

Paul M. Waszink

Don't Weep a Gold Chain

Observations on Primary and Secondary
Systems in Russian Classical
and Romantic Art and Literature

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PREFACE

In this work I have endeavoured to apply the theory of primary and secondary systems as defined by D.S. Likhachev to Russian literary texts. Likhachev's idea amounts to the fact that those systems reoccur alternately. Thus, a primary system evolves into a so-called elliptic stage which enables a succeeding, secondary system to develop itself. Conversely, when the latter has become the standard norm it gradually evolves, in turn, into a similar elliptic stage. This, in turn, gradually develops into a primary system too. As far as the fluent succession of systems is concerned, Likhachev's theory differs from a similar theory developed by E.R. Curtius. The latter assumes that literary works should be divided into works with a Classicistic and a Manneristic character. The first develop into the latter which show a frozen character with no original qualities. In the end works with a new Classicistic character develop themselves. These, in turn, have a vital character again. In other words, in Curtius' scheme there is no place for a fluent alternation of systems the way there is in Likhachev's. Likhachev assumes the following Primary systems:

Romanesque - Renaissance - Classicism,

and the following Secondary ones:

Gothicism - Barocco - Romanticism.

Other scholars have added nineteenth-century Russian Realism and Symbolism as primary and secondary systems to this scheme; completing it in other respects.

In this work have I studied in greater detail the period from approximately 1770 to 1840 in Russian art and literature. As a typical representative of Classicism, i.e. a primary system, I have chosen G.R. Derzhavin and Romanticism, i.e. a Secondary system, E.A. Baratynskii and M.Iu. Lermontov. In my discussion of these authors I have emphasized their poetic activities. I have paid attention to the question in how far prose texts are temporally determined as opposed to poetic texts which, to a large degree, can be said to be spatially determined verbal texts. To that extent Tynianov's definition of the equivalent plays a key role. In my observations on the aforementioned poets I have departed from the idea that, as far as their philosophical backgrounds are concerned, works by representatives of primary systems are based on Kantian, Classical ideas. In works by representatives of secondary systems, such as Baratynskii, however, Schellingian ideas play a key role. As an illustration of the specific effect of the combination of spatially determined non-verbal elements and verbal signs in one context I have studied some aspects of Falconet's equestrian statue of Peter the Great in St. Petersburg. These observations have served as an introduction to the effect of drawings and

illustrations as they occur as signatures under the autographs of some poems by Lermontov.

Finally, I have studied some properties of prose texts by Lermontov and Gogol' in their quality of Romantic texts. The specific presentation of time renders them typically Romantic. Thus, the linear time-conception, typical of a Primary system like Classicism, is not made use within them. Rather, an idea of circular time or what will be referred to as block-time occurs. The latter implies that time is suggested to be spatially determined since large temporal elements are presented as adjacent units which can easily be crossed. Particular attention has been paid to the specific effects in these texts resulting from the activity of what W.C. Booth called the "implied author." This activity implies that each presented motif automatically implies its own denial. This is especially evident in a diary-style novel in which the narrator is, as it were, doubled in the sense that one "half" of him is operative outside the text while his other "half" (the hero) is inside it. When this process of duplication goes too far the suggestion is aroused that the two cannot be operative independently any more and, consequently, one of them is annexed entirely. The quotations and examples have all been taken from materials presented in works published in article-form in several national and international journals in the field of semiotics and Russian literature from 1991-1997. As the theoretical framework of this work is completely new and the materials have often been re-adapted, I have not thought it necessary to mention these journals separately by name or to explicitly ask their editors for permission to republish them.

I express my gratitude to Claudette van Caubergh, who carefully checked the English style of the manuscript, and to Saket Kulkarni, who diligently saw to every detail of the layout.

I am grateful to my wife and children who supported me in the process of writing the book.

I want to devote it to my parents who enabled me to study the language and history of Russia. I devote it to their memory as well as that of Kees van Schooneveld, my first teacher of Russian.

Leiderdorp, July 2003

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Chapter 1: Primary and Secondary Systems

1.1 Introductory Remarks

In V.V. Zhirmunskii's article from 1920 on Classical and Romantic poetry he emphasized that, throughout the history of poetics, a consistent distinction has been made between what he calls Classical and Romantic forms.¹ The most important difference between the Classicists and Romanticists is that the first consider the world to be a finite perfect whole, whereas the latter do not. Thus, in the 18th-century Classical conception a representation of the world should result in works reflecting that world. In other words, it should result in works showing balance, harmony and perfection. Conversely, a Romantic artist should create works showing qualities of a Romantic world. It is typical of the latter that it is infinite and indeterminate, or open, as opposed to the Classical world. Consequently, such a world could find its realization in the fragment only.² Consider, in this regard, Chapter 4, Section 4.1, which illustrates that the Romantic character of Lermontov's poems lies in the aforementioned fact that they are often fragmentary. However, they contain elements with an equivalent character, i.e. a signalling value which anticipate other elements. For these elements with an equivalent value, see Section 1.4. Such elements bridge the gap between elements typical of a primary system and elements typical of a secondary system. Thus, they enable the reader to *reconstruct* the text from its constituent elements. As a result, he can establish its norm-code.

With regard to the idea that Classical artists make complete and rounded-off pieces of works that reflect a closed and complete world, such a view of the world presupposes a disinterested viewer. Consider in this regard Smirnov's observation that, whereas in Classicism an artist is considered an artisan, in Romanticism he is considered a prophet (Smirnov 1977: 11). Accordingly, in Romanticism the universe is regarded by man as open; it is supposed to be variable and changing (Zhirmunskii 1962: 177). It is typical of Romanticism that the borders of man's world are continually being shattered. The fact that the Romantic artist or author is considered more than an artisan who remains outside his work implies that a

perceiver of such works or texts is more than a merely disinterested viewer. He expects the artist to narrate or otherwise express his *personal* experiences (*idem*: 176).

Many scholars have based their ideas on Zhirmunskii's studies and many of them have expanded them. Thus, they have not merely made only a separation between Classical and Romantic literature as being non-Classical. Rather, they have made a distinction between these currents, qualifying them as "Classical" and "more than Classical." In fact, E.R. Curtius drew a parallel between what he called Classical and Manneristic works. The latter are, in his view, non-Classical. He states that Manneristic, i.e. non-Classical works ultimately return to a new kind of Classicism. He defends his view by emphasizing that Mannerism cannot be viewed as a coherent, autonomous style in literature. When one tries to see it as such one brings conflicting and competing systems into existence. He emphasizes that the term "Mannerism" as an independent system does not contribute to the construction of a coherent system of literary styles. The fact that European literatures are split up into national linguistic domains and into many and brief periods plays a role in this regard (Curtius 1973 (1948): 282). What is essential is that Curtius' conception of Mannerism as a recurrent style in literature implies that it always returns to the Classical style which precedes it.

D.S. Likhachev has made a consistent distinction between what he calls a primary and secondary type in his study of the Baroque (Likhachev 1973). By the first he understands systems of the Classical type, by the latter, of a non-Classical type. Consequently, he views the following as primary and secondary systems:

Primary	Secondary
Romanesque	Gothicism
Renaissance	Barocco
Classicism	Romanticism

(Likhachev 1973: 178f.).

Likhachev's definition of literary currents differs from that of Curtius since he rejects the latter's idea that every genre of a Classical character ends in some kind of Mannerism which, in turn, returns to a Classical trend. Instead, Likhachev develops the idea that a primary system ends in a so-called "elliptic" stage. During this stage the secondary system, which follows it, gradually evolves (*idem* 1973: 176). In other words, every system (A) ends in a stage that enables a "smooth transition" toward the development of a new, next system (B). Consequently, this transitional period shows an extra element (*plus*). Other scholars have elaborated on the aforementioned system. However, they have not explicitly maintained Likhachev's idea of the existence of a "smooth transition" from a primary to a secondary system. To return to Zhirmunskii, the latter, in the years from 1910 to 1920, distinguished between literary trends of the Classical and the non-Classical type (Smirnov 1977: 10). He drew a parallel between "Classicism" and "Neorealism" and later used the term "Realism" to define Akhmatova's poetry.³ Practically all scholars share this view about Realism as a system which runs parallel with Classicism (in Likhachev's terms). In turn, Symbolism as a genre they consider to run parallel with Romanticism. However, after Symbolism, their opinions tend to vary. Thus, Zhirmunskii as well as V.V. Markov have defined Acmeism as a primarily neo-Classical reaction on the Romantic elements in Symbolism.⁴ Maiakovskii, too, continued the tradition of the Symbolists (Smirnov 1977: 12). In Eikhenbaum's view, only Futurism can be considered to be the literary current which definitely breaks with the traditions of Symbolism (*idem*: 85). In Likhachev's words, Futurism can, therefore, as opposed to Symbolism, be defined as a primary system. Acmeism can, to use Likhachev's terms, perhaps be regarded as running parallel to Realism. In fact, it still retains traces of it. However, it serves as an introductory stage to Futurism, thus enabling a "soft" transition to the latter trend. In other words, Acmeism can be regarded as an elliptic stage between Realism and Futurism of the kind mentioned above. It was observed that in Futurism, like in Classicism, a poet is considered an artisan unlike in Romanticism. In the latter he is rather regarded as a prophet and a teacher. This fact shows the essence of Futurism as a primary system. Thus, in Futurism the poet creates his material in a form which is

unpredictable; it cannot be prophesized by the reader (Smirnov 1977: 106). This fact manifests itself in the fact that the Futurists began to create their "own" *zaum*-language. In other words, in Futurism the poem is the result of a poet's own, personal endeavours. His language results from his own will rather than it being a system of mere conventional signs. The latter are drawn up according to the laws of one, generally acknowledged, code. For the Futurists, word-signs were of no value as far as their meaning was concerned. Rather, the *sounds* of words in poetry played a key role for them (*idem*: 104). See, in this regard, Section 1.5. In Dering-Smirnov, 1980, the qualities of Realism as a primary system are elaborated on and in Hansen-Löve, 1994, a survey is given of the most important literature in the field. In Dering and Smirnov's view, primary systems consider the world of concepts a continuation of factual reality. Accordingly, they model reality upon the ideas they have of it. Representatives of a secondary system, on the other hand, model their ideas of the world upon examples given by external reality (*svoe kak chuzhoe, idem*: 2f.).

1.2 General Observations on Mannerism

Curtius, in his definition of Mannerism, emphasized that we should disassociate the term "Mannerism", as much as possible, from its art-historical connotations. Thus, its meaning should be broadened until it represents the common denominator for all literary tendencies contrary to Classicism. These should include pre-classicistic, post-classicistic currents as well as those which are contemporary with any Classicistic current (Curtius 1973 (1948): 273). Consequently, Mannerism is a *constante* in European literature. In fact, if we did not consider Mannerism a recurrent literary period, we would be unable to trace a dividing-line between any Classicistic and Manneristic current. Five Manneristic epochs can be distinguished in European history. These include: Alexandria (350-150 BC), the "silver age" of Rome (abt. 14-138 AD), the early or late Middle Ages, the Manneristic epoch proper from 1520-1650, the Romantic period from 1800-1830, and, finally, the period immediately preceding ours; from 1880-1950 (Hocke 1983 (1977): 10f.).⁵ With each new period the Manneristic pattern begins to deviate more and more from its original code.⁶ Initially, it was still classicistically bound. Then, gradually

through the ages, it became more and more expressive. Ultimately, it became distorted, surrealistic and "abstract" (Hocke 1983: 11).

There is a clear quantitative rather than qualitative difference between a Manneristic form and its original form. Thus, for Manneristic artists, whether they are painters, sculptors or writers, each work of art has a dual character. This enables them to indulge in the use of processes yielding mirror-like effects aimed at achieving this character.⁷

The feature of multilingualism is typical of a Manneristic text in this regard. Consequently, the epigram is a Manneristic genre since it invites the reader to look for its meaning. Puns, riddles and epigrams are typical of Manneristic literary work. The so-called *concetti*, forms of "conceit", are of particular importance.⁸ These stylistic figures are based on the combination of two elements. One of them confirms the observer's or reader's expectation, the other one deviates from it (Curtius 1973 (1948): 292f.). All works containing a pun presuppose a similar interaction between a norm-language and a deviant-language. Thus, puns on the one hand are subject to generally valid rules which take into consideration the norm-code of the works in which they occur. On the other hand, they have a code of their own. The essence of this lies in the fact that it deviates from that norm-code. Only then do they meet the requirements which the reader expects of a pun. It was observed that, generally speaking, Manneristic texts, fulfil these conditions.

The aforementioned fact that Manneristic works become, as they depart from being classically bound, more distorted, shows that they gradually tend to approach a secondary system. Post-modern texts can be considered typical of a secondary system to the fullest extent and their ambiguity shows this. They are meant to be "filled in" by the reader himself during the reading-process. The latter is expected not only to model the reality represented in the text but the reality of the text itself too. Thus, in Post-modern texts each text has to be written, revised, answered and acted out (Hassan 1987: 21). A narrative type of speech occurs in such works, which come about from a murmur of voices. This consists of isolated words which seems to be uttered by both the narrator and the literary figures. Thus, in a Post-modern text the suggestion is put forward that the text can only be

realized if the reader actively cooperates in the production-process. Consequently, it seems that the writer as well as the reader run a constant risk of being swallowed up by the text. In Chapter 5, Section 5.4, it will become clear that Gogol's *Zapiski Sumasshedshogo* are exemplary of a Romantic text in which this suggestion is offered.

1.3 Texts in Primary and Secondary Systems: The Essential Role of Poetry

It has been observed that in texts representative of a secondary system like Romanticism no reference is made to reality directly. Rather, the reality represented in them refers to texts. These texts are created after specific models. In fact, Romantic man considered himself as having been shaped by pre-existing, culturally-determined models from outside reality which he often imitated in his personal life.⁹ Particularly V.A. Zhukovskii (1783-1852) emphasized that the Romantic artist based himself in his creative process on such models. According to him the aforementioned superiority of the fragments of reality over their complete forms played a key role in the representation of reality. In his view, the more a work of art *approaches* outside reality without rendering it completely, the more perfect it is.¹⁰ He emphasized that the uniqueness of the genius lies in the fact that only he is able to *unite* the constituent elements of reality. For him no chaos exists. In other words, his gift to bring about this unity shows the value attached by Romanticists to bridging the gap between the self and outside reality.¹¹ Zhukovskii's observations emphasize that genius is a gift from the outside world. We shall see that, in this regard, he is a typical representative of a secondary system. To put it differently, the essence of art in Romanticism, in Zhukovskii's view, lies in the fact that the artist does not create something completely new. Rather, he should *re-create* an artistic product. He departs from the idea that a creative process can only begin after an artist has familiarized himself with all aspects of all objects from reality which he plans to emulate.¹² In this respect, Zhukovskii opposes, the genius to the mere talent who merely executes artistic tasks.¹³ Negations play a key role in this tendency of Romantic artists to approach reality of reality rather than to express it directly. Consequently, negative and interrogative sentences or motifs which distract the attention from the main theme are essential. They may serve as models

on which an artist may orient himself. See again the observation that models are typical of Romantic works of arts and texts. They enable a beholder or reader, when perceiving a work of art or a text, to get an unequivocal impression of it ("this is a representation not of A, but of B").

The fact that Romantic artists and authors represented reality indirectly, by basing themselves on models, entails that the mask played a key role in their works. Man often wore masks rather than expressing his own character-traits. Consider the reverse which takes place in a primary system like Classicism. There man was assumed to model reality after his *own* ideas. The fact that the mask played such a role in Romantic works means that man's fellow-men continuously wondered "Is this man *really* what he looks like, or is he in reality someone else?" This question goes on forever. Thus, it is expressed in the opposition of the terms "not to lie when passing oneself off as oneself" *versus* "not to speak the truth when passing oneself off as oneself." The aforementioned tendency to represent reality indirectly manifests itself in the fact that Romantic works deal with "non-reality." Accordingly, "novels about a novel" rather than "novels about people" are typically Romantic; see, for example, Pushkin's *Evgenii Onegin*, as well as Lermontov's *Geroi Nashogo Vremeni* and Gogol's *Zapiski Sumasshedshego*. They deal with writing a novel, reading a novel, and with the impulses and values that characterize both activities (Fanger 1983: 49f.; see also n. 34 and 35). This may result in the conception of reality, in the eyes of Romantic artists and writers, as being made of paper. Lermontov and Gogol often described a landscape as a "painting" (*kartina*). Gogol's story *Rim* ("Rome") shows that this procedure is particularly effective when used in combination with the idea that all elements are translucent (see, in this regard, Chapter 2, Section 2.2.1, notes 9 and 10).¹⁴ Thus, art and nature mutually determine each other. A landscape is unexpressed in the form of a work of art and a text. A work of art and a text, in return, have the form of an element of nature. Consider Chapter 5, Section 5.4 which will show that a consistent presentation of reality as being based on a pre-existent model leads to the destruction of reality. This destruction seems to include all fictional figures and threatens to include non-fictional figures as well such as the non-fictional readers.

As far as texts are concerned, they all use a conventional sign-system, i.e. language. It has already been observed long ago that language is a deviation of everything in reality.¹⁵ This implies that language, too, is a deviation of itself as it is also in a state of development. In fact, its constituent elements vary continuously. It has, correctly, been stated that all literary genres are, in turn, undergoing a similar process. The opposition "poetry"/"prose" bears a secondary character only, since all literary genres are written in language which is itself a system of conventional signs. This system is derived from and is consequently a deviation from reality. In other words, if we assume that poetry is a deviation from prose, it is a further deviation from reality. This implies that with the consistent application of the opposition "norm"/"deviation" a further deviation takes place. Or: each deviation develops into a norm itself, and each norm into a deviation. In fact, in a period dominated by one literary genre, such as poetry, prose will be regarded as an exceptional genre. This was the case in Russian Romanticism. However, transitions from a literary genre typical of period A to a genre typical of period B tend to take place gradually rather than abruptly.¹⁶

What is the essence of poetry? In how far can poetry be considered typical of a secondary system and in how far does it alternate with genres typical of primary systems? The Russian Formalists emphasized that in poetry the beholder's attention is focused on the expressive element (*vyrazhenie*) in language (Hansen-Löve 1978: 305). In the Russian Formalists' view, the sound-pattern of the words determines the norm-code in poetry. Tynianov introduced the term "orchestration" to describe it. It is realized in what the latter called "repetitions" (*povtory*), particularly in rhythm. However, their meaning determines the norm-code in prose. This does not imply that poetry can neglect the element of meaning altogether. Consequently, in a poem a specific tension results from the confrontation between musical and meaningful elements. This tension shows that in a poetic text two codes are active, i.e. one determined by music and one determined by meaning. The musical elements are the contrasting elements of meter and rhythm. Summarizing: in poetry, elements of meaning are deformed in favour of sound-elements. The rever-

se is true of prose, where sound-elements are deformed in favour of meaningful ones (Tynianov 1981 (1924): 39f., Hansen-Löve 1978: 321, fn. 531).¹⁷

The fact that in poetry the expressive element dominates the element of the meaning of language has been broadened by Russian poets. Consider Mandel'shtam's observation that a poet uncovers all phenomena of the universe. He should, therefore, master the languages of *all* men. Mandel'shtam feels that a poet annihilates the boundaries between all languages. This implies that, in his view, he shatters the boundaries between man's omniscience and man's ignorance. He does so in a kind of sacred ignorance which embraces the whole universe (see Lachmann 1984: 490ff.; part. 503, and the quotations from Mandel'shtam mentioned there). The idea that poetry shatters all boundaries implies that readers of poetry should base themselves on new codes. These enable them to interpret texts anew at all times. Verse and meter determine the aforementioned new codes, meaning merely plays a secondary role. Poetry presupposes a beholder who is free to select a language-code provided that he interprets the sound-material correctly. This implies that poetry remains a stock of incomprehensible sounds for the human brain. It remains incomprehensible unless that brain is able to formulate an appropriate *answer* to such sounds. However, the incomprehensible character of poetic speech ultimately ends in complete silence (see, in this regard, Chapter 3, Section 3.2.3).

The specific character of poetry versus prose was emphasized approximately a century and a half ago by the English poet G. Manley Hopkins (Hopkins 1959 (1865): 289). He already emphasized that parallelism and repetition are distinctive features of poetry (Hopkins 1959 (1865): 81ff. and 288f.). Hopkins warned against using them mechanically since this will obliterate the aesthetic effect of poetry (*ibidem*).¹⁸ Formalist theoreticians such as Brik, Eikhenbaum, Tomashevskii, Tynianov, as well as Cubo-futurist writers like Maiakovskii and Khlebnikov also emphasized this. The Formalists judged grammatical and meaningful elements in poetry less essential than sound. They studied the role of rhythm and "trans-sense" elements (*znam*) in poetry as opposed to prose (see Hansen-Löve 1978: 310f., 319ff., and fn. 531).¹⁹

In Tynianov's view, meter plays a key role in the transformation of the reality represented in the text into the new reality of the poetic text. However, it is ultimately rhythm which brings about this transformation. It can do so by strength of the fact that rhythm presupposes meter.²⁰ Thus, in the Russian Formalists' view, meter in a poetic text (its norm) and rhythm (its deviation) are in permanent conflict. In fact meter, through its regular pattern, always evokes an expectation. However, it cannot be operative without being shattered by rhythm. If this were not the case, meter would coincide with rhythm. This, in turn, would destroy the poetic character of speech. This is what Hopkins meant when he stated that a poem consists of verses, but that these verses do not play a primary role. Tynianov emphasized that the domination of meter over rhythm in a poem destroys the poetic effect. Again, the first merely emphasizes the phenomenon of regularity in the poem. The aforementioned extra element (or *plus*) adds by the rhythm brings about the qualitative difference between prose and poetry. Thus, it combines the norm and the deviation of that norm, bringing about a literary text by doing so (see Tynyanov 1981 (1924)). Insofar it runs parallel with an image. Thus, in Tynianov's view, an image contains an extra element as it always refers to its own meaning plus an extra one.²¹ Tynianov feels that meter underlying poetry should not be applied too strictly (*ibidem*). When this happens, a comical effect results and the text loses its poetical character. The same occurs when the pattern is applied too freely. In that case, the metrical pattern is completely done away with and a poetical text grows into a defective prose text (*ibidem*).²²

Zhirmunskii's definition of rhythm confirms Tynianov's ideas (see: Zhirmunskii 1966 (1925): 23). In his work, Tynianov mentions the following three basic principles for the study of metrics:

1. the natural phonetic characteristics of given linguistic material on verse,
2. meter, i.e. an *ideal* law, governing alternations of strong and weak sounds,
3. rhythm as an *actual* alternation of strong and weak sounds.

The effect of these three principles results from an interaction of natural characteristics of linguistic material with the metrical law. The word "law" emphasizes the abstract idea of meter, the word "actual" the concrete character of rhythm. So, Tynianov, similar to Zhirmunskii, emphasizes the ideal character of the metrical pattern in poetry. He states that meter as a regular accentual system may be absent. However, the essence of meter lies not in so much in the presence of a system but in the presence of its *principle* (Tynjanov 1981 (1924): 49). Tomashevskii emphasizes that a prose-text does not become poetry when parts of it are simply cut into separate lines. If this were the case, a text-segment could be considered to be poetic due to its mere spatial determination. Thus, it would fill part of a page while other parts remain empty (see Cohen 1966: 76, and Genette 1969: 150f., n. 2). Tomashevskii disagrees with Eikhenbaum's idea that one recognizes the original poet in many fragments of Pushkin's prose. In that case they would have been written down *intentionally* to arouse the suggestion of a regular metrical pattern (Eikhenbaum 1962 (1924): 167ff.). In Tomashevskii's view, however, rather the reverse is true. Thus, the poet did not want to evoke the expectation which is a prerequisite for a poetic text. Such an expectation is meant to be shattered by rhythm (Tomashevskii 1971 (1928): 116f.). These observations about the realization of a poetic effect show that, a text does not become poetic if it is dominated by meter, nor does it become poetic if it is typified by free rhythm. Again, no norm can exist without a deviation, and vice versa. To summarize: on the one hand a reciter or beholder of a poetic text is bound to a poem's metrical pattern; on the other hand, he is free to realize its rhythm according to the musical requirements of pitch, tone and intonation.

1.4 Tynianov's Elements with an Equivalent-character

The aforementioned idea that an extra-element brings about the poetic character of a text is realized in particular by what Tynianov called equivalents (Tynianov 1981: 43ff.).²³ Tynianov considered equivalents of a text to be anything which substitutes non-verbal signs for text-segments such as omissions and graphical signs (*idem*: 42). In Curtius' terms it can be said that equivalents emphasize the Manneristic character of a text since they emphasize its non-Classical character. In Likhachev's

terms, they indicate the transition from a primary to a secondary system. They show that the rules of the primary system do not apply any more. Rather, they indicate that a transitional stage toward a succeeding, secondary system has begun. This is typical of Manneristic works.²⁴ Equivalents which occur in texts render them typical of a secondary system. In fact, they show that this is determined by more than one code. Specific poems are representative in this regard. Thus, a poetic text presupposes speaking or writing-processes which are on the one hand temporally determined. This, in turn, presupposes similar hearing or reading-processes. However, it also shows the presence of another code which is spatially determined. Thus, the listener or reader may be confronted with a moment at which the text literally breaks off. In a written poem parts of the page are left empty in such cases. In oral texts, the spatial determination manifests itself in the fact that the reciter *stops*. By doing so he suggests that not only does the time of the performance come to a standstill, but so do the time of the represented reality; both seem to *freeze*. Texts into which words and graphs are inserted can also be said to be Manneristic in the fashion mentioned above. They also seem to be both temporally and spatially determined. Thus, initially, the reader or listener has to use his temporally determined abilities of hearing or reading. However, at a sudden moment he may suddenly be forced to use his (spatially determined) ability of *viewing*. In that case we may speak of *enclaves*. For instance, dots occurring in a text segment presuppose this ability (see Pushkin's poems in which dots instead of verses are often found). In some cases entire stanzas are even omitted. This phenomenon will be studied in Chapter 4, Section 4.4. In Tynianov's view the use of equivalents does not signify a reduction of the effect of the text due to a lowering or weakening. Rather, the occurrence of equivalents entails a pressure and tension of unspent, dynamic energy (Tynianov 1981: 47). Consequently, the suggestion is aroused that the text is strengthened due to this increase of energy. The text seems to still be in the process of being constructed. In other words: it derives its force from the thus far unfulfilled expectation which is raised in it (*ibidem*). So unrealized parts of verse-lines in a poem anticipate rather than indicate other text-parts since they have a strictly signalling function. They leave the reader free to fill

the text according to his own wish with literally everything the human mind can grasp. This concerns both the sound pattern and the meaningful aspect of the yet unrealized text segments (*ibidem*). Tynianov emphasized that the essential value of equivalentents lies in the fact that they break up the automatic character of meter (*idem*: 45). In fact, rhythm does the same as far as meter is concerned. Equivalentents, however, do more than that. They may even completely shatter the expectation of meter. Again, equivalentents seem to make the reader free as to the realization of the poetic text. Consequently, they raise the suggestion that the text is completely dependent on him. This implies that a text in which equivalentents occur ultimately swallow their reader. On the one hand the occurrence of equivalentents in a text manifests itself in the fact that they focus the beholder's attention on themselves as parts of the text thus expressing a particular code. On the other hand, they focus the reader's attention on the reality represented in the text. So, by means of an enclave, a text says to a reader: "Take care, *here* and at *this moment* an element with another code is beginning to operate. By doing so it emphasizes that at that time and place also a new part of represented reality begins. However, this enclave directs the reader to the fact that he is both maximally free and maximally bound toward the text. Thus, the reader's attention is directed to the fact that he is not allowed not forget to *return* to the text in his quality of its beholder. In other words, he is both the viewer of the reality represented in the text as its *objective* perceiver and its *subjective* participant. Thus, he has to *fill* the void which has been left in the text by the enclave. The latter enables the perceiver both to view the new code determining the context from then on and to take part in the determination of that code himself.

To return to the equivalentents: they derive their force from the suggestions they raise rather than the indications they make. These concern both the ideal sound-pattern of a poem and the meaning of their text segments. Moreover, they may suggest succeeding phases in of a plot rather than indicating them. Consequently, the metrical energy of one stanza may be passed on to the next through the "empty space" of the equivalentent (Tynianov 1981 (1924): 44). Reference should particularly be made, in this regard, to ciphers playing a key role in narrative

poems. These often emphasize the dynamic character of the text. They are realized as stanzaic and plot-line equivalents (*idem*: 47). Such numbers express a combination of two incompatible processes of recognition and cognition, realized in the plot of a text. Here, the poem shows the aforementioned specific aspect of the artistic *transformation*. Thus, the rhythm of a poetic text comprises both its own character and its underlying meter. In an equivalent, however, the old pattern of meter on which the rhythm is based is, as it were, forgotten and consequently, so is rhythm. In other words, realized text segments will acquire an additional meaning when they are followed by unrealized text elements. This is clear in the case of normal lines which are followed by unrealized word-signs in the form of dots. The extra load of the realized text elements is caused by the fact that they contain the content, meter and rhythm which anticipate the following stanzas. Consequently, text elements replaced by dots arouse an expectation of future events. However, they leave the question of whether they will take place or not undecided. Thus, a stanza which is filled with a certain content may evoke the idea of the realization of a particular theme in the future. This, however, need not correspond with this expectation.²⁵ To summarize, the elements with an equivalent function may either be "filled" with content or not, according to the wish of the beholder. This shows that they combine within themselves a norm-code and a deviation from it. The beholder may decide for himself what is the norm and what the deviation.

Tynianov's observations emphasize that equivalents are maximally effective in poetic rather than in prose texts. In other words, they can be said to be maximally effective in poetic rather than prose texts. See the aforementioned "empty stanzas filled with dots" in Pushkin's poems. As far as the elements emphasizing this spatial character are concerned, Paul Valéry developed similar ideas. Valéry emphasizes that the function of an absence of signs cannot elicit any aesthetic reaction in a beholder. However, he observes that it is essential that the latter is nevertheless *conscious* of this incapacity. Valéry thinks that the more a text is left fragmentary, the more it becomes poetic. This observation confirms again the idea that poetic texts, also due to their fragmentary character, are typical of a secondary system like Romanticism. See, in this regard, also Section 1.1 and n. 2 again. In

Valéry's view, the more open spaces in a work are filled with *meaningful* signs (either pictorial or verbal), the more complete the work becomes. This also means that it becomes *less* beautiful (Valéry 1957 (1937): 374ff.).²⁶ Valéry made a famous distinction between poetry and prose in this regard. He drew parallels between a prose text and marching, and a poetic text and dancing. A prose text presupposes a well-defined goal (Valéry 1957 (1928): 1371). Consequently, Valéry emphasized the role played in prose by logic and grammar. The latter are based on a clear separation between cause and effect. Prose texts are temporally determined.²⁷ Like the Russian Formalists, Valéry emphasized that, in poetry, musical elements and stylistic figures play a key role. Consequently, they function as cement to hold a poetic text together (Valéry 1957 (1928): 1369). In fact, poetic texts derive their poetic character from the fact that they form a deviation (*écart*) from a statement in prose. In the latter grammar plays a key role. Through associations, they evoke a different world in the mind of the beholder (Valéry 1957 (1928): 1456ff.).

Let us return to the indicators of the spatial determination of a poetic text. They emphasize the open spaces in poems, such as open margins, capitals and extra-large letters. Their specific effect lies in the fact that they halt the temporal determination of the text. Thus, such equivalents bring about a silence in it. In an oral text they are presented in the "normal", i.e. temporal way. In that case the reciter pauses his performance or slows down in the course of it (see Butor 1964: 118). In written texts parallels to such silences are realized by typographical means. They bring about the aforementioned essential contact between a written text and its reader in the way a silence does in an oral text.²⁸ If an equivalent in a literary text is filled with specific content, such as illustrations, drawings, graphical signs, or, in a painting, inscriptions, one often speaks of calligrams. In Chapter 4, Sections 4.3 and 4.4 these will be studied in more detail. It is typical of all of them that they deviate from the original standard-code of the text (Wallis 1973). They make a text Manneristic since they enable a beholder to decide for himself whether the code of the verbal or the code of the non-verbal representation, is the norm-code. It is essential for the beholder to be able to recognize the original, underlying, work throughout the whole of the composition. Therefore, in a painting with a text or

inscription the representation should remain recognizable. In turn, in a text with illustrations the text should remain readable and not be completely covered by the representation. The aforementioned enclaves cause continuous shifts of the perspective from the inside to the outside of the frame of the work and vice versa, like those mentioned in n. 28. Passages written in a foreign language occurring in a text are also enclaves since they bring about the aforementioned shift in perspective. Thus, as soon as a reader begins to read a passage written in a foreign language, a shift from the norm-code of the text to its deviant code occurs. Then it is up to the reader to decide what he wants to regard as the norm-code and what as the deviant one.²⁹ In fact, enclaves strengthen the effect of the text also since they raise the suggestion of the idea of the authenticity of texts. See again n. 29, where that specific effect of the use of a foreign language was seen to manifest itself from the idea that literary figures are supposed to master that language. The suggestion of the authenticity of the events represented in the text is emphasized by the fact that it is also read by readers who do *not* understand the function of enclaves. They are therefore supposed to "rely" on the narrator as being somebody who tells true stories. Such readers are helped in their efforts to interpret the text since its partial inaccessibility to them reminds them of the real world. In that world many events occur which *are* incomprehensible to them. However, other people will understand these perfectly well. Geographical and historical indications in a fictional text are illustrative as enclaves. Thus, they enable a reader to decide for himself which text segment expresses the norm-code, the geographical and historical text segment or the fictional one. Thus, it sometimes does not appear to be necessary for the seemingly authentic (i.e. the historical or geographical text segment) to express that code. It often happens that precisely the combination of historical and fictional motifs brings about an effect of authenticity which the two motifs would be unable to show on their own.³⁰

1.5 Time in Classicism and Romanticism as Primary and Secondary Systems

A few observations should be made about the concepts of time in Classicism and Romanticism. It can be said that, broadly speaking, primary systems are dominated

by a conception of linear, Newtonian time. Secondary systems such as Romanticism, on the other hand, are typified by a different kind of time. This can be said to be realized in the form of either circular time or what will be called "block-time." Circular time began with a special moment in the development of the Christian world-view. The latter time began to take a form which differed from the cyclic time typical of the pagan world-view. The new concept of time was based on decisive factors related to the consciousness of man. In this concept, a consistent distinction was made between the beginning, culmination and end of the existence of mankind. In other words, time became linear and reversible. However, although it adhered to the linear nature of time, Christianity did not entirely jettison the cyclic concept. In fact, the concept of circular time such as agrarian, family or genealogic, and biblical time were supposed to be determined by natural rhythms, seasonal changes etc. Thus, earthly history continued to be regarded as a complete *cycle*. Man and his world would *return* to his Creator, time would *return* to eternity (Gurevich 1985 (1972): 110ff.). This idea was valid in the Middle Ages, i.e. a secondary system. During this period, man departed from the view that there was a sequence of seasons (birth, growing, ripening, withering and death; Gurevich 1985 (1972): 141f.).

The concept of block-time, typical of the Middle Ages, implied that time was expressed in terms of space. Thus, man was supposed to live in one space and one temporal plane with his fellow-man. Consequently, historical events were understood as contemporary events. Earlier and later events were, as it were, juxtaposed. For instance, the expectation of people taking part in the Crusades was that they would find the executioners of Christ *themselves* rather than their descendants. Accordingly, man's anachronisms in clothing were illustrative. They reflected the conviction of medieval man that everything that was of fundamental value at their time was essential for *all* times (Le Goff 1964: 222). The spatial conception of time entails that *all moments* were regarded as parts of one and the same *picture*. Medieval man considered his life as being determined from beyond rather than that he determined it himself. Insofar it can be said that the Middle Ages were a typically secondary system (see Section 1.3). In section 1.3. it can be seen that the

typical quality of Romanticism as a secondary system lies in the fact that the artists did not represent reality straight from their own experience. Rather, they represented it using pre-existent models. The role of block-time is particularly evident when clusters of temporally related motifs do not show any meaningful relationship. Consequently, they show a series of events abstracted from the caprices of time, completely dependent upon God's will (Le Goff 1982 (1980): 36). The expression of block-time is particularly illustrative in the method of portrait-painting during the Early Middle Ages as compared to the Later Middle Ages. Thus, during the first period, people were painted as though they reflected eternal life. A painted figure was accompanied by symbols or signs. These materialized his place and the rank assigned to him on earth. They were supposed to *survive* his earthly existence (Le Goff 1982 (1980): 37). In other words, the combination of representations of *mortal* man and his symbols resulted in the suggestion of his development. It suggested his continuous *movement* from temporary to eternal life (Gurevich 1985 (1972): 111). However, later, in early Florentine paintings, represented figures were no longer such abstract images. Rather, they became individuals captured in *time*, i.e. linear time. Such portraits lack the aforementioned abstract symbols. In other words, men on such paintings are similar to photographed figures. In fact, photographs lack the suggestion that, due to the combination of man and his symbols, the first goes through a development of linear time from temporary to eternal life. It is conditioned by the concept of linear time since a natural development is presented as taking place. Reference should be made, in this regard, to the fact that photography was a craft which was invented and developed during Realism i.e. a primary rather than a secondary system. In such a system, it can be expected that man prepares his own models rather than modelling his universe according to models created by himself.

To return to Romanticism: Russian Romantic portraits reflect a similar circular and block-conception of time. They seem, unlike the aforementioned portraits from the Renaissance, to be made according to a method similar to that used during the Early and High Middle Ages. Thus, the figures on Romantic paintings are mostly presented in combination with either other figures or with

parts of their environment. These serve as complementary parts. This specific manner of representation of figures brings about an effect similar to that of the contrast between Medieval man and his symbols. See also the represented additional figures. Thus, Romantic elements also seem to replenish each other. In Chapter 2, Section 2.1, examples will be given of portraits on which the represented figures are placed in one context with a landscape with qualities similar to them. Or, additional figures may be found showing character-traits which are either similar or opposite to them. As far as the concept of linear time used by a Classical poet like Derzhavin, see Chapter 3, Sections 3.1. Chapter 3, Section 3.2, on the other hand, will show that, in the poetry of a typical Romanticist such as E.A. Baratynskii, time is presented as being circular, insofar his time-conception runs parallel with that typical of the Early Middle Ages mentioned above. In Chapters 4 and 5 more specific attention will be paid to the idea that an idea of block-time, similar to that occurring in the Middle Ages, underlies the works of Lermontov. The latter can be considered a typical representative of a secondary system in this regard.

1.6 The Function of Nature in Primary and Secondary Systems

The function of the self for the artistic representation of reality is particularly expressed in the idea of nature in primary and secondary systems. Thus, in primary systems, nature is often considered a human product. Consequently, it may be presented as a *nature-morte*. Realist art and literature are illustrative in this regard. In that case, nature is considered as something lifeless rather than a living organism. About the role of nature in primary systems see Dëring-Smirnov 1980: 2. However, in a secondary system such as Romanticism which is determined by Schellingean philosophy the situation is different. Consequently, art was considered, at best, an expression of an external experience. As a result, in Romanticism the artist was considered to be dependent upon the natural scientist. Thus, the natural scientist was first expected to study chaotic and incoherent natural events occurring in reality. He was expected to reduce these to prototypes, or models (see Schelling 1856, 1,5: 352). The artist, in turn, was not supposed to create an original work of art or text of his own. Rather, he *reconstructed* natural events on the basis of

the aforementioned prototypes in an artistic representation. In other words, in the Romantic view, the creative process had an indirect character. To summarize, in the Romantic conception there existed a strict hierarchy in the tasks of the natural scientist and the artist. The first was supposed to await concrete signals given by natural events before he could start the process of drawing up natural laws, i.e. models in the aforementioned sense. The artist, in turn, was supposed to await the moment the natural scientist had established these models. Only then could he start his creative process which depended on them. The way a natural event was rendered in a work of art or text may, in turn, have been useful for a natural scientist. Thus, the way an artist represented a natural event in a work of art may have given useful information to a scientist. Consequently, the latter could re-adapt the general laws of nature formulated by him earlier basing himself on the recent information of the artist. In other words, there was a mutual relationship between the scientist and the artist. The activities of both may have begun to condition each other.

The mutual influence of the artist and of nature is manifest from the specific character of speech in the Romantic conception. In the Romantic conviction, man was supposed to maintain a "conversation" with nature. Thus, nature was considered to literally permeate the cultural function of Romantic speech. Nature was presented as speaking in an incomprehensible, secret tongue. Thus, a poet's "conversation with nature" in Romantic poetry amounts to a monologue (Čiževskij 1958: 11). Nature's "answer" is, as it were, given by the poet himself.³¹ This example departs from the idea that speech is not considered an abstract system. Such a system consists of conventional signs. However, in the Romantic sense, speech rather is a sound-system. Its prototype can be reconstructed only by man from concrete events taking place in outside reality. After he has completed this reconstruction process, man can react to nature's "speech." Every man has to reconstruct his own *personal* language-code by means of which he can "answer" nature. Such a personal language-system is, by itself, incomprehensible to man in general. Chapter 3, Section 3.4, will show that this specific character of personal speech ultimately results in muteness and incomprehensibility of speech.

Baratynskii's poetry is particularly illustrative in this regard. To summarize, the essence of nature in the Romantic conception and, outside reality in the widest sense, lies in the fact that it models the beholder rather than vice versa. In fact, in Romanticism, native usages and colours as well as products of national histories and national literatures play a key role. Variety in nature should be paralleled by variety in language. In other words, in Romanticism man did not approach nature by means of a language which he (in the Kantian sense) explicitly determined himself. As far as the Classical idea is concerned that man determines reality, i.e. also nature and language, himself, Kant's definition of metaphysics is illustrative. In it, Kant rejects the idea that man might, for his knowledge of the objects of the outside world, be exclusively dependent on their properties. In that case, he would be unable to see how he could know anything about them *a priori* (*KrV B XVI-XVII*). Kant rather emphasizes that if, and only if, objects depend on man's own perceptive or mental properties, he can imagine such a possibility (see also Dienst 1976, col. 1096). Contrary to the Classicistic, Kantian conception that man modelled nature as well as language himself, Romantic man considered his language as being modelled by nature, i.e. outside reality. This implies that, the same as in nature, nothing is assumed to be explicit and rounded off: the Romantic mood is characterized by slight hints and enigmas. It was observed in this regard that literary works are, accordingly, often fragmented rather than complete (McLaughlin 1974: 25f.). See Section 1.1 and n. 2.

1.7 Classicism and Romanticism in Russian Literature

In the preceding pages some observations were made on primary and secondary systems in general. We shall now try to pay more attention to Classicism and Romanticism in Russia. In how far, respectively, they were typical of primary and secondary systems, will be studied. Primary attention will be paid to the function of literature within them. What should, in general, be understood by the aforementioned two currents? Only in French art and literature can a consistent division be made between them. England and Spain have Romanticism but no Classicism. In Germany both Classical and Romantic genres occur, but they are not separated in time (Curtius 1969: 270).³² At the beginning of the nineteenth cen-

ture, there was a tendency to define the early Romantic as a union of the Classical Antique with the Modern Romantic.³³ Pushkin's definition of Romanticism is valuable since it emphasizes the link which exists, in his view, between Romanticism and Mannerism. The author regards all those genres which continue the tradition of Antiquity as Classical. In turn, he considers those forms as Romantic that did not exist during Antiquity or which were replaced by other ones (Pushkin 1996 (1947) (1825): 36).³⁴ Consequently, he called epic and didactic works, tragedies, comedies, odes, satires, epistles, heroic, fictive letters, eclogues, elegies, epigrams and fables Classical. Romantic genres, on the other hand, occurred, in his view, in different periods of history. They came into being in Western Europe after the fall of the Roman Empire. They were particularly influenced by the Moors and the Crusades. For instance, the troubadours developed the virelay, ballad, rondeau, sonnet and so on. Their influence also generated the romance and the fable. Pushkin agreed with the greatest minds at the time of Louis XIV, who were critical of the different poetic genres which had come into being during their lifetime. He considered these genres as being mere, bloodless imitations of the former Classical forms.³⁵ As such, Pushkin can be considered a Classical poet. However, in his article of 1825 quoted in n. 35, he qualified the fairytales of Lafontaine and Voltaire, as well as the latter's *Pucelle*, as successful Romantic works (Pushkin 1996: 138 (1986) (1825): 128).³⁶ In fact, Pushkin can be said to associate Romanticism with Mannerism. Thus, he considers the first a literary current which is not strictly bound to one historical period. Rather, it re-appears periodically. To that extent, he anticipated the definitions of Manneristic genres by Curtius and Hocke. Consider again Section 1.2 which observes that, in the latter's view, these genres are a reaction to all Classical genres. On the other hand, Curtius can be said to anticipate Likhachev's idea of secondary systems by his definition of Mannerism. Several of his contemporaries shared Pushkin's views. However, others like Katenin rejected the idea that in Russia two strictly-separated currents like Classicism and Romanticism existed (Tynianov 1963a (1926): 51f.).³⁷ Consider again Section 1.1, which observes that Classical works reflected, generally speaking,

a closed and centripetal world-model. Romantic works, however, reflect an open and a centrifugal one.³⁸

It was observed above that Classical Russian works of art and literature reflect a closed and centripetal world-model. In modern times it has been expressed in terms of what is official. Romantic works, on the other hand, express a world-model in which the non-official element plays a key role (Lachmann 1988). Russian censorship played a decisive role in this regard. In fact, in literature those genres which have restorative tendencies in terms of the fixed norms of Social-Realism began to show Classical traits. They presupposed a closed world-system. These tendencies transform genres into genres explicitly expressing a primary system. Non-normative genres, however, like mixed and avant-garde genres show non-Classical traits. These are grotesque, fantastic and symbolical genres in modern Russian literature (Lachmann 1988: 280ff.). These non-normative genres, in turn, may become Classical as soon as they adopt the role of a canon.³⁹ To summarize, Soviet literature showed a tendency to legitimize its existence by prescribing specific, aesthetic rules. These were based on norms which explicitly confirmed norms valid at the period at which the works of art and literature were created. It might also occur that they rejected such norms. Anyhow, those who established the norms explicitly rejected the beholder's free choice in the selection of his own norms (Lachmann 1988: 283). In other words, Soviet authors felt a need similar to Pushkin when the latter prescribed Classical norms. Pushkin, in his definition, expressed the need to base himself in his works on norms valid in Antiquity. Conversely, there was a tendency in 20th century Russian authors to annex 19th century literary works. It did so by interpreting the literary works in terms of aesthetic norms typical of a new aesthetic norm, i.e. the norm set by Social Realism.

1.8 Classical and Romantic Literature: Temporal Limits

At the beginning of the nineteenth century, many discussions took place between archaists and modernists in Russian literature. All of them judged Derzhavin positively for his rough, old-fashioned, monumental kind of writing. This was completely different from the newly-introduced, smooth style of the poets of the

eighteen-twenties (Tynianov 1963 (1926): 41). Pushkin greatly admired Derzhavin and in his younger years already emphasized that he owed him a great deal. Later, he consciously imitated him (*idem* 1963 (1926): 92). This fact yields a key to answering the question when exactly Classicism and, in turn, Romanticism began and ended in Russia.

Derzhavin is useful to help define Classicism. The beginning of his activities runs more or less parallel with Catherine II's ascension to the throne (1762). Her rule had important consequences for Russian culture. The empress introduced enlightened ideas into Russia. These ideas were mainly French, due to her manifold contacts with kings, scholars and writers. They penetrated Russian style which had thus far been determined by the strict stylistic language-rules introduced by M.V. Lomonosov (1711-1765). The latter were based on the use of German-Latin syntax and many slavonicisms. These were, in turn, replaced by the language-innovations of N.M. Karamzin (1766-1826). The latter introduced a more elegant style containing many Gallicisms. For example, his sentimental novel *Bednaia Liza* ("Poor Liza") and his *Istoriia russkogo gosudarstva* ("History of the Russian State") are written in an elegant, though old-fashioned style. These are modeled after French examples. The Classical character of Derzhavin's works is also illustrative of eighteenth century moralistic novels and didactic works such as for instance, those by N. Emin (1735-1770) and M.D. Chulkov (1743-1792). They, in particular, show the Classical idea of the world which is determined by the criteria of *individual* men. As regards the beginning of Romanticism, the second decade of the nineteenth century is usually taken to be its starting-point.⁴⁰ For instance, the publication of Pushkin's *Ruslan i Liudmila* gave birth to discussions about the essence of Romanticism. Consider also the year 1824. In that year, Pushkin's *Bakhchisaraiskii fontan* appeared, with a foreword by P.A. Viazemskii (1792-1878). Viazemskii hailed the work as the first "Romantic poem"; after all preceding, Classicistic works (see Serman 1973: 6). One can argue that, with the death of Karamzin in 1826, the Classical period in Russia came to an end. Thus, Karamzin had still been critical toward the new ideas in Russia which foreshadowed Romanticism (McLaughlin 1973: 419). He was considered an authority. Thus, only after his death could his

inviolability be attacked. Only in the third decade of the nineteenth century did the first persiflages on his works appear (Tynianov 1963: 38). The twenties are also taken to indicate the end of Classicism. In 1821, K.N. Batiushkov (1787-1855) became insane and, consequently, unproductive. He was the last representative of the French, Classical style developed by Karamzin. Batiushkov's insanity raises the suggestion that it seems justified to indicate the twenties as the end of this movement. In fact, whereas madness as a theme in Classical literature is hardly important, it plays an important role in Romantic literature (Čiževskij 1958: 51). Consequently, the poet's madness confirms the norm-code of Romanticism whereas in Classicism it would be considered a motif which deviates from that norm. Consider, in this regard, again the aforementioned fact that in Romanticism reality was conceived as a text and man as a figure operative in it. In so far a *writer* like Batiushkov, when becoming insane, did what was expected of a writer when becoming insane, i.e. putting on the mask of a man who was insane.

Finally, in 1825, after Aleksandr I's death, the uprising of the Decembrists took place. It was a movement with which several Russian poets openly or secretly sympathized. It was a product of typically eighteenth century, i.e. Classicistic ideas. Consequently, its suppression can be said to indicate the end of these ideas in Russian literature. In other words, it indicated the transition from Classicism to Romanticism, i.e. from a primary to a secondary system. This implies that artists, who had seemed to be free to model reality in their works according to their own ideas now became subject to outside reality. Artists who were, originally, subject to a Kantian philosophical system now became subject to a Schellingian system.⁴¹ Finally, the question should be posed, of course, what should be defined as the end of Romanticism? The 1840s or 1850s have been proposed as an appropriate date-line (Čiževskij 1964: 16f., Dering-Smirnov 1980: 1). Moreover, emphasis has been laid on the fact that the period after 1850 is useful as a temporal limit insofar as this date concludes the period of poetry, introducing that of prose. Consider, in this regard, n. 16 again.

Notes on Chapter One

1. На протяжении многих веков истории поэтического искусства, за индивидуальным многообразием поэтических форм, нам кажется существенным противопоставить друг другу два типа поэтического творчества. Мы обозначим их условно как искусство классическое и романтическое.

("Since during many centuries of the history of poetic art many individual forms of poetic forms have occurred, it seems essential to us, to make a consistent difference between two types of poetical works. We'll give them the conventional names of Classical and Romantic works"; Zhirmunskii 1962 (1920): 175).

2. See D.F. Rauber. 1969. "The Fragment as a Romantic Form." In: *Modern Language Quarterly* 30, 2 (1969): 212-221; here: 214f. See also T. Bahti. 1984. "Coleridge's *Kubla Khan* und das Fragment der Romantik." In: L. Dällenbach [a.o.] (Hrsg.). *Fragment und Totalität*. Frankfurt am Main: 182-199. Both authors pay particular attention to the role of Coleridge as a typical Romantic poet.
3. V.M. Zhirmunskii. 1970. "Anna Akhmatova i Aleksandr Blok." *Russkaia Literatura*, 3.
4. See: V.V. Markov. 1962. *The Longer Poems of Velimir Chlebnikov*. Berkeley, Calif., Univ. of California Press, 51.
5. In this regard, Likhachev observes that in literary history each period comprises less time than its preceding one. Thus, the Romanesque period spanned approximately six centuries (from the 6th to the 12th century), Gothicism three centuries (from the 12th to the 15th century), Renaissance approximately two centuries (the 15th and the 16th centuries), Barocco approximately 150-200 years in the 17th century, Classicism a hundred odd years in the 18th century and Romanticism about 50 years in the 19th century (Likhachev 1973: 178f.). For a definition of the term *Maniera*, see, also A.M. Boase. 1962. "The Definition of Mannerism." In: *Actes du 3me Congrès de l'Association Internationale de Littérature Comparée, 21-30 aout, 1961*. The Hague, 143-155.

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6. Curtius emphasized that in Manneristic genres a consistent opposition exists between a norm and a deviation from that norm. He mentions the epigram as a genre which is typically Manneristic. Thus, it resulted as a deviation from the original norm-code of an inscription for the dead in sacrificial offerings. The fact that his specific quality resulted in an autonomous genre manifests itself all the more since the new content of the deviating genre is not incompatible with true poetic content (Curtius 1973: 292).
7. For the function of the mirror through the ages, see Jurgis Baltrušaitis. 1978. *Le miroir: révélations, science-fiction et fallacies*. Paris, in part.: 35. The mirror of glass, rolled mercury and metal was invented in Venice, circa 1550. See in this regard C. Dubois. 1982. "L'imitation sans limitation: Reflexions sur les rapports entre les techniques et l'esthétique de la multiplication dans la création manériste". *Revue de Littérature Comparée* 56, 267-280; here: 270. This article offers a good survey of the mirror as a specific tool to realize the effect of duplication which is typical of Manneristic art.
8. The Spanish Manneristic scholar Baltasar Gracián (1601-1658) defined "conceit" (*concepto*) as a mental act which expresses the correspondence between two things which may even be each other's opposite (see Curtius 1973 (1948): 298, Hocke 1959: 26, 59, 164f., and Hauser 1964: 135, 294).
9. The description of the protagonist's double in Heine's *Deutschland. Ein Wintermärchen* is illustrative of the Romantic conception that literary persons are modelled out of outside reality rather than vice versa. Thus, in section 7 it is reported that the poet, together with his double, visits the crypt of the three kings in the Dome of Cologne. In answer to the requirement by one of them that he should pay reverence to him, the poet beckons his double and:

Es drohte der Hiebe Widerhall
 Aus allen Gewölben, entsetzlich, -
 Blutströme schossen aus *meiner* Brust,
 Und ich erwachte plötzlich."
 (it. mine, PMW)

Reality is modelled here after the poet's wish. However, the act which results from his order seems to be the result of a *reverse* rather than a direct projec-

tion: the ensuing blood does not jump from the limbs of the three kings, but rather from the actor's own limbs.

10. Чем ближе к своему образцу, к природе и ея источнику тем прекраснее и совершеннее произведение искусства

("The *nearer* the work of art is to its *model*, to nature as well as to its source, the *finer* and more perfect it is"; Zhukovskii 1902: 28; tr. and it. mine, PMW).

11. Гений все существующее в природе и заключающееся в науке обращает в свою собственность и всему им приобретаемому дает единство. Это дарование единства разнообразному есть особенный характер гения. Для его нет беспорядка; все входит в состав одного целого

("Genius makes everything existing in nature and everything comprised by science its property, and everything it has acquired it gives *unity*. This talent to give *unity* to the heterogeneous is particularly characteristic of the genius. For him no chaos exists, everything enters into the structure of *one whole*"; Zhukovskii 1902: 28; tr. and it. mine, PMW).

12. See, in the same context, Zhukovskii's words:

Гений...не творит новаго то есть не дает бытия несуществующему . Но он постигает истину или существующее быстрым и всеобъемлющим образом, так что сие быстрое,легкое, так сказать внезапное постижение кажется созданием

("Genius ... does not make something n e w, that is, he does not call into being something non-existent. Rather, he understands truth or the existing in a *quick* and ain *all-embracing* manner, so that this *quick*, light, so to say *sudden*, understanding seems a *creative action*"; *ibidem*, spacing by the author, tr. and it. mine, PMW).

13. В произведениях искусства, поэзии, литературы, науки- гений более выражается в плане и в создании целого; исполнение есть уже необходимое следствие сего создания. Талант заключается более в и с

п о л н е н и и; он более выражается в совершенстве некоторых частей; он, так сказать, есть форма, есть слог создания

("In works of art, poetry, literature, and science the genius expresses itself primarily in the plan and the creation of the whole; its execution is already a necessary result of this creative activity. Rather, the *talent* consists of the *e x e c u t i o n*; rather it expresses itself in the perfection of some details; it is, so to speak, rather the form, the style of the creation"; *idem*, spacing by the author, translation and it. mine, PMW).

14. Consider the passage from *Rim* which runs as follows:

...во всю длину всей картины возносились и голубели прозрачные горы, легкие как воздух, объятые каким-то фосфорическим светом. Ни словом, ни кистью нельзя было передать чудного согласия и сочетания всех планов этой картины.

("... Along the length of the whole *painting* rose and lighted blueish the *transparent* mountains, light like air, embraced by some *phosphor-like light*. Neither with a *word*, nor a *brush* was it possible to render the marvellous harmony and coherence of all planes of this *painting*"; 1994 (1842): 200; tr. and it. mine, PMW)

15. See C. De Brosses. 1765. *Traité de la formation mécanique des langues*. Paris: 21, as well as Genette 1969: 152, n. 1.
16. Consider, in this regard: "Es ist wohl kaum zufällig so dass Perioden der Vorherrschaft der Poesie mit solchen der Prosa sich mit einer bestimmten Gesetzmässigkeit ablösen. So diente die Ausbildung einer machtvollen poetischen Tradition zu Anfang des XIX Jahrhunderts, die nach dem Puškin der 20er Jahre dazu geführt hatte, dass man Dichtung und Literatur überhaupt gleichsetzte, zum Ausgangspunkt für die energische Entfaltung der künstlerischen Prosa in der zweiten Jahrhunderthälfte" (Lotman 1981 (1972): 146).
17. Also Tomashevskij emphasizes the fact that in poetry the sound elements in words rather than their meaning are of primary importance. For him, in verses, rhythm is the moment marking the construction, indicating the

frame for its semantics and its expression (Tomashevskii 1985 (1931): 118; see further Hansen-Löve 1978: 34ff.) See, in this regard, also Cohen's and Genette's definition of poetry = anti-prose, as it is exactly in prose-texts that the semantic elements dominate the phonic ones (Cohen 1966: 51, 97, and Genette 1969: 128 and n.)

18. Hopkins also emphasizes that verses consist of words but that their meaning is not essential (Hopkins 1959 (1865): 289). As far as poetry is concerned, he observed that "abrupt kinds of parallelism", as he called it, are typical of it. This is operative in metaphor, simile, parable, and so on. In this regard he also mentions "chromatic parallelism [such as] ... gradation, intensity, climax, tone, expression, (as the word is used in music), *chiaroscuro*, perhaps emphasis ..." (Hopkins 1959 (1865): 85). However, they do not determine poetry. Thus, when rhythm, rhyme and repetition are merely applied for use, e.g. to help the memory, they have no aesthetic function. In that case, their poetic effect is lost. This is what occurs in the verses in nursery-rhymes, in children's play, in nonsense-poetry. All of these completely depend on their constituent sounds. See: *idem*: 288. In such a case the style-figures of rhythm and rhyme do not bring about the desired poetic effect. Tomashevskii, in turn, made a distinction within poetry between the following kinds of parallelism: 1. thematic, 2. syntactical, 3. lexical, 4. strophic, and 5. intonational (Tomashevskii 1985 (1931): 278f.).
19. Khlebnikov goes so far as to emphasize that in poetry the link between the elements of meaning and the musical elements should be cut altogether. In his view, there is no element which can be said to have priority over other ones. Thus, although the group around Khlebnikov considered rhythm essential it even thought that musical elements in general have a merely secondary character. They think that the poetic criterion resided in the *living*, everyday word. "We stopped to look for criteria in text-books; every kind of movement generates a new rhythm for the poet" (see Markov (Hrsg.) 1967: 52). See in this regard, for instance, the statement made by this author (and others) in the almanac *Sadok sudei* ("The Judges'-trap", 2 (1913)). Repr. in: *idem*. For a detailed survey of the literature in the field, see Ingold 1984). In Cubo-Futurist poetry a clear distinction can be made between Pasternak on the one hand and Maiakovskii on the other. Thus, in Pasternak's poetry the

musical elements clearly dominate the meaningful ones. In other words, the poems are temporally rather than spatially determined. However, in Maiakovskii's poetical works, in accordance with the specific talents of this writer, the pictorial element is essential. They can be said to be spatially rather than temporally determined (see, in this regard, Markov 1968: 237f.).

20. See: "Rhythm ... simultaneously appears as a sign of meter, a necessary factor of rhythm, the dynamic grouping of material. The basis of meter lies not so much in the presence of a system as in the presence of a *principle*" (Tynyanov 1981 (1924): 49; it. mine, PMW).
21. In modern times, the evaluation of the image in poetry is evaluated differently. Thus, Cohen defends the view that in images a complete transformation is realized from the indicated word to the image. Ultimately, the indicated word completely disappears. To that extent he emphasizes the essence of the object in poetic speech. Genette, however, emphasizes the quality of the poetic word as being an image. In his view, the specific function of the poetic word lies in the fact that in an image the meaning of the word this image replaces always shines through (Cohen 1966: 214, Genette 1969: 134).
22. Thus, Tomashevskii emphasized that, when a poetical text is simply presented as a prose-text, the poet's rhythmical intention disappears (Tomashevskii 1985 (1931), 118). In fact, the group surrounding Khlebnikov rejected all kinds of meter. In their view, the poetic criterion resided in the living, everyday word. "We stopped to look for criteria in text-books; every kind of movement generates a new rhythm for the poet" (see Markov (Hrsg.) 1967).
23. In fact, the term "equivalent" was not generally adopted by the Formalists. However, the idea it expressed, played an important role in their investigations of procedures and compositional rules (see Hansen-Löve 1978: 322, n. 532). In recent times, the consciousness of its essential role has generally been accepted. As far as literature is concerned it was developed in Ingarden's definition of "indeterminate spaces" (*Unbestimmtheitsstellen*), as he calls them. This, in its turn, was elaborated on in W. Iser's theory of the "empty spaces" (*Leerstellen*). Iser emphasized that these bring about an interaction between a text and its reader. In fact, they form an enclave in it, i.e.

an element rather belonging to a (spatially determined) system which differs from those text segments which are rather temporally determined. The latter presuppose a reading-*process* (see Iser 1966). For the enclaves, see, more in detail Chapter 4, Sections 4.3 and 4.4.

24. See, in this regard Freedberg, S.J. 1965. "Observations on the Painting of Maniera." *Art Bulletin* 47, 187-197; here: 194
25. See the combination of unrelated images for the representation of a plot in film-art as it was investigated by Eisenstein. His starting-point was that, from a combination of *different* images, a qualitatively different image results. Thus, he combined in each film-shot an element with a real meaning and an element with an additional meaning. The latter had a potential value since it was supposed to anticipate future events. A plot was supposed to result from this combination by means of a *montage* of film-shots. These may collide in such a way as to generate a new image. The combination of these brings about the effect of a series of events taking place successively. This aforementioned combination in each film-shot of normal meaning and an additional meaning the producer called "double-stroke." See: S.M. Eizenshtein. 1964 (1929). "Za kadrom." In: *Izbrannye proizvedeniia v 6-ti tomakh* .T. 2. Moskva, 291 as well as V. B. Nizhnii. 1958. *Na urokakh S. Eizenshteina*. Moskva, 47-48).
26. Valéry emphasized that fragmentary text segments enable a reader to evoke, by means of associations, a different world in their minds (Valéry 1957 (1928): 1456ff.). In other words, in Valéry's view, beauty bears a negative character (Valéry 1957 [1937]: 374ff.).
27. In this regard, the poet's definition of the difference between poetry and prose anticipates Post-modern views. He observed that this difference has a physiological character, since poetic rhythm excites man's muscular organization. A poetic text requires from a beholder not just perception but active participation as well. Thus, it is suggested that a poetic text transforms a beholder into a completely new being. Conversely, in the case of a prose text the perceiver does not undergo such a metamorphosis. In fact, it merely transforms him into a dream-like figure (Valéry 1957 (1927): 1375).

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28. Russian Cubo-Futurist poets, similar to French surrealist authors like Breton, Apollinaire and others, developed the procedure of combining in one work verbal and iconic signs: see the survey given in Khardzhiev 1970: 9-49. For some general observations concerning this subject, see Butor 1964: 118.
29. Consider, for instance, the French passages in Tolstoi's *Voyna i Mir*. It is often difficult there to establish the norm-code and the deviant language-code. The resulting confusion which is consequently aroused in the reader is used by the author as a literary procedure. Thus, figures operative in the text may alternately speak Russian and French (Uspensky [Uspenskii] 1973: 45ff.). All languages are supposed to be accessible to figures originating from both the higher and the lower classes. This is not amazing as far as the Russian representatives of the higher classes are concerned. Thus, although they were born in Russia, they were also fluent in French. French was the standard language for the Russian higher classes. However, the effect of the bilingual passages is strange in the scenes in which lower strata play a role. There, their representatives, the common soldiers, may be expected to speak their own native languages (French or Russian) only. However, passages occur in which soldiers, and even Emperor Napoleon, speak in a mixture of French and Russian. These figures wanted most likely not have been familiar with both languages. It seems that the *author* has translated these passages in the interest of readers who were not familiar with both languages.
30. As regards the combination of real, i.e. historical events and figures, and fictitious events and figures, in one context Nabokov observed that in such a case both text-segments derive a greater authenticity from this juxtaposition. Thus, in Tolstoi's *Anna Karenina*, Stiva Oblonskii is presented as reading in the paper the news of the Austrian ambassador's Count Beust arrival in Wiesbaden in February 1872. Oblonskii is a fictitious, i.e. non-real, figure and Beust a historical, i.e. "real" one. Beust was the writer of extremely tedious, although historically authentic, memoirs. However, the fact that he occurs in the same context as the "unreal", i.e., seemingly lifeless, but in fact, much more lively, Oblonskii results in both persons becoming more vivid (see Nabokov 1981: 213).

31. See, for instance, Kiukhel'beker verses addressed to the wind:

Пусть леса, холмы и доли
 Огласит твой шумный язык!
 Внятный мне твои глаголы,
 Мне понятен твой язык.

("Let thy sonorous cry fill woods, hills and valleys! To me thy words are clear, to me thy tongue is plain"; Quoted from Čiževskij 1958: 28). In other words, the passage shows that the artist's creative process can only start after he has completely identified himself with nature. In that case, he will not only be able, like the wind, to fill all of nature with wind, but also to understand its language. The essence of the latter lies in the fact that it is incomprehensible for ordinary man but understandable for the artist.

32. The German 18th Century Classical authors and philosophers Herder and Goethe deny the existence of 18th century German Classical and modern art although F. Schlegel takes the possibility of a consistent separation between Neoclassical and modern art for granted (*HWP*. 1976. *Bd.* 4, col. 859).
33. Allemann 1976, col. 854. For two surveys of the early nineteenth century discussions on Classicism and Romanticism in Russia, see Tynianov 1963a (1926) and McLaughlin 1974.
34. The author particularly emphasizes the key role of France in the developments in Western-European literatures all of which, in principle, continued those occurring in Antiquity. This has been discussed in more detail by him in his uncompleted essay dating from 1834, entitled *O ničtožestve russkoj slovesnosti* ("The Nothingness of Russian Literature"; Pushkin 1996 (1949 (1834): 168-172).
35. See his observation:

Сня ажеклассическая поэзия, образованная в передней и никогда не доходявшая далее гостиной, не могла отучиться от некоторых

врожденных привычек, и мы видим в ней все романти <ческое
>жеманство, облеченное в строгие формы классические .

("This *pseudo-classical* poetry, which has been shaped in the ante-room, which has never come farther than the drawing-room, could not break itself from some innate habits, and we perceive in it all *roman<tic> affectedness*, clad in strict classical forms"; Pushkin 1996 (1949) (1825): 38; it. mine, PMW).

36. In his article from 1834, mentioned in n. 35, Pushkin elaborated his ideas from 1825. He mentions Clément Marot (1495-1544) as an important votary of the ballad and the rondeau (see Pushkin 1994 (1834): 168-172; here: 169; consider also J. Mersereau: "Pushkin's Concept of Romanticism." In: *Studies in Romanticism* 3 (1973): 24-41). Marot has been defined as exemplary of a poet in whose work much pangrammatisms are found. This is a stylistic procedure consisting of an accumulation of words, beginning with the same letter; for this property Curtius reckons it to the "formal Mannerisms" (Curtius 1973 (1948): 283). Pushkin's study of 1834 does not add something virtually new to his observations from 1825.
37. Katenin tried to draw Pushkin into the camp of the French Classicists (*ibidem*). In fact, Pushkin's and Katenin's contemporary Kiukhel'beker emphasized that Katenin sometimes passed himself off as a Classicist and sometimes as an early-Romantic poet (Tynianov 1963a (1926): 51f. and 388f.).
38. Also the observation made in Section 1.3. about the the idea of masks in the Romantic conception is illustrative in this regard. It shows the tendency of the Romantic authors to identify themselves with their represented persons. This is the ultimate result of the conception of the world as open and it shows the effect of a consistent use of masks.
39. Thus, works in Russian literature from which certain passages had been removed upon request of the censor became, consequently, "official." In other words, such works had become "Classicistic" upon their appearance after the censor's intervention. However, in a later stage, the passages that were to be removed, may have been restored. In that case, a new edition resulted which may, consequently, be considered the official, or Classicistic, one whereas the preceding one will have become corrupt.

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- ^{40.} It is generally accepted in modern times that the term "Romantic" and "Romanticism" in Russian literature was coined in the second decade of the nineteenth century; see: R.A. Budagov. 1968. "Iz istorii slov ROMANTICHESKII i ROMANTIZM." In: *Izvestiia ANSSR-Otdel literatury i iazyka* 27,3, 251; here the journal *Vestnik Evropy* is credited for having "invented" the word.
- ^{41.} For an introduction into Schelling's philosophy, see M. Frank. 1985. *Eine Einführung in Schellings Philosophie*. Frankfurt am Main, Suhrkamp. (*Suhrkamp-Taschenbuch Wissenschaft*, Bd. 520). For a general introduction into the philosophy of identity, see H. Zeltner. 1976. "Identitätsphilosophie". In: *HWP*. 1976. Bd. 4. Basel, Schwabe und Co., AG, cols. 151-152. For a discussion of the philosophy of identity, see Fuhrmans 1954 as well as H. Titze, "Identitätsphilosophie heute und bei Schelling. Meisenheim am Glan, Hain, 1979. (*Schriften zur wirtschaftswissenschaftlichen Forschung*, Bd. 113)

Chapter 2: The Function of Models in Russian Nineteenth-Century Paintings and Literary Works

2.1 General Observations on Russian Romantic Portrait-painting

Some examples of Russian Romantic works will be given now which show that artists and writers recreated pre-existent models. Chapter 1, Section 1.6. showed that a Romantic artist considered himself to create works of art based on signals given to him by natural scientists. The latter had to learn the properties of nature by a procedure of reverse projection in which light played an essential role. Light in the Romantic conception had an indirect function for the artist in his creative process. Schelling paid particular attention to light in general and to light in philosophy in particular (see Schelling 1856-1861, I,5: 352).¹ In his observations, the idea is emphasized that reality is split into halves. He feels that the perfect and imperfect aspects of nature are incompatible. Consequently, in his view, the two halves are kept in balance since any overweight is imparted to either of the two scales *alternately* (*idem*. I,2: 390). Russian Romantic paintings emphasize the indirect function of light. They illustrate the transition from Classicism to Romanticism, i.e. from a primary to a secondary system. The Romanticists thought that light erased the border between man and the reality surrounding him. Romantic painters made use of that particular quality light has of being invisible itself while rendering other things visible. As far as literature is concerned, this idea has been formulated by W. Hazlitt.² Light impelled Romantic painters to absorb the laws of nature which lie at the basis of light before representing it. Thus, art was not considered to be a projection of human craft onto nature. Rather, it was regarded as being absorbed by nature. In other words, seeing and creating were considered to merge (Taylor 1983: 143).

Some qualities typical of Russian nineteenth-century authors toward light will also be examined in this regard. First, some observations will be made about Russian portrait-painting in the Romantic period, such as are the works of Romantic painters like V.L. Borovikovskii (1757-1825), A.G. Venetsianov (1780-1847) and

K.P. Briullov (1799-1852). They elaborated on the genre of portrait-painting. In their works, the artists are seen at work who recreate reality and nature after models presented by natural scientists. Their works are often fragmentary. Insofar their works show the quality typical of all Romantic works. Romantic paintings are similar to texts which are fragmentary due to the fact that equivalents in Tynianov's definition occur in them (see again Chapter 1, Section 1.4 where it could be observed that a fragmentary work or text raises an artistic or poetic effect). Thus, it seems that it is left to the beholder or reader to establish their exact nature. The figures portrayed are often depicted against a background emphasizing his or her state of mind. They seem to grow organically from that background rather than project their character upon it (Hamilton 1954: 238). The figures and objects represented make a "fortuitous" impression. They are presented as being dependent upon the reality surrounding them. This means that this reality has a signalling function. It shows again that represented figures have to be reconstructed after laws established by scientists. In short, the aforementioned portraits show this property typical of a secondary system like Romanticism: the figures are mostly portrayed full-length, often surrounded by their favourite attributes or secondary persons who seem to duplicate them. This duplication emphasizes the central position of the figure portrayed. This procedure is particularly effective when used by a painter with a predilection for a monumental style, such as Briullov. The latter differed from Venetsianov in this regard. The figures on Briullov's monumental works seem to grow, as it were, from from their background. Consequently, the suggestion is aroused that these backgrounds accentuate the figures. Thus, their environment emphasizes their particular physical beauty (Rakova 1966: 179). This effect is also caused by the frequent occurrence of secondary figures. These seem to both mirror and emphasize the value of the central person. Insofar the process of duplication may be realized in the form of what could be called reverse reflection. Chapter 5 will show that the use of duplication is particularly effective in Romantic literary works such as Gogol's and Lermontov's.

The character of Romantic works - being based on prototypes -from nature manifests itself in the fact that artists tended to *approach* rather than *render* reality.

They presented a generalized rather than an individual representation. In this respect they run parallel with medieval portraits but contrary to Renaissance ones, as mentioned in Chapter 1, Section 1.5. Briullov's portrait-painting "The Amazone" is an example, in which an interaction of the elements takes place between the represented central figure and her environment. This results from the opposition of the motifs of "mobility" and "immobility" in the painting. Thus, although the main figure is supposed to be mobile, she seems to be unnaturally *immobile*. However, her background is presented as breathing *movement*. The clouds seem to fly through the sky. In other words, both the figure and her background merely approach reality in the artistic representation, which is based on a model given by natural scientists in the aforementioned manner (a natural scientist develops a model on the basis of his observations from nature, an artist bases himself on these models in his works of art in which he *recreates* models). *She* runs out of the house (which seems to be mobile, as all parts of the background do) (see Rakova 1966: pl. 62).³ The discovery of the role of light is an essential element in painting indicating the transition from Classical to Romantic art (Taylor 1983: 143ff.). G. Venetsianov (1780-1847) played a key role in the history of art since he was one of the first Russian painters to appreciate the general importance of light (Bird 1987: 105). He had not had the same thorough academic training as his contemporary, Briullov. Consequently, he as a painter of monumental paintings did not have the same dazzling success. He was deeply concerned with the exact representation of nature. In this respect, he felt unsatisfied with the artistic canons handed down by academic traditions. Rather, he felt attracted by new means to represent simple themes and motifs from everyday existence, particularly rural life, in an unsophisticated manner (Alekseeva 1963: 549). The important function of light in Venetsianov's paintings manifests itself in the fact that his works seem to be translucent. His paintings emphasize the fact that the quality of light is that it is invisible itself but visualizes other things (for an example, see his "Sleeping shepherd-boy" from the Russian Museum at St. Petersburg (1824) (ill. 1)). The painting entitled "Summer Harvesting" (1827; Tretiakov Gallery) is also illustrative of this translucent character.⁴ The persons and objects on it seem to flow together

with their environment. A figure can be seen sitting in the blazing sun. The platform on which the woman sits with her child seems to be swallowed by the sun in the same way. This particular effect results from the fact that the colours of her clothes are in perfect harmony with those of the surrounding hay-fields. All persons and objects depicted are penetrated by warm sunshine and seem to become translucent, colours lose their intensity, shadows become light and mobile under the haze (Alekseeva 1963: 569). The representations of indoor scenes by Venetsianov and his pupils are illustrative too. Many open doors, windows and mirrors are depicted on them. They offer vistas on neighbouring rooms and mirrors. Consequently, they evoke the suggestion of light. The painting shows the idea that the artist, in his representation of reality, has consciously based himself on a model from that reality.

As far as the Romantic idea is concerned that portraits do not *directly* reflect reality but rather models of it, consider Borovikovskii's portrait of V.S. Putiatina (after 1815). Here too, the figure portrayed seems to have been painted from a model from nature in the same way as in the aforementioned portrait by Briullov. Furthermore, the attributes occurring in it are adapted to the elegiac tone of the portrait as a whole. Thus, the flowers and the foliage on the portrait cannot be considered to have been painted directly from nature. In short, nature as depicted in the portrait reflects the reality of the portrait (Alekseeva 1966: 93).⁵ Thus, it is evident that the portrait in its capacity of a work of art, presupposes a double process within the artist and the beholder. The artist should orient himself to models from reality, re-create them and *create* an original work. The beholder should, on the basis of the same two activities, create the work during his personal process of perception. Summarizing: for the Romanticist a work of art results primarily from an activity of reconstruction rather than construction. The fact that Venetsianov's figures and objects seem to be translucent has often been taken to result from his often defective and awkward way of painting. In his works the figures often stand in unnatural, frozen positions. The rural scenes depicted often make a stylized and wooden impression. Due to this inexact representation the figures often seem like puppets, grouped together against an equally artificial back-

ground of rural attributes. In other words, this awkward representation emphasizes the spatial rather than temporal determination of the representation.⁶

The idea that human art is inferior to nature corresponds with the Romantics' conviction. Through this the artist also seems to establish a bond between him and his audience. Thus, the artist seems to ask his audience to answer the question "do *you* think my painting renders the underlying *model* from reality in a reliable manner?" Thus, the specific function of Venetsianov's awkwardly painted, translucent, figures lies in the fact that they *compel* an observer to look for the exact nature of the represented figures or objects. They seem to force him to reduce the representation to its underlying model. This, again, in the Romantic conception, is based on its model from nature. A parallel can be drawn between Romantic works of art and texts. Thus, the latter's essence, too, lies in the fact that the more a text is created made in an awkward manner the more it seems to merely evoke its underlying model. In that case it will draw the audience's (i.e. the reader's) attention to a maximal degree (see again Chapter 1, Section 1.4) Thus, the function of the aforementioned awkward form of works of art or texts lies in the fact that it stimulates a viewer to get an insight into the state of mind of the persons portrayed. Chapter 5, Section 5.1, will show that the so-called implied author plays a major role in this transformation of models into an artistic whole.

2.2 Russian Nineteenth-century Authors on Painting and Painters

2.2.1 Genius and the Function of Light in the Conception of the Russian Romantic Artists

N.V. Gogol' has drawn attention to the Romantic concept of light. He emphasized its impact in his 1834 essay *Poslednii den' Pompei* ("The last Day of Pompey"). This article deals with the famous painting by the aforementioned Briullov (See ill. 2). He also emphasized that light seems to render a painted object translucent.⁷ In his view, the painter, in turn, seemed to transform it into an object which melts together with its environment.⁸ The example in n. 8 shows that light incorporates the whole representation since it impels the perceiver to bring up the question: "Is this a body *or not*?" Here Gogol's makes use of the procedure which is typical of him.

Thus, he has the habit of opposing a motif which he introduces to its opposite motif immediately upon its introduction. This procedure will be called *re-to* and will be dealt with in more detail in Chapter 5, Section 5.4 Gogol's idea of light illustrates the Romantic idea that reality can only be studied in combination with the reality surrounding it. Only this combination enables a viewer to reconstruct the basis which is required for its representation. It implies that any isolated expression of objects of reality is defective. Consider again, in this regard, the aforementioned observation that Romanticism is, contrary to the perfection of Classical art, a period of incomplete drafts (Zhirmunskii 1977 (1920): 136; see again Chapter I, Section 1.1, n. 2). In the Romantics' view, too, words alone merely give a defective expression of feelings (Zhirmunskii 1977 (1920): 136).

It was observed that painters like Venetsianov and Briullov emphasize the role of models in their works in as far as the figures in their works seem to grow organically from their background. Where this is concerned they are typical of a secondary system. However, a representative of Realism, such as L.N. Tolstoi, expresses art explicitly in terms of a primary system. For him a work of art reflects the individual character of an artist. The latter is supposed to present his works without the mediation of a model. Tolstoi thinks that the artist should model outside reality after his own independent ideas (*chuzhoe kak svoe*). He emphasizes that it is only by doing so that he brings about the communicative effect of the work. We shall study some aspects of his works in Section 2.3.

2.2.2 Bound and Free Artists in the Romantic and the Realistic Conceptions

Gogol's story *Portret* ("The Portrait") shows that, for the Romantics, outside reality determines the artistic representation. The previous paragraphs have shown that, only after the artist has gone through the process of inspiration he may in turn, begin his artistic task. Insofar the work and the artist condition each other. A represented figure and its model are often presented as being identical to each other. Portraits coming alive is, consequently, a favourite motif in Romantic art.⁹ In Gogol's story a portrait of an usurer, i.e. a lifeless object, becomes a non-portrait since it appears, at least partly, to be a human being. Thus, it has *living* eyes. Later on, however, these appear to be inhuman. The painter who made the portrait is

unable to resist them and refuses to complete it. However, the usurer entreats him to do so.¹⁰ N. 9 shows the Romantic idea at work, according to which an artist should reduce figures, which he has to represent, to their models first. Only then may he fill them with a content of their own. In this case the content may be associated with life as well as death. Consider the narrator's information that the next day the usurer's housekeeper brings the portrait back to the painter. She tells him that her master does not need it any more because he *died* (Gogol 1994 (1835): 102). In fact, the housekeeper's words suggest that the painter is not free to complete the work on his own. If he were, he would fulfil the Classical condition, which implies that artists create original works of art on their own initiative. These works are supposed to be complete and should reflect a complete reality. In other words, Classical works are unequivocal. The Classical artist is not supposed to merely *approach* reality on the basis of models. The aforementioned Romantic conception typical of *Portrait*, however, implies that the narrator first introduces a person personifying "evil." This motif, however, is not operative any more when the son of the painter enters the stage. He tells the story of the production-process of the portrait. The previously mentioned motif of "translucence" is operative as a literal procedure in this regard. The suggestion of translucence is raised since a motif simultaneously expresses a meaning "a" and its contradictory meaning "- a." Thus, the motif "evil" is associated with "not evil" since it also expresses the possibility "to *escape* evil." Reference must again be made to the procedure of the *ne-to* introduced by Gogol' which will be examined in detail in Chapter 5, Section 5.4. The *ne-to* leaves the question whether one of the two motifs will prevail to the other and, if so, to which: this question remains undecided. Thus, some of the people who acquire the portrait may perish, others do not. Accordingly, the motif of "incompletion of the portrait" runs parallel with that of the "not absolute character of represented evil." The suggestion that all motifs in the story are ambiguous (and, consequently, "translucent") is confirmed at the end of the story. There, it is reported that the son of the painter claims that the portrait is his legitimate property. However, it appears to have disappeared in the mean time. With this information the story ends. The translucent character of all motifs indicating

"goodness" and "evil" is evident. The opposition "generosity"/"avarice" is also nullified. Thus, the son of the painter does not obtain the portrait. On the one hand he is either saved from its possibly catastrophic impact. On the other hand, the thief, who has stolen the portrait, may either undergo its fatal influence *or not*. The narrator, consequently, leaves the reader with the unanswered question: "what will happen next?" Summarizing, the author leaves the reader with a feeling typical of Romantic works, i.e. that the work is fragmentary and that even the question posed concerned its fragmentary character is left undecided. To summarize, this story shows the typically Romantic idea that works of art and literature approach reality rather than render it exactly. The essential role of models for the Romantic work of art is evident in the scene preceding the aforementioned one. There the painter Chartkov is asked to make a portrait of a young society girl. He is unsatisfied with the first result because the mother of his model urges him to paint in too conventional a manner. When the two fashionable ladies have departed he continues his work. He works after an unfinished sketch of Psyche, somewhat unconsciously filling it with the traits of the girl. The two women are enthusiastic about the result.¹¹ The ladies think that the painter has *intentionally* painted the young girl in the shape of Psyche. In other words, they think that only a perfect imitation of the model provided by Classical Antiquity can yield a satisfactory result. Consider in this regard that the idea that only an occasional work can be a real work of art (Gadamer 1975 (1960): 138). Gadamer's qualification amounts to the idea that a work can only grow into a work of art when it can be adapted to any desired context in such a way that it may serve at any desired event. Thus, a portrait cannot grow into a real work of art when it merely shows a person who is *recognizable*. Thus, it should rather reflect a contour which should enable both the artist and the audience to fill it with a new content. Again, a work of art should show both what it is and what it is *not*. The occasional character of the represented person in *Portrait* lies in the fact that the represented figure "Psyche" from Greek mythology does not merely refer to the model "Psyche." Rather its reference is broadened, i.e. to that of the painted girl. Originally, the girl merely bears all traits of her model. She is presented as an ideal figure with merely general, i.e., lifeless,

traits.¹² The words "cold" and "ideal" in this quotation reflect the general character of the models from reality. The essential function of a selection of the stimuli from outside reality indicate how the creative process begins. Thus, the painter begins to approach the young girl (see: От нечего делать он теперь принялся проходить его, приоминая на нем все, что случилось ему подметить в лице аристократической посетительницы (Gogol' 1994 (1835): 81. "For want of *anything better* to do he now set to work on it, imparting to it all the *nuances* he had observed in the face of his aristocratic young *model*"; Gogol 1995: 84; it. mine, PMW)). This example shows the overall importance of a pre-existent model which must be filled with content by man, i.e., in this case by the painter. The fact that the model is qualified as being "cold" shows that it is unable to emit signals enabling an artist to even *start* his creative process. Again, this should be based on the model. The passage shows that the latter is, in turn, also unable to bring about the interaction between the artist and the natural scientist.

Let us return to the idea that the painter has to inspire his models with life.¹³ After having completed the process of absorbing stimuli from outside reality, the artist is supposed to be able to begin his own creative process (see the words *кбу-доzhник, nagliadevshis' na prirodu, uzhe udaliaetsia ot nee ...* (etc.) (see n. 14)).¹⁴ The artist plans to make a work of art which is not merely similar to its model but even identical with it (see the words ... *proizvodit ei ravnoe sozhdanie* in n. 14 and the word *ravnoe* in particular). After having absorbed all outside stimuli emitted by this model, the artist has to begin filling his work with life. Consequently, the figure represented is supposed to become a *living* element of nature.¹⁵ The passage corresponds with Zhukovskii's definition of art, mentioned in Chapter 1, Section 1.3. He emphasised that an artist models reality after a process of reverse projection. To summarize, the role played by the occasional character of art in Gogol's *Portrait* is evident. Thus, the fact that the motif "young girl" (A) refers both directly to its denotation "young girl A" and, indirectly, to another, different motif with a value "C" ("mythical figure") shows this. This indirect reference is typical of secondary systems.

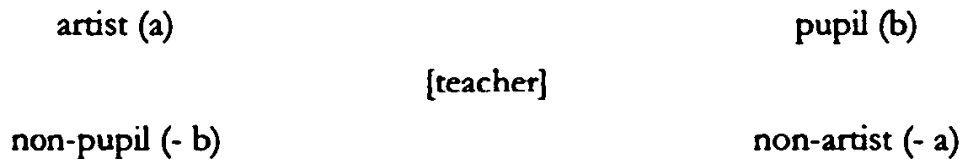
2.3 Reactions of Two Representatives of Russian Romanticism and Realism to Romantic Works

The paintings by A.A. Ivanov (1806-1858) show a combination of aspects of primary and secondary systems. The phenomenon that so many of his works remained incomplete may be regarded as illustrative of Romanticism. Gogol' has described him from a typically Romantic viewpoint and I.S. Turgenev from a typically Realistic one. Gogol' described him in the essay entitled *Istoricheskii zhivopisets Ivanov* ("The Historical Painter A.A. Ivanov"; 1846). This was published in *Vybrannye mesta iz perepiski s druz'iami* ("Selected Passages from a Correspondence with Friends"). There the author tried to explain why the painter had still not finished his painting "The Appearance of Christ before the People" (see ill. 3). The painter had already been working on this work for nearly ten years at that time. Gogol' emphasizes that the cause was that, thus far, the painter had been unable to find appropriate models for some figures. This shows the dominant role played by outside reality in the creative process. Thus, the main figure was still incomplete. The value which Gogol' attached to models emphasizes his quality of a representative of a secondary system. His words reflect the Romantic idea that if an artist has no models at his disposal no work of art can result.¹⁶ Gogol's article dates from 1846. At that time the painter was still a typical Romanticist, i.e. a representative of a secondary system. However, his life changed after 1848. From that year on, Ivanov received many new, also spiritual, impulses.¹⁷ Consequently, he finally grew into a mature artist. The result was that his feelings toward religion also became more sceptical. Thus, he was confronted with the ideas of D.F. Strauss. Under their influence his awareness began to grow that biblical concepts might have resulted from mythological motifs rather than *personally* experienced *religious* feelings (see Chernyshevskii 1950 (1858): 337). Moreover, the artist's conviction grew that he should rephrase his artistic ideas rather than that he should merely accept that they would be based on models. The new artistic stimuli the painter underwent compelled him to cast away his artistic mask (see Stasov 1952 (1880): 87).¹⁸ His outburst of energy implied that he did not consider the completion of his big religious painting as his only task in life any more. Summarizing, by that time the

painter may be said to have developed into a Realist, i.e. a representative of a primary system.

Besides Gogol', Turgenev also wrote an evaluation of Ivanov. His description shows the differences typical of representatives of a primary and a secondary system. Turgenev was typical of a primary system (Realism) and Gogol' of a secondary one (Romanticism). Consequently, Turgenev's observations confirm Dëring and Smirnov's idea of primary systems. In Turgenev's view, Briullov is technically perfect as an artist but his canvases lack content and poetry. Turgenev considers Ivanov's works, on the other hand, to be rich and original as to their content though technically imperfect. Consequently, he feels Ivanov's aesthetic endeavours are hardly successful.¹⁹ The word *priblizitel'noe* ("approximate") in n. 19 shows the goal of Romantic art. It was observed that this merely aims to approach reality. Turgenev, consequently, regarded Ivanov's representations as defective (see again the Romantic idea that art should present a generalized, i.e. by definition, imperfect, representation of a prototype of nature). Summarizing, Turgenev, in his quality of a representative of a primary system, regarded Ivanov as a second-rate artist. Thus, Ivanov made endlessly copies of the head of the Byzantine head of Christ he found at Palermo. By doing so the painter had, gradually, approached the likeness of the head of John the Baptist, whom he wanted to represent. Turgenev rejected this working-method. Thus, an artist should, in his view, determine his norms of creation himself.²⁰ In the absence of a real genius artists can, temporarily, only be mere executors of real genius. However, Turgenev emphasized that such artists should be positively valued, provided that they are sincere. In that capacity as artists, they can enable true genius to shine though in their works.²¹ Summarizing, Turgenev exclaims that one should not content oneself with an artist like Ivanov and his defective style. Rather, one should prefer great, perfect examples: "Why should we content ourselves with a *mere hint* if a *loud word* exists?" (Turgenev 1983 (1861): 85; tr. and it. mine, PMW). The approximate character of art which is typical of Romantic art is emphasized in the use of the word "hint" which is the opposite of the aforementioned "loud word." In other words, for Turgenev the fact that Ivanov's works approach rather than clearly render reality is a

drawback. However, the author emphasizes that we shall have to content ourselves with a man like Ivanov until a real genius arises.²² In fact, Turgenev negatively judges the idea that Ivanov, in his own right, can be considered a great painter. The reason for this is that he should be considered to be a representative of a secondary system. However, the author rejects the idea that Ivanov should be called a mere drop-out who is deprived of any creative force (see Stasov 1952 (1880): 84). Thus, he thinks he might be useful as a teacher bridging the gap between the artist and the non-artist. He considers him a man, between whom the following relationship to a real artist exists:



For Turgenev, Ivanov's essential quality lies in the fact that in him the opposite motifs "pupil" and "artist" meet. This occurs on the level of the sub-contrary pairs "non-artist"/"non-pupil." On that level, Ivanov is operative as a teacher who transforms a pupil into a real artist. He is, in other words, operative as a Classical artist, i.e. an artisan. Thus, Ivanov is a representative of a primary system since *he* (rather than Briullov) stands between two systems. He is able to transform others into artists according to his own ideas. It was considered typical of artists who are artisans that they model outside reality according to their own ideas.

The idea, typical of representatives of a primary system that the artistic representation of reality depends on the creator, has also been illustrated by Tolstoi (see his essay *Chto takoe iskusstvo* ("What is Art?") from 1898 as well as *Anna Karenina*). About the works by Briullov he emphasizes that the essence of art lies in the use of what Tolstoi calls the *chut'-chut'* ("wee-bit").²³ Thus, the words "wee bit" in n. 23 show that, in the author's view, good works of art come about when an artist arranges his motifs after his own wish. In Tolstoi's view, the essence of art lies in the fact that only genius is able to bring on that slight *deviation* which depends upon himself. In other words, works of art are supposed to be brought about by artists

as a result of *conscious* deviations from *freely chosen* models. The difference between a Romantic and a Realistic artist is evident in this regard.

A comparison of the painter Mikhailov in Tolstoi's *Anna Karenina* with the aforementioned Ivanov shows the difference between the first as being typical of a primary and the latter of a secondary system. In Part 5, Chapter 9 of the novel we are informed that Mikhailov is, like Ivanov, working on his big religious painting called "Pilate's Admonition" (Matth. 27). However, Mikhailov fulfils his task without the interference of any external stimulus. On the other hand, it can be seen that in Gogol's essay Ivanov is described as being fully dependent upon models from the outside world. However, in *Anna Karenina* a Classical, Kantian, idea of the freedom of the artist is expressed since Mikhailov is described in it as being a self-conscious artist. He claims that, although he may not have made the *best* representation of Christ, his work is *unique*. He emphasizes that the specific character of the represented figure lies in the fact that *he* painted him and that nothing equal was ever made before.²⁴ This idea of the artist's freedom is also evident from the specific quality the portrayed figure has for the painter. For him the anthropocentric rather than the divine character of the Jesus-figure is essential. In other words, first of all he wanted to represent a figure who is *imaginable*.²⁵ On the other hand, Mikhailov is ambivalent since he is not explicitly convinced of his own omnipotence as a creative artist. Thus, the moment he is viewing his work together with his guests, its flaws become evident for him. He considers his work defective and plain and consequently, he himself feels vulnerable and dependent upon his viewers.²⁶ In this regard, he behaves like a Romantic artist whose works are determined by stimuli from outside reality. However, again, at the same time he considers his work unique. To summarize, the passage shows that the painting presents a combination of qualities typical of primary and secondary systems. The artist is described as both modelling his own reality and as being influenced by it.

In chapter 12 from the same part of the novel a description is given of a small genre piece by Mikhailov. This is completely different from that of the portrait of the society-girl in Gogol's *Portrait*. Anna and Vronskii as well as Golenishchev are delighted with it. Mikhailov has completely forgotten about this picture

which he completed three years before. The passage reflects both non-Romantic and Romantic traits. Thus, it is emphasized that it is a complete, whole piece of work of art on the one hand.²⁷ The word *okonchennye* in n. 27 is illustrative in as far as it emphasizes a Classical world-conception (see again the observation made in Chapter 1, Section 1.1 in this regard, according to which Classical artists were supposed to create complete pieces of works). Thus, the qualification of a work as being complete reflects a primary system. However, it is reported about Mikhailov that he had completely *forgotten* about it. He wants to detract attention from the quality of the painting and tries to do so by emphasizing its incomplete, fragmentary, character. Consequently, he calls it a mere *etiud*. It was observed in Section 1.1 and n. 2 that it is exactly the fragmentary character of works which is typical of Romanticism, a secondary system rather than of a primary system like Classicism. The stimuli which outside reality emit are illustrative too. It was observed that the latter determines, according to the Romanticists, human activities and even works of art. In this regard, the statement is illustrative that Mikhailov is infected by the enthusiasm of his guests. Through them Mikhailov experiences his former enthusiasm which he experienced himself when realizing this work.²⁸ However, he is afraid to waste his invaluable artistic talents on these external feelings. Such an infection would make him unable to express his independent feelings during the process of modelling outside reality. In other words, the artist fears this infection since it would transform him into a representative of a secondary rather than a primary system.²⁹

Notes on Chapter Two

1. In Schelling's view the sunlight is never an isolated whole: it also reflects itself (*sich re-flektiert*, in accordance with Leibniz's definition of the finite objects as the *Fulgurationen* of God; Fuhrmans 1954: 59). From Schelling's observations it is evident that in the Romantic conception nature is considered perfect and superior to man and human efforts. The reverse is the case in Kant's philosophical system; his idea that the self models outside reality also manifests itself in his conception of nature. Thus, Kant presents man as a builder, although no creator, of nature. In Romanticism, however, nature is considered unassailable by man whereas in Classicism it is presented as being subject to his will. Accordingly, art is an imitation of nature only insofar as it adapts itself to man's ideas of aestheticism ("l'art imitait la *belle* nature"). See, in this connection also Fuhrmans 1954: 36f.).
2. See: "The light of poetry is not only a direct but also a reflected light, that while it shows us the object, throws a sparkling radiance on all around it ..." (quoted from Abrams 1953: 52).
3. For an image of the portrait, see Rakova 1966: pl. 62).
4. A similar idea that reality is translucent imposes itself if one realizes that the painter was inspired to this work by the diffuse light on the "Mass at the Capucine Monastery in Rome" by Francois-Marius Granet (1775-1849) (Taylor 1983: 143). For a plate of the painting by Granet, see Stavrou (ed.) 1983: pl. 7.2, and of that by Venetsianov, Alexeyeva 1984: 36 and 37, or Alekseeva 1963, *versus* 568.
5. For an image of this portrait, see Alekseeva 1963: 575, Alekseeva 1966: pl. 47 or Alexeyeva 1984: 19.
6. This spatial determination of Venetsianov's works was already observed long ago by a scholar who, although defining him as a Realistic painter, immediately added that his works contain one typically non-Realistic feature: they are not

narrative. The painter was moved by neither literary themes nor by anecdotes but rather by pictorial motives, In fact, his more narrative works are among his weakest ones (Benois [1919]: 116). It should be observed, in this regard, that an emphasis on the narrative character of a text, i.e. the role of its syntagmatic axis, is typical of works belonging to a primary rather than a secondary system.

7. For the Romantic idea that light makes everything in the universe translucent consider Gogol's exclamation:

Взгляните на эти беспрестанно появляющиеся отрывки, перспективы, пейзажи, которые решительно в XIX веке определили слияние человека с окружающей природою : как в них делится и выходит окутанная мраком и освещенная светом перспектива строений! как сквозит освещенная вода, как дышит она в сумраке ветвей!...Но что сильнее всего постигнуто в наше время, так это освещение

("Look at these fragments, perspectives, landscapes, showing up incessantly, which emphatically determined in the 19th century the unification of man with nature surrounding him. How does the perspective of buildings which is overthrown with darkness and flooded with light radiate in them! How does the water light up and breathes the darkness of the twigs! ... But what is understood best in our times is lighting" (*PSS* 6 (1994) (1835): 275f.; tr. and it. mine, PMW).

Выпуклость прекрасного тела у него как будто просвечивает и кажется фарфоровою; свет, обливая его сиянием, вместе проникает его. Свет у него так нежен, что кажется фосфорическим

("The prominence of a beautiful body becomes, in his [i.e. Briullov's, PMW] hands, as it were, translucent and it seems made of porcelain; the light, pouring a radiance over it, at the same time penetrates it. His light is so friendly that it seems phosphoric"; Gogol' 1994 (1835): 280; it. and tr. mine, PMW).

9. Consider in this regard Poe's story *The Oval Portrait* as a Romantic text too. There a painter experiences a portrait as coming alive as soon as it is completed. He has consequently created an ideal work of art. As soon as he realizes this his model appears to be dead.
10. Он бросился к нему в ноги и молил кончить портрет, говоря, что от этого зависит судьба его и существование в мире, что уже он тронул своею кистью его живые черты, что если он передаст их верно, жизнь его сверхъестественною силою удержится в портрете что он чрез это не умрет совсемно...

(Gogol' 1994 (1835): 102) ([the words are put in the mouth of the son of the painter]: "He [i.e. the usurer, PMW] flung himself at my father's feet and implored him to finish the portrait, declaring that his whole destiny and existence in the world depended on it, that my father had already caught his living features with his brush and that, if he succeeded in conveying them fully, his *life* would be preserved through a supernatural force in the portrait, that thanks to this he would not die altogether ..." (Gogol 1995: 107).

11. -Lise,Lise!

Ах, как похоже!

superbe, superbe!

Как хорошо вы вздумали, что оделе ее в греческий костюм. Ах, какой сюрприз!

(Gogol' 1994 (1835): 82) ("Lise, Lise! What a likeness! c'est superbe, superbe! What an inspired idea to clothe her in Greek costume. Oh, what a wonderful surprise!"; Gogol 1995: 85; it. mine, PMW).

12. Consider:

Это было личико, ловко написанное, но совершенно идеальное, холодное, состоявшее из общих черт, не принявшее живого тела

("The face had been quite skillfully executed, but it remained quite ideal and *cold*, consisting exclusively of general features and altogether lacking *life*"; somewhat adapted from Gogol 1995: 84; it. mine, PMW).

13. Психея стала оживать, и едва сквозившая мысль начала мало-помалу облекаться в видимое тело

(Gogol' 1994 (1835): 81) ("Psyche gradually came to life, and what had been born as a barely discernible *idea* now started to *clothe* itself into a visible *body*"; adapted from Gogol 1995: 84; it. mine, PMW).

14. Уловленные им черты, оттенки и тоны здесь ложились в том очищенном виде, в каком являются они тогда они тогда, когда художник, нагладевшись на природу, уже отдаляется от нее и производит ей равное создание

(Gogol' 1994 (1835): 81) ("The features, shades and tones he had captured were here transmitted in the *purified* form that an artist can only achieve when, after *staring lengthily* at nature, he *withdraws* from it to *create*}lang2057 an artistic work of art of *equal* perfection"; Gogol' 1994 (1835): 84).

15. Психея стала оживать, и едва сквозившая мысль начала мало-помалу облекаться в видимое тело

(Gogol' 1994 (1835): 81) ("Psyche gradually came to life, and what had been born as a barely discernible *idea* now started to *clothe* itself into a visible *body*"; adapted from Gogol 1995: 84; it. mine, PMW).

16. ... сделал все, что мог сделать, все изобразил, чему только нашел образец. Но как изобразить то, чему еще не нашел художник образца? Где мог найти он образец для того, чтобы изобразить главное, составляющее задачу всей картины, -представить в лицах весь ход человеческого обращения ко Христу? Откуда мог он взять его? Из головы? Создать воображеньем? Попустигнуть мыслью? Нет, пустяки!

(" ... he [i.e. the painter, PMW] did everything he could, he represented everything for which he could only find a model. But how to represent something for which the painter didn't find a model? Where could he find a model enabling him to render the essential element of the whole painting which expressed its main problem - i.e. how could he present on the human faces the way in which they turned to Christ? *From where* could he take it? Could he paint it *by heart*? Could he grasp it with his *imagination alone*? Conceive it with the mind? *No, nonsense!*"; Gogol' 1994 (1846): 112f.; tr. and it. mine, PMW). The passage shows that, in the Romantic view, a work of art is a result of a process of *Auffinden* rather than of *Erfinden*. We see again the process of absorption of stimuli at work, which should precede the creative process. The painter is unable, even only temporarily, to occupy himself with other works to earn his living. For this reason, Gogol' urges his readers to support Ivanov financially.

17. Thus, during a trip through Italy he became impressed by nationalists' upsurges (Stasov 1952 (1880): 76).
18. Thus, among other things, the painter learned the technique of painting frescoes. These new techniques determined his working-methods during the last ten years of his life (Mashkovtsev 1964: 217).
19. ...снллся изобразить глубоко захваченную, новую живую мысль, а исполнение выходило неровное, приблизительное, неживое

("... he [i.e. Ivanov, PMW] tried to represent a deeply captured, new, living thought, but the result was an uneven, *approximate*, lifeless execution"; Turgenev 1983 (1861): 84; tr. and it. mine, PMW).

20. Не так творят истинные художники!

("That is not the way veritable artists create!"; *ibidem*, tr. and it. mine, PMW)

21. Consider the quotation in n. 20 which is continued as followed:

Мысль одарена особенной силой; она сквозит и светится даже при недостаточном исполнении, особенно когда человек бескорыстно, до самопожертвования служил ей, как Иванов

("The spirit is gifted with an extraordinary force; it shows through and *shines* even in an unsatisfactory execution, particularly when a man in an unselfish manner, sacrificing himself, served it, like Ivanov does"; Turgenev 1983 (1861): 84; tr. and it. mine, PMW). As far as the the word *ispolnenie* ("execution") is concerned, consider again Zhukovskii's definition of "the talent" whose mere task lies in this execution of the artistic representation (Zhukovskii 1902: 28; n. 14; see Chapter 1, Section 1.3., n. 13). In other words, in Zhukovskii's view the talent is inferior to the genius exactly for this reason.

22. Consider:

А между тем, если уже выбирать из двух направлений,-лучше,втысячу раз лучше пойти за Ивановым, пока еще не явился настоящий вождь!

("But if one has to choose between two directions then it is a thousand times better to follow Ivanov until there will be a real leader."

23. Поправляя этюд ученика, Брюлов в нескольких местах чуть тронул его, и плохой, мертвый этюд вдруг ожил. ``Вот, чуть-чуть тронули, и все изменилось``, сказал один из учеников.- ``Искусство начинается там, где начинается *чуть-чуть*`` сказал Брюлов, выразив этими словами самую характерную черту искусства

(Tolstoi 1913: 82; it. by the author, PMW) ("Merely by correcting it touching a study of a pupil in a few places, Bryulov just touched it in a few places and the poor dead study immediately became animated. 'Why, you only touched it a *nee bit*, and it is quite another thing!' said one of his pupils. 'Art begins where the *nee bit* begins,' replied Bryulov, indicating by these words just what is most characteristic of art"; Tolstoy 1929 (1898): 199f.; it. by the author, PMW).

24. О своей картине, той, которая стояла теперь на его мольберте, у него в глубине души было одно суждение, - то что подобной картины никто никогда не писал... он знал, что того, что он хотел передать в этой картине, никто никогда не передавал

(Tolstoi 1913: 31) ("About his picture, standing on his easle, the painter had, at the bottom of his soul, a firm opinion that *no one* had ever painted anything like it ... he knew that what he wanted to express in the picture had *never* yet been expressed by *anyone*"; Tolstoy 1937: 138; it. mine, PMW).

25. Consider, in this regard, his reaction to Golenishchev's remark -

Это то, что Он у вас человекобог, а не Богочеловек... Я не мог писать того Христа, которого у меня нет в душе

(Tolstoi 1913: 35) ("It is, that you have made Him a man-God, and not a God-man ... I could not paint a Christ whom I had *not* in my soul"; Tolstoy 1937: 44; it. mine, PMW).

26. Все это было пошло, бедно, и старо и даже дурно написано-пестро и слабо. Они будут, правы, говоря притворно-учтивые фразы в присутствии художника и жалея его и смеясь над ним, когда останутся одни

(Tolstoi 1913: 33) ("It was trivial, poor, stale, and even badly painted, weak and lacking harmony. They would be in the *right* when they began to say falsely-polite things in the presence of the artist, and to *pity* and *laugh* at him behind his back"; Tolstoy 1937: 41)

27. He forgot it

... как он всегда забывал про оконченные картины... 'Это так, это давнишний'

(Tolstoi 1913: 36, 45; it. mine, PMW)) (" ... as he forgot all his *finished* pictures ... 'That's nothing - only an *old study*' [he said]"; Tolstoy 1937: 44f.).

28. See:

Восхищение пред этою картиной шевельнуло в Михайлове прежнее волнение...

(*idem.* 38) ("Their *delight* in his picture aroused in Mikhaylov his *former excitement*..."; Tolstoy 1937: 45; it. mine, PMW).

29. ... но он боялся и не любил этого праздного чувства к прошедшему, и потому, хотя ему и радостны были эти похвалы; он хотел отвлечь посетителей к третьей картине ...

("but he feared and disliked their idle interest in his past work, and therefore, he tried to draw his visitors'attention *away* to a third picture"; *ibidem*, it. mine, PMW).

Chapter 3: Derzhavin and Baratynskii as Representatives of a Primary and a Secondary System

3.1 Introductory Remarks

In this Chapter the focus will be on G.R. Derzhavin (1743-1816; see ill. 4) and E.A. Baratynskii (1800-1844; see ill. 5). In the discussions of the early 19th century, both poets and literary theoreticians regarded Derzhavin positively for his old-fashioned, monumental style of writing (see Chapter 1, Section 1.8). In fact, he can be considered a representative of a primary system in Likhachev's terms. Baratynskii, on the other hand, can be regarded as a representative of a secondary system. The theoretical implications of the two systems were already discussed in Chapter 1, Section 1.1. Consequently, we need not go into them in depth now. To begin with Derzhavin: in how far can he be said to be a Classical poet? Many scholars have different views on the question concerning his position. Thus, he has been qualified as a Classical, Romantic, Realistic or even Baroque poet (Serman 1973: 271ff.). It should be emphasized that, generally speaking, the period of Classicism in Russia was far from ideologically uniform (Čiževskij 1964: 16). However, most authoritative scholars have defined Derzhavin as a Classicist (see Blagoi 1933: 306f., Blagoi 1973: 83). The question whether he is such a writer can be reduced to the question whether or not he should be considered a direct follower of Lomonosov (1711-1765). The latter introduced three, strictly separated, styles (the "high", the "middle" and the "low" one) into Russian literature. In fact, these remained intact in Derzhavin's works. In other words, he can be considered to be a representative of a secondary system since he confirmed a norm which was laid on him from beyond.¹ Now, can it be said that he made an *original* contribution to the development of an independent literary style in Russia? He did to the extent that he *adapted* the style-rules introduced by Lomonosov to his own rules. Insofar he can be considered a representative of a primary system. His original contribution to the creation of an original Russian style lies in the fact that he muddled up Lomonosov's three language-levels. He introduced many new forms of style and language (Blagoi 1933: 306). In this respect he is an innovator who made his own way.² The stylistic differences between Lomonosov and Derzhavin manifest themselves because the first consistently uses a solemn, laudatory

tone in his odes. These are explicitly reserved for his high-rating aristocratic principals (*idem*: 310). Derzhavin, however, as early as his *début* in 1779 did not maintain this tone and style. His works do not breath a similar tone. Therefore, he began to add explanatory comments. Moreover, many critical tones resound in his poems. Often the author transformed them into socio-political pamphlets. He even began to write satirical works and persiflages on his addressees (Blagoi 1972: 79). He clearly wanted to be free to express his own independent thoughts. It is in this desire to be free that the Kantian concept of freedom manifests itself. Summarizing, in our argumentation Derzhavin will consistently be contrasted with E.A. Baratynskii who will be regarded as a Romanticist, i.e. a representative of a secondary system.

3.2 Derzhavin's Poetry

3.2.1 The Role of Nature in Derzhavin's Poetry.

The fact that Derzhavin can be considered a representative of a primary and Baratynskii of a secondary system is evident from their different attitude toward nature. The philosophical systems playing a role in the two systems are illustrative in this regard. Primary systems show Kantian traces, whereas secondary systems show Schellingian ones. Thus, according to the Classical idea, man himself determined nature. Eighteenth-century art was supposed to imitate beautiful nature (*la belle nature*), i.e. nature as it corresponded with the aesthetic ideas of man. This idea is expressed in Derzhavin's poem *Parashe* ("To Parasha", 1798). Here the poet invites his addressee (his relative by marriage, Praskov'ia Mikhailovna Bakunina) to accompany him into an idyllic landscape.³ In these verses the Classicistic idea of the superiority of human art over nature is expressed by the motif of artificial light. Thus, the suggestion is aroused that this light occurring in the palace dominates the light in nature (see Derzhavin 1986: 425, n. *Parashe*)

The projection of the self onto the surrounding world in Derzhavin's works manifests itself in the poem *Vodopad* ("The Waterfall"; 1791-1794). This poem shows that man considers nature to be dependent upon him rather than the reverse. It starts as follows:

Алмазна сыплется гора
 С высот четыремя скалами,
 Жемчугу бездна и сребра
 Кипи внизу

("A mountain of *diamonds* pours out/ From the heights in four cliffs,/ An abyss of *pearls* and *silver*/ Boils below ..."; Derzhavin 1947: 102; it. mine, PMW). This dependency of natural elements upon man is evident from the images of silver and pearls. These are supposed to realize man's feelings of beauty. Consider also the fact that the poet speaks about the waterfall in terms of light and colours in their own right. Thus, for him they are a cause to reflect upon the essence and fate of man (Čiževskij 1958: 12). In other words, nature is presented as being subject to man since, apparently, man can select elements fit to illustrate his own ideas. The waterfall is expressed by the image of the old man who utters thoughts about the motifs of "utility" and "beauty." These are typical of the waterfall. The combination of these motifs shows the difference between Lomonosov and Derzhavin. Thus, the former combines motifs which are semantically cognate and which supplement each other. In Derzhavin's verses, however, motifs occur which are not semantically related. The opposite may rather be the case (Serman 1973: 92f.). The possibility to combine unrelated motifs may be said to be typical of Classical works. An aselective choice of unrelated ideas is typical of Classicism in so far as it shows man's freedom. Thus, man is supposed to model outside reality according to his own ideas. Accordingly, an author can present reality as he wishes. In Derzhavin's verse, the image of the waterfall as resulting from a combination of the *incompatible* concepts of "beauty" and "utility" shows two things. It emphasizes the aforementioned freedom of the artist who may create a particular motif in this way. On the other hand, it shows the essential task of the artist which lies in the fact that he is an *artisan*. Only due to this fact is he able to bring about a work of art, i.e. a work of art in the Classical sense. Thus, the poet presents the images of the silver and the jewels first. These express the waterfall's beauty and its *noble* character. Furthermore, he emphasizes that it is also *useful* for man. Insofar he defends the Platonic view that a poet should, by making a useful product, make himself creditable to society. In other words, he can only do so in his capacity as an artisan. This beauty and utility of the waterfall are to be determined by man, in the Classical conception. Man may be inspired by nature to model reality.⁴ However, he is

never forced by it to do so. He differs from Romantic man in this regard. Thus, the latter is continuously *forced* by external reality to represent it according to the laws of nature. Observe the concluding lines of the poem in which the poet addresses himself to the waterfall with the words:

Чтоб был вблизи, вдали любезен
Ты всем ;сколь дивен, столь полезен

("[I hope you"ll] be dear to all, from near and far/ Both for your beauty, and your utility."; *idem*. 158; it. mine, PMW).

For the idea that the freedom of man enables him to transform an element from nature into something which is useful for man see also Derzhavin's ode to S.F. Golitsyn, entitled *Osen' vo vremia osady Ochakova* ("Autumn at the time of the siege of Ochakov"; 17-88). In the poem, the siege by the Russians of the Turkish fortress is extended to the whole universe. Accordingly, the exploits of the heroic Russians are extended to all men. Thus, man is represented as being courageous, i.e. blissful. The projection of man onto the reality surrounding him also manifests itself in the representation of the seasons and the system of values. The autumn which is also regarded as being blissful, is depicted as a god bringing prosperity to the peasants by its rich harvests. See:

Запасиися крестьянини хлебом,
Есть добры щи и пиво пьет,
Обогащенный щедрым небом,
Блаженство дней своих поет.

("The peasant who has enough grain at home/ Eats good cabbage-soup and drinks beer,/ Enrichened by a generous heaven,/ He sings the bliss of his days"; Derzhavin 1947 (1788): 89). In the concluding lines, this association of the beautiful season with a *human* action, i.e. the military expedition, is confirmed.⁵ In these verses the verb-form *briatsat'* (see n. 5) evokes the suggestion of the rattling of weapons in the war against the Turks. The words *pridi*, *zbelanna vest'* indicate the arrival of unique events. They differ from the words *rumianna osen'!* which indicate a season, i.e. a recurrent phenomenon. Thus, the "welcome news" reflects a linear linear time-conception. The words *rumianna*

osen', however, reflect a circular time-conception. This is typical of Romanticism rather than Classicism (see again Chapter 1, Section 1.5.). Furthermore, the aforementioned procedure of realization of images in the specific Classical manner is used. The poet personifies the concept of courage in mythical and historical figures from Antiquity.⁶ In these examples the motifs taken from Antiquity show the debt which Classical art and literature owed to it (see Chapter 1, Section 1.7). Thus, the Russian national hero Potemkin is not presented as being similar to Mars but as *identical* to him (*Rossiiskii .. Mars*). Similarly, the Russian soldiers are presented as *real* Achilleses. The annexation of outside reality by man is realized and seen at work in the image of the mythological figures from Antiquity. The poet adapts the latter to his own ends in his quality of a *Russian* (see also: "The old *kingdom of Mitbridates*" = "Southern *Russia*").

3.2.2 The Specific Function of Negative Statements in Derzhavin's Poetry

The emphasis on the role of the self, typical of eighteenth-century man, is expressed in Derzhavin's use of negative statements. In the scheme of Kantian philosophy there exists a relationship of sub-alternation between a term "a" and the contradictory term "-b" of its contrary term "b". Consequently, such a relationship exists between "this" and "not that" on the one hand and between its contrary term "that" and "not this" on the other. In Derzhavin's poetry, a negation generally occurs in a *complete* statement. Accordingly, negative statements in Derzhavin's poetry do not only shatter an expectation-pattern, they anticipate their positive counterparts as well. This tendency to oppose negative statements to their positive counterparts results logically from the idea that, during Classicism, the world was regarded as being complete. Moreover, questions are generally not left unanswered. However, it can be seen that in Baratynskii's poetry negative statements without their positive counterparts often occur. Accordingly, we encounter many unanswered questions in Baratynskii's poetry. Derzhavin's poem *Na smert' Kateriny Iakovlevny 1794 godu iul'ia 15 dnia prikliuchivsheisia* ("On the death of Katerina Iakovlevna, on July 15, 1794") is illustrative of the Classical tendency to present sets of positively and negatively valued motifs consistently. In these verses, the motif of "life" is consistently opposed to "death" with all its associations. The former is associated with the poet and all creatures in the universe.⁷ The opposition "life"/"death" is realized as a relationship of sub-alternation between "life" and "not-death" on the one and "death" and "not-life" on the other hand. Schematically:

Life	Death
(protagonist)	(wife)
non-death	non-life
(*non-wife)	(*non-protagonist)

The scheme shows that the motifs "life" is typical of the protagonist, and "death" - of his addressee. The feature of all living beings in general is indicated by the motifs marked by an asterisk. That this opposition is maintained consistently is demonstrated in the penultimate line: *Serdtsa, dusbi polovina, prosti!* ("Farewell, half of my heart, of my soul!"; Derzhavin 1947 (1794): 170; it. mine, PMW). In other words, the word *Prosti* indicates the consistent separation of the motifs "life" and "death." These are complementary on the level of the subcontraries. The poet realizes this by the presentation of himself as having died for one half, his other half remaining alive. In other words, together the two halves make up the whole of the organic unity of the poet. The clear-cut opposition of negative statements and their positive counterparts can be presented schematically as follows:

Positive

... *moia miliaia proch' otletala*
Akh! lezhit telo mertvoe ...
roiut psy zemliu ...

Negative

Uzh ne lastochka...
Ne sianie luny blednoe
Moiu miluiu Ne probuzhdaiut

An effect similar to that of negative statements is reached by the use of interrogative sentences. In Derzhavin's literary speech such sentences are often complete in order to bring about a rhetorical effect.⁸ Also in Derzhavin's poem *Lastochka* ("The Swallow"; 1792) motifs are placed consistently in opposition to their counterparts. Contrary pairs of the kind "here"/"there" and "now"/"then" are found rather than contradictory ones like "here"/"not-here" and "now"/"not now." The poet starts informing the reader of what a swallow sees. He does so by presenting the world as an inventory of opposed elements. Thus, the lines addressed to the swallow run as follows:

Сама за собой не успеешь
 Невидимы видеть следы;
 Но видишь там всю ты вселенну,
 Как будто с высот на ковре :

("You *don't* manage to see/ Your own invisible tracks behind you;/ But you *do* see *there* the whole universe/ From the heights, as if on the carpet"; Derzhavin 1947: 127; tr. and it. mine, PMW). This distinction between positive and negative elements enables the poet to present an inventory of the world typical of mythological thinking.

The ode shows that the poet gradually quits Lomonosov's monumental way of writing. His works written shortly after his *début* in 1779 still breathe the latter's tone. However, gradually he begins to shatter Lomonosov's rules of genre and style. Particularly after the year 1790, the poet began to speak in his own quality (Brown 1980: 399). Consider the first verses of the aforementioned ode. At the outset it still has a monumental character. See:

О домовитая Ласточка
 О милосивая птичка!
 Грудь краснобелая, касаточка,
 Летняя гостья, певичка!

("Martin! Lovely bird!/ Swallow with your white and red breast,/ Guest of the summer, little singer!"; Derzhavin 1947: 127). The exclamatory signs show the laudatory tone of the first lines; in the following ones the poem maintains this tone. However, with the concluding stanza it changes. Insofar *Lastochka* reflects the aforementioned turning-point in Derzhavin's writing-career. Thus, the concluding line is elegiac. Whereas Derzhavin wrote the poem in 1792, he added the lines on the immortality of the soul in 1794 only. At that time he had just lost his wife. This fact reflects itself in the aforementioned concluding line. In fact, this line contains an unanswered question:

...и в бездне эфира
 Увижу ль тебя и, Пленира ?

("... - and in the ethereal infinity/ *Shall I see you there too, Plenira?*"; Derzhavin 1947: 128; tr. and it. mine, PMW). The fact that the question remains unanswered brings about the effect of an incomplete statement. It was observed above that it is typical of Romanticism rather than Classicism that questions remain unanswered. The coda-like ending of the poem shows the ambiguous character of Derzhavin's poetry which insofar shows certain traits of Romanticism, i.e. a secondary system. Thus, the poet maintains the monumental tone prescribed by Lomonosov, shattering it on the other. Thus, he models his reality according to his *own* wish, shattering existing rules to reach his goal. Accordingly, the poem presents a writer at work who is able to manipulate his generally mighty addressees in order that they adapt themselves to his wishes. All this shows that he is a representative of a primary system. However, the coda which contains an unanswered question shows that he begins to bear traces of a secondary system.

For the idea that the Classical poet is free to model his own reality, see Derzhavin's ode *Felitsa* (1782). The poet glorifies Catherine II for her wisdom on the one hand. This makes her both a fair critic of men and a lover of poetry. On the other hand, the poet introduces an ironical tone. Thus, he tones down the monumental tone of his verses. He does so by comparing poetry with something trite like sweet lemonade.⁹ The poet emphasizes that the motif "lemonade" makes the product of his poetic activity *useful*. See again the aforementioned observation that, in the Classical conception, a poet should make himself creditable to man. Section 3.2.1 demonstrated that in *Vodopad* the poet also determines what should be considered the poetic criterion. To summarize, the combination of the high-pitched motifs of "tsarina" and "poetry" on the one hand with that of "lemonade" on the other shows that the poet determines his poetic criterion himself. Derzhavin's combination of high-pitched and trival motifs does not detract from the aesthetic value of the poem. Rather, it makes the poet the abstract motifs "merits", "honor", "poetry" better recognizable since he realizes them in the concrete motifs of "the tsarina" and "the poet."

The idea that a poet should make a useful product and that he should determine his poetic criterion himself is also expressed in his poem *Pamiatnik* ("Monument"; 1796). The tone of the verses shows that the poet is not afraid of being misunderstood by his principals. The latter expect from him that he explicitly obeys their orders. However,

Derzhavin realizes his poetic criterion by combining two motifs which express concrete elements. These are "laughter" (i.e. "a laughing *man*") and a tsarina. Through this combination he expresses the *concepts* of courage and uniqueness.¹⁰ The goal of this procedure is evident. Thus, the poet seemingly places himself under the guardianship of the mighty sovereign. Consequently, he allegedly suggests that he is fully dependent upon an external person. However, at the same time he cunningly uses the ruler as a guarantee for his own freedom. By so doing he enables himself to carry out his task according to his own wish. Thus, the Empress functions as the poet's own *alter ego* (Hart 1978: 56). The motif of laughter serves as a means for the poet to manipulate his addressee. In Romanticism, this idea that man might be able to manipulate outside reality would be unthinkable. Conversely, the Romantic poet is supposed to adapt himself to it. Consequently he has to put on the mask of that reality and cannot separate from it. The original model of outside reality remains intact.

3.2.3 The Classical Pleasure, Typical of Derzhavin's Poetry

The aforementioned combination in Derzhavin's poems of motifs which are not cognate generates a specific effect. In primitive society, such a similar use of motifs has grown into an artistic procedure. The auditors of the singer in the Homeric epos were particularly interested in the similes he presented them. These motifs acquainted them with new spheres of reality. In other words, a simile was, for a perceiver, a means to gain an insight into the world. It was, therefore, more than a merely useful expedient to learn the mere essence of the *substituendum*. Consequently, the singer led his listeners along a series of images which were hardly similar to the *substituendum*. The use of this procedure evoked in the perceiver a specific pleasure (*Lust*; Bühler 1934). This desire of the audience to cover and mix spheres from reality is a means to formulate ideas.¹¹ The aforementioned pleasure enables a perceiver to interpret the code of the reality represented in a work of art or text.

It is typical of the Homeric epos that it consists of elements from reality which are hardly related. It has been observed that many combinations of unrelated elements also occur in Derzhavin's works. These complement rather than contradict each other. They are of the kind "a" *versus* "b" rather than "a" *versus* "- a". Their essence lies in the fact that *together* they yield a new and original element. The two elements have a signal-function since they stimulate a perceiver to interpret this *new* element while keeping the original

elements in mind. The code of the resulting new element depends upon this interpretation. It has been observed that, in Derzhavin's works, *abstract* ideas are generated by combinations of the aforementioned concrete motifs. Consider again the poem *Lastochka* in which the enumeration of visible elements from nature results in an inventory of invisible concepts.¹² In these lines, the poet presents the perspective of the swallow who has a high viewpoint thus enabling him to present such an inventory. See the lines *Tam roshchi v odezhdе zelenoi, / Tam nivy v ventse zolotom ...* The word (*tam*) illustrates the important role of the motif "space." The verses show that the representation of nature ultimately results in an inventory of the whole world. The latter exceeds the sum-total of its constituent elements as far as its quality is concerned. Thus, it appears to be delightful; see the words: *vsiu prelest' ... prirody*). The same phenomenon manifests itself in the aforementioned poem on the death of the poet's wife. There, a qualification of her is given in *all* her aspects (a). She is qualified as exceeding the sum-total of her constituent elements.¹³ Thus, the motifs of life and death are realized in the statement that they represent both the presence and absence of all elements from reality. In the poem *Lastochka*, however, the situation is different. There, a third element occurs. This is not related to either of the described personages (the poet or his deceased wife). Rather, it bridges the gap between them. The third element is the swallow who is a living creature contrary to the poet's wife who is not. Thus, it returns every spring. The poet's wife, however, will never return. In Derzhavin's poem, the swallow functions as a new, autonomous motif which results from the combination of two opposite motifs, i.e. "life" and "death." Thus, the domination of life over death is not absolute in so far as the swallow re-appears every spring. Such an alternation of elements of reality is impossible in Romanticism. In the latter, if two opposite elements occur, one is consistently presented as dominating the other. Accordingly, the optimistic tone typical of Derzhavin is absent from a Russian Romanticist's works. Baratynskii is illustrative in this regard since the latter's themes are mostly gloomy.

The combination of concrete motifs which results in concepts is evident in Derzhavin's *Anakreonticheskie pesni*. They reflect the aforementioned pleasure (*Lust*). See, in this regard, the poem entitled *Grafine Orlovoi* ("To Countess Orlov"; 1801). The addressee (1765 - 1848), is the daughter of the famous fleet-commander A. Orlov who burnt the Turkish fleet in 1772/73. The daughter is associated with this heroic deed. The

father and the daughter are presented in the form of sets of opposite motifs. Their combination seems to result in a new motif in the reading-process. Consider:

"father"	"daughter"
"fire"	"heart"
"sea"	"land"
"eagle"	"dove"
"Turkey"	"Russia" ("St. Petersburg")
"bellicosity"	"peaceableness"

The title contains the addressee's name; the first line, a pun on it. See the word *orbitsa* in the lines:

Ты взорами орлица
Достойная отца.....

("You, *eagle-eyed* as you are,/ Are worthy of your *father* ..."; *ibidem*, it. mine, PMW; Derzhavin 1986: 70; it. mine, PMW). For the opposition of the "peaceableness" of the daughter and the bellicosity of the father see the lines:

Душею голубица,
Достойная венца.....

("In your heart a *dove*,/ Worth of a laurel-wreath..."; *ibidem*, it. mine, PMW). The motif "wrath" bridges the gap between the bellicosity of the father and the peaceableness of the daughter. The father and the daughter share it although for different reasons. In other words, the motif (*venets*) is presented as being the result of a combination of opposite motifs. In the last lines the result of the opposition of "bellicosity" and "peaceableness" has a special effect. It seems to lead to a mutual exchange of roles between the two personages. Thus, the daughter is presented as putting on her father's military mask. She will reap *victories* upon her appearance in the capital. At that moment she seems to put on her father's mask of bellicosity. To that extent, she will become similar to her father. By the same token, a parallel is drawn between the concepts "fire"

and "heart." Thus, the daughter is presented as setting hearts aflame like her father did with ships. However, with his victory, the father seems to have definitely ceded his bellicosity to his daughter. The latter sets a part of her fellow-compatriots' hearts aflame after the earlier example of her father who did the same with his enemies on the sea. See the poet's words:

Явишься ль в Петрополе,-
 Победы поженешь:
 Как флот отец твой в море,
 Так ты сердца пожжешь

("When you'll appear in Saint Petersburg, - / You'll reap *victories*. / Similar to what your father did with the *fleet* on the sea, / You will set hearts *aflame*"; Derzhavin 1986: 70; it. mine, PMW). The poem presents a combination of motifs which are similar to and different from each other. Every set, in turn, has a character of its own. The poem illustrates the use of a linear (Newtonian) time-conception which is typical of eighteenth-century philosophy (consider Chapter 1, Section 1.5). Thus, in the first lines the image of the fleet is introduced as an event which took place in the past, at a moment - P. The daughter was born in 1785; this event can be indicated as taking place at a time P. The author wrote the poem in 1801 (P + 1) *after* he had met her for the first time. He writes about the victories she *will* reap in the capital, in the future, i.e. at a moment P + 2. The time of the reality represented in the text runs parallel to the time of the representation, or, the reading process. Again, with the end of the information conveying what *will* happen, the text ends.

The role of freedom, typical of Classical poetry, manifests itself in the combination of motifs from which man may make a choice. See, in this regard, the poem *Tsepi* ("Chains"; 1797-1798; Derzhavin 1986: 431).¹⁴ It was written on the occasion of the loss by Anna Mikhailovna Bakunina of a gold chain during her stay at the poet's estate "Zvanka" (see ill. 6). The poet states that even gold fetters are heavy and constrain freedom. For man, only those fetters are bearable which are made from flowers, braided by a *loving* heart. The text emphasizes the role of man's *own* responsibility in the Kantian conception. Thus, two opposite motifs are introduced (that of "freedom" and that of "compulsion"). The gap between these motifs is again bridged in the aforementioned

way, in this case, by the motif "love." This is realized in the image of "chains, braided from flowers." In other words, the motif of "love" unites two opposite elements. The idea that a chain, braided from flowers of love, may be bearable, again shows the aforementioned idea that man models his own reality. His moral responsibility implies that only he can decide whether particular forms of compulsion exist which are *better* than freedom. The passage quoted in n. 14 shows a consistent opposition of motifs. Consider first the word indicating the motif "chain", in the first stanza. This is split in its literal and its figurative meaning. Thus, it is associated with compulsion (A) as being opposed to freedom (B). Compulsion is realized in the motif "St. Petersburg" (a). However, it is also realized, in the negative sense, in the motif of "Zvanka (b)." Thus, Zvanka (b) is *far away* from the capital (a). It stands for "freedom" or non-compulsion (- A). In turn, Zvanka is associated with *happiness* (*bud' schastlivei na Zvanke* - "be happier at Zvanka-"). In other words, in both the first and the second stanzas, freedom is qualified as being in all respects superior to compulsion. In the third stanza, the idea is also presented that particular forms of compulsion may exist which are better than freedom. This, however, does not imply that the two concepts are identified. Consider again the aforementioned idea that an *identification* of elements from reality reflects Romantic, Schellingian, rather than Classical, ideas. To summarize, in this poem ideas are kept separated consistently. Also in these verses we see the Classical concept of linear time at work. The image of the lost chain is introduced first. It is an object which was lost in the past, at a moment - P. Then we encounter the image of the estate "Zvanka", associated with "nature" and "freedom", as operative in the present (P). To conclude, the image of voluntary compulsion which may be in store for the addressee in the future (P + 1), is introduced. To summarize, the use of this kind of time shows Derzhavin as being typical of a Classical writer. Moreover, the specific description of reality from which the reader derives a specific pleasure is typically Classical.

3.3 Baratynskii's Poetry

3.3.1 The "Soft Transition" to Romanticism in Baratynskii's Poetry

In the works of E.A. Baratynskii traces of Schelling's rather than Kant's philosophy can be found.¹⁵ In fact, the influence of Kant's ideas shows that he can be considered to move in what has been called in Likhachev's terms an elliptic stage. It was observed in Chapter 1, Section 1.1, that Likhachev considers these intermediate stages periods in

which primary and secondary systems end. During such stages a new system gradually evolves (Likhachev 1973: 176). Thus, an elliptic stage links a primary to a secondary system and vice versa. Summarizing, such stages bring about soft transitions between primary and secondary systems and vice versa.

It has been demonstrated that in the Classical world-view man was considered as modelling reality in his own right, whereas in the Romantic world-view he was in his own way considered as being dependent upon outside reality. Schelling's ideas imply that man does not shape reality on his own; thus, he emphasized the general dualistic character of nature. Opposite forces are operative in nature because, without such opposite forces, movement in life would be impossible.¹⁶ However, these forces could not be opposite if they were not originally activities of one and the same nature, but working in opposite directions (Schelling 1856-1861: I,2: 390). As far as time is concerned: it was observed that linear time is typical of a Classical poet like Derzhavin. However, it is rather cyclical time which plays a role in a Romanticist's poems, such as those by Baratynskii. Consider, for instance, the verse-lines published for the first time in 1835, which begin as follows:

О МЫСЛЬ! тебе удел цветка:...

("Thought! Yours is the lot of a flower", Baratynskii 1957: 165). In these lines, thought is likened to a flower. During its flowering-time it attracts all kinds of insects such as midges, grass-hoppers, bees and butterflies. After the summer, however, when it has lost its beauty, all these insects leave it. In the concluding lines the poet says:

А тут зерном своим падучим
Он зарождает новый цвет

("But at that moment, through its falling seed/ It generates a new flower", Baratynskii 1957: 165). The circular character of time manifests itself in the motif of the "seed" (*zernom*). A new flower will always grow in the new season (spring) which follows autumn. By this eternal return of the seasons and, consequently, a new flower, the idea is expressed that nature is permanent. Unlike in the poem *Tsepi* by Derzhavin, there are no two opposite motifs, such as "compulsion" *versus* "freedom" here. In the Derzhavin-poem these combination of opposites resulted in a *new* concept, which was different

from compulsion and freedom, i.e. "love." Rather, in this poem the concept "thought" is realized in the image of the *ever-returning* flower which *supersedes* everything.

Attention should be paid, in this regard, to the parallel which can be drawn between the art and literature of the Romanticists and the Symbolists on the one hand, and Classical and avant-garde art and literature on the other. This parallel was already briefly mentioned in Chapter 1, Section 1.7. It has been correctly observed that in both Symbolist and avant-garde art and literature boundaries are shattered. In Symbolism this leads to a situation in which one order or system completely dominates another. In Romanticism everything in reality is also submitted to one omnipotent order dominating all other ones. In Romanticism, similar to Symbolism, the identification of all orders of reality implies an erasure of all boundaries. In avant-garde art, however, the shattering of boundaries functions as a dialectic confirmation of orders. This confirmation emphasizes that the original autonomy of genres is maintained (Hansen-Löve 1983: 293). Such a dialectic confirmation is also typical of works by a representative of a primary system, such as Derzhavin. Again, this is demonstrated by the fact that in his works combinations of concrete motifs bring about a new concept. The total domination of one element over another is typical of Baratynskii's Romantic poems. It ultimately results in an identification of elements from reality (all quotations are taken from 1957; the translations, as far as possible, from Pratt 1984).¹⁷

Baratynskii's idea of freedom differs from Derzhavin's, which is Classical (see Baratynskii's verses beginning with the words:

К чему невольнику мечтания свободы?

Baratynskii 1957: 161, "What use are dreams of freedom to a slave?", Pratt 1984: 63; the verses were published in 1835). Baratynskii, in accordance with Schelling's ideas regards freedom as empirical because it is a phenomenon of absolute will.¹⁸ Thus, the poet considers even nature to be subject to compulsion, i.e. to the overall superiority of fate. As far as this idea is concerned, see his lines:

...Небесные светила
 Назначенным путем неведомая сила
 Влечет.Бродячий вестр не волен а закон
 Его летучему дыханью положен

(Baratynskii 1989: 164).

(" ... The lights of heaven are pushed along their allotted course by an unknown *force*. The vagrant wind is *not free* and a *law* is set to its soaring breath", Pratt 1984: 63; it. mine, PMW). The words *sila*, *ne volen*, and *zakon* show that neither man nor nature will gain their freedom from the compulsion of fate. Man can only *resign* to the superiority of fate. Only by so doing may he obtain some kind of happiness.¹⁹ The words *smirim* and *raby* in the quotation in n. 19 show that the compulsion, described in this poem, is sterile. Thus, it merely annihilates everybody and everything. To summarize, the concept of freedom in the eyes of the Romanticists is clearly phrased in these verses. Baratynskii, contrary to a poet like Derzhavin, makes no room for man's own responsibility in this regard.

In Baratynskii's poems the Romantic idea of circular time goes counter to the Classicistic idea of linear time. The first motif is expressed in the verses *Na smert' Gete* ("On Goethe's death"), written in 1832. In this poem, all boundaries between elements from reality are shattered in the Romantic manner. For instance, in the penultimate and ultimate stanzas the separation between the opposition "life" and "death" is annihilated. Thus, it is left undecided whether Goethe has really *died* or whether another *life* awaits him after death.²⁰ In the writer's view, *Goethe* need not worry about the outcome of the question whether there will be life after death or not. In fact, the Lord will be content with him anyway. In other words, life and death are presented as *recurring* events. A new abstract concept, i.e. glorification, is presented here, which does, contrary to Classicistic ideas, not result from a combination of opposite motifs, i.e. "life" and "death." In the Classicists' view, such a new motif has a general value, i.e. it is valid for *all* men. In Baratynskii's verses, however, the concept of "glorification" is reserved rather for just one man, i.e. Goethe. In words, there is a big difference with the Classicistic generation of abstract concepts. Thus, the example shows again that in Baratynskii's poem the concept of "glorification" is not presented as a concept which results from a combination of opposite concepts, i.e. "life" and "death." In other words, it does not come about as a

dialectic confirmation of a Classical kind of these two motifs. Rather, the figure of Goethe is presented as *dominating* all other figures in reality in this regard.

For the Romantic idea that in an opposition of motifs one dominates all other ones, regard Baratynskii's verses written in 1832 and published in 1835. They begin as follows:

Когда исчезнет омраченье
 Души болезненной моей?

("When will the obscuration/ Of my morbid soul disappear?"; Baratynskii 1989: 165; my tr., PMW). In these verses, all boundaries between the opposite motifs of life and death are erased. *One* of the two motifs (in this case: death) dominates all other ones. The image of the grave-mound in the final lines is particularly illustrative.²¹ It shows that life and death are dissolved into death. Death dominates life in the absolute sense. In this regard, one should consider again the difference with Derzhavin's poems in which a combination of motifs results in a new concept. There a combination of motifs evokes a sensation of pleasure (*Lust*). Baratynskii's poems, contrary to Derzhavin's, do not show this. His pessimistic tone is due to his continuous fear that his inspiration will dry up. In other words, he is continuously afraid that *lack* of inspiration will dominate inspiration. His fear is realized in the motif of "death." These examples illustrate how features typical of Classicism are expressed in Derzhavin's poetry. Baratynskii's poems, however, show the property typical of secondary systems, like Romanticism and Symbolism. The examples show the different ways in which the concept of freedom is conceived in a primary system like Classicism and a secondary system like Romanticism.

3.3.2 The Function of Negations in Baratynskii's Poetry.

The essential role played by negations in Romantic works manifests itself in way in which Baratynskii conceived nature. Let us, therefore, begin by comparing of some of his poetic representations of nature with Derzhavin's. Again, Romantic man did not think that he determined nature as Classical man did. It was seen that in the *K chemu nevoľniku mechtaniia svobody?* that man and nature were presented as being dependent upon fate. This dependency indicates, in Schelling's view, that everything in the universe

is interrelated and identical. It was observed that it is Schellingian philosophy which makes Baratynskii a representative of Romanticism.

The specific character of Romantic man is already expressed in Baratynskii's earliest works. Consider, for instance, his *Vodopad* ("The waterfall", 1821). Here, the poet tries to come into contact with the waterfall, wondering why he is so fascinated by it (see Khetso [Kjetsaa] 1976: 350). Baratynskii's treatment of the waterfall is completely different from Derzhavin's, as becomes clear because in Derzhavin's view, nature should adapt itself to the perceiver, i.e. also that of the poet. Nature is supposed to change its appearance since it is different for each individual perceiver (see Čiževskij 1958: 15f.). For Baratynskii nature is an objective operative in external reality. In his capacity of a full-fledged Romanticist he turned himself to it with his questions but these remained *unanswered*. Consider:

Зачем с безумным ожиданьем
К тебе прислушиваюсь я?
Зачем трепещет грудь моя
Каким-то вещим трепетаньем?

("Why do I with an insane expectation/ *Listen* to you attentively?/ Why does my breast quiver/ With a prophetic trembling?", Baratynskii 1989 (1821): 86). The use Baratynskii makes of open, or unanswered, questions is illustrative of Romanticism, whereas it can be seen in Derzhavin's Classical poetry that questions are not left unanswered but are, in general, *completed* by the answers. In fact, Baratynskii's open questions have a negative value. Such lines emphasize the prophetic character of the poet. This character is typical of Romanticism. Derzhavin's *Vodopad* is, on the other hand, rather Classical. Thus, in his poems motifs expressing abstract concepts are *visualized*. Baratynskii, however, is fascinated in the waterfall by its audible rather than visible elements. Its *voice* plays a key role for him (consider again the observations, made in Chapter 1, Section 1.5 and 1.6. concerning the role of the meaning of speech-elements in Romantic texts). It has been observed there that human communication, in the Romanticists' view, can only be established by means of *poetic* speech. Meaning plays a mere secondary role in it. Only a poet can present an answer to the signals given by nature. This answer comes, as it were, straight from nature through a poet's mouth.²² Ordinary men, on the other hand, are

depicted as being lifeless in this regard. In the example mentioned in n. 22, Lermontov emphasizes that ordinary man does not understand this kind of speech. However, it *is* understandable for the poet and the *patriot*. This fact shows the aforementioned value attached by Romanticists to nationalities and their ideas. Moreover, uncivilized tribes and their languages were also considered important in this regard (McLaughlin 26).²³ Romantic man was fascinated by foreign cultures and languages because he felt that there was some model underlying them. Consequently, he understood that he had to become familiar with these models. Only by doing so could he learn the cultures and languages by a process of reconstruction rather than construction. In other words, through this process of reconstruction, man was *approaching* cultures and languages in the aforementioned Romantic manner. After having done so, he could consider himself able to start his creative activities. Again, the artistic representation was considered to depend upon models presented by the natural scientist.

Baratynskii's poem *Vodopad* shows that, unlike that of Derzhavin's, man is presented as being dependent upon reality surrounding him; see:

Как очарованный стою
 Над дымной бездною твоею
 И, мнится, сердцем разумею
 Речь безглагольную твою.

("As charmed I stand,/ above your smoking abyss,/ and it seems that I *understand* with my *heart*/ your *wordless* speech", Baratynskii 1989: 86, tr. and it. mine, PMW). These lines show that, in Baratynskii's view, man does not understand with his *ratio*, which he determines himself. Rather, his understanding is determined by his non-rational feelings. Baratynskii emphasizes that in reality speech occurs which lacks rational words. Thus, in Baratynskii's (and Lermontov's) texts, speech-elements are primarily signals to the reader. Consequently, they stimulate him to get an insight into the exact nature of the objects they indicate. One may consider again Chapter 1, Section 1.6, in which it was emphasized that in the Romantic conception understanding was determined by non-rational rather than rational processes.

The motif of the incomprehensibility of poetic speech for ordinary man is elaborated on in several of Baratynskii's later works. For instance, in the lines from 1834,

he writes to his wife that her nickname is the result of an *unconscious* action. Thus, it has no clear meaning.²⁴ Incomprehensibility of human speech ultimately entails complete silence. Silence, which implies the maximally non-communicative character of language, is a recurring motif in all of Baratynskii's poems. Consider the lines *N.E. B...* ("To N.E.B..."), published for the first time in *Sovremennik* 47, 10, 1854 (Baratynskii 1989: 215). These lines show the role played by silence in the poet's works.²⁵ This motif of "silence" is fit to express the identity of opposite motifs, typical of Romanticism. Thus, all elements from reality are dissolved into it. Silence, i.e. a total absence of sound which implies a total absence of communication is a contradiction in terms in poetry. Thus, poetry presupposes language, i.e. communication or an *absence* of silence.²⁶ Baratynski i's craving for rest, i.e. silence, is expressed in the lines written in 1844 and published in *Sovremennik* 36, 36,: 370. The verses begin with the line: *Liubliu ia vas, bogin'ia pen'ia ...* [etc.]. In these verses silence is presented as being the result of a meeting between the kindly-disposed Muses and hostile Fortune. However, the difference between the motifs of love and hostility is dissolved into the motif of silence. Thus, the poet lives in constant fear that the omnipotence of Fortune will imply that he will lose his creative power.²⁷ This, in turn, will mean that everything will be dissolved into a void (see in this regard, also Baratynskii's poem: *V al' bom* ("Album-lines") dating from 1829, and published in *Galateia*, ch. 1, no. 2, 1829: 90). Here he poet opposes the motifs "death" and "life." Hope is associated with eternal life, fear with death. Ultimately, death is presented as dominating life. This is realized in the image of the last judgement. The motifs "life" and "hope" on the one hand and "death" and "fear" on the other are suggested as dissolving into the motif of nothing. This last motif swallows everything (see the word *nichtozhestvo*).²⁸ It is not, in the Classical manner, presented as a *new* motif which results from the combination of two opposite motifs. One may consider the idea typical of secondary systems that one of two opposed elements from reality (in this case "nothing") simply overrules all other ones. Consequently, this passage shows the essence of Romantic and Symbolist art as opposed to Classicistic and avant-garde art (see again Section 3.3.1). The quotation in n. 28 shows that "nothing" is presented as reflecting itself in the addressee's eyes. As far as this specific use of the motif is concerned, consider the image of the mirror in this poem which is realized in the addressee's eyes. Thus, the addressee's eyes enable the poet to shift the point of view from himself to his addressee and vice versa (see again the words lines: "In your *eyes/ I don't* mean

anything..."). The writer is, as it were, suddenly confronted with his addressee in person, and the reader, in turn, with the writer. The result is that all parties involved, including the reader, seem to be involved in the poem. It seems that they are all dissolved into the *predominating* motif of "nothingness." Summarizing, in this motif the Romantic idea that there is one whole which embraces everything in the universe is emphasized. The parallel which can be drawn with the image of the mirror shows that a duplication of mirrored figures seems to take place. These bring about a shift in the point of view. The duplication has an essential function, in that it establishes a link between the text and its reader.²⁹

3.3.3 The Lyrical Cycle *Sumerki*

Baratynskii's aforementioned poem *Poslednii Poet* is a constituent part of the the lyrical cycle *Sumerki*. In this regard the character of the lyrical cycle in general should be studied in somewhat more detail. A cycle can be considered as the paradigm of all contemporary literature. It reflects the growing tendency in literary science to study the interrelationships between literary genres. Moreover, it also tries to regard all poems by one author as elements of a larger whole (Stankiewicz 1982: 231). This whole has been called the "poetic world." It can be defined as the hierarchy of motifs (situations, objects, linguistic structures) which is framed by a central, invariant theme. Thus, it accounts for all that the author's texts have in common (Zholkovsky 1984: 75). The concept of the poetic world suggests that a collection of texts by one writer has a static character. It departs from the idea that *all* texts by one author, irrespective of the temporal order of their appearance, have been created at one and the same moment (*idem*: 77). Thus, a lyrical cycle reflects the tendency of expressing literary texts in terms of the aforementioned poetic world. It consists of parts which preserve their autonomy on the one hand, and is an organic whole which is more than the mere sum of its aforementioned constituent parts on the other. Thus, every part adds something which is not explicitly expressed in every separate poem (see Stankiewicz 1982: 236, Sapogov 1980: 90, Fomenko 1986: 130, as well as Vroon 1989: 477 and 488f., n. 1, 3 and 6 for a detailed list of literature in the field). The subtle balance between the parts and the whole of a cycle should not be disturbed. This is what may happen when some parts are over-emphasized, whereas others do not receive enough attention (Vroon 1989: 479).

Two kinds of lyrical cycles should be distinguished:

1. those in the constituent poems of which one central theme is elaborated consistently. In that case the cycle can be said to be spatially determined since it deals with one theme which is viewed from different points of view, and
2. those in which a development of a temporally determined action is presented in the epic way (Müller 1932: 3, Kaiser 1976: 169).

The element of time in a poetic cycle is particularly manifest if a development is realized in it, a so-called thematic a-priori (Müller 1932: 6). The double function of a constituent poem in a lyrical cycle has been demonstrated by means of an analogy. This means that the following aspects should be taken into consideration:

1. the hierarchical relation between words as they function in the lexicon,
2. their generally recognized meaning,
3. the literary school using them,
4. the poet belonging to that school,
5. the function of the separate poems as part of the cycle (See Etkind 1978: 241),
6. the place of the cycle within the framework of the sum-total of the poet's works.

According to another model, relationships of analogy between the smallest prosodic unit of a poem, the metrical foot, and a lyrical cycle can be visualized. The following formula, in which a geometrical mean plays a key role, may serve as an illustration: $\text{foot} : \text{line} = \text{line} : \text{stanza} = \text{stanza} : \text{poem} = \text{poem} : \text{cycle}$ (Vroon 1989: 477). This scheme confirms the validity of the idea that all branches of literature should be studied in their interconnectedness (see again the idea of Stankiewicz's poetic world). Consequently, the scheme shows that the development from a verse-foot to a lyric cycle is something like a never-ending circle. Thus, the reader goes on looking for the next term in the formula since it does *not* end with the cycle. In fact, a cycle does not end with its last poem but rather seems to be endless. This implies that the words occurring in it do not merely refer to their lexical meaning; rather, they continuously return to their starting-point in the course of the reading-process. They presuppose a continuous cycle of

new readers. These may insert new shades of meaning into the words presented to them.³⁰

The freedom of those new readers confirms the idea that the constituent poems of a cycle go through a spiral. Thus, new readers seem to go through it in the course of the reading-process. Finally, the a-priori finds itself again, as it has found the complete expression of the lyrical theme in the course of a cycle (Müller 1932: 8). The suggestion that a cycle is endless is raised by the fact that, the relation between a poem and a cycle is similar, for the reader, to that between a cycle and a poet's complete book of poetry. In fact, the latter mirrors the whole of his poetic world and his world-view (Fomenko 1984: 130). Thus, the poet also goes through a circle since he is, in turn, supposed to write texts which reflect his poetic world. Müller's observation shows the fitness of the cycle to express a circular rather than a linear (Newtonian) time-conception. In this regard, a cycle can be regarded as reflecting qualities typical of a secondary system. The specific quality of poetic words is particularly evident in a lyrical cycle. Thus, the words occurring in the separate poems refer to their meaning in both the context of the poems and the cycle as a whole. As far as the idea of circular time in a cycle is concerned, the reader undergoes it during his reading-process as well. Thus, at the end of the reading-process, he also finds himself back at the beginning.

In this regard, again the observation made in Section 3.3.1 must be considered that Baratynskii's poetry, unlike Derzhavin's, shows a time-conception which is circular rather than linear. This may be expected from a Classical poet. He may, accordingly, be expected to be an outspoken writer of cycles in which circular time plays a key role. In other words, for him an "eternal return" of constituent verses and motifs also contrasts with a typically Classical linear time-conception. This is expressed in the fact that he only focused on a small body of themes (Sloane 1987: 90). Baratynskii's lyrical cycle *Sumerki* consists of poems which shows a dialogical character in Bakhtin's sense, mentioned in n. 30. Thus, it can be said to consist of poems which answer each other. The fact that a lyrical cycle is more than the sum of its constituent parts, can be schematically expressed as follows: $/1/ + /1/ > /2/$. The character $/1/$ indicates a constituent poem of a cycle. In that quality it has a quality of its own but can also anticipate another poem. The character $/2/$ indicates the sum-total of preceding, constituent poems indicated by $/1/$ plus the fact that they are parts of a cycle. The sign $/>/$ indicates this specific "plus" (unlike the mere addition-sign "+"). Thus, it emphasizes that a poem refers to both itself

and to the theme common to all the cycle's constituent parts. All the themes in Baratynskii's cycles concern the Romantic idea of the world and the vocation of the poet against materialistic man in this world. For him a poet was a prophet, and the problem of poetic creativity played a key role. That is why he attached great value to the unique position of the poet. In his view, only the poet was susceptible to the signs from a higher world. This is what may be called the thematic a-priori in all of Baratynskii's lyrical cycles and, therefore, also in his *Sumerki*. The latter emphasizes that the poet has a high price to pay for this susceptibility. Because of this he alienates himself from the surrounding world of ordinary man since he has to live in isolation to perceive the aforementioned signs. This makes him a typical representative of Romantic ideas.

All the aforementioned qualities typical of cycles are already evident at the outset in the dedicatory poem to P.A. Viazemskii (*Knaziu Petru Andreevichu Viazemskomu*). This was published for the first time in *Sovremennik* 4, 4 (1836). In this poem Viazemskii is addressed in his capacity of both a private person and a man engaged in public affairs. At first, this raises the suggestion that the collection is intended for Viazemskii *only*. In fact, the first lines of the poem suggest that all verses are intended for the addressee *personally*. See:

Как жизни общие призывы,
 Как увлечения суеты,
 Понятны вам страстей порывы
 И обаяния мечты
 [etc.]

("Both the *common appeals* of life,/ And the bustles of distraction/ As well as the gusts of passions/ As well as the charms of the *dream*/ Are understandable to *you* ... [etc.>"; Baratynskii 1989: 178; tr. mine, PMW). Consequently, the poet seems to say: "Come, Viazemskii, read *my* verses in order to be able to phrase your [private] *answer* to it." Then, however, the reader's attention is distracted from the *personal* addressee, as the poet starts to present a report of his own life which may be read by all his readers, both general readers and private friends. In fact, the poet describes *himself* as a person with personal interests only, contrary to Viazemskii with his many social obligations. Consequently, he emphasizes that he spends all his time on his poems in artistic *loneliness*. He presents the

difference between his addressee and himself in the motif of the grave in which he lives.

See:

Счастливым сын уединенья,
[...]
Где я простил безумству, злобе
И позабыл, как бы во гробе,
Но добровольно шумный свет,-

("Lucky son of *loneliness* as I am/ ... / In which I took leave from madness, malice/ And forgot, as in a *grave*,/ But voluntarily, the noisy world - ", Baratynskii 1989: 178; tr. and it. mine, PMW). However, the poet states that his loneliness is not absolute, that sometimes he *leaves* his lonely world. The reason is that he is concerned about his *addressee*. This ambivalence of the poet is realized in the motifs of "life" and "death." Life is expressed in the motifs "ardent" and "lively", "death" in the motifs "grave" (see, again: *grobe*), "loneliness" and primarily, "oblivion." The latter motif is realized in the motif "Lethe" (*Letu*). See:

Еще, порою, покидаю
Я Лету, созданную мной,
И степи мира облетаю
С тоскою жаркой и живой .

("Still, now and then, I *leave*/ *Lethe*, created by me,/ And fly around the steppes of the world/ With *ardent* and *lively* anxiousness"; *idem*, 172; tr. and it. mine, PMW). The contrasting themes of "life" and "death" are also realized in the motifs of "visibility" and "invisibility." This is expressed in the lines in which the poet says that he is *unable* to contact his friend. Consider the lines:

Ищу я вас ; гляжу: что с вами?
Куда вы брошены судьбаму...

("I am seeking you; I am *looking*: where are you?/ Where did fate fling you... "; Baratynskii 1957: 173). See the word *gliazhu* in these lines, as well as the word *vzgliady* in the lines:

Так из глуши моей стремлю
Я к вам заботливые взгляды ...

om my wilds/ I'm throwing anxious *looks* at you ...", Baratynskii 1957: 173). These words are used in opposition to the word *slepoty* in the first stanza.

Thus, the poet emphasizes that he is not so ignorant as he pretends to be and thus, he states that he is perfectly familiar with the addressee's *personal* fate. Consider:

...из глуши моей стремлю
Я к вам заботливые взгляды

("... from my wilds/ I pore out *solicitous* eyes on you", *idem.* 173; tr. and it. mine, PMW). The focus on this fact is also expressed when he announces that he will bring the addressee songs. These reflect his life, with feelings of anxiousness and love.³¹

In all these examples persons and items are presented in opposite sets. However, contrary to poems like those by a Classical poet such as Derzhavin, Baratynskii's motifs are ambiguous. This ambiguity manifests itself in the set "knowing"/"not knowing." Thus, the poet asks what has happened to his friend first. By doing so he suggests that he does *not* know. However, he immediately adds that he does and that he wants to save his friend from the slings of fate (Baratynskii 1957: 173).³² Thus, he expresses the hope that the addressee's life will become happier than it is at the moment of writing. By this utterance he shows that he is familiar with his personal life. See:

Да длится ваше упоенье,
Да скоро минет скорбный час!//
[...]
От вас отвлечь судьбы суровой
Удары грозные хочу...

("May your rapture *endure*/ May your sorrowful time *be over* soon!/ I want to *divert* from you/ The *terrible blows* of cruel fate...", Baratynskii 1989: 178-179; tr. and it. mine, PMW). This passage shows the combination of the motifs of "knowledge" and "ignorance." The motifs of "loneliness" and "oblivion" are ambiguous. Thus, the poet emphasizes that, on the one hand, he needs the loneliness to write poems. However, he immediately adds that he *flees* it in order to look for his friend. Another example of the ambiguous character of the poet's words lies in his qualification of prose and poetry. Thus, he considers prose as being the common means of communication between ordinary men. These do not write poetry. Accordingly, the poet qualifies prose as being "lazy." However, he suggests that, although he is a poet, laziness holds some appeal for himself too. Thus, he makes use of it since he includes his verses for Viazemskii into a letter written in prose. Consider the concluding lines of the poem:

Хотя вам прозно почтовой
Лениво дань мою плачу.

(" ... Although I pay you, *lazy* as I am myself/ My gift with the *prose* of the *lazy* mail", Baratynskii 1989: 179; it. mine, PMW).

In fact, the motif "prose" shows that the poet and his addressee seem to *approach* each other. Thus, Viazemskii is presented as a non-poet. The non-poet, on the other hand, seems to cede some of his prosaic qualities to the poet, as illustrates the function of the word *lenivo*. The ambiguity of the poet and the ordinary man manifests itself in this suggestion that both may be productive as well as unproductive.

The poem *Poslednii poet* ("The last poet") and the concluding poem: *Rifma* ("Rhyme") have a framing function within the cycle (for the specific character of the poem *Rifma* in this regard see Rakusa 1980: 284 and fn. 2). *Poslednii poet* contains motifs which were introduced in the dedicatory poem to Viazemskii. The verses to Viazemskii can be regarded as the antecedent of *Poslednii poet* (see the word *poet* in the heading). This also refers to the opposition of the aforementioned genres of "poetry" and "prose" in the ultimate lines of the verses to Viazemskii. In *Poslednii poet*, several motifs occur which alternate and condition each other. These are the motifs "freedom" *versus* "slavery", "colour" *versus* "lack of colour", "life" *versus* "death" and "ordinary man" *versus* "poet." In

their opposition, they result in the motif "Greece." Consider, in the second stanza, the verses:

Для ликующей свободы
Вновь Эллада ожила
[...]

(Baratynskii 1989: 179)

("Hellas has come alive anew with jubilant *freedom* ... ", Pratt 1984: 128; it. mine, PMW). The ambiguity of the motif "Greece" (*Ellada*) manifests itself in the fact that, at the outset, it raises the expectation of the motifs "life", "colour" and "freedom." However, it also shatters this expectation. Motifs with a similar value which are both positive and negative alternate in the remaining stanzas. This is illustrated by the fact that it is stated that mankind is living in enlightened times first. However, this anticipation of better times is shattered. Thus, the poem continues with the words that the world is becoming more and more materialistic. This manifests itself in the fact that poetry has completely disappeared from it. See:

[...]
Исчезнули при свете просвещения
Поэзии ребяческие сны,
И не о ней хлопочут поколенья,
Промышленным заботам преданы

(Baratynskii 1989: 179)

("[...] in the brightness of enlightenment the childlike dreams of poetry, have *disappeared*, and generations devoted to to the concerns of industry *do not trouble* themselves with *poetry*", Pratt 1984: 127f.; it. mine, PMW). However, in the second stanza, optimistic tones also resound. Consider again the fact that Greece is associated with the motif "freedom", i.e. from the Turks. This is positively valued, as can be seen when first it is emphasized that sciences have returned to Greece with the return of freedom. See:

[...]
 В ней опять цветут науки,
 Носит понт торговли груз
 [...]

(Baratynskii 1989: 179)

("... The *sciences* flourish there once more, the sea bears the freight of *trade* ... ", Pratt 1984: 128; it. mine, PMW). In the second stanza, however, the negative tone prevails: sciences and arts are not presented as going hand in hand continuously. It is emphasized that Greece is presented as being *dominated* by *cold* science. Freedom falls victim to compulsion again. The alternation of negatively and positively felt motifs is continued in the third stanza. There the poet is opposite to ordinary man. The latter is associated with colourlessness, old age, cold and sparkling. Consider, in this regard, the following lines in the third stanza,

Блестит зима дряхлеющего мира,
 Блестит! Суров и бледен человек...

(Baratynskii 1989: 179)

("The *winter* of the senescent world sparkles, sparkles! Man is grim and *pale*, ..."; Pratt 1984: 128; it. mine, PMW). The poet is opposite to it. He stands for life. His world is realized in colours, compassion, and warmth. See:

...зелены в отечестве Омпра
 Холмы, леса, берега лазурных рек.

(*ibidem*)

("... but in the fatherland of *Homer*, the hills, forests, and banks of the *azure* rivers are *green*", Pratt 1984: 128; it. mine, PMW). The ambiguous character of the motifs "science" and "poetry" lies in the fact that, originally, both are positively valued. Thus, both of them are then associated with the return of freedom. This return to Greece implies a

return of the original flowering of sciences. Science and art, however, do not continue to go hand in hand. Thus, in later times the sciences are negatively valued since they are more and more associated with materialism. Poetry is positively valued. On the other hand, the poet emphasizes that the old poetry of Greece, personified in Homer, has not disappeared forever. The concluding lines of the third stanza emphasize again that poetry is not permanently lost in the modern materialistic world. Consider:

Цветет Парнас! пред ним, как в оны годы,
 Кастальский ключ живой струею бьет ;
 Нежданный сын последних сил природы-
 Возник Поэт- идет он и поет.

(*ibidem*)

("Parnassus blossoms! Nearby, as in bygone years, the Castalian string pulses with its living stream; the unexpected son of nature's last strength - the *Poet* has arisen - he goes *his way* and *sings*", Pratt 1984: 128; it. mine, PMW). To summarize, the fact that the word *Ellada* has the additional meaning "poetry" indicates its ambiguity. In other words, Greece has not become a country with a merely materialistic population. On the one hand, one finds these people who are poisoned by the modern materialistic dangers of science. On the other hand, one still finds real poets who remain uninfected by them. Consider:

Воспевает, простодушный,
 Он любовь и красоту,
 И науки, им ослушной,
 Пустоту и суету ...

(Baratynskii 1957: 174)

("The simple-hearted one [i.e. the poet, PMW] sings of love and beauty, of the emptiness and *vanity* of *science* disobedient to their call... ", *ibidem*). Scientists, in turn, remain deaf to their call. The aforementioned motif of "singing" is typical of the poet versus the ordinary man. Consider in this regard, the preceding, dedicatory poem to Viazemskii (in

particular n. 33). There, poetry was associated with "loneliness." The poet's qualification of himself as a "happy son of solitude" is particularly illustrative. In the seventh stanza of this poem, the poet states that it is difficult for a poet to find a lonely place. Thus, he is reported to direct his steps in thoughts:

В немую глушь, в безлюдный край, но свет
 Уж праздного вертепа не являет,
 И на земле уединенья нет!

("Into a *deaf-mute* wilderness, a land, devoid of man, but the world/ No longer offers an *empty refuge*/ And there is is *no solitude* on earth"; Baratynskii 1989: 180.; tr. mine, since, in my view, in the tr. in Pratt 1984 the essential elements of this passage do not show up; it also mine, PMW). In fact, solitude does still exist. This, however, is reserved for the sea. The next stanzas quoted in n. 33 are illustrative.³³ The essential property of the sea lies in the fact that it dominates both the ordinary man and the poet. Thus, it dominates people occupying themselves with both materialistic and spiritual interests. To summarize, the essence of all motifs associated with "singing", "love", and "loneliness" in this poem lies in the fact that they refer to the lines of Viazemskii. Consequently, the latter serve as their antecedent. Thus, their specific function emphasizes the character of the poem *Poslednii poet* as a constituent element of a cycle.

Reference should again be made, in this regard, to the aforementioned poetic world. It was observed that it is a specific quality of a cycle that it reflects this world. Both the introductory verses to Viazemskii and the poem *Poslednii poet* illustrate the specific character of a cycle as a Romantic genre. They express the poet's poetic world by rendering reality indirectly. In other words, their Romantic character lies in the fact that they *approach* reality rather than refer directly to it. *Poslednii poet* ends with the description of the death of the poet who kills himself by jumping from a cliff into the sea. The end of the poem coincides with this event. The fact that the poem bears the heading: "The *last* poet" makes it ambiguous. The heading arouses the suggestion that the poem destroys its own frame since it destroys its maker: the *poet*. The represented reality and the reality of the text are presented as falling together. The death of the poet arouses the suggestion that the frame of the cycle is, in its turn, shattered. This implies

that no poems can follow anymore at all. In other words, a poem like that which the *reader* has under his eyes will not be written anymore.

A difference between *Poslednii poet* and the preceding lines to Viazemskii lies in the different conception of the idea of freedom. In the latter verses, some kind of freedom is left to the poet. Thus, he calls himself *schastlivyi syn uedinen'ia* (Baratynskii 1957: 172). However, in *Poslednii poet* nothing of the kind is left. In the poem to Viazemskii, the poet states that he is free to decide whether he should remain in his isolation in order to work on his poems or not. In fact, a similar freedom which depends upon the artist would be typical of Classicism. It is, however, absent in *Poslednii poet*. In that poem, no type of person is free to determine their fate. Both materialistic, ordinary men and artists are subordinate to nature which is presented as being truly free. See again n. 33 in this regard. However, it was illustrated earlier that Baratynskii considers even nature as being subject to fate which dominates everybody and everything. See again Section 3.3.1 and n. 19.

The theme "freedom" also plays a key role in the concluding poem *Rifma* ("Rhyme"). The following is stated about the poet in Greek Antiquity:

Свободным и широким метром,
Как жатва, зыблемая ветром,
Его гармония текла .

(Baratynskii 1989: 196)

("His harmony poured forth in a meter *free* and broad, like the harvest waving in the wind"; Pratt 1984: 137; it. mine, PMW). His verses conquer the hearers. The reaction of his audience gave the poet new inspiration. Consider:

Толпа вниманьем окована была,
Пока, могучим сострясеньем
Вдруг побежденная, плескала без конца
И струны звучные певца
Дарила новым вдохновеньем

("The crowd listened entranced until suddenly, overcome with powerful emotion, it applauded endlessly, gifted the resonant strings of the singer with new inspiration", Pratt 1984: 137; it. mine, PMW). In other words, the poet is supposed to bring about a mutual relationship between himself and his audience. The example of the Roman orator is even more illustrative. It is reported that he also governed the will of the people. He even derived his *identity* from his confrontation with his audience. See the words *on znal* and *кто он* in the lines:

Когда на греческий амбон,
 Когда на римскую трибуну
 Оратор восходил, и славословил он
 Или оплакивал народную фортуна,
 И устремлялись все взоры на его,
 И силой слово своего
 Вития властвовал народным произволом,-
 Он знал, кто он...

(*ibidem*)

("When the orator ascended to the Greek pulpit, when he stepped out into the Roman tribune and raised his voice in praise or bewailed the fate of the nation, and all eyes turned to him, and by the power of his word the speechmaker governed the will of the people - then *he knew who he was ...*"; Pratt 1984: 137; it. mine, PMW).

These examples in which man's identity is conditioned by an interrelationship between him and his environment show the Romantic idea at work that man can only shape reality after external pre-existent models. In *Poslednii poet* the idea is realized consistently: the end of freedom entails the end of inspiration which, in turn, entails the end of the poet. This entails the end of poetry. In *Rifma*, freedom is identical with inspiration. The fact that the motif "freedom" occurring in the poem *Rifma* survives shows that the latter harks back to the dedicatory lines to Viazemskii rather than to *Poslednii poet*. Insofar *Rifma* is typical of lyrical cycles. Consider also the fact that the aforementioned verses show that in antiquity the concept of freedom was believed to be reserved for poets and orators. The latter should have been able to reach their goal by

making use of their craft. In modern times, however, nothing of the kind is left. But then, in contrast with antiquity, no freedom is left either for the poet, or for ordinary man.³⁴ The poem *Rifma* occupies an intermediate position between the dedicatory verse-lines to Viazemskii and *Poslednii poet*. Thus, in the first a poet is depicted who is, to a certain degree, free whereas in the latter he is completely unfree. In *Rifma*, however, a certain amount of freedom is left to him. This is the result of the idea that freedom lies in verse-making. This idea is maintained until the end of the poem. Consider the concluding lines:

Одна ему, с родного берега,
Живую ветвь приносишь ты ;
Одна с божественным порывом
Миришь его твоим отзывом
И признаешь его мечты!

(Baratynskii 1989: 196f)

("...You alone bring him a living branch from his nature shore; by your response *you alone* [i.e. rhyme, PMW] reconcile him with the gusty moods of the gods and recognize his dreams!"; Pratt 1984: 137; it. mine, PMW). The word *otzyv* in this context illustrates the Romantic concept of communication as it was mentioned in Section 3.3.2. See again the idea that only the activity of a poet or orator can bring about a mutual relationship between speakers and hearers. These may be either mortal perceivers (who use conventional speech) or divine beings who make use of speech in which primarily the sounds are essential. Poets or orators alone are able to convey messages which are normally inaccessible to man.

The word *zhar* plays a key role as far as it functions within the context of a cycle. Thus, it occurs in both *Poslednii poet* and *Rifma*. In *Poslednii poet* the word is associated with despair. See the words *neschastnyj zhar*. These refer to the unanswered love of the poetess Sappho for Phaon. In *Rifma*, however, the poet does not exclude the possibility that some kind of happiness exists for the poet. See:

Меж нас не ведает поэт,
Его полет высок иль нет,
Сам судия и подсудимый
Пусть молвит : песопевца жар
Смешной недуг иль высший дар?

(Baratynskii 1989: 196)

("... must answer the question: your restless *ardor* - is it a laughable affliction, or the *highest gift*?"; Pratt 1984: 137; it. mine, PMW). Only in the latter poem is the motif of "poetry" is associated with vitalizing forces. Consider:

Подобно голубю ковчега,
Одно ему, с родного берега,
Живую ветвь приносишь ты...

(*ibidem*)

("Like the dove from the ark, you alone bring him a *living branch* from his native shore ..."; *ibidem*, it. mine, PMW). In other words, in the two contexts the word *zhar* has different connotations. To the extent it is fit to be used in a lyrical cycle. Thus, the latter consists of constituent elements with a clamp-function (see Fomenko 1982: 37). Apollo is illustrative in this regard.³⁵ In *Poslednii Poet*, the god is associated with despair and death whereas in *Rifma* with freedom and life. Thus, in the first the god appears to be unable to prevent a poet, i.e. a practitioner of *his* art, to commit suicide. This idea agrees with the Romantic idea that everybody and everything is subject to fate which dominates everything. However, in *Rifma* the poet is associated with reverse ideas. In it one and the same motif ("Apollo"), is associated in two different contexts with two opposite concepts ("despair" and "death" on the one hand and "hope" and "life" on the other). This indicates that the cycle moves in a circle from the poem concluding the cycle to its beginning. In other words, it goes through the aforementioned spiral-like development of the thematic a-priori as defined by Müller.

Reference should be made again to the fact that Romantic artists and writers base themselves on models. Consider Baratynskii's poem entitled *Osen'* ("Autumn") in this regard. Baratynskii's verses will be compared with Derzhavin's verses *Osen' vo vremia osady Ochakova*. It was shown that, in Derzhavin's poem, the autumn was depicted as a bliss for the peasant. This blissful character was extended to *all* other people. This idea agrees with the Classical ideas. In fact, in Derzhavin's verses, the autumn as well as the peasants are presented as sharing the success of the Russian forces against the Turks. In Baratynskii's poem, however, the author presents two versions of the world. On the one hand there is the blissful one. This is reserved for the peasant. On the other hand there is the world of ordinary man, i.e. all other people. Their opposition does not dialectically result in one new world. Rather, one of the worlds (i.e. that of the peasants) ultimately overrules the other one, as usually happens in the Romanticists' view. In this poem, contrary to Derzhavin's, the motif of "autumn" has a zero-value. Thus, it bridges the gap between that category of people for which there is a return from it to life (the peasants), and for those for which there is no return (the non-peasants). It is introduced at the outset with the poet's exclamation: *I vot sentiabr!* (Baratynskii 1989: 188; "And *here* it is, September!"; Pratt 1984: 84; it. mine, MW). In the word *vot* the reality of the text and the represented reality fall together. The poet turns himself directly to his readers. Thus, by means of the word *vot* he emphasizes that his words hold for his external readers too. The poet describes the idyllic world of the peasant first. He describes them and their world in the third person. Then, however, he jumps from them toward the reality of the non-peasants, i.e. his readers. He directs himself to them in the second person. See:

А ты, когда вступаешь в осень дней,
 Орадай жизненного поля,
 И пред тобой во благостные всей
 Является земная доля ...

(Baratynskii 1989: 186)

("Вот *you*, when *you* enter the autumn of your days, the plowman of the field of life, and your earthly lot appears before you in all its beneficence..."; Pratt 1984: 85; it. mine, PMW). Accordingly, the poet's statements are formulated in the form of negative statements, questions and rhetorical questions. The poet emphasizes that man should

approach the world-model of the peasants as much as possible. He observes that if he does not do so, life will become impossible for him.³⁶ The difference between the peasant and the addressee is evident from the poet's depiction of the motif of "socially determined behavior." Thus, whereas the peasant enjoys his meal in the circle of his family, ordinary man is alone. He will be strangled by his loneliness.³⁷ Both ordinary man and the artist seem to be similar to the peasant since they also treat their guests to *all kinds of dainties*. However, contrary to the peasants', the dainties of the non-peasants have just *one* taste: that of death.³⁸ The concluding lines of the poem hark back to the beginning words *I vot sentiabr!* ("And here it is, September!"). Thus, even in the concluding lines the poet turns himself to the reader, i.e. the non-peasant, in the *first* person. After having informed the reader that the world is covered with snow, he exclaims:

Перед тобой таков отныне свет,
Но в нем тебе грядущей жатвы нет!

("Such is the world which stands before *you* from *now on*/ But it does not contain a future harvest for *you*"; Baratynskii 1989: 189; it. mine, PMW). These lines show that in the opposition between peasants and non-peasants, the first overrule the latter. Thus, the autumn is indicated as developing into the winter which is identical for all men. This idea of identity shows Schellingian traits which are typical of Baratynskii's poetry rather than Derzhavin's which, rather, reflect Kantian ideas. See Section 3.3.1 and n. 16 again. However, only the peasants will appear to be able to survive the winter.³⁹

The autumn is illustrative to show the role of circular time in this poem. It preserves traces of summer. The latter is associated with life for all people. The autumn is presented as the season which bridges the opposite seasons of summer and winter. As far as the autumn anticipates the winter it anticipates life for just one category of people i.e. the peasants. Only they have enough food and beverages in order to survive the winter. However, it anticipates death for the other category who does not have these stores. For the reader, too, winter will result in death unless he takes the poet's words to heart. With the description of the the winter the attention shifts from life to death. Consider again the main theme ("Autumn") which develops into winter which guarantees life for just one category of people. This is the category of people which occupies itself with the seasons. These are typified by circular time. To summarize, this

poem shows the dictatorial role of circular time. The peasants function as a warning to those people who do not participate in the eternal return (in this case: of the seasons). Circular time means life and happiness for the peasants only. Thus, the Romantic, Schellingian, law of the identity is absolute and does not allow exceptions. See again the Romantic idea of freedom which is different from that of Classicism. Thus, it was observed that Derzhavin's poems show the Classical concept. However, in Baratynskii's Romantic concept of freedom there is no personal freedom in the Kantian sense. Only one kind of freedom exists, i.e. the freedom of *force* which is prescribed by fate. See again the verses entitled *K chemu nevoľniku mechtaniia svobody?* There the motifs "freedom" and "compulsion" are combined. Their combination results in the domination of compulsion. This entails feelings of emptiness and resignation.

As far as the idea is concerned that concluding lines of a poem hark back to their beginning see the lines written in 1837. These were published for the first time in *Sovremennik* 9, 1 (1838): 154. They present images of the idea *mysl'*. The first lines run as follows:

Сначала мысль, воплощена
 В поэму сжатую поэта,
 Как дева юная, темна
 Для невнимательного света ...

Baratynskii 1989: 190)

("A *thought*, when it appears anew/ Within the poet's verse succinctly,/ Is like a young girl, obscure to/ A world that sees but indistinctly; ... (Rydel, 1984: 70; it. mine, PMW). In these verses the role of negations is evident again. Thus, the poet introduces the motif "thought" in the first line first. However, he immediately denies it. "No", he seems to say, "I'm *not* going to deal with the motif of 'thought'." "Rather shall I discuss an *image* of something which is *similar* to thought." "This is a living person, i.e. a young girl, in which the concept 'thought' is personified." In other words, the poet does not deal, in the Romantic manner, with a theme which indicates reality but rather he *approaches* it. Thus, he makes use of the primitive procedure to make a literary text by means of a negation.⁴⁰ Consequently, in the third line, a comparison is presented of thought with a

young girl who is *invisible* for the masses. She gradually grows up, becoming visible by so doing, until she has become a mature woman. Then the motif of audibility is introduced, realized as it is in speech. Thus, the original motif of "thought" is expressed as being transformed into a word. This has most informative power when it is has become similar to a grown-up woman.⁴¹ Thought finally becomes non-informative. At last it becomes completely non-informative. Then it has become similar to an old hag. At that moment it is qualified as follows. See:

Она...

Плодит в полемике журнальной

Давно уж ведомое всем

(Baratynskii 1989: 190)

("She ... [i.e. an *old* thought, PMW] / Drags on in journalistic speaking, / Polemic now grown stale with age", Rydel (ed.), 1984: 70). The circle in which the poem moves manifests itself since it is presented as growing from a void in the first lines. There, thought is likened to a young girl whom *nobody* knows; (see the word "obscure" (*temna*). In the concluding lines, thought is, in turn, presented as ending in a similar void. This is realized in the motif of the *absence* of information of the old woman's words. In summary the circular character of the poem is evident from the fact that it is presented as growing from the void in the first lines, indicating a young girl with its minimal size via the maximal size it has in the image of the grown up woman to its void, i.e. minimal size of the old hag. The circular character of the poem manifests itself in the fact that its last lines hark back to its first. The poem ends in a void similar to that from which it arises. In fact, both the first and last lines deal with persons uttering either non-existent speech or speech containing minimal information. The reader is, in his turn, impelled to follow the poet toward the beginning of the poem, i.e. the void from which it arises.

A few concluding remarks should still be made about the concept of freedom in Baratynskii's aforementioned poems. It was shown that, in the cycle *Sumerki*, its role was maximal in the dedicatory poem to Viazemskii. There it indicated the writer's liberty to devote himself explicitly to his poetic activities (see again his aforementioned statement that he took refuge to loneliness as "being a lover of peace and freedom", etc.). In *Posled-*

nii poet, it was minimal. It was neither reserved for the poet, nor for ordinary man, but for nature, i.e. the sea. It was observed that, outside the context of the cycle *Sumerki*, the concept of freedom is not even reserved for nature. There, it also is subject to fate as all elements of the universe. In *Rifma*, however, the poet bridges the gap between himself and the divine from which both freedom and inspiration originate. In *Mysl'*, the concept of "freedom" is associated with the image of "free prose." The latter motif results from the realization of the concept of "thought." The motif of "freedom" is personified in the grown-up woman. The latter is not afraid to show herself, without exaggerating or over-dating her case (see again the lines: *Kak iskushennaia zhena/ V svobodnoi proze romanista...*). The image shows that the *novel*-writer functions as an intermediary between the poet and an ordinary, unoriginal writer such as a journalist. The latter is maximally audible and visible, and as such, each time anew, publishes in the papers old and trite information. The poet, on the other hand, is practically inaudible and invisible, as the young girl is. These lines show that the concept of "freedom" is not, or not yet, typical of the poet. Consider again the fact that original thought occurs in the words of the *poet*. Thus, thought is likened with a young girl who is hardly visible still. Consequently, the latter has not been in a position to show that she is already conscious of freedom. Accordingly, the old hag is not free since her freedom depends on the benevolence of the press. Rather, freedom is reserved for the prose-writer since through his hands his words become evasive. Consider again the word *uvertliva* in the lines mentioned in n. 44. In summary, this poem also shows that its end returns to its beginning and it displays typical of the cycle in general by doing so.

As far as the motif of "thought" is concerned, the poet emphasizes the he lines beginning with the words:

Все мысль да мысль! Художник бедный слова!

("Thought, thought, everywhere and always! Poor artist of the word!", Baratynskii 1989: 195; it. mine, PMW) are also illustrative. They were published for the first time in *Sovremennik* 23, 3 (1841): 102. In these lines, the poet is presented as "the ward of thought" (*ibidem*). A distinction is made between the plastic arts and music on the one hand, and literature on the other. The first obey the Romantic law that man should not try to model his world according to his own wishes. In fact, sculptors, painters and composers

do not shatter the fetters imposed upon them by outside reality. It was observed that this was, in the Romantic view, a prescription. In this poem, votaries of the plastic arts are allowed to forget themselves, attending the feast of life. Consider:

Есть хмель ему на празднике мирском!

It may take part in the feast of life", *ibidem*, tr. mine, PMW). However, votaries of the literature which expresses thought cannot join them. Thus, thought is compared with a sharp sword. See:

Но пред тобой, как пред нагим мечом,
Мысль, острый луч! бледнеет жизнь земная.

("But before you, as before a naked sword,/ Thought, sharp sword! earthly life *turns pale*", *ibidem*). The lines reflect the Romantic idea that, by occupying himself with thought, the poet runs the risk that he will shatter the fetters of models imposed upon him by outside reality. By doing so, he will annihilate nature, including art. When nature turns pale it will, ultimately die. Consequently, it will be unable to provide the artist with models for his works of art. In other words, the artist will ultimately die as well. To conclude, the lyrical *Sumerki* shows how the thematic a-priori as defined by Müller is completed at the end. A suggestion of a spiral-like realization of themes is raised there. The reader also seems to have gone through a circle. He seems to be back at the beginning of his reading process. The headings of the two framing poems, *Poslednii poet* and *Rifma*, are illustrative (see the word "last" in the first poem). It is suggested that no more poems will follow. Thus, the person who might write poems has *died*. The heading of the concluding poem, however, reads: *Rifma*. It deals with a poet who, having found poetical speech (and, consequently, life) comes back. Consequently, he is able to *restart* the process of poetry-making. The reader has just been confronted with the result of this in the *preceding* verses. The ambivalent character of the framing poems is, therefore, obvious. Both denote the concept of "poet" and of "non-poet." It was observed that the two poems at the outset express the clamp-function typical of a lyrical cycle. To that extent, they serve as a means for the poet to elaborate, in a successful manner, on what has been defined by Müller as the thematic a-priori of the cycle.

Notes on Chapter Three

¹ See I. Serman. 1989. "The Eighteenth Century: Neoclassicism and the Enlightenment 1730-1790." In: C.A. Moser (ed.). *The Cambridge History of Russian Literature* Cambridge: 45-91; here: 91.

² See F. R. Silbajoris. 1985. "Derzhavin, Gavrila Romanovich, 1743-1816", in V. Terras (ed.), *Handbook of Russian Literature*. Yale University Press, 98-100; here 99.

³ See:

[...]

Как, скользя по них, сверкает

Луч от царских теремов,

Звезды, солнца разсыпает

По теням между кустов.

([Let's look] how, gliding over them [i.e. the waters, PMW] glitters/ The light from the imperial chambers/ Scattering the stars, suns,/ Over the shades, amidst the shrubs", Derzhavin 1986 (1798): 50; it. mine, PMW). I prepared the translations of the Derzhavin-quotations myself; as far as possible, I consulted Brown, 1980. I took most of the Baratynskii-translations from Pratt, 1984. If this was impossible I prepared them myself. I also consulted, in this regard, Rydel, 1986. Short quotations were, in principle, inserted into the main text. Longer ones, however, are included into a separate note. The texts are taken from Derzhavin, 1986. "The poet refers here to the imperial palace at Gatchina which, in the poem *Parashe*, is transformed into a tower with stars and a sun ... Later on he uses this folkloristic image in his *Tsar'-devitsa* ('The maiden-tsarina')" (Derzhavin 1986: 425, n. *Parashe*. *Tsar'-devitsa* was written in 1812; see Derzhavin 1986: 460, n. *Tsar'-devitsa*).

⁴ See the aforementioned old man who ruminates to himself:

Сидит – и, взор вперя к водам,
 В глубокой думе рассуждает :
 "Не жизнь ли человеков нам
 Сей водопад изображает? –
 Он также благом струй своих
 Поит надменных, кротких, злых."

("He sits,- and piercing his gaze into he waters,/ He thinks, deeply immersed in thoughts:/ 'Isn't this human life of ours/ Like this waterfall? -/ It equally, by the glitter of its streams,/ gives to drink to the malicious, the friendly, the wicked.'", Derzhavin 1947 (1791-1794): 104).

5. В восторге только Музы томном
 Осмелились сей стих бряцать .-
 Румяна осень!- радость мира!

Умножь, умножь еще твой плод!
 Приди, желанна весть! – и лира
 Любовь и славу воспоет. .

("Only in languid ecstasy the Muses/ Dared to *rattle* this verse./ Ruddy autumn! - delight of the world!/ Increase, increase your fruits even more!/ Come, *welcome* news! - and the lyre/ Will sing love and fame"; Derzhavin 147: 50; it. mine, PMW).

6. Российский только Марс, Потемкин,
 Не ужасается зимы :
 По развевающим знаменам
 Полков, водимых им, Орел
 Над древним царством Митридата
 Летает и темнит Луну;

Под звучным крыл его мельканьем
То черн, то бледн, то ряян Эвксин.

Мужайтесь, Росски Ахиллесы,

Богини северной сыны!
Хотя вы в Стике не погружались,
Но вы бессмертны по делам.

("Only the *Russian Mars*, Potemkin/ Is not afraid of the winter:/ Along the flying banners/ Of the regiments, commanded by him, the eagle/ Flies above the old kingdom of *Mithridates*/ And darkens the moon;/ Under the resounding streaks of the wings/ The *Euxinus*[= the Black Sea, PMW] gleams now black, then pale, then red // Take heart, *Russian Achilleses!* Sons of the *northen Goddess*/ Although you were not dipped into the *Styx* [as Achilles was, PMW],/ You are nevertheless immortal by your deeds" etc.; *idem*, 90; *it.mine*, PMW).

7. Уж не ласточка сладкогласная
Домовитая со застрехи; Ах! моя милая, прекрасная

Прочь отлетала,- с ней утехи
[...]
Роют псы землю, вокруг завывают,

Вост и ветер, вост и дом;
Мою милую не пробуждают;
Сердце мое сокрушает гром!

О ты, ласточка сизокрылая!
Ты возвратишься в дом мой весной;
Но ты, моя супруга милая,

Не увидишься век уж со мной .

Уж нет моего друга верного,
Уж нет моей доброй жены,
Уж нет товарища бесценного,
Ах, все они с ней погребены .

Все опустело! Как жизнь мне снести,?

Зельная меня съела тоска .

Сердца, души половина, прости

Скрыла тебя гробова доска .

("No longer is the sweet-voiced swallow/, The household [guest], from the eaves here - / Oh! my beloved, my beautiful one,/ She has flown *away* - and my joys with her. [...] The dogs around are digging the ground, they begin to howl,/ The wind howls, the house also howls;/ They do *not* waken my beloved/ The thunder shatters my heart.// O you grey-winged swallow!/ You *will* return to my house in the spring;/ *But* you, my wife, my darling,/ Will see me *never* more, nor will I// My loyal friend is no more,/ My sweet wife is no more,/ My dear wife is no more,/ My priceless comrade is no more,/ O, they are *all* buried with her.// *Everything* is desolate! How can I bear life?/ Poisonous anguish has devoured me./ Farewell, other half of my heart, of my soul!/ You lie hidden under the planks of the coffin", Derzhavin 1947 (1794): 129f.; it. mine, PMW).

8. Consider, again, Derzhavin's *Vodopad*, where the old man compares the waterfall to human life, with the following words:

Не так ли с неба время льется,

[...]

...Не упадет ли в сей зев

С престола царь и друг царей?//

Падут ...

("Does *not* time pour down from heaven in this way,/ ... // Will *not* fall into this maw/ The emperor from the throne as well as the friend of he emperor?/ [Yes] They *will* ... " [etc.], Derzhavin 1947 (1791/94): 104; it. mine, PMW).

9. Ты здраво о заслугах мыслишь,
 Достойно воздаешь ты честь .
 [...]

 Снисходишь ты на лирный лад;
 Поэзия тебе любезна,

Приятна сладостна, полезна
 Как летом вкусный лимонад .

("You have a wholesome judgement about *merits*,/ To those who deserve it you give *honour*,/ ... / You like to condescend to the lyre/ Because poetry is *dear* to you,/ Pleasant, sweet; *useful*,/ Like *tasty lemonade* in summertime", Derzhavin 1947 (1782): 26f.; it. mine, PMW).

10. See:

[...]
 Всяк будут помнить то в народах несчастных,
 Как из безвестности я тем известен стал,

Что первый я дерзнул в забавном Русском слоге
 О добродетелях Фелицы возгласит,
 В сердечной простоте беседовать о боге,
 И истину царям с улыбкой говорить

("... Everybody among uncountable tribes will remember/ That from anonymity I became well-known// Because as the *first* in merry Russian/ I *dared* to proclaim

the virtues of Felitsa,/ Because I *dared* to talk about God in heart's simplicity,/ And *dared* to tell the *truth* to *czars* with a *smile*", Derzhavin 1947: 157; it. mine, PMW).

11. See: "Die mir sonst unbekannte Mentalität der homerischen HØrer stelle ich mir so vor, daß Funktionslust an Sphäredeckungen mit Abstraktionserfolgen darin vorkommt; wesentlich anders vermutlich wie uns d(r)fte ihnen gerade dieses Abstraktionsverfahren noch eine frische Quelle der Funktionslust gewesen sein" (B(h)ler 1934: 347).

12. Сама за собой не успеешь
Невидимы видеть следы;
Но видишь там всю ты вселенну
Как будто с высот на ковре;
Там башню как жар позлащенну,
В чешуйчатом флот там серебре;
Там роши в одежде зеленой,
Там нивы в венце золотом ...
[...]
Всю прелесть ты видишь природы,
Зришь лета роскошного храм;
Но видишь и бури ты черны,
И осени скучной приход .
[...]

("You *don't* manage to see/ Your own invisible tracks behind you;/ But you do see *there* the whole *universe*/ From the heights, as if on the carpet,/ *There* [you see] a tower, gilded as a fire,/ *There* the fleet in squamose silver;/ *There* groves, clad in green,/ *There* cornfields in a wreath of gold ... / [...] / You see the *whole charm* of nature/ You see the temple of an abundant *summer*;/ But you *also* see black *storm* and the arrival of gloomy *autumn* ...", Derzhavin 1947 (1792): 128.; tr. and it. mine, PMW).

13. Уж нет моего друга верного,
Уж нет моей доброй жены,
Уж нет товарища бесценного,
Ах, все они с ней погребены .

Все опустело!

("She is not more, my *loyal friend*/ She is not more, my *good wife*,/ She is not more, my *priceless comrade*/ Ah! they are all buried with her// *Everything is desolate!*"; Derzhavin 1947: 129f; and it, mine, PMW).

14. See:
Не сетуй, милая, со груди что твоей
Сронила невзначай ты цепи дорогие :
Милее вольности нет в свете для людей;
Оковы тягостины, хотя оне златные .

[...]

Так наслаждайся ж здесь ты вольностью святой,
Свободною живя, как ветерок в полянке;
По рощам пролетай, кропнися вод струей
И чем в Петрополе, будь счастливей на Званке.

[...]

А если и тебе под бремя чьих оков
Подвергнуться велит когда-либо природа
Смотри чтоб их плела любовь лишь из цветов;
Приятней этот плен, чем самая свобода

("Don't lament, darling, that from your bosom/ You lost by accident an expensive gold chain:/ Since nothing sweeter than *freedom* exists for men in the world;/ Fetters are heavy even if they are made of gold./... / Therefore, take delight here in sacred *freedom*,/ Living *freely*, as the breeze in a glade;/ Fly around in the groves, let the stream sprinkle you/ And, be *happier* at Zvanka than in Petersburg,/ ... /

But, if you will be forced by nature to bend under the burden of somebody's fetters some time,/ Then take care that they will be braided by *love* from mere flowers;/ Captivity of that kind is more pleasant than *freedom* itself", Derzhavin 1947: 58).

15. Baratynskij became familiar with the ideas of Schelling as these circulated in the circle of the *Liubomiudrtsy* in the early years of the thirties, particularly under the influence of I.I. Kireevskii. See, in this regard, Khetso (Kjetsaa) 1973: 138 and Pratt 1984: 28f.
16. In this connection, Schelling emphasized the essence of the phenomenon of duplicity for the correct understanding of his philosophy of identity which is based on the combination of opposite, incompatible elements; see: "Wo Erscheinungen sind, sind schon entgegengesetzte Kräfte. Die *Naturlehre* also setzt als unmittelbares Princip eine *allgemeine Duplicität*, und um diese begreifen zu können, eine *allgemeine Identität* der Materie voraus. Weder das Princip absoluter Differenz noch das absoluter Identität ist das Wahre; die Wahrheit liegt in der *Vereinigung beider*" (Schelling 1856-1861: I,2: 390; it. mine, PMW).
17. This is particularly evident in those poems in which pantheistic ideas are expressed. In such works no sharp division is made between motifs. See the poem *Vesna, vesna! Kak vozdukh chist!* ("Spring, spring, how pure the air!", Baratynskii 1989: 167, Pratt 1984: 77). The poem was written in 1832 and published in 1835. In this poem, all elements from reality are transformed into "pieces of spring."
18. See Spaemann, 1972, col. 1092.
19. Consider:

Мятежные мечты смирним иль позабудем;
 Рабы разумные, послушно согласим
 Свои желания со жребием своим –
 И будет счастлива, спокойна наша доля .

(Baratynskii 1989: 164)

("Let us quell or *forget* rebellious dreams; as rational *slaves*, we will dutifully reconcile our desires with our destiny - and our lot will be *happy* and peaceful", Pratt 1984: 63; it. mine, PMW). The quotations are taken from 1989. The translations are, as far as possible, taken from Pratt 1984).

20.

...

И ежели жизнью земною
Творец ограничил летучий наш век
И нас за могильной доскою,
За миром явлений, не ждет ничего,-
Творца оправдает могила его.

И если загробная жизнь нам дана,
Он ...
К предвечному легкой душой возлетит,
И в небе земное его не смутит

(Baratynskii 1989: 175).

("... And *if* the Creator has *limited* our fleeting *lifetime* to *earthly existence* and *nothing* at all *awaits us* beyond the gravestone, beyond the visible world - his life will justify the Creator. And *if we are given life beyond the grave*. ... he will fly up to the eternal with a light soul, and in heaven earthly matters will not trouble him", Pratt 1984: 199)

21.

...Я чувствую : могила
Меня живого приняла
И легкий дар мой удушая,
На грудь мне дума роковая
Гробовой насыпью легла .

("... I feel that the *grave/* Has already received me *alive,/* And, smothering my slight talent,/ Fateful thought lay down onto my breast/ Like a *gravemound*", Baratynskii 1989: 166; tr. and it. mine, PMW).

22. This can be illustrated by a fragment from M.Iu. Lermontov's *Panorama Mosky* (1833/1834). This work is exemplary of the Romantic conception of speech as being incomprehensible for ordinary man. See:

Москва не есть обыкновенный большой город, каких тысяча; Москва не безмолвная громада камней холодных, составленных в симметрическом порядке ... нет! у нее есть своя душа, своя жизнь . Как в древнем, римском кладбище, каждый ее камень хранит надпись, начертанную временем и роком, надпись, для толпы непонятную, но богатую, обильную мыслями, чувством и вдохновением для ученого, патриота и поэта! ...Как у океана, у нее есть свой язык ...

("Moscow is not a mere ordinary big city of which there are a thousand; Moscow is no *speechless* heap of cold stones piled in a symmetrical order... no! It has a soul, a life of its own. Like on an ancient Roman churchyard every stone bears an inscription, engraved by time and fate, an inscription *incomprehensible* to the masses, but rich, abundant in thoughts, feelings and inspiration for the scholar, *patriot* and poet!.. It has its *own language* as if it were an ocean ...!", Lermontov 1957 (1891): 369, tr. and it. mine, PMW). This description can again be said to be typically Romantic. Thus, buildings and architectural monuments are described as being alive. They are gifted with speech. The writer again tends to approaches reality rather than to render it exactly.

23. This specific new role of nationalism was even expressed in the triad of terms which was introduced as an official slogan in the 1830s: "autocracy - orthodoxy - nationality." In this triad, "nationality" was translated from the German *Volkstum* into *narodnost'* (consider, in this regard, L.G. Leighton. 1975. "Narodnost' as a Concept of Russian Romanticism." In: *Russian Romanticism: Two Concepts. (Slavistic Printings and Reprintings, 291)*. The Hague, Mouton: 41-107 and N.V. Riasanovsky. 1961. *Nicholas I and Official Nationality in Russia, 1825-1855*. Berkeley etc., Univ. of California Press and McLaughlin 1974: 26.

24. Своенравное прозвание
 Дал я милой в ласку ей;
 Безотчетное созданье
 Детской нежности моей;
 Чуждо явного значенья,
 Для меня оно символ
 Чувств, которых выраженья
 В языках я не нашел.

("A self-willed nickname/ I had given to my love to fondle her,/ An *unconscious* creation/ Of my naive tenderness;/ As it has *no clear meaning*,/ It is a symbol to me/ Of feelings, an expression of which/ I had *not* found in languages", Baratynskii 1989: 169; tr. and it. mine, PMW).

25. Не растравляй моей души
 Воспоминанием былого:
 Уж я привык грустить в тиши,
 Не знало чувства я другого.

("Don't poison my soul/ With memories of the past;/ Already I grew accustomed to mourn in *silence*,/ I don't know another feeling"; Baratynskii 1989: 214; tr. and it. mine, PMW).

26. See: "... it is impossible to assert truly that there is no language. This suggests that there is a genuine class of propositions each member of which must be true in order for there to be any language, and which consequently cannot truly be denied by anyone, and whose negations cannot truly be asserted by anyone. Let us call this the 'privileged class'." (Stroud, B. 1982. "Transcendental Arguments." In: R.S.C. Walker (Ed.). 1982. *Kant on Pure Reason*. Oxford Univ. Press, 117-131; here: 126f.).

27. Любовь камен с враждой Фортуны –
 Одно . Молчу! Боюсь я,
 Чтоб персты, надпше на струны,

Не пробудили вновь перуны,
В которых спит судьба моя.

И отрываюсь, полный муки,
От музы, ласковой ко мне.
И говорю: до завтра, звуки!
Пусть день угаснет в тишине!

("The love of the Muses and the hostility of Fortune/ Are one and the same. I am *silent*! I fear/ That my fingers, falling on the strings,/ Will awaken again the gods of fate,/ In whose hands my fate is *sleeping*.// I tear myself, full of pangs, away/ From the Muse, affectionate to me./ And I say: 'till tomorrow, sounds,/ Let the day go out in *silence*'", Baratynskii 1989: 219; tr. and it. mine, PMW).

28. Но я, смиренно признаюсь,
Я не надеюсь, не страшусь,
Я в наших памятных листах
Спокойно имя помещаю.
Философ я; у вас в глазах
Мое ничтожество я знаю.

(But I, I acknowledge it peacefully,/ I do not hope, I do not fear,/ And in your memorials/ I quietly insert my name./ I am a philosopher; in your eyes/ *I don't mean anything*, I know", *ibidem*, tr. and it. mine, PMW).

29. This phenomenon will be discussed in more detail in Chapter 5, Section 5.1.
30. Consider Bakhtin's definition of the dialogic word in this regard. He emphasizes that the dialogical word is never identical to the word in the lexicon of a language, as there it always has a mere neutral value, not expressing any specific value which it holds either for the addresser, or the addressee, or both (Bakhtin 1986 (1979)b: 84f).

31. Вам прирошу я песнопенья,
Где отразилась жизнь моя :
Исполнена тоски глубокой,
Противоречий, слепоты,
И между тем любви высокой,
Любви добра и красоты

("I am bringing *you songs*/ Which reflect my life,/ Pervaded as it is with deep *melancholy*,/ Contradictions, *blindness*,/ And yet high *love*,/ Love of the good and the beautiful", Baratynskii 1989: 178; tr. and it. mine, PMW).

32. See again:

Так из глуши моей стремлю
Я к вам заботливые взгляды,
Я вам высшей благодати молю,
От вас отвлекь судьбы суровой
Удары грозные хочу

("From my wilds I pore out solicitous looks at you/ I'm praying for your welfare/
I want to divert from you the terrible slings of fate", Baratynskii 1989: 178f; tr. and it. mine, PMW).

33. Человеку непокорно
Море синее одно,
И свободно, и просторно,
И приветливо оно
[...]
Но в смущение приводит
Человека вал морской,
И от шумных вод отходит
Он с тоскующей душой!

(Baratynskii 1989: 180)

("The blue sea *alone* will *not submit* to man's rule, and it is *free* and expansive and full of greeting ... but the swell of the sea leads man into *troubled confusion*, and he *turns away* from the roaring waters with *yearning* in his soul", Pratt 1984: 129; it mine, PMW).

34. See the lines:

Но нашей мысли торжищ нет,
 Но нашей мысли нет форма!...
 Меж нас не ведает поэт,
 Высок полет его иль нет,
 Велика ль творческая дума.

(Baratynskii 1989: 196)

("But there are *no* marketplaces for our thought, but for our thought there is *no* forum! Among us the poet does *not* know whether his flight is a lofty one or *not*, whether his creative thought is great", Pratt 1984: 137; it mine, PMW).

35. In fact, the word for Apollo does not occur in the Russian original of *Rifma*, whereas it does in *Poslednii poet*. The indication of the god does appear in the French version of *Poslednii poet*, in the form of the word "Phoebus." See: "... Libre, vaste, prestigieuse, elle ne change pas de face, depuis que *Phoebus*, le flambeau de jour à la main, se mira pour la première fois dans ses flots" (Baratynskii 1989: 322; it mine, PMW). The translation was prepared by Baratynskii himself in 1843 at the request of the French man-of-letters Adolphe de Circourt and his wife. About Circourt, see Khetso (Kjet-saa) 1973: 234ff. Consider again the original text of *Rifma* which begins as follows:

Когда на играх олимпийских,
 На стогах греческих недавных городов,
 Он пел, питомец муз, он пел среди валов
 Народа жадного восторгов мускийских,-

(Baratynskii 1989: 196)

("When at the Olympic games or in the squares of young Greek cities, he sang, the ward of the muses, he sang among the billows of people thirsting for musical raptures - ", Pratt 1984: 137). See the French translation of these lines: "Lorsq'aux jeux olympiques, au sein des jeunes villes de la Grèce, tu chantais, o fils d'*Apollon*, tu te faisais entendre à une multitude avide d'émotions généreuses...", Baratynskii 1989: 324; it. mine, PMW).

In *Poslednii poet* it is observed that Apollo did not change his original face [...]

С дня, в который Аполлон
Поднял вечное светило
В первый раз на небосклоно

(Baratynskii 1989: 180)

("... Since the day *Apollo* first raised the *eternal* light up the slope of the heavens", Pratt 1984: 129; it. mine, PMW), and, for the second time, the name occurs in the lines:

Там погребет питомец Аполлона
Свои мечты, свой бесполезный дар!

(Baratynskii 1989: 180)

("... there too the ward of *Apollo* will bury his dream, his useless gift!", Pratt 1984: 129). In other words, in *Poslednii poet*, Apollo is opposite to the poet who is not free although he seems to be free since he prefers death out of his own will in imitation of *another* great Greek artist, i.e. Sappho. In the French translation of *Rifma* however, the poet is associated with freedom as his art is free; see: " ... et un mètre *libre* et large cadençaît *sans* la gêner ta puissante voix" (Baratynskii 1989: 324).

36. See:

Ты так же ли, как земледел, богат?
 [...]
 Любуясь же, гордись восставшим им!
 Считаю свои приобретения! ...
 Увы! к мечтам, страстям, трудам мирским
 Тобой скопленные презренья,
 Язвительный, неотразимый стыд
 Души твоей обманов и обед! ...

(Baratynskii 1989: 187)

("Are you as rich as the *farmer*? ... So *admire and be proud* of that which has come to *pass*! Count your accomplishments! ... *Alas!* in addition to to dreams, passions, and earthly labors you have stored up scorn and the biting, irrefutable shame of deceptions and *insults of your soul!*", Pratt 1984: 85; it. mine, PMW)

37. Ты, некогда всех увлечений друг,
 Сочувствий пламенный искатель,
 Блистательных туманов царь – и вдруг
 Бесплодных дебрей созерцатель,
 Один с тоской, которой смертный стон
 Едва твоей гордыней задушен

(Baratynskii 1989: 187)

("You were once the friend of all passions, the ardent seeker of sympathy, the tsar of sparkling mists - and suddenly you are the contemplator of barren wilds, *alone* with anguish whose deathly groan is barely stifled by your pride", Pratt 1984: 85; it mine, PMW).

38. Зови ж теперь на праздник честный мир!

[...]

Каким разнообразьем брашен

Блестает он! ... Но вкус один во всех

И как могила, людям страшен;

Садись один и тризну соверши

По радостям земным твоей души!

(Baratynskii 1989:187)

("So call the fair-minded community now to the holiday celebration! ... It shines with such a diversity of dishes! But there is *only one taste* in all of them, and it terrifies people like the *grave*, be seated *alone* and complete the *funeral* feast in accordance with the earthly joys of your soul!", Pratt 1984: 86; it. mine, PMW).

39. Зима идет и тощая земля

В широких лысных бессилья,

И радостно блиставшие поля

Златыми класами обилья,

Со смертью жизнь, богатство с нищетой-

Все образы години бывшей

Сравниются под снежной пеленой,

Однообразно их покрывшей,-

Перед тобой таков отныне свет,

Но в нем тебе грядущей жатвы нет

(Baratynskii 1989: 189).

("Winter is coming, and the emaciated earth/ With its wide bald patches of impotence,/ And the fields that once glittered joyfully/ With the gold shocks of abundance,/ With death-life, wealth with poverty-/ All images of the past year/ Are levelled under a shroud of snow/ That covers them all *alike*-/ Thus is the world that stands before you from now on,/ *But for you there is no coming harvest in it!*", Pratt 1982: 84; it. mine, PMW).

40. See, in this regard, the Exordium of the medieval *Song of Igor's Campaign*: "Might it not become us, brothers,/ to begin in the diction of yore/ the stern tale/ of the campaign of Igor,/ Igor son of Svyatoslav?// Let us, *however*,/ begin this song/ in keeping with the happenings/ of these times/ and *not* with the contriving of Boyan." In: R. Jakobson 1972 (1958). "La Geste du Prince Igor'." In: *Selected Writings*. Vol. 4: *Slavic Epic Studies*. The Hague, Mouton, 106-300; here: 165. For the English tr., see *The Song of Igor's Campaign: an Epic of the Twelfth Century*. Tr. from Old Russian by V. Nabokov. London, Weidenfeld and Nicolson, 30f. In fact, primitive narration often starts with a negative message which acts as an indication that a narrative process has started.

41. See:

Потом, омсмелившись, она
Уже увертлива, речиста,
Со всех сторон своих видна,
Как искушенная жена
В свободной прозе романиста ...

(Baratynskii 1989: 190)

("Then it grows bolder, speaking through/ Words that are *eloquent* and *evasive*,/
On all sides coming into *view*,/ Like a seductive woman who/ In *free novel prose* is
present ever; ...", slightly adapted from Rydel (ed.). 1984: 70).

Chapter 4: Mannerisms in Verbal and Pictorial Texts: The Case of Lermontov

4.1 Lermontov's Poetry: Some General Observations

In this chapter, some aspects of M.Iu. Lermontov's poetry will be studied (see ill. 7). Attention will again be paid to the distinction between metre and rhythm (see again Chapter I, Section 1.3¹). Particular attention will also be devoted to omissions in a poetic text. These are often indicated by dots and periods. They belong to the elements which Tynianov qualifies as equivalents. In this respect, one should again consider the fact that a fragmentary character is typical of Romantic texts (consider Chapter 1, Sections 1.1. and 1.6. and n. 2 again). Poems containing dedications are particularly illustrative insofar as these dedications may be omitted, or remain "empty." Poems with a dedication explicitly presuppose an addressee, i.e. a second person who is involved in the text. The latter's presence emphasizes a communication process which takes place between at least two persons.

As regards the opposition of metre and rhythm in Lermontov's poetry, consider the first lines of Lermontov's early poem *Zvezda* ("A star"). This poem was written in 1830 or 1831 and published for the first time in *Biblioteka dlia chteniia* 64, 6, otd., 1844.² If these verses are read exactly according to their metric pattern, the mere idea of repetition of the verse-lines is emphasized. In this regard, Hopkins' observations mentioned in Chapter 1, n. 18 should again be considered. A presentation as rendered in n. 2 shows that a monotonous as well as comical effect results if a poem is recited exactly according to its metrical pattern. In that case the recitation-process stops after the separations between printed lines. In other words, the enjambment warns both a possible performer and a reader that they should not interpret a poem exactly according to its metrical pattern. Rather, they should look carefully for its *rhythm*. Such a pattern may look, for instance, as follows:

Вверху одна
 горит звезда;
 Мой ум она манит всегда ;
 Мои мечты она влечет
 И с высоты меня зовет!

("Ahead, one star burns;/ It always winks my mind;/ It attracts my dreams and calls me from above!").

There are, of course, other possibilities to attribute accents. Only the main condition under which a poetic text can be realized should be fulfilled. Thus, it should remain possible to retrace the poetic pattern of the text. This, however, should not merely imply that the phenomenon of regularity stays recognizable. It should not result in a *mechanical* repetition of text-parts. Such mechanical repetition takes place when the roles of tone, pitch and intonation are merely emphasized. In other words, the meaning of the words should remain recognizable in the text too.

The essence of the dedications lies in the fact that they emphasize the idea that by means of a text a communication between a speaker and an addressee is realized. The specific function of a dedication is particularly illustrative when the addressee is not mentioned. This is the case when the heading of a poem reads "To ... ", or "Dedicated to" In such cases, the equivalent-character of the heading is evident from the fact that it merely *suggests* a dedicatee. It is up to the reader to fill in this dedicatee's name, according to his wish. In fact, "open dedications" enable *everybody* to serve as a potential addressee. A similar dedication, reminiscent of an equivalent, bridges the gap between the reality represented in a text and the reality of the text, and even external reality. Lermontov's early poem entitled *K ...* ("To ..."), dating from 1829, serves as an example of an absent addressee. It was dedicated to A.G. Stolypina (1815?- 1892; see Lermontov 1954a: 389).³ Initially a mere expectation of an addressee is evoked in the reader by the preposition *к*. The poem begins with the lines:

Не привлекай меня красотой!
 Мой дух погас и состарелся.
 Ах! Много лет как взгляд другой
 В уме моем напечатлелся! ...

("Don't attract me by beauty!/ My mind has extinguished and grown old/ Ah! It has been many years *ago* since the look of another/ Has imprinted itself on my thoughts!"; Lermontov 1954a: 36; tr. mine, PMW). The first line, "*Ne privlekaï menia krasot!*", is an imperative statement with a negative value. The poet says: "You may do *everything* with me (*including* something expressed by the contrary term of *A* (i.e. *B*) except *A* itself. Thus, you should do something which may be defined as '*- A*.'" The poem shows a hierarchical character. Consequently, the times of the representation and the represented events seem to fall together. Thus, in the first lines, the poet describes *past* events, as can be seen in the aforementioned lines: "Ah! It has been many years *ago* since the look of another/ Has imprinted itself on my thoughts!" The *second* part of the poem contains a description of *present* events:

Но я теперь, как нищий сир,
 Брожу один, как отчужденный!

("But *now*, as a forlorn man, I *am* poor,/ I *am* roaming lonely, as a crank"; *ibidem*, it. mine, PMW).

The concluding lines present the temporal transition from the present to the *future*. They contain a description, in the form of a comparison, of what *will* happen to a person who commits a dangerous act.

Consider:

Так путник в темноте ночной,
 Когда узрит огонь блудящий,
 Бежит за ним ... схватил рукой...
 И- пропасть под ногой скользящей!...

(" Similarly, a traveller in nocturnal darkness/ When he *will* see a will-o'-the-wisp,/ He runs after it... he grasps at it with his hand.../ There *will* be, the abyss, under his gliding feet!"; *ibidem*; it. mine, PMW).

In the last line, the poet introduces an image, in so doing suggesting that the text and the reality represented in it will, ultimately, fall together. Thus, the represented person falls into the abyss and the text ends. This line combines two motifs: "beauty" and "the frustration of all man's endeavours." Summarizing, the poem shows a circular character. This is demonstrated by the fact that its beginning seems to rise from a void, i.e. from the dots opening it. They replace the name of an addressee in the heading. This "non-indication" has an equivalent-function, in Tynianov's definition. Therefore, one can see that the expectation of a name raised by the presupposition *K* in the heading is shattered. In fact, no name is mentioned. The poem then ends in a similar void, i.e. a question which leaves undecided the problem of whether the protagonist will be saved. Will he be able to liberate himself from his fateful abyss? Will this new expectation, raised by the poet, be fulfilled or not? The circular character of the poem is evident from the fact that its end harks back to its beginning. Dots will be seen to play a particular role in Lermontov's poetry.

The poem from the notebook to S.N. Karamzina and probably dating from 1841, is illustrative too. It is entitled *Iz al'boma S.N. Karamzinoi* and was published for the first time in *Russkaia Beseda*, 2, 1841. It bears neither a heading nor an addressee. The first two stanzas contain a description of the time in which the poet lived. It expresses his feelings about the world with its beautiful and ugly aspects. The verses start as follows:

Любил и я в былые годы,
В невинности души моей,
И бури шумные природы,

(Lermontov 1954b: 188f.) [etc.]

("In years gone by (you've spoken truly!)/ I also loved, as do the young,/ Loud storms of nature, things unruly,/ ... [etc.]"; Liberman 1983: 245f.).

In this poem, the poet makes a distinction between language in which meaningful elements and language in which sound-elements play a key-role. In Chapter I, Section 1.1, the observation was made that in the view of the Formalists, particularly the Futurists, the latter fact is typical of poetic speech. Thus, in the first stanzas, the poet states that he uses "language (*iazyk*), i.e. language as a system of conventional signs. In these, meaning plays a key role. In this way, he compares passions with "a deafening language" (*oglushaiushchii iazyk*). The word *oglushaiushchii* in this context shows that the meaning of words is, in the poet's view, essential since man is supposed to be able to interpret words correctly. However, this is impossible when man is deafened. Gradually, however, in the course of the poem, the meanings of the words seem to become less essential. They seem to be replaced by words whose sounds are of primary importance. This quality is typical of musical, i.e. poetic words. These words are trans-sense, or *zaumnyi* as the Russian Formalists called them. Consequently, the poet emphasizes that he does not want to depict a world model in the Romantic manner using meaningful words. Rather, he transforms reality into a text by the use of trans-sense words which he invents himself. To summarize: First, the poet writes that he is "fed up with the deafening language (*iazyk*) of passions". The word *iazyk* shows that he still attaches value to language in which meaning plays a key role. Then he says that he prefers "quiet talk in the evening" (*Pod vecher tikhii razgovor*). The word *razgovor* shows that he attaches a similar value to sensible language since it enables two participants in a conversation (an addresser and addressee) to communicate (see Lermontov 1954b: 188). However, then the poet continues as follows:

Люблю я парадоксы ваши,
 И ха-ха-ха, и хи-хи-хи,
 С<миновой> шутку, фарсу Саша
 И Шишки М <ятлева> стихи ...

(*ibidem*)

("To me your puns are interesting,/ And *ha-ha-ha*, and *hi-hi-hi*,/ S<mirnova's> quips and Sasha's jesting/ And Ishka's M<iatlev's> verses ..."; tr. adapted from Liberman 1983: 245).⁴

The line ... *kha-kha-kha*, *i khi-khi-khi* shows an equivalent-function in Tynianov's terms. It agrees with Tomashevskii's and Tynianov's claim that, in poetry, musical and rhythmic elements dominate their meaningful ones. Thus, the poet merely utters words which fit into the pattern of rhythm and rhyme. In other words, the meaninglessness of the words *kha-kha-kha*, *i khi-khi-khi* shows that the poet's speech has become senseless, or *zaumnyi*. The aforementioned words are combined with the word *stikhi*. The latter word concludes the poem. Moreover, it links, as it were, the end of the text to its beginning. It shows that the reality represented in the poem and the text itself fall together. Thus, gradually, the text is constructed and reconstructed from the linguistic material. This is presented in its coherent as well as incoherent form to the reader in the course of the reading process. The word *stikhi* at the end of the poem shows that the process of reconstruction has been completed. The poem can, in other words, be expressed in the form of a hierarchical scheme. Thus, it departs from the concept of abstract *language*, i.e. language as a system of conventional signs. This is gradually transformed into a system which is dominated by musical elements. This speech is typical of poetry. From this speech alone, however, no poetry can be made. In order to reach his goal, the poet should also be *conscious* of the fact that he uses musical speech. This consciousness impels him to realize that he should use elements of abstract language as well. Only by doing this can he reach his goal, resulting in a poem. This

is expressed in the word *stikhi* which concludes the poem. Ultimately, he can express his poem in the scheme:

A	:	B 1	=	B2	:	C
0		LANGUAGE (<i>iazyk</i>) in meaningful speech (such as in: <i>paradoksy</i>)		SPEECH In poetic, not primarily speech (<i>khi-khi-khi</i>)		SPEECH .poetic, meaningful, speech (in a combination of meaningful and not primarily meaningful speech resulting in verse (<i>stikhi</i>)

Thus, in column C it is visualized that the reality represented in the text and the text itself fall together in the word *stikhi* concluding the poem. This coincidence *visualizes* the reading process. Thus, as it were, the reader sees the poem coming about from its constituent elements in a reconstruction process. The specific poetic quality of words is maximally emphasized in the aforementioned poems in which the addressees are not explicitly mentioned. They express a general model for a poet who writes a poem dedicated to a person. In fact, this poem derives an equivalent character from the fragmentary character of its aforementioned constituent text elements. This gives the poem a Manneristic character. We will see that the latter character is typical of Lermontov's poetry. It manifests itself in, among other things, the occurrence of elements with an equivalent-value.

Elements like omissions often occur in Lermontov's works. They indicate their typically Romantic character. In this regard, consider again Valéry's observation mentioned in Chapter 1, Section 1.4 that a fragmentary character heightens the poetic character of texts. Lermontov's poem *Velikii muzh!* ("Great man!") is illustrative. The first line of this work is missing. Maybe this part contained the

name of the addressee of the poem (Lermontov 1954: 327). As potential addressees the following people have been considered: the hero of 1812, F.E. Barclay de Tolly, as well as P. Chaadaev, Radishchev, and the Decembrists K. Ryleev and P. Pestel.⁵ It has been suggested that the first line was intentionally removed by the author in order to throw dust in the censor's eyes (*LE*: 81). That having been said, the upper part of the sheet on which the beginning was probably written, is missing. Had the upper part been preserved, the first stanza would have comprised five lines. Consequently, the absent line of the poem has an equivalent-value. Consider, in this regard, also the poem *Veselyj chas*, written in 1829. There the author expresses the idea that man should always remain good-humoured, even in distress. This idea is personified in the protagonist of the verses, a poet who keeps singing although he has been imprisoned. The expectation of the expression of his identity is aroused in the poem's sub-heading which runs as follows: *Stikhi v originale naideny vo Frantsii na stenakh odnoi gosudarstvennoi temnitsy* ("Verses, originally found in France on the walls of a state-prison"; Lermontov 1954a: 17). The inscription seems to guarantee the authenticity of the verse-text. Thus, it emphasizes that parts of the text may easily have been lost since they were written in prison.⁶ The idea of a Romantic poet who identifies with his hero, is raised by the suggestion that these lines were lost in prison. The fifth and the sixth as well as the eighth and ninth lines are missing from the last stanza. However, the concluding lines are extant. The equivalent-character of omitted lines, graphs and dots emphasizes the poetic character of a text. The surrounding text-elements, by their antecedent function, orient the perceiver in the manner mentioned by Tynianov in Chapter, Section 1.4. Again, dots raise an expectation in the reader. They emphasize that every new reader is free to replace them with information according to his wish. Consequently, the coherence of the poem is not lost. The beginning lines of the last stanza are illustrative in this regard.⁷ Until recently, it was generally believed that the original source of these verses was a poem by J.-P. de Béranger.⁸ For another example of the Romantic idea that the content of a poem is identical with the place where it was written, consider also a number of verses dating from 1830. These begin as follows:

Оставленная пустынь предо мной
Белеется вечернею порой.

("The lonely monastery in front of me/ Grows white at the evening-hour ..."; Lermontov 1954a: 115f., tr. mine, PMW).

In the margin of the autograph (which has a framing function) the following words have been written, in brackets:

"В Воскресенске "" (" At Vosnesensk ")." Написано на стенах [пустыни] жилища Никна ", "1830 года "

([Written on the walls [of the monastery] of the lodging of Nikon", "1830"; Lermontov 1954a: 403).

In other words, in the framing text the place (the monastery and the lodging of Nikon at Voznesensk) has been indicated. So has the represented time of the represented reality (1830). This poem again has an equivalent-character since the eleventh line of the first stanza is missing and has been replaced with dots. In this regard, one should also consider the dots occurring in the incomplete lines in different versions of the poem *A.A. Smirnovi* ("To A.A. Smirnova"). In the original version of the autograph these verses consist of twelve lines.⁹ In the version published in *Otechestvennye Zapiski* 12,3, 229 (1840), the first four lines were omitted (see Lermontov 1954b: 286).¹⁰

For the function of dots, it is also worth considering the poem which was probably written in 1835. It was meant as a comment on an article in the French press. This article contained a reaction of some members of the French Parliament in favour of Polish emigrants. They had called in French support against the Russian oppressors of the Polish insurrection of 1830. The poem begins as follows:

Опять, народные витин,
 За дело падшее Литвы
 На славу гордую России
 Опять шума восстали вы.

(etc.; Lermontov 1954b: 223)

("Again popular heroes,/ For Lithuania's hopeless cause/ You open fire at Russia's glory/ With swollen oratory...; adapted from Liberman 1983: 97). The poem consists of five stanzas of nine lines each. The first three stanzas evoke the expectation in the reader of the Russian people's bellicose and nationalistic feelings. See the last four lines of the second stanza:

... вам обидна
 Величья нашего заря ;
 Вам солнца божьего не видно
 За солнцем русского царя

(*ibidem*)

("... nothing could have made you sadder/ Than Russia with her gloria new;/ The sheen in which the Tsar has clad her/ Eclipses Heaven's sheen for you"; Liberman 1983: 97).

The bellicose tone is maintained in the third stanza.¹¹ The next stanza contains just two lines in the version we use (see Lermontov 1954b: 366). The remaining ones consist of dots. The two extant lines run as follows:

Безумцы мелкие, вы правы,
 Мы чужды ложного стыда!

(Lermontov 1954b: 224; "Indeed, 'tis true, o petty madmen,/ False shame is alien to us all! ..."; Liberman: 1983: 99).

The two lines are a turning-point since the reader expects that the expression of the bellicose feelings will continue. This expectation is raised even though the lines are not "filled in" and consist of mere dots. A variant of the autograph shows that lines 30 through 36 were scratched. The scratched lines suggest that the poet's feelings about the Russian tsarist régime were ambivalent. In fact these lines bear a maximally bellicose tone.¹² Thus, if these verses *were* included in the definite version its content would be unequivocal and, consequently, much less interesting. The fact that the lines are scratched makes the poem open to a multitude of interpretations. In its definite form, however, it may be interpreted as expressing both the poet's pro-tsarist and anti-tsarist attitude. In other words, these verses are in contrast with the author's many poems in which he explicitly expressed his adhesion to the Decembrists, as illustrated in the aforementioned poem *Velikii muzh!*, which may also be considered open to many interpretation. Consider, in this regard, Pushkin's verses entitled *Klevetnikam Rossii* ("To the slanderers of Russia"; 1831). This poem is much less ambivalent. In his verses the poet rejects the negative comments of the French on the Russian attitude in the Polish uprising. Pushkin uttered the opinion that this uprising was purely an internal affair of Slavs among themselves. Consequently, he threatened the French that they, should they try to intervene in the controversy, could expect to share Napoleon's fate of 1812. In other words, he openly expressed himself in favour of the tsarist régime. Again, the fact that Lermontov scratched six lines in the autograph makes the poem less unequivocal.

In Chapter 3, Section 3.3.2, the observation was made that, in Baratynskii's view, only words which do not depend on the human brain can bring about communication between men. In his view, meaning plays a secondary role in them. This will ultimately result in the omnipotence of silence. The motif of silence plays a key role in Lermontov's poetry too. His poems also express the idea of the secondary character of the meaning of words in speech. There is, for instance, his poem beginning with the lines *Est' rechi - znachen'e/ Temno i' nichtozhenno ...* (1840).¹³ The words *zvuki* in n. 13 emphasizes that for the Romantics sounds rather than meanings of words are essential. This secondary character of meaning is also

expressed by the word *bezumstvom*. This topic will be examined in more detail in Chapter 5, Section 5.4, which deals with Gogol's prose. There, the role of meaningless speech in insanity will be examined in more detail. In the third stanza of the aforementioned poem, the poet elaborates on the character of interrogative, unanswered questions. Consider, in this regard the word *otveta* in the third stanza:

Не встретит ответа
Средь шума мирского

(*ibidem*)

("It [i.e. such a question, PMW] will not find an *answer*/ In the noise of the world"; *ibidem*, tr. and it. mine, PMW). Only in church are the answers to unanswered questions audible for man. The reason is that it is only there that man is alone with himself, in prayer, which is uninterrupted.

Chapter 5, Section 5.1, will deal with the consequences of the phenomenon that time is expressed in block-form. Therefore, only a few remarks will be made about this subject here. It was observed in Chapter 1, Section 1.5. that the presentation of time in block-form is typical of a secondary system like medieval art and literature. The expression of time in another secondary system, i.e. Romanticism, is similar to that used in medieval works. In Lermontov's case, the viewpoint plays an essential role in this regard. Thus, the poet usually represents people, objects and events simultaneously from different viewpoints (see Lominadze 1976: 351, and Lotman 1981 (1972): 69 and 77). The author uses the procedure of presenting himself as being operative in one temporal and spatial block with the persons, objects and events he describes. The author's writing-method implies that he seems to split his represented figures and objects out. Consequently, each represented person, object or event from a binary set seems to be both different from and similar to the other member of the set. This is illustrated, for instance, in *Geroi Nashego Vremeni* ("A Hero of Our Time"). There one and the same person is often doubled. This duplication of a figure enables the author to present time in the

form of a block. As a result, it seems that two figures are operative in one time-unit, carrying out two different actions simultaneously. This method of presenting time as being spatially determined implies that events both do and do not take place according to a system of *linear* time. It was observed earlier that the latter is typical of primary systems like Classicism. Lermontov's aforementioned habit of expressing time in block-form implies that the reader is enabled to determine for himself his viewpoint beforehand (see, in this regard, also Lominadze 19760: 355).

The habit of the author to both write his text and act as a literary figure in it implies that he consistently uses the procedure of masking. Consequently, we see an author at work who hides behind his characters, using them as masks, but whose masking-activity has become an end in itself. Again, the duplication-process implies that we do not see an author at work who creates a world after his own ideas (after the 18th-century, Classicistic, conception). Nor is he a typical Romanticist, as he is not simply annexed by his outside world. In Chapter 5 we shall see, where this is concerned, that Lermontov is a typical representative of an elliptic stage in literary science as it was called by Likhachev. In that capacity he can be said to bridge the gap between a typically secondary system (Romanticism) and a primary one either preceding it (Classicism) or following it (Realism). Summarizing, Lermontov's works show both Romantic and non-Romantic traits. The masking process implies that, in Lermontov's works, we see a narrator at work who consistently splits himself. Consequently, he now passes himself off as his heroes, then plays the role of an independent outsider. However, in this second function he is also playing a mere role. Belinskii, when analyzing *Geroi Nashego Vremeni*, observed that Pechorin, passing himself off as Grushnitskii, forgets his own personality. Thus, Pechorin can be said to be insincere as he shatters the laws of convention by not revealing beforehand that he is going to play a role, i.e. the role of a Romantic figure. However, at the same time Pechorin is being sincere since he plays his role consistently (Levin 1964: 279ff.). In other words, he does not throw his mask off. To that extent he maintains the Romantic suggestion that man is modelled by the reality surrounding him.

In Chapter 5, Section 5.3, more attention will be paid to the use of block-time in Lermontov's prose. However, in his poetry block-time also plays a key role. To that extent his poetry differs from that of most Russian poets.¹⁴ The early poem *Moi dom* ("My house"; 1830/31) shows Lermontov's specific way of presenting time in block-form. See the first lines:

Мой дом везде, где есть небесный свод,
Где только слышны звуки песен,
Все, в чем есть искра жизни, в нем живет,
Но для поэта он не тесен

(Lermontov 1954a: 291; "My house is everywhere where there's a *firmament*,/ Where one only hears the sounds of songs/ Everything in which there is a *spark* of life lives in it,/ But it's not *crowded* for a poet"; Rydel 1984: 87; it. mine, PMW). These lines show the opposite spatial themes "small space"/"large space" (realized in the motifs *dom* and *nebesnyi svod*). Time is also expressed in terms of these spatial motifs (see the theme of "life"). This is conceived as being both short-lived and long-lived. Thus, the word *iskra* has the additional meaning of "a short moment" and the words *zhizn'* and *zhivet* of have the additional meaning of "longer time-units." In turn, large, temporally determined motifs are expressed in the form of small, *spatially* determined motifs. Consider the lines opening the third stanza:

Есть чувство правды в сердце человека,
Святое вечности зерно

(*ibidem*)

("There is a feeling of truth in the heart of man/ A holy *grain* of *eternity*"; slightly adapted from Rydel 1984: 87; it. mine, PMW). The word *zerno* indicates a small *spatially* determined object, the word *vechnosti* a protracted *temporal* unit. In turn, a large space as well as a protracted temporal unit are presented as being condensed into a small *moment*. See the following lines of stanza which run as follows:

Пространство без границ, течение века
Объяснит в краткий миг оно.

(*ibidem*)

("Limitless *space* and the flow of a *century*/ It embraces all in a short *moment*"; slightly adapted from *ibidem*). The words *prostranstvo bez granits* and *veka* and *kratkii mig* show how temporal motifs are expressed in terms of space and vice versa. Summarizing, the motif of "the house" is presented as being the result of spatial and temporal motifs. These condition each other. The house, in turn, is also associated with the different motifs of "songs." See again the first lines:

Мой дом везде, где есть небесный свод,
Где только слышны звуки песен ...

("My house is everywhere where there's a firmament,/ Where one only hears the *sounds of songs*"). In other words, the suggestion is raised that the writer represents both the microcosm and macrocosm. He states that they can only be expressed in terms of songs. In other words, by doing this he also suggests that they can only be expressed in terms of poems like the one the external reader has before him during his reading-process. To summarize, the suggestion is aroused that the represented reality and the text fall together.

The suggestion that all motifs are viewed from different viewpoints is also raised in Lermontov's poem *Zaveshchanie* ("Testament"). This was written in 1840 during the expeditions against the Chechens in the Caucasus and published for the first time in *Otechestvennye Zapiski* 1841, 14, 2, otd. III. In the first two lines the addresser and the addressee are presented *in concreto*; see:

Наемне с тобою, брат,
Хотел бы я побыть :

(Lermontov 1954b: 174)

("Please, could I have perhaps a word/ With you alone, my friend?"; Liberman 1983: 235). An inventory of the world is given in a text with a plot. This contains a description of the protagonist's actions and the events leading to his eventual ruin. The text contains several motifs which are semantically opposed such as "everybody"/"nobody"; "life"/"death", "fame"/"anonymity", "everybody"/"nobody." It is essential that all these opposites are presented in terms of space and time.¹⁵ All these opposite motifs meet in the spatially determined motif of "the house." This is associated with happiness. It indicates the place where the speaker lived in the *past* when his parents were still alive. It is the place to which the *addressee*, contrary to the speaker, will *return*. There the addressee *will* find *peace* and everything which makes man *happy*. To this extent it differs from the place where the two men are at the moment of speaking. This is the place of *war* which makes man *unhappy*. The different viewpoints from which the house is seen become evident from the fact that for the addressee it is presented as a place of joy and rest. For the addresser, however, it is depicted as a place of both happiness and sadness. Thus, the latter emphasizes with the situation that the people with whom he was happy, i.e. his parents, will probably not be alive any more (see n. 14 again). However, he was also happy at home since had a neighbour whom he loved. Originally, she was associated with happiness first. However, later on she has become a meeting-point of past and present, and happiness and sadness. Thus, the speaker wonders where she has remained? She seems to have dissolved into a void. See the first line of the last stanza which raises the expectation of happiness:

Соседка есть у них одна ...
 Как вспомнишь, как давно
 Расстались ...

(Lermontov 1984b: 175)

("They [i.e. my parents, at *my* former living-place, PMW]) had a *neighbour*, lived *next door...*/ So many years have passed! ...; Liberman 1983: 235; it. mine, PMW). This void is expressed in the word *ничего*; see the concluding lines:

Пускай она поплачет ...
Ей ничего не значит!

(*ibidem*)

("She'll cry perhaps/ Which doesn't mean *anything* for her"; tr. and it. mine, PMW). The transformation of the represented reality to the reality of the text manifests itself in this word. Thus, it is the ultimate word of the poem as such. Summarizing, this poem shows the specific representation of time in the form of spatially determined blocks comprising the past, the present and the future. This representation does not only concern the represented time but also the time of the representation, i.e. the text.

4.2 The Manneristic Character of Lermontov's Poems

In Chapter 1, Section 1.2, attention was paid to general qualities of Manneristic works. Works were defined as being Manneristic if they show an alternation of elements confirming a norm code and elements showing deviations from it (see, in this regard, Chapter 1, Section 1.2 again). Elements with an equivalent-function play a key role in this regard. The essential role played by enclaves in this connection was studied in Chapter 1, Section 1.4 It was seen that passages written in a foreign language in a text are enclaves (see, in particular, n. 29 in the aforementioned chapter).

In the preceding section attention was paid to elements with an equivalent-function in Lermontov's poems in general. In this section, a study will be made of the combination of text elements confirming the norm of a language code and text elements deviating from it. The combination of elements with an equivalent-function and text elements written in different languages in Lermontov-poems

render them Manneristic. With regard to this, we shall study in closer detail the Manneristic character of Lermontov's poems which is caused by

1. a mixing-up of language-codes and
2. the fact that they are inserted into prose-texts.

The last section of this Chapter will show the Manneristic character of some autographs of Lermontov-texts. This character is caused by the fact that they show a combination of words and non-verbal signs. Thus, the autographs often contain drawings made by the poet.

The features mentioned under 1. and 2. impart to Lermontov's poems an ambivalent character. With regard to item 1., the idea is suggested of a dialogue taking place between speakers in several languages (see, in this regard, again the observation made in Chapter 1, Section 1.2 that particularly Post-modern texts are illustrative where this is concerned). Thus, they seem to be in the process of being reconstructed by author and reader. This reconstruction takes place from a "murmur of voices." Consequently, the reader may choose what he wants to regard as the norm-code of the text and what as the deviant one. Let us study, in this respect, the problem of the inter-textual relationships first. It has correctly been observed that the author made both translations and adaptations of originally German, French, and English texts. He first read these either in their original or in their French versions. Intra-textual relationships also played a key role in his poems. Thus, throughout his entire life the poet reworked his own poems. His reworked poems seem to answer his own original versions. Texts in which inter-textual relationships are operative show the use of a double code. Consider, for instance, the epigram on I.P. Miatlev (1796-1844) entitled *V al'bom avtoru Kurdiukovoi* (published for the first time in *Otechestvennye Zapiski*, 24,9, otd. 1, 1842). It was observed in Chapter 1, Section 1.2 n. 8 that the epigram is a typically Manneristic genre. Lermontov's verses written in different languages contain all kinds of puns. I.P. Miatlev enjoyed a certain degree of fame in the St. Petersburg literary circles. He was the author of the *Sensatsii i zamechaniia g-zhi Kurdiukovoi za granitsej, dan l'etra-*

nzhe ("Sensations and Observations of Lady Kurdiukova abroad, dans l'étranger") In this work, the author uses a blend of Russian and French. Its effect is evident already in the title in which both French and Russian words occur. It is intensified by the fact that the *French* words "dans l'étranger" are not rendered in French, but in Russian *letters*. Miatlev presented many macaronic texts, verses, consisting of words derived from different languages. Moreover, they contain all kinds of puns. The concluding lines of Lermontov's epigram run as follows:

Мой ум скакал за нею;-
И часто был готов
Я броситься на шею
К madame de- Курдюков.

("My mind galloped behind her [i.e. Kurdiukova, PMW] - / And I was often ready/ To throw my arms around the neck/ Of madame de-Kurdiukov"; Lermontov 1954b: 186; tr. mine, PMW). The text has been written in Russian script, yet in the concluding line the words "madame de - " are written in French. These words suggest that the language-code is French. From the viewpoint of French, the form *Kurdiukov* is also correct. However, since the word is written in Cyrillic script, it should be considered Russian. This is not the case and we clearly have a blend of two language codes here. Thus, if the code were Russian, the "correct" counterpart would be Курдюков-ой rather than Курдюков. In other words, this form is the counterpart of the completely Russian form [даме] Курдюковой of "[Lady] Kurdiukova" which runs parallel with the words in the nominative дама Курдюкова ... used in the fifth line. To summarize, the text describing Kurdiukova is written in a mixture of two language codes, Russian and French. It is further complicated by an additional mixture of French and Russian grammar. This is evident from the distinction which is made between the forms Курдюков and Курдюкова. In a variant of the autograph, the blend of language codes becomes even more complicated. There, the last line runs as follows:

"De madame Курдюков!

(Lermontov 1954: 297)

In the French text element, the word "De" is written in Cyrillic script. The word "madame", is, correctly, written in Latin and the word Kurdiukov, inconsistently, in Cyrillic script. Moreover, the opening line of the verse contains a pun of the kind Miatlev himself used to make in his salon. The original form of the word indicating "frosty" (*морозык*) contains a reference to a feature typical of St. Petersburg. This is "cold." Moreover, a pun is found in the French word "morose", i.e. "sullen."

The use of a blend of language codes as a literary procedure can be found in the verses dedicated to Lermontov's grand-niece Aleksandra Aleksandrovna Uglitskaia (1822-1862; 1841). These were written on the occasion of her future marriage with K.I. Al'brekht. Consider the lines:

Ma chère Alexandrine,
«Простите, же ву при,
За мой армейскии чини
Все, что je vous écris ;

Меж тем, же ву ассюр,
Ich wunsche счастья вам,
Surtout beaucoup d'amour,
Quand vous serez *Мадам*.

("Ma chère Alexandrine,/ Forgive me, please/ As I hold a military rank,/ Everything je vous écris;//In the meantime, zhe vu assiur/ Ich wünsche you happiness,/ Surtout beaucoup d'amour,/ Quand vous serez *Мадам*.)

Lermontov 1954: 187; tr. mine, it. by the author, PMW). The interrelationships between the language codes in this macaronic poem are intricate. First of all, they seem to be operative in isolation. However, a discourse also seems to take place between them. This manifests itself in the use of combinations of grammatically incorrect yet sensible words in Russian, French and German. A complete sentence or text element in language A does not simply alternate with a complete sentence or text element in language B. The text becomes even more complicated. Thus, the whole poem is incomprehensible for a reader who knows only one of the languages. One must master them *all* to understand the poem fully. Thus, in the example in the second line, the words "je vous prie" are transliterated into Же вы при, written in Cyrillic script. Moreover, in the first line of the second stanza the words "je vous assure" are transliterated into Же вы асшур also written in Cyrillic script. The last word of the text bears a similar hybrid character. Thus the French word "madame" is transliterated into МАДАМ, beginning with a capital, and written in italics, in Cyrillic script (*ibidem*). The aforementioned examples show the use of different language codes. They enable the reader to decide for himself which of the different languages is the norm code and which, consequently, the deviating one. This continuous shift of language codes emphasizes the suggestion that the perspective from which the reader reads the text changes continuously. In the poems on Miatlev and Uglitskaia, the poet seems to cross the framework of the poem to its inside. He then subsequently leaves it. He, apparently, enters into a dialogue with his addressees, assuming that they master French and Russian. As a result, the poem shows a double code. This implies that speakers and readers are free to choose their own choice of language. This holds true for both the readers who are active outside and those inside the framework of the text.

Poems inserted into letters deserve particular attention. Consider once more Pushkin's definition of Romantic literary genres as those genres which did not occur in Classical Antiquity. He called such genres "pseudo-Classical", or "Romantic" (see again Chapter 1, Section 1.7 and n. 35). We will start from the idea that one should consider poems inserted into letters such as pseudo-Classical genres. In our view, one should not remove poems from their original context, i.e. the frame-

work of their letters. They should not be studied as isolated units. If they are removed from their framework, a correct interpretation of them is hardly possible. Of Lermontov's 51 letters published in 1957, 33 (65 %) are written in Russian, and 18 (35 %) in French. We shall first pay attention to the latter ones. In the letters containing poems, a shift of the language code often takes place. Thus, the letters are often written in French and the poems in Russian. The difference between the genres (poetry and prose) may be said to run parallel to the difference in languages (Russian and French). Consequently, the question arises which of the two language codes should be considered standard and which deviant. This depended upon the social stratum to which the language-users belonged. The Russian culture of the early nineteenth century was dominated by French influences. Consequently, knowledge of French was usual within the higher strata of Russian society. Two noblemen would correspond in French to emphasize their equality of status. In that case, French should be considered the norm language and Russian the deviant one. However, when writing in Russian, the addresser might want to demonstrate his subservience to the addressee. For example, the tsar might express himself in a letter to his addressee in French. In that case the latter was expected to react in Russian, thereby emphasizing his subservience. In such a situation it would be considered an insult toward the tsar to answer in French. If he did so, it might seem that the writer considered himself the tsar's equal.¹⁶ Where Lermontov's letters are written in neutral French, they may reflect the author's wish to express his feeling of equality to his addressee. Accordingly, when his poems are written in Russian they may be considered to express the idea the writer had about himself. He considered himself a poet for whom writing verses was a personal, familiar occupation. Moreover, by writing in Russian the writer may have wanted to suggest that the poems were intended for his *intimate* friends only. In that case, Russian should be considered the norm language and French the deviant one. On the other hand, it is not illogical for a person whose original language is Russian, to write letters in that language. Into these he might insert poems written in the deviant language. To summarize, it is up to the reader to decide which is the norm language. In fact, Lermontov's poems which are "tucked" in letters show the Manneristic

procedure at work again. It is observed that playing with different language codes and viewpoints is typical of Manneristic art in general.

Let us examine some examples, as there is, for instance, Lermontov's letter, written in French, to his intimate friend M.A. Lopukhina, dated October 15, 1832. The writer expresses his dislike of St. Petersburg and its higher social circles. He assures the addressee that he is longing for Moscow. The letter contains a poem in Russian.¹⁷ The language of the letter (French) should be regarded as being the author's standard language. It departs from the idea that the *personal* addressee is the product of an education reserved for a young lady from the higher social circles. For her, consequently, French is the norm-language. Besides, the difference between the language of the letter and that of the poem the text has an ambiguous character. This is due to the shift taking place in it from the first to the third person. Thus, initially the writer presents himself in the first person, apparently viewing the scene explicitly from within. In the poem, however, he presents himself in the third person, as if viewing himself from the outside. However, whether the viewer enters the scene or whether the scene comes to him depends upon his standpoint. In other words, the Manneristic character of the poem manifests itself in both the difference between the language codes and the viewpoint from which it is regarded. The addressee is supposed to adapt herself to this ambiguity. Thus, she is supposed to have mastered both French and Russian. Like the author of the letter, she should also consider herself from two points of view, an external and an internal one. For the first French may be considered the norm, for the latter Russian. The author of the letter suggests that the addressee joins him when viewing the performance he gives of himself. He seems to draw her into the representation. Generally speaking, one may wonder which of the two genres, prose or poetry, determines the norm code of literature and which the deviation (see again Chapter 1, Section 1.3. There attention was paid to the question which elements are essential to establish the standard code of literary genres. It was seen that the Russian Formalists emphasize the role of the sound pattern rather than meaning as the norm code in poetry).

In Lermontov's letters containing poems it is illustrative that their sounds often anticipate the sounds of the poems tucked into them. To that extent, the determination of the standard code of such specific letters depends upon the reader's viewpoint. Thus, either the code of the prose text of the letter may be considered the standard norm, or that of the poetic text. In fact, the prose lines preceding the poem make a *poetic* impression. Consequently, the sounds and style-figures in the letters and the poems show their Manneristic character. See the following examples (for the analysis I make use of the following key:

á - 1; à - 2; é - 3; è - 4; í - 5; ì - 6; ó - 7; ò - 8; ú - 9; ù - 10; ou - 11)

"J'ai [3] été [3,3] inquiet [4,5,4] il [5] y [5] a [2] quelques [4,4] jours [11], maintenant [4,10,2] je ne [10, 10] le [10] suis [5] plus [9]: tout [11] est [4] fini [5,5] ; j'ai [1] vécu [3,9], j'ai [3] mùri [9,5] trop [7] tôt; [7] et [3] les [4] jours [11] que [10] vont [8] suivre [10] seront [10,8] vides [5] de [10] sensations...[2,1,8]" (Lermontov 1957: 420). Then, there is a chiasm reminiscent of metathesis in the words: "vont suivre"/"seront vides." In this stanza, sound-parallels can be observed between the word-pairs: *rozhdën* [1]/*nadezhd* [1]/*odezhd* [1], *detskikh* [2]/*serdtse* [2], *zhizni* [1]/*shumnoi* [3]/*poshchadil* [3], with metathesis in *sochnyi* [2]/*tsvetov* [2]. Consider also the word-pair (*vdokhnovenii*)/(*mirnykh no bezumnyi*) (line 2). The stanza also shows parallels resembling chiasms. First, a simple chiasm is evident in line 9 (*chas/chas*) in the line: *I chas ikh krasoty - ego paden'ia chas!* - (Lermontov 1957: 420). However, the pattern becomes more complex if a metathesis-like chiasm presents itself; see, in this regard: (*d)lia schas(t'ia)*/(*vyrv)alsia*) (lines 1 and 3 respectively), see also the pair (*ro)zhdën/nadezhd* (line 1), as well as the pair *serdtse/(po)shchad(ih)* (in the lines *I serdtse brosil v more zhizni shumnoi; I mir ne poshchadil*). Here the sounds /ts/, /sh/ and /d/ are presented in a reversed order. Furthermore, we have a vowel alternation in the words *more/mir* (In lines 4 and 5 respectively); see also the concluding line of the covering text of the letter: "Adieu - mes poclony a tous - adieu, ne m'oubliez pas" (*ibidem*). The word *poclony* ("regards") again shows the mixture of two language codes: Russian, written in Latin script (*ibidem*).

In several of his letters Lermontov expresses his dislike of St. Petersburg and his love of Moscow. For instance, in his letter to the same Lopukhina of

August 1832, he writes: "J'ai [3] vu [9] des [4] échantillons [3,2,5,8] de la société 7,3,3] d'ici [5,5], des [4] dames [1] fort [8] aimables [4,1], des [4] jeunes [10] gens [2] fort [8] polis [7,5] tous [11] ensemble [4,4] ils [5] me [4] font [8] l'effet [4,4] d'un [10] jardin [2,4] français [2,4], bien [4] étroit [3, 8] et [3] simple [4], mais [4] ou [11] l'on [8] peut se perdre [4] pour [11] la [1] première [10, 4] fois [8] car [2] entre [4] un [10] arbre [2] et [3] un [10] autre le ciseau [5,7] du [9] maître [4] a [1] ôté [7,3] toute [11] différence!" [5,3,4] (Lermontov 1957: 413). The sound-repetitions in this passage are indicated by numbers in square brackets. In the same letter, the poet writes that a flood took place in the capital a few days earlier. This fact reinforces his thought of water. Thus, when sitting at the window, he reports that he overlooks a canal and writes a poem. He expresses in it his wish to be transformed into an element of nature.¹⁸ In these verses, the same tone of contempt for the people in the ordinary world resounds (see some examples of sound repetitions: *chego ia/ sineiu/ shumno ia* (lines 1, 2 and 3); *shumno/ strastno* (lines 3 and 5) etc; consider also some repetitions with the aforementioned metathesis-like chiasm character: *dlia chego ia/ ia rodilsia* (line 1), *lobzal/ zolotisty* (lines 5 and 6)). Here, apart from the direct repetition *zal/zol*, metathesis-like chiasms in *lobz/zol* and *lob/by* in the opposite *lobzal/by zolo(tisty)* are found. Also, these verses show the aforementioned Manneristic-like character.

The poem shows a specific character since it is divided into what could be called a gloomy and a merry part. Thus, the poet describes himself as sitting near the water, in the full moon, first. The moon in the accompanying letter is presented as shining explicitly on a flooded city and a canal and a poet. In the poetic text, however, the water and the poet are presented as being one. In other words, a change takes place in the verses compared to the prose text. The *two* motifs of the water and the poet occurring in the letter are combined into *one* image – that of the poet – in the verses. In the poem, the poet concludes that if he were a wave, he would be free of all human sufferings. Consequently, he would also be free to make a choice between life and death. The verses are gloomy. In the first part of the letter, the writer emphasizes his feelings of distress and annoyance with life in St. Petersburg.¹⁹ However, the concluding lines of both the poem and the letter are

written in a merry tone. Consider the concluding lines of the poem.²⁰ Here the question arises: does this merry tone express the norm code or does the sad tone of the poem indicate this norm? The mood expressed by these ironical and merry lines corresponds with that of the following lines of the letter. They run as follows: "Adieu ... je ne puis plus vous écrire, la tête me tourne à force des sottises; je crois que c'est aussi la cause qui fait tourner la terre depuis 7000 ans, si Moïse n'a pas menti."²¹ In other words, the tone of the version mentioned in n. 18 is sad, but that in n. 19 is partly sad, partly merry. The tone of the final version is sad. This fact shows that the poet plays with masks. In other words, the poem shows Manneristic traits. Thus, the procedure used in it is characteristic of the *conchetto* in Manneristic literary works. The word *sottises* in the last lines of the letter emphasizes this. Also, the fact that the letter has been written in French shows this Manneristic character. Thus, originally, the tone of the French text is sad. However, in the latter part a reversal takes place both in the French written prose text and the Russian written poetic text. Summarizing, the question which language expresses the norm code and which expresses the deviant one remains undecided. The question about the codes does not only hold for languages but also for motifs; see the aforementioned passage from the Lermontov-letter, where the poet complains about the fact that he lacks inspiration. He ascribes this to the dreary life in the capital. He neither reads nor writes much, as is illustrated in the following lines: "J'écris peu, je ne lis plus; mon roman devient une oeuvre de désespoir; j'ai fouillé dans mon âme pour en retirer tout ce qui est capable de se changer en haine - et je l'ai versé pêle mèle sur le papier ..." (Lermontov 1957: 414). However, this information is contradicted by the fact that he *formulates* this in a letter. He is apparently still in the process of *writing* this, i.e. he is in the middle of an activity which presupposes inspiration. Thus, in this same letter, i.e. *within* the framework of the prose text in which the poet emphasizes his *lack* of inspiration, two *poems* are found. Summarizing, the question concerning the norm code of the text can be posed again. In other words, does the theme "inspiration" express the norm code and "lack of inspiration" - the deviation of the code, or vice versa? In summary, the effect resulting from the combination of the letter and the poem is essential. Thus, the poem confirms the

idea that the poem should not be read in isolation. Rather, it should be studied within the context of the letter in which it is tucked. Here, a letter containing a poem can be seen to enable the reader of both the texts of the letter and the poem to step inside each other's frames. Consequently, the reader is enabled to shift his point of view. It was observed above that it is typical of Lermontov's works that he presents them from different viewpoints.

Consider also, in this regard, the poem *Parus* ("The Sail"). It was, in its original form, included into the letter of September 2, 1832 to M.A. Lopukhina. The first line of the letter confirms again the aforementioned Romantic tradition since it emphasizes that the poem was composed on the seashore. See: "Voici encore des vers, que j'ai faits au bord de la mer." The poem was published for the first time in *Otechstvennyye Zapiski* 18, 10, otd. III, 1841.

Белеет парус одинокой
 В тумане моря голубом;-
 Что ищет он в стране далекой
 Что кинул в краю родном?

(Lermontov 1957: 417; for the final version see Lermontov 1954a: 62).

("A sail is gliding in the torrent,/ Enveloped in a bluish haze./ What does it seek 'mid breakers foreign?/ What did it leave in native bays?"; Liberman 1983: 95). The interest of this passage lies in the fact that the framing introductory sentence from the letter can easily be read as two verse lines: "Voici encore des vers/que j'ai faits au bord de la mer." Except for the rhyming words "vers" and "mer", the words "encore" and "bord" show sound-parallels. Again, the Romantic process is used again where the verses dealing with a ship on the sea are written on the seashore. The poet is passing himself off as the protagonist of his verses. In other words, he puts on the protagonist's mask. Which of the masks the poet puts on is reliable?

In all these examples the poet gives his poems a double code since he tucks them in another text. The latter is not only written in a different language code but it also belongs to another genre, i.e. a prose text. Again, the ambiguous character of

the text which is due to the uncertainty of its code is combined with a play with masks. This makes interpretation complicated since one wonders which code is the standard code and which one is the deviant one. It is again left to the reader to decide whether the prose text determines the standard code or the poetic text. Thus, one may consider the poet's position as an ordinary person to be normal, but this also holds true for his position as a poet. In the first case, French should be considered the norm language. In the latter case, however, this is the case for Russian. It was seen that, if French is considered the norm code, the use of Russian is assumed to be reserved for poets or people who explicitly want to express their subordination to their addressee. Once more, these poems derive their Manneristic character from the fact that the answer to the question concerning the norm code of the work depends on the perceiver.

We have thus far discussed cases in which poems in Russian were included into letters written in French. The playing with masks is further complicated if a poem written in French is tucked into a letter which is also written in French. Such a poem, entitled "L'attente", was included in the letter to S.N. Karamzina, dated May 10, 1841, written by the author of this poem. The double code of the poem cannot be concluded from its definite version in which it is presented as an autonomous work. In other words, there it is not accompanied by the framing prose text of the letter. In the letter, the poet assures his addressee that he abhors the higher social circles.²² A play with language codes takes place in this poem since *both* the letter and the verse lines seem to be reserved for those readers who master French. Since both the letter and the poem are written in French, French should, consequently, be considered the standard language code. However, the author states that it is a shame to write in French as a standard language. He expresses the view that poems should be written in a language deviating from it, as can be seen in the exclamation quoted in n. 21: " ... je suis allé jusqu'à faire des vers français, - oh! dépravation!" This fact emphasizes the Manneristic character of the text. Again, the Manneristic character of the poem is lost if the poem is studied in isolation, i.e. apart from the context of the letter, in which case it would merely be a poem written in French, without further comments. In fact, nobody mastering

the French language would consider a poem in French as being written in a deviant language code, or, to put it differently, in that case nobody would consider the poem Manneristic. Summarizing, the question about the language norm will be brought up only if a poetic text is studied within the framework of a prose text. Regarding the aforementioned fact that poetic and prose texts should be studied within their context, the particular form of the letter should be mentioned. This seems to have a particular poetical pattern. "Si [5] vous [11] voulez [11,3]/ Je [10] les [4] écrirai [3,5,3]/ Ils [5] sont [8] très [4] jolis [7,5], / Pour [11] des [4] premiers [10,3] vers [4]/ Et [3] dans [2] le [10] genre [2] de Parny [10,2,5]/ Si [5] vous [11] le connaissez [8,4,3]." The sound-parallels which can be drawn are placed in square brackets. However, the parallels manifest themselves most clearly in the rhymes; consider, in the lines 1, 2, and 3 the parallels: "sombre" (1)/"ombre", and in the following lines: "doucement"/"luisant", "espérance" /"balance"/. Repetitions of a more irregular kind are also found. These can be said to establish the text's poetic character since they indicate the sound-basis; see the following sets of words: "attente"/"attends"; "loin"/"vois"; "plaine"/"vient" and see also: "ombre" /"non"/"trompeuse"/"doucement"/"espérance"; "trompeuse"/"vieux"; "non"/"son tronc"; "balance"/"luisant"; "penche"/"penche"; "penche"/"longtemps". In other words, the text seems to have been made up of an intricate network of sound-parallels. This is realized in both the rhymes at the end of the lines and the sound-parallels within the text. It does not primarily lift the poetic text up from the context of the letter, presenting it as an independent whole. Rather, it should be regarded as an integral part of the prose text. If not, it cannot be interpreted correctly. The double code gives the key to the correct interpretation. Lovers of poetry, on the one hand, may concentrate on the poetic character of the text. However, those who are less interested in poetry may derive information concerning the poet's personality and his Romantic environment from the framing letter.

These examples show that some of Lermontov's poems possess the ambiguous character which is typical of Manneristic works of art and literature. This can be seen at work in the intricate play with a blend of language and genre codes.

From their Manneristic character, the texts can be said to bridge the gap between works with a closed and works with an open character. In Chapter 1, Section 1.1, the observation was made that Classical works in their ideal form have a closed character whereas non-Classicistic works are maximally open. In this respect, particular attention should be paid to texts containing enclaves in the form of pictorial signs, or graphs. In anticipation of the role of such signs in Lermontov's poems, some general aspects of the role of verbal signs in a non-verbal context will be discussed now.

4.3 Intermezzo: Elements with an Enclave-function in Pictorial and Verbal Texts: The Semiotics of Falconet's Statue of Peter the Great

In Section 4.1, the specific effect was discussed of elements with an equivalent-function in the form of dots being included into a poetic text. Section 4.4. will deal with elements with an equivalent-function in the form of drawings in Lermontov-poems. Anticipating this section, we shall make some general observations now concerning the combination of verbal and non-verbal signs. This will be done by an examination of the equestrian statue of Peter the Great (1672-1725) by Étienne-Maurice Falconet in St. Petersburg. This statue was unveiled in 1782. In several studies the statue itself has already been discussed. Moreover, some attention has also been paid to the character of the inscription on the pedestal.²³ However, less attention has, thus far, been paid to the specific interaction between the non-verbal and verbal signs in the statue.

In this section, the function of the statue will be studied as a work of art which derives its aesthetic effect from the fact that it contains an enclave. It was observed that in semantic enclaves interrelationships between verbal and non-verbal signs occur. Consider again Gadamer's observation that a work of art should, in order to acquire an aesthetic value, have an occasional character. This implies that each perceiver should be able to "fill" a work of art with the content of his own choice. See Chapter 2, Section 2.2.2 again. In this section, the interrelationships between the statue and its inscription will be studied in more detail. In an enclave, a meeting takes place of an element confirming a norm code and one

deviating from it; see again Chapter 1, Section 1.4 and Wallis 1973. In the statue of Peter the Great different codes are operative. Thus, we are confronted with a monument consisting of a statue with a dedication consisting of letters. Anticipating the next section we shall draw attention now to the function of verbal signs in a non-verbal context (and vice versa); see Tynianov's observation that an illustration should not merely *repeat* a part of the text (Tynianov 1977 (1923): 316). Rather, it should *continue* it, i.e. run *parallel* to it. Parallelism is much more than mere repetition.²⁴ Elements running parallel with each other have a particular effect. They derive this from the fact that they have a character of their own although they share certain common features. For instance, poetic texts rather than prose texts are typified by parallelism. Then, there is a relation of parallelism between the inscription of the statue and the represented figure since both refer to the tsar. However, the similarity ends there. Thus, the text is written in two versions, i.e. in different language codes. It was observed in Chapter 1, Section 1.2 that the use of different language codes is typical of Manneristic works. The dedication is written twice, in Latin on one side, in Russian on the other. In the first case it runs as follows:

PETRO PRIMO / CATHERINA SECUNDA / MDCCLXXXII (see ill. 8)

On the other side, it is presented in Russian:

Петру Перьвому / Катерина Вторая / Лѣта 1782.

So the inscription is written in the language code of both Russians, i.e. Russian, and non-Russians, i.e. Latin. For the latter, Latin is supposed to be understandable. In the inscription, the donor and the receiver of the monument are presented in their quality of addresser (Catherine) and addressee (Peter the Great). However, the maker of the statue, Falconet, can be said to be operative in an even more deviant code. Thus, he is altogether absent from the statue, or, he is an element with an equivalent character in Tynianov's definition. Particular attention will, in

this regard, be paid to the indication of the year on the pedestal. This has an even more specific function.

The lines of the inscription look like poetic ones. This is due to the fact that they seem to run parallel with each other. Thus, both contain indications of imperial figures (*Petro - Petru* and *Catherina - Katerina*). They also contain numerals (*primo - per'vomu* and *secunda - vtoraiia*). In this regard they seem to be poetic. This brings up the question in how far the lines "Petro Primo/ Catharina secunda" and Перпү Перьвому / Катерина вторая can be said to be poetic; see again Chapter 1, Section 1.3 in which it was observed that parallelism is distinctive of poetry. The parallelism is evident from the fact that the inscription indicates two different persons ("Petro Primo"/"Catherina Secunda"). This implies that they do not merely repeat each other. They are rather similar. Their similarity is evident from the fact that the inscription indicates two figures who are *grammatically* identical ("Petro" (*Petru*) and "Primo" (*Per'vomu*) and "Catherina" (*Katerina*) and "Secunda" (*Vtoraiia*). Due to the absence of a verb-form and a direct object the inscription lacks the suggestion of an action. Consequently, the text becomes what has been called by Lotman a text without a subject (Lotman 1982 (1971): 336ff.). To such texts, the latter reckons indexes, lists, and so on. All these texts show a parallelism. Logically, Lotman also reckons lyrical poetry to texts without a subject (*ibidem*). To texts with a subject, on the other hand, he reckons all texts which do contain an action.

The bilingual character of the inscription (Latin and Russian) can be interpreted as a means to emphasize the universal importance of the tsar. Thus, his name is supposed to reach all peoples of the world speaking all languages. Consequently, through the addition of a Latin version, the maker suggests that it should be clear to the Russians that the statue is not reserved for them alone. It is accessible to other peoples too. The Russian text, in turn, impels foreign, non-Russian viewers to realize that they see in front of them a *Russian* emperor. Thus, the Russian version of the inscription transforms it into an enclave for *non-Russian* viewers of the statue. Conversely, the Latin version transforms it into an enclave for *Russian* ones. In other words, the bilingual character of the inscription intenti-

onally hampers its correct interpretation²⁵ due to its ambivalent character, the more it attracts the perceiver's attention.²⁶ Consequently, it heightens its aesthetic value. Summarizing, the bilingual character of the text emphasizes the tsar's universal significance as both a national and an international hero. The play with codes causes the effect of the viewer being forced to decide for himself which of the two languages is the norm code and which is the deviating one. The inscription also emphasizes that the *reader* should decide for himself whether he considers the non-verbal or verbal part of the statue essential. In summary, both viewers and readers are left free to decide whether the code of the statue is determined by the non-verbal elements or vice versa. Depending upon the viewer's opinion, the inscription can therefore be considered an illustration of the statue or vice versa. It was seen in Chapter 3, Sections 3.1 and 3.2, that the aforementioned freedom is typical of Classicism, i.e. the lifetime of E.M. Falconet, the maker of the statue. In this respect, consider again the aforementioned observation that an illustration should *continue* rather than merely repeat a text. In his view, its effect is maximal when it suggests "open spaces" rather than the filling of these spaces. In fact, it should not bear a *direct* relationship to it; see, in this regard, Section 4.4, in which this phenomenon will be dealt with in more detail.

It has been an artistic procedure since olden times to insert into a work of art a text which is difficult to read (Butor 1974: 49; see also n. 26 again). The two versions of the inscription on the statue confirm this. Originally, Falconet had drafted a text which ran as follows: "Stephanus Falconet, parisinus invenit et fecit, Maria-Anna Collot parisina Imperatoris similitudinem expressit. Antonius Lossenko ruthenus delineavit anno 1770" ("Stephane Falconet, Parisian, designed and made [this], Marie-Anne Collot expressed the emperor's likeness, Anton Losenko, Russian, made the sketch"; Hildebrandt 1908: 52, fn. 1).²⁷ M.-A. Collot was Falconet's gifted student and, later on, his daughter-in-law. A. Losenko was the Russian artist who made the drawing of the statue. When Empress Catherine II asked him to draft a text, Falconet, in his letter of 14 August, 1770, made a proposition. It ran as follows: "Petro Primo/ Catharina Secunda/ posuit" (Hildebrandt 1908: 53; see also 83). In the letter, he defended the shortness of the inscription with the

argument that a lapidarian style was "perfectly in line with that of the inscriptions on sculptures of Antiquity" (Réau 1922: 363). Falconet defended his endeavour to find as concise an expression as possible in his words to the Englishman Wraxall as well. He explained to him that such a representation would do justice to the represented figure. It was in his view misplaced to add all kinds of details. He felt that the tsar would become famous through his deeds regardless.²⁸

Falconet had also passed the Empress' request for an inscription to his patron and admirer Diderot. At the latter's intercession with the empress, he had been invited to design the statue and carry out its realization. Diderot drafted a text.²⁹ He, in turn, had not directly proposed his version to Falconet. Thus, he had submitted it to the judgement of Friedrich Melchior Grimm (1723-1807), a fellow Encyclopaedist, who criticized him. In his view, the inscription did not do sufficient justice to the empress and the tsar. Grimm also asked Abbot Fernando Galiani (1728-1787) for his opinion. The latter was equally closely associated with the Encyclopaedists. Galiani drafted another text, which he inserted into a letter to Grimm on 17 October, 1772. He, in turn, criticized Diderot because the latter had, in his view, written a hymn of praise for Peter the Great. Such a hymn should be considered misplaced in a historical monument, because it should merely contain historically correct facts. Diderot's and Galiani's versions contained long enumerations of achievements reached during Catharine's reign. There is an important difference between the drafts by Falconet and Galiani: in the latter's draft the name of Catherine is mentioned first. Different from Falconet's and Diderot's versions, in Galiani's text the erector of the monument literally and figuratively takes first place ("Catharina II Augusta").³⁰ The fact that the Empress is mentioned first raises the suggestion that the importance of the empress's deeds is of primary importance (see note 30). This emphasis, however, is contradicted by the meaning of the words "primo" and "secunda." The first word, however, has the additional meaning "first-in-command", or "major." The second indication, in turn, has the additional meaning of "second-in-command", or "minor."

It is unknown whether the sculptor had agreed with the apparent decision of the empress to add the date. This had originally been 1780 since it had been the

original plan to unveil the statue in that year. However, it ultimately became 1782 (Réau 1922: 386, 395). It is not exactly known whether the sculptor agreed that the inscription be written in Latin on one side of the pedestal and in Russian on the other ; see again the sculptor's aforementioned letter to the empress in this regard : it shows the artist's pursuit of simplicity. Consequently, he pleaded for a simple and concise inscription on the pedestal. He was against works of art containing long, ornate and intricate inscriptions. Accordingly, he was critical toward the bilingual character of inscriptions. To illustrate his view, he mentioned the example of an inscription in Latin under which a French translation had been written!³¹ Generally speaking, Falconet mistrusted too great a dependence of works of art upon verbal descriptions. In his pursuit of simplicity, Losenko was one of the very few Russian artists in whom the sculptor put confidence.³² Losenko's drawing of the tsar standing on a rock goes a long way in this respect. It shows the figure standing on the rock, without any inscription at all (see ill. 9). In short, these facts show that the sculptor wanted to avoid a long inscription. This idea implies that he would probably have preferred the absence of any indication of a year as well. What is the effect of the inscription as it is, in its definite version? It consists of an addresser (Catherine II) in the nominative and an addressee (Peter the Great) in the dative. The inscription shows the important role of elements with an equivalent-function since it lacks a predicate and a verb-form. The absence of these can be said to have an effect similar to the dots in verse lines with an equivalent-function; in this respect, see again Section 4.1. In fact, the versions proposed by Falconet and Galiani contained the form "posuit" and Diderot's text "consecravit" (see n. 29). In other words, from the definite text of the inscription even the idea of an action has been removed. Only the persons involved in a potential action are preserved. Also a time-indication is present (1782). Furthermore, the omission of the direct object (either "monumentum", or "statuam") is illustrative. Consider the Latin version of the inscription where this is concerned. In that language the direct object written in the accusative indicates the element in the statement to which the action expressed in the verb is directed.³³ In other words, the direct object, which completes the action, seems to have been removed from the text. This holds true for both the

Latin and the Russian versions. On the other hand, the indirect object, in the dative ("Petro" - *Petru*), has remained. This fact emphasizes the potential character of the action expressed in the inscription. What does the dative form in Latin indicate? Whereas word forms in the accusative case refer to the verb of a sentence, those in the dative specify a sentence. Thus, in Latin, a dative form does not refer directly to an action expressed in a sentence, but rather indirectly (Kühner-Stegmann 1982 (1914): 307). The fact that a word in the dative case indicates somebody or something which is not involved in the action holds for Russian too.³⁴ The absence of a direct object in the inscription raises the suggestion that the inscription presents a mere frame. It frames a potential action, as it were. The presence of an indirect object in the dative shows this. Thus, Peter the Great is mentioned as the indirect object, in the dative. He is not mentioned in the inscription as the predicate noun. The fact that he is not presented as a direct but rather as an indirect noun is illustrative. It shows that the question as to whether the statue expresses an activity remains undecided. It seems that the statue itself, inactive as it is, can derive an activity from the inscription. In turn, the inscription can be said to be inactive because it lacks a verb-form and an object. However, it can be said to derive an activity from the statue. Thus, the statue and the inscription derive an activity from each other. I reiterate Tynianov's observation that an illustration inserted into a text can only be effective if it does not merely repeat the text. Rather, should continue one another. In fact, the combination of the statue and the inscription is effective since the pictorial representation (the statue) does not *repeat* the inscription. Rather, the two "prolong" each other. Summarizing, the *absence* of a direct object (for which Diderot had proposed *monumentum* and Galiani *statuam*) invites the perceiver to start *looking for* the exact nature of the representation.

The indication of the year on the pedestal plays a key role in emphasizing the specific, indexical, character of the inscription. For an interpretation, see A. Rothe's scheme. This scheme explains the combination of pictorial and verbal signs in a narrative. Its application to the statue yields the following result:

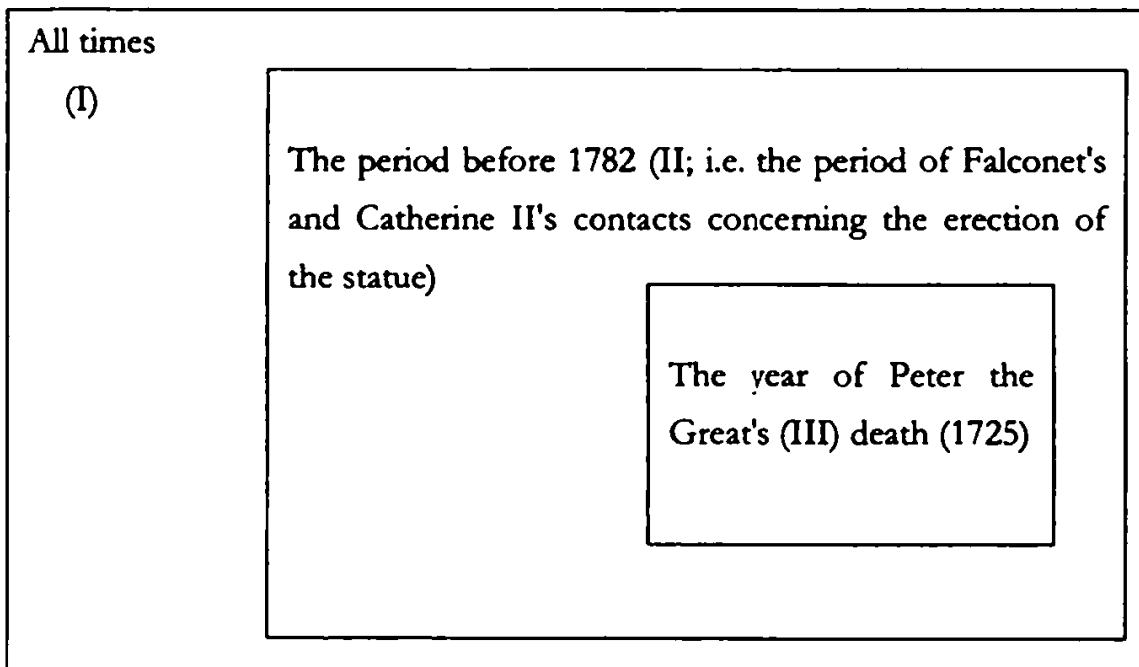
Explicit maker of the inscri. And the statue (Falconet)	Implied maker of the statue and insc. (Catherine)	Figure repr. in text only (Catherine)	Figure repr. in both the statue and the text (Peter)	Impl. address of the text and statue (Peter)	Explicit addr. of the text and the statue (all viewers and readers)
(I)	(II)	(III)	(III)	(II)	(I)

See, in this regard, Rothe 1986: 158. Thus, Catherine and Peter can be presented as partners (III) in the message conveyed by the inscription. Consequently, they fulfil the role of speaker and hearer in a text-internal dialogue (III). Then, consider what could be called the "explicit maker" (I) and "implied maker" (II) on the one hand, and "explicit addressee" (I) and "implicit addressee" (II) on the other. Consider, in this regard, Rothe's definition of perceivers. He calls a perceiver addressed within the framework of the text an *Adressat*. A perceiver who is not addressed there and who remains unmentioned he calls an *Interessent* (*idem*: 257). In anticipation of Chapter 5, Section 5.1, the so-called implied author of a literary work should already be mentioned. An implied author should not be confused with a real author. He has been defined as the author in his capacity of the person who selects and arranges the literary material. He judges its artistic value and is responsible for its composition in such a way that a literary text results. An implied author is operative regardless of a real author. A real author presupposes an implied author who tests the artistic value of a text. Thus, the real author is supposed to transform a text into an artistic one in accordance with the indications given by the implied author. The latter is supposed to keep the first under control. To this extent, the empress can be considered to be the implied maker of the statue since she was Falconet's principal. A similar distinction can be made between a real addressee on the one hand and an implied addressee on the other. Thus, Peter the Great can be

said to be the real addressee of the statue on the one hand, Catherine II can be said to be the implied addressee on the other. In Chapter V, attention will be paid to the versatility of the implied author and the reader of a text. Thus, they bridge the gap between an author, his reader and the fictional world of the text. Falconet plays a role similar to the real author since he is the real maker of the statue. He differs from Catherine since he is mentioned neither in the verbal nor in the non-verbal context. He functions as mere *Interessent* in this regard. Catherine, in turn, seems to keep the real maker, Falconet, under control. To this extent, she fulfils a role similar to the implied author. Moreover, she is mentioned on the statue, i.e. in the inscription. To that extent, she functions as *Adressat*. Falconet, in his quality of the builder, is operative in column I. Thus, he is not mentioned on the pedestal. The Empress, however, is operative in column II. Falconet and the tsarina communicate as the aforementioned correspondence between them shows. However, they are not equivalent. Thus, Catherine's role as the implied maker of the statue outweighs that of the real (i.e. explicit) maker (Falconet). Thus, it is emphasized that she has the definite responsibility for the composition of the statue. Falconet, however, merely has to carry out her orders, as she is his commissioner.

The year "1782" on the pedestal plays a key role in the statue. Thus, it also indicates the specific relationship between the columns I, II and III. Firstly, column I indicates "all times." It comprises, generally speaking, all people. Column II embraces the period before 1782, i.e. the period up to and including the period during which, the explicit maker, Falconet constructed the statue. The indication of the year brings about some contact with the addressee mentioned in the inscription in the dative. This is Peter the Great ("Petro" - *Petru*). However, this is no direct contact. In fact, in the year 1782 the tsar had already been dead for nearly sixty years. In other words, the indication of the year prevents the viewer from entering column III. In this column, the aforementioned, so-called text-internal dialogue of the figures represented in either the statue or the pedestal takes place. The indication of the year does not enable all viewers to enter column II either. It was seen that this column is reserved for the Empress (the implied maker of the statue) and the tsar (the implied addressee). In fact, the real maker (Falconet) and the

ordinary viewers are on the same plane. It was observed that Falconet functions as the explicit maker. The ordinary viewers are explicit ones. To summarize, the indication "1782" has a signalling function. Thus, it cannot be said that it has a meaning of its own. Rather, it serves as a means for a perceiver to orient himself, or, to put it differently, it indirectly indicates the contact between Falconet and Catharine. The year on the pedestal indicates the period in which the makers (Falconet and Catherine II) were active. However, it denies their relationship since it indirectly indicates the period preceding it, i.e. Peter's lifetime. In turn, Falconet's letter (which is not mentioned on the statue) bears the date August 14, 1770. It can be said to serve as the antecedent of the year which *is* mentioned on the statue (1782). We can draw up a scheme similar to the aforementioned one, which expresses the hierarchical character of the statue in the following manner:



From a point of view of time, the hierarchical character of the scheme is evident: I embraces all men from all times, II embraces Catherine II and Falconet as well as their contemporaries only, and III embraces Peter the Great as well as his contemporaries only. In other words, the scheme is similar to the aforementioned one. Thus, Falconet is operative again as the link between I and II, whereas

Catherine II serves as the link between II and III. As far as the role of the Empress is concerned, the indication of the year, "1782", lends the work an emblematic character. Thus, it links different periods and enables perceivers from all periods to interpret it correctly. Consider, in this regard, the biblical persons on medieval altar-tops. These had become unrecognizable in the course of the centuries and should, consequently, be accompanied by emblems. Their function enables the perceivers to restore contact with the figures represented on the top.³⁵ The year "1782" owes its emblematic value to the fact that it restores contact between the figure of the tsar and representatives of other times. Thus, if the pedestal would not bear an indication of a year, it might seem that there was no temporal separation between the tsar's lifetime and later times.

As far as the spatial and temporal determination of the statue is concerned, the latter shows a hierarchical construction. Thus, the tsar seems to be maximally visible. He is operative in both the statue and the text. Moreover, there is both a metonymic and a metaphoric relationship between the statue and the tsar. Thus, the statue which was erected for him (in the year 1782) *celebrates* his *greatness* in words and images but it also shows his *likeness*. The Empress takes second place since her name can be read on the pedestal only. She is not visible on the statue. Moreover, she can be "gathered" from the indication of the year "1782." This indication metonymically refers to her since it indicates her lifetime. To conclude, the rock on which the statue stands even lacks this metonymic character. Thus, it is visible but has no meaning of its own. Its sole quality lies in the fact that it refers *indirectly*. Falconet ascribed this lack of identity of the rock to its allegoric character. With such a monument, the tsar would, in his view, undoubtedly have been happy.³⁶ Such a representation generally corresponded with the typically eighteenth-century Classical concept of art. This should reflect "beautiful nature" rather than nature in reality. In the latter, all kinds of ugly, cruel and unnatural things are found as well.³⁷ It was observed earlier that it is typical of eighteenth century thought that nature should be useful for man; see, in this regard, the observations made in Chapter 3, Section 3.2.1 on Derzhavin's poetry. Also, Diderot's observations are illustrative in this regard.³⁸ The latter emphasized that each artist

should work for the preservation of his fame by posterity. He felt that humanity was continuously developing towards a better future. In Falconet's view, however, an artist should carry out his task without taking notice of whatever the world may say.³⁹ Falconet, rather than Diderot, enhances a typically Romantic world view. Thus, he regarded the artist as a *prophet* of the *individual* aesthetic task of man. Again, the latter should carry out his activities on his own, not reckoning with the often unjust reactions of his fellow man. Consider again the observation that in the Classical view an artist is an artisan. To that extent, the latter differs from the artist in the Romantic conception. It was observed that the Romanticists rather did considered him a prophet (see Chapter 1, Section 1.1 again). Also, Diderot's works reflect the aforementioned Classical idea that the artist should make himself creditable for society. His conviction that man should produce products which would be enjoyable by posterity induced him to argue with Falconet. In Diderot's view, Peter the Great's statue might be realized in the form of an enormous *public* fountain (Réau 1960: 165). Diderot thought that such a construction should bear an allegoric character. Consequently, he commended the sculptor to ornate his work with all kinds of attributes. These should personify lofty ideas of which man could take advantage. In short, in his view metonymic relationships should be emphasized as much as possible in the statue. In Falconet's view, however, such ornaments would only detract from the beauty of the statue. Therefore, he thought the figure should be represented as standing on his own as much as possible. In other words, contrary to Diderot, Falconet thought it best that in the statue metaphoric relationships should be emphasized.

Falconet's tendency to imitate real nature on the one hand and ideal nature on the other hand manifests itself in the pedestal. Originally, he had considered the possibility of placing the figure on a rock consisting of several smaller ones. His Classical ideas manifested themselves, in this respect. Thus, the Classicists thought it possible to adapt nature to human will. Ultimately, however, Falconet selected a huge rock consisting of one piece. Falconet's Romantic leanings became evident where this was concerned since he did not want to adapt it to his own, personal ideas. However, in some places the sculptor touched up the natural rock. He did

this to ensure that the special qualities of the jumping figures (the rider and the horse) would show up. This emphasizes the Classical character of the monument.⁴⁰ Moreover, the rock has an allegorical character. This is caused by the fact that rocks of such enormous size do not occur naturally near St. Petersburg.⁴¹ It was around this city that the historical figure had carried out his activities. Falconet's tendency to make a representation which is both real and ideal also manifests itself in the figures of the man and the horse. They are natural since the two form an organic whole so that the suggestion of maximal speed and strength, expressed by the composition, is emphasized. However, their organic whole is also idealized; see Diderot's words, in which he expressed that he thought it had become "a fine Centaur."⁴² In other words, this – in itself natural – strength and speed could only be realized in a stylized form, i.e. in a mythological or non-existent creature.⁴³

Let us return for a moment to Falconet's aforementioned plea for a short inscription on the statue. It fits into his idea concerning men-of-letters expressing judgements about works of art. His polemics with Diderot, who defended the opposite view, is famous in this context. Falconet illustrated his idea by emphasizing the disastrous result if works of art were realized on the basis of descriptions. In such cases, these descriptions would function as lifeless models. Falconet thought that mere stilted, stereotyped works would result when artists base themselves on models. Such works are just repetitions of a fixed ideal of beauty which can never be inspired with life.⁴⁴ Summarizing, Falconet's statements show his abhorrence of activities of men-of-letters in the field of works of art.⁴⁵ His arguments for the shortness of inscriptions reflect his conviction that there is a gap between literary works and works of art. Falconet's observations confirm the Classical idea that works of art or literary texts should not be based on stereotypes or models. This idea is diametrically opposed to the Romantic idea that a work of art can only result if it is based on a model, or prototype.

As regards the emblematic character of the statue, reference should also be made to the emperor's clothes. These are unusual among royal people on war-horses in the course of an eighteenth-century battle.⁴⁶ In fact, the sculptor did not merely want to represent a military man participating in the slaughtering of men.

He had a tendency to represent an ideal hero. Consider again the observation that, in Falconet's view, the emperor's fame would live on notwithstanding and did not need to be visualized. In other words, the statue testifies to the artist's conviction that a work of art need not anticipate the admiration of future generations. Falconet discussed the topic of the tsar's garment in detail in his *Extrait d'une lettre à Mr. Diderot où l'on a fait quelques changements, pour donner au sens plus de clarté qu'il n'en avoit dans une petite feuille imprimée en 1770*. In this work, he emphasized that the tsar's clothes should have been kept as neutral as possible. They should be recognizable for *all* people. Thus, if they were too personal the figure would become unacceptable for all viewers. However, if they were too general the figure would become unrecognizable for personal viewers, i.e. Russians. Russian clothes should, on the other hand, be considered unsatisfactory. In fact, the tsar disliked Russian beards and clothes. He wanted to impel the nation to participate in Western civilization and, consequently, to bear Western clothing. But there was more. In fact, in the tsar's view backwardness in manners and clothing lead to narrow patriotism and fanaticism. In his view these prevented universal civilization and it was exactly this which should, in the tsar's view, be spread through Russia. If a choice had to be made between Russian manners and clothes, and manners and clothes which would breathe *general* civilization, the latter should be preferred. Following his example, the artist said: "If future generations will be unable to recognize it, the worse for them" (Falconet 1781, 2: 188). To summarize, the tsar's garment on the statue played a key role since it should enable people from all generations to identify the represented figure. It would, on the other hand, be unimportant since it would not matter whether it corresponded with the time in which the figure lived.⁴⁷

To summarize, the effect of the combination in the statue of the non-verbal statue and the verbal inscription lies in the fact that *together* they evoke the motif of "Peter, i.e. the Great." The inscription is written in both Latin and Russian. This fact and the fact that the key figure is written in the dative, which indicates an indirect object, result in the fact that the perceiver's attention is directed to the statue. This is the main task of verbal signs which are inserted into statues,

paintings etc., i.e. non-verbal texts. The effect is maximal when these are bilingual. The effect is that the figure seems to stand there, at the same time accessible and inaccessible to all men, and even to elements of nature as it would be described fifty years later, in Pushkin's *Mednyi Vсадnik*.

4.4 The Function of Drawings in the Autographs of Some Lermontov Poems

In the preceding section, some remarks were made on the results of a combination of verbal and non-verbal signs in a text. Let us now return to Lermontov. The latter was in many more fields than merely the field of letters. He made paintings in oil as well as water-colours (mainly of landscapes) before 1838. His works dating from that date until his death consist mostly of sketches. They were drawings rather than complete, rounded-off works. They are often inserted into his poems and stories where they mostly have a fragmentary character (Pakhomov 1988: 72). Consider, once more, the aforementioned property of Romantic artists who often base themselves on models presented by natural scientists in their artistic representations of reality. To that extent, they differ from Classical artists who represent beautiful nature only, which they adapted to ideas of their own (see again Chapter 2, Section 2.2).

In this section, we shall discuss the effect of elements with an enclave function in some poems by Lermontov. In Chapter 1, Section 1.4, it was observed that enclaves in a work of art or a text have an equivalent-function (Wallis 1973). The effect of the use of an element with an equivalent-function implies that a work remains incomplete. As a result, a perceiver is, as it were, invited to take part in the production-process and, consequently, to complete it. Thus, he is stimulated to fill the "open space." It was observed above that the primary task of enclaves is to attract a perceiver's attention to a representation and its creator. The fact that a viewer is stimulated to take part in the production of a work seems to make him vulnerable. He seems to run the risk that he will be swallowed by the work precisely because it is incomplete. In other words, he has to both take part in the production process and take care that he does not lose his independence as a

perceiver. Thus, in enclaves the perceiver's attention continuously shifts from the standard code to a new, deviating code.

The fact that enclaves occur in a text entails that an expectation is evoked of a new code. This expectation is, in turn, shattered continuously. In Section 4.2, reference was made, in this respect, to the French passages in the Lermontov-poems alternating with Russian ones. The Russian passages raise the expectation of a Russian text. The French ones, in turn, present the suggestion of a French one. The effect is similar to that mentioned in Chapter 1, Section 1.4., n. 29. There, it was seen that Tolstoi's *Voyna i Mir* seems to be intended for bilingual readers, i.e. readers who are familiar with both French and Russian. Because of the use of different language codes, both the fictional persons, and the writer and readers seem to jump inside the narrative frame and back. Something similar happens in the self-portrait. There the suggestion is made that the portrait is seen from different viewpoints. In other words, it seems to be seen by an external and internal viewer. The self-portrait by Johannes Gump is illustrative in this respect (see ill. 10).⁴⁸ The idea that the figure is seen from different viewpoints is brought about by a specific process of repetition. Thus, it is not gratuitously *copied*, but rather continued, or "prolonged." The emphasis on the specific function of a self-portrait lies in the fact that the person portrayed seems to address both external and internal viewers. This suggestion is raised by the fact that the painter is depicted as using a mirror in the process of the representation. This enables him to view the portrait from both an external and an internal position. Similarly, in a text a tool may also be used which enables an author to narrate from a both external and internal viewpoint. Consequently, the use of this tool enables a narrator to direct himself to both external and internal readers or to literary figures. Consider, with respect to this, Chapter 5, Section 5.2, where the genre of the diary-novel is examined. This genre runs parallel to the self-portrait in painting. In the diary-novel, the fictional writer seems to address both the figures operative within the context and the readers operative outside it. Thus, the specific function of the self-portrait and the diary-novel lies in the fact that they enable both represented

persons or objects to step out of their frame and, at the same time, allow perceivers to enter it.

In Chapter 1, Section 1.6, attention was paid to the spatial rather than temporal determination of poems. This spatial determination implies that in texts spaces between stanzas and typographical features, like margins, capitals and extra-large letters, are essential. They bring about a stop in the temporal development of the constituent elements of the text. Thus, in spoken texts, equivalents cause a silence. Such a silence is presented in an oral text in a "normal", i.e. temporal way. They cause a pause or a slowing down during the performance of the person reciting the text (see also Butor 1964: 118). In written texts, typography has always played a role in emphasizing elements with an enclave function. These bring about the aforementioned essential contact between a text and its reader.⁴⁹ Tynianov paid special attention to texts in the form of drawings. Henceforth, we shall call such constructions (following the French example) "calligrams."⁵⁰ Tynianov mentioned, for instance, calligrams like the drawing of a bottle constructed by Rabelais from letters (Tynianov 1977 (1923): 316). Consider again his observation that an illustration should not merely *repeat* a text element (Tynianov 1977 (1923): 316). Thus, if illustrations simply repeat text elements, these elements become *frozen parts* of the action of a story. In that case, they do not refer to the text as such but rather to its *reconstructed* plot. In fact, pictorial elements with an enclave function in a text can be effective only if they bear no direct relationship to the text. In other words, they should have a very general character.⁵¹ For instance, Pushkin inserted drawings into his manuscripts. These were very general representations of types of men, objects or situations. He did not try to portray their individual traits. Their essence lies in the fact that they should be regarded as autonomous works of art. In Pushkin's works they serve as merely introductory "finger-exercises" by the artist.⁵² The poet, absent-mindedly, as it were, inserted drawings into the margin of his paper. By doing this, he shows how time is expressed in a spatial manner or block-form. Thus, an interaction is established between a text and its reader. One *sees* the poet *waiting* (as it were, in one and the same position) for the *moment* inspiration

will come. Pushkin's image of a poet making drawings in the margin of his paper shows how time is expressed spatially.

Pushkin's example is also illustrative for Lermontov. For a complete inventory of the latter's drawings, including those in the autographs of his texts, see Pakhomov 1948. They have a function similar to legends in paintings. M. Foucault paid particular attention to the fact that these can only be effective if they continue rather than literally illustrate a non-verbal text (see Foucault 1973: 25). If they do, they heighten the value of a text and they diminish it when they are omitted.⁵³ Summarizing, the function of a semantic enclave is expressed in similar terms by Tynianov and Foucault. Both scholars emphasize that a minimal agreement correspondence between a drawing and a verbal text also expresses a relationship. In that case, it indicates a non-relation; this could be compared with the specific impact of meaningless words which are combined with fantastic or absurd objects. It often puzzles perceivers. This often complicates the interpretation of the work. Consider again Section 4.3, where it was observed that the combination of a text and a non-verbal illustration yields a maximal effect when a text is bilingual or is in some other way difficult to interpret. All this notwithstanding, the effect of the illustration is maximal when it bears as little relation to the text as possible. In Lermontov's drawings this is evident since his drawings also seem to be the fruit of thoughtless moments (consider Tynianov 1977 (1923): 314, and 547, n. 11).

As far as the drawings inserted into the poems are concerned, we shall first examine the *Stansy* ("Stanzas", 1830). These were devoted to Ekaterina Aleksandrovna Sushkovaia-Khvostova (1812-1868). Lermontov dedicated to her a cycle of poems written in 1830. The autograph shows that the drawings and the verbal text run parallel in an intricate way. Thus, the left margin of the autograph contains a drawing of a lady in *décolleté*. The drawing ends at her knees (LN 45/46:186, and LN 43/44:429; see ill. 11). It is incomplete and does not "end" at the bottom. This incomplete character enables the reader to follow the poet, as it were, during the writing process. Thus, it seems that initially the poet is paying most attention to the drawing. However, as the writing process moves forward, one *sees* how the poet's concentration on the drawing *decreases*. Towards the end of the poem the drawing

has the character of a mere outline. Finally, it completely disappears. In other words, the drawing seems to fulfil a function similar to that of a calligram. It seems that the drawing has disappeared as soon as the poet has completed the writing process and the reader has finished the reading process. Thus, the drawing seems to be omnipotent when no part of the verbal text has been realized yet. After the opening word, *vzgliani*, the text gradually gains force in the reading process. It seems to invite the reader of the text to take over the perceiver's task, who *views* the text (see: *vzgliani*). In that capacity, the drawing tickles the reader's expectation of a verbal text of the poem more and more. Thus, the drawing in the margin of the autograph fulfils a task similar to that of an inscription in a painting (or on a statue). There the latter tickles the spectator's expectation of the non-verbal work of art; see, in this regard Section 4.3. Reference should be made to the fact that the drawing in the poem "ends" at the lady's knees. In other words, from that moment on the poet seems to need all his attention to complete the *poem*, i.e. the verbal text. Thus, the suggestion is raised that he has no more time to complete the (non-verbal) drawing. Consequently, the drawing seems to "fly away", in a manner reminiscent of a calligram. This process of "flying away" indicates the ideal quality of a pictorial and a verbal text between which no relationships exist. This is, indeed, the condition which any non-verbal or verbal text should meet in order to serve as an illustration of another work. The visual element also plays a role as a motif in the text. It is expressed vividly in the first stanza. Here, the margin contains the most complete part of the *drawing*, i.e. the addressee's head. The words *vzgliani*, *vzor*, *sleza*, and the image *zvezda* emphasize the essential function of visible elements.⁵⁴ The first stanza is particularly illustrative since it breathes a vital and exuberant character. The second and third stanzas, however, lack this quality. They express the poet's mood which becomes more and more despondent. Originally, he still had some positive feelings at least. In the second stanza he expresses his idea that there was a possibility to exchange desperate feelings for better ones. Thus, the poet expressed his hope that he might find a new partner. In the last stanza, the emphasis on the description of abstract, desperate motifs rather than visual ones is maintained. There, the poet expresses the idea that his sadness bears

an irrevocable character. The interrogative pronouns *chto* as well as the pronoun *nichego* in the fourth, fifth, and sixth lines of stanza 3 emphasize this.⁵⁵ The emphasis on these pronouns brings about a relationship between the perceiver and the text.

The motif of "emptiness" plays a more and more important role as the poem proceeds.⁵⁶ The text and the drawing run parallel in this regard. As the drawing gradually disappears, the text, in turn, seems to become more and more visible. Consequently, the suggestion is aroused of a gradual transformation. This takes place from one moment, at which the drawing plays a key role, to the next moment, at which it has completely been replaced by the verbal text. This transformation is anticipated by the first word of the first stanza, which is an imperative form. This imperative character of the text is gradually replaced more and more by text-parts expressing the motif of "thinking." Accordingly, the motifs which presuppose the ability to view, are replaced by motifs which presuppose the ability to think. As the poem proceeds, it seems that the visible reality becomes vaguer and vaguer. The use of interrogative statements in the last stanza implies that the poet constantly seems to ask the question: "What do you *think* you'll do when I am not there any more?" He himself gives the answer: "*Nothing*, of course!" (see nn. 56 and 57 again). To summarize, the verbal text runs parallel with the drawing since in both the first and the latter an indication is given of the void into which both will dissolve.

Another example of a combination of a text and a drawing of the type presented in Magritte's painting is presented in the drawing of the man's head in the autograph of the famous verses entitled *Smert' poeta* ("The Poet's Death"). The poem was written in 1837 (see LN 45/46: 196, nr. 50 as well as the drawing on 331; see ill. 12). It contains a scratched passage dealing with D'Anthès, Pushkin's opponent in the duel.⁵⁷ The margin between the stanzas shows the profile of a man with a long moustache and a quiff. The figure drawn in the margin remained unidentified until 1938, when it was shown to be L.V. Dubel't, who was the head of the dreaded "Third Section" of the Tsar's Private Chancellery, i.e. the Secret Police.⁵⁸ Dubel't was a relative of Lermontov's grandmother, E.A. Arsen'eva (1773-1845). The latter

sometimes put in a word with him in favour of her grandson. The poet himself, however, never turned to him personally (see *LN* 45/46:196 and 331).⁵⁹ In other words, there is no direct relationship between the text and the man on the drawing. Thus, the latter does not *repeat* the text since the figure does not indicate either Pushkin or D'Anthès. In the last stanza Lermontov in the first place accuses the corrupt court-circles of the murder on Pushkin rather than Dubel't. In these circles, the Dutch Ambassador Van Heeckeren as well as his adopted son D'Anthès were active. In other words, the scratched lines concluding the attack on D'Anthès and the drawing of Dubel't raise a double suggestion. Thus, they seem to say "These lines do *not* deal with D'Anthès"; consider the observation made in n. 54 on the function of legends in paintings again. In this respect, the drawing at the bottom of the manuscript of the verses to the poet's grand-niece A.A. Uglitskaia (1822-1862) is illustrative as well (see *LN*. 45/46: 202 (nr. 68) and *LN* 43/44: 395; see ill. 13). In fact, the addressee serves as an intermediary between the external reader and the representation. It is suggested that both an internal and external reader are reading the text. The figure acts as a perceiver who differs from the external reader. Thus, she forms part of the drawing (she is viewed by the viewer) on the one hand. On the other hand, in her function of addressee she is part of the verbal text. Thus, the specific character of the drawing lies in the fact that it leaves the question of the identity of the addressee undecided.⁶⁰ The figure stands, turned away from the artist as well as the viewer. Consequently, she seems to be seen from an internal viewpoint, concerning both the drawing and the poet's signature, i.e. from within their framework. The particular effect of this drawing results from the fact that the figure seems to have undergone a process of reduction. Therefore, the text in the autograph of the poem is readable for the reader. Consequently, the suggestion is raised for both the external and internal viewer and reader that the letters have become life-size. They seem to be painted on a high *wall*. In other words, the presence of the figure brings about a shift from an external to an internal viewpoint from which the poem is read.

To mention a last example of the maximal effect resulting from a combination of elements from a verbal and a non-verbal text (see the verses written in 1837 which start as follows):

Не сме́йся над мое́й проро́ческой тоско́ю;
 Я зна́л: уда́р судьбы́ меня́ не обо́йдет;
 Я зна́л что́ голо́ва, лю́бимая то́бою,
 С свое́й груди́ на плаху́ пере́йдет ...

("Don't laugh at my prophetic melancholy;/ I knew: the blow of fate would not pass me by,/ I knew that the head, loved by you,/ Would pass over from my bosom to the scaffold"; Lermontov 1954b: 96; tr. mine, PMW). Into these verses four drawings are inserted, representing, from left to right,

- a man's head, with a large moustache,
- the head without head gear (i.e. the bare head) of a man sporting a moustache of caricature dimensions,
- the torso of a knight in a plumed helmet and holding a sword in his raised right hand, and
- the upper part of a man's head with curly hair (see LN 45/46:197 and 201).

Once more, none of these figures bears any relation to the content of the text. In this regard they meet the requirements of any illustration in Tynianov's terms. Perhaps the man with the sword could be associated with the artist. He may denote an executioner, chopping the I-figure's head off. But *no* such figure is mentioned in the text. When viewed from left to right, the figures become more and more incomplete so that the last in the series seems to be cut in half. At the end of the poem the represented figure seems to have been cut off at the lower edge of the *page*. In other words, the total lack of similarity between the pictorial and verbal texts is evident from the fact that not only the represented reality has

disappeared, but also the reality of the material on which it has been written, i.e. paper. The content of the text supports this idea that both the presentation of reality and the represented reality disappear. See the concluding lines which run as follows:

Давно пора мне мир увидеть новый;
 Пускай толпа растопчет мой венец:
 Венец певца венец терновый ...
 Пускай! я им не дорожил.

("It has long been time for me to see a new world;/ Let the crowd trample my crown!/ The crown of the singer is a crown of thorns!/ So be it! I don't need it!"; p. 97) The words *mir novyi* emphasize that the poet does not know what this new world will look like. He continues to emphasize that the crown of the poet is of no value to him. His words anticipate the moment at which the represented reality and the reality of the text fall together. This manifests itself in the denial of the poet's name and talent. It implies the end of all of his literary products, including the one the present reader has before him.⁶¹

In summary, in these poems an interaction takes place between the verbal texts and the drawings in the margins of the autographs. The essence of this interaction lies in the fact that the drawings confirm Tynianov's idea that illustrations should not merely repeat texts. The illustrations consequently function as semantic enclaves which give the text a double code. We have observed that it is essential that texts should be studied in combination with the drawings accompanying them. Thus, much is lost when they are studied in isolation.

Notes on Chapter Four

1. Consider again Hopkins' observation, mentioned in Chapter 1, Section 1.3. according to which meter in a poetical text, due to its merely regular character, is of secondary importance. Rather, the expression of the *interaction* of rhythmic, semantic and musical speech-elements is essential.
2. The verses run as follows:

Вверху одна
 Горит звезда;
 Мой взор она
 Манит всегда;
 Мои мечты
 Она влечет
 И с высоты
 Меня зовет!

(1954α: 262; тр. mine, PMΩ)

In a literal translation the verses run as follows: "Ahéad óne/ Stár is búrníng;/ My eye it/ Always winks;/ My dréams/ Are attrácted by it/ And from above/ It calls me! ... (etc.); tr. mine, PMW). I presented a literal a translation in order to emphasize the metric pattern. Further translations are, in as far as possible, taken from Liberman, 1983. When translations were not found there, I prepared them myself. Again, all text fragments which exceed four lines are inserted into a separate note.

3. This poem is an imitation of the dedication to A.A. Bestuzhev in K.N. Ryleev's narrative poem *Voinarovskii*.

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4. For I.P. Miatlev see: V. Golitsyna. 1929. "Shutlivaia poeziiia Miatleva i stikhovoi fel'eton." In: *Russkaia poeziiia XIX veka: sb. statei*. Pod red. B.M. Eikhenbauma i Iu.N. Tynianova. Leningrad, 176-204.
5. The latter two were executed after the failure of the Decembrists' Revolt of 1825. See, e.g., B.M. Eikhenbaum. 1935-1937. ["Kommentarii"]. In: M.Iu. Lermontov. *Polnoe sobranie sochinenii*. T. 2. Moskva-Leningrad: 166-169.
6. The idea that a particular topic has been written at the described place or during the time, has been turned into a literary procedure by Byron. This becomes clear from the headings of several of his poems. See, for instance, his "Stanzas Composed during a Thunder-storm", "Stanzas, written beneath an elm in Harrow church yard", "Lines inscribed on a cup formed from a skull." (etc.)
7. See:

Я сторожа дверей

Всегда увеселяю,

Смешу- и тем сытей

Всегда почти бываю

.....

.....

Тогда я припепеваю

.....

.....

Тот счастлив, в ком ни раз

Веселья дух не гас.

Хоть он всю жизнь страдает,

Но горесть забывает

В один веселый час!

("The door-keeper/ I always cheer up/ I laugh - and by so doing/ I nearly always am more satisfied./ ... / / Then I sing/ ... / ... / 'He is happy, in whom not for a moment/ The sprit of merriment has extinguished./ Although he may suffer his whole life,/ He forgets his sadness/ In one merry moment!'" (Lermontov 1954a: 18; tr. mine, PMW). See again in this respect Dëring-Smirnov 1980).

8. The latter was arrested by Charles X's police on the charge of corrupting public morals by his poetry. The idea that Béranger was the author of the model-text was launched by P.A. Viazemskii in the *Moskovskii Telegraf*, 12 (1826). In general, much of Bérangers poetry bears the sub-heading "written in prison." However, it has been demonstrated convincingly that Lermontov did not derive his lines directly from this poet. The view on Béranger's alleged authorship of the (still untraced) original verses was still defended in Liubovich, N. 1952. "Veselyi chas." In: *Literaturnoe Nasledstvo* 58: 373-377. However, it is more probable that the Russian poet D.O. Baranov wrote the original text. He had published in 1806 (i.e. more than twenty years before 1829) a poem bearing the heading "Cheerfulness." This apparently was a translation of a French original. It was, in 1811, included by Zhukovskii in his compilation of Russian verses taken from the works of Russian poets, as well as many Russian journals. Lermontov may have read it in this compilation. To Baranov's lines a note was added, which was apparently used by Lermontov as the sub-heading of his verses. It runs as follows: "After the 9th of Thermidor [July 27, 1794], which put an end to the reign of Robespierre and his creatures, when all Parisian prisons were opened, their walls appeared to be covered with verses of all kind. In these the victims of this tyrant expressed their courageous firmness in their sad situation. Here is the translation of such an inscription, in which the French gaiety teaches us to bear patiently inescapable misfortunes." Excepted for this model, Lermontov undoubtedly also oriented himself on texts by Batiushkov (Vatsuro 1985: 72 and n. 66).

9. See:

А. О Смирновой

В простосердечии невежды
 Короче знать вас я желал,
 Но эти сладкие надежды
 Теперь я вовсе потерял.
 Без вас- хочу сказать вам много,
 При вас- я слушать вас хочу :
 Но молча вы глядите строго,
 И я, в смущении, молчу!
 Что делать? –речью безыскусной
 Ваш ум занять мне не дано ...
 Все это было бы смешно,
 Когда бы не было так грустно.

(Lermontov 1954: 163; "So artless and naive and open,/ I wanted to become your friend:/ Alas! Thoses dreams were all utopian,/ And I have shed them in the end./ Without you, words stad me boldly,/ But they betray me when you come;/ You look reprovngly and coldly,/ Which is enough to strike me dumb./ What can I do? I am not cunning, My words are innocent. Too bad!/ It all of it were not so sad,/ Perhaps it even would be fun!"; Liberman 1983: 229).

10. The author had planned to rework the verses for the journal *Russkaia Starina*. However, he did not complete this process. Thus, he reworked a mere few lines of the poem. The resulting fragment looks as follows:

В простодердечии невежды
 Короче знать желал я вас,
 Но луч заманчивой надежды

 Без вас хочу сказать вам много,
 При вас я слушать вас хочу;
 Но, молча, вы глядите строго-
 И я в смущении молчу .
 Словами важными порою
 Вам смех боюсь я возмутить

 Что делать! речью неискусной
 Занять вас

(Lermontov 1891: prim. 119, p. 30; "So artless and naive and open,/ I immediately wanted to become your friend,/ But the light of alluring hope/ ... / Without you, words stand me boldly,/ But they betray me when you come;/ You look reprovingly and coldly,/ Which is enough to strike me dumb./ At times, with impressive words/ I risk to set off you laughing/ ... / ... / / What can I do? To amuse you with naive talk ...). This version shows the creative process as opposed to a normal one, to the extent that, in the latter, an artist constructs a complete work from constituent elements. Here, an artist is shown at work who destroys a complete construction into its constituent elements between which the former logical relation is shattered. The dots bear testimony to this deconstructive process.

11. This ends with the lines:

Вам непонятно, вам нестродно
 Все, что высоко, благородно;
 Не знали вы, что грозный щит
 Любви и гордости народной
 От вас венец тот сохранит.

(Lermontov 1954b: 224; "Your tastes, your vulgar predilection / Shirks lofty aims and high perfection;/ A villain never understands/ That pride and popular affection/ Can save a crown from greedy hands"; *idem.* 98f.)

12. See:

Так нераздельны в деле славы
 Народ и царь его всегда
 Веленьям власти благотворной
 Мы повинемся покорно
 И будем все стоять упорно
 За честь его как за свою.

("Thus, as far as fame is concerned,/ The tsar and his people are one/ To the commands of salutary authority/ We humbly obey/ And we'll always stand solidly/ Behind his honour as if it were our own"; Lermontov 1954b: 308; tr. mine, PMW).

13. See the lines:

Есть речи- значенье
 Темно иль ничтожно
 [...]
 Как полны их звуки
 Безумством желанья! ...

(Lermontov 1954: 144; "So many are speeches/ Whose meaning is *hidden* or worthless/ ... / How full are their *sounds*/ With the *insanity* of desire! ...; adapted from Liberman 1983: 195; it. mine, PMW).

14. Concerning the use of block-time in his poetry: see Lotman 1981 (1972): 69.

15.

...
 --моей судьбой,
 Сказать по правде, очень
 Никто не озабочен.
 А если спросит кто-нибудь ...
 Ну, кто бы ни спросил,
 Скажи им, что навылет в грудь
 Я пульей рамен бы
 Что умер честно за царя ...

(Lermontov 1957: 60; "about my fate ... *nobody* will greatly worry./ Should *someone* ask you questions still,/ *Whoever* that may be,/ Explain that bullets hit and *kill*,/ And one was meant for me;/ That for the *Tsar* I waged my head ...; tr. somewhat adapted from Liberman 1983; it. mine, PMW). The motif of people, which expresses something which is spatially determined, is realized in the word "nobody." This is combined with the motif of "never" which expresses something which is temporally determined. Thus, the speaker emphasizes that nobody will ever ask for him any more. As far as the motifs "life" and "death" expressing elements of time are concerned, the

speaker combines them with his parents who indicate spatially determined motifs. See the lines:

Отца и мать мою едва ль
Застанешь ты в живых ...

(*ibidem*, "By with my parents, I believe,/ You'll meet *alive* any more, for they were old ..."; *ibidem*, it. mine, PMW)

16. See: Iu. M. Lotman. 1981. *Aleksandr Sergeevich Pushkin. Biografiia pisatelja*, Moskva (quoted from the German translation: Leipzig, 272f.).

17. For its first stanza see:

Он был рожден для счастья, для надежда
И вдохновенный мирных!- но безумный
Из детских рано вывался одежда
И сердце бросил в море жизни шумной;
И мир не пощадил- и бог не спас!
Так сочный плод до времени созрелый
Между цветов висит осиротелый,
Ни вкуса он не радуется, ни глаз;
И час их красоты- его паденья час!

("He was born for happiness, for hopeful expectations/ And peaceful inspiration! But crazy as he was/ He early tore himself away from his children's clothes/ And flung his heart into the sea of noisy life;/ And neither was he spared by life, nor saved by God!/ Similarly a juicy, premature fruit/ Hangs amidst the flowers like an orphan;/ Neither does it tickle the palate, nor the eye;/ And the moment it looks fine, is the moment it falls off"; Lermontov 1954: 63; tr. mine, PMW)

18. Для чего я не родился [1]
 Этой синюю волной?- [2]
 Как бы шумно я катился [3]

Под серебряной луной; [4]
 О! Как страстно я лобзал бы [5]
 Золотистый мой песок, [6]
 Как надменно презирал бы [7]
 Недоверчивый челнок; [8]
 Все, чем так гордятся люди [9]
 Мой набег бы разрушал; ...[10]

("Why haven't I been born/ as that dark-blue *wave*?/ How I would roar/
 Under the silver moon;/ Oh! How passionately would I kiss/ My golden
sands/ How arrogantly I would despise/ The distrustful boat;/ Everything
 on which men pride themselves/ Would be destroyed by my foray"; Lerm-
 ontov 1957: 414; tr. and it. mine, PMW)

19. They run as follows: "Voici une autre; ces deux pièces vous expliqueront mon
 état moral mieux que j'aurais pu le faire en prose:

Конец! как звучно это слово! [1]
 Как много, мало мыслей в нем! [2]
 Последний стон- и все готово [3]
 Без дальних справок;- и потом? [4]
 Потом вас чинно в гроб положут [5]
 И черви ваш скелет обгложут, [6]
 А там наследник в добрый час [7]
 Придавит монументом вас; [8]
 Простит вам каждую обиду, [9]
 Отслужит в церкви панихиду, [10]

("The end! What a sound that word has!/ How much, how little does it mean!/ A last groan - and all is finished;/ Point-blank gone, and what then-?/ Then you will be laid orderly in a grave/ And a worm will gnaw on all sides of your skeleton,/ And there an heir at some time/ Will crush you by a monument;/ Having forgiven you all his grudges/ He'll finish a requiem mass in the church ['church' or 'the church?']; Lermontov 1957: 415).

20. Когда ж чиновный человек
захочет место на кладбище,
То ваше тесное жилище
Разроет заступ похорон
И грубо выкинет вас вон;
И, может быть; из вашей кости,
Подлив воды, подсыпав круп,
из вашей кости,
Подлив воды, подсыпав круп,
Кухмейстер изготовит суп-
(Все это дружески, без злости).
А там голодный аппетит
Хвалит вас будет с восхищеньем;
А там желудок вас сварит,
А там- но с вашtm позволеньем
Я здесь окончу мой рассказ;
И этого довольно с вас .

("When a person with with a high rank/ Will like to have a place on the cemetery,/ Then your narrow dwelling-place/ Will be rummaged by the spade used at funerals/ And will crudely throw you out from it;/ And, perhaps, the cook will take your bones,/ Add water and groats to them,/ And prepare soup -/ (All this is merant amicably, without malice.)/ And then a a

hungry appetite/ Will praise you rapturously;/ And then a stomach will digest you,/ And then - but, with your permission/ I'll finish my story here;/ And you'il have had enough of it"; Lermontov 1957: 415f.; my tr., PMW).

21. This jocose tone is typical of the *GPB*-version of poem (Lermontov 1957: 416). In the definite version, however, the poem has a different ending; there its ending is serious, even bitter; the tone corresponds with the first stanza and the general tone of the letter. Thus, the final version (see Lermontov 54b: 59f.) lacks the merry tone which the *GPB*-version has and which occurs within the framework of the letter.
22. Thus, he exclaims: he exclaims: "... je suis allé jusqu'a faire des vers français, - oh! dépravation! Si vous voulez je vous les écrirai ici; ils sont tres jolis pour des premiers vers; et dans le genre de Parny, si vous le connaissez. [For the text of the poem see:]

L'ATTENTE

Je l'attends dans la plaine sombre;
 Au loin je vois blanchir une ombre,
 Une ombre, qui vient doucement...
 Eh non! - trompeuse espérance! -
 C'est un vieux saule, qui balance
 Son tronc desséché et luisant.
 Je me penche, et longtemps l'écoute; ... " (etc.)

(Lermontov 1957: 460f.)." In the final version, the poem is divided in three stanzas (see Lermontov 1954b: 198f.). In the version inserted into the letter, however, it is printed as one whole (see Lermontov 1957: 460f.).

23. Hildebrandt 1908: 53f., Réau 1922: 362; see also Wes 1992 [1991]: 56ff.; the numbers in square brackets indicate the original years of publication.

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24. As far as repetitions are concerned, G. Manley Hopkins' observations concerning poetry dating from the 1860s are illustrative. See also Chapter 1, Section 1.3., n. 18.
25. For the idea that the interpretation of a work of art is intentionally hampered, see some medieval paintings with an inscription. There it sometimes occurs that a naive representation is combined with a particularly sophisticated Latin inscription. Such an inscription is often accessible to educated people only. The inscription serves as a means to remind the viewer that the naive representation should not lead the perceiver astray. Thus, the educated viewer should keep in mind that the work is not reserved for him alone. The same holds, on the other hand, for the simple-minded viewer. In fact, a representation on a painting may seem simple and comprehensible to a naive viewer. However, the latter, in turn, should keep in mind that it contains a deeper meaning which is accessible for a learned brain only. Only such a brain can grasp its impact (Wallis 1973: 13).
26. See Butor's observation in this regard: "Toute inscription à l'intérieur du cadre va attirer le regard d'autant plus longtemps donc d'autant plus fortement qu'elle nous demandera plus d'effort pour la déchiffrer; le peintre, par sa géométrie vive, doit intégrer ou au moins compenser cette formidable attraction" (Butor 1974: 40).
27. I express my gratitude to Dr. Edwin Rabbie for his readiness to prepare the Latin translations, PMW.
28. After having described the statue bearing the inscription "PETRO PRIMO, CATHERINA SECUNDA POSUIT, 177." and having been introduced to Falconette (sic!), Wraxall reports that the Falconette said to him: "'Possibly,' said he, 'the Czar would have asked me too, why I did not put a sabre into his hand; but perhaps, he made too great a use when alive, and a sculptor ought only to exhibit those parts of a character which reflect honour on it, and rather to draw a veil across the errors and vices which tarnish it. A laboured panegyric would

have been equally unjust and unnecessary, since history has already performed that office which impartial justice, and held up his name to universal regard, and I must do her present majesty the justice to say, she had taste, and discernment enough perfectly to see this, *and to prefer the present short inscription to any other which could be composed*" (Wraxall, N. Jun. (1775). *A Tour through Some of The Northern Parts of Europe, particularly Copenhagen, Stockholm, and Petersburg. In a Series of Letters*. Second Ed., corr. London, Cadell, 225f.; it. mine, PMW; see, in this regard, also Hildebrandt 1908: 50 and fn.).

29. "Profligatis hostium armis,/ Classe cremata/ Aucto dominio,/ Felicitati populorum reddita pace,/ PETRO/ Nomine primo/ Monumentum posuit/ CATHERINA/ Nomine secunda/ Anno 1772" ("After driving away the enemies' army,/ burning their fleet,/ enlarging the empire,/ restoring peace to the people's happiness,/ for PETER,/ the first of that name,/ erected this monument/ CATHERINE,/ the second of that name,/ in the year 1772"; quoted from *Correspondance*, 10: 344. Moreover, Diderot drafted two other versions of an inscription, running as follows: "Petro nomine primo monumentum consecravit/ Catherina nomine secunda" ("To Peter, the first of that name, Catherine, the second of that name, consecrated this monument"), and "Conatu enormi saxum enorme advexit/ Et subjecit pedibus herois rediviva virtus" ("With an enormous effort, reborn virtue has brought an enormous boulder, and put it under the hero's feet"; Réau 1922: 362).

30. "Le philosophe a oublié que c'est Cathérine elle-même qui érige la statue de Pierre-le-Grand et que personne ne doit se louer ni directement ni indirectement. Dans les inscriptions, il ne faut que des faits et des faits vrais. Ce sont des monuments historiques et rien de plus. La postérité doit juger sur les faits." Galiani's own draft of an inscription was inserted into the same letter; it runs as follows: "CATHARINA II AUGUSTA/ Mater senatus, mater castrorum,/ Mater patriae,/ Conditis legibus, bonis artibus restitutis,/ Rege polonis dato,/ Turcis terra marique rebellatis,/ Tartaris in potestatem redactis./ Valachis, Moldovis in

Fidem receptis,/ Finibus imperii propagatis,/ Statuam cum ornamentis/
Imperatori caesari PETRO I AUGUSTO/ Libens merito posuit./ Dedicata anno
1772, mense etc." ("The elevated empress Catherine II, mother of the senate/
mother of the army,/ mother of the fatherland,/ after introducing laws,
restoring the arts,/ giving a king to the Polish,/ defeating the Turks on land and
at sea,/ subjecting the Tartars,/ entering into a treaty with the Walachians and
Moldavians,/ enlarging the boundaries of the empire,/ erected this statue with
its accessories/ to the ELEVATED EMPEROR PETER, the first of that name in the
year 1772", the month (etc.) (For the texts of the versions by Diderot and
Galiani, see: *Correspondance* (1877-1882), 10, 104-109; here: 107-108; also: F.
Galiani. 1881. *L'abbé F. Galiani. Correspondance avec madame d'Épinay-madame
Necker-madame Geoffrin, etc.- Diderot- Grimm- D'Alembert- De Sartine- D'Holbach, etc.*
Nouv. éd. . . . par L. Perey et G. Maugras. T. II. Paris, Lévy, 123. (= *Écrivains
du XVIIIe siècle*)). It has also been inserted into *CFL* with an error in the
penultimate line: "positis" instead of "posuit" (see *CFL*, 10, 976).

31. Quoted in the German translation in Hildebrandt 1908: 83.
32. See Falconet 1781, 2: 139, 264, as well as Réau 1922: 388f.
33. In Latin, the direct object in the accusative serves as the necessary complement needed for the completion of the statement; it may also specify its content. Consequently, the form in the accusative in exclamations in Latin should be explained Latin accordingly insofar as they presuppose an action expressed in the verb (Scherer 1975: 44).
34. See, for instance, the verbs *izuchat'* and *uchit'sia* in Russian. In the first the object is given in the accusative, in the second, in the dative. In the first case it is used, for example, when lessons for schools are meant. Then the object which has to be learnt is supposed to be a complete, rounded-off piece of work. However, when it is used in the sense of "to learn a language", a dative-form is used. In that case, it is supposed that the learner acquires a mere part of a language sy-

- stem. It is assumed that this system does not depend upon a user's activity and preserves its autonomy (Jakobson 1971 (1936): 52f.).
35. See: "Dans le panneau d'un retable médiéval, le dédicataire est le saint même représenté. Son nom désigne en fait non pas tant celui à qui ressemble cette figure que celui à qui elle est offerte, toute ressemblance littérale étant généralement inaccessible, perdue dans les siècles anciens, et n'important guère pourvu qu'un emblème précise l'attribution. Voici l'image dédiée à saint Paul et par l'intermédiaire de laquelle d'autres encore pourront lui adresser leurs prières. Ce qu'il nous faut y reconnaître ce sont ses vertus" (Butor 1974: 74).
36. When stating that the rock serving as the pedestal was unnatural indeed, as such rocks are not found in the marshes of St. Petersburg, the sculptor says: " ... Il savoit aussi qu'une allégorie se rapporte au moral de son sujet, et ne s'astreint point servilement au physique d'un terrain ... Il ne verra pas sa statue; mais s'il pouvoit la voir, je crois qu'il y trouveroit peut-être un reflet du sentiment qui l'animoit" (Falconet 1781, 1: 264).
37. See, in this regard, Diderot's conception of man, in whom, in his ideal form, the individual and the genre should be combined: "Le plus bel homme et celui que la nature a formé pour remplir le plus aisément qu'il est possible les deux grands fonctions: la conservation de l'individu, qui s'étend à beaucoup de choses, et la propagation de l'espèce qui s'étend à une" (quoted in Cassirer, E. 1932. *Die Philosophie der Aufklärung*. Tübingen: Mohr, 416). For the conception of "la belle nature" in the Classicistic world-view and the difference between Diderot and Falconet in this respect, see Drost 1989.
38. The latter gives an enthusiastic description of a forest, a rock, a torrent, a waterfall and a mountain. He continues as follows: "Mais ces saules, cette chaumière, ces animaux qui paissent aux environs; tout ce spectacle *d'utilité* n'ajoute-t-il rien à mon plaisir? Et quelle différence encore de la sensation de l'homme ordinaire à celle du philosophe! C'est lui qui réfléchit et qui voit, dans l'arbre de

la forêt, le mât qui doit un jour s'opposer sa tête altière à la la tempête et aux vents; dans les entrailles de la montagne, le métal brut qui bouillonnera un jour au fond des fourneaux ardents, et prendra la forme, et des machines qui fécondent la terre, et de celles qui en détruisent les habitants; dans le rocher, les masses de pierre dont on élèvera des palais des palais aux rois et des temples au dieux; dans les eaux du torrent, tantôt le ravage de la campagne, la formation des rivières, des fleuves, le commerce, les habitants de l'univers liés, leurs trésors portés de rivage en rivage, et de là dispersés dans toute la profondeur des continents; et son âme mobile passera subitement de la douce et voluptueuse émotion du plaisir au sentiment de la terreur, si son imagination vient à soulever les flots de l'océan" (Diderot, D. 1970 (1796). "Essai sur la peinture." In: *CFL*, 6: 253-317; here: 315f.; it. mine, PMW).

39. As regards Diderot's belief of a better future for man, see Diderot, [D.], Falconet, [E.-M.]. 1959 *Correspondance: Les six premières lettres*. (Dieckmann, H., Seznec, J. (éds.)). Frankfurt a.M.: Klostermann, 12, 42f., 60f. and *passim*, (= *Analecta romanica*, 7), and Benoit, Y. (éd.) 1958. *Diderot et Falconet. Le pour et le contre. Correspondence polémique sur le respect de la posteriorité. Pléne et les les anciens*. Paris, les Éditeurs Français Réunis, 55, 82, 99f., 152. Falconet, however, objected that even if he knew that a meteor would destroy the earth he would go on carrying out his task as an artist as long as he would be given time (Seznec-Dieckmann 1952: 201). Falconet's rejection of Diderot's views concerning the essential function of the future, see Diderot, D. 1957-1967. *Salons*. (J. Seznec (éd.)). 4 vols. Oxford Univ. Press, 2, 14. In general, for the polemics between Diderot and Falconet on this subject, see, Wilson, A.M. 1972 [1957]. *Diderot*. Oxford Univ. Press, 508ff. and the notes on 813f.
40. See his own words: "Vous pouvez remarquer que j'ai particulièrement ôté de la pierre aux deux côtés vers le sommet, pour ne lui donner que 10 à 11 pieds de large, au lieu des 21 pieds qu'il y avoit; & que par un talus qui conduise l'oeil au plan sur lequel doit poser le cheval, ce plan n'ait que huit pieds de largeur

environ. J'ai voulu, comme un autre Statuaire, qu'on en vit d'en bas, les cuisses, les jambes & les pieds du cheval. Je n'ai fait aucune autre diminution sensible, si ce n'est pour faire ressembler le bloc au modèle, pour lui ôter la forme ratatinée; il falloit que le cheval gravit une pente douce ... " (Falconet, E.-M. 1781. "Entretien d'un Voyageur avec un Statuaire." In: Falconet 1781, 6: 218-218; here: 213.).

- ^{41.} For the allegorical character of the statue Falconet's own words are instructive. See "A mon départ de Pétersbourg, la base n'étoit pas entièrement achevée. J'y aurois peut-être indiqué, par quelques arbustes en bronze & placés dans la partie que l'empereur a déjà parcourue, les progrès que son regne fit faire à la Russie" (Falconet, E.M. 1781. "Entretien d'un voyageur avec un statuaire." In Falconet 1781, 6: 213f.). This passage is of particular importance for the fact that, at least to a limited degree, the sculptor permitted that some attributes of the kind Diderot had proposed and which he rejected be adopted in the monument. The place he had chosen for these is of interest because they show the combination of the artistic motifs of high and low speed. Thus, Falconet emphasizes that the attributes, selected by him should be placed at the rear, i.e. at the place indicating the distance which the emperor was supposed to have traversed. This distance metaphorically indicated the progress his reign [??] had made under his guidance. In other words, this distance can be said to be at rest (thus indicating low speed), whereas the path the czar and his reign still had to go is, metaphorically, rendered by the forelegs of the jumping horse. In the same article, Falconet defended himself against those critics who attacked him for supposedly having spent money needlessly on the freight of the enormous rock to the capital with an appeal to his mighty commissioners, who had given him free reign in this matter.

- ^{42.} See his letter of December 6th, 1773, in Diderot 1955-1972, vol. 3 (1966), (juin 1773-avril 1774: 115-121; here: 117; also in *CFL* X, (1971): 1103-1107; here: 1104.

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43. It was one of Diderot's and Falconet's objections against Michelangelo's statue of Marcus Aurelius in Rome that horse and horseman are no organic whole. In their view, if the horse were compelled to march, it would simply fall, due to its stiff legs. (see Diderot's observation in *CFL* 10, 1105, as well as Seznec-Dieckmann 1952: 205).
44. See Seznec-Dieckmann 1952: 202.
45. For Diderot's reaction to Falconet's observations concerning the tasks of artists and men-of-letters, see *Correspondence* 1877-1882, 9 (1879): 345; for an overall view, see also Seznec, J. 1956. *Falconet, Voltaire et Diderot. Studies on Voltaire and the Eighteenth Century*, 2, 43-59.
46. As far as Falconet's ideas concerning the czar's garment are concerned, see Falconet 1781,1: 177 and 2: 187.
47. For instance, Marcus Aurelius was a great philosopher. Therefore, Michelangelo was perfectly right when he dressed him accordingly. However, the fact that he was a philosopher did not prevent the Romans from establishing a great empire. The statue does not become less identifiable for that. The reverse holds true for Peter the Great. He was a great war leader. This fact, however, does not detract from the fact that he was a great legislator and empire-builder as well (Falconet 1781, 2: 191).
48. This portrait demonstrates that illustrations should not merely repeat scenes described in a text. In the portrait, the painter is depicted in three ways. He is seen from behind (1). Furthermore, his head and shoulders can be seen in the portrait he is painting (2). To conclude, his reflection is viewed in a mirror (3). The idea that he is viewed from within the portrait is brought about by the fact that (2) and (3) are inserted into the portrait. The latter two would, normally, not be visible. Thus, the starting point is that the painter presents the portrait from one fixed viewpoint. The effect of the portrait is caused by the fact that the use of the motif of repetition goes hand in hand with the element of time.

This effect is realized by the use of the motifs of the portrait and of the mirror. The motif of time is expressed in the portrait in the following way: The portrait shows the upper part of the painter's body *first*. *Then*, the representations (2) and (3) are presented. These show his head and shoulders only. In other words, the Gump-portrait confirms Valéry's definition of beauty mentioned in Chapter 1, Section 1.4. The latter emphasized that an object's beauty depends upon its fragmentary character. In fact, the representation of the back view of the painter in (1) raises the *suggestion* of the representation of the head and shoulders in (2) and (3). Through the absence of the representation of the whole of the painter's body in versions (2) and (3), the perceiver is *stimulated* to fill that space according to his own wishes. In turn, he is encouraged to fill the missing front of the whole of the painter's body in version (1) in a similar way. In other words, only when mutually replenishing the three versions (1), (2) and (3), all of which are fragmentary, does the perceiver get a complete picture of the person portrayed.

49. Russian Cubo-Futurist poets, following French surrealist authors like Breton, Apollinaire, and others, developed the procedure of combining in one work verbal and iconic signs: see the survey given in Khardzhiev 1970: 9-49. For some general observations concerning this subject, see Butor 1964: 118.
50. "Calligramme: (Litt.) Texte écrit dont les lignes sont disposées en forme de dessins." (P. Imbs (éd.). 1977. *Trésor de la langue française: Dictionnaire du 19e et du 20e siècle (1789-1960)*, 15. Paris, 47. It should be remarked that no such word can be found in the *OED*. Foucault argues that the essence of a calligram lies in the fact that it shows a conflict between temporally and spatially determined signs. The effect of this lack of agreement is that the interpretation of the work of art is hindered.
51. The French Surrealists paid attention to the autonomous character of the illustrations in their literary texts. Thus, they considered that illustrations question rather than confirm the literary character of texts. They should impede

rather than confirm this literary character. For example, A. Breton observes in the foreword of the second edition of his novel *Nadja* that its literary character lies in the fact that it has been written in the style of a medical report. Thus, purposely, no claim is laid to a beautiful style since the novel only wants to inform the reader of facts in an objective manner. Accordingly, illustrations have an anti-literary character. See: "de même que l'abondante illustration photographique a pour objet d'éliminer toute description - celle-ci frappée d'inanité dans la *Manifeste du Surréalisme* - le ton adopté pour le récit se calque sur l'observation médicale ... " (A. Breton. 1988 (1962 [1928]). "*Nadja*." In: *Oeuvres complètes*, 1. Éd. par M. Bonnet [a.o] (*Bibliothèque de la Pléiade*). Paris, 645-753; here 645). What is essential in Breton's *Nadja* is, that, although the illustrations refer to a particular section of the text, there is no narrative relationship between them and the verbal text. They do not run parallel with the text, do not second it, do not clarify it (see Spies 1988: 172).

52. Рисунки самого Пушкина в рукописях были либо рисунками вообще (гробовщик вообще, похорны вообще, а не иллюстрирующие данный рассказ), либо рисунками по поводу (конь без Медного всадника), но по большей части теми взмахами пера, которые удачно сопровождали стиховые моторные образы (и часто поэтому не имели к ним внешнего отношения). В последнем случае перед нами явление, сходное с явлением автоматической криптографии. [...]

("The drawings of Pushkin himself in the autographs were drawings in general (a coffin-maker in general, a burial in general), but they did not illustrate a given story. Or they might bear an occasional character (the horse without the "bronze horseman" on it), but they were mostly those movements of the pen which successfully accompanied poetic images of dynamic moments (and which, consequently, mostly had no external relationships to them). [In the latter case we see ourselves confronted with something like the phenomenon of automatic cryptography]"). Thus, in the verses from *Evgenii Onegin* the reader sees

himself confronted with something like automatical cryptography"; Tynianov 1977 (1923): 313f. and n. as well as 547, n. 10 and 11). For instance, in *Evgenii Onegin* 1, 59, Pushkin introduces the image of a poet absent-mindedly anticipating his future creative activities by carrying out another, entirely unrelated activity. Thus, he is *dreaming* instead. Consider: ...

Перо, забывшись, не рисует,/ Близ неоконченных стихов / Ни
женских ножек, ни голов; /.../ А скоро бури след / В душе моей
совсем утихнет;/ Тогда-то я начну писать:/ Поэму песен в двадцать
пять.

(Pushkin, A.S. 1957. *PSS* t. 5: *Evgenii Onegin - Dramaticheskie proizvedeniia*. Moskva, Izd. ANSSR. ("The pen, lost in *trance*, does not delineate/ Next to *unfinished* lines/ Feminine feet or heads./ But soon the storm's trace/ Will hush completely in my soul./ Then I shall start to to write/ A poem in twenty-five cantos or so"; Pushkin 1976 1: 121 [it. mine, PMW] as well as the latter's [yours or Pushkin's?] comments on these lines in *idem* 2: 213f.).

53. Consider, in this regard, Foucault's discussion of Magritte's painting entitled "La trahison des images." This contains the words "Ceci n'est pas une pipe." They have to be transformed from a temporally determined chain, which presupposes a readingprocess, into a spatially determined painting. This presupposes a process of viewing (see Foucault 1973: 20). Foucault emphasizes that the legend both orients and disorients the perceiver. Thus, it has to bridge the gap between the spatial and temporal elements in the painting. It does so by force of its function as a calligram. Thus, it enables the perceiver to find points of guidance for the correct interpretation of the painting in the course of the *reading process* of the words. As soon as the reading of the legend has been completed, the legend loses its temporal determination and becomes spatially determined instead (*ibidem*). The calligram-like character of the representation is caused by the fact that the pictorial and verbal texts cannot be interpreted simultaneously.

54. The first stanza runs as follows:

Взгляни, как мой спокоен взор,
 Хотя звезда судьбы моей
 Померкнула с давнишних пор
 И с нею думы светлых дней.
 Слеза, которая не раз
 Рвалась блеснуть перед тобой,
 Уж не придет как этот час,
 На смех подосланный судьбой

("Look, how calm my look is,/ Although the *star* of my fate/ Has long since been *darkened*/ And, with it, the thoughts of *bright days*./ The *tear*, so often eager/ To *shine* before you/ Will not come any more, nor will that hour/ *Mockingly*, sent by fate"; Lermontov 1954a: 155; tr. and it. mine, PMW). Origin of the autograph: IRLI, op. 1, no. 8 (*tetrad'* VIII), l. 1 2. The following abbreviations were used to indicate the origin of the autographs:

TsGLA: *Tsentral'nyi Gos. Literaturnyi Arkhiv*. (Moskva), GIM: *Gos. Istoricheskii Muzei* (Moskva), GPB: *Gos. Publicheskaia Biblioteka im. M.E. Saltykova-Shchedrina* (Moskva), IRLI: *Institut Russkoi Literatury (Pushkinskii Dom)*, *Akademii Nauk SSSR*. (Leningrad), LB: *Gos. Biblioteka SSSR im. V.I. Lenina*. (Moskva)
 For the relationship between Lermontov and Sushkova, see the latter's notes, reprinted in M.I. Gillelson, O.V. Miller (red). 1989. *M.Iu. Lermontov v vospominaniiaakh sovremennikov*. Moskva, 98 and 522.

55. See, in the second stanza, the lines:

...с тех пор сердечной пустоты
 Я уж ничем не заменял
 Ничто не сблизит больше нас,
 Ничто мне не отдаст покой ...

("... I have *not* filled my empty heart/ *With anything any more since then./*
Nothing will bring us together *any more./ Nothing* will give me *back* my rest...";
 Lermontov 1954a: 155; it. mine, PMW).

And, in the third stanza:

Я жертвовал другим страстям,
 Но если первые мечты
 Служить не могут снова нам-
 То чем же их заменишь ты? ...

("I sacrificed to other passions,/ But if the former dreams/ Cannot be of
 any use to us again,/ *With what* will you replace them?"; *ibidem*).

56. See again the lines mentioned in n. 57:

... с тех пор сердечной пустоты
 Я уж ничем не заменял...

("... I have not filled my empty heart/ With anything any more since then
 ..."), as well as the concluding lines of stanza 3:

Чем успокоишь жизнь мою,
 Когда уж обратила в прах
 Мои нажсжды в сем краю,
 А может быть, и в небесах? ...

("With *what* will you soothe my life,/ When you'll have reduced my expectations *to dust*,/ In this world, and,/ perhaps, in the heavens?.."; 1954a: 155f.).

57. The scratched passage runs as follows:

Его душа в заботах света
 Ни разу не была согрета
 Восторгом русского поэта
 Глубоким пламенным стихом.
 Но час настал- и нет певца Кавказе!

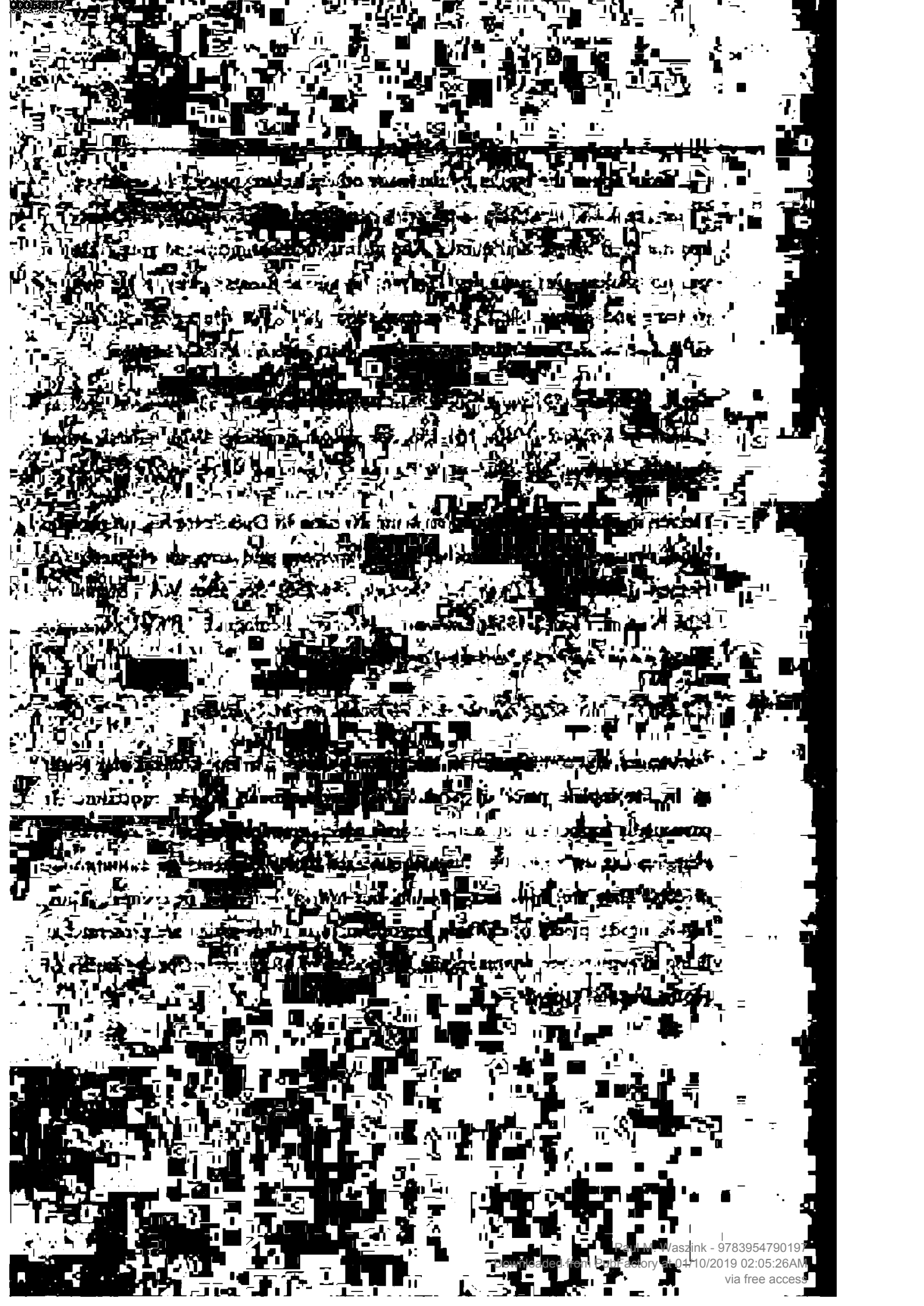
("His soul, steeped in the worries of the world/ Wasn't warmed even once/
 By the rapture of the Russian poet;/ His profound, ardent verse./ But the
 time came - and he was gone, the singer of the Caucasus!"; Lermontov
 1954b: 273; it. mine, PMW). The preceding lines (included in the complete
 version which was published under the title *Na smert' Pushkina*, in: *Poliarnaiia
 Zvezda*, 1856, London 162), run as follows:

...Издадека
 Подобный сотням беглецов,
 На ловлю счастья и чинов
 Зброшен к нам по воле рока;
 Смеясь, он дерзко презирал
 Земли чужой язык и нравы;
 Не мог щадить он нашей славы;
 Не мог понять в сей миг кровавый,
 На что он руку проднимал! ...

(Lermontov 1954: 85)

("... from across the border,/ Like many others lacking pluck,/ In search of money, rank and luck,/ He came to us, consumed with boredom./ He mocked the alien tongue and mind,/ And at that moment, grim and gory,/ He was not shaken, was not sorry/ To pint his gun at Russia's glory -/ He was to fame and glory's blind"; Liberman 1983: 109). For the autograph, see GPB, *Sobranie sochinenie rukopisei Lermontova*, 8 (*iz Arkhiva V.F Od oevskogo*).

58. See I. Feinberg, "Risunok poeta." In *Sovetskoe Iskusstvo*, 53, 1938, as well as *Literaturnyi Kritik*, 2 (1940), 151-156. See also: I. Feinberg. 1976. *Chitaia tetradi Pusbkina*. Moskva, 247-250.
59. Herzen in particular developed an acute aversion to Dubel't for his, on the one hand, evasive, and, on the other hand, rapacious and arrogant character (A. Herzen. 1937. *Byloe i Dumy*, t.2, Moskva, 254-255). See also: V.A. Manuilov, L.N. Nazarova (eds.) 1954. *Lermontov v Peterburge*. Leningrad, 117f. (*Vydaiushchie deiateli nauki i kul'tury v Peterburge-Petrograde-Leningrade*).
60. IRLI, op. 1, No. 42 (*iz al'boma A.A. Al'brekht, urozhd. Uglitskoi*).
61. Sometimes, the combination of a text and a drawing in one context may result in an incomplete piece of work. This may seem an artistic procedure. It particularly happens in grotesque stories which contain all kinds of constituent elements cut off from their original contexts. These elements are autonomous objects. They are easily recognizable, but not in their specific context. Thus, hands, heads, pieces of clothing are operative in them which are presented as being blown up. See, in this regard, the poems of Morgenstern, or the stories of Hoffmann and Gogol.'



Chapter 5: The Return from a Secondary to a Primary System: Observations on Romantic Prose

5.1 Block-time in Some Texts by Lermontov and the Role of the Implied Author

Stendhal's two definitions of the novel form the starting-point in the discussion of Lermontov's prose-works. The first of these reads as follows: "Un roman: c'est un miroir qu'on promène le long d'un chemin" (1), and the second: "Un roman est comme un archet; la caisse du violon qui rend les sons, c'est l'âme du lecteur (2)."¹ Stendhal's definitions mean that writing a novel does not consist of describing the experiences of a represented figure. Rather, it consists of describing how that person feels himself in that specific situation (Gilman 1969: 161). Both definitions imply that an author and a reader are involved in the narrative process. Thus, as far as definition 1 is concerned, the writer and the reader continuously see themselves confronted with their own selves during the narrative process. In definition 2, the part of the feelings of both a player and his audience in the creative process is also emphasized. Thus, the image of the violin-bow shows a player producing tones on the one hand and a person reacting to these tones on the other. In his studies of the novel, Bakhtin emphasized that, in its development, all kinds of imitations played a key role.² The genres mentioned in n. 2 were essential not only for writers of imitations but for their readers as well. Bakhtin defined the reader as a person carrying out an activity himself rather than merely undergoing the activity of an author. He emphasized that repetition plays a key role in the development of the novel. Thus, a reader was supposed to have at least a faint notion of the original, high-pitched, genres lying at their base. In fact, Manneristic genres were important intermediate genres in the development of the novel. They reminded the perceivers of new genres of the aforementioned original, older genres. These older genres were, as it were, presented to later readers in a new form. Thus, genres which had become dated remained recognizable. Consider again, in this regard, Chapter 1, Section 1.2, and n. 6. To some degree, all novels can be said to have a Manneristic character since they are hybrid and so they can be retraced to patterns which

remain recognizable. The circulation of the printing-press played a key role in the development of the novel since it guaranteed a steady stream of new readers. They were continuously looking for new literary genres; these were supposed to serve as reactions to the aforementioned original texts which had become outdated. In other words, the printing-press fostered the generation of such new genres. These, in turn, led to new imitations and, again, to new genres (Gilman 1969: 158f.). In fact, the aforementioned imitations in literature can be said to be products of elliptic, intermediate stages similar to those between primary and secondary systems according to Likhachev (see again Chapter 1, Section 1.1). Summarizing, the printing-press testifies to the correctness of the latter's theory.

Stendhal's definitions and the idea that the novel originates from recognizable models emphasize the expression of time in block-form in the work. Consider again Chapter 1, Section 1.5: It was observed there that time in the arts and literatures of the Middle Ages was presented as either circular or block-like. Consequently, the Middle Ages may be considered a typical secondary system. Some attention was paid in Chapter 3, Section 3.3.1 to the fact that the time-conception of a Romantic poet like Baratynskii was circular. To that extent, Romanticism was also typical of a secondary system. In this section, the presentation of time by Lermontov will be discussed in more detail. It has already been observed in Chapter 4, Section 4.1 that Lermontov tends to express time in block-form in his poetry. He also does this in his prose. In other words, there time is also spatially determined. Let us return, where this is concerned, to the aforementioned motifs of the mirror and the violin-bow. A mirror (i.e. a spatially determined object) is able "to catch" a mobile object from the beginning of its development to its end. Consequently, it is fit for expressing time in terms of space, which is typical of block-time. In turn, a bow is also fit for expressing the idea of block time. It is itself spatially determined. However, it is compared with a temporally determined process, like a narrative. Consequently, it suggests that the narrative can be expressed in terms of space. In turn, a bow presupposes a violin, i.e. an object which is also spatially determined. It will reach its goal only if its (temporally determined) tones find the soul of a reader, which is likened to the spatially determined body of

a violin. To summarize, it is a concrete violin which enables a player to produce temporally determined tones. These enable a listener to formulate equally temporally determined reactions. A listener runs parallel with a reader since the latter has to go through a similar temporally determined reading-process. In turn, the activities of both an author and a reader result, upon their completion, in a rounded-off, spatially determined book with a well-defined size. The activities of both a player and a listener result in an equally spatially determined violin and violin-bow. What is essential is that both a listener to the tones of the violin and the reader of a book are free in their reactions (see Gilman 1969: 154f.). In turn, in the image presented in the first definition, a mirror can fulfil its function only when it mirrors a mobile person who is free to carry out his movements.

In many respects, Lermontov can be considered a typical Romanticist since he describes the world after pre-existing models (see again Chapter 1, Section 1.3). Even his personality shows this. Thus, he combined in himself many traits of Byron as well as of his own literary figures. Consider again the observation made in Chapter 1, Section 1.1 and passim that the Romantic writer described a book-like reality. I.S. Turgenev drew attention to this quality of Romantic writers in his description of Lermontov.³ Some passages will be considered now from the short novel *Kniaginia Ligovskaia* ("Princess Ligovskaia") where it concerns the block-like reflection of time. But first, attention must be paid to the role of what have been called the implied author and reader in general, and in Lermontov's work in particular. The implied author plays a specific role in a work in which time is expressed in a block-like fashion. He is often realized in the form of an omniscient narrator. The role played by the implied author in Lermontov's prose shows that the latter cannot be said to be a full-fledged Romanticist any more. However, neither can he be said to be a representative of a primary system in the strict sense of the word. Thus, the role of the implied author in his works shows that he is, rather, a typical representative of the elliptic stage between Romanticism (a secondary system) and Realism (a primary system). Lermontov should be considered a representative of a secondary system, such as Romanticism, in that respect that he makes use of the procedure of block-time. It was observed earlier

that this concept is opposed to that of linear time which is typical of Classicism. The expression of time in block-form enables the narrator to traverse large stretches of time.⁴ Consequently, he is able to present a narrative as a spatially and temporally coherent whole.

What should be understood by the term 'implied author'? An implied author should not be confused with a real author. An implied author is not operative in non-artistic texts. Thus, an artistic text has a double character. It should both *prodesse* and *delectare* (in the definition of Horace, *Poet.* 333). When it lacks this combination of qualities, it is non-artistic. In other words, the task of an implied author consists in the fact that he checks a text on its artistic character. His specific character enables him to operate on the levels of the narrator and the fictional figures. He expresses all discernible signs of the author's artistry. Due to the presence of the implied author, the reality the author describes seems to grow under his hands. As a result, the implied author enables the author to choose, consciously or unconsciously, what the reader reads. The latter perceives him as an ideal, literary, artistically created version of the real man: he is the sum of his own choices (Booth 1960: 75). To put it differently, the implied author guards the text against the possibility that the real author is confronted with pointless questions about his sincerity. He is able to do so because he is not susceptible to the criticism of readers who do not consider the author to be reliable. Thus, an implied author unites in himself a narrative which may have two aspects. It may be both true and untrue. This question is, as far as the implied author is concerned, unimportant. The answer to the question of the reliability of the text is left completely to the reader (*ibidem*). The implied author just checks the aesthetic character of the narrative. It is his task to "look over the shoulder" of the real author and check the writing process as though he were an ideal reader. Consequently he may justify the presence of an omniscient narrator. The essence of the implied author is that his identity remains undecided or that he remains unidentified (Booth 1961: 156). As a result of the activity of the implied author, the reader may find clues in the text so that he may transform the text into a fictional one. Summarizing, an implied author of a text safeguards its mimetic character. Such character is typical of all works of

art.⁵ Consequently, what an author writes is, as it were, simultaneously an imitation of that same text. In other words, an author simultaneously writes a text and a non-text, or: a text which is both temporally and non-temporally determined. In such a text past, present and future are combined. Thus, an implied author always knows both the beginning and the end of a narrative beforehand. Consequently, after the opening event the successive events do not "tell themselves" in a linear order. Rather, the narrator suggests that, after the first sentence has been given, only he is able to traverse all units of time. He jumps from the present of the narrative to the future and vice versa. In so doing, he presents the narrative time (*Erzählte Zeit* in G. Müller's definition) in the form of spatial blocks. This way, in the narrative, the report of a succession of events may suddenly be interrupted by the narrator's comment. This occurs in the time of the narration (*Erzählzeit* in G. Müller's definition).⁶ Lermontov consistently uses the procedure of block-time in combination with that of the implied author (see again the fact that only an omniscient narrator is able to view large stretches of time). The fact that an omniscient narrator enables an author to construct a coherent, i.e. an artistic, text shows that he is an important tool for the implied author. The essential role of the implied author in Lermontov's prose shows that he operates in the transitional stage from a secondary system (Romanticism) to a primary one (Realism). Thus, he seems to be free to "write what he wants" since he seems to be shielded by the implied author from outside criticism. On the other hand, he has no complete freedom. The implied author prevents the real author from writing things which are not acceptable or justifiable from an artistic viewpoint.

Parallel to this distinction between a real author and an implied author, we can distinguish between a normal reader and an implied one.⁷ An implied reader fulfils the role of a person who intercepts signals given by the text. He transforms these signals in such a way that the real reader may recognize them and experience them as being artistic. It is essential that an implied reader leaves a normal reader free to interpret a work. To put it differently, an implied reader can be considered to run parallel to an implied author. He is responsible for the perception of a literary text as exactly that: an artistic text (see Booth 1961: 73f., Todorov 1972:

412f.). In fact, in the plastic arts one also encounters what may be called an implied artist. He runs parallel with an implied author (see again the Gump-portrait mentioned in Chapter 4, n. 49). The example is particularly illustrative since the painter is visualized in it by means of duplication.⁸ Consequently, the portrait shows that an artist always includes something of his own into his works. His portraits show that a portrait gives information concerning the artist's relation to his model (Hildenbrock 1986: 209). Thus, a self-portrait shows that it reflects a motif A and its counterpart: - A. To that extent, the role of the implied painter is evident. In fact, the painter of a figure becomes vulnerable due to the aforementioned fact that he always transforms his model into his own double. Consider, in this regard, again Chapter 4, Section 4.4, n. 54, where Magritte's painting "La trahison des images" was examined as an example of a painting containing a legend. It was observed that it was illustrative that, in this painting, a representation of a pipe ("pipe") was combined with a verbal message ("non-pipe") denying this representation. The contradiction between the representation and the message shows the role of the implied artist in the painting. Thus, the two contradicting messages, the non-verbal "pipe" and the verbal /non-pipe/, seem to check each other. This control function is, indeed, reserved for the implied author. He shields the reader of the verbal text against the inopportune criticism that it contains an incorrect message. In turn, the implied artist of the verbal message also checks the truth of the painting. He shields the viewer of the non-verbal representation against the inopportune criticism that it contains an incorrect representation. Summarizing, the implied authors of both the verbal and non-verbal messages protect their markers against the criticism that the messages are incompatible. In so doing, they guarantee the freedom of both the real writer and the reader. This freedom does not concern the question whether the verbal or non-verbal message on the painting is correct. Rather, it concerns the question whether the representation is acceptable from an artistic viewpoint. The perceiver's freedom to establish his own norm is guaranteed in this regard.

The implied author of a text "under construction" should take care that all conditions ensuring that a text may be created in freedom are fulfilled beforehand.

Consequently, an implied author is supposed to ensure that both represented time and space are, in a manner of speaking, reserved for the description of actions and events. In *Kniaginia Ligovskaia*, this manifests itself in the fact that one often meets words such as *mezhdum tem* (see, for instance, n. 14 containing a description of Pechorin's cabinet). The implied author justifies, as it were, the description as it comes about under the narrator's hands. The description, in turn, seems to result in the object of the description, in a "real" cabinet (see again n. 14). In other words, an implied author presents a double version of the text: a non-artistic version or "non-version" (provided by a real author) and an artistic version reconstructed after this non-artistic version, based on signals given by the implied author. Only such a "double text" stimulates a reader to intercept the signals which a text aiming to be maximally authentic should emit. To summarize, the double character of the text emphasizes its mimetic character which is typical of works of art.

As far as the concept of block-time in *Kniaginia Ligovskaia* is concerned, the novel's first part contains a description of the hero's mood. The hero has just ended his relationship with his former beloved, Lizaveta Negurova. He had been courting her out of wounded pride since his real great love, Vera, rejected him and married Prince Ligovskii instead. Although Pechorin has been kicked out by Lizaveta, he nevertheless considers the end of this relationship as a personal triumph. He is in low spirits nonetheless. The weather reflects his state of mind since it is typical of the Northern climate. Thus, Pechorin's mood should, logically, correspond with his decision and so he might be expected to be jubilant. However, this expectation is shattered. Rather, his temper seems to be determined by the gloomy weather.⁹ In other words, the hero is presented as being unable to determine his mood himself but it, in fact, seems to be determined by his environment. To that extent, he is a typical Romanticist. The inability of the hero to determine his own reality reflects the idea that block-time is typical of Romanticism. Such a world seems to either be immobile or to leap. Accordingly, events do not succeed each other logically.

It was observed in Chapter 1, Section 1.5, that this type of temporal system is typical of a secondary system such as the Middle Ages and Romanticism. In primary systems, on the other hand, time was conceived as being linear.

Where the phenomenon of block-time is concerned, human figures often "pop up" unexpectedly. Consider, on the other hand, Turgenev's novel *Nakanune*. This author was a typical representative of a primary system. Consequently, linear time plays a key role in his works rather than it being presented in a block-like manner. Moreover, this novel reflects the Kantian idea that man himself models outside reality after his own wishes. It was observed earlier that such Kantian ideas are typical of a primary rather than a secondary system (see, for instance, Chapter 3, Section 3.2.3).¹⁰ With regard to the concept of block-time in *Kniaginia Ligovskaia*, the report of the collision of Krasinskii and Pechorin is illustrative. It shows that only an omniscient narrator who functions as a tool of the implied author is able to view a big time-unit as one whole. Only he allows the implied author to treat it as a spatially determined element. See the description of the collision:

Спустясь с Вознесенкого моста и собираясь поворотить направо по канаве, вдруг слышит он крик : берегись, поди !

("Descending the Voznesenkii bridge and turning to the right along the canal the clerk suddenly hears a cry: 'take care, be off!' "; Lermontov 1957 (1882): 123; tr. and it. mine, PMW). The word *vdrug* and the use of the present time in the word *slyshit* are illustrative. Something similar happens in the description of the hero's sister who seems to rise equally unexpectedly.¹¹ Thus, an effect of spatial determination of time is typified in the first example by the word *vdrug* in n. 11. In the quotation mentioned in n. 6 it is expressed by the words *no zato*. The description of the collision shows that the narrator seems to split up his hero. Thus, he describes Krasinskii first. Then, however, he suddenly does not pay any attention to the clerk any more. Rather, he says: "No, Krasinskii, it is not about you that I'm going to speak any more." Instead, the narrator concentrates on Pechorin and in so doing he guarantees the mimetic character of the work by juxtaposing two motifs:

A and B; the latter can be called - A. In other words, the description of time as block-like manifests itself in the narrator's sudden lack of interest in his original hero Krasinskii.

What is essential is that the implied author functions as the person who, in a sense, justifies the narrator's descriptions. Let us consider the scene where the hero drives home and the manner in which he enters his apartment. This scene justifies, in a way, the description of him and this apartment. The narrator presents a description of Pechorin in the form of what he himself calls "a portrait." Consider again the observation mentioned in Chapter 1, Section 1.3 that Romantic authors often consider reality as being pictures of reality rather than parts of reality.¹² In other words, n. 12 shows that the narrative can again be considered typically Romantic. In general, reality is spatially rather than temporally determined as illustrated in the narrator's description of the time during which the protagonist takes off his coat and bridges the distance toward his cabinet. In this description, the implied author grants, so to speak, the time the narrator needs for his description of the actions carried out by the hero. Thus, the implied author justifies and checks what could be called the construction of Pechorin. The implied author seems to be indispensable in the answer to the question "Suppose that the hero did not have the time to put off his coat and enter his cabinet, how could he be visualized, and, consequently, how could, the narrative proceed?" Once again, the implied author guarantees that the artistic representation of the hero results from a correct representation of the time and space in which he lives. He helps the hero to come alive from the time and space surrounding him. The presence of the implied author implies that the protagonist is presented as both a hero and a non-hero. His ambiguity is emphasized by the fact that he is determined by his aforementioned outward appearance (*naruzhnost'* in n. 12). In other words, his "other half" seems to be omitted. Summarizing, n. 12 shows that the figure evolves, as it were, from the attributes surrounding him. The geographical indications Saratov, Voronezh and Kaluga are illustrative. Thus, the number of serfs there owned by him testifies to his richness. To summarize, the description of the hero runs parallel with Romantic portraits. They all seem to "grow" from their background. Consider, in

this regard, the Romantic portraits by Venetsianov and Borovikovskii mentioned in Chapter 2, Section 2.1.

Also, in the description of the entrance of the hero's sister, Varen'ka, mentioned in n. 11, the implied author seems to justify the time the narrator needs for his description. The presentation of the narrator's anger seems to "fill" the space he needs to describe the hero's apartment until, finally, that apartment itself is realized. Thus, she is seen standing before the window, angrily tapping it with her finger. The words *mezhdum tem* show that this realization is presented as a gradual process.¹³ Later on, the same words – *mezhdum tem* – are equally essential. They emphasize the block-like character of speech. In this passage, the words introduce a new phase in the plot during which the hero and his sister resume their contact.¹⁴ Consequently, the suggestion is raised that the reader is enabled to read the report of Varen'ka's anger in the process of the narration. The latter action justifies the first.

It was observed that the block-like character of time manifests itself in the sudden character of events and words. See, in this regard, words expressing the abrupt character of events. They emphasize the spatial rather than temporal determination of events, as can be seen from the words *otryvisty, vykazali, koru, vidno*.¹⁵ They suggest that the narrator visualizes abstract feelings and character-traits such as "laziness", "indifference", "human nature", "distrust" and "pride." The combination of the idea that time is expressed abruptly with that of the visualization of motifs brings about the particular effect of block-time. Consider again, in this regard, the example of Derzhavin. It was observed that the latter's works contain clear, unequivocal, motifs. Lermontov, however, differs from Derzhavin in the respect that he consistently questions motifs after he has presented them. The specific combination of elements emphasizing the block-like character of time and the visualization of motifs time results in a procedure called the process of exteriorization, in which the implied author plays a key role (see the expressions *kazhetsia* or *kazalos'*). This way, the author presents a motif as a real, i.e. visible representation of an element from reality first. However, he simultaneously questions it. In other words, the word *kazhetsia* emphasizes that, besides the

seemingly real motif A, its counterpart - A is presented. This counterpart, in other words, seems to question the validity, or truth, of the motif. The fact that a motif A is the opposite of its counterpart - A questions the role of the implied author. As a result, the fact that a motif is questioned shows that it may be untrue. The observation was made that it is the essential role of the implied author to merely guard the artistic character of text irrespective whether it is "true" or not. The word *kazhetsia*, which often occurs in Lermontov's works, shows the aforementioned exteriorization at work. Thus, first of all, it shows that a motif is visualized. Secondly, it questions its value or truth since it leaves this undecided. In other words, the addition of *kazhetsia* gives a motif both an external and potential character. The role of the implied author also manifests itself in the fact that it leaves each reader free to fill the motif with a content of his choice. As far as the process of exteriorization by means of the word *kazhetsia* is concerned, one may consider the description of the paintings in the dining-room. They show a variety of persons and themes from all times and all geographical aeras, thus the figures ...

... казалось, строго смотрели на действующих лиц этой комнаты, озаренных сотнею свеч, не помышляющих о будущем, еще менее о прошедшем ...

... ("... seemed to look severely at the figures operative in that room, illuminated by a hundred candles, who did not think either of the future and even less of the past ..."; Lermontov 1957 (1882): 160; tr. and it. mine, PMW). By means of the word *kazalos'*, the character trait "severe" is questioned on the one hand. On the other hand, it seems to emphasize that the narrative has to be reconstructed from fragmentary text elements. This is also illustrated in the description of the portrait of an unknown man, where it is reported that: ...

...казалось, вся мысль художника сосредоточилась в глазах и улыбке

... ("It seemed that the artist's mind had been concentrated on the eyes and and smile ...").¹⁶ The word *kazalos'* in n. 16 emphasizes that the narrator has omitted all personal character traits of the portrayed person. Thus, he presents an empty cover of the person portrayed: his character as well as his personality remain unknown.

Consequently, each observer may fill it with a content of his own choice.¹⁷ The anonymity of the person portrayed, mentioned in nn. 16 and 17, is confirmed by all the hero's friends. They all simply call it a "nice little portrait" (*poriadochnaia kartinka*). The hero himself, however, who is *partizan Bairona* ("a champion of Byron") calls it "Lara." In other words, the specific character of the portrait, or, its occasional character, as Gadamer called it, is emphasized (see Gadamer 1975 (1960): 138). It was observed that this character is a condition for its value. The narrator's information is illustrative:

всякий раз когда Жорж смотрел на эту голову, он видел в ней новое выражение ...

... ("... each time George looked at his head he saw a new expression in it ... " (etc.); *ibidem*, tr. and it. mine, PMW). Through the use of the word *kazalos'* in n. 16 concerning the portrait, the narrator exteriorizes and visualizes ideas. This is evident from the fact that this visibility manifests itself in the word *kazalos'*, which also has relativizing force. The fact that it becomes concrete, enables the viewer, in turn, Pechorin, to fill it with a fresh content each time anew.

The motif "anonymity" may be qualified as being typical of Lermontov's works. Thus, his works abound with all kind of motifs expressing anonymity, omission and ignorance. The motif of "loss" and motifs with an impersonal or depersonalizing character play a particular role. In *Kniaginia Ligovskaia*, they indicate a transition to a new development in the plot. This is illustrated in – once more – the scene described in n. 14 in which Varen'ka takes a seat besides Pechorin. It is introduced by the words: *mezhdue tem*. The narrator reports that during his description of the room her anger had completely ebbed. Varen'ka slowly sits down opposite her brother in a chair ... *no ONA NE ZNALA chem vozobnovit' razgovor* ("... but she did not know how to resume the conversation"; *idem*: 128, tr. and caps. mine, PMW). This passage indicates a transitional stage in the plot. Thus, Varen'ka has not just transformed from "angry" into "friendly." Rather does she turn from "anger" to some kind of "non-anger." In other words, she occupies a kind of

"zero-state." She does not yet know what to say. This state bridges the gap between anger and the total absence of anger. A new conversation has not yet started. In other words, the plot comes to a standstill. To this extent, block-time manifests itself. Only the omniscient narrator, who is a tool of the implied author, can set the narrative in motion again. In that quality he can guarantee its artistic value since he raises the suggestion that it is dependent upon him.

The role of the motif of "silence" is also emphasized in the section dealing with Pechorin's visit to Auber's opera *Fenella* ("La Muette de Portici"). This section contains enclavic elements (see again, in this regard Chapter 1, Section 1.5). Thus, it combines fictional and authentic, historical elements. The historical fact consists of the fact that a performance of the opera took place in St. Petersburg on January 18, 1837 (Lermontov 1957 (1882): 643). The fictional fact consists of the fact that this should be the performance attended by the hero. What also gives the section an enclavic quality is that, besides fictional figures, the author introduces a singer and a dancer who really existed.¹⁸ In other words, the section may be considered to be a fictional text with a historical enclave. However, it may also be considered a historical text with a fictional enclave. The presence of the implied author is evident from the freedom every reader or perceiver has to decide for himself whether it is a historical text with includes a fictional enclave or vice versa. Thus, the reader determines which of the two text elements establishes the norm of the text: the historical or the fictional part.

The presentation of historical and fictional figures in one context brings about a suggestion of authenticity (consider again Chapter 1, Section 1.4, n. 30). Thus, the historical figures seem to become fictional due to the fact that they are combined with a fictional character and vice versa.

As far as the expression of time in block-form is concerned, the opera scene is illustrative. In this passage, Pechorin's desire to see the occupants of the box of the Negurovs is expressed in terms of block-like time.¹⁹ Thus, time is represented in the overture first (see the words *Zagremela uvertiura* in n. 19). At first, the box remains empty. The hero wonders who would leave his box unused. Then, exactly at the moment the curtain goes up, the action begins and exactly "at that moment

the chairs in the empty box chatter..." (*I V ETU MINUTU zastuchali stul'ia ...*). This is expressed in a block-like fashion. The block-like character of the action is also evident from the fact that the persons and objects are expressed as being fragmentary. In that respect, they reflect the idea that time is block-like. Such a fragmentary representation emphasizes the idea that a represented figure should be reconstructed from its constituent parts. Accordingly, from his position the hero catches only flashes of time, i.e. parts of block-like time. Greater units of time also have to be reconstructed. Section 2 contains a description of the hero with the civil servant Krasinskii. After this meeting the second act of the opera has finished (see Lermontov 1957: 136). The narrator starts section 3 with the remark that he will omit the description of the remaining three acts of the opera. The essential role of the implied author manifests itself in the narrator's seeming motivation for his absence from the opera house during the time the scene between the hero and Krasinskii took place. Consequently, he seems to feel the need to enable a justification of this action of omitting a text element. He does this by emphasizing that his readers have, undoubtedly, attended the aforementioned performance which Pechorin attends as well (this is a performance in January 1834, a scene from which has been laid down in the drawing by I.P. Briullo (ill. 14; see LN 58, 277) It took place in the "Bol'shoi Bol'hoi Teatr" on January 14, 1834. Thus, the implied author seems to utter the rhetorical element that his readers will not mind that he skips two acts of the opera.²⁰ The aforementioned motif of "omission", i.e. the absence of the hero from the reality represented in the text seems to result in the effect of "silence." It was observed that the motif of "silence" is typical of Lermontov's work which abounds with the kind of words that express "anonymity" with all its connotations. They indicate new developments in the plot of his works, emphasizing the role of the implied author in so doing.

The aforementioned motif of absence on the part of the hero even seems to entail the silence of the two singers for some time. They seem to be doomed to hold their tongues during the hero's absence. The narrator takes them by the hand, as it were, when he jumps three acts, picking up the narrative afterwards. Summarizing, historical and fictional figures seem to be interrelated. The motifs of "omission"

and "absent-mindedness" emphasize the idea of block-time. In this respect, one might consider again the verb-form *pereskochu*, mentioned in n. 20, which illustrates the idea that time is determined spatially. For this idea, the word *zanaves* is also illustrative. It occurs in Sections II and III (see n. 19 and 20). In both cases, the curtain indicates an element which is temporally determined. They indicate a moment at which both narrative time and the time of the narration come to a standstill. In Chapter III, 4.2, the narrator informs us that the hero seems to "forget" the greatest part of the opera. This procedure confirms the idea that time is presented in a block-like fashion. The presence of the implied author again manifests itself in the fact that the narrator seems to justify this with the fact that the hero lies dozing in his chair, which is due to his weariness.²¹

Section 6 is also illustrative of the presentation of block-like time. There as well, the motifs "omission", "silence", "absent-mindedness" and "oblivion" play a key role. The section contains a description of the big dinner given by the old Princess. It is also attended by Princess Ligovskii and her husband. A description is given, in the Romantic manner, of the dining room and the guests. The figures again seem to grow organically from their environment. Thus, the young people populating the scene seem to spring from their own vacant conversation. Accordingly, the narrator seems to be unable to render this. He emphasizes that even such a lofty theme as "love" has become impersonal and devoid of value in his day. See:

Влюбиться кажется уже стыдно, говорить об этом смешно

("One seems to be even ashamed to fall in love; to speak about it is ridiculous"; Lermontov 1957 (1882): 159). The motif of emptiness dominating the scene manifests itself in the hero's absent-mindedness (*Pechorin byl rasseian*; *ibidem*). The fact that the figures are modeled by their background manifests itself in the fact that they seem to be masked. The guests are even covered with different geographical areas and historical periods. Their clothes are shaped after Antiquity, but may also be the latest gadgets of a Parisian *modiste*. Moreover, the guests seem to be

veiled by all kinds of languages such as Russian and French. No distinction is made between them (Lermontov 1957 (1882): 160).²² In this respect, the suggestion of block-time is raised. Consider also the conversation at the dinner in this regard. It proceeds in leaps and bounds. For instance, a diplomat tries to draw the attention of the hostess by means of an observation concerning art. He says:

"... Картина Брюллова:" Последний день Помпеи "едет в Петербург. Про нее кричала вся Италия, Французы ее разбирали. Теперь любопытно знать, куда склонится русская публика, на сторону истинного вкуса или на сторону моды"

("... The painting by Briullov 'The last day of Pompei' is on its way to St. Peterburg. The whole of Italy was in a stir about it and also the French have studied it thoroughly. In fact, it would be interesting to learn now the judgement of the Russian public - whether it will be considered from the viewpoint of good taste or merely fashion"; Lermontov 1957 (1882): 164. See again ill. 2). The motif of "omission" manifests itself in the fact that the Princess does not answer. She is absent-minded (*она была в РАССЕЛАННОСТИ*; Lermontov 1957 (1882): 164; caps. mine, PMW). In other words, the hostess's silence indicates that time is presented in a block-like manner. Section 5.2 will again show that the open space which seems to be caused by the motif of "silence" is justified by the implied author.

It was observed that the motif "anonymity" with its associations expressing "silence", "omission" and "absent-mindedness" shows the specific role of the implied author. In the Briullov-passage, the implied author seems to motivate the open space in the reality represented in the text as being caused by the motif of silence. Thus, the Princess is presented as remaining silent after the diplomat's words. However, the other guests do not pay attention to them either. The general silence the diplomat's remark evokes seems to enable the reader to choose for himself what his reaction should be. Should he agree with the suggestion raised by the diplomat that the painting is a masterpiece or not? If he does, the diplomat's statement can be said to evoke a reaction, a positive. If he does not consider it a

master-piece, he also reacts, but negatively. The general silence may be associated with both positive and negative feelings on the side of the perceivers. In short, the implied author seems to merely bring up the motif, leaving all possible answers open. The narrator also leaves the question as to the behaviour of the guests in general unanswered. In other words, from this scene it is evident that the implied author guarantees the freedom of the reader and that the motif of silence may play a key role in reaching this goal.²³ This freedom is manifest since none of the fictional figures pays attention to either the Princess or the diplomat after the latter's remark. They talk about a specific painting A. However, the diplomat's remark merely impels the figures to pay attention to another painting. This, consequently, has a value - A. The implied author's intervention manifests itself in the fact that he impels Pechorin to start a discussion dealing with a topic which is yet again completely different. Thus, he starts speaking about the base character of women. The old Princess asks whether such vile treason could occur in reality. The hero replies in an offensive, indifferent and even aggressive tone.²⁴ The Princess is shocked. The motif of absent-mindedness enters the stage once more. Thus, for the time being, she does not talk to him any more at all. The motif of absent-mindedness also manifests itself in the fact that the hero expresses himself in the form of unanswered questions. Pechorin himself cannot answer them. Consequently, he regrets his words:

...ничто похожее на раскаяние закралось в грудь его : за что он мучил?
 – с какою целью ? - какую пользу могло ему принести это мелочное
 мщение ? ...- Он себе в этом не мог дать подробного ответа

("... something like repentance crept into his breast: why did he torment her? For what goal? Of what use could this tiny revenge be for him?.. He could not form a clear idea of it"; *idem.* 166). The fact that the questions remain unanswered indicates the role played by the implied author. They show that they may be unclear to the hero yet clear to the general reader. It may just be so that the hero is adamant. He may know the answers well, but refuse to admit to himself that he is

wrong. In other words, the reader's freedom as to the interpretation of the hero's words is guaranteed by the implied author.

Block-time also plays a key role in Lermontov's sketch *Kavkazets* ("The Caucasian").²⁵ At the outset, the narrator defines the subject he is going to discuss. Thus, he makes a distinction between what he calls real and unreal Caucasians. See, in this regard, the scheme:

real	unreal
military	civilian
Asian	European (Russian)
(A)	(B)
not unreal	not real
not civilian	not military
not European (not Russian)	not Asian
(- B)	(- A)

The narrator emphasizes the relationship between A and - B on the one hand, and between B and - A on the other. He states that there is originally a relationship of identity between all those who travel toward the Caucasus. This identity can be expressed by the equality between the two categories visible on the level of the terms '- B' and '- A'. Originally, there is no difference between those people who are operative on that level. A Caucasian is presented as being half-Asian and half-Russian.²⁶ Thus, at the beginning, the narrative still takes place at the level of the subcontrary terms 'not real'/'not unreal'. In other words, at that moment the representatives of the two different categories of Caucasians are operative in one block. As the narrative proceeds, however, their identity is more and more variegated. Gradually one can distinguish between 'real' and 'unreal' Caucasians. The first are,

in general, military men and the latter civilians. The tendency of 'real Caucasians' to pass themselves off as such gradually becomes stronger and stronger. Consequently, they assume Asian habits. Consider, in this regard, the word "ascendancy" (*pereves*) in n. 27. The real Caucasian puts on Asian clothes and even

... легонько макарует по- татарски

("somewhat jabbbers the Tatar language"; Lermontov 1957 (1929): 350; tr. mine, PMW). The narrator emphasizes that the "real Caucasians" remain fond of life in the Caucasus, although service is often heavy.²⁷ The aforementioned "unreal Caucasians", who are mostly civil servants, are completely different from their "real" counterparts. Accordingly, their outlook differs from that of the "real Caucasians". They seldom put on an Asian costume. Their civilian nature entails that they occupy themselves with non-military matters. Thus, they talk

...о пользе торговли с горцами, о средствах к их покорению и образованию

("... about the profit to negotiate with the mountaineers, about the means to subjugate and educate them"; Lermontov 1957 (1929): 351). This quotation offers the suggestion that unreal Caucasians are representatives of a primary rather than a secondary system. Thus, they explicitly try to impose their own cultural model upon the reality surrounding them. The "real Caucasians", however, are typical representatives of a secondary system like Romanticism. They adapt themselves according to models from outside reality rather than trying to model that reality according to their own views. This is illustrated by the fact that they assume Asian habits and put on Asian clothes.

This inability of a "real Caucasian" to take initiatives of his own manifests itself in the fact that he has to wait for military commissions. All his endeavours to make himself serviceable only result in the fact that he has to spend his time in idleness. Finally, he becomes apathetic and stops to try to be meritorious. As the

story progresses, the two categories of Caucasians grow more and more identical. Neither of the two persons ultimately occupies himself with military matters. In that respect, they both return to the starting point of the narrative, where it was seen that both of them were operating on the level of the subcontrary terms "not real" - "not unreal". However, at the end of the story both of them seem to have changed places. The unreal Caucasian seems to have been rewarded for military services he did not perform. See:

Послужив там несколько лет, он обыкновенно возвращается в Россию с чином и красным носом

("Having served there [i.e. the Caucasus, PMW] some years he [i.e. the civilian Caucasian, PMW] usually returns to Russia with a higher rank and a red nose"; *idem*: 351; tr. and it. mine, PMW). However, the "real Caucasian" who did perform such services does not get anything. In other words, the word *chinom* in the quotation indicates the aforementioned change of place. Thus, it is ambiguous since it indicates both "rank" and "non-rank." It indicates "rank" in as far as it concerns the "unreal Caucasian" who acquires it although he does not deserve it. However, it means "non-rank" as far as it concerns the "real Caucasian" who does not acquire it although he deserves it. The way in which the two categories of "real" and "unreal" Caucasians seem to approach each other shows the typically Romantic pattern again. I refer to the observation that, during Romanticism a combination of motifs does not result in a new concept. In Romanticism, the juxtaposition of two motifs rather implies that one motif dominates *Geroi Nashogo Vremeni* the other (see, again, Chapter 3, Section 3.3.1). This happens in this context too. In other words, unreal Caucasians are presented as overruling and, ultimately, as the real ones.

5.2 The Role of the Implied Author in *Geroi Nashogo Vremeni*

In this section, particular attention will be paid to as a diary-novel. In the *Predistorie* of *Geroi*, the author declares himself, as it were, a representative of both a primary and a secondary system. It was observed that in *Kniaginia Ligovskaia* the author was,

in the first place, operating as a Romanticist. The author's *Geroi Nashogo Vremeni*, however, reflects more qualities typical of a primary system. Thus, in the *Predislovie* the narrator emphatically declares what he wants to do on the one hand and what he does not want to do on the other. Thus, he says that he wants to uncover, i.e. to describe, the ailments of his generation for fun. ["He] just liked to draw his contemporary like he understood him, as he understood him and as he, to his grief, met him too often." He goes on to say that it is far from him to try to cure human defects.²⁸ In other words, his book does not aim at *prodesse* in Horace's sense. The words "for fun" (in Russian: *veselo*) in n. 29 show that his book is typical of a primary system to the extent that it does serve to delectare in Horace's sense. The concept of human freedom in *Geroi* is expressed in the narrator's words that the reader is free to consider it, along with the narrator, a funny report or a report of ailments which are not funny at all. This freedom shows that the work can be considered a product of a primary system.

It is the implied author's task to guarantee that the reader is free to decide which aspect of the fictitious person's character plays a key role in the narrative.

This freedom also implies that the reader should be left free to decide whether he is a hero or not (also see the *Predislovie* of the *Zhurnal Pechorina*).²⁹ The implied author manifests himself since he emphasizes the reader's freedom as far as the decision is concerned whether the protagonist is a hero or not.

On the other hand, the narrator emphasizes that his book is a portrait of the ailments of not just one man but of his whole generation. This observation makes it typical of a secondary system.³⁰ In other words, the fact that the text combines qualities typical of both primary and secondary systems emphasizes that it is left to the reader to make his choice. As far as this guarantee of human freedom is concerned, the text can be said to be Classical. However, the reader is not completely free since he should heed the specific signals given by the implied author in as far as these should result in an artistic text. This should be the case whether he considers the text typically Classical or Romantic. It was observed that Romanticists were supposed to work after specific models. A Romantic hero is described indirectly rather than directly. Thus, in the *Predislovie* of *Geroi* the narrator mentions

him directly by his name first ("Pechorina"). Then, he qualifies him as being "a hero of his time" (*Geroi Nashogo Vremeni*). This indication shows that he presents him after a model or stereotype. To that extent, he refers to him as being the title of a book. In so far, Lermontov's description fits the Romantic pattern. It presents the norms for an artistic representation. Then, the author qualifies the hero as a portrait (*portret*). Thus, he specifies him as a derivative of a model which is itself already a model of reality. Moreover, the narrator wants to present a portrait not of one man but of an entire generation. The implied author manifests himself in the fact that the author, although presenting a description of ailments of his generation, leaves the question of how such ailments look like undecided. However, the narrator emphasizes that he will present a portrait of his world in such a way that his readers can laugh about it. The observation was made that the words "for fun" (see again the word *veselo*) are essential. Thus, they show the presence of the implied author in the description. Through the use of this word, the implied author can shield the real author from inopportune and undesired criticisms of readers. However, readers may exist who regard the described events as too serious to laugh about. For those readers, the words *ke vashemu neschast'iu* in n. 29 apply. Summarizing, it shows that the observation made there is applicable to both readers who share the narrator's humour and who do not. In other words, it shows the role of the implied author in the narrative. The observation also shows that masks are an important tool for the implied author in *Geroi*.

This play with masks is particularly important in the diary-novel. There, the narrator and the literary figures continuously jump behind each other's masks. The role of the implied author and reader of a diary-entry manifests itself in the specific function of the protagonist. Thus, a fictitious writer appears who also functions as the reader of his own entries. These two are interwoven to such a degree that the latter is presented as being realized in the course of the reading-process. This phenomenon is evident in Lermontov's *Geroi* where it functions as a diary-novel. The narrator was seen to merely wish to describe the ailments of his day without providing means to cure ailments. In his view, those means are typical of his contemporaries but not of him. This shows that he hides behind the mask of a

man who is immune to ailments. In turn, the narrator's suggestion that the ailments may be pseudo-ailments implies that the ailments are hidden behind masks. Consequently, the narrator emphasizes the ambivalent character of the text in which the ailments occur. This ambivalence makes them artistic. Accordingly, the implied author gives the reader clues to unmask them. Thus, the masks enable each reader to "fill in" a text after signals given by his own implied reader. It manifests itself in Gogol's *Zapiski Sumasshedshogo* in particular. During the development of the narrative process of this work, the theme of "insanity" is realized. This evolves gradually. It implies that intricate interrelationships are established between the narrator and his reader (see, in this regard, Section 5.4).

The presence of the implied author in Lermontov's works entails that the author may omit stretches of time without shattering the thread of the argumentation. It was seen in *Kniaginia Ligovskaia* that the ability to omit long stretches of time was reserved for the omniscient narrator. By dealing with time in this block-like manner, the implied author impels the author to keep the narrative manageable and the reader to swallow the convenient pieces. Observe the *Predislovie* of *Geroi*; there a narrator is seen at work who is able to jump from its beginning to its end. Consider:

Во всякой книге предисловие есть первая и вместе с тем последняя вещь; оно или служит объяснением цели сочинения, или оправданием и ответом на критики

(Lermontov 1957 (1840/181): 202; "In every book the preface is both the first and also the last thing. It serves either to explain the purpose of the work or to justify it and to answer criticism"; Lermontov 1988 (1986) (1840/1841): 1). The foreword is presented as being equal to the epilogue. In that regard, both are suggested to be spatially determined. It emphasizes that there is an omniscient narrator who views the whole of the reality represented in the text. The narrator is supposed to anticipate future events, warning the reader as to what he can expect. He also justifies himself afterwards to the reader, explaining why he wrote his story. By doing

this, he also enables the reader to pose particular questions, as illustrated by the words *tseli*, *opravdanie* and *otvetom na kritiki* in this respect. Thus, the first indicates the future; the word, *opravdanie*, in turn, refers to the present time as well as the future, and the words *otvetom na kritiki* refer to the future. The narrator suggests that the foreword he writes is a mere "non-foreword." "'Thus,' he exclaims, 'who reads forewords at these times?'" (... *chitateli ... ne chitaiut predislovii*; *ibidem*); "... they [i.e. the readers, PMW] ... do not read prefaces"; *ibidem*).

5.3 Block-Time and the Implied Author and Reader in the Diary-Novel

The implied author plays a key role in all products of instantaneous writing, such as the diary-novel and the epistolary novel (see for these two genres Watt 1981 (1957): 217). Duplication is typical of these. Thus, a represented figure A always seems to be checked by his counterpart A1.³¹ In fact, a figure A can be presented as describing an event "a" at a moment "a." The figure A may be split up into A1 and A2. Thus, the figure A may describe a particular event at a moment "a." However, when he reads it again later, in light of new circumstances ("b"), it may appear to have been changed (Porter Abbott 1982: 21).³² This fact raises the suggestion that time proceeds in the form of spatially determined blocks. As a result, a new assessment of an event evokes the idea that a new event takes place at the moment of reading, i.e. later. Lermontov's *Geroi* indeed shows a presentation of time in the form of blocks. The work is a diary-novel, at least in part. Thus, the chapter entitled *Zhurnal Pechorina* contains the section *Kniazhenia Meri*. It is a loosely knit narrative cemented together by a regular succession of dates. The last of these entries (dated June 16) contains a report of how Pechorin kills his adversary, Grushnitskii, in a duel. It subsequently contains a report of the tragic denouement of the plot. Stendhal's definitions of the novel are useful for an analysis of Pechorin's *Zhurnal*.

It was observed above that the duplication of motifs in *Kniaginia* was realized by means of the procedure of exteriorization. It implied that the author introduced a text element (A) and, simultaneously, questioned it by opposing it to its counterpart (- A). In so doing, he emphasized the key role played by the implied

author. Consequently, the implied author checked the mimetic character of the text. The role of the implied author is also evident from the *Predislovie* to the *Zhurnal Pechorina*. There, the implied author is personified in the editor of the diary. In other words, he hides behind the latter's mask. Thus, starting his "Foreword", the editor informs us that the *Zhurnal* was handed to him by old sergeant Maksim Maksimych, who informs the editor of Pechorin's death. The editor – who is also the narrator – is pleased with the hero's death; this way, he is guaranteed the freedom to publish the *Zhurnal*. In fact, he offers his allegedly sincere apologies for publishing it. However, he emphatically claims for himself the right to make a selection from the materials handed to him by Maksim Maksimych. The suggestion of freedom gives implies that the text came about as a product of a primary system. Thus, the editor emphasizes that there are important reasons which prevent him from publishing the whole journal. He does not mention these reasons, however. Apparently, he wants to reveal them at a moment of his choosing. However, he emphasizes that the contents of the journal are not secret. This implies that he wishes them to be subject to the world's judgment, which will, in turn, be free to express its own personal opinion about it.³³ The text shows traces of a primary system in which, on the one hand, an author is supposed to be free to create his own reality. In this case: the author selects a narrator who creates the constituent elements of his reality on his own. On the other hand, the text shows traces of a secondary system in as far as it is also dependent upon the judgement of the outside world. The role of the implied author manifests itself in the ambivalent character of the narrator. Hence, an editor is presented who, on the one hand, is glad that he can publish the journal. On the other hand, he offers his apologies for publishing only a part of it. The role of the implied author is emphasized all the more since the editor promises that he will publish more parts of the journal at some later date. Texts in which such ambiguities appear show the presence of an implied author. Such ambiguities were seen to serve as a means to guarantee the author's freedom against the pedantic criticisms of so-called objective readers.

The *Zhurnal Pechorina* makes the novel a diary-novel. As a genre, such a novel is caught between two worlds: the non-fictitious world of the author (as in a

real diary) and the fictitious world of the figures created by him. The difference between a real diary and a diary-novel lies in the fact that a real diary does not presuppose an implied author, whereas the diary-novel does. It gives signals to an author as to how he should transform a text with a non-artistic character into an artistic text. Furthermore, a diary-novel differs from a real diary in that a narrator operates in it both as a subject and as its own reader (Martens 1985: 4f.); the reader, in turn, is steered by the implied author. A diary-novel shows narrators who are presented as transcending the frames of the narrative. Consequently, it shows that a representation of time in block-form is suitable for it. The suggestion of block-time in the diary-novel and the epistolary novel is raised by the fact that a described event and the moment of writing seem to take place simultaneously. Moreover, the fictional writers of the entries or letters in these genres are the readers of their own texts; they also function as their own authors and readers. Accordingly, they seem to be steered by their own implied authors and readers. The implied readers are supposed to link the reality represented in the text to the reality of the external reader in such a way that it results in an artistic text. The representation of time as being spatially determined implies that a diary-writer seems to expose himself in the same way as the painter of a self-portrait. See again the Gump-portrait mentioned in Chapter 4, n. 49: this shows a painter of a self-portrait who makes himself vulnerable because he transforms the modeled person into his own double.³⁴

In this respect, attention should also be paid to the fragmentary character which is typical of the diary-novel. This character renders it suitable for serving as a Romantic genre. It also justifies the occurrence of block-time in it. In general, block-time is typical of genres in which instantaneous writing occurs. No writer of a real diary is able to describe the beginning and end of his own life directly. He is unable to present a report of his life as consisting of separate pieces. However, an author of a diary-novel seems able to do so since he is helped by the implied author to present such a report as one whole. The Romantic character of the diary-novel manifests itself in the fact that these novels show that they result from a reconstruction of prototypes of reality, which is typically Romantic (see again

Chapter 1, Section 1.6). The specific character of the diary-novel is evident from the role of the implied author. See again the fact that he is active in the form of an omniscient narrator: he has to combine into one moment – T10 – the description of that moment. However, this is not enough and so he has to include in that description the description of the preceding events (T1-T9) too. To that extent, he should regard the events described as being both temporally and not-temporally determined. In other words, the writer describes both events and non-events. The occurrence of such sets of contradictory motifs shows the role of the implied author. Thus, an author presents the events of T1 as being determined by that moment too. In other words: he "dives" into temporal block T1. He does so in order to be able to describe the events of that block. Consequently, he may link them to those taking place at moment T2.

The *Zburnal Pechorina* is written according to this principle. Thus, a writer of a diary is supposed to describe events having taken place during a rounded-off temporal unit T1. This may be a day or a couple of days. He is supposed to sit at his desk at a moment immediately following T1, i.e. moment T2. Thus, the block-like character of narrative time in the diary-novel is emphasized. This is a logical result of the fact that it is a product of instantaneous writing. Its specific quality lies in the fact that the same thing occurs where the next entry is concerned. It is assumed that during the description of entry T3 the writer simultaneously writes down and reads his report of it. An illustration of this is description of Pechorin's duel with Grushnitskii: he describes the night before the duel first, in the entry dated "June 16th". During that night, he thinks about life in general, his own place in it and he wonders whether he will survive the duel. Then, after having described the duel, he jumps over a period of more than one and a half months. In the next entry, he resumes his diary, from which fact the reader may conclude that he did, indeed, survive. It is evident here that the narrator omitted a part of the narrative which he seems to reserve for himself. See again the aforementioned passage from *Kniaginia Ligovskaia* dealing with the opera *Fenella*: there the narrator seems to lay a claim on part of the events represented in the text. He "justifies" this action by the fact that the protagonist sat dozing on his chair. Moreover, the narrator states that all his

readers are familiar with the specific performance of the opera which is attended by Pechorin. In so far, the implied author is seen at work; he justifies, as it were, the author's temporary absence. In other words, a play with masks takes place here. Thus, the (fictitious) narrator puts on the mask of the person who has been arrested after a duel. The implied author uses this mask in order to justify the hero's not having continued his diary for such a long time. Accordingly, he seems to justify the real author for his long silence and, consequently, defends the latter against the possible charge of not being objective. To phrase it differently, the narrator puts on the mask of the editor who says that he is as yet unable to publish the full text of *Zhurnal Pechorina* (see n. 34). His presence is evident from the fact that he does not mention his reasons. Thus, it is exactly his function of implied author which entails that he need not mention them, exactly this function which keeps him "out of reach" from his readers.

In the remaining pages of the *Zhurnal*, the hero gives a report of the duel and the events immediately preceding and following it. See:

Вотт уже полтора месяца, как я в крепости *Н*; Максимыч ушел на охоту. Я один; сижу у окна ... Скучно. Стану продолжать свой журнал, преванный стольками странными событиями

(Lermontov 1957 (1840/1841): 322; "I've now been six weeks here in the fort at N-. Maxim Maximych has gone out hunting, and I'm alone, sitting by the window ... I'm bored so I'll go on with my journal that's been interrupted by so many strange events"; Lermontov 1986 (1958) (1840): 160; it. mine, PMW). In the aforementioned passage the narrator re-introduced in the person of Maksym Maksimych, a fictional figure who also operates as an omniscient narrator. In this respect, he serves as a tool for the implied author. Thus, he has met Pechorin and knew him personally. It can be seen that he also knows that Pechorin died. He subsequently hands the editor Pechorin's papers. These facts enable the editor to publish them. This combination of facts also emphasizes that the implied author manifests in Maksim Maksymich's figure: he suddenly appears in the narrative

again. Thus, the author uses him as a tool to link the time preceding the duel to the time following it. Thus, he helps the reader to reconstruct the narrative by indicating its missing parts. Summarizing, his role in the expression of time in block-form is evident; these are the events which lead up to the duel and the events which take place afterwards. Consider the fact that the hero decides to continue his diary in the fortress: this shows that the course of events was not fatal for him. Consequently, the latter says:

Перечитываю последнюю страницу: смешно! —я думал умереть; то невозможно: я еще не осушил чаши страданий, и теперь чувствую что мне еще долго жить

("I read over the last page: how funny! - I expected to die: it was impossible. I had not yet drained the cup of sufferings, and now I feel that I still have many years to live"; *ibidem*; it. mine, PMW). The words *to nevozmozhno* show that, at the moment of writing, the narrator regards the remaining part of his life as one complete temporal block. It is surveyable in the same way that each entry of his diary is. The spatial rather than temporal determination of the diary finds its expression in its allegedly awkward composition. This is typical of diary-novels. This procedure runs parallel with that used in *Kniaginia Ligovskaia*. See again the description of Pechorin's opera-visit in this work: there the narrator jumped over a part of the narrative. The process of doubling plays a key role in *Gerui Nashogo Vremeni*. This is particularly manifest from the editor who is operative in the *Zhurnal Pechorina*. He functions as a double. He allegedly makes a selection from the parts of the diary which should be published. (see n. 34 again). In fact, a diary-novel, rather than a real diary, is supposed to be published. It presupposes an additional narrator who should explain all omissions in the text to the external reader. The additional narrator should explain all gaps caused by the fragmentary character of the genre of the diary-novel (Field 1989: 21, Porter-Abbott 1982: 14). In so doing, he justifies the character of the narrative: he is supposed to introduce the plot, informing the reader when and why it becomes fragmentary and so on. In that respect, he

functions as a product of the implied author. In short, he justifies the narrative, keeps it comprehensible and he guarantees its artistic character by doing so. In turn, parallel to the additional narrator, a diary-novel presupposes an additional reader. His task can be said to run parallel, in a way, to the task of the implied reader. The additional reader helps the implied reader convey the artistic signs given by the implied author to the real reader. By doing this, he helps guarantee that the text is one artistic whole.

It was observed that in a genre in which time is presented as block-like, man is supposed to be able to grasp temporal units which normally lie beyond his reach. In a genre in which additional narrators occur, such as the diary-novel, this phenomenon is particularly effective. Thus, in them the implied author may present literary figures who are often able to overhear the conversations of others, which take place elsewhere at that time. The process of masking is evident in the case of the so-called *personnages anaphores* (see Hamon 1977: 123). The primary task of such persons is to convey information. They may be presented, for instance, in the form of a chattering fool. In such a case, this fool's specific quality clashes with his other character traits. In the *Zhurnal*, Dr. Verner is such a figure. He is presented by the protagonist as a sceptical, but high-principled man. He helps the hero concoct his intrigues against the latter's enemy, Grushnitskii. He keeps him informed of the latest developments of the latter's courtship with Princess Mary. Letters may also play an essential role in the conveying of such information. They may also give indirect information to the reader. Thus, the reader is informed of the hero's character by the letters to him from both Verner and Vera (see Brown 1986: 254f.).

Further, as to the function of the doubles in this regard, practically all figures operative in *Geroi Nashogo Vremeni* are presented as doubles. Through their use, the narrator sheds light on the protagonists' character. Consequently, it seems that other persons, or models, consistently "shine through" in the literary figures. The reader continuously poses the question: who, in fact, is the original? Through the use of figures' doubles, the narrator introduces elements of himself into the narrative in the same way a painter does when painting a portrait. Consider again, in this regard, the aforementioned self-portrait by Gump. The specific character

of the doubles implies that literary figures are positioned opposite several other ones. This can be seen in the Section of *Geroi* entitled Maksim Masimych, in which the narrator placed opposite both Pechorin and Maksim Maksimych, who was seen to hand the hero's papers to the editor. By doing this, the author seems to motivate the publication of Pechorin's journal. Consequently, he justifies that the narrator becomes, to a certain degree, the hero's double. The hero wrote the journal, the editor reports its content and tells how its partial publication came about. The suggestion of duplication also manifests itself in Pechorin's opponent Grushnitskii. Pechorin tries to avenge himself on him because the two men want to play the same role in life (Garrard 1982: 141 and Porter Abbott 1980: 134). In the *Predislovie* of the *Zhurnal*, Pechorin can be seen through the figure of the narrator. In *Bela*, the hero as well as Maksim Maksimych are seen through the latter's eyes. Similarly, Verner, Mary, Vera etc. are seen through the hero's eyes. Rather than merely viewing the other figures through Pechorin's eyes, we see Pechorin reflected in them. To that extent, the hero is modeled after the Romantic pattern that figures and objects reflect their environment. In *Kniazhna Meri*, the procedure of duplication manifests itself in the hero in as far as he considers himself a split personality. He explains this to Mary under the entry dated "June 3rd."³⁵ To her he passes himself off as vulnerable because he thinks his alter ego is not an organic constituent of himself any more. This also shows in the way in which the hero typifies himself toward his friend Dr. Verner, before entering his duel with Grushnitskii. He emphasizes that, on the one hand, he is only partly a mortal human being. However, the nature of his other half remains undecided. This description of his physical essence seems to break off along with the description as such. Thus, the hero does not finish his sentence. He distracts his addressee's attention toward a completely different topic. This deals with his enemies.³⁶ In other words, even the hero presents himself as being uncertain about his character. Accordingly, the reader wonders whether he is a man of flesh and blood or a booklike model hidden behind a literary mask? Again, he is a typically Romantic figure. See the entry dated "June, 5th": there, while musing over his character, the protagonist thinks:

Какую цель имела на это судьба-? .. Уж не назначен ли я ею в сочинители мещанских трагедий и семейных романов,- или в сотруднику поставщику повестей, например , для "Библиотеки для чтения "?

(Lermontov 1957 (1840): 301: "What could be fate's purpose in this? Might it not be that it had designated me to become the author of bourgeois tragedies and family novels, or the collaborator of some purveyor of stories for the 'Library for Reading?"; Lermontov 1988 (1986) (1840/1841): 133), it. mine; PMW). This question remains unanswered. The specific effect of authenticity results from the combination of fictional and historical elements in one context.³⁷

Grushnitskii is also the hero's opposite double. He behaves like a literary figure.³⁸ The speaker (Pechorin) says about him that *ego tsel' - sdelat'sia geroem romana* (Lermontov 1957 (1840): 263: "His object is to become the hero of a novel"; Lermontov 1988 (1986): 85). But he is completely unpoetic. The narrator states that he does not like him:

Я его такъе не люблю: Я чувствую, что мы когда-нибудь с ним столкнемся на узкой дороге, и одному из нас не сдобровать

("I don't like him either; I feel that one day we shall meet on a narrow path and that one of us will fare ill"; *ibidem*). The doctor, Verner is defined as both Grushnitskii's and the protagonist's double. On the one hand, he does not pass himself off as a poet, as Grushnitskii does. On the other hand, he is a poet although he has never written any poem. In so far, a play with masks takes place again. Thus, the doctor shifts from the mask of a poet to that of a doctor, i.e. a materialist, and *vice versa*. To that extent, he is a Romanticist. Consider again the fact that these pass themselves off as writers writing texts about reality rather than living in that reality. The doctor, however, takes both his roles seriously. Pechorin defines him as ...скептик и материалист, как все почти медики, а вместе с этим поэт и не на

шутку,- поэт на деле всегда и часто на словах, хотя в жизнь свою он не написал двух стихов

Lermontov 1957 (1840): 299: "... a sceptic and a materialist, like almost all medical men, but he is also a poet, and this I mean seriously. He is a poet in all his actions, and frequently in his utterings, although in all his life he never wrote two lines of verse"; Lermontov 1988 (1986) (1840): 91; it. mine, PMW). As far as his shift from the mask of the materialist to that of the poet is concerned, he is depicted as being similar to Byron. See:

... одна нога у него была короче другой, как у Байрона ...

(Lermontov 1957 (1958) (1840): 269: "One of his legs was shorter than the other, as in the case of Byron ..."; Lermontov 1986 (1958) (1840): 92) The protagonist is also presented as an opposite double of the female heroines Mary and Vera. In fact, Mary and Vera are each other's doubles too. They have in common that both are in love with Pechorin and that their love is hopeless. Vera is Pechorin's former beloved. She uses Mary as a tool to come in contact with Pechorin. In this regard, Mary serves as a personage anaphore. Vera is related to her family. She often visits Mary. She intentionally uses her in order to meet her former lover Pechorin. See:

Ты хочешь познакомиться с Лиговскими! ... Мы только там можем видаться ...

(Lermontov 1957 (1840/1841): 284: "You don't want to get acquainted with the Ligovskoy's? It's the only place where we could see each other"; Lermontov 1988 (1986) (1840/41): 111). Yet, the hero wants to remain in contact with Mary too. The latter soon becomes aware that Vera is her rival where Pechorin is concerned. Already during his first visit, on 23 May, Mary perceives that he pays much attention to Vera. Consequently, she answers his compliments for her concert performance in a cool manner. See:

Мне это тем более лестно, - сказала она, - что вы меня вовсе не слушали ... -но вы, может быть, не любите музыки?

(*idem.* 291; it. mi., PMW)

("It is all the more flattering to me", she said, 'since you did not listen to me at all; but then, perhaps, you do not like music?"; Lermontov 1986 (1958) (1840): 119). To summarize, Mary and Vera function as each other's opposite doubles. This becomes visible in the fact that both of them want to draw Pechorin's attention. It results in their mutual jealousy. See, for instance, the hero's remark under the date June 4th:

Нынче я видел Веру . Она замучила меня своею ревностью

(Lermontov 1957 (1840): 298)

("Today, I saw Vera. She has exhausted me with her jealousy"; Lermontov 1988 (1986) (1840): 129; it. mine, PMW). Jealousy also dominates the other set of doubles, consisting of Pechorin and Grushnitskii, in their attitude toward Mary. The descriptions of elements from nature show that these elements are conceived as side-wings rather than parts of real nature. It was seen in the Romantic conception that literary figures seem to grow from this. As far as the aforementioned descriptions are concerned, see again Lermontov's sketch *Kavkazets*. There the real Caucasian adapts to the outlook and habits of the mountain-dwellers. In *Kniazhna Meri*, Pechorin's love for nature is expressed similarly. There nature also seems to shape man. Accordingly, Pechorin even masks himself in order to fit into it. Thus, he puts on the clothes of the people living there.³⁹ In other words, Pechorin lets himself be "swallowed" by his environment. One seems to see through the hero the background against which he is operative. In other words, he seems to "step out of himself", as if he looked at himself not with his own eyes. Rather, he seems to look at himself through Venetsianov's eyes who

transforms all persons, objects and landscapes into translucent elements.⁴⁰ The reader sees in front of him the steppe with a figure who both clashes with it and belongs to it. Summarizing, the author presents the Russian Pechorin through whom one sees a Circassian. Again, in the Romantic way, the hero is presented not as a representation of reality but as a representation of that representation. The landscape is also typically Romantic since it seems to be painted in the manner mentioned in Chapter 1, Section 1.3 and n. 14. Accordingly, the scene is presented as a theatrical performance. See, in particular the word *амфитеатром* in the quotation:

Кругом амфитеатром возвышаются синие громады Бешту, Змеиной,
Железной и Лысой горы

(Lermontov 1957 (1840): 281)

("... all around rose an amphitheatre of blue masses - Besh Tau, Snake Mountain, Iron Mountain and Bald Mountain"; Lermontov 1988 (1986) (1840/1841): 107; *it. mine, PMW*). This suggestion of a painted world was shown to be typical of Romanticism.

The observation was made that the use of different language-codes is typical of the Manneristic character of Lermontov's poems. In such texts, one code expresses the norm-code, the other ones deviant ones. See Chapter 4, Section 4.2 again. The phenomenon also holds true for Lermontov's prose. The quotation describing the scene in which the hero seems to appear from the blue.⁴¹ Through the combination of different language-codes, the narrator confirms the stylized, stage-like, character of the scene. Thus, the hero moves in nature but is dressed to represent a Circassian. That he passes himself off as a Circassian is evident from the fact that he speaks French.⁴² The scene described in n. 43 shows a similar stylized character. A combination of languages again plays a key role. See again the aforementioned observation that an occurrence of a combination of languages shows the Manneristic character of a text. The two quotations in n. 42 and 43 show that the text is split out into two versions. Which of these contains the

standard version and which the deviating one depends on which of the two versions determines the standard language-norm. The text in which two language-codes occur shows the key role of the implied author, whose role is evident in as far as he guarantees the reader his freedom to determine his norm language. By doing so, he grants the reader the right to establish the artistic character of the text.

5.4 A King Knocks: Writers and Readers in Gogol's *Zapiski Sumasshedshego*

Who stays? A Fool. Who knocks? A King.

C. Morgan, Sparkenbroke.

5.4.1 Gogol's Diary-novel, the Implied Author and the *ne-to* as the End of Romanticism

For a discussion of Gogol's works, reference should again be made to Stendhal's definition of the novel as a mirror. The emphasis on the spatial determination of *Mertve Dushi* is evident. This novel consists of descriptions of arrivals and departures of the protagonist. It is presented as a gallery of figures who seem to be seen in a mirror. It shows the quality typical of mirrors: they force the observers to take on the shape of the figures standing in front of them. Thus, Chichikov is continuously mirrored in different shapes. He adapts to every new situation. More than that, he owes his existence to his ability to undergo metamorphoses (Fanger 1979: 169f.). In accordance with the law of the mirror the represented world changes continuously. This entails that, in Stendhal's view, it has an ambiguous character. This manifests itself in the role in Gogol's works of what has been called the *ne-to*. It indicates a continuous denial of the reality represented in the text and the reality of the narration, i.e. the text (Fanger 1979: 257f.). It means that all Gogol's works are ambiguous since they are both hilarious and horrifying. The ambiguous character of Gogol's works exposes itself in the fact that they consistently present motifs and their counterparts. (*idem.* 258). Summarizing, the *ne-to* shows the presence of the implied author who governs and steers the narrative. The essential quality of the *ne-to* lies in the fact that it indicates the end of Gogol's works as being Romantic. Thus, it shows that they cannot be said to reflect one model in the strict sense of

the word. It was observed that the quality of works of art being modeled after prototypes derived from natural science is typical of Romanticism. The *ne-to* is the element in Gogol's works which indicates that Gogol' should be considered a representative of an elliptic stage in literary science. In this case it indicates that in his person a return from a secondary to a primary system takes place. In the person of Gogol', in Likhachev's terms, a soft transition takes place from a system A to a system B succeeding it. To summarize, Gogol' bridges the gap between Romanticism and Realism.

It has often been stated that the Gogol's world is made of paper (see Bernheimer 1975). Such a world fosters the realization of the fundamental *ne-to*. In this section, some aspects of the so-called paper world in his literary work will be studied.⁴³ In this regard, particular attention will be given to his *Zapiski Sumasshedshego*. Three items should be discussed with regard to this work: the role of the plot, one particular aspect of the *Zapiski*, and the playing with masks. They can be distinguished from one another, but not strictly separated. Thus, a reader is supposed to play an active role in the creative process of writing and he should do this by reacting to the report of the events in the sense indicated by Stendhal. First, we shall study the role of the plot as far as it corresponds with Gogol's own ideas about literature first. Then, we shall discuss the *Zapiski* in their quality of a product of instantaneous writing. In this regard, we shall discuss the question in how far Gogol's works can be said to bear spatially determined. To conclude, we shall study the procedure of playing with masks which is typical of all of his works.

For a discussion of his theories, we shall examine Gogol's *Uchebnaia Kniga Slovesnosti Dlia Russkogo Iunoshestva* (*Nachertanie N.V. Gogolia: "Textbook of Literature for Russian Youth (an Outline by N.V. Gogol)"*), dating from 1844 - 1845. Particularly the section entitled *Men'shie Rody Epopei* ("Smaller Epic Genres") is valuable. There, the author emphasizes the essential function of parodies in the development of the novel. He pays attention to the – in his view – important comic aspect. He pays particular attention to Cervantes and Ariosto. He emphasizes that their works bear a hybridic character. This makes them different from the epos. Gogol' regards the works of Ariosto and Cervantes as being a blend

of serious and humorous elements. In the *Uchebnaia Kniga*, the author gives a definition of the novel. There, he emphasizes that the novel is a drama. Similar to the epos, it has a plot which is temporally determined. It does not merely present the background of literary personages. Rather does it emphasize their development.⁴⁴ In this regard, Gogol's definition shows that – for him – the novel differed from those of the later nineteenth-century novelist, for whom the plot played a less important role. Goethe anticipated the new formlessness of the novel in comparison with its form during the eighteenth century.⁴⁵ In fact, in the new novel the description becomes more important at the expense of the plot. Thus, in the nineteenth century, novels more and more became the result of instantaneous writing. This makes them fit to be potential parts of a diary-novel.

As far as Gogol's *Zapiski Sumasbedsbeho* are concerned, one can see that the suggestion is raised that a diary is spatially determined. Thus, originally, the date indications still emphasize the temporal determination of the narrative. Therefore, the fact that they are mostly preserved shows that the suggestion is raised that the narrative preserves its plot. However, in the course of the narrative, the date indications gradually seem to lose their sense. The date indications in the *Zapiski* can be considered a tool of the implied author. This manifests itself in the fact that they enable a reader to orientate himself concerning the degree of the hero's insanity. On the other hand, they enable the internal reader (Poprishchin) to orient himself as to his position in the world and how that world looks at him. Consider again the mirror in the Gump portrait: it served as an implied artist. As a result, it orientates both the internal and the external viewer. Through its use, both are enabled to view the complete scene. However, on the one hand, the date indications in the *Zapiski* remain recognizable as such. On the other hand, they become "non-date indications." Thus, they gradually become unidentifiable whereas the text of the entries remains understandable. The two text elements check one another, as it were. In so far, their function of implied author is evident. Thus, the confused date indications show that the hero's brain becomes more and more muddled. Yet, the entries also become nonsensical but remain, to some degree, coherent. See again, in this regard, their role of implied author, in as far as the latter

guarantees the motif of freedom. This way, he seems to guard the author against possible charges of being unreliable. In fact, readers might object that an insane person would be unable to write a coherent narrative such as the one they have before them. The implied author safeguards the real author from this kind of unbidden criticisms.

As far as Gogol's ideas are concerned about the idea that texts are spatially determined, see the section entitled *O Nauke* ("On Science") in the *Uchebnaia Kniga*. There, in his definition of the word, he states that only a Russian is able to ...схваывать живо малейшие оттенки других наций и, наконец, живое и меткое наше слово, не описывающее, но отражающее, как в зеркале, предмет ("... grasp vividly the slightest aspects (*ottenki*) of other nations and, to conclude, our living and accurate word which does not describe, but rather reflects, as in a mirror, an object": Gogol' 1994: (1844/45): 323; it. by the author, tr. mine, PMW). It was observed that, in the Romantic conception, a work of art or a text should not render reality directly. Rather, it should represent a prototype of reality. It should approach reality rather than represent it. Consider again Chapter 1, Section 1.3 and Chapter 2, Section 2.1. In the section entitled *Что Takoe Slovo i Slovesnost'* ("What are the Word and Literature?") Gogol' emphasizes that literature is an image. Through it, man conveys to his fellow man everything which he experiences and which he finds in the world of phenomena.⁴⁶ The word *obraz* in n. 47 shows that, for the author, a word is not a symbol i.e. a conventional sign. Rather, it is a pictorial sign, or icon, of the kind used in the plastic arts. To summarize, Gogol's definitions of the word illustrate his tendency to regard a text primarily as a work of art. These observations show that the author will regard the diary-novel as being suited to realize his idea of the word and of literature. See again the observation that the diary-novel and epistolary-novel are products of instantaneous writing (see Watt 1981 (1957): 217). Consequently, they presuppose the ability of viewing rather than reading. The procedure of instantaneous writing is maximally effective in Gogol's literary works in which reality is presented as being made of paper. Let us develop this concept of the paper world in somewhat more detail.

5.4.2 The Role of the Implied Author in the Suggestion that Gogol's World is Made of Paper

The idea that Gogol's world is fabricated from paper emphasizes the idea that his world is spatially rather than temporally determined. It presupposes that the world can be depicted rather than described. In turn, it presupposes that it can be viewed rather than read. The representation of a spatially determined world hardly enables an artist to represent a world in which a development takes place. In turn, it hardly enables a viewer to perceive such a development. In other words, it seems that a series of movements has to be cut up into its constituent elements. Further to the diary-novel, a writer of it is not a passive personality who has to wait patiently until he will have completed a process of perception before he can start describing it. Thus, the fact that an author can describe scenes which are cut up in the aforementioned manner implies that he will have to complete this process of cutting them up first. In so far, he has to take an initiative. In other words, in this respect, he is a representative of a primary system. This initiative emphasizes the role of the implied author in the text, who checks the artistic character of the work of the real author. The real author realizes this when he cuts the text into parts (the separate entries of his diary). See again the observation that the implied author seems to look over the real author's shoulder during the writing-process, thus safeguarding the artistic character of the text.

The implied author plays a key role in a world which, it is suggested, is made of paper. Consider again Section 5.2, where it was described how Pechorin also moved in a kind of paper world. See again the quotation: "... all around rose an amphitheatre of blue masses - Besh Tau, Snake Mountain, Iron Mountain and Bald Mountain." In this example, the implied author transformed real nature into side-wings and depicted the hero as being active in a painted world. This way, he shielded the real author from possible criticisms of readers about the unreliable character of the reality represented by him. In fact, the latter example, too, shows a neo-to at work in which the implied author manifests himself. As a result, a reader sees mountains which are intentionally presented as non-mountains. The implied author impels the real author to present the hero as being active in a painted world.

It was observed in Chapter 1, Section 1.3 that it is typical of Romantic reality that it is transformed into artistic models of reality before it is represented in an artistic manner. It was seen in Section 5.2 that the word *amfiteatrom* shows that the narrator seems to make the mountains fit to serve as background for the hero's actions. He seems to adapt them for this purpose. In other words, the narrator shows an initiative in so far as the narrator models reality according to his own standards. This means that he is no mere representative of a secondary system any more. Summarizing, the idea that the world is made of paper makes the principle of the *ne-to* applicable to it. It was observed that the *ne-to* is typical of the transition from a primary system to a secondary one (or vice versa) and that it is typical of elliptic stages in literary science. To phrase it differently, both Lermontov and Gogol' go through a similar development in this regard. The spatial determination of the *Zapiski* becomes clear through the fact that the figures are depicted as being co-ordinate; they show a gallery of co-ordinate persons and events. These persons are the hero, the Kings of Spain and France, a civil servant and they are all presented as living in one space. Thus, for instance, the hero is presented as waiting for the moment he will be received at the court in his quality of King. Moreover, he is described as living in the same space as a titular councillor of whom he reads in the alleged letters of the dogs. As far as space is concerned, space played a key role in Gogol's work. This particular space was small.⁴⁷ In this story, the represented space is also limited. Spain occupies the same place as his apartment, in the sense that both are, finally, in fact the lunatic asylum to where he is transported.

With regard to the procedure of impersonation, it is an excellent tool to visualize the *ne-to*. It is essential in all of Gogol's works. The procedure of impersonation is even typical of Gogol' the man (Erlich 1969: 222). In this regard, he is a typical Romanticist. The mask shows the presence of the implied author. It was seen that he opposes all motifs and persons to their counterparts. The Gogolian *ne-to* is an effective means for the implied author to manifest himself. Consider again the fact that the implied author juxtaposes each motif with its own denial. The implied author, when showing the motif "Spain" hides behind the mask of the

ne-to, i.e. "non-Spain." This duplication runs parallel to the motif "insanity" which is, accordingly, confronted with its counterpart "non-insanity." A text containing a fool is illustrative in this regard since the latter moves in a circle as it is a fool's task to demystify the world by mystifying himself (Felman 1978: 134). By mystifying himself, the fool, in turn, becomes subject to the process of demystification. In other words, masking plays a key role in a novel featuring a fool. Both the motifs of "non-insanity" and "insanity" are applicable to the hero Poprishchin. The decision in howfar the reader wants to apply the motifs to the hero is left to him. In this respect, the task of the implied author is evident again. The consistent application of impersonation as a literary procedure is again used by means of the *ne-to* (Fanger 1979: 256ff.). In the *Zapiski*, the process of impersonation manifests itself in the use of letters. See again Section 5.2, in which it was observed that letters function as *figures anaphores* who convey information indirectly from the literary figures, via these letters to the reader. Figures anaphores are, strictly speaking, unable to give information since the conditions under which they may do so are not fulfilled. See again the fact that these persons may overhear conversations concerning the hero which take place elsewhere. In short, the function of the figures anaphores as tools of the implied author is evident since their audience cannot hear or understand them. Similarly, letters may provide non-information since the aforementioned conditions are equally unfulfilled. This is the case with the letters of the dogs in the *Zapiski*. They contain a hidden meaning, which can only be unriddled with the help of the implied author. As always, he presents a motif in combination with its counterpart. In this case this motif is "insanity." This is consistently opposed to "non-insanity." The function of the implied author lies in the fact that he brings about the specific character of the text, i.e. absurdity. Its effect lies in the fact that the reader continuously wonders in howfar this absurd character of the text brings about an aesthetic effect. The motif of "insanity" is, as it were, duplicated into "insanity" and "non-insanity." This is evident from fact that the narrator leaves undecided the question whether the hero's environment is insane rather than the hero himself. Thus, it may seem that insanity is inflicted upon the sane hero by his insane environment. The role of the implied author

manifests itself in the fact that the reader is left free to decide this question for himself. Consequently, the implied author guarantees the artistic character of the text. Whether the reader chooses the hero's "real insanity" or "not real insanity" makes no difference. In both cases, a description of insanity takes place which aims at authenticity. However, the implied author requires that it is an artistic description.

In the letters of the dogs the process of the impersonation plays a key role. They illustrate the idea that the represented world is made of paper. The letters confirm Erlich's observation that only language is alive in Gogol's works. It was seen that the narrator and represented reality are hidden behind verbal tissue (see n. 44 again). It seems that they can only be unriddled with the help of the implied author. Thus, the hero is presented as being able to understand the speech of dogs. This is only possible if the motif of human speech is extended to dogs. This way, the theme of "insanity" is presented as being masked behind the image of "speaking dogs." See, for instance, the hero's reaction to the letter of November 13:

А ну, посмотрим : письмо довольно четкое . Однакоже в почерке все
есть как будто что-то собачье

Gogol' 1994 (1835): 155)

("Well, let's see: the script is fairly distinct. There is, however, something canine about the handwriting"; Gogol 1984 (1835): 246).⁴⁸ This observation can only make sense if it is assumed that dogs can write. The hero's reaction is illustrative. See:

Письмо писано очень правильно . Пунктуация и даже буква ѣ везде на
своем месте

(ibidem)

("The letter is written very correctly. The punctuation and even the letter *ë* are everywhere correct"; tr. mine, PMW). The hero's reaction is absurd because, in his view, writing is an aesthetic activity. In other words, the reader is made to believe that writing presupposes the ability to view rather than read. To put it differently, the hero occupies himself with the outward appearance of the letter and its sender. A gap in a text written in such a system is realized as it is in a non-verbal text, like a painting. The observer sees it realized in the form of an empty spot. The implied artist is supposed to "fill it" with its counterpart, i.e. content, or, a "non-empty spot." For normal men, however, a verbal text is written in linguistic characters. A gap in such a text is realized in the form of a silence. In such a case, the presence of the implied author lies in the fact that he should give clues as to how the text should be resumed in an aesthetic manner. Thus, in both non-verbal and verbal texts he is supposed to give clues as to how the definite text should be modeled aesthetically. The motif of "silence" is also realized in the reality represented in the text. See the penultimate sentence of the preceding diary-entry dated November 12:

там будет все : и портрет и все дела этого мужа . Там будет что-нибудь
и о той, которая ... ничего, Молчание!

(Gogol' 1994 (1835): 155)

("Everything is bound to be there: a portrait of the man and all the affairs. And there'll be something there about her...never mind, silence!"; Gogol 1982 (1835): 246; it. mine, PMW). Something similar happens when the protagonist reads in Madgy's letter the first reference to her mistress Sophie:

Ай ай!... ничего, ничего. Молчание!

(Gogol' 1994 : 202)

("Aie, aie.. never mind, never mind! Silence!"; Gogol 1982 (1835): 247; it. mine, PMW). The words *nichego* and *molchanie* anticipate an absence of signs in both the

text and the reality represented in it. In other words, they indicate elements with an equivalent-function, in Tynianov's terms. Consequently, both the text and the reality represented in it seem to come to a standstill. Thus, both seem to become spatially rather than temporally determined. See also the role of the implied author in the hero's other reactions to the letters of the dogs. The results in an absurd effect. See:

Экой вздор ! Как будто бы не было предмета получше, о чем писать .
Посмотрим на другой странице . Не будет ли чего поделнее

(*idem*)

("Hell! The devil knows what all this is about! What nonsense! As if there were no better thing to write about! Let's look at another page, perhaps there'll be something more valuable"; *ibidem*, tr. mine, PMW). The hero is able to read the letters as if they were written by a human being. Accordingly, he is able to utter his thoughts in coherent speech. This fact shows that he should be considered a normal person. Such a person can be qualified as A. However, the hero's words are absurd since he has lost his ability to think rationally. Thus, he reacts to the words in an abnormal way, as if they were really written by a dog. In this respect, he should be qualified as being abnormal, or - A. The fact that this context shows a combination of words by A and - A shows the presence of the implied author. He arranges the words by A and - A in the narrative in such a way that the context is artistic. He leaves each reader free to "fill in the text". In other words, this freedom shows again that the implied author guarantees the "occasional" character of the work in Gadamer's definition. It was observed that this character is a prerequisite for all works of art (see Gadamer 1975 (1960): 138). The role of the implied author manifests itself since the question of whether the text is sensible or nonsensical remains undecided. The implied author combines again the motif A and its counterpart - A. To this extent, the Gogolian procedure of the ne-to is realized. Thus, the narrator impels dogs to pass themselves off as men. He puts masks of men on dogs. It is supposed that dogs do not only think and speak but also write

like people. The narrator lets the hero imprint on them a system of values which applies to men. See the word *vzdor* which shows the aforementioned ambiguity of the protagonist's system of values.

On the whole, Gogol's observations confirm Stendhal's idea that a text conditions and shapes rather than merely presupposes a reader. In other words, both authors are typical representatives of Romanticism. They emphasize that they do not model reality on their own but rather let themselves modeled by it. See, in this regard, the theme of "folly" in the text: it models the hero. The implied author presents it in the text as being accompanied by its counterpart "non-folly." Consequently, he ensures that an artistic whole results. In the process of reading, the reader begins to create his own text. In other words, he is included in this process, as it were.⁴⁹ This idea confirms the idea that a novel presupposes a real author, an implied author, a real reader, and an implied reader. These cannot act in isolation, but condition one another, meeting in the theme of folly. The essence of the novel which contains the theme of folly consists in the fact that it destroys itself.

Let us return to the ne-to in the *Zapiski*. It plays a key-role in the theme of "insanity." Every day in the journal indicates a new stage in the hero's development toward insanity and the ne-to indicates this new stage. Consider the nonsensical dates occurring in the *Zapiski*. They will ultimate result in the moment when the protagonist seems to be "swallowed" whole by the text. See the self-portrait of Johannes Gumpff again; here it was seen there that the figure seems to become mobile since he becomes visible from different angles. In the portrait, the suggestion is raised that the figure looks at the viewer and drags him into the representation. The date-indications in the *Zapiski* seem to play a role similar to the mirror on the portrait. Consequently, they confront the fictional writer with his self, i.e. his insanity. In so far, the fictional reader's reading-process of the dates runs parallel with the viewing-process of the internal viewer in the Gumpff-portrait. Thus, the first both writes down his entries and reads them. Consequently, he flies from the diary as soon as he has interpreted the deterrent report of the insanity they contain. The process of masking plays a role in this respect. Thus, the

hero tries to fly from his own self which with which he is confronted in the diary. In other words, he seem to hide behind the date-indications. By doing this, he seems to try to destroy them before they can reveal their content. This content also contains his identity. Thus, he transforms them into "unreal" ones. Summarizing, the suggestion that the fictional writer (the protagonist) is, as it were, gradually "pasted into the narrative" is visualized in the dates. These are jumbled more and more and, as a result, they become more and more ambiguous. This process makes the narrative Manneristic. Consequently, the date-indications become incomprehensible for normal readers, who are not familiar with the language-code of insane men. For these readers, they begin to function as indicators of the hero's increasing insanity. In so far, they begin to serve as elements with a signalling function. However, fools will not identify the linguistic characters written in an abnormal language-code as being abnormal. The fact that a text contains parts which can be identified as being written in both normal and abnormal signs shows the presence of an implied author. The latter brings up the question as to which is the normal, standard-code, and which the deviating one. He leaves undecided the question of which code is the standard one. Thus, for a normal man the jumbled-up letters are written in the standard-code. However, in a world of fools, jumbled-up letters are written in the standard-code, whereas the "normal" letters are written in a deviating language-system. This continuous mixing-up of language-codes transforms the work into a Manneristic work in the sense mentioned in Chapter 1, Section 1.1.

For Stendhal's aforementioned observation that a text shapes its reader, consider Poprishchin's reaction to the alleged letter of the dog of November 13. In that letter the dog "says":

‘Софи никак не может удержаться от смеха, когда глядит на него’.
Врешь ты, проклятая собчонка! Экой мерзкой язык!

(Gogol' 1994 (1835): 157f.)

("Sophie simply cannot restrain herself from laughing when she looks at him." [i.e. Poprishchin; PMW] "You lie, you damned little bitch! What a nasty tongue!";

Gogol 1982: 205; it. mine, PMW). The role of the letters lies in the fact that they do not merely report events. Rather do they shape the fictional reader, Poprishchin. The letter seems to threaten to "drag" him into the narrative. By doing so, it seems to enable the reader to follow the development of the process of insanity. The reader sees, as it were, before his eyes how the insanity of the protagonist develops. This is also evident from the fact that the external reader sees that the lecture of the letters compels Poprishchin, i.e. the text-internal reader, to stop reading them.

Let us return to the role of the masks in Gogol's paper world. The author's essay entitled *O Tom Chto Takoe Slovo* (1844) ("The Essence of the Word") is illustrative. There the author develops his ideas concerning masks. It was included into the collection *Vybrannye Mesta iz Perepiski s Druz'iami* ("Selected Passages from a Correspondence with Friends"). In this work the author warns his readers that man should not use his words as a mere mask. If he does, he will become unable to express even his most sincere wishes and thoughts. Consequently, he will become his own slanderer. Therefore, Gogol' emphasizes that man should be careful in the use of his words.⁵⁰ He should take care that no rotten (*gniloe*) word comes from his mouth. He should prefer keeping silent to running the risk of being careless in the use of his words. Accordingly, Gogol' warned that only professional writers should make use of language since only they know the real value of words. Thus, they know the difference between words which are fit to express lofty ideas and those which express mere ordinary ones. Gogol' presents the example of great pedagogues in this regard. Hence, at a time when it was the habit of the day to show off with words, great educators used to keep silent.⁵¹ The word *molchanie* in n. 52 shows that the author expresses a Romantic idea. Consider again the observation made in Chapter 3, Section 3.3.2 about Baratynskii's idea of silence in his poetry. He emphasized that a word is the least appropriate instrument to express sincere ideas. Also, consider Gogol's words *na vsiakom shagu iazyk est' nash predatel'* in n. 51: in his view, when words turn themselves against their writer the latter will be unable to express even sincere ideas. The author's words imply that silence is the result of a consistent use of impersonation. The idea of silence as

being the ideal result of man's language use shows that a speaker, ultimately, disappears behind his mask. The word *klevetnik* in n. 51 indicates the controversial character of language. On the one hand, language continually distorts the expression of our feelings. On the other hand, a speaker needs it to express his feelings and thoughts. However, he should take care that his words are sincere and not "rotten" (*gniloe*). It is seen here that the *ne-to* plays a part in as far as even a true word will turn into an untrue (*gniloe*) one and that, vice versa, the reverse may also hold.

The fact that a man is active in a paper world confirms that he is a Romantic person. See again the quality typical of Romantic figures that they behave like literary models rather than men of flesh and blood. The idea that the hero and his world are made of paper emphasizes the idea that both the represented world and the text end in destruction. This also holds true where its production and perception-processes are concerned. The hero seems to dissolve the represented reality into a void after he has finished reading the dog's letter. See the last sentence of the "last letter of the dog"; the moment at which the hero stops reading the letter seems to anticipate the end of the paper world. See:

Я изорвал в клочки письма глупой собачонки

(Gogol' 1994 (1835): 158)

("I tore the stupid little bitch's letters into tiny shreds" (Gogol 1982: 251; it. mine, PMW).

The aforementioned passage shows that the represented reality in which real letters occur (i.e. letters written by human beings) is annihilated. As a result, it is dominated by a reality in which illegible, non-existent letters, i.e. letters written by dogs, are found. However, this non-existent reality is also annihilated. Thus, the hero tears up the letter of the dog which in itself is already non-existent. The presence of the implied author manifests itself in the fact that only he can safeguard the author against the criticisms of outside readers that it is impossible to dissolve represented reality into a void. He does so by justifying the disappearance

of the reality by the fact that reality does not exist anyway. In other words, the implied author motivates the disappearance of this reality by hiding behind a mask when hiding from the world. This destruction also concerns the text itself. Thus, the writer and the reader also seem to be destroyed as soon as they have completed writing and reading the book respectively. In the *Zapiski*, in which a paper world occurs, the aesthetic character of this gradual process of destruction is guarded by the implied author. See the protagonist's reaction to the last fragment of the letter by the dog Madgy. It shows that the world in which the hero moves consists of valueless material on which one cannot lay his hand.⁵² N. 53 emphasizes the valueless character of the world as one may expect from a world which has been torn into pieces. N. 53 also shows the self-destruction threatening both the hero and the (paper) world around him. In the further context, Poprishchin emphasizes that he wants to belong to the social class to which the gentleman of the bedchamber mentioned in n. 53 belongs. This means that he will become a split personality since, in his heart, he dislikes that class. He wants to share its second-rate cultural taste. He reads the widely-read *Severnaia Pchela* read by it. He reads Pushkin only in his quality of writer of ordinary salon-like pieces (Gukovskii 1959: 309; see also Peace 1976). In other words, the hero is shaped again by outside reality in the manner typical of Romantic personages. Both the latter and that reality seem to be reconstructions of modeled reality. Consider again, in this regard, the aforementioned motif of the mirror as it was defined by Stendhal. Thus, the hero's attitude toward his fellow-men also shows that he is and wants to be a product of his environment.

On several occasions Poprishchin emphasizes his alleged position as a nobleman. For instance, in the entry dated *Oktiabria 4*, he informs us that a footman once offered him snuff without even getting up. The hero reacted as follows:

Да знаешь ли ты, глупый холоп, что я чиновник, я благородного происхождения?

(Gogol' 1994 (1835): 151)

("Don't you know, I'm an official of noble birth you stupid lackey?"; Gogol 1982: 242; it. mine, PMW). However, the hero questions his identity. Therefore, in the entry dated "December 3" the question of his identity is brought up. The question concerning the identity of the literary figures in general remains unanswered. He wonders what the titles in social life stand for. See again n. 53 where he says: "*Что ж із того, што он камер-юнкер?*" en "*Почему имено титулярны советник?*" (Gogol' 1994 (1835): 158). These words are typical of a primary rather than a secondary system. Thus, they are based on the idea that man constructs his own world. He is assumed to be free to select its constituent elements and bears his own responsibility in this regard. They reject the view that man should model his life after patterns like that prescribed by "titular-councillors." In short, in this respect the narrative shows traces of a primary system. When considering his social status, the hero is presented as "jumping away" from the representatives of the class of titular-councillors. Hence, he wants to tell "them" (*im*) that he spits upon "both of you" (*na VAS oboibe* (caps, mine, PMW)).⁵³ This shift from a pronoun in the third person to a pronoun in the second person shows the presence of the implied author. Consequently, a shift of a specific kind takes place and results in a mirror-like effect, in Stendhal's terms. Thus, a set of opposed motifs is presented. We see the figures as being active outside the framework of the narrative first. Consequently, they are indicated in the third person. We can define them as A. However, we are simultaneously confronted with them as they are operating within the framework of the narrative. These are indicated in the second person. Accordingly, we can qualify them as - A. The mirror can be said to justify the hero's reactions to all actions which he endures. The action of the hero who spits on the world surrounding him has a reverse effect. The mirror shows both the hero and the socially higher class. It brings about the effect that it shows itself as spitting onto the hero when he does the same to it.

The entries, dated *Dekabria 3* ("December 3"), *Dekabria 5* ("December 5"), and *Dekabria 8* ("December 8") indicate intermediate stages in the hero's development toward complete insanity. Thus, first Poprishchin still operates within his own world. Gradually, however, he grows toward the moment when he enters an

allegedly new world. This is the world in which he assumes his new identity of "king of Spain." In terms of time, it indicates the period when his insanity is complete. The motif "Spain" and the suggestion that the world is made of paper are constituent elements of the motif of insanity which dominates the hero completely at last. Consider the entry dated *Dekabria 5* begins with the words:

Я сегодня все утро читал газеты

(Gogol' 1994 (1835): 159)

("Today the whole day I have been reading newspapers"; Gogol 1982: 252). In this entry, the protagonist reads about the events taking place in Spain. In other words, the country "Spain" is presented as becoming identical with the reports about it in the newspapers. Poprishchin's insanity does not become catastrophic as long as he does not leave his room – or: Spain – while it is suggested to be made of paper. This indicates a paper world. It is suggested that he is safe as long as he remains there. It can be qualified as "not Spain." In fact, the place which can be indicated as "Spain", i.e. the real Spain, is dangerous for him. Also, on December 8 nothing serious happens yet because the hero does not go to his office. But that date indicates a decisive stage. At that point in time, the protagonist is reported to lie on his bed. He thinks about the situation in Spain. However, the next date is critical. It is indicated by the protagonist as *Goda 2000 apreliia 43 chisla* ("2000, April 43"). This "date" indicates a turning-point: then, Spain seems to cease to be a part of the paper world. Thus, Poprishchin "discovers" that a real king of that country has been found (in his own person). This implies that Spain has shattered its borders, which to him are made of paper. Accordingly, the protagonist shatters the borders of his own reality by leaving his safe place. This appears to be a catastrophic action. He leaves his room and, consequently, makes himself known to his landlady as the king of Spain. Upon this declaration, she is terrified. The hero does not want to recognize the world as being made of paper any more. He does not want to go back to his office to resume his work as a virtuous civil servant who just copies documents. See the exclamation which concludes his entry:

Нет, приятели, теперь не заманите меня ; я не стану переписывать гадких бумаг ваших!

Gogol' 1994 (1835): 160)

("No, friends, now you'll not outwit me; I'll not copy your dirty papers!"; Gogol 1982: 253). To summarize, the aforementioned date *goda 2000 apreliia 43 chisla* is essential because it separates two periods. In the period preceding it, the hero's state of mental health does not deteriorate provided that he accepts that his world is made of paper. This implies that he does not leave his room (concerning Poprishchin's concept of "the world outside", see also Maguire 1994: 51f.).⁵⁴ However, his mental health collapses when he breaks this rule. His total insanity comes about when interdependent elements meet. Thus, as the hero's world loses its paper character for him, his insanity increases. As the narrative proceeds the world and the hero are presented as becoming less paper-like and, consequently, the latter becomes more and more insane. The aforementioned nonsensical date, indicating that the hero has become totally insane, shows the iron law which holds true for him. Hence, he is confronted with a dilemma and as a result, the hero seems to be stricken by madness when he remains in his paper world. This is the world in which the aforementioned letters of the dogs play a role; his idea that they are written by dogs shows his madness. However, the normal world in which his fellow men operate is also dangerous for him. This is evident from the fact that, as soon as he leaves the paper world which seems to be safe for him, he is threatened with madness too. In other words, the hero seems to be threatened by insanity twice: when he remains in his paper world as well as when he leaves it. This double presentation, or duplication of the motif "insanity" again shows the role played by the implied author. He, in fact, splits up the motif "insanity" into its constituent elements "insanity" and its counterpart "non-insanity" in the manner mentioned earlier. The specific character of his task manifests itself in the fact that he leaves the reader free to decide for himself how he wants to qualify the motif "insanity." By doing so, he guarantees the aesthetic character of the text; he conveys to the implied reader the various options from which a selection can be made in the

course of the reading-process. In turn, the implied reader conveys these options to the real reader. Consequently, the latter can reconstruct the real text on the basis of signals given to him. The presence of the implied author manifests itself in the fact that the question can be brought up whether the hero or the people around him are normal. See, in this regard, the beginning of the entry dated *Dekabria 3*. At that date, the hero exclaims that it is impossible for his beloved, the allegedly normal daughter of his superior, to be married. The idea that the theme of the insanity is insolvable becomes evident through fact that motifs are questioned. Thus, the hero begins to question his own identity. Consequently, he uses interrogative sentences. See, for instance, his statement:

Мне бы хотелось знать, отчего я титулярный советник? Почему именно титулярный советник ?

(Gogol' 1994 (1835): 159)

("I should like to know why I'm a titular councillor? Why exactly a titular councillor?"; Gogol 1982: 252). The motif of "emptiness" is typical of the transitory stage of the hero on his way to insanity. It becomes visible more clearly in the entry dated *Noiabria 6*. There, it is reported that Poprishchin is addressed by the head of his department. See:

Ведь ты нуль, больше ничего ... Взгляни хоть в зеркало на свое лицо, куды тебе думать о том "

(Gogol' 1994 (1835): 152); it. mine, PMW)

("Well, just look at you; just think; you're a nonentity, nothing more. Just have a look at your face in the mirror; how could you even think of such a thing?"; Gogol 1982: 242; it. mine, PMW). The function of the mirror is again important. Stendhal's example shows that it reflects developments, i.e. temporally bound

situations. It is evident once more that the mirror serves as a tool for the implied author. It enables the narrator to question the position of the hero and his superior. Thus, is it the hero who is on his way to his madness or does the superior confront the hero with his own madness? Who is mad? Is it the implied author who splits up the theme "madness"? The latter leaves the reader free on yet again to "assign" this quality to the person of his choice, either the hero or the world around him. By doing this, the implied author guarantees anew the artistic criteria of the text.

The aforementioned motif of "emptiness" is developed in the entries from "5 December" on. They run parallel with the date-indications which gradually become more and more empty and devoid of sense. See the motif "emptiness" as it occurs in the entry "December 5" in the image of the emptiness of the Spanish throne.⁵⁵ This motif occupies the protagonist more and more. In the next entry, dated *Dekabria 8*, Poprishchin writes that he has been unable to do anything all day. The events in Spain completely throw him off balance.⁵⁶ The day seems to end in a void. See:

После обеда ходил под горы . Ничего поучительного не мог извлечь .
 Большею частию лежал на кровати и рассуждал о делах Испании
 (Gogol' 1994 (1835): 159)

("After dinner I went down the hill for a walk, I gained nothing instructive out of that. I spent most of the time lying on my bed and pondered on the affairs in Spain"; Gogol 1982 (1835): 253; it. mine, PMW). The motif of emptiness is emphasized in the use of the word *ничего*. The date-indications demonstrate that the hero's discovery of his identity goes hand in hand with the idea that he is swallowed by the text. At the "date": *God 2000 aprelia 43 chisla* his absorption into the text seems to be complete.

Somewhat more detailed attention should be paid to the dates of the diary-entries in as far as these

1. give an indication of the phases of a plot which is operative in it,
2. emphasize the suggestion that the texts of the entries result from a process of instantaneous description of events,
3. suggest that a consistent distinction is made between the writer – as far as he is operative as the fictional narrator – and the fictional reader of his entries; thus, they bring about split in the hero as well as the recorded events as they are perceived by him, and in as far as they
4. play a role in the presentation of the world as being made of paper.

As far as 1. is concerned, the use of a plot manifests itself in the originally regular order of the dates from October 3 up to and including December 8. After December 8, this regular temporal order is stopped. The remaining ones denote nonsensical, impossible or non-existent moments: *God 2000 apreliia 43 chisla* (160), *Martobria 86. mezhdu dnem i noch'iu* (ibidem), *Nikotorogo chisla. Den' byl bez chisla* (162), *Chisla ne pomniu. Mesiaca tozhe ne bylo. Bylo chert znaet chto takoe* (ibidem), *Chisla 1-go* (ibidem), *Madrid. Fevruarii tridtsatyi* (ibidem), *Ianvar' togo zhe goda, sluchavshiisia posle fevralia* (164). *Chislo 25* (ibidem), *Chi 34 slo Mc edao* (165). The essence of these "date-indications" lies in the fact that they are partly empty. Thus, they seem to emphasize that time is spatially determined. See again Le Goff's observation about the concept of time in the Middle Ages. Thus, the dates reflect what has been called by him an indifference toward time. This is typical of that period. The individual chronicle-writers often used vague time-indications like "at that time", "in the mean time", "shortly afterwards" etc. (see Le Goff 1965: 221f. as well as Chapter 1, Section 1.5). The function of the dates in the narrative lies in their interplay with the contents of the entries. They show the progress of the writer's increasing insanity (Brang 1969: 449). Thus, a line seems to be drawn at "December 8th" dividing the story into two halves. From that day on the writer stops using normal dates and begins using abnormal ones. In other words, he seems to bring the plot to a standstill. Hence, the function of the narrative as being temporally determined does not play a role any more after *apreliia 43, 2000* onwards. Consequently, the descriptions become more and more important at the expense of the plot. Therefore,

at the aforementioned date the novel which was determined by a plot makes room for a novel as defined by Stendhal and Goethe. The latter considered a novel as being characterized by descriptions at the expense of the plot (see again n. 46).

The important role of "empty dates" in a diary-novel lies in the fact that they serve as a token of a writer's presence. The empty, i.e. nonsensical dates emphasize the split which runs through the narrative after the aforementioned "date." The dates are senseless and the entry contains nonsensical information. However, it is written in coherent, i.e. non-nonsensical, speech. See again, in this regard, the fact that Russian Romantic poets such as E.A. Baratynskii emphasized the fact that a consistent use of poetic words results in silence.⁵⁷ See again Chapter 3, Sections 3.3.1 and 3.3.2 and consider, in this regard, Gogol's idea of the word as being some-thing dangerous (see n. 51). Summarizing, both writers and readers seem to be threatened by the danger of being swallowed by the text.

To return to the alleged date-indications of the *Zapiski*, the implied author manifests himself to the extent that he confronts the reader with date-indications which are both sensible and nonsensical. Thus, the implied author seems to offer the reader clues to solve the question whether the information of the *Zapiski* is nonsensical or not. He hands this information to the reader who is left free to make a decision in this regard. The solution of the question whether the text is artistic depends on this decision. Thus, the readers are all framed by date-indications which are growing more senseless. See again the fact that incomprehensible words emphasize the poetic character of a text.

With regard to the "non-dates" mentioned above, they indicate a turning-point in the narrative and the time of their recording. From the aforementioned date-indication "December 8" on, it can hardly be said that the narrative is a result of instantaneous writing anymore. Thus, from then on, the notes are made in a lunatic asylum and for madmen temporal differences hardly exist. Consequently, they cannot be expressed in a block-like fashion as well. Thus, indications such as "now", "later" and "earlier" lose their sense. Therefore, the outburst of madness in a person means that he does not distinguish anymore between his perception of the present and the past (Brang 1969: 450).

Attention should be paid once more to the halves into which the story can be divided. See again the Bermanos example mentioned in n. 33. Let us examine the first half of the narrative first. After having done so we can begin to study its second half. Consequently, we can interpret the story as a whole. In the second half, the theme "madness" is consistently described as the Leitmotiv of the narrative. Thus, there it does full justice to the title of the story which is written by an omniscient, author: *Zapiski SUMASSHEDSHEGO* (caps. mine, PMW). Before the fatal date "April 43", the protagonist carries out particular activities. He considers them as being senseless and devoid of value. Although he tries to mask himself against them, he must admit that they anticipate his insanity. Consider, again, the description of the correspondence of the dogs, and the hero's reaction. This event shows the madness which begins to threaten the hero. Later, in the second half of the story, the hero continues his protest against his usual activities. He does so in his role of the "King of Spain." See again the aforementioned date "April 43, 2000." At that "date", he discovers his allegedly true identity. The hero's development toward an identity of his own implies that his subservience to the text seems to be, temporarily, vanquished. It seems that, for a time, he throws the chains of the paper world off. However, the two aspects of that world are fatal to him. Thus, the paper world soon recaptures its claims. Consider, in this regard, Stendhal's definition of the novel. The fact that a text shapes its reader implies that the destruction of the text seems to entail the downfall of both the literary figures and the narrator. In fact, the latter can only exist by its grace.⁵⁸ The vicious circle of the hero and the text is complete. As far as the schizophrenic man's conquest of his identity is concerned, he associates such a conquest with the motif "fear."⁵⁹ In the scenes in which the hero acts as king of Spain the procedure of impersonation plays a key role. It is evident that this leads to self-destruction. See again the "date" *God 2000 aprilia 43 chisla*. The date has a mere signalling function. Thus, it indicates some temporal indication but has no proper meaning. It is both a date and a non-date. Such a "date" can only exist in an unreal world, i.e. the world as it occurs in Gogol's paper world. In that world the *ne-to* is essential. In other words, the "date" again shows the activity of the presence of an implied author. The latter presents

an "empty" date which is supposed to be filled by the reader (both internal and external) with a content of his choice. The particular impact of the paper world in the hero's life manifests itself in the fact that he is employed as a clerk in a government office. Consequently, his whole world consists of paper. In fact, Poprishchin is constantly occupied with writing. He is fascinated by it even though his main task at the office consists of merely mending pens.⁶⁰ The quotation mentioned in n. 58 shows that the Russian word *pero* signifies both "pen" and "feather." Consequently, the protagonist associates it with a cock's feathers.

The role of the implied author in the reality represented in the text is evident from the fact that he is presented as being split up into the component parts "King of Spain" and "- King of Spain." Thus, he is masked by the author as the "King of Spain." The latter is presented again as the person who should shield the real author against unbidden criticisms of the readers. The implied author manifests himself since in him the process of duplication is seen at work again. The two figures show that the hero tends to split up his world as well as himself. The first figure personifies the hero's desire to belong to a socially higher class (the class to which titular councillors belong), whereas the latter personifies the protagonist's tendency to reject this class.

The fact that the motif of the King of Spain is consistently split up into its opposite motifs show a process of masking at work. The continuous duplication of motifs is evident in the motif of "love" which is consistently opposed to its counterpart "fear." That a continuous process of masking takes place is evident from the fact that, when the protagonist seems to identify himself with the King, he seems to fly behind a mask covering his identity. This quality is typical of a schizophrenic man. The latter constantly puts on masks to attract attention to himself while he tries, at the same time, to distract that same attention from himself (see Laing 1970 (1957): 72f., 114). This effect is realized by means of the aforementioned *ne-to*. This indicates the end of reality, i.e. the end of the reality represented in the text and the text itself. See, in this regard, the entry bearing the date-indication: *Nikotorogo chisla. Den' byl bez chisla*. In this entry, it is reported that the protagonist walks along the "Nevskii Prospekt" in St. Petersburg. He sees that

the tsar drives by. Even then the hero does not take his hat off. In fact, he does not want to reveal his alleged identity of "King of Spain". He does not want to do this as he does not want to show himself before he having been presented at court.⁶¹ N. 59 shows that the protagonist continually tends to hide behind a mask of anonymity (see Laing 1970 (1959): 72). See again, in this regard, n. 18, where it was observed that the combination of a historical and a fictional text-element emphasizes the authenticity of both of them.

The last entry presents the key for the correct interpretation of the story. It shows how the hero is completely transformed from a puppet into a human being. The presentation of the hero as a fool is followed by his transformation into a normal living being of flesh and blood. Thus, as a lifeless being he is a mere puppet hung with official attributes and ranks. Only these play a role in the paper world. This is what the hero is in the first half of the narrative. In the last entry, however, he becomes a living being (Gukovskii 1959: 316f.). This entry shows that the fool as a literary figure raises the suggestion that he destroys himself. He, ultimately cannot do anything but call in the help of his mother; see:

Магушка, спаси твоего бедного сына! урони слезинку на его больную головушку! посмотри, как мучат они его! ... Магушка! пожалей о своем больном дитятке! ... А знаете ли, что у французского короля шишка под самым носом?

(Gogol' 1994 (1936): 165)

("Mother, save your wretched son! Shed a tear on his aching head! See how they are torturing him! ... Mother! Take pity on your sick child!.. And do you know that the [...] 'King of France has a wart under his nose?"; Gogol 1982: 260; it. mine, PMW).⁶² The aforementioned quotation plays a key role in the representation of the motif of "insanity." It shows the hero's disembodied self, which is typical of schizophrenic man. In this man, the motifs "non-sanity" and "insanity" are combined. Thus, Poprishchin reacts as a normal person to the beating-up, as he

experiences it as painful. However, his reaction is typical of an abnormal figure too. His suffering cannot refrain him from making an absurd but, in his eyes, essential observation, namely that the King of France has a wart under his nose. The quotation shows the hero's disembodied self, which is typical of a schizophrenic man, in whom the motifs "insanity" and "mental health" are combined.⁶³ Summarizing, in the combinations of all these opposite psychologically acceptable and unacceptable motifs, the implied author is seen at work. The presentation of the hero as a fool brings about his own destruction as well as that of the text. The purification of the represented world manifests itself in the hero, who was a mere lifeless personification of bureaucracy first. However, he is gradually transformed into a living man of flesh and blood (Gukovskii 1959: 316f.).

To conclude: the effect of the absence of comprehensible speech discussed earlier is intensified by the completely incomprehensible date-indications in the final entry. It runs parallel to a complete absence of the protagonist. With him, the text also comes to an end. The same procedure is used in *Mertye Dushi*. The first part of that work ends with the image of a coach carrying the hero away from the world, and also, through this action, from the text. This becomes evident from the fact that the last sentence is an interrogative sentence. It ends with a question-mark. In other words, this may suggest that the text goes on forever. It may suggest that the text shatters its frame in the manner mentioned earlier. However, the question-mark may also indicate the void in which the text dissolves itself. Summarizing, the question-mark seems to express the idea that literary figures and the writer and reader should "keep away from" the narrative. It indicates that the text swallows the main person involved, i.e. the protagonist, who is doomed to stay not so much within the walls of the lunatic asylum as in the grip of the text where he has to remain. The final sentence of the story also shows that this effect of "swallowing" is reached by the use of the procedure of the *ne-to* which is so typical of Gogol's works. It also shows that it serves as an effective tool to enable the implied author to carry out his activities. It was observed that he plays a key-role, particularly in prose-works, to bring about their artistic character. In this chapter two items of diary-novels were discussed in order to demonstrate their essential

character-traits. These lie in the fact that they guarantee the mimetic character of a work. They do so by duplicating each work in its double presentation. Thus, they split it up in its positive and negative poles. These, consequently, meet in an equilibrium, in a zero-state. This can be said to guarantee liberty for the perceivers of a work since it enables them all to make a free choice concerning their desired interpretation. It was observed that the aforementioned *ne-to* is an excellent means to realize any work of art. Thus, all works of art presuppose a "real" artist on the one hand, and they presuppose an implied one on the other hand. The implied artist is free to give indications to the real artist so that a real work of art results. In so doing, he need not be afraid that voices from the external world will importune him with its undesired criticisms.

The aforementioned works of prose by Lermontov and Gogol' show a return from a secondary system toward an elliptic stage, in Likhachev's definition. It was observed that such a stage links a primary to a secondary system or vice versa. This manifests itself in the time-concept of primary and secondary systems. Thus, a linear concept is typical of a primary system such as Classicism, i.e. the period of the poet Derzhavin. A circular system or a system of block-time, on the other hand, is typical of a secondary system like Romanticism. Both a circular time-system and a system of block-time play a role in Lermontov's poetry. Block-time is typical of Lermontov's works of prose. In that respect, Lermontov is a representative of the transition-period, or the elliptic stage bridging the gap between the primary system of Classicism and the secondary system of Romanticism. Lermontov can be said to be a representative of a secondary system on the one hand, since circular time plays a role in his poems. However, whereas circular time plays a role in his poetry, block-time begins to play some role in it. However, block-time play a key role in his prose-narratives. It also seems to enable a narrator to return to his starting-point every time again. However, what makes Lermontov typical of a primary system as well is that he is enabled to do so by the intervention of the implied author, whose task it is to safeguard the narrative against the danger that its artistic character is harmed. In Lermontov's *Kniaginia Ligovskaia* the role of the implied author is evident in as far as he shields the real author from undesired

criticisms. He does so by introducing narrative elements in the narrative which should justify, as it were, motifs of omission, silence, absence of heroes from scenes etc. The author wants to reach the same goal through the use of the so-called procedure of exteriorization. It amounts to the fact that motifs are relativized by means of expressions like *kazhetsia* etc. Their effect lies in the fact that they question motifs, events, etc. after they have been introduced. They leave the real character of the latter undecided.

In *Geroi Nashogo Vremeni*, too, the role of the implied author is evident, particularly since it is (at least) a diary-novel. This fact entails that in the context signals are continuously given to the reader concerning the authenticity of the text. This is done through a combination of text-elements which are suggested to be both historical and fictional. It is the implied author's task to ensure that this authenticity does not detract from the artistic value of the text. Lermontov's works show traces of a primary system insofar as the implied author guarantees the freedom of the author to select his materials. The suggestion that the story is a product of a primary system manifests itself in the fact that the narrator introduces himself in the *Predislovie*. In this "Foreword" he emphatically states what he intends to do and what not. Furthermore, he emphasizes that the reader is free to decide for himself how he wants to interpret his narrative. This emphasis on the freedom of his own will shows that the narrative is a product of a primary system. On the other hand, the narrator is not completely free in the selection of his materials since they are bound to aesthetic models. In that respect, the author is typical of a secondary system. Thus, it was seen that the story was presented as a "portrait." This example shows that the narrative is also typical of a secondary system. See also the presentation of the landscapes in the form of side-wings, which mostly occurs in Romantic representations in which reality is reprinted after representations of that same reality. Summarizing, *Geroi* shows a combination of elements typical of both a primary and a secondary system.

It was observed that Gogol's works also shows traces of a primary and a secondary system. The aforementioned combination of primary and secondary systems in both Lermontov and Gogol's worlds yields particular effects. The role

of the implied author in their works results in a represented world, all constituent elements of which are confronted with their counterpart. In Gogol's works, the first system manifests itself in the procedure of the *ne-to*. It serves as a tool for the author to show that each motif is confronted with its opposite upon its introduction. In other words, it emphasizes the author's freedom. Thus, it shows that an author, together with his introduction of a motif A, introduces its opposite element - A including its whole range of reference. To this extent, it emphasizes the author's freedom. In Gogol's case, this results in the suggestion that his world is made of paper. The aforementioned freedom granted to the author to select the elements of his narrative emphasizes that his work is a product of a primary system. However, it was seen that the fact that all motifs are opposed to their counterparts or mirror-parts does not mean that the work is explicitly typical of a primary system. Thus, Romantic artists and writers have to represent reality after models. Summarizing, mirrors serve as tools for Romantic artists and writers to present models after which the latter have to present their works. Lermontov and Gogol' presented works in which mirror-like tools occur. In their works, reality is presented as a result of a combination of qualities typical of primary and secondary systems. To summarize, these authors, consequently, cannot be regarded as representatives of either a secondary or primary system in the strict sense of the word. Rather, their works should be regarded as typical of those elliptic stages which are, in Likhachev's terms, typical of literary science.

Notes on Chapter Five

1. The first of these definitions was presented in 1827, in Stendhal's preface to *Armance*, and the second in 1835, in *La Vie de Henry Brulard*.
2. The latter emphasized that the deluge of genres of travesties and parodies on higher genres marked the development of the *modern* novel (Bakhtin 1975 (1941): 450). Bakhtin mentions Don Quixote as well as such writers of mock-epics as Ariosto and Fielding. All these writers made use of a type of speech which could be understood by different kinds of people (see Bakhtin 1975 (1934/35): 220-225 and 232; see also Watt 1981 (1957): 285). Bakhtin emphasized that the important role played by Cervantes and Fielding in the development of the novel originated from their use of speech in the form of dialogue.
3. See:

Известно, что он до некоторой степени изобразил самого себя в Печорине ... Не было сомнения, что он, следуя тогдашней моде, напустил на себя известного рода байроновский жанр, с примесью других еще худших капризов и чудачеств. И дорого же он заплатит за них! ... На бале Дворянского собрания ему не давали покоя ... одна маска сменялась другою ...

("It is well known that to a certain degree he represented himself in Pechorin ... Undoubtedly he, following the *mode* of the day, put on a *Byronic genre of a well-known kind*, with a mixture of other, even worse whims and extravagances; and it cost him dearly! ... At the ball at the nobleman's society he was not allowed a moment of rest ... one *mask* followed the other..." (etc.)) (Turgenev 1983: 81f.).
4. See, in this regard, the beginning of the novel *Kniaginia Ligovskaia*, which reads as follows:

В 1833 году, декабря 21-го дня в 4 часа пополудни по Вознесенской улице, ... заметьте день и час. потому что в этот день и в этот час случилось событие, от которого тянется цепь различных приключений, постигших всех моих героев и геринь, историю которых я обещаю передать потомству, если потомство станет романы.

("In 1833, on December 21st, at four o'clock p.m. in the afternoon at the Voznesenskaia ... remember the day and the place, because exactly at that day and that hour an event took place *from which* a chain of various adventures *will evolve*, concerning all my heroes and heroines, the history of which I promised to hand over to *posterity*, if only posterity will read novels"; Lermontov 1957: 122; tr. and it. mine, PMW). This example shows a narrator at work who grasps past, present and future. In fact, n. 8 is also illustrative of such a narrator.

5. See, in this regard: "Thus the text is made up of a world that is yet to be identified and is to be adumbrated in such a way as to invite picturing and eventual interpretation by the reader. This double operation of imagining and interpreting engages the reader in the task of visualizing the many possible shapes of the identifiable world, so that inevitably the world repeated in the text begins to undergo changes. For no matter which new shapes the reader brings to life, they are all certain to encroach on – and hence to change – the referential world contained in the text. Now, since the latter is fictional, it automatically evokes a convention-governed contract between author and reader indicating that the textual world is to viewed, not as a reality, but as if it *were* reality" (W. Iser. 1989. "The Play of the Text." In: S. Budick, W. Iser. *Languages of the unsayable: the play of negativity in literature and literary theory*. New York, Columbia University Press, 327. (*Irvine studies in the humanities*))

6. Consider also, in this regard, the conclusion of the narrator's report of the hero's confrontation with his sister Verochka. This is described in practically the same way:

До сих пор, любезные читатели, вы видели, что любовь моих героев не выходила из общих правил всех романов и всякой начинающейся любви. Но зато впоследствии ... о! впоследствии вы увидите и услышите чудные вещи

("Thus far, dear readers, you've seen that the love of my heroes didn't cross the general rules of all novels and each new love. *Later* on, however...! oh! *later on you'll see* and hear miraculous things instead"; Lermontov 1957: 158; tr. and it. mine, PMW).

7. See, in this regard, W. Iser. 1972. *Der implizite Leser*. München, Fink. 1972 (*Uni-Taschenbücher*, 163). As regards the implied author, see also W. Kayser. 1977 (1958). "Qui raconte le roman?" In: R. Barthes, W. Kayser, W. Booth, Ph. Hamon. *Poétique du récit*. Paris, Seuil, 60-83.
8. It shows the painter who is supposed to paint himself full-face. This implies that particular parts of his face remain invisible. He seems to be accompanied, during the creative process, by what could be called his implied companion. The latter seems to solve for him the difficulty that the portrayed person remains partly invisible. Consequently the, what might be termed, 'implied painter' puts, so to speak, a mirror at the painter's disposal. It is presented as a tool by the implied artist. It enables the artist to visualize those parts of the portrayed figure which would otherwise remain invisible. The mirror, in other words, emphasizes that a portrait is not a mere representation of a person. Rather it shows that a portrait should be *reconstructed* from its constituent parts which are visualized by the tool. The fact that a portrait is never a mere representation shows that it always contains something of the artist's *own* self.

9. ... утро было туманное и обещало близкую оттепель. Многие жители Петербурга, проводшие детство в другом климате, подвержены странному влиянию здешнего неба. Какое-то печальное равнодушие подобное тому, с каким наше северное солнце отворачивается от неблагодарной здешней земли, закрадывается в душу, приводит в оцепенение все жизненные органы. В эту минуту сердце неспособно энтузиазму ... В подобном расположении находился Печорин.

("The morning was nebulous and promised imminent thaw. Numerous inhabitants of Peterburg who passed their childhood in *another* climate had to get used to the *strange influence* of the *local* sky. Some sad *indifference*, similar to that with which our northern sun turns itself away from this ungrateful country, *creeps* into the soul, *freezes* all organs of *life*. In such a minute the heart is *incapable* of enthusiasm and the mind of reflection ... Pechorin was in *such* a mood"; Lermontov 1957: 148; it. mine, PMW). The words *ravnodushie*, *otvrachivaetsia*, *zakeradyvaetsia*, *otsepenenie*, *zhiznennye organy* are indicative of the conception of human feelings and thoughts as being created and, at least, conditioned, by outside forces rather than vice versa. To summarize, the suggestion is raised that all figures or objects grow out of reality and seem to be annexed by it as well as by time.

10. See Insarov's and Elena's visit to the opera *La Traviata*, Section 33. There the description shows an artist who, *in the course of her performance*, masters that reality *herself*, ultimately even modeling it. Consider:

Игра Виолетты становилась все лучше, все свободнее. Она отбросила все постороннее, все ненужное и нашла себя: редкое, высочайшее счастье для художника! ... Она вдруг переступила ту черту, которую определить невозможно, но за которой живет красота. Публика встрепенулась, удивилась Некрасивая девушка с разбитым голосом начинала забирать ее в руки, овладеть ею. Но уже и голос певицы не звучал, как разбитый: он согрелся и окреп

(Turgenev 6 (1981): 288; "Violetta's performance *improved* and *grew* less restrained as she went on. *She discarded all that was extraneous* [it. mine, PMW] and useless and at last *found herself* [author's it., PMW] - rare, supreme good fortune for an artist! She had [suddenly] *crossed* that boundary which cannot be described but beyond which lives beauty. The audience stirred, marvelling. The plain girl with a broken voice *began to take possession* of it, swaying it. But then her voice no longer sounded broken, it had gathered warmth and strength" (adapted from Turgenev [n.d.]: 166; it. mine PMW). The Kantian idea that man is supposed to model outside reality himself is particularly evident from the words *otbrosila vse postoronnee*. These emphasize that an artist can only develop himself when he or she has completely freed herself from external influences.

11. See:

... вдруг ему послышался шорох, подобный легким шагам, шуму платья, или движению листа бумага ... быстро поднял голову – и увидел перед собою в сумраке что <-то > белое и, казалось, воздушное ... с минуту он не знал на что подумать ...

("... *suddenly* he [i.e. Pechorin, PMW] caught a kind of rustle, similar to light steps, the sound of a dress or the movement of the sheet of paper ... He *quickly* raised his head - and saw before him in the dusk *something white* and, *as it were, translucent...* For *just a moment* he didn't know what to think of it. ... (Lermontov 1957 (1836): 126; tr. and it. mine, PMW). The use of the words *bystro*, *vozdushnoe*, *kazalos'* en *s minutu* are illustrative in this regard.

12. See, in this regard:

В заключение портрета скажу, что он назывался Григорий Александрович Печорин, а между родными просто Жорж, на

французский лад, и что при том ему было 23 года, - и что у родителей его было 3 тысячи душ в Саратовской, Воронежской и Калужской губернии – последнее я прибавляю, чтоб немного скрасить его наружность во мнении строгих читателей!- виноват, забыл включить, что Жорж был единственный сын, не считая сестры

("To conclude the *portrait* I'll tell that his name was Grigoriĭ Aleksandrovich Pechorin, for his family simply Georges, in the *French* manner, for the rest, that his age was 23, - that his parents possessed three thousands serfs in the governments *Saratov*, *Voronezh* and *Kaluga* - and, to conclude, I add - in order to embellish his *appearance* somewhat in the eyes of strict readers! - (I'm sorry I forgot to do this earlier) that Georges was the lonely child, except for his sister"; Lermontov 1957 (1853): 124f.; it. mine, PMW).

13. Между тем подали свеч, и пока Варенька сердится и стучит пальчиком в окно, о я опишу вам комнату, в которой мы находимся

("In the meantime, a candle was taken in, and, while Varen'ka is angrily tapping with her little finger on the window, I'll describe for you the room in which we are situated"; Lermontov 1957 (1882) : 127; tr. and it. mine, PMW).

14. Thus, Varenka uses the time which the narrator needs for the description of the room to continue the action described in the plot. See:

Между тем, покуда я описывал кабинет, Варенька постепенно придвигалась к столу, потом подошла ближе к брату и села против него на стул ...

(In the meantime, while I described the cabinet, Varen'ka slowly walked toward the table, then approached her brother and sat down opposite him on a chair... "; Lermontov 1957 (1882): 128; tr. and it. mine, PMW).

15. ... жесты его были отрывисты, хотя часто они выказали лень и беззаботное равнодушие, которые теперь в моде и в духе века, - если это не плеоназм. –Но сквозь эту холодную кору прорывалась часто настоящая природа человека; видно было что он следовал не всеобщей моде, а сжимал свои чувства и мысли из недоверчивости или из гордости

("... His [i.e. Pechorin's, PMW] *gestures* were *abrupt* although they often *displayed* laziness and light-hearted indifference. This is fashionable now and in agreement with the spirit of the age - if not that is a pleonasm. But behind that *cold bark* the real *nature* of man often *broke through*. It was *visible* that he didn't follow the general fashion of the day but *squeezed* his feelings out of distrust or pride"; Lermontov 1957: 124; it. mine).

16. See:

...волосы гладко упали по обеим сторонам лба, который кругло и сильно выдавался и, казалось, имел в устройстве своем что-то необыкновенное

("... the hairs fell smoothly along the two sides of the front the round shape of which *strongly emerged* and which *seemed to look* somewhat unusual"; *idem*. 128; it. mine, PMW). The word *kazalos'* is illustrative here.

17. See:

... она изображала неизвестное мужское лицо, писанное неизвестным русском художником, не знавшим своего гения и которому никто об нем не позаботился намекнуть ...

("... it represented an *unknown* male face painted by an *unknown* Russian artist, a man who was *unaware* of his genius since *nobody* had taken the trouble to inform him of it ..."; Lermontov 1957 (1882): 128; it. mine, PMW). However, in the two other variants instead of the expression *neizvestnoe mužskoe litso* we find

muzhskoe litso ("a man's face") and *litso mu<zhitsiny>* ("the face of a m<an>"; Lermontov 1957 (1882): 542).

18. In fact, the combination of the fictitious figure (Pechorin) and a historical performance of a *real* opera (*Fenella*) makes both more authentic. Consequently, it seems to justify the protagonist's attitude. The hero is blasé and seems, consequently, to be infected by the fashion of the highest circles of the capital coming to attend the opera.
19. Загремела увертюра; все было полно, одна ложа рядом с ложей Негуровых оставалась пуста и часто привлекала любопытные взоры Печорина; это ему казалось странно- и он желал бы очень наконец увидеть людей, которые пропустили увертюру Фенеллы . Занавесь взвился,- и в эту минуту застучали стулья в пустой ложе ; Печорин поднял голову, но мог видеть только пунцовый берет и круглую белую божественную ручку с божественным лорнетом, не брежно упавшую на малиновый бархат ложи; несколько раз он пробовал следить за движениям неизвестной, чтоб разглядеть хоть глаз, хоть щечку; напрасно, - раз он так закинул голову назад, что мог бы видеть лоб и глаза ... но как назло ему огромная двойная трубка закрыла всю верхнюю часть ее лица . У него заболела шея, он рассердился и дал себе слово не смотреть больше на эту проклятую ложу . Первый акт кончился; Печорин встал и пошел с некоторыми из товарищей к Фениксу; стараясь даже нечаянно не взглянуть на ненавистную ложу

("The curtain went up, the house was crowded, just one box besides that of the Negurovs remained empty and often attracted Pechorin's curious looks. It seemed strange to him and finally he would enormously like to see the people who let the overture of *Fenella* pass by. The curtain went up and *at that moment* the stools in the empty loge clattered Pechorin lifted his head but he could only see a *crimson beret* and a round, white and divine *arm* with a

divine *lorgnette*. It was thrown carelessly onto the rose velvet of the box. Sometimes he tried to follow the movements of the unknown lady, to see at least an *eye* or a *dimple*. But at that moment an unbidden enormous double bugle *covered* the whole *upper-part* of her face. He himself bumped his neck, grew angry and resolved *not to look* at that damned box any more. The first act was ended (*konchilsia*), Pechorin got up and went with some of his friends to "Phoenix", trying accidentally, in vain, *not* to look at that damned box"; Lermontov 1957 (1882): 131f.; tr. and it. mine, PMW).

20. See:

Почтенные читатели, вы все видели сто раз Фенеллу вы все с громом вызывали Новицкую и Голланда, и потому я перескочу через остальные 3 акта и подыму свой занавес в ту самую минуту, как опустился занавес Алаксандринского театра ...

("Highly esteemed readers, you have all seen 'Fenella' hundred times, you have all given many recalls to the dancer Novitskaia and the singer Golland. Therefore, I shall simply jump over the remaining 3 acts and will just lift *my* curtain at the moment at which the curtain of the *Aleksandrinskii teatr* ..."; Lermontov 1957 (1882): 136f.; tr. and it. mine, PMW).

21. See:

... замечу только, что Печорин мало занимался пьесой, был рассеян и забыл даже об интересной ложе, на которую он дал себе слово не смотреть

("... "I'll just remark that Pechorin *felt bored* about the piece; he was *absent-minded* and even *forgot* about the interesting loge at which he had been resolved not to look"; *ibidem*, tr. and it. mine, PMW).

- ²² В одеждах этих людей ... встречались глубочайшая древность с самой последней выдумкой парижской модистки ... еврейские тюрбаны, далее волосы, вздернутые кверху ` *à la chinoise*, булки *à la Sevigne*, пышные платья ... У мужчин прически *à la jeune France*, *à la moyen âge*, *à la russe*... *à la Titus*,... кстати было тут привести стих Пушкина : какая смесь одежда и лиц!

("In the clothes of these people ... one saw a combination of deepest Antiquity with the most recent invention of a Parisian modiste ... Jewish turbans, further even hairs jerked up *à la chinoise*, curls *à la Sévigné*, abundant clothes ... The men had their hairs cut *à la jeune France*, *à la moyen âge*, *à la Titus* ... one could refer here to the point Pushkin's verse: 'What a mixture of clothings and faces!'" ; *idem*: 160; tr. and it. mine, PMW).

- ²³ The presence of the implied author in the motif of silence manifests itself in the scene between Chichikov and Sobakevich in Gogol's *Mertnye Dushi*. There, they are negotiating about the price of the dead souls Chichikov wants to sell. The suggestion is raised that two kinds of persons occur. Thus, it seems that there are two actually *living*, though fictional, figures (Chichikov, Sobakevich) on the one hand. On the other hand, it seems that there are *lifeless, historical*, ones. These are the portraits on the wall. However, the first are presented as being speechless, i.e., lifeless. The two speakers do not want to comply with each other's wishes. The portrayed hero, Bagration, however, is described as follows:

... глядел со стены чрезвычайно внимательно на это покушку

(Gogol' 1994 (1842): 99) ("was ... looking down with exceeding *attentiveness* from his wall upon this trade"; N. Gogol. 1942. *Chichikov's Journeys; or, Home Life in Old Russia*. Newly tr. by B.G. Guerney. New York, 90, it. mine, PMW). In other words, the two categories — the living men and the portraits — seem to have changed places. Consequently, the living and the lifeless figures both adopt an unnatural attitude. In other words, the narrator seems to bring up the question:

"Which of the two categories of people establishes the norm?" The function of the implied author lies in the fact that he guarantees that the reader may make a free choice whether he considers the fictional or the portrayed figures as being alive. The implied author emphasizes the essential role of the reader in this regard. Thus, in reality neither the fictional nor the portrayed figures are real and everything depends upon the reader.

24. Княгиня,- отвечал Печорин сухо, - я прежде и смел глупость думать, что можно понимать женское сердце . Последние случаи моей жизни меня убедили в противном, а поэтому я не могу решительно ответить на ваш вопрос ...

("Princess', Pechorin answered, 'formerly I was so *stupid* as to believe that one could understand a woman's heart. However, the latest events in my life have convinced me of the *reverse* and for that reason I *cannot* give a *firm* reply to our question"; Lermontov 1957: 151; tr. and it., mine, PMW). In fact, the words *glupost'*, *protivnom*, *reshitel'no* testify to the speaker's indifferent and aggressive attitude.

25. An autograph to his work is unknown, but it should be dated about 1840; it was published only in 1929 by N.O. Lerner. 1929. In *Minuvshie Dni*, 4, 2-24 (See Lermontov 1957 (1882): 669; as well as H. Goscilo. 1980. "Lermontov's Sketches: From Poetic City to Prosaic Man." *Canadian-American Slavic Studies* 14 (1), 21-35, as well as the lemma "Kavkazets" in *LE* and the literature mentioned there.

26. Кавказец есть существо полурусское, полуазиатское; склонность обычаям восточным берет над ним перевес, но он стыдится ее при посторонних, то есть при заезжих из России ...

("A Caucasian is *half* a Russian and *half* an Asian being; the tendency to contract Asian habits gains ascendancy in him but he hesitates to show it in the presence

of strangers, that means, of travellers from Russia ... (Lermontov 1957 (1929): 348; tr. and it. mine, PMW).

27. See, for instance:

По его словам его лошадь скачет удивительно – вдаль ...! Хотя ему порой служба очень тяжела, но он поставил себе за правило хвалить кавказскую жизнь; он говорит кому угодно, что на Кавказе служба очень приятна

("In his view, his horse jumps enormous ends ... Although he thinks his service is at times *very hard* he does *not* want to *break* his vow to praise life in the Caucasus; he tells anybody he meets that service in the Caucasus is *very pleasant*"; Lermontov 1957 (1929): 350; tr. and it. mine, PMW). The words *tiazhela*, *khvalit'* and, *priiatna* show the paradoxical character of the Caucasian's feelings.

28. Ему просто было весело рисовать современного человека, каким он его понимает и к его и вашему нечастью, слишком часто его встречал. Будет и того, что болезнь указана а как ее излечить – это уж бог знает!

(Lermontov 1957 (1840/1841): 203) ("He [i.e. the author of the book, PMW] found it *amusing* to draw modern man such as he understood him, such as he met him - too often, unfortunately, for him and you. *Suffice* that the disease has been *pointed out*; *goodness knows* how to *cure* it!"; Lermontov 1988 (1986): 2; it. mine, PMW).

29. Может быть, некоторые читатели захотят узнать мое мнение о характере Печорина? Мой ответ- заглавие этой книги. "Да это злая ирония!" скажут они . – Не знаю

(Lermontov 1957 (1840/1841): 249; "Perhaps some readers will want to know my opinion of Pechorin's character. My answer is the *title* of this *book*. 'But this is wicked irony!' they will say. *I wonder*"; Lermontov 1988 (1986) (1840/1841):

64; it. mine, PMW). The words *Ne znaiu* emphasize this freedom of the reader which is granted to him by the implied author.

30. Герой Нашего Времени, милостивые государи мои, точно, портрет, но не одного человека: это портрет, составленный из покровов всего нашего поколения, в полном их раз витии

(Lermontov 1957 (1840): 203; "A *Hero of Our Time*, gentlemen, is indeed a *portrait*, but not of a single individual; it is a *portrait* composed of *all* the vices of our generation in the fullness of their development"; Lermontov 1988 (1986) (1840): 2; it. mine, PMW).

31. Consider, in this regard, the definition in the *OED* of the double. There, it is considered a counterpart, i.e. "one of two parts which fit and complete each other; a person or thing forming a natural complement to another" (*OED* 2 (1933): 1071).

32. Reference has been made, in this respect, to Bernanos' *Enfants humiliés*. This is, in fact, a "journal intime" of the writer occupying the period from from September 1939 until May 1940. The describing "je" is Bernanos as he wrote in 1940 about the events of 1914. He describes these from the viewpoint he had about them in 1940. Thus, during the writing-process he already anticipates the dramatic events of 1940: "C'est donc un présent du journal mais qui contient à la fois le futur qui sera l'avenir de l'humanité, les conséquences de la guerre et ainsi de suite." In other words, this procedure brings about a transition from the diary to the diary-novel. Thus, into the latter the element of reflection, so essential in literature, is introduced. In other words, the events seem to be removed to make room for this element of reflection. This interiorizes everything and ultimately results in a novel like the *Journal d'un curé de campagne* (Chocheyras 1978: 241). To summarize, the mimetic element of the *Enfants humiliés* manifests itself in this element of reflection given the fact that future

events are not only anticipated by past events, but conversely, past events are also seen in light of those to come.

33. See the narrator's observation made in the "Introduction to Pechorin's Diary", when he states that he published only a part of the "Diary":

Когда-нибудь и она явится на суд света; но теперь не смею взять на себя эту ответственность по многим важным причинам

(Lermontov 1957 (1840/1841): 249; it. mine, PMW; "Some day it, [i.e. the remaining part, PMW] too, will be presented to the judgement of the world, but for the moment there are important reasons why I dare not assume such a responsibility"; Lermontov 1988 (1986) (1840/41): 64): 64; it. mine, PMW). Again, the allegedly authentic editor claims for himself the power to decide which parts of the diary will be published.

34. The use of doubles in the plastic arts impels the perceiver to reconstruct the perceived elements of the constituent elements of reality into one coherent composition. In the Gumpff self-portrait, the mirror is an effective means to bring about this reconstruction, the reconstruction of the model of the portrait. The Gumpff-portrait illustrates the vulnerability of the artist. It is evident from the fact that the artist's own identity seems to be dependent upon the construction process of the work the artist has under his hands.

This use of doubles plays a key role in literary works too. It implies that figures are split up into two variants, both of which are operative simultaneously in two contexts (for a definition of the double in literature, see Hildenbrock 1986: 18ff.).

35. Я сделался нравственным калекой; одна половина души моей не существовала, она высохла, испарилась, умерла, я ее отрезал и бросил, - шевелилась и жила к услугам каждого и этого никто не заметил, потому

что никто не знал о существовании погибшей ее половины; но теперь во мне разбудили воспоминание о ней – и я вам прочел ее эпитафию

(Lermontov 1957 (1840): 297; "I became a moral cripple. One *half* of my soul did not exist; it had withered away, it had evaporated, it had died. I cut it off and threw it away - while the other *half* stirred and lived, at the service of everybody. And this nobody noticed, because nobody knew that its *dead half* had ever existed; but now you have aroused its *memory* to me, and I have read to you its epitaph (Lermontov 1988 (1986): 127; it. mine, PMW).

36. Во мне два человека: один живет в полном смысле этого слова, другой мыслит и судит его; первый, может быть, через час простится с вами и миром навеки, а второй ... второй ... Посмотрите, доктор : видите ли вы на скале направо чернеются три фигуры? Это кажется, наши противники?

(Lermontov 1957 (1840/1841): 324; "'Within me there are *two* persons: *one* of them lives in the full sense of the word, the other cogitates and judges him. The first will, perhaps, in an hour's time, take leave of you and and the world forever, while the *other*...what about the *other*?... Look doctor, do you see on that cliff on the right three black figures? There are our adversaries, I believe"; Lermontov 1988 (1986) (1958): 163; it. mine, PMW).

37. See again n. 18 containing a description of Pechorin, in *Kniaginia Ligovskaia*, to Auber's opera *Fenella*. It was observed there that a combination of a fictional and a historical element in one context resulted in a similar effect of authenticity.

38. See: "The presumption of personal mystery that is ridiculed in Gruzhnitski is also expressed as one of the limits of Pechorin's character" (H. Porter Abbott. 1980. "Letters to the Self: The Cloistered Writer in Nonretrospective Fiction." *PMLA* 95 (1), 23-41.

39. Мне в самом деле говорили, что в черкесском костюме верхом я больше похож на кабардинца, чем многие кабардинцы . И точно, что касается до этой благородной боевой одежды, я совершенный денди: ни одного галуна лишнего, оружие ценное в простой отделке, мех на шапке не слишком длинный, не слишком короткий ... Я долго изучал горскую посадку: ничем нельзя так польстить моему самолюбию, как признавая мое искусство в верховой езде на кавказский лад

(Lermontov 1957 (1840): 280f; "Indeed. I've been told that when riding in *Circassian garb*, I look *more* like a Kabardan than many a *Kabardan*. And, in point of fact, as regards that noble garb, I am an absolute *dandy*: not one bit of superfluous braid; costly arms in plain setting; the fur of the cap neither too long nor too short ... I have studied, for a long time, the mountain peoples' style of riding: there is no better way of flattering my vanity than to acknowledge my skill in riding a horse in the Caucasian fashion"; Lermontov 1988 (1986) (1840): 107; it. mine, PMW).

40. As regards the translucent character of Lermontov's literary figures and objects, it has been emphasized that the language of Lermontov's novels adapts itself to it in so far "the admirable composition of *Geroi nashego vremeni*, serves to create an image, comprised *from all sides, penetrated by X-rays*. And it is effective; the reader sees Pechorin in his strength, in his weakness..." (Chicherin 1985: 113; it. mine, PMW).

41. - *Mon dieu, un Circassien!* вскрикнула княжна в ужасе. Чтоб ее совершенно разуверить, я отвечал по- французски, слегка наклонясь :

(Lermontov 1957 (1840): 282; "*Mon dieu, un circassien!* cried the princess in terror"), and:"In order to dissuade her completely, I answered *in French*, bowing slightly: *Ne craignez rien madame, - je ne suis pas plus dangereux que votre cavalier*"; Lermontov 1988 (1986) (1840): 108)

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- ⁴² Thus, first Grushnitskii says, in a *dramatical* posture: "Mon cher, je haïs les hommes pour ne pas les mépriser, car autrement la vie serait une *farce* trop dégoûtante", to which Pechorin replies, after some lines: "Mon cher ... je méprise les femmes pour ne pas les aimer, car autrement la vie serait un *mélodrame* trop ridicule" (Lermontov 1957 (1840): 265f.). When uttering these words he tries to imitate his opponent's tone as much as possible. Thus, the idea of the world as a stage (consider the words "une farce trop dégoûtante" and "un melodrame trop ridicule") is confirmed by the use of a different language-code.
- ⁴³ Several authors have drawn attention to the essence of Gogol's world as being made of paper. Erlich observes that reality described in Gogol's works is lifeless, whereas only *language* is alive in it (Erlich 1969: 221). Nabokov only welcomes those readers of Gogol' who are ready to become his doubles. In other words, such readers should be ready to become Russians like himself. Only they will be able to understand Gogol' correctly: "I see ... no other way of getting to Gogol' (or to any other Russian writer for that matter). His works, as all great literary achievements, are a phenomenon of *language*, and not of ideas" (V. Nabokov. 1983. *Lectures on Russian Literature*. Ed. with an Intr. by F. Bowers. London, 61; it. mine, PMW). Reference should be made, in particular, to the world of Akakii Akakievich in *Shinel*. This is equally presented as being made of paper. His endeavours to shatter its boundaries are also, ultimately, punished by death (Bernheimer 1975: 57). In other words, he is presented as a text rather than as a figure made of flesh and blood, or, to phrase it differently, here in particular the formula "This is not a man but a part of a text" holds.
- ⁴⁴ See also: Роман не есть эпопея. Это скорее можно назвать драмой . Подобно драме, он есть сочинение слишком условленное. Он заключает также в себе строго и умно обдуманную завязку ... [Роман] летит, как драма ...

("A novel is no epos; it should rather be called a drama. Like the drama it is too settled a genre. Thus, it also contains a cleverly thought-out *plot* which is stricly elaborated. [The novel] *flies* like the *drama* ..."; Gogol' 1994: (1844/45): 313f., it. mine, PMW.)

45. See his *Wilhelm Meister*, Book 5, Ch. 7, quoted in S. Gilman. 1967. *The Tower as Emblem: Chapters 8, 19 and 20 of the "Chartreuse de Parme."* Frankfurt a.M., Klostermann, 9f, n.2 (*Analecta Romanica*, 22.).

46. Thus, the author attacks the view that literature could be:

... сумма всех познаний человеческих. Она не есть также сама в себе что-либо существенное. Она есть только *образ* которым передает человек человеку все им познанное, найденное, почувствованное и открытое, как в мире внешних явлений, так и в мире явлений внутренних, происходящих в собственной душе его. Ее дело в том, чтобы передать это в виде яснейшем, живейшем, способном остаться навеки в памяти.

("... the sum total of all man has got to know. Nor is it something by itself. Rather is it a mere *image* (*obraz*; it. by the author, PMW) by which man transmits to his fellow man everything he has learnt, found, felt or revealed both in the world of external and internal phenomena taking place in his own soul. It is her [i.e. of literature, PMW] task to transmit all that in the clearest, liveliest form in order that it may remain in memory forever"; Gogol' 1994 (1844/45): 304f, tr. mine, it. by the author, PMW).

47. It has been observed that in the course of Gogol's development as a writer in the thirties his represented world is consistently narrowed. Thus, by 1836 the locus of the theme of place had progressively narrowed, from a whole people ('A Terrible Vengeance'), to a small town ('The Two Ivans'), then to a single estate ('Old-World Landowners'), and finally to one individual ('Diary')", (Maguire 1994: 50). In any case, his represented world seems to shrink as his

productive years proceed. Thus, it seems that, ultimately, it has adopted the *size* of a text, i.e. a diary-novel.

48. The quotations from the story are taken from Gogol' 1994. The shorter ones are included into the main text; the longer ones into separate notes. The translations are, in general, taken from Gogol' 1982 with a few alterations. This is the translation of the version which was published in Gogol's collection that appeared under the heading *Arabeski* in 1835. See, in this regard, also Gogol' 1938: 644. In a few places I gave my own translations because there the translation in Gogol' 1982 missed the point, in my view. The italics are mine, unless mentioned otherwise.
49. "Lire des romans, c'est déjà, du même coup, délirer. . . A travers la folie donquichottesque, le roman dramatise donc sa propre lecture, se déchiffre comme désir lui-même. . . Quoi d'étonnant alors si l'homme-texte est voué au don-quichottisme, au vertige de sa propre lecture-écriture? Mais ce dé-lire textuel constitue le principe même du 'romanesque.' Le roman est, avant tout, *folie du roman*" (Felman 1978: p. 125; it. by the author, PMW).
50. See:

Словом, на всяком шагу он сам свой *клеветник*. Опасно шутить писателю со словом. Слово гнило да не исходит из уст ваших! Если это следует применить ко всем нам без изъятия, то во сколько крат бо. . . оно должно быть применено к тем, у которых *поприще* - слово и которым определено говорить о прекрасном и возвышенном. Беда, если о предметах святых и возвышенных станет раздаваться гнилое слово . . .

(Gogol' 1952 (1844): p. 232; it. mine, PMW; "With one word, at each step he is his own *slanderer*. It is dangerous for a writer to play with a word. Take care that no *rotten* word bursts from your lips! If this applies to all of us in general, without exception, it should apply even more so to those who have the word as

their *profession* and whose task it is, therefore, to speak about the beautiful and lofty. It is awful if a rotten word will sound about sacred and lofty topics"; Gogol' 1952 (1844/45): 233; tr. and it. mine, PMW).

51. Все великие воспитатели людей налагали долгое *молчание* именно на тех, которые владели даром слова, именно в те поры и в то время, когда больше всего хотелось им пощеголять словом и рвалась душа сказать даже много полезного людям. Они слышали, как можно опозорить то, что стремишься возвысить, и как на всяком шагу язык наш есть наш *предатель*

(*ibidem*, it. mine, PMW; "All great educators of the people imposed a long *silence* specifically upon those people who had the gift of speech, particularly at those periods and at that moment when they wanted to parade with the word and the soul was dying to tell the people even many useful things. They heard how one could debase what one tries to raise and how, at each step, our *tongue* is our own *traitor*"; Gogol' 1994 (1844/1845): 233; it. mine, PMW).

52. See his exclamation:

Не может быть! Вракн! Свадьбе не бывать! Что ж из того, что он камер-юнкер. Вель это больше ничего, кроме достоинство; не какая-нибудь вещь видимая, которую бы можно взять в *руки*

(Gogol' 1994 (1836): 158; "It cannot be! *Nonsense!* There *can't* be a marriage. What if he is a gentleman of the bedchamber? It's *nothing but* a rank, you know, it's *not a visible* object you can take hold of with your *hands*"; Gogol' 1982: 252; it. mine, PMW).

53. ... хотел бы быть генералом для того, только чтобы увидеть, как они будут уживаться и делать все эти разные придворные штуки и экзивокки, и потом скажут им, что я плюю на вас обонх

(Gogol' 1994 (1835): 158; "I wish I could become a general. I'd like to see *them* grovel and perform all these different court prawns and subtleties and then to tell *them*. 'I spit on both of *you*'"; Gogol' 1982: 251; it. mine, PMW).

54. Reference should again be made to the world of Akakii Akakievich in *Shinel'*, which is equally suggested to be made of paper, as well as his endeavours to shatter its boundaries (Bernheimer 1975: 57). Also, in this work the the fact that the hero tries to acquire an identity of his own by stepping outside his surrounding paper world means that he is punished with death.

55. Пишут, что престол упразднен и что чины находятся в затруднительном положении о избрании наследника ... Как же может быть престол упразднен? ... На престоле должен быть король

(Gogol' 1994 (1835): 159; "They write that the throne is *vacant* and that the nobles are in a difficult position about choosing a heir ... How can you have a *vacant* throne ... You have to have a king on the throne"; Gogol' 1982: 252f., it mine, PMW).

56. Признаюсь, эти происшествия так меня убили и потрясли, что я решительно ничем не мог заняться во весь день

(Gogol' 1994 (1835): 159; it. mine, PMW; "I confess that these events have mortified and shaken me to such an extent that I *haven't* been able to settle down to do *anything* all day"; Gogol' 1982: 253).

57. As far as the empty dates are concerned, poetic speech is particularly illustrative. In the Romantic conception, this implies that the less sensible information speech contains in general, the more poetic it becomes.

58. See again Felman's aforementioned observation that the novel purifies itself in the reading-process and brings about its own destruction by doing so.

59. For the idea that man's first sensation when conquering his identity will be that of fear, see Laing 1970 (1959): 98. The problem of the conquest of an identity of one's own plays a key role for a schizophrenic man because it shows that how he is seen by others is more important than how he sees himself. In other words, the conquest of identity implies that one is confronted with outside reality. See *Shinel'*, in which Akakii Akakievich leaves his original paper world by means of the overcoat. However, the logical consequence of his action is his death; yet, with his death the text as a whole also "dies." Thus, the famous ending of the story in which his ghost returns and recaptures his stolen coat does not merely serve to suggest that the literary person takes revenge. Rather is it a pretext for the writer to motivate the existence of a *description* of that same ending which is appended as a coda. By doing so, he motivates the paper character of the world he described (see also Waszink 1988: 265ff.).

60. The mere idea that a normal world might be combined with a paper one implies that every-thing becomes possible. This results in absurd effects. See the example in which it is reported that the hero has been beaten up by the Grand Inquisitor. Afterwards he makes an important discovery. See:

... я узнал что у всякого петуха есть Испания, что она у него находится под перьями

(Gogol' 1994 (1835): 164; "I found that every cock has its Spain and it's situated under its *feathers*"; Gogol' 1982: 259).

61. Ходил инкогнито по Невскому проспекту. Проезжал государь император. Весь город снял шапки, и я также; однако же я не подал *никакого* вида. Что я испанский король. Я почел *неприличным открыться* тут же при всех; потому что прежде всего нужно представиться ко двору. Меня останавливало только то, что я до сих пор не имею королевского костюма

(Gogol' 1994 (1835): 162; "Went *incognito* along the Nevsky Prospect. His Majesty the Tsar drove past. Everyone took off his cap, and I also; but I *gave no sign* that I was the King of Spain. I considered it *improper to reveal myself* suddenly in the presence of all the others; because one must present oneself to court first and foremost. The only thing stopping me was that I still do not possess any clothing suitable for a king"; Gogol' 1982: 256; it. mine, PMW).

- ⁶² The version published in *Arabeski* has, instead of "king of France", "Bey of Algiers" which is, consequently, found in Gogol' 1982).
- ⁶³ Thus, the hero's reaction also shows his lack of guilt. It is due to this lack of guilt that he is convinced that nobody can do him harm. Consider, in this regard, Laing 1959: 67f.

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DEPARTMENT OF THE ARMY
OFFICE OF THE ADJUTANT GENERAL
WASHINGTON, D. C.

ADJUTANT GENERAL

App. 1





Abb. 2



Abb. 3



Г. Р. ДЕРЖАВИН.
Портрет работы С. Тончи. 1805
ГТГ



Abb. 5



Вид на усадьбу Г. Р. Державина Званка с берега реки Волхов.
Акварель Е. Аврамова. Начало XIX в. Музей ИРЛИ

Abb. 6



ЛЕРМОНТОВ
в ментике лейб-гвардии гусарского полка
Портрет маслом П. Заболотского, 1837 г.
Третьяковская галерея, Москва



Abb. 8



Abb. 9



320

320. * Johannes Gump
Autoportrait
Florence. Offices

Abb. 10

Стансы. (1830. г. № 96 / Август.)

Душевного покоя не ищу
Уста рече судьи мои
Пока не увижу, и да встану перед
Судом ^{и тогда} ~~и тогда~~
И востану иду иль предстану ^{и тогда} ~~и тогда~~

Свое покорное неуже
Рвлася блеснуть перед побой,
Уны и гордыня
Она протела как стонет зал,
Клеветал под, смаравый, судья,
~~Твои бедоуго, не...~~

II.

Свободен кидомного хитрости
и в предвзвеса отблеска -
От твоих пор в сердечной тишине
Жду уны иль неуже.
«Вместо не блещет Солнцем»
Кисро иль востанет побой...
Ломь в сердце иль неуже ^{и тогда} ~~и тогда~~
Жа в ~~и тогда~~ ^{и тогда} ~~и тогда~~
~~Твои бедоуго, не...~~

III.

и неуже востанет побой,
Оно или неуже иль неуже
Свободен кидомного хитрости
«Вместо не блещет Солнцем»
Кисро иль востанет побой...
Ломь в сердце иль неуже ^{и тогда} ~~и тогда~~
Жа в ~~и тогда~~ ^{и тогда} ~~и тогда~~
~~Твои бедоуго, не...~~



АВТОГРАФ СТИХОТВОРЕНИЯ ЛЕРМОНТОВА «СТАНСЫ»
С ЗАРИСОВКОЙ Е. А. СУШКОВОЙ-ХВОСТОВОЙ

Институт литературы, Ленинград

Погуби поэта, - неблагословен
 твой, оклеветанный человек
 Он сварила в грядке маини мени,
 потыкнувшись от твоих злоб,
 Неблагословен душою поэт
 погуби и влюбленного поэта
 Всему от противности твои нас
 один как же прежде - и убави,
 убогий!... се же жемчужина ридана,
 похвалы и сего переменила копье
 и жалкой лавицею оправдала
 судьбу свершила жемчужина.
 Не будь скупка омерзительная
 не свободна душа поэта
 и в свободной душе поэта
 души поэта - не в рабстве...
 Смерть поэта - он же и в рабстве
 последняя перемена в нем
 убогий и в рабстве и в рабстве и в рабстве
 убогий и в рабстве и в рабстве и в рабстве.

Смерть его убога
~~Смерть поэта - не в рабстве и в рабстве~~
~~и в рабстве и в рабстве и в рабстве и в рабстве~~
 и в рабстве и в рабстве и в рабстве и в рабстве...
 и в рабстве и в рабстве и в рабстве и в рабстве...
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все души в рабстве и в рабстве
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ЧЕРНОВОЙ АВТОГРАФ СТИХОТВОРЕНИЯ ЛЕРМОНТОВА „СМЕРТЬ ПОЭТА“
 В правом нижнем углу профиль начальника штаба корпуса жандармов Л. В. Дубельта
 Музей Пушкина, Москва

ma chère Alexandrine
 pardonnez-moi je vous prie,
 Je vous envoie ce petit
 bouquet de fleurs jaunes;
 comme tant de fleurs jaunes
 ont tant de fois fait
 votre joie, j'en ai
 fait un bouquet de fleurs jaunes.
 Tout va bien, tout va bien.
 Je vous aime.
 A. Lermontov.

А. Лермонтов



АВТОГРАФ СТИХОТВОРЕНИЯ ЛЕРМОНТОВА „МА СЕРЕ АЛЕКСАНДРИНЕ“
 С ЗАРИСОВКОЙ А. УГЛИЦКОЙ ВНИЗУ

Институт литературы, Ленинград

Abb. 13



FINALE

de. Nicolas

aus der Oper Fenella

Финальная сцена оперы «Фенелла» в постановке Петербургского Большого театра, 14 января 1834 г.

ФИНАЛЬНАЯ СЦЕНА ОПЕРЫ «ФЕНЕЛЛА». ОБЕРА В ПОСТАНОВКЕ ПЕТЕРБУРГСКОГО БОЛЬШОГО ТЕАТРА, 14 ЯНВАРЯ 1834 г.

Литография с рисунка Ив. П. Брюлло

Изображены актеры М. Д. Новицкая и К. Голланд

Музей изобразительных искусств им. А. С. Пушкина, Москва