenter's undue possession). When a young student, Nicholas, takes her, it should mean the proper, fair possession because, text-semantically, a young wife matches a young student. What one unduly possesses (a young wife) is given to another who unduly lacks it (a young student). A sort of debt and credit are in balance. However, after that, because the wife jokingly GIVES a clerk a blow, and the student also GIVES the clerk a blow, these two young people become 'in debt'. The story ends as part of the misdirected blow is 'paid' back to the student and part of it is 'paid' back to the carpenter. The Wife of Bath's Tale is a tale of 'patience'. The lusty knight, unlike the carpenter or the miller, accepts his fate and, though there is some deception in the ending, things settle there without becoming worse.

## 4.2.3 CONCLUSION OF 4.2

Chaucer's *Troilus* and the three tales from the *Canterbury Tales* have a discourse structure that mediates the two oppositional Episodes: (1) the first Episode in which one owes an ETHICAL DEBT to the other; (2) the second Episode in which the former repays the ETHICAL DEBT to the latter. In *Troilus* 'Paris's kidnapping of Helen (outbreak of the Trojan War)' (The Trojans IN ETHICAL DEBT TO the Greeks) (Episode 1) is paired with 'Destruction of Troy (end of the War)' (The Trojans repay the ETHICAL DEBT to the Greeks) (Episode 18) through a series of mediating exchanges as a story of love between Troilus and Criseyde. These exchanges are: 'Criseyde's winning Troilus's heart' is paired with 'Troilus's gaining Criseyde'; 'the Greeks' capturing Antenor' is with 'the Trojans' taking back Antenor'; 'Criseyde's winning Diomedes's heart' is paired with 'Diomedes's gaining Criseyde'; and lastly 'Troilus's losing life' is paired with 'his gaining heaven'. None of these pairs is equivalent: in each case, the second element is inferior in value. (And this is the cause of the ironic tone of Troilus's rising to heaven.) What the ethical debtor pays to the ethical creditor is always of greater in value. This is the general scheme of Troilus's tragedy. I drew upon three tales from the *Canterbury Tales* to support this scheme. The deceptive equation in the part of mediation is the general scheme of Chaucer's fabliaux and *Troilus*. At the end of these tales, through several tragic or comical exchanges of different 'values', every CREDIT or DEBT reaches its height. Through these narrative devices of mediation in *Troilus*, Chaucer warns us that a foolish act, one of 'lust', for example, even in small measure, leads to large-scale destruction.

### 4.3 'IRE', A WORD OF DESTRUCTION IN *TROILUS AND CRISEYDE*<sup>1</sup>

#### 4.3.1 INTRODUCTION

What drives Chaucer's *Troilus and Criseyde* toward the final catastrophe is the participants' excessive and foolish involvement with each other. Among the instances of excessive involvement, 'ire' is the worst.

#### 4.3.2 HOW THE SEVEN DEADLY SINS ARE DISTRIBUTED IN THE TEXT

From the Harvard Program for the English Department and the Division of Continuing Education (<http://www.courses.fas.harvard.edu/~chaucer/tools/>), we can download the digitized site of Chaucer's works. The downloaded examples of 'ire' illustrate that Chaucer carefully used this word to describe Troilus's desperate state of mind in the key scenes relating to Troilus's angry reaction to his fate, which is contrary to his acceptance of his fate in the consummation and parliament scenes, and which contrasts with also Criseyde's quiet but tactful acceptance of her fate. The lines which contain 'ire' in *Troilus* show the following distribution:

There is 1 line in Troilus Book 1 which contains 'ire': 793

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[1] The earlier version of the section is S. Kikuchi (2003) '“Ire”, a Word of Destruction in Troilus and Criseyde', in M. Kanno (ed.), *FUL OF HY SENTENCE* (Tokyo: Eiho-sha) 99–109. I am grateful to Professor Derek Pearsall, Harvard University, for the opportunity to participate in his Chaucer seminar, 1998–1999, and his suggestions. All Chaucer quotations are from *The Riverside Chaucer*, ed. Larry D. Benson, 3rd edn. (Boston: Houghton Mifflin Company, 1987).

- (1) And for thyn *ire* and folissh wilfulnesse,<sup>2</sup> (Tr 1.793)

There are 3 lines in Troilus Book 3 which contain 'ire': 22 1805

- (2) Ye fierse Mars apaisen of his *ire*, (Tr 3.22)  
 (3) That Pride, Envye, *Ire*, and Avarice (Tr 3.1805)

There are 5 lines in Troilus Book 5 which contain 'ire': 36 589 1223 1464 1755

- (4) For *ire* he quook, so gan his herte gnawe, (Tr 5.36)  
 (5) "Wel hastow, lord, ywroke on me thyn *ire*, (Tr 5.589)  
 (6) And with his *ire* he thus hymselfe shente. (Tr 5.1223)  
 (7) "Diane, which that wroth was and in *ire* (Tr 5.1464)  
 (8) And dredeles, his *ire*, day and nyght, (Tr 5.1755)

The word 'ire' occurs only in Books 1, 3 and 5. In Book 1 the word is used in conjunction with 'folissh wilfulnesse', suggesting that this state of mind is a key to understand Troilus's ill-fated course of life. Although, after the consummation scene in Book 3, he overcomes this vice, one of the Seven Deadly Sins, together with the three other vices, 'Pride, Envye and Avarice', his ire returns in Book 5.

In Book 4 Troilus's attitude towards Providence is explored in his meditation on free will. Whether we can exert 'free will' and resist our fate with 'ire' is a major theme of this tale of love, as in Shakespeare's *Hamlet*.<sup>3</sup> Troilus justified his 'rage against fate' and took a course leading to a catastrophe. Troilus fought against his fate and paid dearly. This illustrates Chaucer's attitude to the world: that is, if one resists the Providence, things become worse. If Troilus had had 'patience' and been contented

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[2] All the italics in the citations are mine.

[3] Pearsall argues that free will is the theme of the poem. See Derek Pearsall, 'Criseyde's Choices', *Studies in the Age of Chaucer* (Proceedings, No.2, 1986: Fifth International Congress 20–23 March 1986, Philadelphia, Pennsylvania) (Knoxville: Univ. of Tennessee, 1987), 17–29, and Derek Pearsall, *The Life of Geoffrey Chaucer* (Oxford: Oxford University Press, 1992), 174. According to Jennifer R. Goodman, to understand the medieval idea of 'free will', it is indispensable to understand the Medieval concept of the nature of the universe, which heavily depends upon Aristotelian ideas of 'natural place' and 'natural motion', i.e., 'everything is drawn by nature to its proper location in the universe'. The question of 'free will' should thus be understood as the idea set against Goodman's argument of 'kyndely stede' (natural place). For this, see Jennifer R. Goodman, 'Nature as Destiny in *Troilus and Criseyde*', *Style* 31.3 (1997): 413–427.

with what was given to him, he would not have died and could have found a way to regain Criseyde and, perhaps, a way to save Troy from destruction.

In the first half of the story, Troilus shows utmost 'patience' and accepts his providential fate whether it might be favourable or unfavourable. Though his heart is taken by Criseyde, he shows no resistance to this fate (Criseyde's appearance before him). After exerting 'patience', he succeeds in gaining her in the consummation scene, Book 3. Even in the exchange scene of Criseyde with Antenor, Troilus shows much tolerance and again accepts his unfavourable fate with 'patience'. Troilus was at the Trojan parliament where Criseyde's exchange with Antenor was discussed, but he said no words and suppressed his sorrow:

- (9) Thus wolde Love — yheried be his grace! —  
 That Pride, Envye, *Ire*, and Avarice  
 He gan to fle, and everich other vice  
(Tr 3.1804–1806)
- (10) But natheles he no word to it seyde,  
(Tr 4.152)

In the second half of the story, however, Troilus succumbs to the return of his 'ire', which he overcame after the consummation scene, and with this returned 'ire' he reacts negatively against his fate. Resisting his fate, he rages in the battle:

- (11) *Ayeyns which fate* hym helpeth nat to stryve;  
 But on a day to fighten gan he wende,  
 At which — allas! He caughte his lyves ende.  
(Tr 5.1552–1554)
- (12) And dredeles, his *ire*, day and nyght,  
(Tr 5.1755)

Not only do we seem to be able profitably to compare Troilus's acceptance of his fate in the former two scenes above ((9) and (10)) with his resistance to his fate as depicted in the latter two scenes ((11) and (12)) in Book 5, we are also profitably able to compare the attitudes of Troilus and Criseyde to their fate. Criseyde, although she frantically laments her fate, continues to exert utmost patience in order to survive:

(13) Ther as she lay in torment and in rage,  
(Tr 4.811)

(14) For ye that ben of torment in swich rage  
(Tr 4.892))

Criseyde also wanted Troilus to have 'patience' in facing his fate:

(15) That men purposen pees on every side,  
Ye may the better at ese of herte abyde  
(Tr 4.1350–1351)

(16) Thus maketh vertu of necessite  
By *pacience*, and thynk that lord is he  
Of Fortune ay, that naught wole of hire recche;  
(Tr 4.1586–1588)

In the Reeve's Tale, the episode 'Miller steals flour' is paired with the opposite episode 'Miller loses the chastity of his wife and daughter (and the half-baked flour)'. The miller refuses to accept his fate, a sort of Divine Providence, but thoughtlessly resists it. His impatient act of fighting back against the students led to his having to repay his 'debt' (with the chastity of his wife and daughter) with 'interest' (half-baked flour).<sup>4</sup> Had the miller been content with the state given to him, his loss would have

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[4] For a detailed discussion, see Shigeo Kikuchi, 'A Text-linguistic Pilgrimage to Chaucer's *The Canterbury Tales*—The World of Symmetry—', *Hiroshima Studies in English Language and Literature* 32 (1987): 44–53, and Shigeo Kikuchi, 'Lose Heart, Gain Heaven: The False Reciprocity of Gain and Loss in Chaucer's *Troilus and Criseyde*', *Neuphilologische Mitteilungen* CII.4 (2001): 427–434.

been smaller. He did not accept his fate, however, but counterattacked with 'rage', or 'ire', if we use the word used in *Troilus*. So did Troilus. By this Chaucer implies, a little ironically, yet fundamentally seriously, that we should not resist Divine Providence.

In *Troilus* three other words are used as a synonym of 'ire': *rage*, *angre/anger*, and *wroth / wrath*. They are used variously as advice to man in general or to Troilus not to become angry when faced with a sorrowful or a difficult situation related with love, or as a suggestion of Troilus's future psychological state. The first example below is an admonition by Pandarus prior to the consummation scene in Book 3:

- (17) Woot ye not wel that noble and heigh corage  
 Ne sorweth nought, ne stynteth ek, for lite?  
 But if a fool were in a jalous *rage*,  
 I nolde setten at his sorwe a myte,  
(Tr 3.897–900)

This scene could be taken as a hint about the course of 'a fool' that Troilus will take in the second half of the story. The following example of *rage* in Book 4 is concerned with Troilus:

- (18) But after, whan the furie and al the *rage*,  
(Tr 4.253)

The example above describes that Troilus's rage weakened after he learned of Criseyde's exchange with Antenor.

Another synonymous word, *angre*, is used by Criseyde, but this use is to admonish Troilus with an old saying that after 'anger' comes 'delight':

- (19) As alday happeth after *anger* game,  
(Tr 4.1563)

This sounds ironic considering Troilus's later fate, but what is more important is the fact that, to be ironic, Criseyde/narrator highlights the 'anger' of Troilus. Another *angre* passage depicts the recurrence of 'ire' that drives out his woe:

- (20) Cassandra goth, and he with cruel herte  
 Foryat his wo, for *angre* of hire speche;  
 (Tr 5.1534–1535)

The *wroth* examples are of Criseyde beseeching Troilus in her letter not to become angry with her:

- (21) But beth nat *wroth*, and that I yow biseche:  
 For that I tarie is al for wikked speche.  
 (Tr 5.1609–1610)
- (22) And beth nat *wroth*, I have ek understonde  
 How ye ne do but holden me in honde.  
 (Tr 5.1614–1615)

And in Book 5, after the *wroth* examples above (line 1609, 1614), the word *ire* (line 1755) occurs in close succession:

- (8) And dredeles, his *ire*, day and nyght,  
 (Tr 5.1755)

And the last occurrence of the synonym of 'ire', i.e., *wrath*, takes places in the narrator's description of his military prowess and death in battle:



- (23) The *wrath*, as I bigan yow for to seye,  
 Of Troilus the Grekis boughten deere,  
 For thousandes his hondes maden deye,  
 As he that was withouten any peere,  
 Save Ector, in his tyme, as I kan heere.  
 But — weilawey, save only Goodes wille,  
 Despitously hym slough the fierse Achille.

(Tr 5.1800–1806)

If we consider the two factors—first, Pandarus's admonition against *rage* above (Book 3.899), which I said is a suggestion about the later development of the story at what Mick Short calls 'the narrator–narratee level' of discourse,<sup>5</sup> and, second, the high density of occurrence of *ire* and its synonyms in the latter part of Book 5, actually depicting Troilus's final stage of the story—, we can see that the concept of 'ire', one of the Seven Deadly Sins, is a key idea deeply concerned with the theme of the work.

There are several other scenes in which this key state of 'rage' is used. The first line below is about the long-standing bad relations between the Trojans and the Greeks. The next line is of the Greeks' anger with the Trojans:

- (24) "For though ye Troians with us Grekes *wrothe*  
 (Tr 5.141)

- (25) "That Grekis wolde hire *wrath* on Troie wreke,  
 (Tr 5.960)

From these examples, we can tell that the psychology represented by the word *ire* and its synonyms is a key state of mind of Troilus in the final stage of the story.

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[5] See Mick Short, *Exploring the Language of Poems, Plays and Prose* (London: Longman, 1996), 171–172, 189, 257, 261.

Criseyde, in contrast to Troilus, 'follows the path of least resistance'.<sup>6</sup> Though unwillingly at first, she accepted her new fate with Troilus and, after being moved to the Greek camp, 'she accepted completely the new inevitable' with Diomedes.<sup>7</sup> Taking the easiest way, she keeps her peace of mind. In Criseyde, 'anger', if it ever appears, does not last long. When Pandarus came to her for Troilus in Book 4, her rage does not last long. The next example describes also Criseyde in frenzied sorrow, but not in anger:

(26) Ther as she lay in torment and in *rage*,  
(Tr 4.811)

(27) For ye that ben of torment in swich *rage*  
(Tr 4.892)

As her earnest request of Troilus shows, she herself remains calm of mind, while Troilus does not. In the following I would like to cite again Criseyde's letter scene in which she begs Troilus not to become angry:

(28) But beth nat *wroth*, and that I yow biseche;  
(Tr 5.1609)

(29) And beth nat *wroth*, I have ek understonde  
(Tr 5.1614)

The other Sins are not so deeply related with Troilus as to precipitate the final cycle. 'Pride, Envy and Avarice' are only lightly touched upon as part of Troilus's character up to the consummation scene in Book 3. They all disappear after this scene. The

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[6] Robert K. Root, *The Poetry of Chaucer: A Guide to Its Study and Appreciation* (revised edition) (Gloucester, Gloucester, Mass.: P. Smith, 1957[1934]), 117.

[7] Root, 114.

Harvard Server again provides the distribution of these words in *Troilus*. *Avarice* occurs only once, and *coveitise*, a synonym of *avarice*, four times:

- There are 4 lines in Troilus Book 3 which contain 'avarice' or 'coveitise' or 'coveytous':  
261 1373 1389 1805
- (30) That nevere I this for coveitise wroughte, (Tr 3.261)
  - (31) Lord, trowe ye a coveytous or a wrecche, (Tr 3.1373)
  - (32) As hadde Mida, ful of coveytise, (Tr 3.1389)
  - (33) That Pride, Envye, Ire, and *Avarice* (Tr 3.1805)

- There are 2 lines in Troilus Book 4 which contain 'avarice' or 'coveitise' or 'coveytous':  
1369 1378
- (34) Is old, and elde is ful of coveytise, (Tr 4.1369)
  - (35) Of hym that set is upon coveytise; (Tr 4.1378)

The first line is Pandarus's phrase explaining to Troilus that his mediation is not out of any desire. The second and the third lines refer to an imaginary situation. There is no other use of *avarice* but (33). Though it is implied, rather than stated, that Troilus was guilty of *avarice* up to this consummation scene, this characteristic of his disappeared after the scene. The disappearance of this word after (33) means that it is not part of the central theme of the work. The fifth line is Criseyde's reference to her father's covetousness. The next example is about covetous in general, referring back to Calkas. What about the other words? The word *pride* appears three times in the entire text, but after Book 3, line 1805, it is never again used:

- There is 1 line in Troilus Book 1 which contains 'pride': 230
- (36) That he that now was moost in *pride* above, (Tr 1.230)

- There are 2 lines in Troilus Book 3 which contain 'pride': 1801 1805
- (37) Hym liste of pride at no wight for to chace; (Tr 3.1801)
  - (38) That *Pride*, Envye, Ire, and *Avarice* (Tr 3.1805)

There is 0 line in Troilus Book 4 which contains 'pride':  
There is 0 line in Troilus Book 5 which contains 'pride':

From this fact, we can again infer that this word is also not part of the central theme of the work. Or, as in the case of 'avarice', Troilus was freed of this characteristic after the consummation scene. As for the use of *envy*, there are altogether five lines in which the word is used:

There is 1 line in Troilus Book 3 which contains 'envie': 1805  
 (39) That Pride, *Envye*, Ire, and Avarice (Tr 3.1805)

There is 1 line in Troilus Book 4 which contains 'envie': 275  
 (40) Displeas hadde unto thi foule *envye*, (Tr 4.275)

There are 3 lines in Troilus Book 5 which contain 'envie': 756 1479 1789  
 (41) For evere on love han wrecches had *envye*. (Tr 5.756)  
 (42) Ther ros a contek and a gret *envye*; (Tr 5.1479)  
 (43) But litel book, no makyng thow n'*envie*, (Tr 5.1789)

Of these lines, line (40) refers to Fortune, not to Troilus, so we can leave this line out of account. The use in line (41) is not related with Troilus, either. It refers to wretches in the world. The next use (42) describes the condition among the Greeks. In the case of (43) this is about what the author calls 'litel book' (little book), again not about Troilus. Thus, the concept of 'envy' also does not take a central position in the thematic structure of the tale. As for the distribution of other Sins, *slewthe* (sloth) and its synonym *accidie* appear nowhere in Troilus. The Sin of *glotonie* (gluttony) appears only once, in Book 5:

There is 1 line in Troilus Book 5 which contains 'glotonie': 370  
 (44) Proceden they, or fast, or *glotonye*. (Tr 5.370)

This is a line by Pandarus explaining to Troilus that one's dreams are said to come from one's gluttony. By saying so, he is admonishing Troilus to stop dreaming about Criseyde's return. So this line has nothing to do with Troilus's present psychological

state. The seventh Sin, *lecherie* (lechery), is not mentioned anywhere in *Troilus*. These distributions of words referring to other Sins confirm the hypothesis that 'ire', and not the other sins, is the thematically important psychological state for the cause of the final catastrophe.

#### 4.3.3 CONCLUSION OF 4.3

Whether in comedy or tragedy, 'ire' causes a great loss. One who foolishly reacts to fate gains nothing good. On the other hand, as Criseyde's wish shows, if one accepts fate and waits, one can avoid the worst result. This is what Chaucer teaches us through the appearances and distributions of 'ire'.

## 4.4 IAGO, THE MURDERER; HAMLET, THE AVENGER<sup>1</sup>

### 4.4.1 INTRODUCTION

In this section, by extending the functional linguists' notion of the theme–rheme sequence at clause level to the level of the entire text, I will examine Shakespeare's *Othello* and *Hamlet* to show that he created Iago as 'a perfect murderer' and Hamlet as 'a perfect avenger'. By transforming Othello, Hamlet, Claudius and the audience from the first textual world of 'appearance is as appearance is' (what I term 'discourse theme'), through the stages of doubt (the 'mediation' of a ghost, or what I call 'Ghost Implicature'), into the world of conviction in which 'appearance needs no proof' (my 'discourse rheme'), Shakespeare challenged the audience's intelligence and the religious, moral and legal codes of the time.

The 'endless discussion of the aesthetic problem of *Hamlet* ... for two centuries never reduced the play to aesthetic consistency' (Robertson 1919: 11) and Eliot (1997: 84) went so far as to call *Hamlet* 'an artistic failure'. Didn't Shakespeare have an aesthetically consistent grand design in mind when he wrote this work?<sup>2</sup>

Before starting my discussion of *Hamlet*, I will examine *Othello*. This work, though

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[1] This section is based on the paper, 'Iago, the murderer; Hamlet, the avenger: How "Ghost Implicature" or "a ghost" mediates their success', which I read at the International Conference to Mark the 75th Anniversary of the English Department, Faculty of Philology, University of Belgrade (*ellsi75*), 10 December 2004. This will be published in the conference proceedings edited by K. Rasulić et al., entitled *Proceedings of English language and literature studies: interfaces and integrations*.

[2] As for Shakespeare's grand design of *Hamlet* in his mind reflected in the thematization structure, if the presented hypothesis of mine explains the observed phenomena, then the hypothesis of Shakespeare's mind is accepted as true. (For this, see also the explanations of the hypothetical construct discussed in 3.4.5 *Definition of equivalence, discourse theme, discourse rheme and mediation*, Chapter 3).

assumed to have been written later, is structurally much simpler than *Hamlet*, and analysis of its structure provides a model for a functional analysis of *Hamlet*. The processes by which Iago drives Othello to ruin and those by which Young Hamlet achieves his vengeance upon Claudius are inter-textually parallel, and it is possible to see what the complicated grand design of *Hamlet* was like in Shakespeare's mind through the structurally easier text of *Othello*.

#### 4.4.2 THE GHOST WORLD AS A MEDIATOR IN SHAKESPEARE'S WORKS

##### 4.4.2.1 *The structure of cheating and 'Ghost Implicature' in Othello*

Among the fascinating characters whom Shakespeare created, Iago in *Othello* undoubtedly ranks high on the list. Agatha Christie, one of the greatest of British mystery writers, had her Poirot say in the last case of the Hercule Poirot series, *The Curtain*, that Iago in *Othello* was a perfect murderer:

- (1) The play of *Othello*. For there, magnificently delineated, we have the original of X. Iago is the perfect murderer. The deaths of Desdemona, of Cassio — indeed of Othello himself — are all Iago's crimes, planned by him, carried out by him. And *he* remains outside the circle, untouched by suspicion — or could have done so. For your great Shakespeare, my friend, had to deal with the dilemma that his own art had brought about. To unmask Iago, he had to resort to the clumsiest of devices — the handkerchief — a piece of work not at all in keeping with Iago's general technique and a blunder of which one feels certain he would not have been guilty.

(Christie *Curtain*, p.254)

But did Iago, who has long been thought a villainous liar, really tell lies? By analyzing dialogues in the play using the Cooperative Principle of Grice (1975), we can tell that Othello's full understanding of the Cooperative Principle and the

conversational implicatures, which result from the regulating process to avoid a violation of the maxims, caused his fatal fall. He fell before Iago's manipulative and deceptive use of maxims. The verbal techniques which Iago used were, in most cases, not, contrary to general belief, 'lies': they were what we may call villainous maxim violations and the resulting 'Ghost Implicature': a false implicature that Iago artfully created to get Othello to assume that Iago has something to hide.

Critics who refer to Iago's false statements as 'lies' include Rymer (1970: 123) (Iago ... forging his *lies*), Hazlitt (1902: 207) (*a lie* that kills), Bradley (1991: 358) (Iago doubtless is *a liar*) and Barton (1980: 158) (the *liar* Iago). Ewbank (1991) includes Iago in her British Academy lecture entitled 'Shakespeare's Liars'. Some critics do not use this term. Nowotny (1952: 332–338), for example, prefers a 'true/false' dichotomy (He [that is, Shakespeare] shows the process of *false* testimony ... ; the impossibility of discriminating between *true* and *false*; Othello, convinced that Iago's tale is *true*; what Iago has said is *false*). She restricts her use of 'lie' to the cases of Cassio and the handkerchief (Iago's *lies* about Cassio and the handkerchief). Other critics who do not use the word 'lie' are Coleridge (1951: 167) (Iago's *suggestions*) and Neely (1994: 72) (Iago's *insinuations* about her [that is, Desdemona's] sexuality). (italics in this passage are mine)<sup>3</sup>

Though many critics think that Iago lied to Othello, I assume rather that Iago drove Othello to draw a false inference through his manipulative use of Gricean maxims. In Kikuchi (1999: 30), I named this false implicature as 'The Ghost Implicature'. Iago's success rests upon his accusation-evading 'Ghost Implicature'. Contrary to the remarks by Webster (1942: 233), actress and producer, that 'There are no ghosts in

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[3] OED's definition of 'lie' is also cited for reference:

lie *sb.*<sup>1</sup> 1.a. An act or instance of lying; a false statement made with intent to deceive; a criminal falsehood; lie *v.*<sup>2</sup> 1. *intr.* To tell a lie or lies; to utter falsehood; to speak falsely. (OED<sup>1</sup>)



Othello ... ', when viewed from the perspective of 'Ghost Implicature', it is clear that *Othello* was also motivated by the same stage idea as others of Shakespeare's ghost plays.

#### 4.4.2.2 *Grice's maxims and Iago's Ghost Implicature*

If the speaker's intention is not explicitly stated, the hearer will make an inference about the speaker's intention, termed 'implicature' by Grice, in order to maintain the coherence of the discourse.

Briefly outlining his Cooperative Principle, Grice says: 'Make your conversational contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged' (Grice 1975: 45). Under normal circumstances, each conversation participant assumes that the other participant is cooperating by obeying certain conversational conventions, or maxims. The maxims are: QUANTITY (Don't provide more or less information than is necessary for the current exchange); QUALITY (Tell the truth); RELEVANCE (Be relevant); MANNER (Be clear).

#### 4.4.2.3 *VIOLATION STAGE 1*

*'What dost thou say?': violations of QUANTITY and MANNER*

Iago's first vicious scheme starts with this dialogue with Othello. This first stage of Maxim Violation begins with a question 'What dost thou say?' The passage (2) below

is the first scene in which Iago attempts to arouse suspicion in the mind of Othello:<sup>4</sup>

(2) IAGO: Ha, I like not that.

OTHELLO: What dost thou say?

IAGO: Nothing, my lord; or if — I know not what.

OTHELLO: Was not that Cassio parted from my wife?

IAGO: Cassio, my lord? no, sure, I cannot think it  
That he would steal away so guilty-like  
Seeing you coming.

OTHELLO: I do believe 'twas he.

(*Othello* 3.3.34–40)<sup>5</sup>

The first underlined part of Iago's replies 'Cassio, my lord?' to Othello's question is less informative than is required here. What Othello sought was confirmation that the man was Cassio. In this exchange, Iago gives Othello only an echoing reply in order to make him believe that Desdemona is having an affair with Cassio. These repetitive replies provide a smaller amount of information than is necessary, leading the addressee to infer that the speaker might have some important information that he does not want to disclose, and causing the addressee to create an appropriate inference. Without any special justification, Iago's replies flout the Gricean maxim of QUANTITY. This first underlined part also violates the maxim of MANNER in that he does not give Othello a clear-cut explanation. The second underlined part again violates the maxim of QUANTITY, this time giving more information than necessary. These maxim violations can be explained, and the discourse made coherent, by inferring an appropriate implicature: that is, 'He had in mind something concerning Cassio and Desdemona'. The loyal general, Othello, here loyal again to Grice's

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[4] Muir (1991: 257) wrongly stresses the importance of soliloquies in his search for Iago's true motive: 'But very naturally he does not tell the fool Roderigo that he has another and deeper motive, one that is revealed in his first soliloquy: ...' What is important about various motives revealed in Iago's soliloquies is their variety in the stage of SEEMING, not a particular one of them.

[5] All the text citations of *Othello* are from W. Shakespeare (2002) *Othello* (The Arden Shakespeare 3rd ser.), edited by E.A.J. Honigmann (Walton-on-Thames, Surrey: Thomas Nelson and Sons).

Cooperative Principle, cooperatively attempts to maintain the coherence of the discourse.

#### 4.4.2.4 VIOLATION STAGE 2

*'What dost thou think?': violations of maxims of QUANTITY and MANNER*

In the exchange (3) below, Iago again flouts the two maxims of QUANTITY and MANNER, the latter of which requires us to avoid obscurity:

- (3) OTHELLO: Indeed? Ay, indeed. Discern'st thou aught in that?  
           Is he not honest?  
 IAGO: Honest, my lord?  
 OTHELLO: Honest? Ay, honest.  
 IAGO: My lord, for aught I know.  
 OTHELLO: **What dost thou think?**  
 IAGO: Think, my lord?

*(Othello 3.3.102–108)*

#### 4.4.2.5 VIOLATION STAGE 3

*'What dost thou mean?': violation of maxim of MANNER*

Othello's concern about 'what is said' in VIOLATION STAGE 1 develops into concern about 'what is meant' here.<sup>6</sup> The underlined extracts in (4) violate the maxim of MANNER, which urges the speaker to speak clearly:

- (4) IAGO:                                   I do beseech you,  
           Though I perchance am vicious in my guess  
           —As I confess it is my nature's plague  
           To spy into abuses, and oft my jealousy

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[6] Widdowson (1982: 43) and Coulthard (1977: 177) are both correct when they say that Iago gradually specified his accusations. Coulthard says: 'Iago...gradually becomes more specific in his accusations until he can warn: Look to your wife, observe her well with Cassio' (3.3.200). The last, most specified remark by Iago was, if we extend Agatha Christie's view, only one of the clumsiest devices to make Iago's guilt clear.

Shapes faults that are not—that your wisdom  
 From one that so imperfectly conceits  
 Would take no notice, nor build yourself a trouble  
 Out of his scattering and unsure observance:  
 It were not for your quiet nor your good  
 Nor for my manhood, honesty and wisdom  
 To let you know my thoughts.

OTHELLO:               Zounds! What dost thou mean?

IAGO:    Good name in man and woman, dear my lord,  
 Is the immediate jewel of their souls:  
 Who steals my purse steals trash—'tis something—  
           nothing.  
 'Twas mine, 'tis his, and has been slave to thousands—  
 But he that filches from me my good name  
 Robs me of that which not enriches him  
 And makes me poor indeed.

OTHELLO:   By heaven, I'll know thy thoughts!

(*Othello* 3.3.148–164)

Othello became ruined not because of Iago's 'downright lie', but because of the groundless 'Ghost Implicature' that Iago intentionally led him to believe. Othello created a false reality and ruined himself.

#### 4.4.2.6 *Into the world of false being*

These three stages represented in the three exchanges can be diagrammed as in *Figure 2* below. Following the progress of the play from top left to bottom right, this diagram shows Othello's fall into a worse situation:

**Ghost Implicature as a Mediator in *Othello***

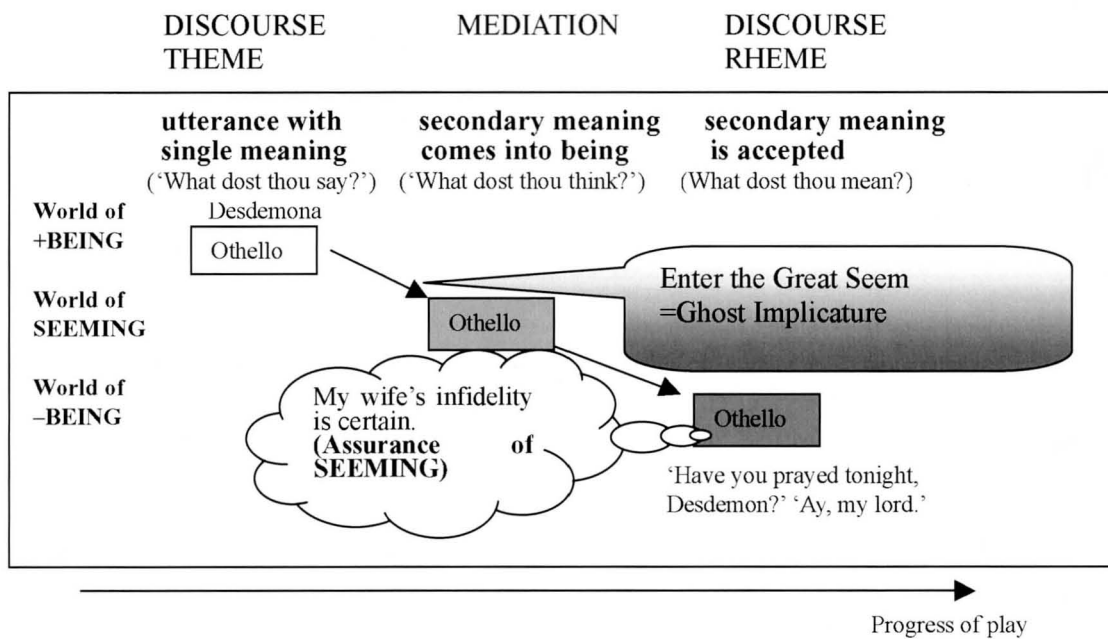


Figure 2

The Being-Seeming Structure in *Othello*<sup>7</sup>

Figure 2 above illustrates the way in which Othello’s simple one-utterance-with-one-meaning life is mediated by the Ghost Implicature into a life of implicature, a world of one utterance with multiple meanings. Here, reflecting the pragmatic meanings, mediation is realized by means of a gradual difference in use (e.g. What does thou say? (utterance with single meaning) – What does thou think? (secondary meaning comes into being) – What does thou mean? (secondary meaning accepted)).

Notice that in the end Othello becomes a good user of ‘implicature’ to Desdemona. He says ‘Have you prayed tonight, Desdemon?’ (5.2.25), implying that she should be ready to die. On the other hand, Desdemona is still living in the world of utterance with a single meaning (World of +BEING). The discourse theme of ‘innocence’ presented earlier in the story becomes mediated through the stages of doubt into

[7] The three stages at the top line and the three stages at the left-hand side vertical column stand for the same thing, but I employed this formation because this better depicts the developments of story and time.

discourse theme of death.

#### 4.4.3 TWO GHOSTS AS A MEDIATOR IN HAMLET AND THE INFINITE IMAGE EFFECT OF THE TWO FACING MIRRORS

While in *Othello* it is Iago who creates the world of SEEMING; in *Hamlet* it is the 'Ghost' who first introduces Hamlet to the world of SEEMING, and then Hamlet himself introduces Claudius to the world of doubt. Figure 3 below represents this double world of SEEMING, mediation for Hamlet in which is realized through the three stages: 'Seems, (madam?) (Nay,) it is. (I know) not seems' (1.2) (X is X) – 'To be, or not to be' (3.1) (X seems Y, but X is really Y or not Y) – 'If't be so'... 'But let it be. (Horatio, I am dead)' (5.2) (X is Y). For Claudius, on the other hand, Hamlet first appears before him at the wedding ceremony in the court as his innocent son-in-law who is surely know nothing of the truth (so he looks to Claudius), then at the play-within-the play scene, Hamlet appears as if to know somewhat of the truth. In the duel scene, for Claudius, it becomes no more deniable that Hamlet knows the truth, though actually Hamlet knows no truth:

Two Ghosts as a Mediator in *Hamlet* and the Effect of Two Facing Mirrors

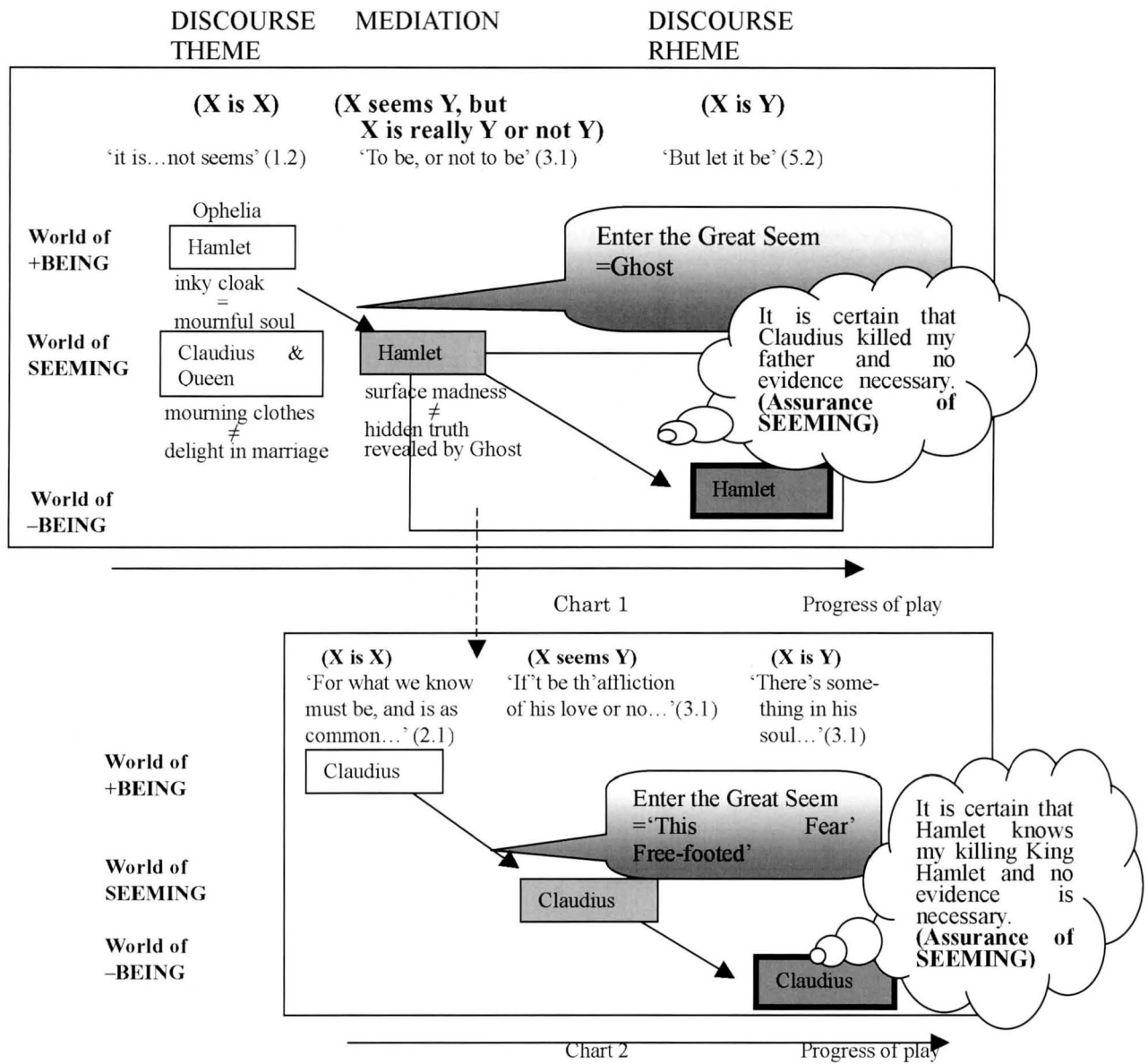


Figure 3

The Being-Seeming Structure in *Hamlet*<sup>8</sup>

In *Hamlet*, the eponymous hero into whose ear a ghost pours poisonous words that are impossible to prove has a common ground with Othello, into whose ear Iago also pours 'poisonous' words; and Hamlet, in turn, also parallels the Ghost and Iago in that the prince provides Claudius with the 'poisonous' impression that he knows the

[8] All the citations from *Hamlet* are from W. Shakespeare (1995) *Hamlet* (The Arden Shakespeare), edited by H. Jenkins (London: Routledge).

hidden truth. This is impossible for Claudius to prove, just as it is impossible to prove the Ghost's or Iago's words. By transferring Hamlet from the first textual world of 'appearance is as appearance is', through the stages of doubt (the world of SEEMING), into the world of conviction in which 'appearance needs no proof', Shakespeare challenges the audience's intelligence and the religious, moral and legal codes of the time.<sup>9</sup>

Chart 1 above, the first box diagram, represents the world of Hamlet, to whom the Ghost delivers a message that is impossible to prove. It is when trapped in this world of SEEMING, that Hamlet utters the famous 'To be or not to be' phrase. In Chart 2, on the other hand, Hamlet himself acts as Ghost for Claudius; that is, Hamlet appears before Claudius as the provider of a dubious world. At a certain point in Chart 1, Chart 2 enters, and the two worlds develop in parallel till the final, feud scene like two facing mirrors — the mirror of Hamlet and the mirror of Claudius. And these two facing mirrors give an infinite number of reflections.

#### 4.4.3.1 *Two implications in the being-seeming structure in Hamlet (Figure 3)*

##### 4.4.3.1.1 *First implication: two facing mirrors and the infinite number of reflections*

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[9] In the light of this Being–Seeming grand design, we can better appreciate the profound shade of meaning in the following lines: (1) OPHELIA: He rais'd a sigh so piteous and profound / And it did *seem* to shatter all his bulk / And end his *being*... / He *seemed* to find his ways without his eyes, (*Hamlet* 2.1.95–98); (2) POLONIUS: That he *is* mad 'tis true; 'tis true, 'tis pity; / And pity 'tis 'tis true. (*Hamlet* 2.2.97–98); (3) ANTONY: Did this in Caesar *seem* ambitious?...Which he did thrice refuse: *was* this ambitious?... (4th PLEBEIAN) Therefore 'tis certain he *was* not ambitious. (*Julius Caesar* 3.2.91–114) For this, see also note [10]. (The citations of *Julius Caesar* are from Shakespeare, W. (1998) *The Arden Shakespeare complete works*, edited by R. Proudfoot, A. Thompson & D. S. Kastan, Walton-on-Thames: Nelson.



For Claudius to know that Hamlet knows his crime, he has to draw evidence from Hamlet. Hamlet, on the other hand, has no clear evidence of Claudius's crime and he cannot say anything clearly about it. Even in Elizabethan times, a confession made by a Ghost was not received in evidence. The Ghost's confession could be sufficient to sustain a conviction if accompanied by other proofs that Claudius committed the offence, for example, Claudius's voluntary confession. But Claudius does not need to confess as long as Hamlet does not hold clear evidence of his crime. And please note that in the Prayer Scene after the Play-within-the Play, though Hamlet enters when Claudius is confessing, he does not hear the confession. The lines in question run as follows:

(5) KING: 'Forgive me my foul murder? '  
 That cannot be, since I am still possess'd  
 Of those effects for which I did the murder—  
 My crown, mine own ambition, and my queen.  
 May one be pardon'd and retain th'offence?

*Enter HAMLET.*

HAMLET: Now might I do it pat, now a is a-praying.  
 And now I'll do't. *[Draws his sword.]*  
 And so a goes to heaven;  
 And so am I reveng'd. That would be scann'd:  
 A villain kills my father, and for that  
 I, his sole son, do this same villain send  
 To heaven.  
 Why, this is hire and salary, not revenge,

*(Hamlet 3.3.52-79)*

Hamlet just sees him making the confession. Or, more importantly, Hamlet shows no interest in the content of the confession. At this stage, Hamlet is already convinced of Claudius's crime, though he has obtained no direct evidence. That is, Hamlet and Claudius are both in the Seeming-to-Seeming world, or in limbo, and it is now impossible for either side to draw out direct evidence from the other side. As both sides are trying in vain to know what the other knows, and becoming confident about

the other's knowledge about the truth, the story develops to the feud scene.

#### 4.4.3.1.2 *Second implication: audience's readiness is all: audience is cheated*

It can be said that all of the elements in this play have been arranged to prepare the audience to accept Hamlet's vengeance upon Claudius. In the Prayer Scene (ACT 3, SCENE 3), Claudius confesses his murder of King Hamlet, but Hamlet does not hear it. However, up to this scene, the audience has been fully prepared to assume Claudius's guilt through the revelation of the Ghost, and the player king's similar confession in the Gonzago play.<sup>10</sup> In the prayer scene, the audience is now given sufficient grounds to believe who killed King Hamlet and who is to be avenged. In addition, people in the audience who knew the content of Ur-Hamlet and other revenge tragedies of the time were fully expecting vengeance to be taken. In addition to the building of expectation of Hamlet's vengeance, in the Play-within-the-Play Scene, the audience also becomes confident about Hamlet's conviction regarding Claudius's crime. Through these sorts of 'shared knowledge', the audience believes that Hamlet has achieved his vengeance in the feud scene when he kills Claudius. In reality, however, Hamlet dies without any clear evidence that Claudius murdered King Hamlet, and Claudius dies without knowing that Hamlet knows that he murdered the king.

Also in *Hamlet*, the author's discourse theme presented in the form of INNOCENCE earlier in the play becomes mediated through the three stages of SEEMING into a rhematic comment on the theme (the discourse theme is presented with the formula of

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[10] Wilson (1937: 140) raises a question why the Ghost's story and the Gonzago story are parallel. The parallelism here is prepared by Shakespeare only to ready the audience to assume Claudius's guilt. Far from being parallel, whether Claudius actually killed King Hamlet by pouring poison into his ear as described in the Ghost's and the Gonzago story is not clear at all because it is not mentioned in Claudius's confession.

X is X. Namely, in *Othello*, the ‘utterance with single meaning’; or in *Hamlet*, X is X (‘Seems, (madam?) (Nay,) it is. (I know) not seems’; in *The Midsummer Night’s Dream* (It is certain that) X loves Y.); that is, the INNOCENT who believes in the dubious will ultimately faces RUIN.<sup>11</sup>

#### 4.4.4 A CASE OF COMEDY: GHOST LOVE AS A MEDIATOR IN MID-SUMMER NIGHT’S DREAM

Is the communicatively dynamic structure of *Othello* and *Hamlet* also applicable to Shakespeare’s comedies? In this section, I will touch upon only the *Mid-Summer Night’s Dream*. In this story, it is clear that there is also a similar tripartite structure in this story:

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[11] The role of the reader in the composition of a text in general is not the main topic of this thesis to discuss, so this potentially interesting idea cannot be pursued here. But we should bear in mind that Shakespeare was well aware of the presence of audience in writing a play. From the following passage in Act 3, Scene 2 from *Julius Caesar*, W. Shakespeare (1998) *The Arden Shakespeare complete works*, edited by R. Proudfoot, A. Thompson & D. S. Kastan (Walton-on-Thames: Nelson), it is clear that Shakespeare was conscious about the effect of ‘seeming’ as a deceptive tool to cheat the audience, which is used to deceive Roman audience in the play.

ANTONY:

He hath brought many captives home to Rome  
Whose ransoms did the general coffers fill: 90  
Did this in Caesar seem ambitious?

↓

When that the poor have cried, Caesar hath wept; 92  
Ambition should be made of sterner stuff:

↓

You all did see that on the Lupercal 96  
I thrice presented him a kingly crown,  
Which he did thrice refuse. Was this ambition?

↓

4th PLEBEIAN:

Mark’d ye his words? He would not take the crown; 113  
Therefore ’tis certain he was not ambitious.

**Ghost Love as a Mediator in *Mid-Summer Night's Dream***

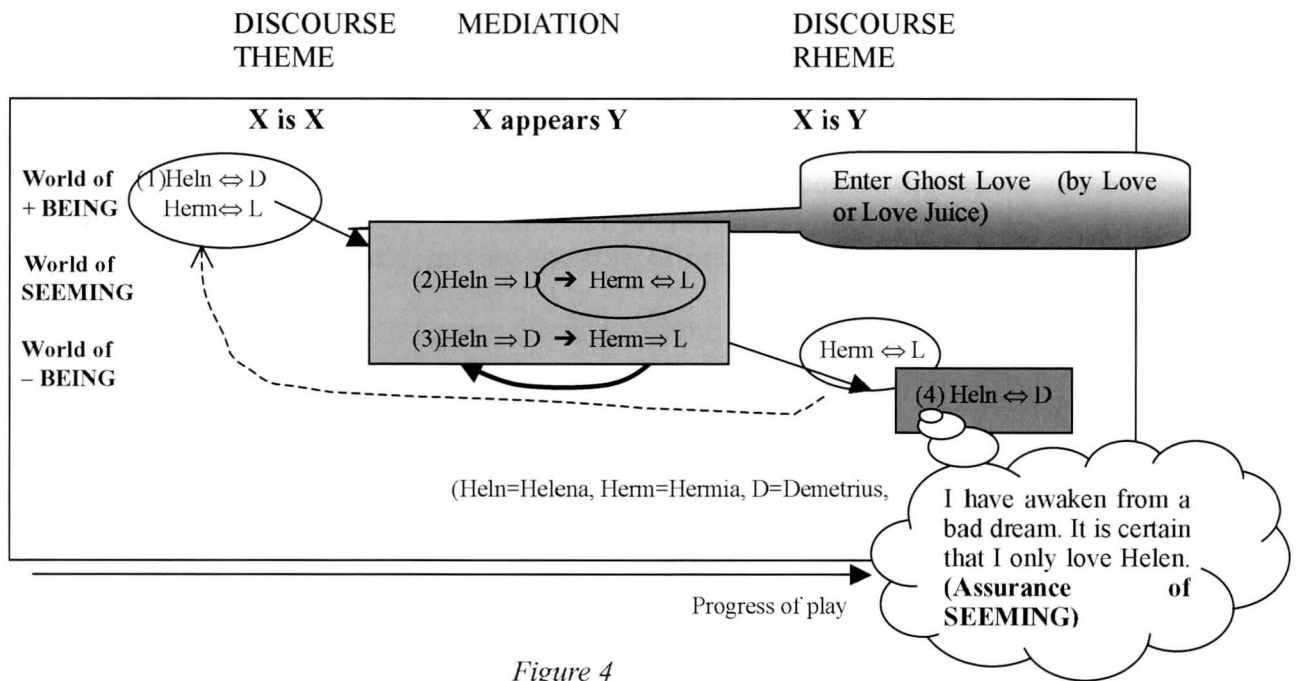


Figure 4  
Love-sick / Love-awaken relations of the four Athens<sup>12</sup>

What Figure 4 represents is this:

Only the pair of Hermia and Lysander returns from State (3) back to State (1), left above; while, the pair of Helena and Demetrius falls down into State (4), into the bottom-right corner. Demetrius seemingly returned back to the original state in which he loved Helen; however, it is by the effect of ‘love juice’. Though the story ends happily, but there is only one who does not know the fact that he is cheated. The audience must have understood the situation. Besides, Shakespeare had Demetrius utter to Theseus who wondered about the fact that the lion talked, ‘No wonder, my lord. One lion may, when many asses do’; and this line is also directed to the audience who does not understand the situation.

Frye (1993: 63) rightly wrote that in Shakespeare’s *Troilus and Cressida*, Helen and Cressida are not real ghosts, but the embodiment of ghost-like illusion. Greek Helen is

[12] The text used is W. Shakespeare (1979) *Mid-summer night's dream* (The Arden Shakespeare), edited by Harold F. Brooks (London: Routledge).

actually in Troy; and Trojan Cressida, who seems to belong to Trojan Troilus also seems to belong to Diomedes in the Greek camp. Cleopatra in *Antony and Cleopatra*, according to Frye, is also like a ghost.

The world of GHOST, or the world of SEEMING, in the box in the centre of the charts, is, therefore, obviously serving the role of mediation, transforming the first stage of the story world which I name discourse theme into the last stage which I call discourse rheme, or author's comment upon the discourse theme.

#### 4.4.5 CONCLUSION OF 4.4

The story world I discuss here has a specific mind-style based on the addresser-oriented, communicative dynamism, called 'textual function'. The story world is not a static collection of linguistic features, whether sociolinguistic or cognitive. The text as a whole is communicative dynamically organized. In *Othello*, Shakespeare presented the innocent state of Othello as the discourse theme, which is, through the mediating stages of Ghost-like, false pragmatic implications, commented upon in the discourse rheme as being worth facing death for. In *Hamlet*, with the work of the Ghost's unprovable claim, Hamlet becomes mediated through the same stages of SEEMING into the world of groundless confidence. In *Othello*, Iago's claim was presented to the audience as false. In *Hamlet*, however, Claudius's crime was presented as true through Claudius's confession (though this does NOT mean that the Ghost's claim was true).

Shakespeare described Iago as the perfect murderer beyond the law; on the other hand, he depicted Hamlet as the perfect avenger beyond legal, ethical, or religious

accusations.<sup>13</sup> That is, Hamlet's act cannot be called 'vengeance', because his act of killing Claudius is not based on any evidence of Claudius's guilt; therefore, Hamlet cannot be accused of taking personal vengeance, which was against the Elizabethan religious and moral codes. However, the feelings of the audience, believing that Hamlet took vengeance upon his father, were satisfied. Religiously speaking, at that time, it was believed that vengeance belonged to God, and it is also a matter of fact that Elizabethan England had established legal systems for crimes that did not allow personal vengeance to be carried out. However, people's sentiment sought vengeance and retribution. Shakespeare, satisfying these various social codes, seems to have presented an intellectual challenge to the intellectual classes in society. Shakespeare's story world, which intellectually challenged those in charge of these religious, moral and legal codes, also provided the audience with challenging topics for the intellectuals of Elizabethan England. Can the Ghost's words be used as substantial evidence at court? Is Hamlet guilty of mistakenly killing Polonius? Is Hamlet responsible for causing Ophelia to commit suicide? Does Hamlet's killing of Laertes with a poisoned sword without knowing the truth constitute the offence of murder? Is Claudius responsible when Gertrude mistakenly drinks poisoned wine? All these legal questions that occur in the world of SEEMING provided long-lasting topics of discussion among the audience during the play, after the play and over beer in a pub, making the play everlastingly popular. This meant the success of the play.<sup>14</sup>

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[13] Discussion of 'legality' is necessary because this is part of a clue to access what Shakespeare was thinking when writing *Hamlet*. This is concerned with audience's readiness and the Elizabethan social codes.

[14] As Barton (1929) pointed out, Shakespeare's audience seemed to have more interest in legal matters than those at present time. Based on the audience's 'readiness', Shakespeare created plays full of legal concerns. The audience appreciated the play at various levels (Eliot 1964), and as far as the play has been the most popular among Shakespeare's works, *Hamlet* can be said to be 'a success'.

As I have so far examined, understanding Shakespeare's manipulation of difference in viewpoints in a communicative dynamic way is effective in the appreciation of Shakespeare:

- (7) First Clown: ...Here lies the water—good. Here stands the man—good. If the man go to this water and drown himself, it is, will he nill he, he goes, mark you that. But if the water come to him and drown him, he drowns not himself. (*Hamlet*, 5.1.15–19)

## 4.5 TO LEAVE OR TO SETTLE?: KAZUO ISHIGURO'S REMAINS OF THE SUMMER IN NAGASAKI<sup>1</sup>

### 4.5.1 INTRODUCTION

Through the functional analysis of the theme-rheme structure of Kazuo Ishiguro's novels, I will conclude that his 'discourse theme' of MOVING is 'mediated' and given a solution of SETTLING (discourse rheme) in the end in his attempt to overcome cultural and ethnic differences he faces in Britain.

In this section, I will first focus on the irreducible form of Ishiguro's psychological antitheses that can be expressed in such abstract Event pairs as MOVING vs SETTLING. These abstract Event terms MOVING vs SETTLING can be realized with such Location pairs as: JAPAN vs BRITAIN, that is, CHANGE IN LOCUS; and PAST vs PRESENT, that is, CHANGE IN TIME.<sup>2</sup> These two pairs are the more specific features he has to carry throughout his life as one ethnically different living in Britain. At the level of his work, these abstract features take on much more specific forms such as: home town vs big city, people on the ground floor vs people on the first floor, world affairs vs

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[1] An earlier version of this section was read at the Annual Conference of the Poetics and Linguistics Association (PALA 2000) at Goldsmiths College, London, June 2000. The extracts are all from the faber and faber editions. This version is based on S. Kikuchi (2006) 'To leave or to settle?: Kazuo Ishiguro's remains of the summer in Nagasaki', *Philologia* 4 (Faculty of Philology, University of Belgrade), 129–138.

[2] As for the importance of the text world an author created, see also Hasan (1996). She emphasizes the significance of the text-internal world, saying 'Thirdly, ...there is the reconstructed context which is specific to that one text—what it is about, in what relations the characters and events are placed *vis-à-vis* each other, how do these hang together and what are the strategies through which the text achieves a generally recognizable generic shape...' (Hasan 1996: 52). For the multi-layered communication system working in a fictional text, as I briefly introduced in Chapter 2 of this dissertation, see also Chatman (1978), Leech & Short



family affairs, and traditional vs non-traditional. In the course of my discussion, I will show how these two polar terms are mediated into less extreme terms, which are, to Ishiguro, psychologically easier to overcome.

#### 4.5.2 HOW ISHIGURO'S THEMATIC CONFLICTS ARE MEDIATED: CHANGE IN LOCUS AND CHANGE IN TIME

##### 4.5.2.1 *A Pale View of Hills*

Ishiguro's *A Pale View of Hills* can be viewed in terms of two types of change: that is, the change in locus and the change in time. The two abstract EVENT types for these changes can be termed MOVING and SETTLING. By combining these two EVENT types with the above-mentioned Location pairs JAPAN vs BRITAIN and PAST vs PRESENT, we can diagram them as Figure 1 below. These diagrams illustrate the abstract and two-dimensional change underlying all Ishiguro's novels, not only *A Pale View of Hills*:

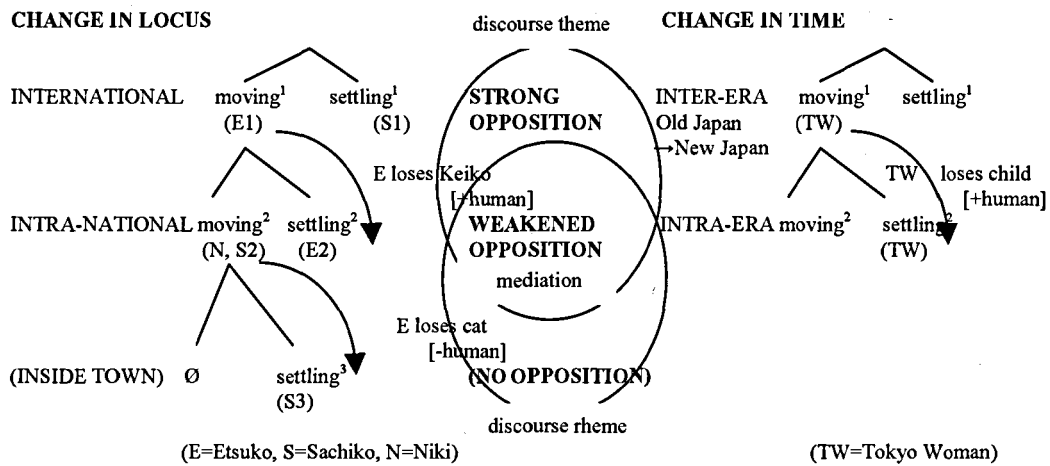


Figure 1

A Pale View of Hills<sup>3</sup>

I will start my discussion with *A Pale View of Hills*, with which it is easier to explain Ishiguro's sort of functional patterns that I propose here. *A Pale View of Hills* is a story about two women: one is Etsuko, who leaves Japan and her former Japanese husband. She moves to Britain with her new English husband. The second heroine is Sachiko. Her first hope to marry an American husband and live in America fails, and she stays in Japan, though later she moves with her daughter Mariko from Nagasaki in Western Japan to Kobe in central Japan.

What the left diagram in Figure 1 above illustrates is this: after moving from Japan to England, Etsuko in the end regains the feature of 'settling' in her new home near London, that is, the same feature she had in Japan before moving to England. What this diagram, and the right-hand diagram as well, shows is the attenuation of change whether in place or time. Etsuko, by moving internationally, loses one of her

[3] The text used is K. Ishiguro (1982) *A pale view of hills* (London: Faber and Faber). Throughout this section, STRONG OPPOSITION represents discourse theme, WEAKENED OPPOSITION mediation, and NO OPPOSITION discourse rheme. This is the same in the other Figures.

daughters, Keiko, her daughter by her Japanese husband. On the other hand, by staying in England, and in her English home, that is, by refusing to move from her new home, Etsuko does keep her second daughter, Niki, her daughter by her English husband. Sachiko, the second heroine in this novel, represents the opposite pattern. This second heroine, Sachiko fails to fulfill her dream of going to America with an American husband and stays in Japan instead. By not moving internationally, luckily for her, she keeps her daughter Mariko. Instead of moving internationally, she moves intra-nationally to central Japan to live with her uncle in Kobe. Here, Sachiko's international opposition between moving and settling is weakened into a geographically less distant opposition. Similarly, for Etsuko, the geographically great opposition between Japan and England is reduced to a geographically small opposition between her English home town and a new one in Britain. Just as for Sachiko, the geographical difference between Nagasaki and Kobe is only a small one, so for Etsuko, it is a small geographical difference between her home near London and a new home elsewhere in Britain, though in the end Etsuko dismisses the idea of this small move and chooses to stay in her original home. By replacing the strong opposition with the weaker one, Etsuko, or Ishiguro, psychologically attempts to overcome the international difference in reality that she or he faces in life in England as a Japanese. Only with this mediating structure of weakening oppositions in mind, can we appreciate the comment that Niki, Etsuko's second daughter, makes about her mother's idea of moving out of the house in the final scene of the novel:

- (1) "I was just thinking the other day," I [ Etsuko ] said, "perhaps I should sell the house now."  
 "Sell it?"  
 "Yes. Move somewhere smaller perhaps. It's just an idea."

"You want to sell the house?" My daughter [ Niki ] gave me a concerned look. "But it's a really nice house."

"But it's so large now."

"But it's a really nice house, Mother. It'd be a shame."

"I suppose so. It was just an idea, Niki, that's all."

(*Pale*, p.183 (Chap.11))(underline mine otherwise indicated)

The same discursal implication can be seen in the following lines at the beginning of

*The Remains of the Day*:

- (2) "You realize, Stevens, I don't expect you to be locked up here in this house all the time I'm away. Why don't you take the car and drive off somewhere for a few days? You look like you could make good use of a break."

(*Remains*, p.3)<sup>4</sup>

What is thematically important here is that Stevens never moves out of the Manor. After his 'break', he returns and remains there, though not in completely the same environment. This is also the case with Ishiguro's long novel, *The Unconsoled*, in which towards the end of the story, the narrator narrates as follows:

- (3) I filled my coffee cup almost to the brim. Then, holding it carefully in one hand, my generously laden plate in the other, I began making my way back to my seat.

(*The Unconsoled*, p. 535)<sup>5</sup>

'My seat' here is a seat in a tram. After taking his breakfast at the rear of the tram, the world-travelling pianist here too RETURNS to his seat in the tram.

The extract from his latest novel, *When We Were Orphans*, below shows us the stage he has reached through his mother or his mother's love for him; that is, no

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[4 ] The passage is from K. Ishiguro (1989) *The remains of the day* (London: Faber and Faber).

[5] The text is K. Ishiguro (1995) *The unconsoled* (London: Faber and Faber).

change in location and in time:

- (4) What I mean is, I realised that she'd never ceased to love me, not through any of it. All she'd ever wanted was for me to have a good life. And all the rest of it, all my trying to find her, trying to save the world from ruin, that wouldn't have made any difference either way. Her feelings for me, they were always just *there*, they didn't depend on anything. I suppose that might not seem so very surprising. But it took me all that time to realise it.

(*Orphans*, p. 305-306) (italics original)<sup>6</sup>

Here we will turn our attention to the right-hand diagram in Figure 1. In *A Pale View of Hills*, Sachiko, the second heroine, witnesses a woman drowning her baby in the ruins of air-raid Tokyo just after the war. We can diagram this as a parallel of the left diagram. The parallelism shows us that our transition from one era to another is accompanied by a big loss, just as Etsuko's moving from Japan to England was accompanied by her daughter's death. What is implied here is clear: negative evaluation of a big change in time.

This is also the case with *The Artist of a Floating World*. Ono, the hero of this novel, is a nationalist artist who supported his country on its disastrous path into war, from which New Japan emerged. The painter, who, as it were, helped bring about the transition in time, is denied a future. He has two daughters and one grandson, the child of one of the daughters. His only son, Kenji, is dead, and his grandson will inherit his father's family name. Without a son or a grandson to inherit his family name or his artistic tradition, the hero painter is denied a future. Five years after the end of the war he says to Matsuda, his nationalist friend:

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[6] The text used is K. Ishiguro (2000) *When we were orphans* (London: Faber and Faber).

(5) 'Indeed, I've been most fortunate as regards my daughters.'

(*Artist*, p.198 (June 1950))

These words imply his lament over his life without a son. His nationalist friend, Matsuda, is not married and he is also denied a future because he has no son. This is why towards the end of the novel, at Matsuda's house, Ishiguro has them meet a boy in a tree in the neighbour's garden. The lines go as follows:

(6) It was while we [ Ono and Matsuda ] were standing at the edge of the pond, looking into the thick green water, that a sound made us both glance up. At a point not far from us, a small boy of about four or five was peering over the top of the garden fence, clinging with both arms to the branch of a tree. Matsuda smiled and called out:

'Ah, good afternoon, Botchan!'

:

...But he [ the small boy ]'s shy and if I [ Matsuda ] try and speak to him he runs away.'

(*Artist*, pp.200-201 (June, 1950))

Towards the end of the story, the hero, Ono, sees 'groups of employees in their bright white shirtsleeves emerging from the glass-fronted building' for lunch. They are of course the young people who belong to New Japan, but none of them belongs to the painter. Ono and Matsuda, both played a positive role in changing Old Japan into New Japan, though it did not turn out the way they hoped it would. And in the process of transition, a lot of people suffered great hardships. In this way, also in *An Artist of the Floating World*, a big transition in time is negatively evaluated.

#### 4.5.2.2 *The Remians of the Day*

By considering the closely parallel relations of the two diagrams in Figure 1, we can

see that someone has to die when one makes a big change in location or in time. Our next topic is *The Remains of the Day*, in which these two dimensions are again closely interrelated, both resisting a change.

Before discussing *The Remains of the Day*, I wish to recall remarks made by the French structural anthropologist Claude Lévi-Strauss, who stated that the function of myths is to reduce oppositions encountered in reality, of which some can be overcome, but others cannot. I discussed this in 3.4.3.1 in Chapter 3. In his *Savage Mind*, he says: 'Mythical thought always progresses from the awareness of oppositions toward their solution'. (SA 1:224) Thus the purpose of myth is to provide a logical model capable of overcoming a contradiction. Myths provide an imaginable solution to real contradictions perceived in society. They progressively mediate the contradiction felt between the two opposite terms like Life and Death and replace one opposition with weaker oppositions until we no longer feel the contradiction or until we feel it easy to overcome. I assume that, as I have discussed in Chapter 3, in the mediation the same opposition-weakening process is taking place. Through his works, Ishiguro attempts to give a solution to the two contradictory terms of JAPAN vs BRITAIN and PAST vs PRESENT. Ishiguro unconsciously hopes to solve the irreducible form of antitheses that can be expressed in these abstract pairs, JAPAN vs BRITAIN paralleling PAST vs PRESENT. And I hope my discussion so far proves the correctness of my assumption about Ishiguro's view of his life as composed of two sorts of duality, spatial and temporal.

Now I will go back to the discussion of *The Remains of the Day*. Figure 2 below illustrates that *The Remains of the Day* has the same structural network, one that gradually reduces the original contradiction by replacing one opposite pair with a weaker one until we feel it easy to overcome:

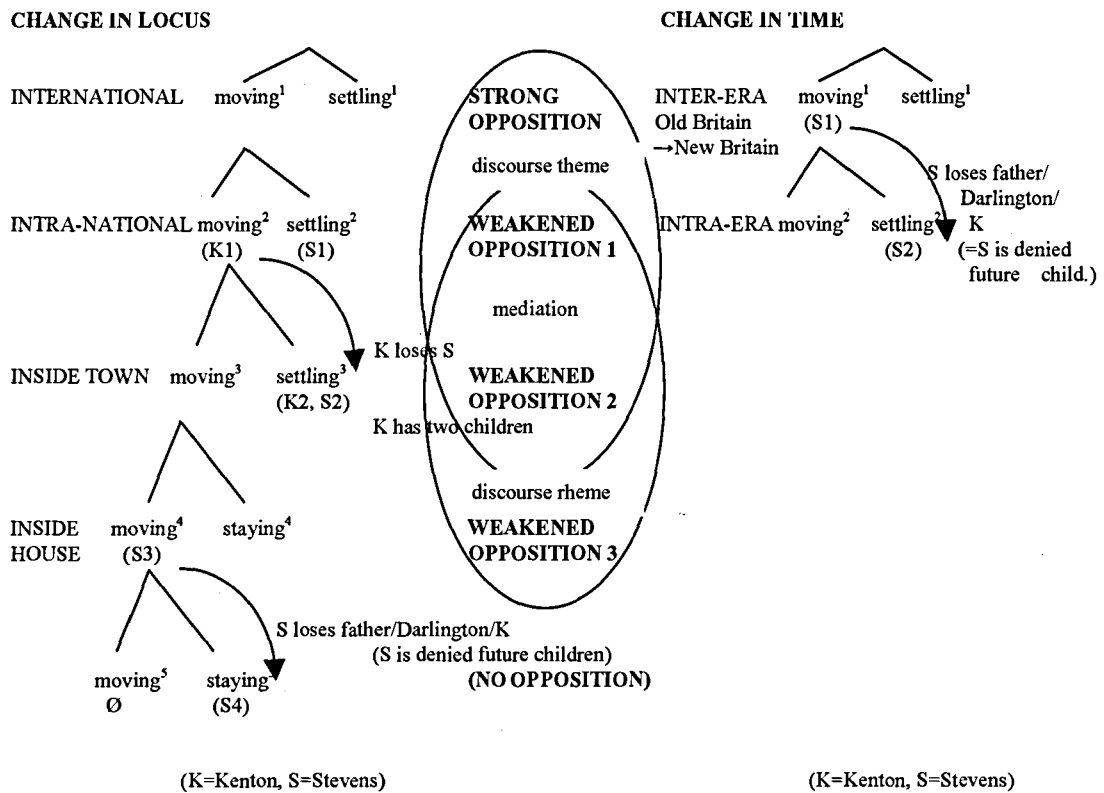


Figure 2

The Remains of the Day

The strong international opposition at the top level that Ishiguro presented in *A Pale View of Hills* is now mediated into a weak opposition of Upstairs vs Downstairs. In the first part of the novel, Stevens's father dies upstairs, while on the ground floor an international secret meeting is held. In the second half of the novel, an international meeting with Ribbentrop, the German Ambassador, is held upstairs, while on the ground floor, Stevens and Miss Kenton separate. The two events—the international affairs and the family affairs—are combined with two geographically contrastive places, namely, Upstairs and Downstairs, in an antithetic manner. Though the opposition between Upstairs and Downstairs is smaller than that between Japan and Britain, the hero still loses his father due to old age, and Miss Kenton or his future. However, compared with Etsuko's loss of her Japanese daughter or the Tokyo



Woman's drowning of her baby in the ruins of Tokyo, Stevens's loss is small. Namely, in the weakened oppositions the hero's loss is attenuated. He loses his father, but this is due to old age. He may lose Miss Kenton and may not have a child or a future (because he would not have a child), but he does not positively cause the death of a human being.

Also in this work, the CHANGE IN LOCUS parallels the CHANGE IN TIME. Stevens, helping Lord Darlington, assists Britain in its transition into New Britain after its great difficulties in war, which in turn causes Darlington's suicide. Lord Darlington himself brings about the consequent social change in Britain and is denied future by not having a child. Also in this novel, resistance to change is thematically implied.<sup>7</sup>

#### 4.5.2.3 *The Unconsoled*

My next discussion is about a story of a world famous pianist in *The Unconsoled*. The pianist is traveling worldwide. The pianist's name is Ryder, the same name as a big moving company in the US, 'Ryder', a suitable name for a world-traveling pianist.

As the tree diagram in Figure 6 below shows, here also several strong oppositions are mediated down to a weak one of moving inside a tram:

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[7] Ono and Stevens are positively rationalizing 'past', but not 'past "professional" failures'

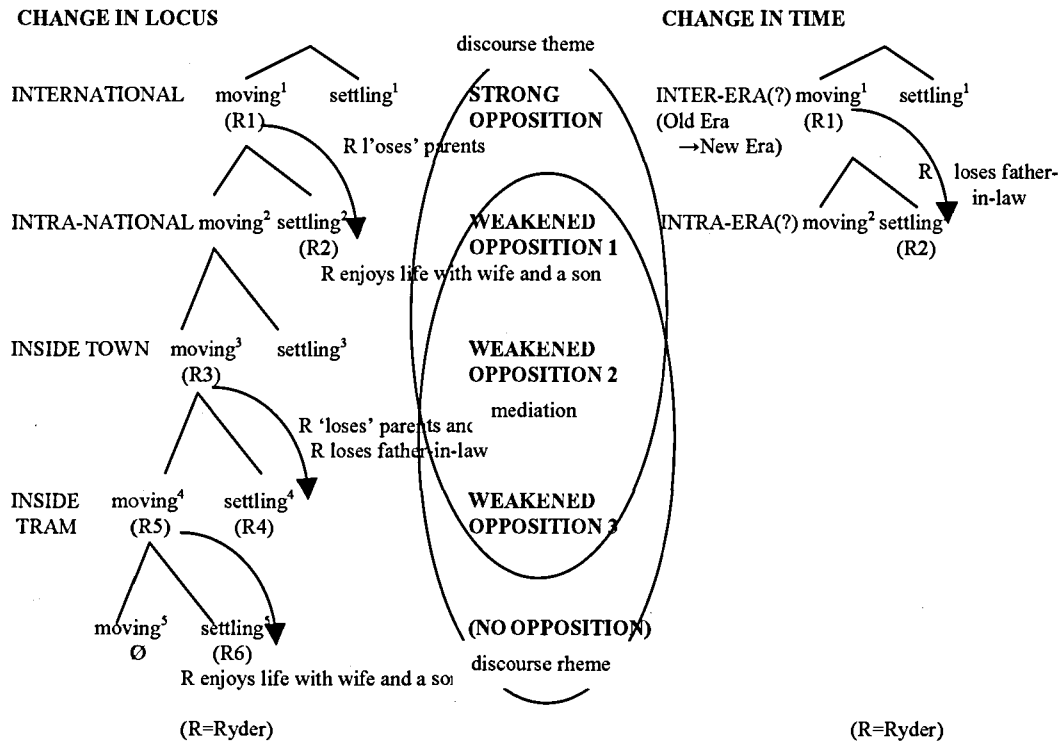


Figure 3  
The Unconsoled

The hero comes back to a Hungarian city, in which he travels from his hotel to several areas in the city and returns to the hotel every time he goes out. This story ends with the hero's moving from his seat on the tram to the back of it to take a delicious breakfast, and returning to his seat. Moving in the world is geographically reduced to moving in a city and then to moving in a tram:

- (7) I filled my coffee cup almost to the brim. Then, holding it carefully in one hand, my generously laden plate in the other, I began making my way back to my seat.  
(*The Unconsoled*, p. 535)

In the process of reduction of oppositions, there is certainly of a death, that of Ryder's father-in-law, but this is almost like a death due to old age. The hero does not positively cause his death. Also the hero's parents never appear before him. Again

there is no positive act by the hero to make them disappear. And at the bottom of the diagram, weakest in opposition, the hero seems to be promised to live with his wife and son in the city. How about the change in time in this novel? The right diagram shows no big change in time.

As I argued in 3.3.1 in Chapter 3, in discourse analysis, what is called 'discourse' consists of 'text', a linguistic stretch of language, and 'context', or roughly speaking, things that surround the 'text' (Cook 1989, 1994, Downes 1998). In understanding a literary discourse, it is not enough to specify what the pronoun 'it', for example, refers to in Niki's comment on her mother's plan to move to a smaller house. In (1) above, Niki says, 'It'd be a shame'. The pronoun 'it' anaphorically and cohesively refers back to her mother's plan of moving out. But this identification of cohesion is not enough for the appreciation of a literary discourse. Considering the discussion I have made so far, what Niki discursively means is: It would be a shame to move out of the house into a new one because it might cause another disaster like someone's death. For the same reason, the butler, Stevens, returns to Darlington Hall after his brief excursion and he stays there; and Miss Kenton never says yes to Stevens, who wants her to move back to the Hall with him. Instead she stays with her family in a small port town. Following the same scheme, the world famous pianist, Ryder, decides to settle in the Hungarian city where his wife and son live, not returning to Britain, the original place where he was born and his parents live. And he returns to the hotel in the city several times and in the end he goes back to his seat on the tram with breakfast, gradually making distance smaller. All these discursively imply the further weakened state of MOVING, or CHANGE IN LOCATION.<sup>8</sup>

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[8] We may call this the process of reduction of 'disconnection' caused by 'misunderstandings

#### 4.5.2.4 *When We Were Orphans: No CHANGE IN TIME or LOCUS*

In his newest novel, *When We Were Orphans*, there appear zero oppositions in Time and Location, as is naturally expected, when the hero says as follows:

- (8) What I mean is, I realised that she'd never ceased to love me, not through any of it. All she'd ever wanted was for me to have a good life. And all the rest of it, all my trying to find her, trying to save the world from ruin, that wouldn't have made any difference either way. Her feelings for me, they were always just *there*, they didn't depend on anything. I suppose that might not seem so very surprising. But it took me all that time to realise it.

(*Orphans*, p. 305-306) (italics original)

#### 4.5.3 CONCLUSION OF 4.5

So far I have compared five of Ishiguro's novels to show that through his theme of moving internationally and experiencing a big cultural change, the topic or discourse theme is progressively mediated through the weaker oppositions into the comment about the topic, or discourse theme. At the stage of discourse theme, there are no oppositions or there are only small oppositions that mean almost no psychological burden. I will conclude this section with a small interpretation of a phrase in *The Unconsoled*; that is, the phrase 'Number Nine', or the name of a toy football player of whom Ryder's son, Boris, is a great fan. Anyone who was born or lived in Nagasaki connects this figure 9 with the 9th of August, 1945, not with the centre forward of football. However, as the last diagram shows, the disaster that Nagasaki experienced in the summer of 1945, a historical disaster that is placed in parallel with his own

traumatic experiences of moving to Britain, seems to have been given a psychological solution in Ishiguro's mind through the mediations of the episodes that gradually reduce the original difficult experiences to something that is surmountable in his mind.

## 4.6 THE PALACE OF POE: HOW PAST GLORY IS MEDIATED INTO PRESENT 'PLEASURABLE' FALL<sup>1 2</sup>

### 4.6.1 INTRODUCTION

The purpose of this section is to examine Edgar Allan Poe's short poem, 'The Haunted Palace', in a functional perspective, i.e., how his discourse theme, PAST GLORY, is mediated, through various transformational devices, into the discourse rheme, PRESENT FALL. In this short work embedded in *The Fall of the House of Usher*, we can see his exquisite skills in using poetic devices which are at their fullest evolutionary peak. Unlike Old English poetry, which was only delivered orally, or Medieval poetry, which was circulated in manuscript but transmitted largely through the medium of sound, this 19th century work of poetry adds to this type of delivery a number of different transmittal aspects characteristic of those circulated in print. Just as with Shakespeare's play within *Hamlet* and Roderick Usher's *Mad Trist* in Usher's *Fall*, this mystery writer foretold his own future to the readers. First, I critically examine the arrangements of rhymes and phonological, lexical and grammatical items, the stylistic features of which are a good example of his skill in using the stylistic results of the evolution of English, and then consolidating these facts, I will show what the author intended to convey to us through this text.

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[1] An earlier version of this section was read at the 6th conference of the Japanese Association for Semiotic Studies, Tokyo, 1986, and published in *Studia Semiotica* 9 (Semiotics of City), Tokai University Press, Tokyo, 1989. This revised version was read at the Linguistics and Literary History Conference, Trinity College, Cambridge University, UK, 1996.

[2] The extracts from Poe's works are taken from *The complete tales and poems of Edgar Allan Poe*, edited by James A. Harrison, the AMS Press Inc., New York, 1965.

## The Haunted Palace

- |   |   |
|---|---|
| <p>1 In the greenest of our valleys<br/> 2 By good angels tenanted,<br/> 3 Once a fair and stately palace—</p> <p>I 4 Radiant palace—reared its head. IV<br/> 5 In the monarch Thought's dominion—<br/> 6 It stood there!<br/> 7 Never seraph spread a pinion<br/> 8 Over fabric so fair!</p> <p>1 Banners yellow, glorious, golden,<br/> 2 On its roof did float and flow,<br/> 3 (This—all this—was in the olden<br/> II 4 Time long ago.) V<br/> 5 And every gentle air that dallied,<br/> 6 In that sweet day,<br/> 7 Along the ramparts plumed and pallid,<br/> 8 A wingéd odor went away.</p> <p>1 Wanderers in that happy valley,<br/> 2 Through two luminous windows, saw<br/> 3 Spirits moving musically,<br/> III 4 To a lute's well-tunéd law, VI<br/> 5 Round about a throne where, sitting,<br/> 6 (Porphyrogene!)<br/> 7 In state his glory well befitting,<br/> 8 The ruler of the realm was seen.</p> | <p>1 And all with pearl and ruby glowing<br/> 2 Was the fair palace door,<br/> 3 Through which came flowing,<br/> 4 And sparkling evermore,<br/> 5 A troop of Echoes, whose sweet duty<br/> 6 but to sing,<br/> 7 In voices of surpassing beauty,<br/> 8 The wit and wisdom of their king.</p> <p>1 But evil things, in robes of sorrow,<br/> 2 Assailed the monarch's high estate,<br/> 3 (Ah, let us mourn!—for never morrow<br/> 4 Shall dawn upon him desolate!)<br/> 5 And round about his home the glory<br/> 6 That blushed and bloomed,<br/> 7 Is but a dim-remembered story<br/> 8 Of the old time entombed.</p> <p>1 And travellers, now, within that<br/> valley,<br/> 2 Through the red-litten windows see<br/> 3 Vast forms, that move fantastically<br/> 4 To a discordant melody,<br/> 5 While, like a ghastly rapid river,<br/> 6 Through the pale door<br/> 7 A hideous throng rush out forever<br/> 8 And laugh—but smile no more.</p> <p>(Vol. III, 284–286)</p> |
|---|---|

'Now hear it? — yes, I hear it, and *have* heard it. Long—long—long—many minutes, many hours, many days, have I heard it—yet I dared not—oh, pity me, miserable wretch that I am ! —I dared not—I *dared* not speak! *We have put her living in the tomb !*

(*The Fall of the House of Usher*) (Vol. III, 295–296)

Words, when orally delivered, are just a succession of sounds. This is what Geoffrey Chaucer pointed out in his *House of Fame*. He said that words are nothing but air. If we go back to literary works in Old English like *Beowulf* or *The Battle of Maldon*, when they were delivered orally, those who transmitted or listened to the work never dreamed of considering the visual aspect of the arranged words. In Medieval England, Chaucer's works were circulated in the form of manuscripts, but they were mostly read aloud —

that is, transmitted orally. The court ladies who listened to his works being read most likely did not think of visualizing the spatial formations of words. If there was anyone who was concerned about the visual arrangements of words or letters, it was the author Geoffrey Chaucer himself. In the 15th century, William Caxton printed Chaucer's *Canterbury Tales* on his printing press and introduced the visual age for literary works for the first time in history.

However, typical stylistic devices such as those given later did not appear until the dawn of the wide circulation of printed books and magazines. To understand Poe's works of poetry, we should consider not only the rise of journalism, a new mass media of wide circulation and one which formed Poe's working milieu, but also the fact that the 19th century saw the birth of a new literary genre, detective stories, which popularized the use of stage properties of the time such as candles, letters written in invisible ink, buried treasure on islands and so forth. Nineteenth century America was the time of 'reason.' The purpose of this chapter is to focus upon the visual aspects of one work of poetry by Edgar Allan Poe, 'The Haunted Palace', which was contained in *The Fall of the House of Usher*, 1840. In this poem Poe fully used a wide variety of features of the English language and the stage properties of the time. By analyzing these features of language and story properties in the context of the 19th century, we can develop a deeper appreciation of this work, and only then will Poe, both figuratively and literally, 'rise' from this 19th century text.

#### 4.6.2 THE WHIRLPOOL STRUCTURE: A GRADUAL MEDIATION



I will divide my analysis of this text into three parts: first, I will concentrate upon the most outer layer of the text, Stanzas 1 and 6; second, upon the next layer, Stanzas 2 and 5; third, the central core of the text, Stanzas 3 and 4. The outer two parts form two layers of concentric circles around the core, or the innermost part of the text. Here we should remember Poe's favorite maelstrom. In the final part I will explain how he reappears before our eyes like the narrator who is sucked into a maelstrom rises to the surface again losing everything he had. In this six stanza poem, the discourse theme, PAST GLORY, is gradually mediated or transformed into the discourse rheme, PRESENT FALL, through various manipulations of stylistic devices.

#### 4.6.2.1 *The outermost circle: Stanzas 1 and 6*

Before going into the discussion of the outermost circle of Stanzas 1 and 6, I would like to present an overall view of the text. If we take a look at the supernatural animate nouns that appear throughout the text, that is, nouns with the semantic features of [-NATURAL] and [+ANIMATE], we see that they are arranged concentrically. These nouns are: in the first stanza, *I-2angels* and *I-7seraph*; in the third stanza, *III-3Spirits*; in the fourth stanza, *IV-5A troop of Echoes*; and in the last stanza, *VI-3 forms* and *VI-7A hideous throng*. There are no such nouns in Stanzas 2 and 5. In this mirror symmetry we see there is a transition of theme from [-OMINOUS] to [+OMINOUS]:

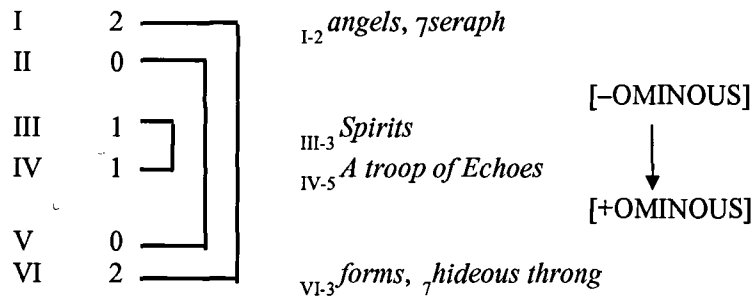


Figure 1

Prevailing ominous undertones

If we divide each stanza of eight lines into a pair of quatrains, we still see there a mirror arrangement of these items. In the first stanza, I-2 *angels* is placed in the first quatrain, I-7 *seraph* in the second quatrain, which faces the last stanza where we see the same arrangement, that is, VI-3 *forms* in the first quatrain, VI-7 *A hideous throng* in the second quatrain. In the third stanza, the only supernatural noun III-3 *Spirits* is placed in the first, or outer, quatrain; whereas, in the fourth stanza which is facing the third, the only supernatural noun phrase IV-5 *A troop of Echoes* is placed in the second, or again outer, quatrain. Edgar Allan Poe called some of his stories 'tales of ratiocination'. Thinking of his emphasis of rationalism and a well-balanced ratio in the arrangement of these supernatural nominals in this text, we may say that this is also a text of ratiocination. All these symmetrical arrangements iconically support the thematic transition from [-OMINOUS] to [+OMINOUS]:

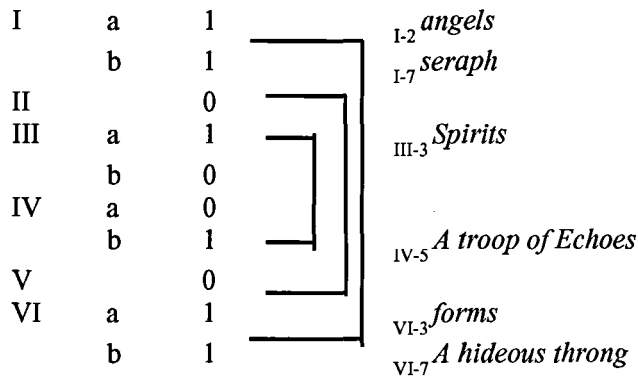


Figure 2

Balanced distribution of supernatural nominals

We can see another parallelism supporting this concentric structure in the allocation of six colour terms: I-1*greenest*, II-1*yellow*, III-6*Porphyrogene*, IV-1*ruby*, V-6*blushed and bloomed*, and VI-2*red*. One colour term or phrase is allocated to each stanza:

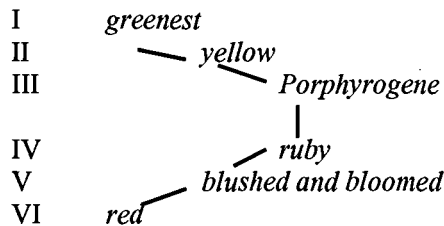


Figure 3

Into more ominous tones

They all show a gradual change in tone from 'green' to 'red'. III-6*Porphyrogene* is purple and IV-1*ruby* crimson red. The first term I-1*greenest* is on the chromatic scale opposed to the last VI-2*red*, forming an opposite relationship and thus supporting the thematic change from the first half of the text to the second half.

4.6.2.2 *The second circle: Stanzas 2 and 5*

Now, let us examine the second outer layer of the text, Stanza 2 and Stanza 5. There is a gradual transition of theme from supreme happiness in the past to the present fall of the main character in the poem, which, as we saw, was supported by the chiasmic arrangement of linguistic items. Between these two states, we can see two ‘transitional states’. In one of these two, the ‘happiness’ begins to be overshadowed, and in the other this ‘happiness’ shows a last flicker. Before treading deeper into Poe’s inmost world, we should see that the two areas of transition to and from this world of Poe iconically parallels these two Stanzas, 2 and 5.

Stanza 2 is a transitional stanza in which an ominous shadow begins to come over supreme ‘happiness’, the first orchestral theme represented by the colour term *I-1 greenest* in Stanza 1. With the colour term *II-1 yellow* in Stanza 2, we see a slight tinge of foreboding, the first appearance of the second theme, ‘fall’. Stanza 5, on the other hand, is the place where the first theme of PAST GLORY flickers for the last time. These two transitions are iconically represented by a change in verb tense.

The parallelism between the transition in theme and the change in tense is as follows: The ‘pastness’ of the first theme ‘past bliss’ is realized in the last ‘main’ verb, *v-2 Assailed*, which is located in the second line, Stanza 5, a verb with the feature [-PRESENT]. Furthermore this ‘pastness’ is downgraded and it is realized in the ‘subordinate’ verb *v-6 blushed and bloomed*. In the same stanza, in the next line, the ‘main’ verb *v-7 Is* with the feature [+PRESENT] replaces this theme of pastness and past bliss. This Stanza 5 is a transitional stanza in which the original theme of ‘past bliss’ vanishes.

To reinforce this transition, the future is also denied, as seen in the expressions v-3,4 *never morrow / Shall dawn*, and this confirms the second theme, or the discourse rheme, of PRESENT FALL.

Paralleling these verbal arrangements, in these two second outer stanzas there are two phrases which stand for 'time buried away': they are, first in Stanza 2, II-3, 4 *the olden / Time long ago*; and second, in Stanza 5, v-8 *the old time entombed*.

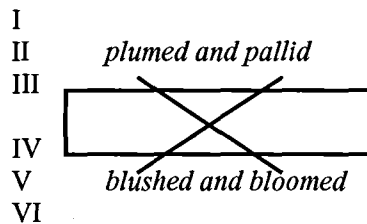
As we have now seen, these second outer stanzas, 2 and 5, are given the role of transition in theme; that is, the former containing the 'beginning' of the transition, and the latter, the 'ending' of the transition.

This coupling of 'beginning' and 'ending' further parallels the phonological contrast of /p/ and /b/, both bilabial plosives, and different only in voicing: II-7 *plumed and pallid* and v-6 *blushed and bloomed*. In other words, the 'beginning' is linked with the voiceless bilabial plosive /p/; whereas, the 'ending' is linked with the voiced bilabial plosive /b/. We have come far enough that we can say that these two different phonemes are so placed that one contrasts with the other in 'voice'. Here we should remember Roderick Usher's laments, which I quoted at the beginning, below the text of this poem, saying he hears his sister's voice coming out of the ground. We see this phonological contrast realized at the head of each word in the two phrases. In these phrases the two words are linked together with the coordinate conjunction *and*. The first coordinated phrase, II-7 *plumed and pallid*, appears in Stanza 2, the first transitional stanza. On the other hand, the second coordinated phrase v-6 *blushed and bloomed* is placed in Stanza 5, the second transitional stanza.

We also see that these coordinated phrases are placed in parallel to enclose the central stanza group. The first word in this first coordinated phrase II-7 *plumed* and the second word in the second phrase v-6 *bloomed* are both linked with the masculine rhyme

/-lú:md/ forming the rhyming pair *plumed–bloomed* and contrasting with each other by the opposite head phoneme of /p/ and /b/. Moreover, both of these rhyming words have the form *-ed*. The remaining two words, II-7 *pallid* and V-6 *blushed*, are linked with the masculine rhyme /-Id/ and differ in voice at their head sound. These two coordinated groups are the only phrases with the coordinate conjunction *and*, further emphasizing the phonological and then ‘semantic’ contrast of /p/-/b/, which I discuss below.

By drawing a crossing line between these rhyming pairs, we get the following diagram:



*Figure 4*

A coffin-like square

Here looming up is a coffin-like square at the central stanza pair. Before discussing this square we would like to talk about how far Poe was conscious of this sound contrast of /p/-/b/.

I would like to give several examples of this phonological contrast, both in poetry and prose, to reach the convincing conclusion that Poe deliberately used this opposition to signal a particular semantic contrast. In his *The Oval Portrait* one passage goes: ‘I thus saw in vivid light a *picture* all unnoticed before. It was the *portrait* of a young girl just ripening into womanhood. I glanced at the *painting* hurriedly, and then closed my eyes’. (Vol. IV, 246)(italics mine) Here we see a succession of /p/ sounds: *picture–portrait–painting*. They are all key content words referring to the same object.

Another example is ‘pleasurable pain’ (Vol. V, 255) in *The Premature Burial*. In this title *The Premature Burial* we also see a contrast of voiced and voiceless. Another example in the title itself: *The Pit* and the *Pendulum*. Here also we see the above-mentioned phonological correspondence. Some others are ‘black plume’ in ‘The Raven XVII’ (‘The Raven’ Vol. VII, 94-100); ‘the pallid bust of Pallas’ also in ‘The Raven XVIII’; ‘Bird or beast upon the...bust’ also in ‘The Raven IX’; ‘bird and bust’ in ‘The Raven XII’; and ‘burial before death’ (Vol. V, 263) in *The Premature Burial*. Here we now clearly see in this title *Premature Burial* that the two head sounds, *The Premature* and *Burial*, contrast in voice. Also in *The Murders in the Rue Morgue*, one ‘Ourang-Outang’, symbolizing uncivilized Borneo, is brought to Paris, a symbol of reason and civilization, and causes incidents. Here voiced /b/ in ‘Borneo’ (Vol. IV, 188) stands for non-reason and non-civilization; whereas, voiceless /p/ in ‘Paris’ reason and civilization. ‘The Parisian police’ (165) and ‘the Prefect of Police’ (167) of Paris, who is the friend of ‘Dupain’, does a desperate search before they arrest this ‘brute beast’ (184–185) in the ‘Bois de Boulogne’(183). In this prose, it is clear that voiceless /p/ is linked with reason; while, voiced /b/ is linked with non-reason and wilderness.

This contrast of /p/–/b/ iconically represents two reversed worlds. Phonologically, these two bilabial plosives differ in voice; that is, voiceless or voiced, or, unmarked or marked. Graphologically, or in terms of grapheme, these two letters significantly differ in whether there is a ‘descender’ (p) or an ‘ascender’ (b) on the left side of a circle: p /pí:/ versus b /bí:/.<sup>3</sup>

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[3] For a discussion of grapheme, see Quirk *et al.* (1985: Chapter 1.12).

4.6.2.3 *The central stanza group where the king resides*

Now let us go on to the central pair of stanzas, 3 and 4, examining the following four facts: that *-ing* forms converge in this pair; that what Poe calls the most ‘sonorous’ sound,<sup>4</sup> that is, the long open back vowel /ɔ:/ is used twice in the first masculine rhyme; that we see anagrams; and that a thematic change realizes itself visually by a change of grammatical voice, by a letter inversion, and by a transition from daylight to night. These four points — *-ing* forms, a sonorous /ɔ:/ sound in the masculine rhyme, anagrams, a visual thematic change — are what we are going to discuss now.

First, let us look at the convergence of the *-ing* forms, both verbals and adjectives, in this central pair of stanzas. These *-ing* forms are, first in Stanza 3, III-3 *moving*, *sitting*, and *well befitting*; and in Stanza 4, IV-1 *glowing*, *flowing*, *flowing*, *flowing*, *sparkling*, and *surpassing*. To this we may add the noun IV-8 *king* in Stanza 4. This is the only noun with the sound shape of /-ɪŋ/ and, this word, being placed at the end of the succession of *-ing* forms, becomes foregrounded. We shall soon return to this specially foregrounded word *king*. In this way these *-ing* forms converge in this central pair of stanzas. In Stanzas 2 and 5 we find two words which have the sound shape of /-ɪŋ/ inside them. In Stanza 2, this form is changed into an adjective by an addition of *-ed*, as with II-8 *wingéd*, and in Stanza 5, this *-ing* form ends with the plural ending *-s*, as with V-1 *things*. Poe carefully avoided /-ɪŋ/ at the end of words, thus making it possible for this *-ing* form to appear only in the central pair of stanzas.

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[4] Poe, E. A. (1965). The philosophy of composition. In Harrison, James A. (ed.), *The complete tales and Poems of Edgar Allan Poe*, Vol. XIV, 200.



Examining the first masculine rhyme pairs (III-2*saw* : 4*law* ; IV-2*door* : 4*evermore*) we see that these two pairs are identical in their rhyming sound / ɔ: / and this fact also contributes to strengthening the tie of the two central stanzas.

These facts which we have discussed so far highlight the central stanza pair, the innermost part of the text.

These Stanzas 3 and 4, or the core of 'maelstrom' or the core of concentric circles, are the place where Poe's self-consciousness is verbally and eminently realized. Above. I pointed out that IV-3*king*, which has an *-ing* form, is foregrounded in the stanza. So is the co-referential III-3*ruler*. *The ruler* through paronomasia is linked to his domain to which he stands in a metonymical relationship (*the ruler of the realm*), and furthermore, by alliterating IV-1*ruby* (*ruler-ruby*) embedded in the 'palace door', it has the function of consolidating these two central stanzas. We may say that in this part Poe presented the one who dwells, or 'king' or 'ruler', in the innermost realm, the 'palace'. Here we should pay special attention to this *king* or *ruler*. In the second section, where I discussed Stanzas 2 and 5, I pointed out that Stanzas 2 and 5 were where the contrastive pair of p / b was foregrounded. In this central stanza group, the word with the voiceless bilabial plosive /p/, which, we should remember, represented 'reason', collapses. The word III-6*Porphyrogene* meaning 'Born in the purple' is the only citation in the *Oxford English Dictionary (OED)*, a word which is labelled 'rare'. Poe coined this word for the use here. If we carefully look at this special word, it is not impossible to find here his name P-o-e anagrammatically embedded twice, as in the way of

(1) *Porphyrogene* (Po-p-o-e-e)

Phonologically by the alliterative /p/ sound, visually by the anagrammatical embedding, the sound and the image of this word standing for 'Born in the purple'

(*OED*) links with the author Poe. In the other stanza of the central pair again, Poe with subtlety embedded one phrase with his ‘dismembered’ name. It is the phrase in line 5, *iv.5 A troop of Echoes*. In this Stanza 4, the voiceless bilabial plosive /p/ repeats itself in *1pearl – 2palace – 4sparkling*, which is then followed by the repetition of /oʊ/ in *1glowing – 3flowing, flowing, flowing*. The sound complex of /p/ and /oʊ/ further converges upon the following phrase *A troop of Echoes*, which has the sound shape /p...oʊ/ embedded inside, forming an echo rhyme. Thus, the aforementioned red *ruler* or foregrounded *king* whose name is Poe echoes among those who praise him:

I		
II		
III	Po-p-o-e-e	alliteration /p/ + anagram
IV	A troop of Echoes /p..oʊ/	echo rhyme + anagram
V		
VI		

*Figure 5*  
Poe lying in the coffin

This technique of embedding his divided name into a text is also used in *The Purloined Letter*, a prose work which the French psychoanalyst Jacques Lacan analyzed at the beginning of his *Écrits*, though his highly theoretical analysis does not provide us with the clue to the one who wrote this letter, the very thing that we would like to know. In this prose, the letter in question is placed in Minister D-’s room, to use the author’s description in ‘a trumpery fillagree card-rack of pasteboard, that hung dangling by a dirty blue ribbon, from a little brass knob just beneath the middle of the mantelpiece’. Here we also see a whirlpool structure, that is, the Minister’s room lies in the outermost circle, then the mantelpiece, and in the very center of them, stands the letter.<sup>5</sup> The

[5] If we use Lakoff & Turner (1989: 103)’s cognitive metaphorical analysis, the letter and

adjectival modifier of this prose 'Purloined', which this French psychoanalyst calls 'rare' (39),<sup>6</sup> appears to have the same anagram in itself. The author's name is divided into three separate letters, *p-o-e*, and buried in this rare modifier as in:

(2) *Purloined* (P-o-e)

The very person who signed this letter is thus Poe himself.

In this work, in front of the fire of the mantelpiece, the author's name, as if written in invisible ink, appears before our eyes. The same stage property is also used in *The Gold-Bug*. In this work, a skull and a cryptogram emerge on the parchment, just like the anagram which lacks identity as a word.

We now see that, from the above discussion of the outer-most pair of Stanzas 1 and 6 and the second inner pair 2 and 5, this central stanza group is the very place where the thematic current of this text inverts itself, just as in Poe's *A Descent into the Maelström* in which the hero narrowly escapes the whirlpool, taking a chance when the gyrations become less violent and finally stop, to ascend up to the surface, while his blood brother becomes engulfed in the abyss.

The author presents this change in theme iconically in two visual ways. First, the word III-2*saw* with strong beat at the end of line 2, Stanza 3, by way of the grammatical passive form III-8*was seen* in line 8, a medial stage, reappears in stanza 4 twice in the visually inverted form IV-2*Was... 6Was* in lines 2 and 6. Second, in this central stanza group there are several words and phrases which stand for a change in light, from bright

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mantelpiece, 'mapped by image-metaphors onto male and female genitalia, stand metonymically for sexual vitality'.

[6] Lacan (1972: 39) says, 'the purloined letter, c'est-à-dire qui use d'un mot assez *rare*....' (the purloined letter, a title containing a word rare enough....) (italics mine).

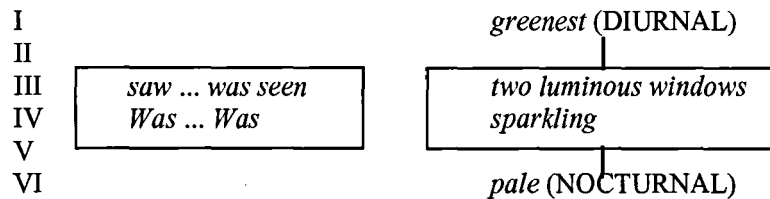
to dark. Earlier in our discussion, I pointed out that the two colour words of I-1*greenest* in Stanza 1 and VI-2*red* in Stanza 6 were in chroma opposite to each other, iconically representing the two contrastive meanings in Stanzas 1 and 6. In addition to this chromatic difference, we should consider 'light' here. The I-1*greenest* in Stanza 1 shows that this is the reflection of bright sunshine, or we should say, the brightest sunshine; on the other hand, in Stanza 6 there is a reflection of VI-6*pale* moon on the door. One of the outermost Stanzas, Stanza 1, has a feature which we may call DIURNAL, representing 'daytime', which is linked to it; while linked to the other outermost Stanza 6 is NOCTURNAL, a textual distinctive feature representing 'nighttime'. With these two opposite stages on the outermost stanzas, the central stanza group features a stage for 'crossing' in which 'daytime' and 'nighttime' meet and encroach upon each other. Here the daylight gradually disappears and the darkness of night creeps in. Please examine the two phrases: III-2*two luminous windows* and IV-4*sparkling*. Furthermore in Poe's prose entitled *Berenice*, the author gives a similar description of the death scene to the death of hero's beloved Berencie, that is the crossroads of life/death:

...the *phantasma* of the teeth maintained its terrible ascendancy, as, with the most vivid and hideous distinctness, it floated about amid the hanging lights and shadows of the chamber.

(Vol. II, 24, original emphasis)

As well exemplified in *Berenice*, the flickering of light serves as a kind of sign which shows a border state dividing two contrastive states, a positive state, and a negative state.

If put together with the visual reversal of letter-succession in the two words *saw-was*, which I stated above, we will get the diagram below:



*Figure 6*  
Other elements that support the coffin

This stylistic type of phonological chiasmas also appears in Poe's 'The Raven'. This is what Roman Jakobson pointed out in his 'Linguistics and Poetics', the analysis of which Professor Randolph Quirk positively endorsed for me at the Applied Linguistics Conference 1988 held in Kyoto, Japan. Roman Jakobson pointed out that the famous phrase of *never* in this poem is repeated in the key word *raven* in a phonologically reversed form. Jakobson's analysis of this part of 'The Raven' goes as,

- (3) The never-ending stay of the grim guest is expressed by a chain of ingenious paronomasias, partly inversive, as we would expect from such a deliberate experimenter in anticipatory, regressive *modus operandi*, such a master in "writing backwards" as Edgar Allan Poe. In the introductory line of this concluding stanza, "raven," contiguous to the bleak refrain word "never," appears once more as an embodied mirror image of this "never : " /n.v.r/-/r.v.n/.
- (Jakobson 1960: 372, original emphasis)

We also see this kind of reversed structure in his prose text, *The Black Cat*. In *The Black Cat* the narrator found his wife buried in the basement wall with their black cat on her head. Prior to this scene, before its final position at the head, this Black Pluto (Here again another example of the usage of /b/ and /p/.), which is the name of this cat, was seen at the narrator's foot, on his lap, and then on his chest. The passage goes as,

- (4) Whenever I sat, it would crouch beneath my chair, or spring upon my knees, covering me with its loathsome caresses. If I arose to walk it would get between my feet and thus nearly throw me down, or, fastening its long and sharp claws in my dress, clamber, in this manner, to my breast.

We now see that in Poe's textual world, the black cat on the head symbolizes a world in which the inverted 'negative state' wins over the 'positive world'. In *The Black Cat* this negative world is the one in which the *b* symbolically rules over the positive world. The *b* is here the first letter of 'black' in 'black cat'.

This motif of reversal also appears in *The Gold-Bug*, another prose text. In this prose a black African slave climbs up from the foot of 'an enormously tall tulip-tree, which...far surpassed...all other trees...in the beauty of its foliage and form' (Vol. V, 109), just as the black cat moves up from the foot to the breast. And at the very top of it, this black slave finds 'a skull'. Blackness stands, as it were, in a metonymical relation with death. Spatially they are both juxtaposed; and temporally it was a crossing stage when 'the sun was just setting', when daytime mingles with nighttime.

We see again this motif in *Narrative of A. Gordon Pym*. In this work, thousands of savages of the black skin climb up the white vessel named Jane and split open and rip up her decks and demolish the 'cordage, sails, and everything movable on deck'.

#### 4.6.3 CONCLUSION OF 4.6

In conclusion, as these examples above show, in Poe's texts 'chiasmus', or the chiasmic arrangement of items or events is related to the mediating textual function that results in 'destruction'. In *The Fall of the House of Usher* or *A Descent into the Maelström*, the narrator approaches the center of the 'House' or the 'Maelström' and then escapes from them. With their reversed moves, in the former prose the brother and the sister sink into

the deep tarn with the house, and in the latter the narrator's brother becomes engulfed by the whirlpool. In *The Gold-Bug* they drop the beetle through the right eye of the skull and then through the left eye. After that they discover buried treasure and skeletons. In this chapter we have discovered Poe's embedded name lying there in the center of the poem like buried treasure. We have seen Poe loom up from the 19th century text.

Roman Jakobson, though he cites in his 'Linguistics and Poetics' a passage from Poe's *Marginalia* which runs 'as evil cannot exist without good' (Jakobson 1960: 363) and calls this author 'a master in "writing backwards"' (Jakobson 1960: 372), seems to pay attention only to Poe's reversals in writing. Now we are fully aware that this author paid more attention to the instant when this reversal in parallelism occurs.

## 4.7 CAT IN THE RAIN AND GEORGE ON THE BED: HEMINGWAY'S OBSESSIVE TRUST IN REALITY<sup>1,2</sup>

### 4.7.1 INTRODUCTION

Few literary texts have been as widely discussed as Hemingway's 'Cat in the Rain'. Among the literary critics and linguists who have joined the discussion are David Lodge, Ronald Carter and Michael Stubbs. Here, applying the assertion of Short (1996: 178) that 'In well-constructed dramatic dialogue, everything is meant by the playwright', I shall examine the effects produced by details of Hemingway's story and the author's underlying message. Why does an American woman look down from their second-floor room at a cat in the rain on the ground, not from the first floor or the third? Why are this cat and the one the maid brought up to her room made difficult to identify as one and the same animal? Why is the cat's identity questionable, while that of George as the woman's husband not? The conclusion we can draw from the standpoint of stylistic and narrative technique is: George's identity is never questioned, because the author places him in the immediate presence of the American woman and emphasizes his reality by referring to him by name, but the cat in the rain is only a linguistically created fiction because it is not placed immediately before the Americans' and, at the same time, the readers' eyes. What Hemingway wanted to convey through 'Cat in the Rain' is the impossibility of reporting things only through

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[1] This section is based on my short essay entitled 'George on the Bed' that appeared in our Modern English Circle's *Newsletter* 3, 1998; and the revised version of my 'Ame no naka no Neko, Bed no ue no George, sosite Kataru Onna' [Cat in the Rain, George on the Bed and a Reporting Woman: Reference and Referent in Hemingway], *Kigoron no Gyakushu* [Revenge of Semiotics] (Tokyo: Tokai University Press) 2002, 194–205.

[2] All references are to Ernest Hemingway, *The Old Man and the Sea* (Scribner Paperback Fiction) (New York: Simon & Schuster Inc.) 1980.



verbal means. Seen from this perspective, two discourse analysts, Carter and Stubbs, were misled by Hemingway's verbal technique to make the cat appear 'small'. They both judge the cat in the rain and the one the hotel maid brought up to be different because the latter appears bigger than the former.

#### 4.7.2 TWO NARRATIVE DEVICES: THE LOCATION OF THE ROOM AND TWO MISLEADING ADJECTIVES

First, I will discuss the two narrative devices, the location of the room and two misleading adjectives, which Hemingway employed to make existential identity ambiguous.

##### 4.7.2.1 *First device: the location of the room*

The question of why the American woman saw a cat from a room on the second floor of the hotel can be answered by considering what would happen if the room were on the first floor? The Americans, or the reader through the Americans' eyes, would see the cat very close and could recognize specific details. At the end of the story, the maid appears at the door of the room with a specific 'big tortoise-shell cat' (a cat seen through the husband's and the reader's eyes), unexpectedly to both the Americans and the readers. Unexpectedly, because the cat is depicted with the two new epithets, 'big' and 'tortoise-shell'. For this to be 'unexpected', the woman must not see the cat from the first floor, where she could see it clearly. At the same time, the third floor appears

to be too distant and contrived as a setting from which to see the cat but to avoid specification. The second floor is, therefore, suitably distant from the cat for the author's purpose to make the cat appear small, while actually leaving it unidentifiable by its size.<sup>3</sup>

#### 4.7.2.2 *Second device: two misleading adjectives*

The second device, which reinforces the apparent smallness of the cat due to the distant location of the room, appears in the following passage:

- (1) The American wife stood at the window looking out. Outside right under their window a cat was *crouched* under one of the dripping green tables. The cat was trying to make herself so *compact* that she would not be dripped on.  
"I'm going down and get that kitty," the American wife said.  
(italics mine) (p. 167)

The second device consists of two words: 'crouched' and 'compact'. The cat could actually be small, but with these two misleading adjectives, we find ourselves facing a cat verbally made to appear small. And even at this early stage, the woman's description of the cat's size is not reliable. These two diminutive adjectives help make us feel it quite natural for the woman to refer to the cat as 'kitty', it being a realization of what she wishes the cat to be like:

- (2) "Yes," she said, "under the table." Then, "Oh, I wanted it so much. I wanted a kitty."

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[3] Dr Hisashi Takahashi, Professor Emeritus of Hiroshima University, Hiroshima, Japan, suggested that all the hotel rooms are situated on the second floor or above. To the device of distant location, as Saito (1996) points out, we can add the effect of rain that obscures the cat's real size.

These two techniques, the location of their room moderately distant from the cat and the two words suggestive of the cat's size, have the effect of concealing from the reader the cat's identity in size and sort, and the woman's word 'kitty' further makes the reader believe that the cat is actually small. And this effect lasts to the final scene of the story, when the reader is brought face-to-face with a big tortoise-shell cat. By carefully employing these verbal devices to make the cat appear small, the author skillfully created this effect of frustrated expectation.

In Carter (1982: 76), Ronald Carter denies the identity of the cat that the maid brought up as the cat in the rain:

- (3) I do not see a correlation here between 'cat' and 'kitty'. To me, this is a grotesque outcome to the kind of associations aroused in me by the word 'kitty'.

Stubbs (1983: 209) draws the same conclusion in his discourse analysis of this short story, arguing that the maid's is 'a different cat':

- (4) My interpretation is therefore that Hemingway implicates that it is not the same cat. He does this by inserting information which is otherwise irrelevant: that the maid brings *a big tortoise-shell cat*. Informally, we might say that there is no reason to mention what kind of cat it is, unless this is significant, and unless we are expected to draw our own conclusion.

These two discourse analysts are misled to this conclusion about the maid's cat by the stylistic and narrative devices that make the cat in the rain appear 'small', and that make it impossible to identify the two cats as one and the same.

To sum up, these two devices, the location of the American tourists' hotel room and the two adjectives discussed above, serve to make it impossible to identify the cat in

the rain.

#### 4.7.3 A SINGLE WITNESS

Another device that makes the cat's identification difficult is the deliberately created setting in which the husband is lying on the bed, reading a book. In this setting, it is not unnatural for the man not to go to the window to look at the cat from; only the woman sees the cat. Had the husband been sitting on a chair to read, he would have gone to the window to witness 'the cat' as a natural course of action. For him not to do that, the author placed him on the bed, creating a situation in which he sees only the cat brought up by the maid towards the end of the story. Thus, the cat in the rain is made the fragile reality reported only by the woman. The author apparently made the cat in the rain ambiguous by making it exist only through reporting.

#### 4.7.4 HER EYES OFF THE CAT

To enhance the function of the three devices which produce the effect of unidentifiability (the location of their room, the two adjectives and the single witness), the woman takes her eyes off the cat when she goes downstairs to get it, by which she loses certainty of the cat's identity. It is particularly noteworthy that the woman's aversion of her eyes from the cat is carefully paired with the singleness of witness, i.e., the fact that her husband does not see the cat. The story develops in such a way that only the woman sees the cat and when she, the only witness, looks away from the cat,

it becomes impossible to restore the certainty of identity.

In this way, by this carefully created setting and these stylistic techniques, the cat is made impossible to identify. The cat is an unidentifiable cat, effectively named 'Cat in the rain' without an article, as justifiably pointed out in Lodge (1981) and Ronald Carter's aforementioned analysis of this work.

#### 4.7.5 GEORGE ON THE BED

What can we conclude about the identity of George as the woman's husband? Unlike the cat, George is endowed with ample means of identification.

##### 4.7.5.1 *George's immediate-presence with the woman*

The first specification of George is that he is immediately present in the room with the woman. Because of his presence in the same room, the woman sees his existential reality.

##### 4.7.5.2 *George lying on the bed in the same posture*

Secondly, he is identified as one and the same man by being depicted lying on the same bed in the same posture as before she goes downstairs. When she goes downstairs, she has to look away from the cat; and she also has to take her eyes off

the man. Though she looks away from him, the constancy of the stage setting ensures George's identity. The husband, whom we can identify as 'George' who 'was on the bed, reading', retains the situational sameness. This sameness is particularly important judging from the fact that our attention is focused on the identity of the man and his posture, not on the identity of a vase or a carpet. At what Short calls the 'character-character level' of discourse, the man's sameness of posture shows the woman's feeling of boredom with the husband; while, at the 'narrator-narratee level' of discourse, it helps convey the fact that the man's identity is retained even after she looks away from him to go downstairs to get the cat in the rain.

#### 4.7.5.3 *The same man on the same bed*

Thirdly, I will discuss further his being the same man on the same bed from the standpoint of 'specification'. This story begins with a reference to the two Americans, then it shifts to the viewpoint of the woman. Reference to the man is from the woman's perspective. After the woman returns from downstairs, what Susumu Kuno calls 'empathy' in Kuno (1987) is transferred to the man. Even when empathy was with the woman, she was referred to only by the common nouns 'wife' and 'girl'. After her return, the man is referred to by a proper noun, one of the highest degree of empathy, 'George' (E(George)>E(a wife, a girl))(p. 203-270). From the passage below we can tell that the wife is feeling more empathy with her husband than vice versa, because the husband does not identify the woman using a proper noun, her first name:

- (5) She opened the door of the room. George was on the bed, reading.

(p.169)

The direction of specification is from less specified to more specified, as we see in reference to the man as 'husband' before she goes downstairs and 'George' after she comes back. This follows the same natural course of specification as that which van Dijk calls 'normal ordering of state descriptions' (p.106) (general→specific, or whole →part/component) in *Text and Context* (1977), which does not exist in the succession from 'a cat' in the early part of the story to 'a big tortoise-shell cat' at the end.

In addition, the name 'George' itself is not an uncommon name, and it does not sound conspicuously unique. This also helps give naturalness to his existence as a real man.

#### 4.7.6 HEMINGWAY'S OTHER WORKS DEALING WITH THE SAME IDENTIFICATION PROBLEM

'The Killers' also deals with the theme of 'identity':

- (6) "Well, good-night, Mrs.Hirsch," Nick said.  
"I'm not Mrs.Hirsch," the woman said. "She owns the place. I just look after it for her. I'm Mrs.Bell."  
"Well, good-night, Mrs.Bell," Nick said.  
"Good-night," the woman said.

(p. 288)

This short story deals with the question of identity of the men who Ole Anderson thinks came to kill him, and those who came to the restaurant and asked Nick about him. The reason why Ole Anderson rejected Nick's detailed description of the men is

because he believes in 'reality' beyond 'reporting'. The theme of this story is the unambiguous identity in reality, as we can tell from the definite article 'the' and the plural ending '-s' in the title, the specification devices that the title 'Cat in the Rain' lacks.

'Old Man at the Bridge' has the same theme of reference and identification. In this story, an old man, who escaped leaving his animals behind, starts to tell his story at the end of the bridge. Like the American woman in 'Cat in the Rain' or Nick in 'The Killers', there is no telling if the old man's story is true or not.

Also in 'Another Country', the identify of the pictures, which show a wounded hand and a recovered hand after operation, is questioned. Nothings prove that the both hands are identical. In this story, the phrases of a doctor who is playing the part of a reporter are questioned.

Nick in 'Indian Camp' or the boy in *The Old Man and the Sea* are given a role who witnesses identification of an event at the place of occurrence of the event.

In *The Old Man and the Sea*, though there is no witness ("I wish I had the boy. To help me and to see this" (p. 48)), the old man presents a big marlin's bone as undisputable evidence of the truthfulness of his story on the sea. The marlin's bone also attracts our attention in the same way that a big tortoise-shell cat does. One difference, however, is that a marlin logically entails the bone (a marlin has a bone); while, a cat does not entail the features of 'big size' or 'tortoise-shell-ness' (\*a cat is big/tortoise-shell). The bone, therefore, is evidence of the existence of that to which it belongs; on the other hand, 'being big / tortoise-shell' does not presuppose the existence of that to which the epithet is attributed, because a cat can be of some other sort.

Hemingway's 'The Doctor and the Doctor's Wife' also deals with his obsessive



feelings about factuality:

- (7) He pushed the magazine full of the *heavy yellow shells* and pumped them out again.

(italics mine) (p. 102)

Here again, the author expresses his obsession with the real, solid, heavy feelings of shells, the same feelings as are felt with the ‘tortoise-shell cat’ which the maid brought up for the two Americans:

- (8) She held *a big tortoise-shell cat* pressed tight against her and swung down against her body.

(italics mine) (p. 170)

#### 4.7.7 CONCLUSION OF 4.7

In conclusion, by scrutinizing what Leech & Short (1981: 257–287) and Short (1996: 255–287) calls the ‘narrator-narratee’ level in Hemingway’s ‘Cat’, above the ‘character-character’ level, we can now conclude that what Hemingway wanted to convey to us through ‘Cat in the Rain’ is his obsessive feelings about reality, and this world of reality is what he looked for throughout his life in hunting, marlin fishing, bullfighting and wars. To achieve this, Hemingway created a linguistic fiction as the cat in the rain using the above discussed stylistic and narrative devices. This is most evident when the cat is compared with George. George’s identity is never questioned, because, as we can tell from the fact that the author emphasizes his reality by referring to him as ‘George’, he is placed in the immediate presence of the American

woman. The cat in the rain, in contrast, is only a linguistically created fiction.

## 4.8 PLEASE FORGIVE ME. I REALLY DIDN'T MEAN WHAT I SAID: FALSE EFFECTS OF LITERARY SPEECH<sup>1</sup>

### 4.8.1 INTRODUCTION

The purpose of this article is to discuss two false effects of literary exchange: 'over-involvement' and 'distance' in communication of literary characters. These two effects tend to be created in literary exchange because, due to the features characteristic of the written representation of speech, what is not necessarily the author's original intention could be conveyed to the reader.

The questions of how and why literary speech differs from spontaneous speech have not been so fully discussed until quite recently, until, for example, Rebecca Hughes' contribution through Parliament exchanges, Mick Short's comprehensive analysis of poems, plays and prose or Masanori Toyota's analysis of phonetic 'slurring policy' in Kingsley Amis as of 'a paradox of "real" speech in literary dialogues'. In the early stages of analysis, comparative studies treated speech and writing, not spontaneous speech and fictional speech. Early works include Tottie and Bäcklund's collection of articles on speech and writing, published ten years before Hughes' book of the same title, Douglas Biber's statistical analysis of the two, M.A.K. Halliday's (*Spoken and Written Language*) and David Crystal's (*Speaking of Writing and Writing of Speaking*) concise sketch of how the written medium is different from the spoken medium. Biber et al's *Longman Grammar of Spoken and Written English*

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[1] This section was originally published as S. Kikuchi (2001) 'Please Forgive Me. I Really Didn't Mean What I Said: False Effects of Literary Speech', in Y. Nakao & A. Jimura (eds.), *Dokuso to boken: Eigo-eibungaku ronshu* [Originality and Adventure: Essays on English Language and Literature-In Honour of Professor Masahiko Kanno] (Tokyo: Eihosha) 197-211.

is in this tradition, and two out of the four core registers are named 'conversation' and 'fiction'. Here also the conversation in fiction is not discussed as a separate subject. In the study of literature, the differences have attracted little attention, because this field has focused more upon what the characters say than upon how they say it. I.A. Richards, for example, though emphasizing one of the two roles of criticism as 'an account of communication'—the other of which is 'an account of value'—does not offer an answer.

In this article I will concentrate on the two false effects, over-involvement and distance, which the artificial literary exchange has upon the reader—Hughes only touched upon the former—, and in the course of discussion, I will also attempt to give a more comprehensive explanation of the cause of the differences, taking examples from literary works like Shakespeare, Dickens, and *Titanic*. 'Hesitations', one of the features of spontaneous exchange, for example, occur far less often in literary exchange. Natural discourse, on the other hand, is full of such interpersonal features. They are pragmatic in that they are not 'errors', but rather evidence that shows the speaker's positive participation in the interaction. What impression then does the presence or the absence of the features in literary exchange give to the reader? Why does Peggotty's 'Wait a bit, Master Davy, and *I'll—I'll* tell you something' convey her hesitation, while David's 'You give me my money back, if you please' sounds disinterested? And what else is behind their presence or absence besides the conventions of the printed page?

#### 4.8.2 SPONTANEOUS EXCHANGE: INTERACTIVITY AT THE LEVEL OF SPEAKERS TO MONITOR REAL TIME EXCHANGE

In discussing writing and speech in a wider sense, Quirk et al. touched only lightly upon the difference between them:

(1) JOHN didn't do it.

It was not in fact John that did it.

(Quirk et al., *Comprehensive Grammar*, 25)

The difference in (1) is due to the fact that the written medium lacks the prosodic features of speech (stress, intonation, etc.), which necessitates more explicitness in sentence formation in written exchange. Halliday, in his list of what writing leaves out, adds paralinguistic features to the prosodic ones: voice qualities, tempo, loudness and facial/bodily gestures (31). But prosodic and paralinguistic features do not cover all the differences that lie between natural and literary exchanges. To these untranscribable spoken features we can add the 'normal disfluency features' (Hughes, *English in Speech and Writing*, 54–55) or 'interpersonally generated features' (52), which are also present in natural spoken interactions. The disfluency features are, for example, 'overlaps', 'hesitations', 'interruptions' or production errors such as 'false starts'. These normal non-fluency features are, contrary to our expectation, not errors in speech, but contribution elements that show the participant's positive attitude to the exchange. Before looking at literary exchange, I will discuss the three major speech-specific features: (a) hesitations, (b) overlaps (and interruptions), and (c) false starts.

Hesitations are typically realized as in the following (2):

- (2) A: Are you still playing *er*<sup>2</sup>  
 B: └Gui-tar  
(Carter & McCarthy, *Exploring*, 42)

The hesitation and the gap filler 'er' on the part of A are a discourse marker that invite the second speaker to break in for conversational contribution, to fill the possible gap.

Overlaps and interruptions,<sup>3</sup> the former of which are what Deborah Tannen calls 'cooperative overlap' (*Conversational*, 30) to show interpersonal involvement in the exchange, a feature of high-involvement style, occur when the second speaker hastily breaks into the first speaker's turn, again attempting to show his or her contribution to the exchange:

- (3) A: Are you still playing er  
 B: └Gui-tar  
 A: Irish music, yeah  
 B: No I don't play very much now, no, *not at all*  
 A: └ *I thought you were* touring the country at one point.  
(Carter & McCarthy, *Exploring*, 42)

False starts are typically realized as in the italicized part in the following (4):

- (4) A: Right, (.hhh) who's goin' to lift the bottom?  
 Well...come o'...someone's got to take 'old of it.  
 B: I ain't goin' to.  
 A: *Don't jus'...Come on will you?*  
(Cook, *Discourse*, 10)(italics mine)

Speaker A, without completing his sentence, starts a new sentence 'Come on will

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[2] The italics in the citations are mine.

[3] Avoidance of overlaps, or waiting for the end of the other's turn, is one of the conversational rules that tends to limit the number of speakers to one per turn. This paradoxically means that overlaps will occur in conversation; that is why the conversation participants attempt to avoid overlaps.

you?', because, by finding better phrasing, he attempts to accommodate himself better to the conversation.

What interpersonal function do false starts have in literary exchange? Or do they appear in literary exchange at all?

#### 4.8.3 LITERARY EXCHANGE: INTERACTIVITY AT THE LEVEL OF AUTHOR AND READER TO CONVEY MESSAGE

The absence and presence of interpersonal features in literary exchange can be accompanied by 'distance' and 'over-involvement' in communication of conversational participants.

First, I will start my discussion with 'distance' in communication. Generally, in fictional exchange, there appears far smaller number of these interpersonal, involvement features. The following text from an Oscar winning film, *Titanic*, well illustrates a fictional dialogue that lacks the above three involvement features:

##### (5) (ROSE RUNS INTO THE ROOM WHERE JACK IS HANDCUFFED TO A POLE)

R: Jack! Jack! ... I'm sorry. I'm sorry. I'm sorry.

J: That guy Lovejoy  
put it in my pocket.

R: I know. I know. I know. I know.

J: Listen. Rose, you're  
going to have to find a spare key, all right? Look in that cabinet there. It's a  
little silver one. Rose.

R: These are all  
brass ones!

J: Check right here, Rose!

(R=Rose, J=Jack)

The exchange above, while containing 'repetitions', includes neither overlaps nor

interruptions, which usually accompany a panic scene, even though, being orally delivered, the lines could have had these two features. Turns are taken regularly in such a way that the second speaker starts to speak only after the first one ends his or her part.

The following two (6) and (7) are from literature, Dickens's *David Copperfield* and Shakespeare's *Richard III*. They share the same features with (5) in that they also all lack interruptions that accompany the overlaps, which on the page are not easy to represent under the current conventions of the novel, because these conventions do not include such transcript system as that of phonetic transcription:<sup>4</sup>

- (6) “Wot!” said the young man, seizing me by my jacket-collar, with a frightful grin. “This is a pollis case, is it? You’re a going to bolt, are you? Come to the pollis, you young warmin, come to the polis!”  
 “You give me my money back, if you please,” said I, very much frightened, “and leave me alone.”  
 “Come to the pollis!” said the young man. “You shall prove it yourn to the pollis.”  
 “Give me my box and money, will you!” I cried, bursting into tears.
- (173)

- (7) *Alarums. Enter KING RICHARD.*  
*K. Rich.* A horse! A horse! My kingdom for a horse!  
*Cat.* Withdraw, my lord; I’ll help you to a horse.  
*K. Rich.* Slave! I have set my life upon a cast,  
 And I will stand the hazard of the die.  
 I think there be six Richmonds in the field:  
 Five have I slain today instead of him.  
 A horse! A horse! My kingdom for a horse! [Exeunt.]  
 (ACT V, SC. IV)

The exact turn-taking gives us a false impression that the second conversation

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[4] Page’s remark, with reference to Defoe, Richardson, Fielding, Dickens, H. James, and Beckett, about the early stage of the development of a novel is suggestive:

‘In its purest form a passage may consist so largely of direct speech, so little diluted with other elements, as to resemble an extract from a play....This is perhaps the point to recall...that the English novel drew a considerable portion of its sustenance in the earlier



participant is quietly waiting for the end of the first speaker's talk. In *Titanic*, Jack and Rose start to talk, unnaturally, only after the other ends his or her turn. So do the conversation participants in (6) and (7).

The second feature of literary exchange is 'over-involvement' in communication by literary characters. As Hughes argues, this does not mean that none of the three interpersonal features appear in literary exchanges, 'but rather these features take on a different significance on the page' (52). The use of these features on the page gives us another type of false impression, what Hughes calls 'hightened emotion...such as anger, fear or uncertainty' or 'mental disturbance' on the part of the speaker (38, 54, 96). We should say, however, that the speech-specific features in fictional exchange also show the participant's positive participation at the same time.

In the case of (8) below, in which Miss Peggotty hesitates to tell David of the remarriage of David's mother, we can say that the sample feature indicates both willingness to interact and, as Yamamoto rightly points out (David Copperfield, 139–140), considerate hesitation on the part of Miss Peggotty, her reluctance to have to impart some bad news to David:

- (8) "Why , Peggotty!" I said ruefully, "isn't she come home!"  
 "Yes, yes, Master Davy," said Peggotty. "She's come home. Wait a little bit, Master Davy, and *I'll* — *I'll* tell you something."  
 (40)(italics mine)

Hesitations are a common feature of real-time exchange, where the use of this feature does not necessarily indicate speaker's agitated feelings or reluctance to convey bad news. If used in literary exchange, however, it also adds an emotional colouring to the speech. Interruptions, if not overlaps, can be represented in the present writing

convention, as in (9) below. The sample of interruption is also from *David Copperfield*, in which the italicized part gives on the reader an impression of the speaker's agitation, in the same way as Hughes' sample from Malcolm Lowry's *Under the Volcano* (52–53) shows, during the discussion of which she warns us of the possible misinterpretation of the verbatim transcripts of the police interview (54–55).

<sup>5</sup> Interrupting Miss Betsey to give her what she thinks is correct information, David's mother shows both willingness to cooperate as well as a degree of agitation:

- (9) “You were speaking about its being a girl,” said Miss Betsey. “I have no doubt it will be a girl. I have a presentiment that it might be a girl. Now child, from the moment of the birth of this girl —”  
 “*Perhaps boy,*” my mother took the liberty of putting in.  
 (p.7)(italics mine)

A sample extract of a false start is again from the same author:

- (10) “The rooks — what has become of them?” asked Miss Betsey.  
 “There have not been any since we have lived here,” said my mother. “*We thought—Mr Copperfield thought—it* was quite a large rookery; but the nests were very old ones, and the birds have deserted them a long while.”  
 (p.6) (italics mine)

The underlined reporting clause of this indirect thought, ‘We thought’, is what Biber et al. term ‘retrace’, and the following ‘Mr Copperfield thought’ is a ‘repair’ in a ‘retrace-and-repair sequence’ (1062), more appropriately termed than the false start. Again this shows that she is willing to cooperate with Miss Betsey for their better exchange by giving her more accurate information, but at the same time it also shows some agitation on the part of David's mother.

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[5] For detailed discussion of this, see Malcolm Coulthard, ‘Forensic Discourse Analysis’. *Advance in Spoken Discourse Analysis*. Ed. Malcolm Coulthard, London: Routledge, 1992.

Why is it, then, that literary exchange creates these two communicative effects, distance <sup>6</sup> and over-involvement, and why are they different from the features in spontaneous exchange?

#### 4.8.4 WHY LITERARY EXCHANGE HAS DIFFERENT EFFECTS

There are two reasons why the features that show the participants involvement in the exchange are dropped in written, literary exchange: one is conventional and the other structural.

First, unlike in phonetic transcriptions, there is no convention of representing overlaps or interruptions on the pages of a novel. If the author uses speech-specific features, the broken and overlapping utterances become difficult for the reader to decode.

The second reason is structural and this is more important. Communication in literature does not take place between in-work speakers, but between playwright and audience, novelist and reader, at the top layer of Short's communication system (Discourse analysis 149; *Exploring* 169, 171, 189, 257, 261). Everything written in literature, whether character's speech or narrator's explanation, is addressed from playwright / author to audience / reader. All literary exchanges are, therefore, 'filtered' by the playwright / author.

Montgomery et al. charted the four different ways of presenting speech and thought,

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[6] For discussion of this communication phenomenon in terms of spontaneous speech, see Lakoff's strategies of distance. Whether in literature or film, fictional dialogue occurs close to one end of Lakoff's involvement continuum, where only the content of message is important and the perfect conveyance of message is expected. At the other end of the continuum, speakers are emotionally involved with each other at maxim.



spoken discourse (12) is translated into written discourse (13), eliminating speech-specific features:

(12) This guy .. this mán was ,pickin' peàrs //  
 ... and so ... the- .. this gu:y  
 ... 'he was ,riding around .. he was ,riding on his bike /

(13) This man was picking pears and this boy was riding by on his  
 bike and he saw the pears ...

(Tannen, *Coherence*, 240–241)

Here speech-specific features do not indicate the speaker's emotional agitation. They are just normal non-fluency features. If the speaker were emotionally agitated, he or she would use these features all the more. In the case of (6), as David was frightened, he may have spoken as in (14) below if he had been a real person. Whether or not with the narrator's description of David's emotion, 'very frightened' in (16) or 'with a quiver in my voice' in (17), which makes the speech-specific features all the less necessary, the passage (14) would be filtered or transformed into (15), (16) or (17), or of course, if necessary, into free indirect speech, dropping the speech-specific feature, 'hesitation' (Gim...gimme; my...my):

(14) Gim...gimme...my...my money back...if you please...an' leave  
 me alone

(15) ["You give me my money back, if you please, and leave me  
 alone."]  
 (FREE DIRECT SPEECH)

(16) ["You give me my money back, if you please," said I, very much frightened,  
 "and leave me alone."]  
 (DIRECT SPEECH) Dickens's phrasing

(17) [I told them, with a quiver in my voice, that they should give me my money

back and leave me alone.]  
(INDIRECT SPEECH)

Whatever the type of speech, they are all reported speech. Just as involvement features are dropped in a reported clause of indirect speech, so do they in literary speech.

In a film dialogue, the actor's or actress's lines need to be heard clearly by the audience, so overlaps seldom occur. To borrow Hughes's phrase, literary exchange is so constructed as to be more helpful to 'an ever-present eavesdropper' than to the conversation participant (49). Characters talk to be heard by the reader or audience, as well as to be listened to by the other party in conversation.<sup>7</sup> So, in a message-within-message, the speech-specific features, which are not necessary for the purpose of sending a message to the audience / reader, are dropped. At the playwright / author-audience / reader level of communication, what is involved is the content to be conveyed and the features that show the author's involvement in the communication with the reader. Other elements like fictional characters' interpersonal features are not of immediate need, and they are dropped. An exchange in which all these features are filtered out is, as it were, UNMARKED. And if present, thus MARKED, their presence becomes informationally redundant and conveys what the speech-specific features do not originally signify. Rather their presence convey what author intends, i.e., character's emotion.<sup>8</sup>

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[7] For Coulthard's 'over-explicitness' in a fabricated police interview record, see his 'Forensic Discourse Analysis', pp. 249-250, and for the same characteristic in a literary text, see his *Introduction to Discourse Analysis*, p. 171. These texts are sometimes over-explicit because the message is directed to the court or the audience, not to the police interviewer or to a character in a drama.

[8] If we follow the Grice's Cooperative Principle ('Make your conversational contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged' 45), the use of speech-specific features is over-informative in UNMARKED literary exchange.

This gives a comprehensive explanation of why interpersonal features at the character level of communication are omitted and why, if these features are present as in (8) (9) and (10) and in Hughes' example (52–53), they convey the speaker's emotion (over-involvement) that the author originally intended to transmit to the reader. This is because agitation or excessive involvement of the speaker is thematically important for the author. In (8), Peggotty hesitates because what her hesitation indicates is thematically important for Dickens. In spontaneous exchange, Peggotty's hesitations would not convey such a kind as additional emotional colouring of the speaker, but her positive attitude to be better accommodated in the communication.

In literature or film, the longer the exchange continues, or the more often we read the same passage, the further the author–reader level recedes into the background, while the character–character level comes to the fore, or in other words, the more the audience / reader feels involved in a real conversational situation. In such an emergency scene as above, we tend to expect the presence of these features, and if they are absent, we feel that the characters sound unwilling to be involved in communication (distance).

#### 4.8.5 CONCLUSION OF 4.8

In fictional exchange, particularly in literature, real interactivity does not occur at the characters' level, but at the playwright / author–audience / reader level. Interpersonal exchanges at the characters' level serve only for the author to report his or her message, not for the characters to monitor a real-time discourse. The author filters all

sorts of information that characters exchange with each other in order to make it best suited for the conveyance of the message, omitting interpersonal features at the speaker's level. If the UNMARKED literary exchange has speech-specific features, they tend to signify not only the speaker's involvement, but also the person's emotion. If, therefore, the author attempts to reproduce natural speech too faithfully, then the speech could carry the emotional overtones of over-involvement of the character and give the reader a false impression that the character is emotionally reacting to the situation (over-involvement). And if the literary exchange is long enough to convey the impression that we are encountering a real conversation, or if it occurs in a scene of panic, then the exchange without the features of naturally occurring speech gives us another false impression that the speakers are disinterested or not willing to contribute to the exchange (distance).



## **Chapter 5: CONCLUSIONS AND DIRECTIONS FOR FUTURE WORK**

This chapter concludes on the work done in this thesis and presents directions for future work. Section 5.1 concludes this dissertation and summarizes the contributions of this work. Section 5.2 discusses possible directions for future work.

### **5.1 CONCLUSIONS**

The main motivation behind the discussion in this dissertation has been the conviction that a literary text is also a communicative event and it is addressed to the reader in the equivalent form of Ross's (1970) performative sentence. According to his 'Performative Hypothesis', 'the deep structures of declaratives in all languages resemble each other in having a performative clause containing a verb of saying as their highest clause...' (1970: 259) and 'what ends up in surface structure as an independent clause' (1970: 224). This being the case, the text, which is equal to the propositional independent clause of the performative sentence, has the same information structure as a clause equipped with the theme-rheme structure. If a literary discourse is also a communicative event then it should share the same characteristic of communication as 'problem-solving' (Leech 1983: x). In addition to this, in literary discourse there should be the message-external part, or in other words, the addresser-addressee structure, above the propositional and thematized text. For example, macro-elements for communication such as message forms, in which parallelisms are realized, and the addressees, in which macro-functions are manifested in the form of the authorial points of view, should be also considered.

Driven by this motivation, I have argued that the common textual characteristic underlying literary discourse, that is, ‘the addresser’s mental binary categorization of the outside world along the time axis’—theme (problem presentation) and rheme (its solution)—, derives from the most general mode of man’s thought when composing a literary text. This is the author’s mode of thought. One writes following the thematization pattern at the level of literary discourse. He or she, who grasps the outside world in some way (thematization), attempts to provide some solution to it in the rheme (‘problem-solving’). This feature underlies the multi-layered framework of literary communication (Figure 5 in Chapter 2 and Figure 7 in Chapter 3) whether short or long poetic works, narrative literature, prose fiction, or other genres of a fictional discourse of aesthetic value. The issue of literary discourse has only been included within the scope of linguistic sciences by a few linguists. Until quite recent times, the quest to understand literary language has been oriented chiefly towards its textual or contextual description, that is, towards a mere collection of literary uses in a text or a simple gathering of historical events surrounding the author. An approach to literary discourse from the perspective of the literary text’s fundamental mode of organization has, therefore, remained largely outside the perspective of modern linguistics until two recent endeavours in linguistic sciences, pragmatic and functional. The first one is John Ross’ Performative Hypothesis, which places the author – reader level in a new, clear perspective of literary communication; the second are the Prague linguists’ idea of functional sentence perspective (Daneš 1974: 106–128, Mathesius 1975: 82) and M. A. K. Halliday’s concept of language as social semiotic (Halliday 1978). Both of these approaches provide us with a view of textual structures. In this thesis, borrowing ideas from these two fields, I have thus discussed the thematizing function, parallelisms and the authorial view points. The central role of these

linguistic fields should not be interpreted as a deprecation of traditional literary criticism. Traditional approaches to literary language provide many advantages — the problem is simply that those advantages are not fully incorporated within the study of language. The main potential advantage arising from the concept of communicative function is that it contributes to a deeper understanding of literary texts by bridging the theoretical gap between language and literary studies.

The overall contributions of this dissertation, then, consists of widening the coverage of functionalism within the framework of Ross's Performative Hypothesis to the area of literary language.

## 5.2 FUTURE WORK

In the previous section the main contributions of the dissertation are summarized and it is concluded that the discussion in this dissertation contributes to the improvement of the practical applicability of Ross's framework of Performative Hypothesis. However, from the discussions of related work in Chapters 2 and 3 it can be seen that the performative and functionalist perspective for natural language is an on-going research field still being widely studied. Hence, in the application of the method for literary discourse, there are still many possible directions for future work. Future work could also include the other meta-functions of language than authorial thematization manifested in the propositional text, parallelisms and the viewpoints; that is, other macro-elements such as the addressee, channel, code and setting. These aspects of macro-elements in a literary text should be examined more.

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